

TARLAC AGRICULTURAL

TAU

UNIVERSITY

Research Manual



2023

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FOREWORD

The Department of Research & Development of Tarlac Agricultural University is committed to attaining its mandate of improving the quality of life through research and development activities that have relevance and significant impact on higher education, industry, and the local and international community. Research undertakings are essential tools for maintaining the competitiveness and relevance of the University in the academic community and for achieving continual improvement. Thus, the Department exerts its utmost effort to assist and lead the faculty and student researchers to foster professional excellence in the discovery of knowledge, novelty, innovative technologies, and standard curriculum in response to the changing needs of its stakeholders. The outcomes will serve as inputs to extension services, innovation, entrepreneurial inclusivity of developed technologies, and a basis for improving the teaching-learning process. All these promote technological and pedagogical advancement as well as delivering outstanding student education training that is cognizant of internationalization.

This manual serves as an operational guide and policies on the systems and processes in implementing research undertakings in the University to ensure the conformance to quality standards in the delivery of services to achieve its intended results.


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CHAPTER I
GENERAL PROVISION

ARTICLE 1 LEGAL AND INSTITUTIONAL FRAMEWORK

The TAU Research and Development Manual is anchored on relevant mandates and frameworks that are embedded in legislative acts and executive issuances and are enshrined in the vision and mission statements of the university.

Section 1 Republic Act No. 8292

Republic Act No. 8292, known as the "Higher Education Modernization Act of 1997," mandates state universities and colleges (SUCs) to promote the establishment and development of research and extension centers (Sec. 4m).

Section 2 Republic Act No. 10800

RA 10800, known as An Act Converting the Tarlac College of Agriculture (TCA) into a State University to be known as the Tarlac Agricultural University" provides that "The University shall primarily provide advanced education, higher technological and professional instruction and training in the fields of agriculture, agribusiness management, science and technology, engineering, teacher education, non-traditional courses, and other relevant fields, and shall undertake research services in support of the development of the Province of Tarlac".

Section 3 Presidential Decree No. 609

Presidential Decree No. 609 mandates state universities and colleges (SUCs) to enhance basic and applied research projects and activities aimed at solving education, agricultural, and community problems. It is in this context that the Department of Research and Development at TAU was established.

Section 4 Executive Order 605

EO 605 orders "institutionalizing the structure, mechanisms, and standards to implement the government quality management program, amending for the purposes of Administrative Order No. 161, s. 2006," and likewise enjoins SUCs to establish ISO Quality Management Systems (ISO-QMS) and be certified accordingly.

Section 5 Board of Trustees (BOT) Resolution No. 60, s 2010

Approving the implementing policy guidelines for international seminars, study tours, and paper presentations effective January 2011, which state that: faculty staff shall be authorized to attend international seminars, study tours, and paper presentations, provided no expenses shall be covered by the government or 50% from the Tarlac College of Agriculture but not to exceed P30, 000.00, subject to the availability of funds.

Section 6 BOT Resolution No. 50, s. 2012

Approving the proposed revision of Provision of TCA BOT Resolution No. 75, s. 2009, that states the implementing guidelines for scholarship availability, subject to the inclusion of the ruling or policies on the extension of scholarship or study.

Section 7**Board of Trustees (BOT) Resolution No. 60, s 2015**

Confirming the granting of financial support amounting to thirty thousand pesos (Php 30,000) for patents, twenty-five thousand pesos (Php 25,000) for trademarks, and twenty thousand pesos (Php 20,000) for utility models earned by TCA researchers subject to full compliance with existing and pertinent government rules and regulations.

Section 8**BOT Resolution No. 61, s 2015**

Confirming the increase in the amount of incentive given to faculty whose research paper is awarded as the "best paper" in local, regional, national, or international conferences is subject to full compliance with existing and pertinent government rules and regulations.

Section 9**BOT Resolution No. 62, s 2015**

Confirming the increase in incentives given to faculty whose research papers are published in national and international accredited or refereed journals, subject to full compliance with existing and pertinent government rules and regulations.

Section 10**BOT Resolution No. 63, s. 2015**

Confirming the granting of financial support for the international refereed publication processing fee (at cost but not to exceed P20, 000.00) subject to full compliance with existing and pertinent government rules and regulations.

Section 11**BOT Resolution No. 64, s. 2015**

Confirming the increase in incentive for the best poster award is subject to full compliance with existing and pertinent government rules and regulations.

Section 12**BOT Resolution No. 65, s. 2015**

Confirming the increase in incentives given to faculty and staff for generating funds for the college from external funding sources, subject to full compliance with existing and pertinent government rules and regulations.

Section 13**BOR Resolution No. 63, s. 2020**

Approving the policy on requiring paper presentations of all funded research during the TAU In-House Review of on-going and completed research and development projects subject to full compliance with existing and pertinent government rules and regulations.

Section 14**BOR Resolution No. 48, s. 2021**

Approving the enhanced rewards and recognition for the TAU employees as part of the university's Program on Awards and Recognition for Service Excellence (PRAISE) and the allocation of funds thereby are subject to full compliance with existing and pertinent government rules and regulations.

Section 15 **BOR Resolution No. 57, s. 2022**

A resolution approving the revised implementing rules and regulations for the publication incentive grant, subject to full compliance with existing and pertinent government rules and regulations.

Section 16 **TAU CODE Book II, Chapter I, Article 14**

Faculty members are expected to have a normal teaching load of 18 to 21 units per semester. For the purposes of computing teaching load, one (1) hour of lecture shall be equivalent to 1.0 units, one (1) hour of laboratory work shall be equivalent to 0.75 units, and one (1) hour of course preparation shall be equivalent to 0.5 units.

Faculty members with an administrative designation and/or a special assignment must teach the number of hours required by the administrative designation or special assignment. At the end of the semester, faculty members must have a validated workload of 30 hours per week, composed of the actual teaching load, research, extension, designation, and other functions.

Section 17 **TAU Vision**

Tarlac Agricultural University as one of the top 500 universities in Asia

Section 18 **TAU Mission**

Tarlac Agricultural University is committed to improve the quality of life through the production of globally competent graduates and relevant technologies in the service of the society

Section 19 **TAU-DRD Goals**

Tarlac Agricultural University is committed to improving the quality of life through the production of globally competent graduates and relevant technologies in the service of society.

- a. effective and gender-responsive planning mechanisms, policymaking, financing, management, and evaluation of R&D activities of the university;
- b. self-directed and independent core of R&D manpower serving the needs of science, technology, agriculture, education, agribusiness, entrepreneurship, and social science research;
- c. efficient, effective, and functional pool of physical resources relevant and appropriate for attaining the goals and objectives of R&D projects;
- d. quality R&D outputs useful and acceptable to the agro-industrial sectors; and
- e. established linkages and aggressive local and international engagements with institutions, industry partners, and other stakeholders that will uplift the research capability and competitiveness of the university.

Section 20 **TAU Quality Policy Statement**

TAU is committed to satisfy the expectations of its stakeholders through the continual improvement of all its processes towards the attainment of its quality strategic objectives anchored in the provision of good governance, quality instruction, relevant research, responsive extension services and sustainable production that adhere to a globally recognized quality system management and applicable statutory and regulatory requirements.

Section 21**DRD Quality Policy Statement**

The TAU-DRD is dedicated to lead the researchers in generating quality research and innovative technologies in partnership with stakeholders towards discovery and expansion of knowledge, continual development and sustainability, and utmost customer satisfaction compliance with the statutory and regulatory requirements and quality management systems.

Section 22**TAU-DRD Objectives****General Objective**

The primary objective of the department is to establish basic and applied research programs that will contribute to the socio-economic development needs of the local community, provinces, and region and to provide dynamism and relevance to the instruction and extension programs of the University

Specific Objectives

In consonance with the defined research function of the university, the following are the specific objectives of the department:

- a. define the goals, purposes, and scope of research in agriculture, forestry, fishery, and other areas of study;
- b. evolve a research program to be carried out in an interdisciplinary and inter-agency arrangement, and through systems approach;
- c. set priorities on research projects which should be undertaken based on their urgency and relevance to actual economic and social problems;
- d. work for the organization and development of a competent manpower and provide the same with the necessary equipment, facilities, and international research exposure for the effective and efficient performance of their functions;
- e. establish a data/information/technology bank;
- f. actively collaborate with the nationwide research network of experimental stations and establish linkages with other national and international research institutions, industries, and other government agencies;
- g. formulate strategies for research fund sourcing, mobilization and recovery for the sustainability and expansion of projects;
- h. coordinate with the Department of Extension and Training (DET) for the effective dissemination and transfer of appropriate technologies; and
- i. assist the Colleges in the attainment of their research goals that are anchored in the research thrusts and priorities of the university and funding agencies as based on the requirement sets by CHED, PASUC, AACCUP, DBM, UN-SDGs, and other national & international organizations.

CHAPTER II

TAU RESEARCH AND DEVELOPMENT FRAMEWORK

ARTICLE 1 RESEARCH AND DEVELOPMENT FRAMEWORK

The R&D Framework of the university is anchored with the UN Sustainable Development Goals (SDGs) and the government's institutional, regional, and national R&D priorities. The Department of Research and Development (DRD) is under the Office of the Vice President for Research, Extension, and Training (OVPRET). It served as the clearinghouse for the research programs and undertakings of the university. The DRD is on a constant quest to discover new knowledge and scale up skills, processes, and facilities to generate innovative technologies in the field of agriculture and allied sciences that will benefit its stakeholders. The DRD responds to the unrivaled opportunities and challenges posed by the government funding agencies, local and international partners to become relevant to local and national issues. Conscious of the need for cross-border collaboration and transnational partnership, the university seriously participates in research activities addressing the SDG's and other international metrics thrusts. Focusing on the RDE of its banner commodities, exploring new curiosity as solutions, and expanding its horizon, TAU is at the helm of moving toward agriculture and industry 4.0 through innovation for a transformational agriculture.

Research and Development, therefore, becomes an important arm of the university in the attainment of its goals and objectives. Research to be functional and effective must be responsive and geared towards the vision and mission of the university, especially in advancing knowledge and technology that are essential in driving the future of society, foster professional excellence among students and faculty, weave international linkages among neighbouring countries, and create critical economic, societal, and environmental impacts. In addition, it shall support the indigenous, appropriate, and self-reliant, scientific and technological capabilities of the country and their application to the country's productive system and national life.

ARTICLE 2 UNIVERSITY RESEARCH AGENDA

The research agenda sets the focus and direction of the university, on which faculty and students may base their research undertakings. These agendas are anchored to the thrusts and priorities of the various government agencies, private industries, NGOs, and UN Sustainable Development Goals that are responsive to the dynamic global and local issues and challenges that call for major and marginal change and transformational adaptation. It covers a wide range of thematic areas that posit scalable technologies in response to major drivers and opportunities.

The agenda is set for a five-year term and is reviewed regularly by the Department of Research and Development to determine the alignment and contribution of the research undertakings of the faculty, students, and researchers in the seventeen thematic areas. The agenda is also used as a criterion in evaluating the proposals of the researchers for project funding and endorsing requests for paper publication and presentation.

The presentation of the TAU research agenda ensures that the specific research projects and activities of the researchers are aligned in the thematic areas, which are parallel to the government agencies' agenda and the UN SDGs. A detailed presentation of the recent five-year research agenda is written in a separate manual.

ARTICLE 3 R&D PRIORITY RESEARCHABLE AREAS

The research undertakings of the DRD are anchored on seventeen thematic areas:

1. Food Security and Poverty Alleviation
2. Water and Aquatic Resources Conservation and Management

3. Health and Environment
4. Socioeconomics, Enterprise Development, and Livelihood
5. Animal and Livestock, Production, Health, and Medicine
6. Biotechnology Research
7. Renewable Energy
8. ICT-Related Research
9. Program and Curricular Development and Assessment
10. Global Competitiveness
11. Socioeconomics, Research Policy, and Governance
12. Educational Research for Development
13. Policy Formulation and Institutional Development
14. Psychological Science Research & Development
15. Arts, Development Communication, Languages, and Culture Research
16. Gender and Development Research
17. Community Development

On a smaller scale, the university's main goal and top priority is to improve the RDE of its four (4) banner commodities, which include but not limited to sweetpotato, bamboo, free-range chicken, kamlong, and other thriving crops and livestock that the stakeholders need.

Apart from the clearing house of research, the DRD encompasses the chain of knowledge, from the basic to applied-driven research, and up to scalable practical knowledge to create solutions to pressing global issues that threaten the food system security, climate change adaptation, and other major socio-economic drivers. The university ensures that faculty researchers work disciplinary and inter-trans disciplinary with other researchers SUCs, NGOs, research institutes, and industries to provide solutions with impact concerning the R&D thrusts and priorities of the university.

CHAPTER III ORGANIZATION AND COMPOSITION

ARTICLE 1 COMPOSITION AND ORGANIZATIONAL FUNCTIONS OF THE DRD

The Director of Research and Development is designated by the University President upon the recommendation of the Vice President for Research, Extension, and Training and subject to confirmation by the Board of Regents (BOR). Under the Office of the Director are the Assistant Director, Chiefs of Innovation and Technology Support Office (ITSO), Affiliated Renewable Energy Center (AREC), Research Ethics Office (REO); Managers of SMART Agriculture Center (SAC), Cong. Carlos O. Cojuangco Reproductive Animal Biotechnology Laboratory (formerly the Animal Breeding and Artificial Insemination Center), Bamboo Research Training Center (BRTC), and Editor-in-Chief of the Philippine Journal of Arts, Sciences, and Technology (PJAST). Some of the offices such as the ITSO, AREC and PJAST are housed in the DRD building while others are located in their respective buildings. While mainstreaming gender in research, the Director of Gender and Development is linked in the various research activities of the colleges, centers, and laboratories to ensure that all research activities are gender-sensitive. In parallel, the external service providers of the department, which perform equally important roles in supporting the delivery of the department's services, are the six (6) College Research Coordinators, University Research Ethics Review Committees (URERC) and detailed faculty. Providing facilitative and support functions are staff of the department that are comprised of Science Research Specialist, Science Research Analyst, Science Research Assistants, Agricultural Technologist, In-Charge of the DRD Reading Center, In-charge of Test for Similarity Index, and Administrative Aide (See Figure 1: Organizational Chart).

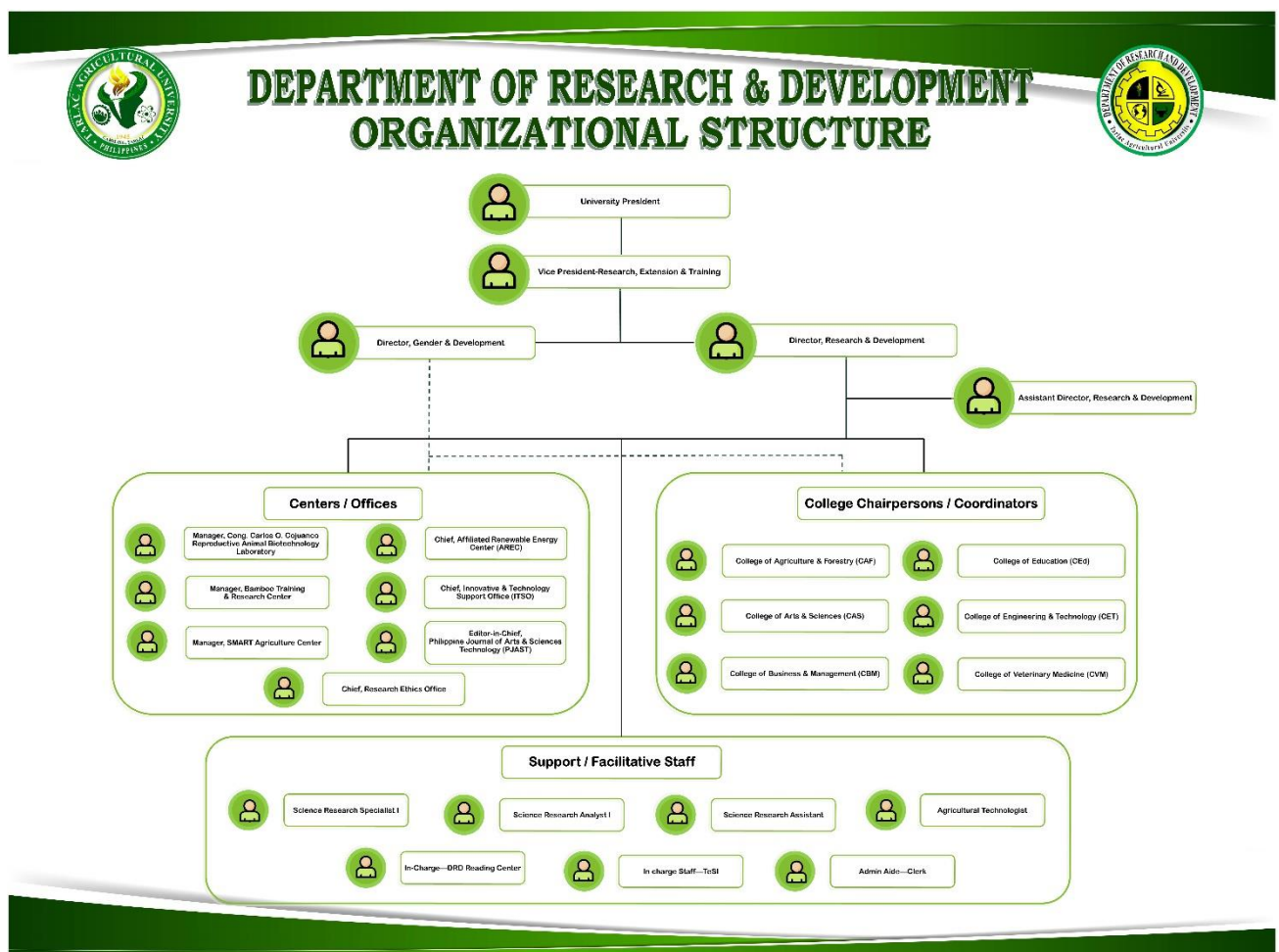


Figure 1. Organizational Chart of the Department of Research and Development

CHAPTER IV

RESEARCH MANDATE

ARTICLE 1 GENERAL FUNCTION

The general function of the Department of Research and Development is to establish a clear research direction and ensure that the university's research mission is accomplished through the combined efforts of all its members, with the aim of making the institution as one of the top 500 agricultural universities in Asia.

ARTICLE 2 SPECIFIC FUNCTIONS

The Department of Research and Development, serving as the research arm of the university, is expected to function as follows:

- a. participate, plan, and formulate research agenda in consonance with the local/regional/national harmonized research agenda of government agencies and private and industry sectors;
- b. communicate the university's research thrusts and priorities to colleges for alignment and relevance of their research programs, projects, and activities;
- c. manage the implementation of the research undertakings of the colleges and other instrumentalities of the university;
- d. develop a system for regular monitoring, documentation, and appraisal of research efforts;
- e. provide platforms for the publication and dissemination of research outputs through an Annual Agency In-House Review;
- f. review, and the release of print and digital refereed research portals for the exchange of information among agencies in the country and in the region;
- g. formulate and recommend policies and guidelines for the improvement and enhancement of the research programs and projects and the delivery of services;
- h. establish linkages and engagements with local, national, and international funding agencies and academic and research institutions.

CHAPTER V
QUALIFICATIONS, DUTIES, AND RESPONSIBILITIES OF PERSONNEL IN THE DEPARTMENT
OF RESEARCH AND DEVELOPMENT

ARTICLE 1 THE DEPARTMENT OF RESEARCH AND DEVELOPMENT DIRECTOR

Section 1 Designation

The Director of Research and Development as designated by the University President upon the recommendation of the Vice President for Research, Extension, and Training and subject to confirmation by the Board of Regents.

Section 2 Qualifications

The qualifications of the Director of Research and Development shall be as follows:

1. A senior faculty member, preferably, a holder of a relevant doctorate degree
2. Must have at least three (3) years of research experience and competence in agriculture or related fields
3. Must be subject to other qualifications as may be prescribed by the BOR, the university president, authorities, or the law.

Section 3 Duties and Responsibilities

The Director of Research and Development shall:

1. Co-chair the standing or ad hoc committee that evaluates, reviews, and makes funding suggestions for research proposals from local, regional, national, or international agencies
2. Coordinate with the major offices of the university related to research activities
3. Lead in the formulation of research agendas and programs that jibe with the regional, national, and international development goals
4. Initiate and strengthen linkages between the university and other research institutions and agencies
5. Perform other functions and duties as may be delegated by the BOR, university president, authorities, or law.

Section 4 Allowance

The Director of Research and Development shall receive allowances in accordance with the existing government rules and regulations and with BOR approval.

ARTICLE 2 DIRECTOR, GENDER AND DEVELOPMENT (GAD)

Section 1 Designation

The Director of Gender and Development (GAD) shall be designated by the University President upon the recommendation of the Vice President for Research, Extension, and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Director of the Gender and Development (GAD) shall be as follows:

1. Holds at least a Ph.D. in social, agricultural, or related sciences
2. A person who is knowledgeable and competent in his/her field of specialization and has training and experience in gender and development and other related undertakings

3. Must be of high morale, uphold integrity, and provide compassionate service.

Section 3 Duties and Responsibilities

The Director of the Gender and Development (GAD) shall:

1. Provide direction and give policy advice to the agency head to support and strengthen the GFPS and the agency's GAD mainstreaming activities
2. Direct the identification of GAD strategies, programs, activities, and projects based on the results of the gender audit, gender analysis and according to the identified priorities of the agency in response to the gender issues faced by its clients and employees
3. Ensure the timely submission of the agency's GAD Plan and Budget, accomplishment report, and other GAD-related reports to the PCW and DBM
4. Ensure the effective and efficient implementation of the agency's GAD programs, activities, and projects and the judicious utilization of the GAD Budget
5. Build and strengthen the partnership of the agency with the Philippine Commission for Women (PCW), GAD experts, advocates, women's groups, and other stakeholders in pursuit of gender mainstreaming
6. Recommend approval of agency GAD plans and budgets and GAD
7. Recommend awards and recognition to outstanding institutional GAD programs, activities, and projects and /or GAD FP members;
8. Provide direction and give policy advice to the agency head to support and strengthen the GFPS and the agency's GAD mainstreaming activities.

ARTICLE 3 THE DEPARTMENT OF RESEARCH AND DEVELOPMENT ASSISTANT DIRECTOR

Section 1 Designation

The Assistant Director shall be designated by the University President upon the recommendation of the Vice President for Research, Extension, and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Assistant Director shall be as follows:

1. Holds at least a Ph.D. in social or agricultural sciences or allied sciences
2. Must have at least three (3) years of research experience and competence in social, agricultural sciences or allied sciences.

Section 3 Duties and Responsibilities

The Assistant Director shall:

1. Assist the Director in the performance of the general functions, duties, and responsibilities geared toward the attainment of the stated university's vision and mission, and the goals and objectives of the university R&D program;
2. Act on behalf of the director whenever he/she is on official business or on leave.

ARTICLE 4 CHIEF, INNOVATION AND TECHNOLOGY SUPPORT OFFICE (ITSO)

Section 1 Designation

The Chief of the Innovation and Technology Support Office (ITSO) shall be designated by the University President upon the recommendation of the Vice President for Research, Extension, and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Chief of the Innovation and Technology Support Office (ITSO) shall be as follows:

1. Holds at least a Ph.D. in social or agricultural sciences or allied sciences
2. A senior researcher who is knowledgeable and competent in his/her field of specialization and has training and experience in IPR protection and management.

Section 3 Duties and Responsibilities

The Chief of the Innovation and Technology Support Office (ITSO) shall:

1. Formulate and implement specific IP policies and guidelines
2. Provide oversight, supervision, guidance, and capacity building, including IP filing, and handling of technology transfer agreements
3. Assist in the preparation, filing, and processing of IP registration
4. Link with the business sector for marketing of patentable and patented products and facilitate payment of royalties from technology transfer arrangements
5. Conducts trainings, seminars, and webinars related to IP
6. Perform other functions to accomplish the purpose and objectives of the IP policies and guidelines.

ARTICLE 5 CHIEF, AFFILIATED RENEWABLE ENERGY CENTER (AREC)

Section 1 Designation

The Chief of the Affiliated Renewable Energy Center (AREC) shall be designated by the University President upon the recommendation of the Vice President for Research, Extension and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Chief of the Affiliated Renewable Energy Center (AREC) shall be as follows:

1. Holds at least a Ph.D. in social or agricultural sciences or allied sciences
2. A senior researcher who is knowledgeable and competent in his/her field of specialization and has training and experience in renewable energy management.

Section 3 Duties and Responsibilities

The Chief of the Affiliated Renewable Energy Center (AREC) shall:

1. Manage and operate the AREC in accordance with the provisions of R.A. 7638 and Department of Energy (DOE) Department Order No. 2013-12-0019 and such terms and conditions as set forth in the Memorandum of Agreement (MOA)
2. Undertake and oversee the implementation of any renewable energy related programs, projects, and activities in coordination with DOE, considering the conditions in the management and operations of the AREC
3. Engage in the formulation, implementation, monitoring, and evaluation of AREC's programs, projects, and activities
4. Perform other duties and functions as expressly provided in the MOA signed between DOE and TAU and based on DOE D.O. No. DO2013-12-0019 as deemed necessary

in the effective and efficient delivery of all programs, projects, and activities of the center.

ARTICLE 6 MANAGER, SMART AGRICULTURE CENTER (SAC)

Section 1 Designation

The Manager of the Sustainable Mechanize Agriculture for Research and Technology (SMART) Agriculture Center (SAC) shall be designated by the University President upon the recommendation of the Vice President for Research, Extension and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Manager of the Smart Agriculture Center (SAC) shall be as follows:

1. Holds at least a Ph.D. in engineering or agricultural sciences or allied sciences
2. A senior researcher who is knowledgeable and competent in his/her field of specialization and has training and experience in SMART Agriculture.

Section 3 Duties and Responsibilities

The Manager of the Smart Agriculture Center (SAC) shall:

1. Facilitate the preparation of the RDE agenda and program of the SMART Agriculture Center
2. Monitor and evaluate the research and training programs implemented
3. Establish an information bank and a manpower profile
4. Establish linkages with funding agencies, and institutions and other stakeholders
5. Prepare and submit reports to the concerned offices and agencies
6. Perform other functions and duties as may be delegated by the Director of R&D, VPRET, University President, authorities, or law.

ARTICLE 7 CHIEF, CONG. CARLOS O. COJUANGCO REPRODUCTIVE ANIMAL BIOTECHNOLOGY LABORATORY

Section 1 Designation

The Chief of the Cong. Carlos O. Cojuangco Animal Biotechnology Laboratory shall be designated by the University President upon the recommendation of the Vice President for Research, Extension, and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Chief of Cong. Carlos O. Cojuangco Animal Biotechnology Laboratory shall be as follows:

1. Holds at least a Ph.D. in veterinary medicine or allied sciences; and
2. A senior researcher who is knowledgeable and competent in his/her field of specialization and has training and experience in veterinary medicine or biotechnology.

Section 3 Duties and Responsibilities

The Chief of the Cong. Carlos O. Cojuangco Animal Biotechnology Laboratory shall:

1. Facilitate the preparation of the RDE agenda and program for the Animal Biotechnology Laboratory
2. Monitor and evaluate the research and training programs implemented
3. Establish an information/data bank and a manpower profile
4. Establish linkages with funding agencies, institutions, and other stakeholders
5. Prepare and submit reports to the concerned offices and agencies
6. Perform other functions and duties as may be delegated by the Director of R&D, VPRET, University President, authorities, or law.

ARTICLE 8 CHIEF, RESEARCH ETHICS OFFICE (REO)

Section 1 Designation

The Chief of the Research Ethics Office (REO) shall be designated by the University President upon the recommendation of the Vice President for Research, Extension and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Chief of the Research Ethics Office (REO) shall be as follows:

1. Holds at least a Ph.D. in education, social science or any related allied sciences;
2. A researcher who is knowledgeable and competent in his/her field of specialization and has training and experience in research ethics.

Section 3 Duties and Responsibilities

The Chief of the Research Ethics Office (REO) shall:

1. Facilitate the preparation of the agenda and program for the Research Ethics Office
2. Craft policies and guidelines and any documents and/or requirements related to the responsible conduct of research or ethics in research
3. Ensure the protection of the rights, safety, dignity, and well-being of researchers and stakeholders
4. Ensure that all study applications submitted to the review committee shall receive ethical review within the set guidelines of the concerned research ethics committee
5. Ensure that all ethical issues are explored, and clear decisions are made and well recorded
6. Attend and participate in any trainings or conferences related to research ethics
7. Issue a certificate for ethical clearance in research to all applicants
8. Chair all URERC meetings and monitor the activities of the review committees
9. Participates in the regular meeting of the DRD

ARTICLE 9 MANAGER, BAMBOO RESEARCH TRAINING CENTER (BRTC)

Section 1 Designation

The Chief of the Bamboo Research Training Center (BRTC) shall be designated by the University President upon the recommendation of the Vice President for Research, Extension and Training and the Director of the Department of Research and Development.

Section 2 Qualifications

The Chief of the Bamboo Research Training Center (BRTC) shall be as follows:

1. Holds at least a Ph.D. in engineering or agricultural sciences, or allied sciences;

2. A senior researcher who is knowledgeable and competent in his/her field of specialization and has training and experience in bamboo research.

Section 3 Duties and Responsibilities

The Chief of the Bamboo Research Training Center (BRTC) shall:

1. Facilitate the preparation of the RDE agenda and program for the Bamboo Research Training Center
2. Monitor and evaluate the research and training program implemented
3. Establish an information/data bank and a manpower profile
4. Establish linkages with funding agencies, and institutions, and other stakeholders
5. Prepare and submit reports to the concerned offices and agencies
6. Perform other functions and duties as may be delegated by the Director of R&D, VP RET, University President, authorities, or law.

ARTICLE 10 COLLEGE RESEARCH COORDINATOR

Section 1 Designation

The College Research Coordinator shall be designated by the College Dean in coordination with the Director of DRD and the VP-RET.

Section 2 Qualifications

The College Research Coordinator shall be as follows:

1. Holds a degree either Ph.D./Ed.D./DBA or MS/MA in social or agricultural sciences or allied sciences
2. Must be a competent researcher in his/her field of specialization
3. Must have at least one (1) year of research experience and competence in social, agricultural sciences, or allied sciences.

Section 3 Duties and Responsibilities

The College Research Coordinator shall:

1. Submit proposals prepared by faculty and students to the department for review and/or evaluation
2. Monitor the progress of activities related to on-going research conducted in their respective colleges
3. Collect, compile, and submit accomplishment reports and research manuscripts/documents for the college
4. Disseminate to faculty and students R&D policies, priority thrusts, and research updates
5. Spearhead the preparation and implementation of university research agendas and programs
6. Archive records of research activities and outputs of faculty in the university
7. Coordinate with the ITSO for the patent/copyright/trademark/utility model/industrial and other related IPR applications
8. At the end of the semester, give ratings to the faculty based on approved evaluation criteria and records validated by the college dean and the director of DRD.

ARTICLE 11 SCIENCE RESEARCH SPECIALIST

Section 1 Qualifications

The Science Research Specialist shall be as follows:

1. Holds a degree in social, agricultural, or allied sciences
2. Must be a competent researcher in his/her field of specialization
3. Must have at least three (3) years of research experience and competence in social, agricultural, or allied sciences
4. Must be proficient in oral and interpersonal relations
5. Must have initiative, strong decision-making skills, and a sound moral disposition.

Section 2 Duties and Responsibilities

The Science Research Specialist shall:

1. Assist in the preparation of research proposals and other research projects
2. Assist in the gathering of data for projects implemented by the Department of Research and Development
3. Assist in the monitoring of research and prepare periodic reports of research implemented
4. Assist in the preparation of technical papers for presentation and terminal reports;
5. Document research being implemented by the Department of Research and Development
6. Do other related jobs as required by higher authorities.

ARTICLE 12 SCIENCE RESEARCH ANALYST

Section 1 Qualifications

The Science Research Analyst shall be as follows:

1. Holds a degree in social or agricultural science or allied science
2. Must be a competent researcher in his/her field of specialization
3. Must be proficient in oral and written communication, interpersonal relations, and computer Microsoft software and applications
4. Must have a strong background in data management and analysis.

Section 2 Duties and Responsibilities

The Science Research Analyst shall:

1. Assist in the preparation of research proposals
2. Assist in the conduct or implementation of R&D projects and in the gathering of data
3. Organize, analyze, and interpret the collected data
4. Prepare and submit reports of the data gathered
5. Do other related jobs as required by higher authorities.

ARTICLE 13 SCIENCE RESEARCH ASSISTANT

Section 1 Qualifications

The Science Research Assistant shall be as follows:

1. Holds a degree in social or agricultural science or allied science
2. Must be a competent researcher in his/her field of specialization
3. Must have at least one (1) year of research experience and competence in social or agricultural sciences or allied sciences.

Section 2 Duties and Responsibilities

The Science Research Assistant shall:

1. Assist in the conduct of research according to the approved proposal
2. Participate in the gathering of data and other research materials needed
3. Assist in the supervision of laborers for the efficient conduct of research
4. Assist in the preparation and submission of research reports
5. Do other related jobs as required by higher authorities.

ARTICLE 14 TECHNICAL EXPERTS

Section 1 Designation

The technical experts shall be designated by the Director of the DRD in consultation with the VP RET.

Section 2 Qualifications

The technical expert shall be as follows:

1. Holds a Ph.D. or MS in social or agricultural sciences or allied sciences
2. Preferably a distinguished senior researcher who is competent and knowledgeable in his/her field of specialization and research management
3. Must have a proven track record of research in the field of his/her expertise.

Section 3 Duties and Responsibilities

The Technical Experts shall:

1. Evaluate research proposals submitted for internal or external funding
2. Monitor and evaluate the implementation of on-going research projects
3. Review completed projects for presentation, publication, and IPR application.

ARTICLE 15 EDITOR-IN-CHIEF OF THE UNIVERSITY RESEARCH JOURNAL

Section 1 Designation

The Editor-in-Chief shall be designated by the Director of the DRD in consultation with the VP RET.

Section 2 Qualifications

The Editor-in-Chief of the University Research Journal shall be as follows:

1. Holds an advanced degree either Ph.D. in social or agricultural sciences or allied sciences
2. Must have publication in a refereed journal that is indexed in ISI Scopus/Thomson Reuter/ World of Science (WoS/Clarivate).
3. Must have a training in technical writing and publication in refereed journals.

Section 3 Duties and Responsibilities

The duties and responsibilities of Editor-In-Chief are as follows:

1. He/She must be responsible for the annual publication of the refereed university research journal
2. He/She shall facilitate the up-to-date and regular publication of the journal;
3. Serve as the figurehead of the research journal as he/she raises the reputation and profile of the journal in respect to setting strategic directions, and ensuring high-quality submissions
4. Outsource highly qualified referees and contributors from various disciplines
5. Ensure that the content published meets the policies and standards of the journal
6. Supervise the managing editor.

ARTICLE 16 CLERK

Section 1 Qualifications

The qualifications of the Clerk shall be as follows:

1. Holds at least a bachelor's degree
2. Must be proactive, resourceful, organized, polite, reliable, honest, and committed
3. Must be knowledgeable in Microsoft Office applications
4. Must possess basic secretarial and office management skills
5. With moral values

Section 2 Duties and Responsibilities

The Clerk shall:

1. Encode research and research-related documents and reports
2. Organize office files and fixtures
3. Maintain an updated database of the research activities of the researchers at the university
4. Do other related jobs as required by higher authorities.

CHAPTER VI

RESEARCH AND DEVELOPMENT THRUSTS AND PRIORITY CONCERNS

ARTICLE 1 THRUSTS AND PRIORITY CONCERNS

Development objectives are achieved through properly planned, coordinated, and implemented strategies and programs. In setting strategies, available resources, potentials, issues, and constraints that could affect the desired end results are considered.

The following are in accordance with changing needs and demands, location-specific problems, and technological advancements.

Section 1 Strengthening the Agricultural R&D Program and Other Initiatives

Focusing on four major R&D commodities (rootcrops, legumes, bamboo, poultry, and livestock) and other R&D initiatives involving other crops and commodities, agricultural science or allied sciences, social science research, policy research, and gender-sensitive studies (education, psychology, sociology, business management, economics, and the like), will strengthen the TAU R&D program. This program will serve as the basis for project preparation, evaluation, programming, and budget allocation. It also includes projects to be supported by funds from DA-RFO3, DOST-PCAARRD, DOST-PCIERRD, DOST-PCHRD, DA-BAR, DA-BAI, CHED, NEDA, SEARCA, DA-ATI, DTI, USAID-STRIDE, SMFI-BMEG, and other funding sources both local and foreign.

Section 2 Enhancing Commercialization of Matured Technologies

Continuing efforts of assessing needs and existing technologies, establishing or piloting research projects that will serve as the show window of the university, and commercializing mature technologies will make possible smooth flows in the technology transfer and avoid costly mistakes in promoting inappropriate technologies. It is necessary to verify and validate existing technologies based on general adaptability, economic profitability, social acceptability, environmental safety, and the potential availability of support services.

Section 3 Establishing and Enhancing Linkages/Networking

Tie-ups and linkages with national and international organizations and institutions, local government units (LGUs), private businesses and industry sectors, and non-governmental organizations to provide financial support, technical assistance, and data and information sharing have been established and will be broadened and strengthened.

Section 4 Publication of Research Outputs

Providing financial support and a platform for publishing the scholarly works of the researchers in an ISI, Scopus, or Thomson Reuter-indexed Web of Science (WoS), or ASEAN Citation Index and CHED-JIP accredited refereed journal to broaden the dissemination of the research outputs and ensure high quality research and professional intellectual exchange.

Section 5 Rendering the Matured Technologies for Intellectual Property Rights

Acquiring patents, utility models, trademarks, copyrights, industrial designs, and other IPR applications and registrations of generated technologies towards industry adoption and commercialization will uplift the lives of the target customers or users.

Section 6 Upgrading of R&D Facilities

Upgrading, modernizing, and purchasing state-of-the-art facilities will make R&D more efficient, effective, and responsive to the needs of the service clientele.

Section 7 Human Resource Development

An adequate, competent, and capable manpower directly involved in research and development activities is organized and continuously trained and developed.

Section 8 GAD-Sensitive Research

A GAD sensitive research mainstreams gender as an important variable in the conduct of research in science and allied fields, social science, business and entrepreneurship, engineering, education.

Section 9 International Research Partnerships and Sustainable Development Goals

Research at TAU recognizes the importance of internationalization through research collaboration, networking, and partnerships. It underscores research that involves public-private partnerships, transnational multi-stakeholder partnerships, and institutional partnerships in attaining sustainable development goals and other international metrics. All international research initiatives and activities are aligned in the provisions stated in the CHED Memorandum Order 55 s. 2016

ARTICLE 2 STRATEGIES OF IMPLEMENTATION

- a. Participate in identifying regional research priorities that should be integrated with national agricultural programs and bring these to the attention of policy-making bodies such as DOST-PCAARRD, DOST-PCIEERD, DOST-PCHRD, DA-BAR, DA-RFO3, PhilRice, CHED, and NEDA, as well as other stakeholders like the local government units (LGUs), private business and industry sectors, and non-governmental organizations.
- b. Conduct a study on the socio-economic and cultural research of the region to better understand the problems and impacts of agro-industrial production and rural communities and explore their social, cultural, and economic significance and diversity
- c. Mainstream gender and development through the lens of research and development
- d. Integrate student research into the overall research program of the university.
- e. Develop a system of documentation of research activities, publication, and dissemination of research results, and provide for the exchange of information among agencies in the region, the country, and the ASEAN community.
- f. Conduct regular conferences and interactions among researchers and extension workers to integrate research programs with extension programs.
- g. Formulate and regularly update a research agenda on priority areas that will serve as a reference in preparing proposals for implementation in crops, livestock, forestry, engineering, information and communication technology, social science research, veterinary medicine, alternative sources of energy, food and feed processing, and the like.
- h. Conduct a regular in-house research in-house review as an evaluation activity and document the research outputs and outcomes.
- i. Monitor and evaluate research activities regularly to minimize problems in their implementation and completion.
- j. Maintain and improve technical laboratories and services to cater to the needs of researchers in the academe, government and non-government institutions, and entrepreneurs and industries.
- k. Coordinate closely with other research agencies and researchers in Central Luzon, in the country, and with ASEAN partners and beyond.
- l. Generate and coordinate interdisciplinary research programs among researchers and partner agencies.
- m. Establish linkages and partnerships with local, national, and international funding agencies and research institutions.

- n. Endorses matured technologies generated by the university for the TAU Agri-Food Technology Business Incubation Hub (TAU-AFTBIH) and the ITSO for incubation, IP protection, technology transfer, and commercialization.
- o. Establish quality management systems and policies for an efficient and effective delivery of service to internal and external clients.
- p. Establish university research ethics office that promotes high academic integrity through the responsible conduct of research.

CHAPTER VII

RESEARCH FACULTY DEVELOPMENT PROGRAM (RFDP), POLICIES AND GUIDELINES, AND SERVICE STANDARDS

ARTICLE 1 FUNDAMENTAL PROVISIONS

The DRD shall be the leading unit to guide and provide assistance to faculty researchers in performing one of its mandated fourfold functions: research domain. Faculty members are encouraged to conduct substantial research anchored to the research and development agenda of the university.

TAU is mandated to perform functions in the area of research that specifically address the emerging needs for sustainable agriculture, food security, climate change, resiliency and adaptation, and community development. In response, the DRD of the university enjoins faculty members and staff to foster enthusiasm in research and development, develop collaborative efforts, establish network and linkage, promote partnership, and promote excellence in research in pursuit of expanding knowledge, searching for novelty, generating and verifying technology, and ultimately translating technologies that have significant economic, societal, cultural, and environmental impacts.

The research undertakings of the faculty must be aligned with the research agenda of the colleges as they are anchored in the research thrusts and priorities of the university and are identified as priorities to be considered for funding and/or based on the statutory requirements (Board Resolutions) of granting financial assistance.

The release of the budget shall be based on the approved line-item budget that is reflected in the work and financial plans. In addition, the release of the financial assistance or cash incentive is subject to the availability of funds. COA rules shall be observed in the case of liquidation.

There must be a continual improvement in the delivery of services by the DRD to its clientele, as well as in the conduct of research and its appended duties and responsibilities.

ARTICLE 2 RESEARCH FACULTY DEVELOPMENT PROGRAM (RFDP)

The Research Faculty Development Program (RFDP) of TAU provides financial support for faculty research undertakings such as: (1) an approved research proposal for internal funding; (2) master's thesis/dissertation financial assistance; (3) a paper presentation; (4) a paper publication in a refereed journal that is indexed in the ISI Scopus/Thomson Reuter, WoS, ASEAN Citation index or CHED Accredited Journals, etc. (5) Intellectual Property Rights (IPR) grant for generated technologies; (6) external research fund generation; (7) processing fee for paper publication; (8) Best Paper Award; and (9) Best Poster Award.

The appropriation of financial assistance to project proposals for internal funding depends on the scope and nature of the study and is subject to the availability of funds. For research proposals that are submitted for external funding, the DRD facilitates the endorsement by the head of the institution. In addition, the FDP also provides research unit equivalence to faculty for conducting research. The FDP funds basic and applied research projects in the fields of agriculture and forestry, natural sciences, veterinary and animal sciences, social sciences, engineering and information technology, business management and entrepreneurship, economics, education, and psychology.

ARTICLE 3 FACULTY QUALIFICATION AND ELIGIBILITY

Section 1 Research Proposal Grant

- a. A research grant is awarded to academic faculty members. Both permanent and temporary faculty members may qualify as principal proponents or co-proponents of research projects.
- b. A faculty member under contract of service may qualify as a co-proponent upon the recommendation of the dean. In this case, the duration of the grant should not go beyond the term of their appointment or probation.
- c. Retiring faculty members may qualify as proponents, but the duration of the grant should not go beyond the date of their retirement.

Section 2 Thesis/Dissertation Grant

- a. A thesis/Dissertation grant is awarded to a faculty member with permanent or temporary status and to non-teaching personnel who are pursuing their graduate studies.
- b. The grant requires that the applicant be enrolled in a thesis or dissertation course.
- c. The grant should be approved by the university president through the recommendation of the Human Resource Development Committee
- d. The applicant must have a permit to study.
- e. The applicant must have an approved research outline that is aligned with the research agenda of the university.

Section 3 Financial Assistance for Paper Presentation

- a. The monetary assistance for paper presentations is awarded to faculty members with permanent or temporary status.
- b. The research paper to be presented is enlisted in the database of the DRD six (6) months prior to the date of presentation and is funded by the university and/or by an external funding agency.
- c. The conference or symposium should not be included in Beall's list of predatory conferences or symposium.
- d. The research paper is evaluated and endorsed by the DRD.
- e. The application is approved by the university president upon recommendation of the VP RET

Section 4 Financial Assistance for Paper Publication

- a. Assistance for paper publication is awarded to faculty member(s) with permanent or temporary status who have published their paper in an ISI Scopus, Thomson Reuters-indexed journal, WoS/Clarivate, ASEAN Citation Index, or a CHED accredited journal.
- b. The research paper is evaluated and endorsed by the DRD.
- c. The research is listed in the database of the DRD six (6) months prior to the date of submission for publication.
- d. The application is approved by the University President upon recommendation of the VP RET

Section 5 Financial Assistance for Patent, Utility Model, Trademark, and any other related Intellectual Property Rights

- a. The incentive for IPR is awarded to faculty member(s) with a permanent or temporary status who have garnered utility model, trademark, patent, and any other related intellectual property rights for their invention(s)
- b. The TAU-ITSO evaluates the application, and the DRD approves it.
- c. The application is approved by the university president upon recommendation of the VP RET

Section 6 Cash Incentives for Best Paper and Best Poster Award

- a. The incentive is given to faculty members who win the best paper or poster at local, regional, national, or international forums, symposiums, or conferences.
- b. The research is enlisted in the DRD database six (6) months prior to the date of submission.
- c. The research paper is evaluated and endorsed by the DRD.
- d. The application is approved by the university president upon recommendation of the VP RET

Section 7 Cash Incentives for Publication

- a. The incentive is awarded to faculty member(s) who have published in national and international Scopus, WoS/Clarivate, ASEAN Citation Index or a CHED accredited journal.
- b. The research paper is evaluated and endorsed by the DRD.
- c. The application is approved by the University President upon recommendation of the VP RET.

ARTICLE 4 TYPES OF RESEARCH PROPOSALS

Research proposals are categorized as basic or applied. Basic research, according to DOST guidelines, refers to fundamental research that involves experimental or theoretical work undertaken to acquire new knowledge with or without specific application in practice. On the other hand, applied research involves an original investigation with a practical goal or objective.

ARTICLE 5 TYPES OF RESEARCH FINANCIAL ASSISTANCE

Under the RFDP, nine (9) different types of financial support for research are given to faculty researchers. These are (1) internal funding of the approved research proposal; (2) financial assistance for the master's thesis or dissertation; (3) financial assistance for the paper presentation; (4) financial support and incentive for the paper publication; (5) cash incentive for patents, utility models, trademarks, and any other related intellectual property rights; (6) incentive for fund generation from an external agency; (7) incentive for the best paper award; (8) incentive for the best poster award; and (9) financial assistance for the processing fee for publication. In addition, the program also covers facilitative support in evaluating, endorsing, and monitoring the research proposal for external funding. The granting of the assistance by the university is facilitated by the DRD. On top of the monetary incentives, the RFDP also provides technical assistance and other services, such as research unit equivalence and mentoring.

Section 1 Internal Funding of Research Proposal

The university provides financial assistance to proponent(s) who submit research proposals that are aligned with the research thrusts and priorities of the university. The amount to be granted depends on the nature and scope of the project or study and the requested budgetary requirements that are based on a relevant and appropriate line-item budget.

Section 2 Financial Assistance for Paper Presentation

The university provides financial assistance to proponent(s) who present his/her research output at international forums, conferences, and symposiums. For international forums, conferences, and symposiums conducted abroad, 50% of the actual cost, not to exceed thirty thousand pesos (Php 30,000), is given pursuant to BOT Resolution No. 60, s. 2010. The University also provides financial support to faculty and staff who attend or participate in

local, regional, or national forums, conferences, or symposiums, either in the form of a paper presentation or training.

Section 3 Financial Assistance for Publication Processing Fee and Cash Incentive for Paper Publication

The university provides financial incentives (Php 30,000 and 20,000) to proponent(s) who publish his/her research output in an international or national refereed journal, respectively, that is indexed in ISI Scopus/Thomson Reuters, WoS/Clarivate, or in CHED-accredited journals (Board Resolution No. 62, s. 2015). Additionally, a financial assistance at cost not to exceed Twenty Thousand Pesos (Php 20,000) is awarded to a researcher(s) for the processing fee of his/her international refereed publication, which is enshrined in BOT Resolution No. 63, s. 2015.

Section 4 Financial Assistance for Thesis/Dissertation Writing

The University provides cash incentives (Php 40,000 and 60,000) to both faculty and non-teaching personnel who write his/her thesis and dissertation, respectively (Board Resolution No. 50, s. 2012).

Section 5 Financial Assistance and Cash Incentive for Patents, Utility Model and Trademark

The University provides financial assistance and incentives to proponents whose generated technology is awarded a patent, trademark, and utility model in pursuance of BOT Resolution No. 60, s. 2015, which is revised in BOR Resolution No. 48, s. 2021, the latter resolution has changed the amount of incentive for the utility model from 30,000.00 to 25,000.00, the trademark from 25,000.00 to 20,000.00, and the patent from 20,000.00 to 30,000.00.

Category	Amount (Php)
Patent	30,000.00
Utility Model	25,000.00
Trademark	20,000.00

Section 6 Cash Incentive for Fund Generation from Sponsoring Agencies

The university provides a cash incentive to faculty who generate funds from sponsoring agencies for his/her approved research proposals. The provision of the incentive is based on BOR Resolution No. 65, s. 2015. The cash incentive is appropriated as follows:

Generated Fund Range in Peso	Amount of Incentive (Php)
100,000.00 - 499,999.00	3,000.00
500,000.00 - 999,999.00	5,000.00
1,000,000.00 – 1,499,999.00	7,000.00
1,500,000.00 or greater	10,000.00

Section 7 Cash Incentive for Best Paper Award

The university provides cash incentives to faculty who garner Best Paper for his/her research paper presentations in local, regional, national, and international forums, symposia, and conferences. The granting of incentives is articulated in BOR Resolution No. 61, s. 2015. The cash incentive is appropriated as follows:

Category	Amount (Php)
Local	5,000.00

Regional	10,000.00
National	20,000.00
International	30,000.00

Section 8 Cash Incentive for Best Poster Award

The university provides a cash incentive to faculty who garner the Best Poster Award for his/her research poster presentations in local, regional, national, and international forums, symposiums, and conferences (BOR Resolution No. 64, s. 2015). The cash incentive is appropriated as follows:

Category	Amount (Php)
Local	3,000.00
Regional	5,000.00
National	7,000.00
International	10,000.00

Section 9 Cash Incentive for Publication

The university provides cash incentives to faculty who publish his/her research papers in a refereed research journal indexed in ISI Scopus, Thompson Reuters, WoS or Clarivate, ASEAN Citation Index or in CHED accredited journals, either in a national or international circulation. The incentive shall be given to the researchers who follow the implemented rules and regulations as per BOR Resolution No. 57, s. 2022. The cash incentive is appropriated as follows:

Category	Amount (Php)
National	20,000.00
International	30,000.00

ARTICLE 6 EXTERNAL FUNDING OF RESEARCH

Section 1 Description of External Funding

External funding refers to the financial assistance provided by the funding agencies to successful applicants who have met the requirements of the funding agency. External research funding is categorically made available by a variety of sources, such as government agencies, non-profit organizations such as foundations and public charities, and the business industry. The awarding of the external fund hinges on a competitive project-based research funding system. The availability of this fund is a way the university diversifies its funding stream to fully support its research activities.

Section 2 List of Funding Agencies and Their Thrusts and Priorities

A compelling trend in the shift of universities from a model of allocating their internal sources to support their research activities to a model of competing for external funds is becoming empirically evident. Thus, funding agencies play a key role in assisting universities in achieving productivity, relevance, and sustainability by identifying and recognizing the full cost of their research activity.

The following is the list of funding agencies to which the Research Agenda of TAU is anchored.

- Department of Agriculture Regional Office 3 (DA-RFO3),

- Department of Science and Technology – Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development (DOST- PCAARRD),
- Department of Science and Technology – Philippine Council for Industry, Energy and Emerging Technology Research and Development (DOST- PCIERRD),
- Department of Science and Technology – Philippine Council for Health Research and Development (DOST- PCHRD),
- Department of Science and Technology – National Research Council of the Philippines (DOST-NRCP)
- Department of Science and Technology – National Academy of Science and Technology, Philippines (DOST -NAST PHL)
- Department of Agriculture – Bureau of Agricultural Research (DA-BAR),
- Department of Agriculture - Bureau of Animal Industry (DA-BAI),
- Commission on Higher Education (CHED),
- National Economic Development Authority (NEDA),
- USAID- Science, Technology, Research and Innovation for Development (USAID- STRIDE)
- San Miguel Foods Inc. – BMEG Distribution Unit (Animal Diagnostic)
- SEARCA - Southeast Asian Regional Center for Graduate Study and Research in Agriculture

The thrusts and priorities of these funding agencies mainly evolve in;

- | | |
|--|---|
| • agriculture, aquaculture, and food security, | • human resource development, |
| • environment, global climate change and disaster risk management, | • sustainable communities, |
| • water management and sanitation, | • countryside development, |
| • socioeconomic growth, | • competitive industry, |
| • national technology commercialization program, | • delivery of social services, |
| • indigenous plants for health and wellness, | • national security, |
| • biofuels and feedstock, | • electronic and semiconductor industries, |
| • biotechnology, | • mining and materials, |
| • economic growth and trade, | • metals and engineering, |
| • education, | • food processing, |
| • gender equality and women empowerment, | • energy efficiency, |
| • community-based participatory action research, | • transportation, |
| • democracy, human rights, and governance, and | • nanotechnology, |
| • international collaborations. | • genomics/ biotechnology, |
| • rural development, | • space technology applications, |
| • climate resiliency, | • artificial intelligence, |
| • global health and stability, | • data science, |
| • anti-corruption, | • creative industries, |
| • urban development, | • drug discovery and development, |
| • digital technology/ information and communications technology, | • re-emerging and emerging infectious diseases, |
| • dynamic innovation ecosystem, | • OMIC technologies for health, |
| • peace process and conflict resolution, | • biomedical devices engineering for health, |
| • pollution control, | • diagnostics, |
| • business and trade, | • digital and frontier technologies for health, and |
| • shelter, transportation, and infrastructure, | • mental health |
| • blue economy, | |

Section 3 External Funding of Research Proposal

The funding agencies award financial assistance to the successful applicant after the final vetting of the submitted research proposal. The research grant depends on the amount requested by the applicant, provided that it does not exceed the research grant offered by the funding agencies. The research fund varies depending on the type of grant, funding agency, and extent of importance, urgency, and coverage of the project.

Section 4 Application Procedures and Requirements

Procedures and requirements for applying for project-based funding for research are almost common among the funding agencies. Foremost, the funding agency announces a call for proposals. The call depends on the banner programs/projects of the funding agency. Applicants are required to submit a capsule proposal that is anchored in the thrusts and priorities of the funding agency and follows the funding agency's format, submission system or platform, executive summary, introduction, significance of the study, methodology, and deadline. The capsule proposal must contain the critical elements necessary for vetting. These include the work plan, logical framework, and financial plan. A curriculum vitae of the team members is also required as a basis for establishing the credibility and capacity of the researchers to implement the project. The endorsement of the HEI president by the funding agency is also required to ensure that HEI commitment is established and warranted.

ARTICLE 7 GENERAL GUIDELINES AND POLICIES FOR EVALUATING THE RESEARCH FACULTY DEVELOPMENT PROGRAM

The DRD sets implementing guidelines and policies for evaluating the RFDP of the university in order to achieve a quality management system in which there will be orderliness, accuracy, continual improvement, and utmost customer satisfaction. This includes, but is not limited to setting evaluation criteria for all the services of the department, rendering equivalent teaching loads, providing an ethical review of research proposals, application and processing procedures, and control measures. By implementing rules and guidelines, the DRD can be efficient and effective on a continuous basis in meeting the clientele's satisfaction as well as the regulatory requirements.

Section 1 Evaluation Criteria of Approving Project Proposals for Funding

- a. A project may be approved if:
 1. The project or study is aligned with the research thrusts and priorities of the university;
 2. the project will result in publication;
 3. the project will result in a publishable and/or potential application to any IPR;
 4. the project will have an impact on and make a contribution to improving instruction and processes in service delivery at the university, ultimately improving the quality of life of the people;
 5. new knowledge will be explored and will contribute to advancing the different fields or areas of specialization; and
 6. the research proposal will be endorsed by the ITSO.
- b. The research proposal shall be rated by the Research Technical Evaluation Committee as follows:

Criteria	Percentage
Novelty/Originality of Work	20
Appropriateness of Methodology/Technical Presentation	20
Potential for Intellectual Property Rights application (Patent, Utility Model, Trademark,	20

and other related IPR) Patenting of Technology Transfer or Commercialization	
Potential for Publication/Presentation	20
Gender and Development Sensitivity	20
Total	100

- c. The research proposal with a rating of 85% and above shall be endorsed for approval by the Director of the DRD
- d. The proponent should have the expertise and capability to undertake and complete a research project
- e. If the major proponent or principal investigator has an ongoing (on schedule or delayed) or deferred project, and he/she proposes a new one, approval of the new project will be deferred until the earlier project is completed.
- f. A proponent is granted a maximum of two internally funded projects/studies at one time
- g. The researcher shall observe and follow the procedure in the application and processing of the request, including the Process Cycle Time (PCT) set by the DRD in reference to the request for financial assistance on the research proposal. (See Appendix A. Annex 1 and 2)

Section 2 Evaluation Criteria of Thesis/Dissertation Writing for Funding

- a. A Master's thesis or dissertation may be endorsed for funding if:
 1. the faculty member is enrolled in his/her Master's thesis or dissertation course;
 2. the thrust of the thesis or dissertation proposal is aligned with the research agenda of the University;
 3. the thesis/dissertation proposal had been presented, evaluated, and approved by the Research Technical Evaluation Committee (RTEC);
 4. the research is listed in the DRD database prior to the conduct of the study;
 5. the research manuscript has been evaluated for ethics, the Test for Similarity Index (TeSI), and IPR potential of the technologies and creative works that generated clearance; and
 6. the research will result in publication or presentation at scientific symposia, forum, or conferences as research output.
- b. The faculty member shall submit a revised copy of his/her research proposal based on the comments and suggestions of the RTEC to the DRD.
- c. The faculty shall strictly observe and follow the procedures of application and the PCT set by the DRD with regard to the request for funding for thesis/dissertation writing.

Section 3 Evaluation and Criteria of Approving Paper Presentation for Financial Assistance

- a. A research paper that is accepted for presentation in local, regional, national, or international symposia, forums, or conferences is endorsed for funding if:
 1. The thematic focus of the research paper is aligned with the research agenda of the university;
 2. the research has been in the DRD database for at least six months before the date of the presentation; and/or
 3. The project or study is funded by the university and/or by external funding agencies; and
 4. The application has been endorsed by the DRD Director and VPRET and approved by the university president.
- b. The researcher informs the DRD of his/her intention of to presenting his/her accepted paper by submitting the accomplished Request for Paper Presentation Form (TAU-DRD-QF-23), which is available in the R&D office or can be downloaded from the TAU website.

- c. The DRD Research Technical Evaluation Committee evaluates the paper based on the set criteria.
- d. The researcher must observe and adhere to the process in the application and processing of the request to the observance of the Process Cycle Time (PCT) set by the DRD in (See Appendix A. Annex 4)

Section 4 Evaluation Criteria of Granting Financial Support for Paper Publication

- a. A research manuscript that is accepted for publication may be endorsed for financial support and incentives if the journal is indexed in ISI, Scopus, Thomson Reuter, WoS/Clarivate, or CHED accredited journals.
- b. The research has been listed in the database of the DRD for at least six (6) months prior to the publication date.
- c. The author(s) submits the information about his or her paper publication to the DRD by submitting the accomplished Request for Publication Support form (TAU-DRD-QF-22) which is available in the R&D office or can be downloaded from the TAU website.
- d. The accomplished Request for Publication Support form (TAU-DRD-QF-22) must be endorsed by the College Research Coordinator and the College Dean.
- e. The researcher shall strictly observe and follow the procedure of application and the PCT set by the DRD with regards to the request for funding support and incentives for paper publication. (See Appendix A. Annex 5)

Section 5 Evaluation Criteria of Granting Financial Support and Incentive for Utility Model, Trademark, Patents and other related IPR

- a. A faculty who has generated technology that has earned certification and/or registration numbers for patent, utility model, trademark, and any related IPR may be endorsed for incentive if:
 - 1. the technology or research output is duly registered by the Intellectual Property Office of the Philippines (IPOPHL) and other certifying agencies; and
 - 2. the inventor, author, or creator submits a certification or registration ID number of executive rights to his/her invention or creation to the ITSO.
- b. The author(s) shall inform the DRD-ITSO of his/her invention or authorship by submitting the accomplished Request for Incentive for IPR Award form (TAU-DRD-QF-20), which is available in the R&D office or can be downloaded from the R&D website.
- c. The ITSO Chief and the DRD Director approve the incentive based on the financial assistance and incentive for IPR stipulated in BOT Resolution No. 60, Section 2015.
- d. The researcher must strictly observe and adhere to the application procedure and the PCT outlined by the DRD with regard to the request for financial assistance on IPR.

Section 6 Evaluation Criteria of Granting of Incentive for Best Paper Award

The researcher who garners the Best Paper Award for presenting his/her paper in the local, regional, national, international for a or symposia may be endorsed to receive the incentive if:

- a. the researcher(s) shall present an approved request for a paper presentation, certificate of recognition, invitation to present, program, and copy of his/her paper to the DRD as an attachment to the approved Request for Incentive of Best Paper Award form (TAU-DRD-QF-17), which is available in the office of R&D or can be downloaded from the TAU website;
- b. the title of the winning paper is enlisted in the database of the DRD six (6) months prior to his/her presentation; and

- c. the researcher shall strictly observe and follow the procedure of application and the PCT set by the DRD governing the request for the incentive for the Best Paper Award. (See Appendix A. Annex 3)

Section 7 Evaluation Criteria of Granting Incentive for Best Poster Award

The researcher who garners Best Poster Award for presenting his/her paper in the local/regional/national/international fora/symposia may be endorsed to receive the incentive if:

1. the researcher(s) shall present the approved request for poster presentation, certification of recognition, invitation to present, program, and soft copy of his/her poster to the DRD as an attachment to the approved Request for Incentive of Best Poster Award form (TAU-DRD-QF-18), which is available in the office of R&D or can be downloaded from the TAU website;
2. the title of the winning poster is enlisted in the database of the DRD six (6) months prior to the event date; and
3. the researcher shall observe and follow the procedure of application and PCT set by the DRD with regard to the request for incentive on the Best Poster Award.

Section 8 Evaluation Criteria for Granting of Incentive for Fund Generation

The researcher who generates funds from sponsoring agency(ies) may be endorsed to receive the incentive if:

1. the researcher(s) submits an approved Request for Incentive of Fund Generation form (TAU-DRD-QF-19), which is available in the DRD or can be downloaded from the TAU website;
2. the researcher(s) shall present an approved letter of the funding agency, official receipt of the fund from the cashier's office, a Memorandum of Agreement/Understanding (MoA/MoU), and copy of the approved proposal to the DRD;
3. the title of the research is enlisted in the database of DRD; and
4. the researcher shall strictly observe and follow the procedure of application and the PCT set by the DRD.

Section 9 Evaluation Criteria for Granting of Incentive for Publication

- a. Research paper for publication shall be evaluated by the Research Technical Evaluation Committee (RTEC) or its equivalent to determine if the paper meet the minimum requirements for the granting of incentives as follows:
 1. research papers shall be published in refereed journals accredited by CHED, or any refereed journal indexed by reputable indexing institutions like ISI, Scopus, Thomson Reuters, Clarivate Analytics, or the ASEAN Citation Index;
 2. the incentive grant only covers publication in reputable journals with ISSN numbers; and
 3. published papers must include the name of Tarlac Agricultural University as the requesting author's affiliation.
- b. Research papers published in journals, including those by their publishers labeled "predatory" by recognized organizations like Beall's or Cabell's List, shall not be entitled to the incentive.
- c. The principal (first) or corresponding (last) author of published papers shall be given full incentive upon meeting all the qualifications stated in the first criteria.
- d. In case of co-authorship, the following rules shall apply:
 1. if the TAU proponent or author is either the adviser or contributor to the student who published his/her research work and his/her name is reflected in the published manuscript as a co-author, 50% of the incentive shall be given;

2. if the TAU proponent/author is the sole main or corresponding author in a group of researchers from other local or foreign institutions who have worked on collaborative research and published their research manuscript, the incentive shall be given in full to the TAU author, provided that either the sole or one of the reflected affiliations of the co-author is Tarlac Agricultural University;
3. if the TAU proponent or author is the sole co-author in a group of researchers from other local or foreign institutions who have worked on collaborative research and published their research manuscript, 50% of the incentive shall be given to the TAU author, provided that either the sole or one of the reflected affiliations of the co-author is Tarlac Agricultural University;
4. in cases where multiple TAU proponents or authors are in a group of researchers from other local or foreign institutions who have published their research manuscript, the incentive shall be equally divided among all TAU authors, provided that either the sole affiliation or one of the reflected affiliations of the co-authors is Tarlac Agricultural University; and
5. in cases where all authors of the published manuscript are faculty researchers and/or research staff of TAU, the incentive shall be divided among the authors of the scientific paper, with 50% going to the main author. The remaining incentive will be equally divided among the other co-authors.

Section 10 Evaluation Criteria for Katangi-Tanging Guro sa Larangan ng Pananaliksik

1. Project Proposal Approved and/or On-Going

1.1	Program	15
1.2	Project	10
1.3	Study	5

note: accumulated as long as max of 20 points only

2.1. Research Conducted/ Completed

2.1.1	Program	15
2.1.2	Project	10
2.1.3	Study	5

note: accumulated as long as max of 20 points only

2.2 Number of clientele that adopted our technology

5 adopters	1
10 adopters	2
15 adopters	3
20 adopters	4
>20 adopters	5

note: accumulated as long as max of 5 points only

3. Awards Received

Local	3
Regional	5
National	7
International	10

note: accumulated as long as max of 10 points only

4. Publication

4.1 International	
Refereed	10
Non-Refereed	7
4.2 National	
Refereed	5
Non-Refereed	3

note: accumulated as long as max of 10 points only

5. Advisory

5.1 Chairman	
Graduate	5
Undergraduate	3
High school	1
5.2 Member	
Graduate	3
Undergraduate	2

note: accumulated as long as max of 5 points only

6. Inventions

6.1 Patent	15
6.2 Utility Model	10
6.3 Industrial Design	8
6.4 Trademark	5
6.5 Copyright	2

note: accumulated as long as max of 15 points only

7. Paper Presentation

7.1 Local	2
7.2 Regional	5
7.3 National	7
7.4 International	10

note: accumulated as long as max of 10 points only

8. Fund Generation

9.1 1M below	1
9.2 2M but not below 1M	2
9.3 3M but not below 2M	3
9.4 4M but not below 3M	4
9.5 5M and up	5

note: accumulated as long as max of 5 points only

A nominee must obtain at least 80 points to be considered as an awardee, otherwise he/she will remain a nominee for the Katangi-Tanging Guro sa Larangan gg Pananaliksik.

ARTICLE 8 GENERAL GUIDELINES AND POLICIES ON THE APPLICATION AND PROCESSING PROCEDURES ON THE SERVICES OF THE DRD

Section 1 Procedural Details for the Application and Evaluation of Internal Funding, Monitoring and Terminating, and Utilizing of Research Proposals

- The proponent submits the research proposal (TAU-DRD-QF-01) to the College Research Coordinator attaching the Ethical Clearance Certificate (TAU-DRD-QF-36) (see SP in the Research Ethics Review Process (TAU-DRD-SP-02).
- College Research Coordinator and College Dean endorses the proposal and forwards it to the Department of Research and Development Office (DRD).
- DRD Director conducts a pre-evaluation of the proposal and reviews the content of the proposal to determine if it is aligned with the commodity thrust priorities of the university and the R&D Agenda. The DRD Director selects the appropriate evaluator, otherwise, the proposal shall be returned for revision and resubmission (PCT – 1 working day).
- DRD Staff schedules the date and venue of the evaluation and sends an invitation to the UREC (TAU-DRD-QF-02) and a Notice to Present to the proponent (TAU-DRD-QF-03).
- The proponent presents the proposal to the URC and the review committee comments and suggests changes in accordance with the checklist requirements and ethical standard for responsible conduct of research. (TAU-DRD-QF-04).

- f. DRD Staff consolidates the comments, suggestions, and results of the evaluation, (TAU-DRD-QF-05) and furnishes the proponent with a copy.
- g. The proponent incorporates the comments and suggestions of the URC and attaches the Proof of Correction Form (TAU-DRD-QF-06) and Revised Research Proposal (TAU-DRD-QF-07) to submit to the evaluators for checking.
- h. The evaluators validate the integration of their comments and suggestions. When satisfied, the evaluators signs the document and forwards it to the DRD. Otherwise, return the paper to the proponent to incorporate the missing items.
- i. The evaluators and the DRD Director endorse the proposal for funding (TAU-DRD-QF-08).
- j. The Chief Accountant certifies the availability of funds (or TAU counterpart) for the proposal, signifies it, and forwards it to the Vice President for Finance and Administration (VP-FA) for approval of funding.
- k. The VP-FA and Vice President for Research, Extension & Training (VP-RET) recommends the research proposal for approval.
- l. The university president approves the proposal for internal funding, otherwise disapproves the proposal.
- m. The proponent and the DRD Director sign a service contract (TAU-DRD-QF-10) to formalize the agreement in the conduct of research.
- n. The DRD staff processes the release of funds.
- o. The DRD director writes a letter to the university president for the release of the Notice to Proceed (NTP).
- p. The university president releases NTP as an indicator for the researcher to conduct the research.
- q. Upon receipt of the NTP the researcher starts the conduct of research.
- r. The proponent shall submit a monthly accomplishment report (TAU-DRD-QF-11) reflecting the percentage accomplished based on the target activities anchored in the approved workplan.
- s. The DRD Director conducts a performance evaluation of the project based on the targeted outputs in the proposal.
- t. The VP-RET signs the noted part of the accomplishment report.
- u. The university president signs the acceptance of project deliverable and outputs.
- v. DRD conducts ocular inspection using the TAU-DRD-QF-12 Ocular Inspection Form for research projects. The department conducts special ocular inspections when needed.
- w. If the project can be completed in the scheduled timeframe, the researcher shall submit a Request for Extension of Research or Project (TAU-DRD-QF-13).
- x. The researcher submits a well-packaged terminal report (TAU-DRD-QF-14).
- y. The researcher shall present the completed research to the Annual Agency In-House Review organized by the university and/or regional symposium.
- z. The researcher integrates the comments and suggestions of the evaluator.
- aa. The research shall be presented in research forums, published, registered for IPR, whichever is applicable.

Section 2

Procedural Details for the Research Ethics Review Process

- a. The proponent submits the Application for Research Ethics Review Form (TAU-DRD-QF-34).
- b. For undergraduate and graduate thesis and dissertation, the adviser signs the declaration of ethical consideration. For internally and externally funded research, step no. 2 shall be skipped.
- c. The DRD staff registers the application in the database, assigns an ID number, and initially inspects the completeness of the documents submitted. If the application has complete attachments, the DRD schedules the review by the University Research Ethics Review Committee (URERC) or prepares the Endorsement of Research Ethics (TAU-DRD-QF-35) for signature. Otherwise, the DRD informs the applicant of the lacking documents.

- d. The URERC reviews the contents of the application and decides the status of the application as follows:
 1. Approved
 2. Minor modifications required
 3. Major modifications require
 4. Disapproved
- e. If the decision of the committee members on the research is approved, the research is endorsed to the DRD using the Endorsement of Research Ethics (TAU-DRD-QF-03) for the release of the Ethical Clearance Certificate (TAU-DRD-QF-36).
- f. For approved research proposals for internal and external funding, the DRD schedules its evaluation following the process of evaluating research proposals.
- g. For approved undergraduate or graduate thesis/ dissertation, the DRD releases the Ethical Clearance Certificate.
- h. If the decision of the committee members on the research is to make minor or major modifications, the committee sends the suggestions or comments to the DRD to notify the principal author of any necessary action or revisions. Proponents are asked to resubmit their proposal and protocol documents if substantial decisions are required. The committee member provides a rationale for their decision to help the proponent revise his/her proposal. Upon fully satisfying the requirements, the committee members declare that the research is approved for endorsement.
- i. If the decision of the committee members on the research is disapproved, the same sends the suggestions to the DRD, which notifies the PA on the reasons for disapproval. Proposals are disapproved when there are aspects of the study that are unethical or when ethical issues cannot be resolved.

Section 3

Procedural Details for The Endorsement for Incentive

- a. The proponent submits the appropriate request for incentive/ form for the research output.
 1. Best Paper (TAU-DRD-QF-17)
 2. Best Poster (TAU-DRD-QF-18)
 3. Fund Generation (TAU-DRD-QF-19)
 4. IPR (TAU-DRD-QF-20)
 5. Publication (TAU-DRD-QF-21)
- b. College Research Coordinator and the College Dean endorse the paper to the DRD Director.
- c. The DRD Director evaluates the request for incentive and checks the completeness of the documentary requirements. If the request has complete documentary requirements, the DRD Director endorses the proposal. Otherwise, the request is disapproved, and the requestor receives a letter of disapproval. (TAU-DRD-QF-09)
- d. The Chief Accountant certifies the availability of funds for the incentive and checks the correctness of the BOR resolution used, then signifies and forwards it to the Vice President for Finance and Administration for approval.
- e. The VP for Finance and Administration (VP-FA) and VP for Research, Extension, & Training (VP-RET) recommend the paper for incentive.
- f. The university president approves the incentive. Otherwise disapproves the proposal.
- g. The DRD staff processes the release of incentives, and the requestor claims the incentive at the cashier's office.

Section 4

Procedural Details for The Endorsement for Paper Presentation

- a. The requestor submits the request for endorsement of the paper presentation (TAU-DRD-QF-23).
- b. The College Research Coordinator and College Dean endorse the paper to the DRD Director.

- c. The DRD Director evaluates the request for funding and checks the completeness of the documentary requirements. If the request passes the evaluation, the DRD Director endorses the proposal to the VP-RET. Otherwise, the proposal is disapproved, and the requestor receives a letter of disapproval (TAU-DRD-QF-09).
- d. The VP-RET recommends the paper for funding.
- e. The requestor attaches the approved endorsement along with his/her letter of intent addressed to the university president.
- f. The university president approves the request and/or forwards it to HRDC for endorsement. Otherwise, disapproves.
- g. The HRDC evaluates and endorses the request for the approval of the university president.
- h. Upon approval, the requestor proceeds with the paper presentation.
- i. After the conduct of the activity, the requestor submits the documentary requirements (Certificate of Participation) to the DRD and College Coordinator for validation.

Section 5 Procedural Details for Research Publication Support

- a. The proponent submits the request for publication support (TAU-DRD-QF-22).
- b. The College Research Coordinator and the College Dean endorse the paper to the DRD Director.
- c. The DRD Director evaluates the request for publication support and checks the completeness of the documentary requirements. If the request has complete documentary requirements, the DRD Director endorses the proposal. Otherwise, the request is disapproved, and the requestor receives a letter of disapproval (TAU-DRD-QF-09).
- d. The Chief Accountant certifies the availability of funds for the request and checks the correctness of the BOR resolution used, then signifies and forwards it to the Vice President for Finance and Administration for approval.
- e. The VP for Finance and Administration (VP-FA) and VP for Research, Extension, and Training (VP-RET) recommend support for paper publication.
- f. The university president approves the support for paper publication. otherwise disapproves of the request.
- g. The DRD staff processes the release of support.

Section 6 Procedural Details for Request of R&D Files

- a. The proponent submits the accomplished DRD form (TAU-DRD-QF-31).
- b. The DRD Director determines if the document requested is appropriate for the requestor, and if yes, the DRD Director forwards the requested document to the concerned DRD staff. otherwise disapproves of the request.
- c. The concerned staff prepares and releases the document requested.
- d. The requestor receives the requested documents.

Section 7 Procedural Details for Recording of Incoming and Outgoing Documents

- a. The DRD staff receives incoming documents.
- b. The DRD staff encodes the received document in the database, assigns a document number, and writes the number in the document.
- c. The DRD staff records the numbered document in the logbook, including the details and the number of the document. The document is then photocopied for filing.
- d. The DRD staff segregates the document based on whether it is for "signature" or "communication" and places it in the corresponding folder. The folders are submitted to the DRD Director for appropriate action.
- e. The DRD Director determines the appropriate action for the received document(s).
- f. The DRD staff releases outgoing documents and has the receiver sign the logbook (same logbook used for incoming documents) with the recipient's office and name.

Section 8 Procedural Details for Assistance in Filing Intellectual Property Rights Application

- a. The proponent submits the application for assistance in filing the IPR form (TAU-DRD-QF-37) to the Innovation and Technology Support Office (ITSO). The ITSO/DR staff assigns a control number to the application and encodes the information in the database. After which, the application is forwarded to the ITSO chief.
- b. The ITSO Chief assesses (using the same form) the Intellectual Property (IP) potential and conducts prior art and patent searches for the authenticity of the piece of work or product and other pertinent documents.
- c. ITSO notifies the proponent of the status of the work after conducting a prior art and patent search and determines the applicable IP application.
- d. ITSO conducts patent drafting in coordination with the proponent or juridical person.
- e. The ITSO Chief assists in the IP application and registration at IPOPHL with authorization from the proponent.

Section 9 Procedural Details for Testing of Similarity Index Process

- a. All research papers and manuscripts from faculty, staff, and undergraduate and graduate students must be sent to the DRD email (taudrd2@gmail.com) with a request letter for the test for similarity index.
- b. The proponent submits the accomplished TeSI Application Form (TAU-DRD-QF-39) with an attached pdf copy of the manuscript, report, or paper and a clear scanned or screenshot copy of the receipt of payment by the Cashier Office to taudrd2@gmail.com.
- c. The in-charge staff for TeSI registers the application, assigns an ID number, and inspects the submitted documents for completeness. If the attachments are complete, the application will proceed to testing. Otherwise, the applicant shall complete first the lacking documents.
- d. The in-charge staff determines the similarity index using a Turnitin software with the following similarity index:
 1. 25% for the thesis manuscript of the undergraduate students
 2. 20% for the thesis/ dissertation of the graduate student
 3. 20% for the research proposal for external and internal funding
 4. 20% for the terminal reports of program/project/study of both internally and externally funded research or any equivalent reports
 5. 18% for manuscripts intended for paper presentation and publication
- e. If the result does not meet the required percentage similarity index, the in-charge staff for TeSI shall inform the applicant to revise the paper, following another re-test of the revised copy for at least five (5) times.
- f. If the TeSI score meets the minimum percentage requirement, the in-charge staff records the result and sends to the DRD Director for the issuance of the certificate for Similarity Index using the Endorsement of Similarity Index Form (TAU-DRD-QF-41).
- g. The in-charge staff for TeSI records the release of the Similarity Index Certificate (TAU-DRD-QF-40) to the requestee.

Section 10 Procedural Details for External Funding, Monitoring and Terminating and Utilizing of Research Proposals

- a. The researcher submits pertinent documents (copy of the proposal, an approved MOA/MOU, notice to proceed (if any), an official receipt as a proof that the fund was downloaded (if applicable), and other pertinent documents that will validate the approved funding of externally funded research) about his/her approved externally funded research.

- b. The DRD director validates the authenticity of submitted documents. After the validation, the DRD Director writes a letter to the university president for the release of notice to proceed.
- c. The university president releases a Notice to Proceed as an indicator for the researcher to conduct the research.
- d. The researcher starts the conduct of research.
- e. The proponent submits a monthly accomplishment report (TAU-DRD-QF-11) reflecting the percentage accomplished based on the target activities anchored in the approved workplan.
- f. For externally funded research, the accounting staff and Chief Accountant certifies the budget status of the project.
- g. The DRD Director conducts a performance evaluation of the project based on the targeted outputs in the proposal.
- h. The VP-RET signs the noted part of the accomplishment report.
- i. The university president will sign the acceptance of project deliverables and outputs.
- j. DRD conducts ocular inspections using the TAU-DRD-QF-12 Ocular Inspection Form for research projects. The department conducts special ocular inspections when needed.
- k. The researcher determines if the project can be completed in the scheduled timeframe; if not, he/she shall submit a Request for the Extension of Research or Project (TAU-DRD-QF-13)
- l. The researcher submits a packaged Terminal Report (TAU-DRD-QF-14) to the funding agency and to the DRD.
- m. Completed research shall be presented to the Annual Agency In-house Review organized by the university or other fora.
- n. The researcher integrates the comments and suggestions of the evaluator.
- o. The research shall be presented in research fora, published, registered for IPR, whichever is applicable.

ARTICLE 9 RESEARCH UNIT EQUIVALENCE

Section 1 Research Equivalent

The approved and implemented research projects within the time frame require a maximum of six workloads, subject to the submission of work output. The workload is categorically distributed as follows:

One research study	3
One research project	4
One research program	6

In cases of team research, the workload is divided equally among the members except when the team submits an agreed-upon point-sharing scheme.

Section 2 Criteria and Point System for Validating and Crediting Research Equivalent Teaching Load (ETL)

The total number of ETL for research is awarded at the end of every semester upon submission of an accomplishment report to the College Dean and the DRD Director for validation as per Administrative Council Resolution No. 092, s. 2022.

Basic Research Requirement			
ACCOMPLISHMENTS	POINTS EARNED	ETL	SUPPORTING DOCUMENTS
Prepared and submitted DRD-evaluated proposal for internal funding (<i>maximum of 2 proposals</i>)	1.5	1.5	Copy of the submitted Research Proposal with proof of endorsement to the TAU President

Prepared and submitted DRD-endorsed proposal for external funding (<i>maximum of 2 proposals</i>)	2.0	2.0	Copy of the submitted Research Proposal with proof of endorsement to funding agency
Additional Points/Plus Factor			
Implemented/conducted an approved research program/project/study (<i>maximum of 2 program/projects</i>)	2.5	2.5	Copy of the Approved Proposal and MOA/Notice to Proceed
Has on-going approved research (<i>maximum of 2 on-going research</i>)	2.5	2.5	Certification from the DRD that the program/project is on-going
Published research article in line with research agenda/sustainable development goals (<i>maximum of 6 points may be earned</i>)			Copy of published article, copy of the journal, and certification from DRD on the indexing status
Scopus/CHED Accredited	6	6	
Other Indexed journals	3	3	
Generated patent certificate/utility model/industrial design/copyright (<i>maximum of 6 points may be earned</i>)			Copy of the research output/technology; Certification coming from the IPO PHL/technology user
Patent	6	6	
Utility Model/Industrial design	5	5	
Trademark	4	4	
Copyright	2	2	
Application Level			
Patent	4	4	
TM	3	3	
Utility Model/Industrial design	2	2	
Funded research with MOU from funding agency (<i>maximum of 3 points may be earned</i>)			MOU between TAU and Funding Agency
Less than ₱100,000.00	1	1	
₱101,000.00 - ₱500,000.00	2	2	
₱501,000.00 & above	3	3	
Presented research paper in symposium/forum (<i>maximum of 4 points may be earned</i>)			Copy of the Paper and Certificate of Appreciation
International	2	2	
National/Regional	1.5	1.5	
Local	1	1	
Research findings were utilized/adopted/ commercialized (<i>maximum of 6 points may be earned</i>)			Technology with IPR- Certification from IPO PHL and MOU between the Author and Technology-user
Technology with IPR			Technology without IPR – certification from the Technology-user and College Research Coordinator noted by DRD Director
Industry	6	6	
Groups/Individuals	4	4	
Technology without IPR	2	2	
Research publication has been cited (<i>1 for every citation; maximum of 3 points may be earned</i>)	1	1	Document showing the citation counts information of books, ebooks, research articles, short notes, review papers, etc from google scholar, WoS, Scopus, Researchgate, citation index illustrating the citation information.
Research outputs have earned awards (<i>maximum of 4 pts may be earned</i>)			Copy of the Certificate of the Award
International	2	2	
National/Regional	1.5	1.5	
Local	1	1	
Research has been completed within time frame (<i>maximum of 2 completed research may be earned</i>)	1	1	Approved letter informing the termination of the Project
Generated linkages and networks (<i>maximum of 2 points may be earned</i>)			Approved MoU or certification of research engagement/s
International	2	2	
National/Regional	1.5	1.5	
Local	1	1	

Thesis Advising/student (<i>maximum of 3 ETL may be earned</i>)			Copy of the Advisory Committee of the approved Thesis/Dissertation proposal/completed manuscript and certification for English Critic and Statistician
Graduate	1.0	1	
Undergraduate	0.5		
HS	0.25		
Committee Members (G/UG)	0.25		
Committee Members (HS)	0.15		
Statistician/English Critic	0.15		
Membership in PJUST Editorial Board			Memorandum of appointment as member of the Editorial staff issued by the Office of the President
Editor-in-Chief/Managing/Deputy Editor	3	3	
Editorial Staff	2	2	

The computed ETL for researchers is subject to board review and approval.

Section 3 Number of Hours

Detailed faculty in the Department of Research and Development are expected to spend 70% of their time on research and 30% on teaching. The 70% of the 40-hours workload per week is equivalent to 28 hours per week.

Faculty who performs research activities are given 6 ETL, which is equivalent to 6 hours per week. If the faculty exceeds the 6 hours for his/her research undertaking, the excess hour cannot be converted to service credit or overload.

Section 4 Teaching Deloading

Faculty who are detailed in research are deloaded with teaching units based on their designation. The teaching deloading scheme is shown below as follows:

Center Chiefs	6 units
ITSO Chief	6 units
Detailed Faculty in research	3 units

ARTICLE 10 MONITORING OF RESEARCH BUDGET

The DRD monitors the expenditures of the researchers using the Research Status Monitoring Form (TAU-DRD-QF-11), in which the budget status of the project is indicated and certified by the Accounting Staff and the Chief Accountant. This certification is then attested to by the project team members through their affixed signatures. The status monitoring form, together with the financial statement of the budget, is submitted to the DRD for database entry and filing. The researcher(s) is/are bound to submit the monitoring form to the DRD on or before the 28th day of the month and not later than the 10th day of the succeeding month.

ARTICLE 11 MONITORING OF RESEARCH IMPLEMENTATION

The DRD Director invited technical experts (when needed), and members of the project team monitored the implementation of the project through a monthly visit to the project site or experimental station.

Similarly, the DRD uses the Research Status Monitoring form to track the progress of the researchers' implementation (TAU-DRD-QF-11). This monitoring form reflects the researchers' target activities as anchored in their approved work plan. Along with photos, documents, or data, the percentage of what was accomplished in each month is reported. The monitoring of the DRD is done on a monthly basis (submission is on or before the 28th day of the month and not later than every 10th day of the succeeding month). The signature of the researcher certifying the correctness of the information, as well as the consent of the DRD Director, are required to ensure a common agreement on the validity of the information.

ARTICLE 12 DISSEMINATION OF RESEARCH OUTPUTS

Section 1 Publication of Internally Funded Research Projects

- a. A proponent who has completed his/her research project is required to publish his/her work in the refereed journal of the university or any reputable publisher of his/her choice.
- b. In any publication of the report, proper acknowledgement of the grant and the funder should be made.
- c. The University's Intellectual Property Policy shall apply to all intellectual properties of TAU-funded projects.
- d. The researcher must disseminate his/her research findings accurately and without any selection that could be misleading.
- e. Each author of the publication must agree to its final, peer-reviewed version.
- f. The university's refereed journal (PJUST) is the first option to publish scholarly manuscripts from the completed, internally funded project of the university.
- g. All authors share responsibility for the veracity of their published work.
- h. When a publication is closely related to another publication derived from the same research, a reference to the other publication must be made.
- i. Addresses of all university-affiliated authors must be included in the publication to ensure that the university receives the appropriate academic prestige and acknowledgement in publication citations.
- j. The publication and dissemination of research and its findings include: 1) confidential or proprietary information; 2) IPR issues; 3) findings with serious implications for public health; and 4) contractual or legal obligations, the researchers must seek advice from the ITS0.

Section 2 Paper Presentation (Oral and Poster)

- a. Upon completion of the project, the proponent disseminates his/her research findings during the Annual Agency In-House Review, or in a regional, national, international forum where he/she is invited to present.
- b. The researchers seek approval from the university when invited to present outside the university prior to the scheduled presentation. In cases where the researcher will seek financial assistance from the university, he/she must follow the procedural standards of the DRD when attending fora for paper presentations.
- c. The researcher disseminates his/her research findings accurately and without making any selections that could be misleading.
- d. Proper acknowledgement of the grant and the funder should be made during the presentation and should be included in the poster.
- e. The researcher must follow the requirements of the organizer, following the size and format prescribed.

Section 3 Agency In-House Review

The Agency In-house Review is conducted annually to evaluate the attainment of the objectives of the university's completed and on-going R&D projects; to identify problems met during project implementation and recommend courses of action to address these problems; to identify new researchable areas and generated technologies; and to identify mature and potential technologies ready for packaging, dissemination, and significant information for policy formulation and development planning at the university.

During the in-house review, the best R&D papers and poster are chosen and given a cash incentive and a certificate/plaque of recognition. These are selected based on the criteria set by PCARRD for the Regional Symposium. A separate session is undertaken for social

science research, educational research, and business-related research. The best papers selected compete for CLARRDEC Best Papers during the Regional Symposium. Likewise, the best papers awarded during the regional symposium are given a cash incentive following the approved incentive scheme of the university.

Section 4 Regional Symposium on R&D Highlights

The Regional Symposium is an annual undertaking of PCARRD for CLARRDEC member institutions that aims to facilitate the presentation and evaluation of technologies, significant research results, and innovations ready for promotion and/or commercialization. Significant breakthroughs or technologies and information for dissemination identified during the agency's in-house review will be presented and evaluated during the regional symposium.

The best R&D papers and posters are chosen and given a cash incentive and a plaque of recognition. Regional winners compete for the National Best Paper Award given by PCARRD every year. The best papers are selected based on the criteria set by PCAARRD, as follows:

Research Category

1. Creativity, originality, and quality of work	25%
1.1 Rationale/state of the art (to include analysis of the problem) (10%)	
1.2 Objectives (5%)	
1.3 Conceptual/analytical framework/ methodology (10%)	
2. Significance of Findings	25%
2.1 Contribution to S&T advancement (15%)	
2.2 Relevance to national/regional development (10%)	
3. Methodology (20%)	20%
3.1 Cogency of design and procedure (15%)	
3.2 Innovativeness (5%)	
4. Presentation	30%
4.1 Clarity and style (10%)	
4.2 Cogency and logic (10%)	
4.3 Response to inquiries (10%)	
TOTAL	100 %

Development Category

1. Creativity, originality, and quality of work	25%
1.1 Rationale (analysis of the problem) (10%)	
1.2 Objectives (5%)	
1.3 Conceptual/analytical framework (10%)	
2. Significance of findings	30%
2.1 Social and gender responsive (10%)	
2.2 Financial feasibility (10%)	
2.3 Financial/ economic viability)10%)	
3. Methodology	20%
3.1 Cogency of design and procedures (15%)	
3.2 Innovativeness (5%)	
4. Presentation	25%
4.1 Clarity and style (10%)	
4.2 Cogency and logic (10%)	
4.3 Response to inquiries (5%)	

TOTAL 100 pts

Social Science/ Educational Category

- | | |
|---|-----|
| 1. Creativity, originality, and quality of work | 25% |
| 1.1 Rationale (analysis of the problem) (10%) | |
| 1.2 Objectives (5%) | |
| 1.3 Conceptual /Analytic Framework (10%) | |
| 2. Significance of Findings | 25% |
| 2.1 Social acceptability and gender responsive (10%) | |
| 2.2 Relevance/timeliness (5%) | |
| 2.3 Impact to national/regional development (10%) | |
| 3. Methodology | 20% |
| 3.1 Adequacy and efficiency of the design and procedure (15%) | |
| 3.2 Innovativeness (5%) | |
| 4. Presentation | 30% |
| 4.1 Clarity and style (10%) | |
| 4.2 Cogency and logic (10%) | |
| 4.3 Response to Inquiries (10%) | |

TOTAL 100 pts

Best in Poster is selected based on the following criteria:

- | | |
|-----------------------|-----|
| a. Originality | 40% |
| b. Clarity in message | 30% |
| c. Visual impact | 30% |

TOTAL 100 pts

Section 5 Knowledge Management (IEC, IPR issues, and issuances of clearance)

- a. Among other things, the proponent must ensure that the project RDE proposal contains the following: 1) a curriculum vitae of the participants in the project; 2) details and a strategy for communicating the project results, including to the target beneficiaries; 3) expected outputs and outcomes of the project relevant to knowledge management; 4) instruments/methods to systematize and communicate the project activities; 5) activities to generate, document, and disseminate the research findings to target clients.
- b. Upon the implementation of the project, the proponent must inform the University President, VP RET, DRD Director, Chief Accountant, facilitative staff, beneficiaries (if any), and other stakeholders of the nature, role, deliverables, and expected outcomes of the project. Likewise, the approval and cooperation of each actor in the project should be sought.
- c. To avoid duplication and encourage synergy, the team members and clients must have a clear plan for sharing knowledge (such as regular meetings, group chats, texting, emails, etc.). A summary of activities, milestones, and challenges should be shared among team members and/or with the target clientele.
- d. As part of the monthly reporting requirement of the DRD, the researchers must submit the highlights of their accomplishments as well as the issues and concerns they have faced.
- e. Upon completion of the project, the proponent is encouraged to prepare IEC materials of his/her choice to tailor his/her presentation as deemed fit for the target clientele.

- f. The researcher is encouraged to seek the assistance of the ITSO in the application of IPR to his/her IEC material.

CHAPTER VIII

UNIVERSITY RESEARCH ETHICS COMMITTEE

ARTICLE 1 CODE OF ETHICS

Section 1 Description

The ethical standards in research are established to preserve and sustain the quality and credibility of the researchers and the creative works they generate, as this is a highly regarded expectation.

Moreover, ethical standards may be a broad discipline. Unwritten norms of conduct and intangible behavioral maturity expected of a researcher are transformed into acceptable actions of behavior in society and among mankind. Ethical norms appear to cover a wider perspective as compared to the law, which is more specific and concrete. It can be streamlined in a specific discipline to set standards, methods, and procedures tailored to how it can be applied to analyze complex issues and problems to attain goals objectively.

Adherence to ethical norms and standards in research promotes the credibility of the research work in general and the integrity of the researcher. Different profession. Many of the norms of research promote a variety of other important moral and social values, such as social responsibility, human rights, animal welfare, compliance with the law, and public health and safety. Ethical lapses in research can significantly harm human and animal subjects, students, and the public (Resnik, 2015).

Section 2 Objectives

The University Research Ethics Committee (UREC) aims to protect the interests of the researchers, human and animal subjects, plants, technologies generated, and lower forms of animals, as well as the university, in the responsible conduct of research undertakings.

Section 3 Organizational Structure

The Research Ethics Office is under the management of the Department of Research and Development. The office is managed by a Chief who will supervise the six (6) committees and be assisted by one (1) Administrative Aide/Research Assistant. These committees are: Human Use and Instruction Material, Institutional Animal Care Use, Plant Use, Microbiology and Biotechnology Products Use, Information Technology Research Use, and Engineering Sciences Use, and Gender Sensitive Ethics Committee (see Figure 1). The office is housed in the DRD.

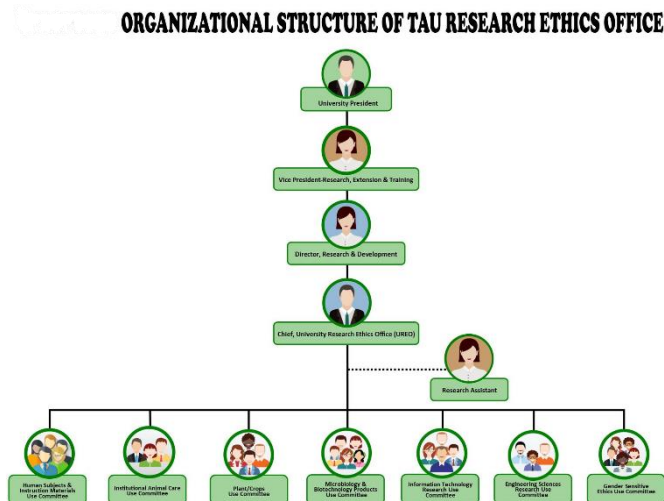


Figure 1. Organizational Structure of TAU Research Ethics Office

3.1 University Research Ethics Review Committee Members

Currently, the committees are functioning with an approved faculty designate assigned to various committees. The Human Subject and Instructional Material Committee (HSIM) is composed of 8 faculty designates; the Institutional Animal Care and Use Committee (IACUC) has 6, the Plant Use Committee (PUC) has 4, the Microorganisms and Biotechnology Products Use Committee (MBPUC) has 3, the Information Technology Research Committee (ITRC) has 4, the Engineering Sciences Committee (ESRC) has 4, and the Gender Sensitive Ethics Committee (GSEC) has 8 faculty designates from various colleges.

The number of committees may increase depending on the size of the stakeholder population requesting a research ethics service. Moreover, the committee members have an approved designation signed by the university president. In cases where the faculty resigns from his/her designation, the same shall submit a resignation letter addressed to the President through the Director of Research and Development noted by the VPRET.

Section 4 **Roles and Responsibilities of The University Research Ethics Review Committee Members**

The role of the University Research Ethics Review Committee is to protect the participants from harm and ensure that the ethical standards set by the university are observed. The members of the committee are specialists in their field that are related to their respective committees. Their functions are described as follows:

- a. develop instruments, such as a checklist, that will be used as a tool for evaluation;
- b. identify ethical issues or concerns posed by research involving human, animal, plant, and microbial subjects;
- c. advice on the resolution or avoidance of ethical issues This can be done by suggesting ways that the research may be modified without compromising the scientific validity of the study;
- d. engage in decision-making on ethical issues that cannot be resolved through the committee's discussion; and
- e. submit a timely evaluation at most seven (7) working days upon receipt of the assignment from the committee chair.

Section 5 Ethical Principles and Standards

The foundation and implementation of the research ethics for responsible conduct of research in the university are anchored on the following ethical principles:

(Adapted from Shamoo A. and Resnik D. (2015), *Responsible Conduct of Research*, 3rd ed., New York: Oxford University Press.)

Honesty- is the act of being truthful in all communications and information related to science and other fields of expertise. This includes being truthful when reporting data, results, techniques, and publication status. This ethical rule forbids making up, falsifying, or misrepresenting data, as well as misleading peers, study funders, or the public.

Objectivity - is the act of avoiding prejudice or partiality. It is expected or necessary in experimental design, data analysis, data interpretation, peer review, personnel decisions, grant writing, expert testimony, and other areas of research. This guideline also includes reporting any financial or personal interests that might have an impact on research, as well as reducing or avoiding self-deception.

Integrity – is the act of maintaining commitments and agreements, acting honestly, and aiming for coherence in thought and deed, all examples of having integrity.

Carefulness – Being careful means avoiding casual mistakes and negligence, meticulously and critically evaluating one's own work as well as other people's work and keeping thorough records of all research-related activities, including data collection, research design, and correspondence with agencies or journals.

Openness – is being willing to receive criticism and new ideas as well as to share information, findings, ideas, tools, and resources.

Transparency – refers to disclosing methods, materials, assumptions, analyses, and other information needed to evaluate one's own research.

Accountability – refers to taking responsibility for the entrusted work or part in research and being prepared to divulge information and/or an explanation of one's part in the research (i.e., an explanation or justification).

Intellectual Property – refers to honoring patents, copyrights, and other forms of intellectual property. It despises the use of unpublished data, methods, or results without permission, the failure to properly acknowledge or credit all contributions to research, and plagiarism.

Confidentiality – entails safeguarding confidential communications such as papers or grants submitted for publication, personnel records, trade or military secrets, and patient records.

Responsible Publication – refers to publishing with the purpose of advancing research and scholarship instead of one's own career and avoiding duplicative publication.

Responsible Mentoring – is the process of assisting in the education, mentoring, and guidance of students while also promoting their welfare and empowering them to take charge of their own lives.

Respect for Colleagues- refers to treating co-workers with dignity and respect.

Social Responsibility – refers to advancing social good and preventing or mitigating social harms through research, public education, and advocacy.

Non-Discrimination – refers to avoiding discrimination against colleagues or students on the basis of sex, race, ethnicity, or other factors not related to scientific competence and integrity.

Competence- refers to maintaining and improving one's own professional competence and expertise through lifelong education and learning and taking steps to promote competence in the field of expertise.

Legality – refers to knowing and obeying relevant laws and institutional and governmental policies.

Animal Care – refers to showing proper respect and care for animals when using them in research and avoiding unnecessary or poorly designed animal experiments.

Human Subject Protection – refers to conducting research on human subjects while minimizing harms and risks and maximizing benefits, respecting human dignity, privacy, and autonomy, taking special precautions with vulnerable populations, and striving to distribute the benefits and burdens of research fairly.

Undergraduate and postgraduate research students toward the degree award, will secure ethical clearance in consultation with their academic supervisors and/or thesis/dissertation adviser before conducting their studies. Moreover, the thesis/dissertation adviser certifies the propriety of their students' work. It is understood that by certifying, advisers indicate their agreement to accept full responsibility for the ethical propriety of that work. In cases where ethical issues tend to be more sensitive, such as health and social care and the public health of humans and animals, the research adviser or supervisor will need to be careful in undertaking the certification and is advised to have their students seek clearance from the concerned ethical approving body.

For research students participants and those that do not involve potential physical or psychological risk to the researchers, a policy on an entirely desk- and/or library-based approach will be observed. However, for research that involves living entities, ethical clearance will be required based on biosafety laws, rules, and regulations.

Entry and Exit of Biological and Non-Biological Materials - The biological and non-biological materials are transferred using the Material Transfer Agreements (MTA). Transfer of biological materials, including breeding materials and germplasm, will be subject to pertinent biosafety and bioprospecting laws, rules, and regulations.

Section 6 Ethical Guidelines for Responsible Conduct of Research

6.1 Human Subject and Instructional Material Use

Good ethical research shall involve the four basic ethical principles namely:

- a. Voluntary participation
- b. Informed consent
- c. Safety and security of respondent
- d. Confidentiality/Anonymity

A. Voluntary Participation

1. By completing the consent form and signing it, researchers can confirm that the respondent's involvement is voluntary.
Respondents must be allowed to discontinue participating in the study process whenever they feel like it.

B. Informed Consent

1. Respondents/participants must consent to participate in the research and expressly indicate that he/she has freely consented without coercion, deceit, undue distress, financial inducement, improper pressure, or any other form of misrepresentation by affixing their signatures in the declaration section of the application form.
2. Respondents/participants must have the capacity to understand the research project/study.
3. Researchers must inform the respondents or participants of their roles and the risks involved in their participation in the research project/study.
4. The consent form must include information about the nature and methods of the research, its goals, any risks, and the likely social and personal effects of its publication, which could affect or change a person's decision to take part. This information must be discussed openly and honestly by the researchers with the respondents/participants before their engagement in the research.
5. The benefits of the respondents/participants must be explained to them clearly by the researcher.
6. Special care must be taken by the researchers for respondents/participants who are unable to consent for themselves.
7. The information and consent must be appropriately documented, preferably in writing.

C. Safety and Security of the Respondents

1. Researchers must make sure that respondents, participants, and the community will be put in situations where their safety will not be put at risk by physical, social, or mental harm; and where they will not be harmed in their education because they took part.
2. The safety and security of the participants must always be guaranteed by the researchers and should never be compromised. The work plan of research shall indicate that study participants are clear on their role or nature of their participation.
3. Respondents/participants must be fully informed of the results after the project/study.

D. Confidentiality/Anonymity

1. Regarding the researcher's direct involvement or through identifiers connected to other individuals in the study, respondents/participants are assured confidentiality. The chief researcher's and the respondents'/participants' signatures on the consent form serve to safeguard the guarantee.
2. Participants/respondents are given the assurance that any information provided won't be shared with anyone who isn't a direct part of the study project. All stakeholders should be aware of and in agreement with this clause before the research endeavor even gets started.
3. It is forbidden to use private information for one's own or another person's gain.

6.2. Institutional Animal Care Use Program Adopted from RA 8485 and RA 10631

A. Institutional Policies and Responsibilities

A.1. Monitoring the Care and Use of Animals

A.1.1. Institutional Animal Care and Use Committee (IACUC)

A.1.1.1 Describe others' roles in providing veterinary care.

A.1.1.2 The IACUC is composed of at least five (5) members:

- 1.1.2.1 a licensed veterinarian (preferably with enough training and experience in laboratory animal science, medicine, or the use of the species in question).
- 1.1.2.2 one (1) experienced in scientific procedures involving animals
- 1.1.2.3 A member of the public who is not part of the institution and who cares about animal welfare would be best.
- 1.1.2.4 Any additional member may be appointed, provided he/she possesses the aforementioned qualifications.
- 1.1.2.5 The institutional management designates all members.
- 1.1.2.6 The veterinarian is usually in charge of running the meeting, and a secretary is chosen to take notes and write up the reports.

- 1.1.2.7 If it's needed, the chairperson can ask any expert to come to committee meetings or look over protocols.
- 1.1.2.8 A term of membership shall be one (1) year, but it is possible for the same personnel to be re-appointed for the following term.
- 1.1.2.9 Describe other procedures for monitoring the care and use of animals. Animal Care and Use Protocols (A blank copy of the institution's protocol review form should be provided as an attachment)
- 1.1.2.10 **Functions and Obligations of the IACUC**
 - Evaluate and approve the Animal Care and Use Program (ACUP) and the protocols of scientific procedures
 - Monitor and review the implementation of the ACUP and scientific procedures
 - Submit an annual report on the status and implementation of the ACUP and scientific procedures
 - Revoke any approval based to non-compliance to the approved program/protocol despite repeated appeals on its violations
 - Provide necessary technical recommendations and guidelines/references (e.g., a list of recommended anesthetics, analgesics, and tranquilizers with dose ranges for monkeys)
- 1.1.2.11 **Protocol Review Process**
 - The principal investigator/responsible person shall submit the accomplished Protocol Review Form (Appendix 1) at least one week before the commencement date of the study/procedures.
 - The Chairperson of the IACUC shall assign the study/procedure under one of the following categories:

Category 1: Procedures of Low or Mild Severity – including the taking of small or infrequent blood samples; skin irritation tests with substances expected to be only mildly irritating, conventional minor surgical procedures under anesthesia such as laparoscopy, small superficial tissue biopsies, or cannulation of peripheral blood vessels; and other procedures that will be terminated before the animal shows more than minor changes from normal behavior.

Category 2: Procedures of Medium or Moderate Severity – including much of the screening and development of potential pharmaceutical agents, toxicity tests avoiding lethal endpoints, and most surgical procedures, provided that suffering can be controlled by reliable post-operative analgesia and care.

Category 3: Procedures of High or Substantial Severity – including procedures that result in a major departure from the animal's usual state of health or wellbeing. These include acute toxicity procedures where significant morbidity or death is an endpoint; some efficacy tests of anti-microbial agents and vaccines; some models of disease; and major surgery where significant post-operative suffering may result.
- 1.1.2.12 Category 1 procedures are for expedited review by the IACUC chairperson.
- 1.1.2.13 Category 2 procedures are for expedited review by the IACUC chairperson, and 1 or 2 other members of the committee assigned by the chairperson.
- 1.1.2.14 Category 3 procedures are for full review by a quorum of the IACUC, but not by less than 3 members.
- 1.1.2.15 The IACUC Chairperson updates the members of the IACUC on the protocol's developments. The memorandum has copies of the Protocol Review Form (Animal Care and Use Statement) and the comments from the review of the protocol.
- 1.1.2.16 The principal investigator/responsible person is furnished a copy of the consolidated protocol review comments, which he or she shall act upon for the approval of the protocol to be granted. No study/procedure can be conducted without prior approval. In case of revisions, the principal investigator shall

submit the revised parts of the protocol to the IACUC chairperson for evaluation.

- 1.1.2.17 For Category 3 procedures, approval means the approval of most of the quorum present.
- 1.1.2.18 No member can review or approve a procedure in which they have a conflict of interest, such as being directly involved in the project, unless the IACUC asks them for information.
- 1.1.2.19 Regardless of category, all IACUC members, except those subject to Section 1.2.2.8, shall sign the Certificate of Approval (Appendix 2).
- 1.1.2.20 If the IACUC revoked an approval, based on a majority decision of a quorum of a convened IACUC meeting, the institutional official, in consultation with the IACUC, shall review the reasons for revocation, take appropriate corrective action, and report that action and the full circumstances of the revocation to the Animal Welfare Division.
- 1.1.2.21 **Animal Care and Use Program (ACUP) Review/Inspection Process**
 - The IACUC evaluates the ACUP, at least once annually, according to the following inspection items

- 1.1.2.21..1 Veterinary Care

- 1.1.2.21..2 Personnel qualifications and training

- 1.1.2.21..3 Animal environment, housing and management, physical environment, behavioral management, and husbandry

- 1.1.2.21..4 Veterinary medical care, animal procurement and transportation, preventive medicine, surgery, pain, analgesia, anesthesia, euthanasia

- Each IACUC member shall list his or her perceived deficiencies (that could be programmatic and facility-related) in the ACUP.
- The IACUC members shall then deliberate on their individual findings, preferably in the presence of the animal facility manager or an institutional official, to establish a mutually agreeable plan and a realistic deadline for corrections. A summary ACUP evaluation document (Appendix 3) shall then be prepared. The document shall present the deficiencies classified as Minor or Significant and the corresponding expected timeline for their correction shall be indicated. A significant deficiency is one that is or may be a threat to the health or safety of the animals, as judged by the IACUC and the institutional official.
- The manager of the animal facility will confirm that he got the document, and he will be given the chance to write back to the IACUC.
- The animal facility manager is required to confirm in writing that they have corrected the deficiencies by the date/timeline given.
- A Certificate of Approval of the ACUP (Appendix 4) shall be issued upon confirmation of the outcome of the actions taken.
- If major problems aren't fixed by the dates set for fixing them, the IACUC must tell the Bureau of Animal Industry's Animal Welfare Division within 30 working days.

1.1.2.22 **Protocol Review Process**

- The principal investigator or responsible person submits the Protocol Review Form "Animal Care and Use Statement" to the IACUC Chairperson.
- The IACUC Chairperson assigns the protocol to its category. Under Category 3, the principal investigator and IACUC members are informed of the schedule of the full review.
- **Review Process:**

- 1.1.2.22..1 Category 1 – by the IACUC Chairperson only
- 1.1.2.22..2 Category 2 – by the IACUC Chairperson and 1 or 2 members
- 1.1.2.22..3 Category 3 – by a quorum of the IACUC (but not less than 3 members)

- The principal investigator and IACUC members are informed of the review results:

- 1.1.2.22..1 Memo to the principal investigator includes copies of the Protocol Review comments
- 1.1.2.22..2 Memo to the IACUC members includes the Protocol Review comments and the Animal Care and Use Statement.

When the IACUC reviewers made no significant comments, or after the IACUC Chairperson has been satisfied by the action taken by the principal investigator, the Protocol Review Certification shall be presented to all the members for affixing their signatures.

A.1.1.3 Multiple Major Survival Surgical Procedures

One survival surgical procedure followed by a nonsurvival procedure is not included in this category:

- 1.1.3.1 Regardless of classification, multiple surgical procedures on a single animal should be evaluated to determine their impact on the animal's well-being. Multiple major surgical procedures on a single animal are acceptable only if they are:

- Included in and essential components of a single research project or protocol,
- Scientifically justified by the investigator, or
- Necessary for clinical reasons.

A.2. Veterinary Care

A.2.1. Veterinary care is an essential part of an Animal Care and Use Program.

- 2.1.1 The primary focus of the veterinarian is to oversee the well-being and clinical care of animals used in research, testing, teaching, and production.

- 2.1.1.1 Monitoring and promoting animal well-being at all times during animal use and all phases of the animal's life.

- 2.1.1.2 An adequate veterinary care program consists of assessment of animal well-being and effective management of:

- 2.1.1.2.1 animal procurement and transportation
- 2.1.1.2.2 preventive medicine (including quarantine, animal biosecurity, and surveillance)
- 2.1.1.2.3 clinical disease, disability, or related health issues
- 2.1.1.2.4 protocol-associated disease, disability, and other sequelae
- 2.1.1.2.5 surgery and perioperative care
- 2.1.1.2.6 pain and distress
- 2.1.1.2.7 anesthesia and analgesia
- 2.1.1.2.8 euthanasia

- 2.1.1.3 The veterinarian should provide guidance to investigators and all personnel involved in the care and use of animals to ensure appropriate husbandry, handling, medical treatment, immobilization, sedation, analgesia, anesthesia, and euthanasia.

- 2.1.1.4 The veterinarian should provide guidance and oversight to surgery programs and perioperative care involving animals.

- 2.1.2 The veterinary care program is the responsibility of the attending veterinarian:
 - 2.1.2.1 Who is certified or has training or experience in laboratory animal science and medicine; and
 - 2.1.2.2 Qualified in the care of the species being used.
- 2.2 Some aspects of the veterinary care program can be conducted by persons other than a veterinarian.
- 2.3 Mechanism for direct and frequent communication should be established to ensure that timely and accurate information is conveyed to the responsible veterinarian about issues associated with animal health, behavior, and well-being, and that appropriate treatment or euthanasia is administered.

1. Personnel Qualifications and Training

a. Animal Resource

Professional/Management/Supervisory Personnel (including the veterinary personnel named above) List of name(s), credentials, qualifications, training, experience, and continuing education. (*Please do not provide curriculum vitae of personnel*).

b. Animal Care Personnel

Note the number of animal care personnel (a list of names need not be included) and summarize their training, certification level and type, experience, and continuing education opportunities provided.

B. Animal Environment, Housing and Management

Proper housing and management of animal facilities are essential to animal well-being, the quality of research data and teaching or testing programs in which animals are used, and the health and safety of personnel. A good management program provides the environment, housing, and care that permit animals to grow, mature, reproduce, maintain good health, provide for their well-being, and minimize variations that can affect research results. Specific operating practices depend on many factors that are peculiar to individual institutions and situations. Well-trained and motivated personnel can often ensure high-quality animal care, even in institutions with less-than-optimal physical facilities or equipment.

1. Physical Environment

1.1 Housing

Adequate animal husbandry practices and health maintenance are facilitated by well-constructed and maintained caging or housing systems.

1.1.1 Cages should:

- 1.1.1.1 Allow for conspecific social interaction within or between enclosures, adequate ventilation, and observation of animals with minimal disturbance.
- 1.1.1.2 Provide a safe and secure environment that permits the normal physiologic and behavioral needs of the animals to be exposed.
- 1.1.1.3 Enable ready access to food and water receptacles and be constructed of materials that balance the needs of the animal with sanitation.
- 1.1.1.4 Be constructed with materials that resist corrosion and withstand chipping, cracking, or rusting.
- 1.1.1.5 Provide sufficient space so that, at a minimum, the animal can turn around and express normal postural adjustments.
- 1.1.1.6 Have sufficient, clean, and unobstructed space to move and rest in.

- 1.1.3 Unsealed wood may be acceptable for use as perches or other climbing structures, resting areas, or in the construction of perimeter fences, runs, and pens, but wooden

items need to be replaced periodically because of wear and damage and to achieve adequate sanitation.

- 1.1.4 The primary enclosure should provide a secure environment that does not permit animal escape and should be made of durable, nontoxic materials that resist corrosion, withstand the rigors of cleaning and regular handling, and are not detrimental to the health and research use of the animals.
- 1.1.5 The enclosure should be made so that animals or their parts can't get stuck in it by accident, and it shouldn't have any sharp edges or protrusions that could hurt the animals or people.
- 1.1.6 It should have smooth, impervious surfaces with minimal ledges, angles, corners, and overlapping surfaces so that the accumulation of dirt, debris, and moisture is minimized, and cleaning and disinfecting are not impaired.
- 1.1.7 All enclosures should be kept in good repair to prevent escape or injury to animals, promote physical comfort, and facilitate sanitation and servicing.
- 1.1.8 Rusting or oxidized equipment, which threatens the health or safety of animals, needs to be repaired or replaced.
- 1.1.9 Flooring should be solid, perforated, or slatted with a slip-resistant surface. In the case of perforated or slatted floors, the holes and slats should have smooth edges.
- 1.1.10 Use of wire bottom cages is discouraged for rodents, especially on long-term studies or in larger and older animals, as it may cause foot injury.
- 1.1.11 The use of wire bottom cages should be scientifically justified and approved by the IACUC.

1.1.11.1 If wire-mesh flooring is used, a solid resting area may be beneficial, as this floor type can induce foot lesions in rodents and rabbits

1.2 Animal Space Provisions

Important considerations for determining space needs include the age and sex of the animal(s), the number of animals to be cohoused and the duration of the accommodation, the use for which the animals are intended (e.g., production vs. experimentation), and any special needs they may have (e.g., vertical space for arboreal species or a thermal gradient for poikilotherms).

- 1.2.1 Adolescent animals, which usually weigh less than adults but are more active, may require more space relative to body weight.
- 1.2.2 Group-housed, social animals can share space such that the amount of space required per animal may decrease with increasing group size; thus, larger groups may be housed at slightly higher stocking densities than smaller groups or individual animals.
- 1.2.3 Socially housed animals should have adequate room and structural complexity to escape aggression or conceal themselves from other species.
- 1.2.4 Breeding animals will require more space, particularly if neonatal animals will be raised together with their mothers or as a breeding group until weaning age.
- 1.2.5 The height of an enclosure can be important to allow for the expression of species-specific behaviors and postural adjustments.
 - 1.2.5.1 Cage height should take into account the animal's typical posture and provide adequate clearance for the animal from cage structures, such as feeders and water devices.
 - 1.2.5.2 Some species, such as nonhuman primates, cats, and animals that live in trees, use the height of the cage more than the floor.
- 1.2.6 At a minimum, animals should have enough room to stand and move in their natural ways without touching the walls or ceiling of their enclosure. They should also be able to turn around and have easy access to food and water.
- 1.2.7 Laboratory Rodents. Lists are recommended minimum spaces for commonly used laboratory rodents housed in groups. If they are housed singly or in small groups or

exceed the weights in the table, more space per animal may be required, while larger groups may be housed at slightly higher densities.

Animals	Weight (grams)	Floor Area/Animal, ^a in. ² (cm ²)	Height, ^b in. (cm)	Comments
Mice in groups ^c	<10 Up to 15 Up to 25 >25	6 (38.7) 8 (51.6) 12 (77.4) ≥15 (≥96.7)	5 (12.7) 5 (12.7) 5 (12.7) 5 (12.7)	Larger animals may require more space to meet the performance standards.
Female + Litter		51 (330) (recommended space for the housing group)	5 (12.7)	Other breeding configurations may require more space and will depend on considerations such as number of adults and litters, and size and age of litters. ^d
Rats in groups ^c	<100 Up to 200 Up to 300 Up to 400 Up to 500 >500	17 (109.6) 23 (148.35) 29 (187.05) 40 (258.0) 60 (387.0) ≥70 (≥451.5)	7 (17.8) 7 (17.8) 7 (17.8) 7 (17.8) 7 (17.8) 7 (17.8)	Larger animals may require more space to meet the performance standards.
Female + litter		124 (800) (Recommended space for the housing group)	7 (17.8)	Other breeding configurations may require more space and will depend on considerations such as number of adults and litters, and size and age of litters. ^d
Hamsters ^c	<60 Up to 80 Up to 100 >100	10 (64.5) 13 (83.8) 16 (103.2) ≥19 (≥122.5)	6 (15.2) 6 (15.2) 6 (15.2) 6 (15.2)	Larger animals may require more space to meet the performance standards.
Guinea pigs ^c	Up to 350 >350	60 (387.0) ≥101 (≥651.5)	7 (17.8) 7 (17.8)	Larger animals may require more space to meet the performance standards.

^aSingly housed animals and small groups may require more than the applicable multiple of the indicated floor space per animal.

^bFrom cage floor to cage top.

^cConsideration should be given to the growth characteristics of the stock or strain as well as the sex of the animal. Weight gain may be sufficiently rapid that it may be preferable to provide greater space in anticipation of the animal's future size. In addition, juvenile rodents are highly active and show increased play behavior.

^dOther considerations may include culling of litters or separation of litters from the breeding group, as well as other methods of more intensive management of available space to allow for the safety and well-being of the breeding group. Sufficient space should be allocated for mothers with litters to allow the pups to develop weaning without detrimental effects for the mother or the litter.

1.2.8 Other common laboratory animals Lists are recommended minimum spaces for other common laboratory animals. These allocations are based, in general, on the needs of pair- or group-housed animals.

Animals	Weight ^a (grams)	Floor Area/Animal, ^b ft. ² (m ²)	Height, ^c in. (cm)	Comments
Rabbits	<2 Up to 4 Up to 5.4 >5.4 ^c	1.5 (0.14) 3.0 (0.28) 4.0 (0.37) ≥5.0 (≥0.46)	16 (40.5) 16 (40.5) 16 (40.5) 16 (40.5)	Larger rabbits may require more cage height to allow animals to sit up.
Cats	≤4 >4 ^d	3.0 (0.28) ≥4.0 (≥0.37)	24 (60.8) 24 (60.8)	Vertical space with perches is preferred and may require additional cage height
Dogs ^c	<15 Up to 30 >30 ^d	8.0 (0.74) 12.0 (1.2) ≥24.0 (≥2.4)	____ ^f ____ ^f ____ ^f	Cage height should be sufficient for the animals to comfortably stand erect with their feet on the floor.

^aTo convert kilograms to pounds, multiply by 2.2.

^bSingly housed animals may require more space per animal than recommended for pair- or group-housed animals.

^cFrom cage floor to cage top.

^dLarger animals may require more space to meet performance standards (see text).

^eThese recommendations may require modification according to body conformation of individual animals and breeds. Some dogs, especially those toward the upper limit of each weight range, may require additional space to ensure compliance with the regulations of the Animal Welfare Act. These regulations (USDA 1985) mandate that the height of each cage be sufficient to allow the occupant to stand in a “comfortable position” and that the minimal square feet of floor space be equal to the “mathematical square of the sum of the length of the dog in inches (measured from the tip of its nose to the base of its tail) plus 6 inches; then divide the product by 144.”

^fEnclosures that allow greater freedom of movement and unrestricted height (i.e., pens, runs, or kennels) are preferable.

1.2.9 Avian species. List recommended minimum space for avian species. These allocations are based, in general, on the needs of pair- or group-housed animals

Animals	Weight ^a (grams)	Floor Area/Animal, ^b ft. ² (m ²)	Height
Pigeons Quail	— —	0.8 (0.07) 0.25 (0.023)	Cage height should be sufficient for the animals to comfortably stand erect with their feet on the floor.
Chicken	<0.25 Up to 0.5 Up to 1.5 Up to 3.0 >3.0 ^c	0.25 (0.023) 0.50 (0.046) 1.00 (0.093) 2.00 (0.186) ≥3.00 (≥0.279)	Cage height should be sufficient for the animals to comfortably stand erect with their feet on the floor.

^aTo convert kilograms to pounds, multiply by 2.2.

^bSingly housed birds may require more space per animal than recommended for pair- or group-housed birds.

^cLarger animals may require more space to meet performance standards (see text).

1.2.10 Nonhuman Primates. Lists are recommended minimum space for commonly used nonhuman primates based on the needs of pair- or group-housed animals. Like all social animals, nonhuman primates should normally have social housing (i.e., in compatible pairs or in larger groups of compatible animals).

Animals	Weight ^a (grams)	Floor Area/Animal, ^b in. ² (cm ²)	Height, ^c in. (cm)	Comments
Chimpanzees (Pan) Juveniles Adults ^f	Up to 10 >10	15 (1.4) ≥25 (≥2.32)	60 (152.40) 84 (213.4)	For other apes and large brachiating species cage height should be such that an animal can, when fully extended, swing from the cage ceiling without having its feet touch the floor. Cage design should enhance brachiating movement.
Monkeys ^d (including baboons) Group 1 Group 2 Group 3 Group 4 Group 5 Group 6 Group 7 Group 8	Up to 1.5 Up to 3 Up to 10 Up to 15 Up to 20 Up to 25 Up to 30 >30 ^e	2.1 (0.20) 3.0 (0.28) 4.3 (0.4) 6.0 (0.56) 8.0 (0.74) 10 (0.93) 15 (1.40) ≥25 (≥2.32)	30 (76.2) 30 (76.2) 30 (76.2) 32 (81.3) 36 (91.4) 46 (116.8) 46 (116.8) 60 (152.4)	Cage height should be sufficient for the animals to comfortably stand erect with their feet on the floor. Baboons, patas monkeys, and other longer-legged species may require more height than other monkeys, as might long-tailed animals and animals with prehensile tails. Overall cage volume and linear perch space should be considerations for many neotropical and arboreal species. For brachiating species cage height should be such that an animal can, when fully extended, swing from the cage ceiling without having its feet touch the floor. Cage design should enhance brachiating movement.

^aTo convert kilograms to pounds, multiply by 2.2.

^bSingly housed primates may require more space than the amount allocated per animal when group housed.

^cFrom cage floor to cage top.

^dCallitrichidae, Cebidae, Cercopithecidae, and Papio.

^eLarger animals may require more space to meet performance standards (see text).

^fApes weighing over 50 kg are more effectively housed in permanent housing of masonry, concrete, and wire-panel structure than in conventional caging.

1.2.11 Agricultural animals. Lists are recommended minimum space for commonly used in a laboratory setting. As social animals, they should be housed in compatible pairs or larger groups of compatible animals. When animals exceed the weights in the table, more space is required. For larger animals (particularly swine) it is important that the configuration of the space allow the animals to turn around and move freely. Food troughs and water devices should be provided in sufficient numbers to allow ready access for all animals. Singly housed animals may require more space than recommended in the table to enable them to turn around and move freely without touching food or water troughs, have ready access to food and water, and have sufficient space to comfortably rest away from areas soiled by urine and feces.

Animals/ Enclosure	Weight ^a (kg)	Floor Area/Animal, ^b ft. ² (cm ²)
Sheep and Goats		
1	<25 Up to 50 >50 ^c	10.0 (0.9) 15.0 (1.35) ≥20.0 (≥1.8)
2-5	<25 Up to 50 >50 ^c	8.5 (0.76) 12.5 (1.12) ≥17.0 (≥1.53)
>5	<25 Up to 50 >50 ^c	7.5 (0.67) 11.3 (1.02) ≥15.0 (≥1.35)
Swine		
1	<15 Up to 25 Up to 50 Up to 100 Up to 200 >200 ^c	8.0 (0.72) 12.0 (1.08) 15.0 (1.35) 24.0 (2.16) 48.0 (4.32) ≥60.0 (≥5.4)
2-5	<25 Up to 50 Up to 100 Up to 200 >200 ^c	6.0 (0.54) 10.0 (0.9) 20.0 (1.8) 40.0 (3.6) ≥52.0 (≥4.68)
>5	<25 Up to 50 Up to 100 Up to 200 >200 ^c	6.0 (0.54) 9.0 (0.81) 18.0 (1.62) 36.0 (3.24) ≥48.0 (≥4.32)
Cattle		
1	<75 Up to 200 Up to 350 Up to 500 Up to 650 >650 ^c	24.0 (2.16) 48.0 (4.32) 72.0 (6.48) 96.0 (8.64) 124.0 (11.16) ≥144.0 (≥12.96)
2-5	<75 Up to 200 Up to 350 Up to 500 Up to 650 >650 ^c	20.0 (1.8) 40.0 (3.6) 60.0 (5.4) 80.0 (7.2) 105.0 (9.45) ≥120.0 (≥10.8)
>5	<75 Up to 200 Up to 350 Up to 500 Up to 650	18.0 (1.62) 36.0 (3.24) 54.0 (4.86) 72.0 (6.48) 93.0 (8.37)

	>650°	≥108.0 (≥9.72)
Horses		
Ponies	—	144.0 (12.96)
1-4	—	72.0 (6.48)
>4/Pen	≤200	60.0 (5.4)
	>200°	≥72.0 (≥6.48)

^aTo convert

kilograms to pounds, multiply by 2.2.

^bFloor area configuration should be such that animals can turn around and move freely without touching food or water troughs, have ready access to food and water, and have sufficient space to comfortably rest away from areas soiled by urine and feces.

^cLarger animals may require more space to meet performance standards including sufficient space to turn around and move freely.

2.3 Temperature and Humidity

Provide a method and frequency for assessing, monitoring, and documenting the temperature and humidity of the animal room or housing area.

2.4 Ventilation (for air-conditioned facilities only)

Provide a method and frequency for assessing, monitoring, and documenting the animal room ventilation rates and pressure gradients.

2.5 Illumination

Describe the lighting system, intensity, photoperiod, automatic control (yes/no), and windows (yes/no).

2.6 Noise

Describe the design features and methods used to control/reduce/prevent excessive noise in the animal facility.

2.7 Husbandry

a. Food

1. Describe the type and source of food stuffs.
2. Describe how food is provided to various species (ad libitum, in limited amounts, by different types of feeders).
3. Describe special food quality control procedures, including storage condition, procedures for rotating stock, monitoring milling dates, nutritional quality, chemical contaminants, etc.

b. Water

1. Describe the source, treatment, or purification process, and how it is provided to the animals (pans, bottles with sipper tubes, automatic watering, etc.).
2. Methods of quality control include monitoring for contaminants.

c. Bedding

Describe the type (s), how they are used, and how they are chosen for various species.

d. Sanitation

1. Bedding Change

Describe the frequency of contact and non-contact bedding changes for each species and cage type (solid bottom or suspended) or pen.

2. Cleaning and disinfection of primary enclosures

Note the washing/sanitizing frequency and method for each of the following:

- a. solid bottom cages
- b. suspended wire bottom or slatted floor cages
- c. cage tops (wire and, if applicable, filtered)

- d. cage pans under suspended cages
- e. play pens, floor pens, stalls, etc.
- f. corrals for primates or outdoor paddocks for livestock
- 3. Cleaning and disinfection of secondary enclosures
 - a. Describe animal room cleaning frequency, procedures (floors, walls, ceilings, ducts, exposed pipes, and fixtures), methods (hose, high pressure washer, vacuum cleaner, hand brushing, mopping, etc.), and cleaning/sanitizing agent(s) (generic name) used.
 - b. Describe the corridor and support area cleaning frequency, procedures, and cleaning/sanitizing agents (generic names) used.
 - c. Describe the procedures for sanitizing cleaning implements such as mops and mop buckets.
- 4. Sanitation of Cage Equipment
 - a. Describe sanitation procedures and frequency for feeders.
 - b. Describe the sanitation procedures and frequency for watering devices such as bottles, sipper tubes, bowls, automatic watering systems (distribution lines, connection coils), etc.

e. Emergency, Weekend, and Holiday Care

- 1. Describe procedures for providing weekend and holiday care. Indicate who (e.g., regular animal care staff, students, part-time staff, etc.) provides and oversees care and what procedures are performed.
- 2. Describe procedure for contacting responsible animal care and/or veterinary personnel in case of an emergency.

C. Veterinary Medical Care

1. Preventive Medicine

- 1.1. Quarantine, Stabilization, and Isolation
 - 1.1.1. Describe the initial animal receipt and evaluation procedures for each species.
 - 1.1.2. Describe quarantine facilities and procedures for each species.
 - 1.1.3. Describe isolation facilities and procedures for ill animals.
 - 1.1.4. Describe the periods of physiologic, psychologic, and nutritional stabilization that followed.
 - 1.1.5. Describe the program for the separation of animals by species, source, and health status. If not maintained separately, describe the circumstances under which mixing occurs and the rationale for mixing.
- 1.2. Surveillance, Diagnosis, Treatment, and Control of Disease
 - 1.2.1. Describe the procedure and identify the person(s) responsible for the daily observation of animals for illness or abnormal behavior, their training for this responsibility, and the procedure for reporting observations (written or verbal).
 - 1.2.2. Describe the procedure for providing veterinary medical care to ill animals and note the chain of command and mode of communicating (written and verbal) information to the veterinarian regarding sick animals.
 - 1.2.3. Describe the preventive medicine and animal health monitoring program.
 - 1.2.4. Describe clinical laboratory and diagnostic resources and capabilities.

2. Pain, Distress, Analgesia, and Anesthesia

- a. Describe how the use of anesthetics and analgesics is monitored and by whom.
- b. Note the training and experience required to perform anesthesia.

3. Euthanasia

- a. Describe the methods used for each species.

- b. Describe the training and experience of personnel carrying out euthanasia procedures.

D. Physical Plant

1. Functional Areas

- a. Describe the general arrangement of the animal facilities (conventional, clean/dirty corridors, etc.).
- b. Note specialized types of available animal housing spaces such as barrier or hazard containment (infectious, radioactive, or chemical), or facilities designed especially for housing certain species of animals, such as pens for dogs, pigs, sheep, nonhuman primates, etc.
- c. Note the following areas of necessary support for the animal care program, including the number of rooms and total square meters available for each activity:
 1. quarantine for rodents and rabbits
 2. quarantine for random source animals such as dogs, cats, and nonhuman primates
 3. isolation for sick animals
 4. aseptic surgery
 5. food storage
 6. bedding storage
 7. cage washing and sanitizing
 8. clean cage storage
 9. laboratory for diagnosis and control of laboratory animal diseases

2. Construction Guidelines

- a. Exterior Windows

Describe the presence of exterior windows in animal rooms that allow natural photoperiods or public observation into the room.

- b. Floors

Describe the composition and present condition of floors in animal facilities

- c. Walls

Describe the composition and present condition of walls in animal housing and use areas and in sanitization areas.

- d. Ceilings

Describe the composition and present condition of ceilings in animal housing and use areas and in sanitization areas.

- e. Ventilation and Air Conditioning (VAC)

Describe the performance aspects of the VAC system. Use the enclosed form.

- f. Power and Lighting

- a. Note if emergency power is provided for the animal facility, and if so, what electrical services it maintains in the event the primary power source fails.
- b. Give a history of power failures to the animal facility. Note the frequency and duration. If emergency power was not available during a power failure, describe the steps taken to assure the comfort and well-being of the animals and the temperature extremes reached in the animal rooms during the failure.
- c. Describe animal losses or health problems resulting from power failures (if any).

- g. Noise Control

Describe the physical methods for controlling excessive noise (e.g., materials used, location).

6.3 Microorganisms and Biotechnology Products Use

Biosafety Guidelines

Personal Protection Requirements

1. Safety goggles or safety glasses shall be worn when handling microorganism cultures, when performing procedures that may create a splash hazard, or when plating.
2. Protection shoes that cover the top of the foot shall be worn at all times.
3. In cases of fresh cuts or abrasions when staining microbes or handling hazardous chemicals, the wearing of safety gloves shall be strictly followed.
4. For standard laboratory procedures, proper hand hygiene must be performed. This involves thorough hand washing and cleansing prior to and immediately after handling microorganisms, as well as any time that microbes accidentally contact the skin. Hand cleansing is performed by washing with soap and water or rubbing with alcohol or alcohol-based hand sanitizers.
5. Laboratory coats shall always be worn when dealing with microorganisms.

Laboratory Physical Space Requirements

1. Working laboratory space to includes:
 - Nonporous floor, bench tops, chairs, and stools.
 - Sink for hand washing.
 - Eyewash station.
 - Lockable door to the room.
2. Proper pest control practices shall be followed.
3. Personal belongings shall be kept in area separate from the work area.
4. Working and validated autoclave must present and functional.

Stock Culture Requirements

1. Only use cultures from authorized, commercial, or reputable sources (e.g., an academic laboratory or state health department) shall be used. Unknown microbes isolated from the environment shall not be subculture due as they may be organisms that require BSL2 practices and facilities.
2. Documents about stock organisms, sources, and handling of stock cultures shall be maintained at all times.
3. Fresh stock cultures of microorganisms shall be obtained annually (e.g., purchased, revived from frozen stock cultures, etc.) to be certain of the source culture, minimize spontaneous mutations, and reduce contamination.

Standard Laboratory Practices

1. Wash hands after entering and before exiting the laboratory.
2. Tie back long hair
3. Do not wear dangling jewellery.
4. Disinfect bench before and after the laboratory session with a disinfectant known to kill the organisms handled.
5. Use disinfectants according to manufacturer instructions.
6. Do not bring food, gum, drinks (including water), or water bottles into the laboratory.
7. Do not apply cosmetics to the face, adjust contact lenses, or bite your nails.
8. Do not handle personal items (cosmetics, cell phones, calculators, pens, pencils, etc.) while in the laboratory.
9. Do not pipette using your mouth
10. Label all containers clearly.
11. Keep door closed while the laboratory is in session.
12. Reduce the use of sharps. Use needles and scalpels in accordance with the manufacturer's instructions and safety precautions.
13. When moving cultures in the laboratory, use proper transport vessels (test tube racks) and store vessels containing cultures in a leak-proof container when work with them is finished.
14. When storing and transporting infectious materials, use leak-proof containers.
15. Arrange for proper (safe) decontamination and disposal of contaminated material (for example, in a properly maintained and validated autoclave) or arrange licensed waste removal in accordance with local, state, and federal guidelines.

16. Do not handle broken glass with fingers; use a dustpan and broom.
17. Notify laboratory personnel of all spills or injuries.
18. Document all injuries according to the university policies.
19. Practice proper wearing and use of gloves.
20. Immune-compromised persons (including those who are pregnant or may become pregnant) and or anyone living with or caring for an immune-compromised individual are advised to consult physicians to determine the appropriate level of participation in the laboratory.
21. Keep note-taking and discussion practices separate from work with hazardous or infectious material.
22. Decontaminate all laboratory wares and tools used in handling microorganisms.

Other Instructions on the Use of Microorganisms in Research Studies

1. Specify the survival and reproduction characteristics of the microorganism in the rhizosphere of the plant species of interest and other plant species in the test site and surrounding environment.
2. Give the effects on microorganisms likely to be in the test area which are known to be beneficial to plants (e.g., Rhizobium, Frankia and mycorrhizal fungi).
3. For microorganisms to be used for biological control, state the effects that the unmodified and modified organism have on the biological control target, the plant or animal being protected and non-target species (including humans) in the test area and surrounding environment.
4. State, in particular, if there are any growth or quality reductions in the protected organism.

Biosafety Risk Groups

There are four biosafety levels that shall serve as a reference in choosing the appropriate level based on how the research study shall be conducted in view of the microorganisms involved. Research studies using microorganisms shall be conducted in a confined laboratory at the respective levels.

Biosafety Level 1

The risk group contains biological agents that pose a low risk to personnel and the environment. These agents are highly unlikely to cause disease in healthy laboratory workers, animals, or plants.

Examples of BSL-1 microorganisms are:

Agrobacterium radiobacter, Aspergillus niger, Bacillus thuringiensis, Escherichia coli strain K12 (nonpathogenic), Lactobacillus acidophilus, Micrococcus leuteus, Neurospora crassa, Pseudomonas fluorescens, Serratia marcescens; common plant pathogens.

Biosafety Level 2

The risk group contains biological agents that pose moderate risk to personnel and the environment. If exposure occurs in a laboratory situation, the risk of spread is limited, and it would rarely cause infection that would lead to serious disease. Effective treatment and preventive measures are available in the event that an infection occurs.

Examples of BSL-2 microorganisms are:

Mycobacterium, Streptococcus pneumonia, Salmonella choleraesuis, E. coli, Staphylococcus, Salmonella, Plasmodium falciparum, Toxoplasma, and Herpes Simple Viruses

Biosafety Level 3

Risk groups contain biological agents that usually cause serious disease (human, animal, or plant) or that can result in serious economic consequences. These agents are usually not spread by casual contact.

Examples of BSL-3 microorganisms are:

HIV, H1N1 flu, Yersinia pestis, Mycobacterium tuberculosis, SARS, Rabies Virus, West Nile Virus, Rickett

Biosafety Level 4

The risk group contains biological agents that usually produce very serious disease (in humans, animals, or plants) that is often untreatable. These agents are usually easily transmitted from one individual to another, from animal to human or vice versa, either directly, indirectly, or by casual contact.

Examples of BSL-4 microorganisms are:

Ebola virus, SARS-CoV-2, Central European Encephalitis virus, Hemorrhagic viruses, Marburg virus or any microorganism causing highly contagious diseases (poses aerosol-transmitted infections).

Section 7 Ethics and Malpractice Guidelines

General Guiding Principles

The faculty, staff, and students embrace the ethical principles, common standards, values, and aspirations of the research community. It is expected that they uphold the following ethical principles: (1) recognize the substantive contributions of collaborators (trainees and students); (2) only use unpublished and published works of others with appropriate permission and with due acknowledgment; (3) use scholarly and scientific rigor and integrity in obtaining, analyzing, reporting, and publishing results; (4) ensure that authorship of an unpublished work includes all those who have materially contributed to, and share responsibility for, the contents of the publication, and only those people; (5) reveal to funding agencies, universities, and journals any material conflict of interest, financial or otherwise, that might influence their decisions on whether the individual should be asked to review manuscripts or applications.

Responsibilities of Faculty

Faculty members are expected to adhere to the highest standards to scholarly integrity.

Relationship with Collaborators

Matters of authorship, attribution, and acknowledgment are more complex in collaborative research. To avoid such conflicts, creative solutions in the form of a research agreement where rules are clearly stated and agreed to prior to the commencement of the work shall be made. Provision on the dimension of uncertainty that may arise along the conduct of the research may include the willing discussion between parties in reaching an agreement among individuals.

Handling of Data

As a general rule, all the key scientific members of the research team should have access to raw data unless there is an exceptional circumstance that warrants controlled access. Access rights should be discussed in advance by team members.

Monitoring of the Research Work of the Students

Monitoring a student's work is a shared responsibility. Data should be presented frequently to the other members of the advisory committee for discussion and critical review prior to collection and publication. Faculty members should be sensitive to the circumstances of the students and give guidance, encouragement, and critical evaluation of their work as appropriate.

Monitoring of the Research Work of the Faculty

The DRD monitors the research procedures, implementation, and results of the faculty researchers based on the Monitoring and Evaluation Procedure of the university research department.

Section 8 Research Misconduct

Policies that deal with allegations of research misconduct and, in founded cases, appropriate disciplines and reporting duties should be in place to assure the credibility and integrity of research outputs to the community and public trust. These policies must not discourage creativity and innovation or penalize for honest errors and ambiguities of interpretation. They should instead identify and deal responsibly with intentional fabrication, falsification, or plagiarism, as well as other practices that seriously deviate from the commonly accepted standards or practices of the relevant research community. In the case where there is question about the involvement of faculty with respect to research misconduct, the matter should be pursued until the role of the faculty member is clarified.

CHAPTER IX

TEST FOR SIMILARITY INDEX (ANTI-PLAGIARISM DETECTION MECHANISM)

ARTICLE 1 CODE OF CONDUCT

Section 1 Description

Plagiarism is a form of misconduct and a common problem that is violated in the academe. It is also referred to as theft of intellectual property due to the use and ownership of words, ideas, and works of others without proper attribution and credit. The act of committing such crimes by students, faculty, researchers, etc. has become robust and frequent due to easy access to the web and large databases on the internet.

Tarlac Agricultural University (TAU) is one of the academic institutions that upholds ethics in both scientific and non-scientific communication and is vigilant in tackling problems related to plagiarism. To promote academic honesty and integrity in TAU in the context of plagiarism, the Department of Research and Development (DRD) initiated the use of anti-plagiarism detection software and institutionalized the Test for Similarity Index (TeSI) as an anti-plagiarism detection mechanism. It covers all research papers, manuscripts, and terminal reports, etc. of faculty, staff, and undergraduate and graduate students that are subjected to the TeSI.

Section 2 Objective

The anti-plagiarism detection mechanism for the similarity index aims to promote awareness among faculty, students, and staff on the importance of plagiarism, assist them in improving their skills to quote and paraphrase their academic works properly, and provide a control mechanism to ensure security against malpractice concerning anti-plagiarism.

Section 3 Implementing Structure

The Test for Similarity Index (TeSI) is managed by the Department of Research and Development, as shown in Figure 1. The DRD Administrator coordinates with the Office of the Vice President for Academic Affairs, External Linkages and International Affairs, Graduate Studies, and the Quality Assurance Unit. In addition, the in-charge staff for TeSI determines the similarity index of the study applicant based on a set percentage until the issuance of the certificate for Similarity Index.

IMPLEMENTING STRUCTURE OF THE TEST FOR SIMILARITY INDEX



Figure 1. Implementing Structure of the TeSI

Section 4 **Test for Similarity Index Policies and Guidelines**

A. Fundamental Provisions

1. All research papers and manuscripts of faculty, staff, and undergraduate and graduate students shall undergo the Test for Similarity Index (TeSI) using anti-plagiarism detection software with the following allowable similarity index:
 - 25% for the thesis manuscript of the undergraduate students
 - 20% for the thesis/dissertation of the graduate students
 - 20% for the research proposal for external and internal funding
 - 20% for the terminal reports of program/project/study of both internally and externally funded research or any equivalent reports
 - 18% for manuscripts intended for paper presentation and publication
2. All thesis and dissertation manuscripts of the students are required to pass the TeSI prior to the required final packaging as required by the college.
3. All research proposals and terminal reports or equivalent reports shall undergo TeSI and pass the required percentage of similarity index prior to submission to funding agencies.
4. Only the DRD TeSI-released certificate shall be recognized as official evidence of a manuscript/report of passing the TeSI.
5. The requestee shall pay the approved fee on the TeSI to the TAU Cashiering Unit prior to the run of the manuscript/paper to concerned Turnitin staff.
6. The payment shall cover a TeSI software run a maximum of five (5) times. If more tests are needed, the requestee shall pay the same fees again.

B. Managing the Use of TeSI

1. The DRD initiates the procurement and use of the anti-plagiarism detection software.
2. The DRD coordinates with the supplier regarding the training on the use of the software.
3. The in-charge staff for TeSI shall facilitate the test for the similarity index of the concerned faculty, staff, and students.
4. The in-charge staff for TeSI shall run the manuscript/report for TeSI a maximum of five (5) times. In each run, if the paper fails to meet the required accepted percentage, the result and the paper/manuscript shall be returned to the requestee for improvement. The in-charge staff for TeSI may also discuss with the requestee on the area or part that needs improvement to meet the passing percentage in the next run.
5. To economize the allotted slot, the in-charge staff for TeSI shall not save and send the email of the transaction per run but rather facilitate the request in bulk in one schedule before sending the result to the link provided by the supplier.
6. The in-charge staff for TeSI shall log each transaction using the TeSI Monitoring and Endorsement Form (TAU-DRD-QF 40) for recording and monitoring purposes. Each requestee shall be assigned an ID number for easy access and reference. A copy of each endorsed transaction shall be given to the requestee.
7. In-charge staff for TeSI is strictly prohibited from sharing his/her accounts with anyone for security reasons and to prevent any untoward uses of the plagiarism detection software.

C. Testing of Similarity Index

1. All requests for a similarity index test commence by sending an accomplished TeSI Application Form (TAU-DRD-QF 39) with an attached copy of the manuscript, report, paper in portable document format (pdf) and a clear scanned or screenshot copy of the receipt of payment issued by the Cashier Office to tau-drd@tau.edu.ph.
2. The DRD shall facilitate the requests during TAU official working days (Monday-Friday), excluding holidays, by recording the application and providing an ID number. Likewise, the requestee shall be informed of his ID number and arrange a meeting (virtual or remote) for the result.
3. The maximum processing time for a request for the TeSI shall be three (3) working days after the receipt of the request.
4. The cut-off time per working day is noon. Any paper submitted beyond the cut-off time shall be considered submitted and received the following working day.

5. The result of the test shall be made either online or face-to-face, depending on the agreed-upon delivery mode between the requestee and the in-charge staff for TeSI.
6. If the result of the TeSI meets the required passing percentage, the in-charge staff for TeSI releases the Certificate for TeSI (TAU-DRD-QF 42) to the requestee.

D. Payment Scheme for the Test of Similarity Index

A minimal fee for the use of TeSI shall be collected. The fee covers five Turnitin test runs of every manuscript, document, test results, and a certificate of Similarity Index. The following fee is shown below:

Study Applicant	Amount (Php)
Graduate Students	500.00
Faculty Researchers with Externally funded Research	1,000.00

CHAPTER X

INTELLECTUAL PROPERTY POLICY

ARTICLE 1 INTRODUCTION

The creation of this Tarlac Agricultural University Intellectual Property Policy (TAU IP Policy) is based on Section 230 "Adoption of Intellectual Property (IP) Policies", Chapter XX of Republic Act No. 8293, which states that "Schools and universities shall adopt intellectual property policies that would govern the use and creation of intellectual property with the purpose of safeguarding the intellectual creations of the learning institution and its employees and adopting locally-established industry practice fair use guidelines." This TAU Intellectual Property Policy is a set of guidelines that foster the creations of the mind on the trajectory of protection, dissemination, and utilization. The Innovation and Technology Support Office (ITSO) franchise was launched by the Intellectual Property Office of the Philippines in 2010 with the objective of strengthening local institutional capacity to access patent information for use in research, education, idea generation, and general business development. Likewise, ITSOs can be patent service providers in their own local communities, to conduct not only patent searches but also patent drafting, prosecution representation, advisory services, training, and over-all IP management. As such, it serves the TAU community as well as the local community, as it protects the creators and their creations for commercialization or public use.

Section 3 TAU Breakthrough Goals

Anchored on the challenges of the Sustainable Development Goals (SDGs) for inclusive growth, TAU aims to do the following:

(a) It will be one of the keys to innovative teaching methodologies and appropriate technologies to create an ideal environment to optimize learning. (b) It will advance sustainable agricultural productivity and improve income through innovation, technology generation, transfer, and training; and (c) it will use Science, Technology, and Engineering (STE) effectively for climate change resilience, adaptation, and agricultural productivity.

To achieve its Vision, Mission, and Breakthrough Goals, TAU believes it will best serve the public interest if it sets forth an intellectual space that is both encouraging and rewarding to its personnel and students in producing new knowledge, creativity, and innovation.

It seeks financial support from the government and from local and international organizations for its research activities. With such a premise, it ensures that any IP produced is administered and protected in the interest of the public.

It acknowledges the imperative to promulgate a "TAU Policy on Intellectual Property, Technology Transfer, and Research Collaboration", otherwise known as the "TAU IP Policy," as it becomes more active in research, innovation, and technology transfer.

This IP Policy sets forth guidelines that can be applied to facilitate the commercialization of research outputs and arrive at equitable solutions to possible IP issues relating to the conduct of research, technology transfer, and commercialization.

ARTICLE 2 POLICY OBJECTIVES

- a. Expand Prime across fact-finding research and technologies through encouragement and preservation of IP and through introducing and securing IP for commercial use;
- b. Equip concerned individuals with the legally binding protection in the production and commercialization of IP;
- c. Facilitate the transfer of technology from TAU to industry so as to benefit the public;
- d. Establish and maintain an innovation fund for research and innovation;

- e. Aid in the Vision and Mission of TAU as a state university and a research institution by practicing the highest ideals of teaching, research, and scholarship;
- f. Encourage and provide mutually beneficial rewards for the IP creators, the funding agency, and the public through commercial channels;
- g. Establish standards for determining the rights and obligations of TAU and the IP creators;
- h. Ensure compliance with applicable laws and regulations and enable TAU to secure sponsored research funding at high levels of research; and
- i. Serve the public's interest by making its IP accessible and beneficial to the public.

ARTICLE 3 GENERAL GUIDELINES

Section 1 Purpose of these Guidelines

To provide implementing rules and regulations in the IP policy.

- a. TAU implements the Intellectual Property Code of the Philippines, RA 8293, as it recognizes that the original intellectual creations in instruction, research, and, by extension, innovations in the literary and artistic domains of its personnel are protected from their inception to protection and commercialization.
- b. TAU encourages its personnel's freedom in research and in the publication of their results in any recognized and legitimate journals, subject to the adequate performance of their academic duties.
- c. TAU recognizes the intellectual properties of the creators and fosters accountability and accessibility of the intellectual creations and inventions. Such invention gives technical solutions to a problem in any field of human activity that are novel, inventive, and industrially capable.

Section 2 Interpretation

The Intellectual Property Code (IP Code) of the Philippines (RA 8293), the Plant Variety Act of 2002 (RA 9168), the Agriculture and Fishery Modernization Act (RA 8435 as amended by RA 10631), The Philippine Fisheries Code of 1998 (RA 8550 as amended by RA 10654), the Wildlife Act (RA 9147), Indigenous People Rights Act (IPRA Law or RA 8371), the Inventors and Inventions Incentives Act (RA 7459), the Magna Carta for Scientists, Engineers, Researchers and other Science and Technology Personnel in Government (RA 8439 as amended by RA 11312), the Administrative Code of 1987 (EO 292), Technology Transfer Act of 2009 (RA 10055) and the respective charters of agencies under the TAU and other relevant laws and their corresponding amendments, implementing rules and regulations are deemed written into the Guidelines. In cases of doubt, these guidelines shall be interpreted in favor of the university and the IP creators.

ARTICLE 4 COVERAGE

Section 1 Coverage

All intellectual property generated at the direction of TAU or through its funds, including research projects funneled to TAU by other agencies or entities, shall be protected. All officials and personnel of TAU are covered by the TAU IP Policy. To be specific:

- a. Personnel Covered. The TAU IP Policy applies to all faculty, researchers, students, research staff, and visiting professors participating in any program, project, contract, or research activity at the university.
 - i. All members of the faculty, non-teaching staff, and researchers, whether in permanent, temporary (detail or secondment) status, or casual status, as well as students of the university;
 - ii. Those under contract for service or under special appointment or designation, whether on a full-time or part-time basis, including professional contractors,

- consultants, and postgraduate fellows, visiting scientists, those on sabbatical programs, project and study leaders, trainees, students, and others; and
- iii. Those who are co-owners, joint owners, and/or co-authors of an intellectual property.
- b. **Matters Covered.** This shall include all intellectual properties whether for commercial and non-commercial purposes, created by those covered in this IP policy.
- c. **IP Rights Covered.** All types of Intellectual Property Rights stipulated in RA 8293, Section 4, as follows:
 - i. Copyright;
 - ii. Trademarks and Service Marks;
 - iii. Geographic Indications;
 - iv. Industrial Designs;
 - v. Patents;
 - vi. Utility Models;
 - vii. Lay-out Designs (Topographies of Integrated Circuits);
 - viii. Undisclosed Information; and
 - ix. Plant Variety Protection, as per RA 9168.

ARTICLE 5 DEFINITION OF TERMS

- a. **Background IP** - refers to the intellectual property or proprietary information owned by TAU or by its officers and employees, which they may bring along to a collaborative undertaking entered into by TAU with another party, company, or organization, whether local or international. The use of such IP may be allowed subject to the terms and conditions specified in the agreement.
- b. **Claims** - defines the limit of exactly what the patent does and does not cover; it determines the extent of the protection conferred by a patent or an application.
- c. **Collaborative Research/Work** - refers to the research involving the cooperation and coordination between or among researchers, institutions, organizations, and/or communities that will bring a distinguishable result to a project, either within or outside the university.
- d. **Confidential Information** - refers to any information or data of a confidential nature, including all oral and visual information or data, all information or data recorded in writing or in any other medium or by any other method, and all information or data which the university is under obligation, whether contractual or otherwise, not to divulge.
- e. **Creator** - refers to any institution, officer, employee, or service provider who is at the same time the inventor, author, or breeder who created any intellectual property.
- f. **Due Diligence** - refers to the appropriate investigation or examination of an IP application to make sure that there is no infringement or that the IP can be registered before application, or it could also pertain to any investigation conducted before entering into a commercialization agreement.
- g. **Enabler** - refers to any employees and other individuals (i.e., assistants, computer technicians, etc.) who have indirectly contributed to the creation of IP by the creators, mainly through the execution of standard tasks or following through on specific instructions, but who may not be recognized themselves as an author, inventor, creator, or owner of the IP created.
- h. **External Party** - refers to any other person or entity outside of the University with whom or with whom the University enters into an agreement; entity further means that it may be an organization, institution, college, or university that is a legal entity and is therefore subject to the laws of the country.
- i. **Foreground IP** - refers to any IP generated pursuant to, or as contemplated by, a collaborative undertaking or research agreement entered by TAU with another party, company, or organization, whether local or international. Generally, such IP shall be owned by TAU, except if otherwise categorically stated in the collaborative agreement.

- j. **IP Assignment** - refers to the transfer of an intellectual property right to another so that the assignor is no longer the owner of that right. The assignor cannot therefore use the right unless the assignee grants a license back to the assignor.
- k. **IP Licensing** - refers to any intellectual property bound for marketing.
- l. **IP Valuation** - refers to the assigning of worth or price to an intellectual property.
- m. **ITSO** - refers to the Innovation and Technology Support Office.
- n. **Joint Ownership** - refers to the sharing of IP ownership (Article 7) when the other research collaborators (5.25), who have contributed to the development of the IP, and the university agree for a shared IP ownership (Article 10).
- o. **Lead Creator** - refers to personnel who are primarily involved in, or have the most substantial contribution to, the creation of an IP, amounting to a reduction to practice from the point of conception, execution, and testing of methodologies to the development of the product or tangible material.
- p. **Net Cumulative Income** - refers to the money or revenue received by or through TAU in relation to the exploitation of the relevant IP, minus the payment of fees, royalties, tax, travel, production, development costs, legal fees, expenses of registration, or other protection.
- q. **Patent Claims** - refers to a patent claim as that part of the specification that, after the patent is granted, tells third parties what they can and cannot do insofar as the invention is concerned. The exclusive right conferred by the grant of a patent is defined by a patent claim. It also refers to the extent of protection conferred by a patent or an application.
- r. **Patent Drafting** - refers to the process of writing the patent description and claims. When the patent is issued, the draft is the specification part of the document.
- s. **Patent Information Search** - refers to the name given to the technical information found in patent documents, plus legal and business-relevant information about them, whereas patent documents consist of a first page comprising basic information, such as the title of the invention and the name of the inventor.
- t. **Premature Disclosure** - refers to the disclosure of an invention to the public before its filing for intellectual property protection, which may cause conflict when the university applies for an IP protection application.
- u. **Prior Art** - refers to any invention that has been made available to the public or anything that fits the description under the Intellectual Property Code of the Philippines, Chapter 2, Section 24.
- v. **Prior Art Search** - refers to searching various publicly available sources to find out whether an invention has been previously described or detailed in other references.
- w. **Reduction to Practice** - with respect to invention, this involves the critical processes from conceiving the invention, building the working or actual invention, or the essential features or technical functions of the invention, constructing or describing the relevant claims of the invention, up to the filing of the patent. With respect to creative undertakings, this involves the processes from the conceiving of the idea through the formulation, testing, and execution of methodologies to the development of the product or creative output.
- x. **Regular Duties** - refers to the official duties or functions of the officer, employee, or service provider as spelled out in their job descriptions relative to their employment with the institution or as may be so specified in their official designations.
- y. **Research Agreement or Research Service Agreement or Cooperative Research and Development Agreement** - refers to the contract entered by TAU and its researchers, including the agreements between the university and its collaborator. Dependent on the nature of the contract, it may also be called a "Material Transfer Agreement", "Confidentiality Agreement" or "Consultancy Agreement".
- z. **Research Collaborator** - refers to other universities and research institutions that undertake research with the academic and research staff of the university.

- aa. **Research Funding Agreement (RFA)** - refers to a contract entered into by the university with other entities that basically provides research funds to the university and sets out the terms and conditions for such funding and the conduct of the research.
- bb. **Researcher** - refers to (a) persons employed by the university, including students, employees, and technical staff, (b) including graduate and postgraduate students who use the university's resources and perform any research task at the university or otherwise participate in any research project administered by the university, including those funded by external sponsors or agencies.
- cc. **Revenue** - refers to the income incurred from the commercialization of licensed intellectual property.
- dd. **Royalty** - refers to the payment of a monetary reward or incentive as a consideration for the use of or any copyright of a literary, artistic, or scientific work, any patent, utility model, design, process, etc.
- ee. **Sponsor** - refers to the grantor of research funds under the Research Funding Agreement, whether a government or a private entity. It may also be referred to as the funding agency.
- ff. **Search Providers** - shall include all personnel under a contract of service, such as but not limited to consultants, administrative staff, guards, cleaning staff, and all those contracted by the institution to deliver a specific service or product.
- gg. **Serendipitous IP** - refers to an IP generated incidentally in the course of the collaborative undertaking or agreement entered into by TAU with another party, company, or organization, whether local or international. Such IP, which was not contemplated in the agreement, shall be owned by TAU, except if otherwise expressly articulated in the same agreement.
- hh. **Sponsored/Funded Research** - refers to the research funded by a government or private entity.
- ii. **Substantial Use of Resources** - shall refer to the use of resources and properties of TAU that are not commonly available to the public. Moreover, use of an institution's resources shall be considered significant if:
 - a. Use of TAU's resources is important for the creation of the IP;
 - b. Resources used would cost an officer or employee X pesos if paid out of pocket; and
 - c. If the officer or employee is using committed or official time of TAU.
- jj. **Tangible Research Property** - refers to research results that are in a tangible form and that include items such as materials, drawings, integrated circuit chips, computer software, computer and other databases, processes, prototypes, and circuit diagrams.
- kk. **TAU Personnel** - refers to all TAU employees, such as faculty, non-faculty, administrative officials, and all other organic members of the university, as well as other personnel covered by Article 4.1 of this IP Policy.
- ll. **TAU Funded** - refers to any program, activity, or project in which the funding is sourced from the funds of TAU as stipulated in the General Appropriations Act (GAA) or from the income of TAU.
- mm. **TAU Resources** - refers to all tangible resources provided by TAU to creators, including but definitely not limited to a) facilities such as offices, laboratories, and workplaces; b) equipment; c) computer hardware and software; d) support and secretariat services; e) research, teaching, and laboratory assistants; f) supplies; g) utilities; h) funding and reimbursement for research and teaching activities, including travel. It does not include salary, insurance, or retirement plan contributions paid to or for the benefit of the creators.
- nn. **Technology Disclosure** or **Invention Disclosure** - refers to the revelation of a technology or invention by completing a form that represents the first recording of the technology or invention and establishes the date and scope.
- oo. **Technology Readiness Assessment** - refers to the systematic, evidence-based process that evaluates the maturity of hardware and software technologies critical to the performance of a larger system.
- pp. **Technology Transfer Arrangements** - refers to the contracts or agreements involving the transfer of systematic knowledge for the manufacture of a product, the application

of a process, or the rendering of a service, including management contracts and the transfer, assignment, or licensing of all forms of intellectual property rights, including licensing of computer software except computer software developed for the mass market (RA 8293 Section 4.2).

- qq. **Third Party** - refers to a person directly involved in a transaction other than the principal.
- rr. **University** - refers to the Tarlac Agricultural University.
- ss. **Work/s** - shall refer to any intellectual property created by any officer, employee, or service provider in the course of their employment or engagement with TAU.

ARTICLE 6 INTELLECTUAL PROPERTY (IP) CREATION

Section 1 HEI Function

The university's fundamental function as a Higher Education Institution (HEI) is four-fold: instruction, research, extension, and production. With that, all IP created while performing these functions shall be protected. This means that all university personnel can engage in the creation of IP, as described in Article 4.1 of this IP Policy.

A. IP Generated from Research

- i. All research done within or through the university, whether funded by the university or by external parties, shall follow the university guidelines for research proposals, including the determination of potential IP to be generated.
- ii. Prior Art Search is a pre-requisite for the approval of all research. In case of potential patentable technology, all research proposals of the university personnel shall proceed with the prior art search and include in the proposal the "Review of Prior Art," which contains the search report as a pre-requisite for the approval.
- iii. The University personnel conducting approved research are required to attend an orientation regarding general IPR, TAU IP Policy, and IP Protection before conducting their research.
- iv. The University personnel shall disclose any possible patentable IP generated by their research immediately or within ten (10) days at the very least from the moment of discovery by submitting an IP Disclosure Form to the IP Office. If applicable, the IP registration shall then be pursued by the TAU IP Office.
- v. Before publishing any research results, whether in part or in full, TAU personnel shall seek prior permission first from the TAU IP Office.

B. Information, Education, and Communication (IEC) Materials

- i. All IP generated by university personnel with the purpose of conveying information, transferring knowledge, or establishing a brand such as, but definitely not limited to, posters, brochures, flyers, billboards, infographics, electronic materials, instructional materials, modules, manuals, videos, recordings, or art works should first undergo evaluation by an Instructional Materials Committee or its equivalent before registration can be pursued to ensure its quality.
- ii. Appropriate IP applications shall only be pursued upon the filing of the IP Disclosure Form at the TAU IP Office.

ARTICLE 7 INTELLECTUAL PROPERTY OWNERSHIP

Section 1

All Intellectual Property, including laboratory notebooks, cell lines and other tangible research property, shall be owned by the University subject to the following circumstances:

- a. The Intellectual Property was created as part of the regular duties and official functions of the academic and research staff, unless stated otherwise in the research contract; and,
- b. In the course of the creation of the Intellectual Property, significant University resources were used, or the IP was created pursuant to a Research Funding Agreement between the University and an external party. (Generally, use of library facilities, facilities available to the public, and occasional use of personal office equipment and office staff may not be considered significant uses of university resources.)
- c. If an employee of the university creates Intellectual Property outside the normal course of his or her duties of employment, with the significant use of university resources, he or she will be deemed to have agreed to transfer the IP Rights in such Intellectual Property to the university.
- d. The Intellectual Property Rights to all works created and inventions conceived or reduced to practice by all non-academic and non-research staff during office hours or with university resources, regardless of amount, shall be owned by the university in accordance with RA 8293 Sections 30, 30.1 and 30.2.

Section 2 Non-employees, such as visiting researchers, are required to transfer to the university any intellectual property they create during their activities arising from their association with the university. Such individuals will be treated as if they were university employees for the purposes of this policy.

Section 3 Any Intellectual Property created during the engagement of student and employees with the University shall be owned by the University.

- a. If a student is offered a studentship sponsored by a third party under a separate agreement under which the third party has a claim on Intellectual Property arising from the studentship or creates intellectual property in the course of or pursuant to sponsored research, the student must agree that the intellectual property shall initially belong to the university, and ownership will then be determined in accordance with the terms of the agreement concluded with the third party.
- b. If a student creates intellectual property with the significant use of university resources in connection with his or her research activity, he or she will be deemed to have agreed to transfer the IP Rights in such IP to the university as consideration for the use of university resources.
- c. The university shall claim ownership of all Intellectual Property created in the course of graduate and postgraduate (doctoral) students' research activity.
- d. Students shall be given the option to assign IP Rights to the university and shall then be granted the same rights as any employee inventor as set out in this policy.
- e. All rights in Copyright works are owned by their creators, regardless of the use of university resources. Copyrighted works specifically commissioned by the university or developed in the performance of sponsored research or other third-party agreements shall constitute an exception where the provisions of such agreements shall be taken into account.
- f. Any provision in this policy inconsistent with applicable provisions on IP ownership in Republic Act 10055 or the Technology Transfer Act of the Philippines, as well as with other relevant laws, shall be deemed superseded.

Section 4 Ownership and Management of Trademark

Tarlac Agricultural University shall be the sole owner of the university's logo, emblems, and marks, as well as those of other colleges. The IP Office shall have it registered with the Intellectual Property Office of the Philippines. Any use of the university property shall require prior license or permission from the marketing department or any concerned office of the institution. Likewise, the marketing department shall coordinate with the IP office for the use of all marks of the university.

Section 5 Ownership of Tangible Research Property (TRP) or research results

Tangible Research Property (TRP) or research results as defined in Article 6, which cannot be subject to any other kind of intellectual property protection, are presumptively owned by the university. In no case shall biological material in any form be the subject of patents or any other form of acquisition.

ARTICLE 8 PRODUCING EVIDENCE OF OWNERSHIP

Section 1 Where the idea cannot be simply written down by the creator, to prove ownership, employees and students are advised to photocopy diagrams and designs, make notes of any discussions, and record any music or other sounds at the time.

Section 2 It is advisable to maintain a clear record-keeping and filing system relating to the research and development of the idea, allowing the evidence to be easily retrieved. This puts the idea in material form and provides evidence of automatically arising IP, such as copyright. It also shows that the employee or student is the originator, and proof of this may be needed should a dispute arise.

ARTICLE 9 TARLAC AGRICULTURAL UNIVERSITY INNOVATION TECHNOLOGY AND SUPPORT OFFICE (TAU-ITSO)

Section 1 Creation of the TAU-ITSO

Nature and Functions

There is hereby a central TAU-ITSO that shall be responsible for the administration and organization of intellectual property matters at the university, including the management of the IP rights of all creative outputs and innovations resulting from the creative or research activities carried out by university personnel. Further, the TAU-ITSO shall ensure and manage all activities leading to the protection and commercialization of the university's IP portfolios.

The TAU-ITSO may likewise provide IP search, IP drafting, IP valuation, or IP management services to external clients (i.e., government institutions, private businesses or companies, or individual IP creators, etc.) subject to pre-arranged payment terms.

Section 2 TAU-ITSO Specific Functions

The TAU-ITSO shall have the following rules and functions:

1. To administer and implement the policies and guidelines in relation to the law on Intellectual Property of the University, including but not limited to IP creation, registration, and processing of applications for legal protection, handling technology transfer agreements, and conducting periodic IP audits;
2. To conduct IP awareness and/or IP education activities for the university's constituents, the service community, industry, and other stakeholders;
3. To receive and secure copyright disclosures, invention disclosures, and search reports from concerned researchers;
4. To perform the due diligence of validating the prior art search and/or patent information search report made by the IP creators within 20 days from the receipt of the disclosure and search report, to avoid any infringement related to IPR;
5. To assign a reference code for every IP disclosed or submitted to the TAU-ITSO and maintain a digital database to keep an inventory of all IP assets;
6. To prepare the description of the copyright or IP or draft the specifications of the patent together with the IP creators concerned, if and only if the IP is found to be protectable/patentable;

7. To write the recommendation to the University President for the immediate filing of appropriate IP protection, five (5) days after writing the copyright/IP description or drafting the claims of the patent;
8. To advise the IP creators concerned on the next viable course of action if the IP is not protectable or patentable;
9. To manage the entire prosecution process for every IP field for protection;
10. To lead the university in negotiating technology transfer arrangements with external parties, such as but not limited to licensing agreements;
11. To collect royalties derived from technology transfer arrangements and to supervise and hand out the latter in line with the foregoing guidelines;
12. To lead the university in contested proceedings affecting the IPR of these agencies in coordination with their respective statutory counsels; and
13. To perform other duties in compliance with the policies, guidelines, and related laws of this IP Policy as well as the IP Code of the Philippines or RA 8293.

Section 3 Funds for the TAU-ITSO

For its operation, the university shall allocate funds from the General Appropriations Act (GAA). The unit shall perform by means of grants, donations, royalties, and other finance sponsors, external and internal funding sources received by it and deposit such into an exclusive account at any government banking institution. The unit shall expend funds in conformity with its guidelines and existing government accounting and auditing rules and regulations.

Section 4 Staffing of the TAU IP Office To be able to perform its multi-layered functions effectively and efficiently, the TAU IP Office shall be manned by the following staff complement:

A. Chief of Staff/Director/Manager has the following duties and responsibilities:

1. Shall direct the over-all operations of the TAU IP Office and supervise the functions and work outputs of the staff.
2. Must at least have a doctoral degree and have attended seminars and training in Intellectual Property systems and relevant certificate courses on IP Management.
3. Coordinates with the Department of Science and Technology, the Technology and Promotion Institute, and the Intellectual Property Office of the Philippines regarding intellectual property protection, technology transfer, and commercialization.
4. In close coordination with the Department of Research and Development and the Department of Extension and Training for technologies needing intellectual property protection, promotion, transfer, and commercialization.

B. Associate Chief

1. Shall assist in patent mapping, patent search, patent drafting, and prior art searching.
2. Shall assist different colleges of the university with the inclusion of patentable activities in their respective research proposals.
3. Shall assist in the application of IPR protection with the proper authorities.
4. Shall conduct an IP audit in the different colleges of the university to determine if there are IP assets that are not properly protected.

C. Technology Promotion and Transfer Officer

1. Shall assist in the negotiation and technology licensing of all potential IPs generated by the university.
2. Shall market and promote IP-granted technologies for transfer, utilization, and/or commercialization, and shall keep track of the revenues generated from IP assets and other royalties.
3. Shall supervise the operation of technologies being commercialized.

4. Shall establish linkages with potential industries to commercialize IP assets
5. Shall facilitate the commercialization of protected technologies of the university and expedite the growth of the business.

D. Intellectual Property Agent/Patent Agent

1. The IP Office must have at least two (2) IP/Patent Agents who shall serve as a prior art/patent researchers and patent drafters.
2. Shall perform a search report and draft patent specifications together with the IP creators concerned.
3. Must be graduates of either engineering courses or natural sciences courses, preferably with an MS degree in these fields and with an appropriate professional license (a Certified Patent Agent will be desirable).

E. Intellectual Property Valuator

1. Shall be responsible for determining the potential value of an IP asset. Together with the IP Creators concerned.
2. Shall gather industry or market data and capture market information on current valuation standards.
3. Shall also prepare the quantitative valuation reports and provide advice on commercialization ventures of the university.
4. Must be a graduate of BS Mathematics, BS Statistics, or BS Economics preferably with an MS in these fields (a Certified IP Valuator or Patent Valuator will be desirable).

F. Legal Consultant

1. Shall provide legal advice to the TAU ITSO or IP Office with regard specifically to business plans, licensing agreements, or commercialization deals to be entered into by the university.
2. Shall likewise review licensing contracts, spinoff/startup agreements, IP assignments, and other similar ventures to be undertaken by the IP Office as to their legal implications and/or compliance with relevant laws, and how such contracts or agreements may be beneficial to the business interests of the university.
3. Must be a member of the Integrated Bar of the Philippines, preferably with considerable expertise or practice in corporate law.
4. Shall receive a compensation package based on pre-arranged rates and the terms of engagement

G. Technical Staff

1. Shall perform secretarial/clerical tasks in the preparation of reports and documents.
2. Shall assists in other administrative activities related to the responsibilities of the unit.

ARTICLE 10 SPONSORSHIP AND RESEARCH COLLABORATION INVOLVING THIRD PARTY

Section 1 Sponsored Research

- a. The University shall negotiate with the potential sponsor or funding agency that the Research Funding Agreement (RFA), as defined in this policy, include a provision that the resultant intellectual property (IP) shall be owned by the University. Should there be other research collaborators as defined in this policy who have contributed to the development of the resultant IP, the university may opt for joint ownership with the other research collaborators as may be spelled out in the RFA. The university, however, may waive its right to own the IP in favor of the sponsor under the following circumstances:

1. The research project is focused mainly on product development or improvement to the sponsor's existing products or services, and only the sponsor's background in IP is involved;
2. The research project is specific to the sponsor/funding agency in that the sponsor/funding agency has defined a way of performing the study; and
3. The sponsor/funding agency mainly requires access to the expertise and know-how of the university's existing IP portfolio and is not involved.

Under these circumstances, the funding agency shall be required to bear the full project cost, which shall include university manpower, facilities, and equipment costs.

Furthermore, the RFA shall contain a provision limiting the sponsor's ownership of the IP to its field of application. The University reserves the right to own the IP generated in other fields of application not specified in the RFA and shall be free to exploit the IP in those fields of application.

- b. In the case of a research undertaking funded by a government funding agency, ownership of the resultant IP shall be governed by the provisions of Republic Act 10055, or the Technology Transfer Act of the Philippines, specifically Article 2 on "Intellectual Property Ownership".

Section 2 Collaboration by Researcher with Third Parties

- a. It is the responsibility of the researcher to ensure, that, prior to commencing any research activity in collaboration with any third party, the terms and conditions of cooperation are set forth in a written Research Agreement as defined in this policy.
- b. Researcher shall not have the right to enter into a Research Agreement with third parties on behalf of the university unless they are authorized to do so by an official representative of the university.
- c. In the absence of such Research Agreement as defined in this policy, Intellectual Property Rights, and the revenues duly generated from commercializing the IP shall be distributed among the cooperating parties according to the proportions of the contributions by all parties to the creation of the Intellectual Property.
- d. To enable the cooperating parties to establish such proportions as mentioned in Paragraph C and to present subsequent disputes, it is expedient that the parties maintain regular, well-documented records of the research activities pursued, signed by all of them.
- e. The agreement set forth as mentioned in Section 1. Paragraph A of this Article shall include, among others, provisions with respect to the following:
 1. Intellectual Property and associated rights already existing in the University prior to entering into the agreement;
 2. Intellectual Property and associated IP Rights arising from research activities set out in the agreement after entering into it;
 3. Confidentiality requirements;
 4. Terms of public disclosure; and
 5. Other relevant provisions.
- f. Any confidential provisions of the Research Agreement aiming at the delay of public disclosure for the purpose of protection should not usually have effect for longer than six (6) months from the time the concerned party is notified of the intent to publish.

ARTICLE 11 GENERAL OBLIGATIONS

- Section 1** All academic and research staff shall at all times maintain the confidentiality of all information, whether it was made or developed on their own, in collaboration with university colleagues, or through discussions, formal or informal, with university colleagues.

- a. All academic and research staff shall keep the university's business secrets in confidence. In terms of this policy, every fact, information, solution, or data related to the research carried out at the university, whose public disclosure or its acquisition or exploitation by unauthorized persons could damage or endanger the university's lawful, financial, economic, or market interests, shall qualify as a business secret. Researchers shall, when communicating with third parties, exercise due diligence regarding confidentiality provisions.
- b. Disclosure of Confidential Information, however, may be allowed under the following circumstances:
 1. Disclosure is required by law; and/or,
 2. Disclosure is made with the prior consent of the university.

Section 2 Disclosure of Conflicts of Interest

- a. The primary commitment of time and intellectual contributions of academic and research staff as employees of the university should be to the education, research, innovation, and academic programs of the university.
- b. It is the responsibility of academic and research staff to ensure that their agreements with third parties do not conflict with their obligations to the university or to this policy. This provision shall apply in particular to private consultancy and other research service agreements concluded with third parties. Each researcher should make his or her obligations to the university clear to those with whom such agreements may be made and should likewise ensure that they are provided with a copy of this policy.
- c. All academic and research staff must make full and honest disclosure to, and seek the prior approval of, the university with respect to the following circumstances:
 1. Academic and research staff undertaking sponsored or collaborative research with an organization or company that has a licensed IP from the university, where the research is related to or in the same area as the licensed IP;
 2. Deployment of university students by the academic and research staff to do product and/or process research and development for an organization or company in which the academic or research staff supervises final-year projects and higher degree students, the aforementioned circumstance includes working on thesis topics in which the academic and research staff has a commercial interest in the research area;
 3. Transmitting confidential information to an organization or company;
 4. Undertaking or changing the orientation of the academic and research staff's research (whether supported by university funds or external grants) to serve the research, product development, or other needs of an organization or company.
 5. Purchase of equipment, instruments, materials, or other items for research from an organization or company in which the academic and research staff has an interest, whether directly or indirectly; and
 6. Engaging in consultation or commercial exploitation of a university's IP with an organization or company in which the academic and research staff has any interest, whether directly or indirectly.
- d. An academic and research staff shall be deemed to have an interest if she/he or any person related to him/her within the third degree of consanguinity or affinity is an official of or holds a significant share in the organization or company in which the academic or research staff has an interest.
- e. Failure to disclose interests in an organization or company and/or to seek approval from the university as required shall make the academic and research staff liable to disciplinary or other actions which the university may, in its sole discretion, impose.

ARTICLE 12 DISCLOSURE, EVALUATION AND COMMERCIALIZATION OF INTELLECTUAL PROPERTY

Section 1 Intellectual Property Disclosure and Evaluation Process

- a. If an academic and research staff member has developed an IP, the ownership of which is vested in the university under Article 6, the academic and research staff member must promptly disclose the full details of the IP to the university, specifically to the TAU IP Office, by submitting a Technology Disclosure Form as well as a copy of the same to his/her Dean.
- b. The IP office will evaluate the patentability and/or commercial potential of the IP. The IP office may consult, if appropriate or necessary, with other universities or independent experts in the field for assistance in the evaluation of the IP.
- c. The IP Office shall, within two weeks from the date of receipt of the Technology Disclosure Form, confirm in writing with the academic and research staff whether or not the university will pursue patenting and/or commercialization of the IP.
- d. The academic and research staff shall at all times maintain the details of an IP confidential in accordance with the confidentiality policy set out in Article 11, more particularly during the period when the IP Office is assessing the viability of patenting and/or commercializing the IP. During the evaluation period, the academic and research staff are obliged to withhold any public disclosure until such time as a patent application has been filed.
- e. Should the IP be covered by obligations to a sponsor or research collaborator under the terms of a grant or research funding agreement, the IP Office will contact the sponsor or research collaborator and proceed with the management of the IP in accordance with the terms of the agreement with such party.

Section 2 Commercialization of the University Intellectual Property

- a. The university shall be entitled to approach, negotiate, and enter into any binding agreement with any third party on such terms and conditions as the university, being the legal and beneficial owner of the IP, shall in its sole discretion deem fit.
- b. The university shall be entitled to assign rights or grant licenses, whether exclusive or not, in respect of the IP for such periods as it shall deem fit or make such other arrangements relating to the IP as it may deem appropriate in order to facilitate technology transfer while protecting the rights of the university and the academic and research staff.
- c. The university will not negotiate contracts for consulting services for the academic and research staff as part of a license agreement. The academic and research staff are free to negotiate such contracts on a personal basis.
- d. The support and cooperation of the investors are critical for successful commercialization. The academic and research staff shall provide all information and render all assistance to the university in any phase as may be required from time to time.
- e. The university may use any means whatsoever, as it shall in its sole discretion deem fit, to protect any IP owned by it, including but not limited to instituting proceedings concerning infringement of IP rights and breach of license agreements.
- f. All Intellectual Property licensing or commercialization activities by the university shall proceed, and subsequent contracts therefor shall materialize, in accordance with the pertinent provisions of Republic Act 8293, or the Intellectual Property Code of the Philippines, particularly Sections 87 and 88, as well as in accordance with Republic Act 10055, or the Technology Transfer Act of the Philippines, and its Implementing Rules and Regulations, and other relevant laws, as the case may be.

ARTICLE 13 ROYALTIES AND BENEFITS

Section 1 Based on RA 8439 (Magna Carta for Scientists, Engineers, Researchers, and Other Science and Technology Personnel in the Government) and RA 10055 (Philippine Technology

Transfer Act of 2009), the researcher/s shall receive a percentage share of royalties and other benefits generated from their commercialized IPs subject to the following terms and conditions:

A. Waivers and authorities

1. The University President shall recommend to the Board of Regents for confirmation all waivers of ownership whenever there are cases of failure to publish or failure to file an application for a patent or any form of intellectual property rights. The University President may delegate the responsibilities to Vice President for Research, Extension and Training; and
2. The President shall periodically report to the Board of Trustees intellectual property rights owned by the University which are impliedly waived immediately upon their discovery.

B. Royalties shall be allocated in cash as follows:

1. Revenue Sharing between the Research and Development Institution (the University) and the Researcher/s: 60% (the University): 40% (the Creator) RA 8439, Sec. 7b (DOST AO 009, Sept. 14, 2015) RA 8439: Mana Carta for Scientists, Engineers, Researchers, and Other S&T Personnel in the Government

C. Distribution of Share among Researchers

1. For technologies with only one researcher, 100% shall be vested in the sole researcher;
2. For technologies with two researchers, 60% shall be given to the main author/researcher and 40% to the co-researcher; and
3. For technologies with three or more researchers, 40% shall be given to the main author/researcher and 60% shall be distributed among the other researchers.

D. For IPs owned by holders assigned to the University: 60% (Creator): 40% (The University)

E. For IPs with External Funding Support: 50% (Creator): 25% (Funding Agency); 12.5% (The University) ;2.5% (College/Unit)

1. Parties concerned shall mutually agree on the manner of payment of royalties;
2. Royalty percentage share shall be calculated and apportioned properly in accordance with the distribution of shares among researchers and stipulated clearly in the contract. The researcher(s) shall continue to receive their share within their lifetime if royalties and revenues are derived from the commercialization of the technology. If researcher(s) retire or have severed employment ties with RDI, they shall likewise continue to receive royalties and revenues derived from commercialization. However, the researcher or researchers cannot assign, convey, or transfer his/her right, title, or interest in and to the share of royalties, and
3. Awards, prizes, honoraria, and the like received by the university's creators primarily as recognition for achievement in the generation of intellectual property shall not be deemed to be royalties.

Section 2 In the event of an inability to locate the university's creators or his/her heirs within ten years from the last publication of three notifications in a newspaper of general circulation, his/her royalty percentage share, including interest, shall be considered forfeited in favor of TAU.

Section 3 Where there is a rational basis for a royalty refund, payment thereof shall be deferred until the matter is resolved.

Section 4 A juridical person who has a legal basis for receiving any royalty but does not receive it shall submit a claim in writing, in accordance with applicable law, to the university or the TAU IP Office.

Section 5 **Other income derived from the research shall not be considered royalty.**

ARTICLE 14 COMMERCIALIZATION BY THE ACADEMIC AND RESEARCH STAFF

Section 1 In meritorious cases and to help ensure successful commercialization, the university shall allow the academic and research staff to commercialize or pursue commercialization of the university's intellectual property by creating, owning, controlling, or managing a company or spin-off firm undertaking commercialization, or by accepting employment as an officer, employee, or consultant in a spin-off firm undertaking such commercialization. The concerned academic and research staff shall take a leave of absence, whenever applicable, for a period of one year, renewable for another year, for a total period not exceeding two years, from the time the academic and research staff signifies in writing that he/she desires to create or participate in a spin-off company. The academic and research staff, however, shall still be allowed access to the university's laboratory facilities, subject to reasonable fees and regulations.

ARTICLE 15 GENERAL PROVISIONS

Section 1 Interpretation

In the event of a conflict between any provision of this IP policy and any pertinent law, regulation, or other university policy, only the provision(s) affected shall be rendered ineffective without prejudice to the other provisions of this IP policy.

Section 2 Penalties

Any person found to have violated any of the provisions of this IP policy shall be meted out with any of the following penalties:

1. Automatic removal of research load credits and ineligibility to receive load credits for a period not to exceed four semesters
2. Removal from any university administrative position and disqualification for any administrative position for a period not exceeding 3 years.
3. Ineligibility to be sent to a local or foreign scholarship or training for a period of 2 years.

ARTICLE 16 CONFLICT RESOLUTION

Section 1 In case of dispute arising from any of the provisions of this policy, the parties may agree to resort to mediation to settle the dispute first, with the assistance of the TAU IP Office. The decision is appealable to the President of the University, whose decision shall be final.

Section 2 If mediation is unamenable to both parties, the parties may avail themselves of any remedy provided for by existing laws, rules, and regulations.

ARTICLE 17 TRANSITORY PROVISIONS

Section 1 This policy shall apply to existing agreements between the University and any third-party with the potential to generate intellectual property, subject to the conformity of the latter.

Section 2 If an existing agreement is renewed, revised, or amended after the TAU IP Policy takes effect, the amended or new agreement shall conform to this policy or shall automatically be under the operative provisions of the policy.

ARTICLE 18 EFFECTIVITY

This policy shall take effect upon the approval of the Board of Regents.

CHAPTER XI

POLICIES AND GUIDELINES IN THE CONDUCT OF GRADUATE AND UNDERGRADUATE THESES

ARTICLE 1 GRADUATE AND UNDERGRADUATE THESES

Section 1 The Thesis Student

The thesis student is a bona fide student of the TAU who conducts research as a requirement for graduation. The qualifications are as follows:

1. Undergraduate Student - refers to a student who has completed the minimum academic requirements and is officially enrolled in the thesis courses required to finish his/her degree.
2. Graduate Student - refers to a student who has completed the minimum academic requirements, passed the Comprehensive Examination, and is officially enrolled in the thesis courses required to finish his/her degree.

Thesis students may enroll 3 units per semester for two (2) consecutive semesters to complete the required thesis requirements.

Section 2 Thesis/Dissertation Advisory and Oral Examination Committee

The Panel Members of the Undergraduate Students shall be composed of one (1) adviser and two (2) members. For graduate students, one (1) adviser, one (1) chair of the Oral Examination Committee, and two (2) members for the Master's Degree, and four (4) members for the doctoral degree, one (1) Statistician and one (1) External Reader, and one (1) Critic Reader shall compose the respective Panel Members.

A thesis student shall choose his/her Panel Members upon consultation with the College Research Coordinator concerned. After consultation, selected members of the Panel Members shall affix their signature to the TAU-DRD-QF-43 form to signify their willingness to accept the responsibility of an adviser. The form shall be forwarded to the College Dean for approval and to the Director of Research and Development for notation. For graduate thesis and dissertation, the form should be forwarded to the President for approval upon recommendation by the College Dean and the Director for R&D.

Section 3 Change of Thesis/Dissertation Panel Member and Oral Examination Member

In the event that an adviser or member should be replaced, the student shall formally inform the DRD Director, and the College Dean concerned through a written communication form following the prescribed format (TAU-DRD-QF-48).

Section 4 Educational Qualification and Functions of the Thesis/Dissertation Adviser

A thesis adviser must be a specialist in the research discipline where he/she is involved as adviser. He/She shall have the following minimum qualifications:

Ph.D. or its equivalent for doctoral degree
MS/MA for masteral degree
MS/MA or its equivalent for undergraduate students.

A thesis adviser shall guide the thesis student in the conceptualization of the research problem, the conduct of the research experiments, and the interpretation and analysis of the data/results of the study. In the graduate program, members of the committee also assist the thesis student.

Section 5 Preparation of Thesis Proposal

Upon approval of the thesis Panel Members, the student conceptualizes the research problem under the guidance of his/her advisers. He/She shall first make a thorough investigation of the previous studies conducted at the university and/or other educational research institutions before formulating the thesis proposal. Relevant research studies possessing novelty and economic importance are recommended. Research problems to be addressed by the student shall also be in accordance with the research thrusts and priorities of the university.

The preparation of the thesis proposal shall follow the format prescribed by the DRD. (See Appendix B, Annex 2 and 3).

Section 6 Undergraduate Thesis Proposal Review and Defense

Undergraduate thesis proposals shall undergo a series of reviews and screening processes. The adviser shall do the preliminary screening. Should there be any comments and/or suggestions, the proposal shall be returned to the student for revision/refinement. The bases for evaluation are relevance, priority area, and technical aspects such as format, methodology, and the like. A thesis proposal defense shall be scheduled by the student at least two weeks before the date of the defense. After the student has passed the proposal defense, he/she shall forward a copy of the approved proposal to the College Dean.

Section 7 Graduate Thesis Proposal Review and Defense

Graduate thesis proposal shall also undergo series of reviews and screening processes. The Panel Members shall do the preliminary screening. Should there be any comments and/or suggestions, the proposal shall be returned to the student for revision/refinement. When the thesis proposal has been approved by the Panel Members, it shall be presented before an examining committee.

The following shall compose the examining committee:

For the Master's Program

Honorary Chairperson (University President/Representative)
 Executive Chairperson (VPAA/College Dean/Graduate Program Coordinator)
 Chairperson, Examining Committee – Full-time Faculty (Expert in the area of research study)
 Members (2 specialists and statistician)
 Resource Person - DRD Director or his/her Representative

For the Doctoral Program

Honorary Chairperson (University President/Representative)
 Executive Chairperson (VPAA/College Dean/Graduate Program Coordinator)
 Chairperson, Examining Committee – Full-time Faculty (Expert in the area of research study)
 Members (3 specialists and statistician)
 Resource Person - DRD Director or his/her Representative

The Program Chairperson and Graduate Program Coordinator shall identify who shall serve as a Statistician/Subject Specialist/Critic and Panel Members during the evaluation of the research proposal.

Approved thesis proposal shall be submitted to the Department of R&D and the College concerned.

Section 8 Ocular Inspection

Ocular inspection shall be conducted by the members of the Panel Members, the Dean as the College Research Coordinator, or their authorized representatives upon:

- a. establishing the experimental area;
- b. acquisition of stocks;
- c. prior to final gathering of the data; and
- d. any stage of the experiment.

For social sciences, the study area may be visited if the Panel Members considered it necessary. (See Appendix B. Annex 4)

Section 9 Conduct of Research

During the study, the student researcher should report regularly to his/her advisers on the progress of the study and should consult them in case a problem occurs during the conduct of the research.

Advisers should closely monitor the activities of their advisees and see to it that the procedures of the experiments are accurately executed to ensure the reliability and validity of results.

Section 10 Analysis and Interpretation of Findings

After gathering the data, the student researcher collates, tallies, categorizes, tabulates, and subjects all the data for analysis. Frequent consultations with the members of the Panel Members should be made for the accuracy of statistical computations and the interpretation of results.

Section 11 Preparation of Manuscript

The student researcher shall prepare the first draft of his/her manuscript following the prescribed format of the college and/or the DRD.

Frequent consultations with the adviser/s shall be made, especially in the analysis, interpretation, and discussion of data. The manuscript approved by the Panel Members for defense should be prepared according to the prescribed form and standard set by the Department of Research and Development.

Section 12 Final Examination

A Graduate thesis student shall apply for the final examination before the conducts of his/her thesis. A schedule of the final examination shall be requested two (2) weeks prior to the examination date, following the prescribed application form. (See Appendix B, Annex 5).

To pass the examination, the candidate must obtain an average rating of at least 70. A student who fails in the examination shall be given another examination, which shall be scheduled by the Panel Members upon approval of the Graduate Program Coordinator and College Dean concerned.

The Examining Committee for undergraduate theses shall be composed of the following:

- a. Chairperson of the Panel Members
- b. Members of the Panel (2)

The Graduate Thesis/Dissertation Examining Committee shall be composed of the following:

- a. Panel Members who are composed of the Chairman, and 4 members for Ph.D./Ed.D. and 2 members for Master's degree
- b. Examining Committee stipulated in Section 7 of this article

- c. Technical panel (for highly technical studies)

The final rating of the student shall be given by the Adviser and the Examining Committee following the certain percentage:

- 70% from the Adviser/s
- 30% from the Examining Committee

Section 13 Final Examination Fees for Graduate Thesis/Dissertation

Graduate students (MS/MAEd and Ph.D.) are required to pay an amount set and approved by the Board of Regents as incentives for the Examining Committee.

Section 14 Venue

The final examination shall be conducted at any venue authorized by the Panel Members within the university (for undergraduate thesis). The presentation (for the graduate thesis/dissertation) may be conducted face-to-face, at an off-site venue, or in a hybrid mode, as authorized by the Panel Members and Graduate Program Coordinator.

Section 15 Final Copy of the Manuscript

After the oral defense, the student researcher revises his/her manuscript, integrating the corrections, comments, and suggestions of the Examining Committee. Advisers must ensure that the corrections are incorporated, and the prescribed format is met before signing the final copy.

The final draft of the manuscript is then submitted to an English critic for refinement. After integrating the critiques, the final copy of the manuscript shall be forwarded to the Panel Members for signature, the College Research Coordinator for recording, the College Dean for Approval, and the Director of R&D for notation. Graduate manuscripts shall be forwarded to the Panel Members and Examining Committee for signature, the College Research Coordinator (undergraduate level) and Graduate Program Coordinator (graduate level) for recording, the College Dean and the University President for approval, and the Director of R&D for notation.

Section 16 Best Undergraduate/Graduate Research Paper

A Best Paper Award shall be given to outstanding student researcher/s based on the criteria set by the Department of Research and Development.

Section 17 Thesis Grant for Undergraduate/ Graduate Students

- a. Thesis grant is awarded to an outstanding student who is officially enrolled in Thesis Courses
- b. The student who wishes to apply for the Thesis grant must have an approved Thesis Outline and the Endorsement of his/her College Dean during the time of application.
- c. The focus of his/her research must be in accordance with the priority thrusts and programs and research agenda of the University.
- d. The grant is limited only to supplies and materials needed for the establishment of his/her study.

ARTICLE 2 THESIS MANUSCRIPT FORMAT

Section 1 For the Textual Presentation

Thesis/dissertation manuscripts should be formatted as follows:

Paper Size: **Letter, 8.5" x 11"**

Font Type and Size: **Times New Roman, 12**

Margins: **1.5" (Left), 1.0" (Top), 1.0" (Bottom) and 1.0" (Right)**

Spacing: **Title (double space)**

Main heading to subheading (3 single spaces)

Subheading to sub-subheading/textual content (single space)

Textual contents (double space)

1. Preliminary pages should include the Title Page, Approval Page, Biographical Sketch, Acknowledgment, Table of Contents, List of Tables, List of Figures, List of Appendices and Abstract. Lowercase Roman numeral page numbers should be adopted and must be placed at the upper right-side part of the page. Preliminary pages should also be included in the Table of Contents with corresponding lowercase Roman numerals as page numbers and must not be placed at the center.
2. Thesis/Dissertation committee title, author, degree and major field, and names of the Advisory, Directors, Dean and College Research Coordinator should be capitalized in the Approval Page. The highest degree earned by the signatories should also be included. The date signed should be specified as Date – Month – Year.
3. **Biographical Sketch.** A biographical sketch is a summary of the author's educational accomplishments, publications, and affiliations. A 2x2 picture may be placed on the upper left corner of the page. The page should also be signed by the author.
4. **Acknowledgment.** The acknowledgement section should briefly summarize the individuals and funding institutions (if there are any) who provided assistance to the author during the research study. It may also include English language critics, statisticians, proofreaders, etc.
5. **Abstract.** There should be a minimum of 150 words but not more than 300 words. It briefly states the objective of the research, the principal results, and major conclusions.
6. **Introduction.** State sufficient background and significance of the research study, avoiding a detailed literature survey or a summary of the results. Objectives, hypotheses (if there are any), and definitions of terms should be placed after the introduction.
7. **Review of Literature and Studies.** A detailed review of literature and research studies supporting the research study.
8. **Methods and Procedures.** Provides sufficient details of the materials and methods used. Should include research instruments, design, data analysis, and a systematic procedure on how the experiments were established. Methods that are already published should be summarized and cited.
9. **Results and Discussion.** Should be clear and concise.
10. **Summary, Conclusions, and Recommendations.** Should present the summary of the findings, the conclusions drawn from the findings, and the corresponding recommendations.
11. **Literature Cited.** State all references cited and used in the study. The latest APA format for reference management should be adopted.

Section 2

For Tabular Presentation

1. Tables should be placed along with the text or in the appendices. If it is included in the text, it should be presented after it has been mentioned. It should maintain two single spaces (12 points) before and after the text.
2. Double solid lines should be used on the top and bottom parts of the tables.
3. The first level heading should be all capitalized, while the second level heading should have the first letters capitalized. The third-level heading should be in small letters.
4. The tables should have no side boxes. Minimize the lines inside the table. If possible, only vertical lines to separate the headings should be maintained.
5. For continued tables, indicate "Table no. __ continued... There is no need to include the table title. Table headings as they appear on the first part of the table should be indicated.

The table title should be placed on top of the table, be one space (6 points) before the double solid lines, and end with a period. If the table title uses more than one line, the succeeding lines should follow the hanging indent format.

Section 3 For Figure Presentation

Figures may be placed in the text or in the appendices. If it is included in the text, it should be presented after it has been mentioned, with two spaces (12 points) before and after the text. Use high-resolution figures with the figure caption placed below after a 6-point space. If the caption uses more than one line, the succeeding lines should follow the hanging indent format.

Section 4 For the Literature Cited

The latest edition of the American Psychological Association's (APA) publication style should be adopted for reference management.

The literature cited in the text should be listed alphabetically.

Double spacing between entries and single spacing within an entry should be maintained.

Each reference cited should be ended with a period.

The second and succeeding lines of the reference cited shall be indented one tab from the first line.

Examples of Literature Cited Style (cite version APA format)

Journal publication

Van der Geer, J., Hanraads, J.A.J., Lupton, R.A. (2000). The art of writing a scientific article. *J. Sci. Commun.* 163: 51-59.

Book

Strunk Jr., W., White, E.B. (1979). *The Elements of Style*, 3rd third ed. Macmillan, New York.

Chapter in an edited book

Mettam, G.R., Adams, L.B. (1999). How to prepare an electronic version of your article., in: Jones, B.S., Smith, R.Z. (Eds.), *Introduction to the Electronic Age*. E-Publishing Inc., New York, pp. 281-304.

Website

Complete URL and the date when the reference was last accessed should be stated

ARTICLE 3 REPRODUCTION OF THESIS MANUSCRIPT

Upon approval of the final draft of the research, the student researcher makes the final copies of his/her manuscript with the following quantities:

For Undergraduate students 6 copies

Distribution: (1) copy for the Chairperson of the Panel Members
(1) copy for the University Library
(1) copy for the College Reading Center
(1) copy for the Department of Research and Development
(1) copy for the Admission and Registration Services
(1) copy for the student

For Graduate students 7 copies

Distribution: (1) copy for the Adviser
(1) copies for the Department of Research and Development
(1) copy for the College Reading Center

- (1) copy for the University Library
- (1) copy for the Graduate Program Coordinator's Office
- (1) copy for the Admission and Registration Office
- (1) copy for the student

The manuscript shall be duly signed and approved by officials concerned before they are bound as thesis/dissertation books. Graduate theses shall be covered in green, while undergraduate theses shall be covered in maroon or as prescribed by concerned colleges.

The Department of Research and Development will record and number the bound copies and the soft copy of the research (which will be uploaded). Non-submission of the research soft copy may delay the release of the bound copies from the department.

The deadline for the submission of bound manuscripts shall be in consonance with the Academic Calendar approved by the Head/BOR Council.

Chapter XII UNIVERSITY RESEARCH SERVICE PROVIDERS AND FACILITIES

ARTICLE 1 A Research Service Provider is faculty member, student, or other non-academic personnel of the university who is willing to conduct research within his/her competence and field of expertise and who ensures that his/her research undertaking is aligned to the research and commodity thrusts and priorities of the university.

ARTICLE 2 COMPOSITION OF PROJECT/STUDY LEADERS AND MEMBERS

The composition of Project/Study Leader and members shall be primarily undertaken by the proponent of the research, however, the DRD Director shall determine if the Team Leader and Members are competent to handle the research activities and are in line with his/her field of expertise based on the Researcher's profile (TAU-DRD-QF-16).

ARTICLE 3 SELECTION OF TECHNICAL EXPERT/RESEARCH PROPOSAL EVALUATOR

Technical Expert is a distinguished senior researcher who is competent and knowledgeable in his/her field of specialization. He/She must have at least five years of experience in research.

The selection of the Expert(s) shall be undertaken by the DRD Director and shall base his/her decision on the approved criteria and proven competencies relevant to his/her field of specialization.

ARTICLE 4 PRIVILEGES AND INCENTIVES

Privileges and incentives shall be provided to the personnel of the Department of Research and Development as well as to the Technical Experts and Researchers to compensate their hard work and sustain their motivation to remain steadfast in realizing the program goals and objectives. The privileges and incentives are in the form of (a) reduced workload or equivalent teaching load (ETL); (b) cash incentives and financial assistance; (c) compensatory time-off or CTO; (d) credit for academic rank or faculty evaluation; (e) an honorarium; and (f) allowable travel allowances.

A Research Service Provider is faculty member, student, or other non-academic personnel of the university who is willing to conduct research within his/her competence and field of expertise and who ensures that his/her research undertaking is aligned to the research and commodity thrusts and priorities of the university.

Section 1 Reduced Workload/Research Equivalence (ETL)

To encourage and help the faculty to conduct research, reducing the teaching load plays a crucial role. The research equivalence is determined and endorsed by the RET Council and approved by the Administrative Council. University personnel who are directly involved in research functions shall be given the following teaching loads and preparations:

Position	Equivalent Teaching Load
Director	12 ETL
Assistant Director	9 ETL
Chief, AREC and ITSO	6 ETL
In-Charge, Laboratory or Center	6 ETL
Detailed Faculty-Designation	70% of time
College Research Coordinators	3 ETL

Section 2 Honorarium

The researcher(s) with a project funded by external funding agencies shall be entitled to a reasonable honorarium, subject to government rules and existing accounting and auditing procedures.

Section 3 Credit for Faculty Evaluation

Outputs from research are given corresponding credits in the evaluation of faculty for academic ranking.

Section 4 Representation and Travelling Allowances (RATA)

The DRD Director shall be entitled to a monthly RATA based on existing rules and regulations, subject to the availability of savings/fund.

Section 5 Compensatory Time-Off (CTO)

Compensatory Time-Off shall be granted to permanent and temporary faculty for services rendered beyond their official time and on non-working days as may be governed by existing policies. Overtime pay shall be subject to availability of savings/fund.

Section 6 Incidental Expenses

This refers to the amount spent for transportation or travel. This may be in the form of land transportation fares, hotel accommodations during an out-of-town trip, and meal allowances, while negotiating official businesses or transactions for research purposes. Payment of the Per Diem is governed by Executive Order No. 77.

ARTICLE 5 RESEARCH AND DEVELOPMENT FACILITIES

The following are the available facilities of the Department of Research and Development:

Section 1 Research Building

- Affiliated Renewable Energy Center
- Conference Room
- Director's Office
- Grafting Chamber
- Hardening Chamber
- Innovation Technology and Support Office
- One Stop Information Shop/Accreditation/ISO Room
- Philippine Journal of Arts, Sciences, and Technology Office
- Reading Center
- Research Staff Office
- Storage Rooms
- Tomato Hub

Section 2 Laboratory Facilities and Equipment

- Agrometeorological Station
- Animal Biotechnology Laboratory
- Biology Laboratory
- CAF Farm
- Cattle Project
- Chemistry Laboratory
- Composting Area
- Crop Protection Laboratory

Crop Science Laboratory
 Feed Laboratory
 Food Processing Laboratory
 Four-wheeled tractor
 Free Range Project
 Goat Project
 Greenhouse and Field Experimental Area
 HVCC Net houses
 Microbiology Laboratory
 Palayamanan (SP Experimental Area)
 Physics Laboratory
 Prototype Machineries
 Soil and Soil Testing Laboratory
 Spirulina Project
 Vegetable Area

Section 3 Rootcrops Research and Training Center

1. Tissue Culture Laboratory
2. Disease Indexing Laboratory
3. Training Rooms
4. Director and Staff Office
5. Net houses

Section 4 SMART Agriculture Center

1. Net houses
2. Drip Irrigation
3. SMART Greenhouse
4. Generator
5. Manager and staff office
6. Conference room

Section 5 Bamboo Research and Training Center

1. BRTC Chief's office
2. Bamboo Clonal nursery Propagation
3. E-Bamboo Shared Facilities
4. Bamboo Plantation in Calao Forest Reserve
5. Bamboo Products Showroom

Section 6 Innovation Technology Support Office

1. ITSO Chief Office

Section 7 Affiliated Renewable Energy Center

1. AREC Chief Office
2. Agri-waste Stove (2)

Section 8 Cong. Carlos O. Cojuangco Reproductive Animal Biotechnology Laboratory

1. Forage Area
2. Animal Pen
3. Semen Processing and Laparoscopic
4. Artificial Insemination Laboratory
5. Manager's Office

Section 9 Philippine Journal of Arts, Sciences, and Technology

1. PJAST Office
2. Online portal (www.pjast@tau.edu.ph)

Section 10 Audio-visual Facilities

1. LCD Projector
2. Laptop
3. Voice Recorder
4. Digital Camera

Section 11 Software

1. Qualitative Data Analysis
2. Quantitative Data Analysis
3. Anti-Plagiarism Software

Section 12 Other Facilities and Equipment Acquired

1. Desktop Computer Units with Complete Accessories
2. Ceiling and Stand Fans
3. Digital Camera
4. Ring Binder
5. Refrigerator
6. Air-conditioning Units
7. Water Dispenser
8. Filing Cabinets
9. Office Tables and Chairs
10. Monobloc Chairs and Tables
11. Kitchen Utensils (PANTRY)

ARTICLE 6 OPERATIONAL GUIDELINES IN THE USE OF DRD FACILITIES

Section 1 Research and Development Laboratory

1. TAU faculty, student researchers, and non-TAU personnel can use the DRD facilities (free of charge, but they shoulder the costs of the reagents needed).
2. A request is made by the user, subject to the approval of the Director of the Department of DRD in consultation with the laboratory or project in-charge five days before the scheduled date.
3. In case of student researchers, a recommendation from his/her major thesis adviser is needed.
4. The faculty are allowed to use the DRD facilities upon request to the director of Research and Development
5. Non-TAU personnel are allowed to use the DRD facilities upon request to the DRD Director and approved by the University President and VP-RET.
6. Anybody undertaking laboratory work is required to provide the materials needed in their work.
7. The use of any DRD facility is only allowed with the assistance of the laboratory/project in charge.
8. Services offered by the DRD facilities, like soil analysis, are charged based on the current approved cost of the analysis.
9. Payment in cash is done by the clientele through the cashier's office. The client is required to present the original receipt to the laboratory or project in-charge.
10. Users are requested to sign in the logbook before using and sign out after using any equipment in the laboratory.

11. The laboratory in-charge should check on the condition of the equipment or facility before allowing the student or user to sign out in the logbook.
12. Users shall be liable for any breakage or damage done to the laboratory glassware or equipment.
13. No users are allowed to do their laboratory work on Saturdays or Sundays or beyond office hours without the supervision of the laboratory in-charge.
14. No equipment or instrument is allowed to be brought out of the laboratory.
15. Users are required to observe cleanliness and orderliness in the laboratory.

Section 2 Research and Development Conference Hall

TAU faculty and students can use the DRD Conference Hall. However, they are required to maintain the cleanliness and orderliness of the Conference Room before and after using it.

A request is made by the user, subject to the approval of the DRD Director. Non-TAU personnel are allowed to use the DRD Conference Hall upon request and with the approval of the DRD Director and following the requirements and procedure set by the university Business Auxiliary Services.

Chapter XIII

TRANSITORY PROVISIONS

ARTICLE 1 EFFECTIVITY

This Research and Development Manual shall take effect immediately upon approval of the Board of Regents.

ARTICLE 2 AMENDMENTS

Amendments, modifications, or changes in any provision in this Manual shall be possible upon presentation and endorsement by the RET Council and Administrative Council, upon presentation and adoption by the TAU Administrative Council, and upon approval by the Board of Regents.

ARTICLE 3 SAVING CLAUSE

Any existing orders promulgated prior to the approval of this Manual that are inconsistent or not found in any provision stipulated hereof shall be superseded by this Manual unless otherwise contrary to any existing government laws or statutes governing such.

APPENDICES / ANNEX

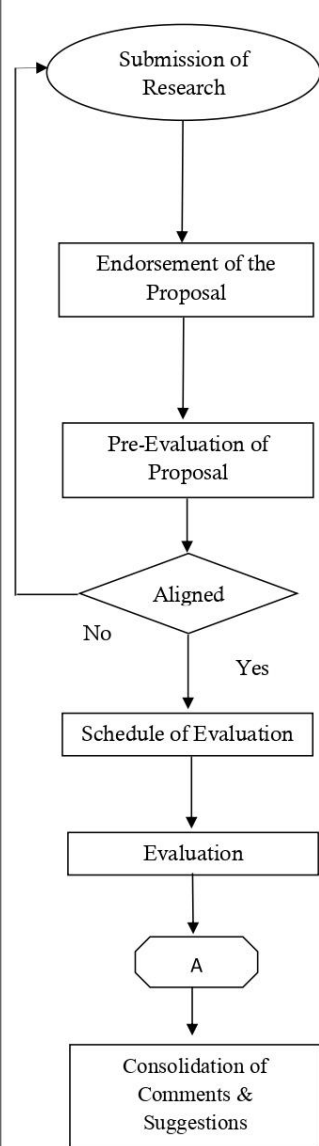
APPENDIX A

FLOWCHART AND PROCEDURAL DETAILS ON THE APPLICATION AND PROCESSING PROCEDURES OF THE FOLLOWING DRD SERVICES

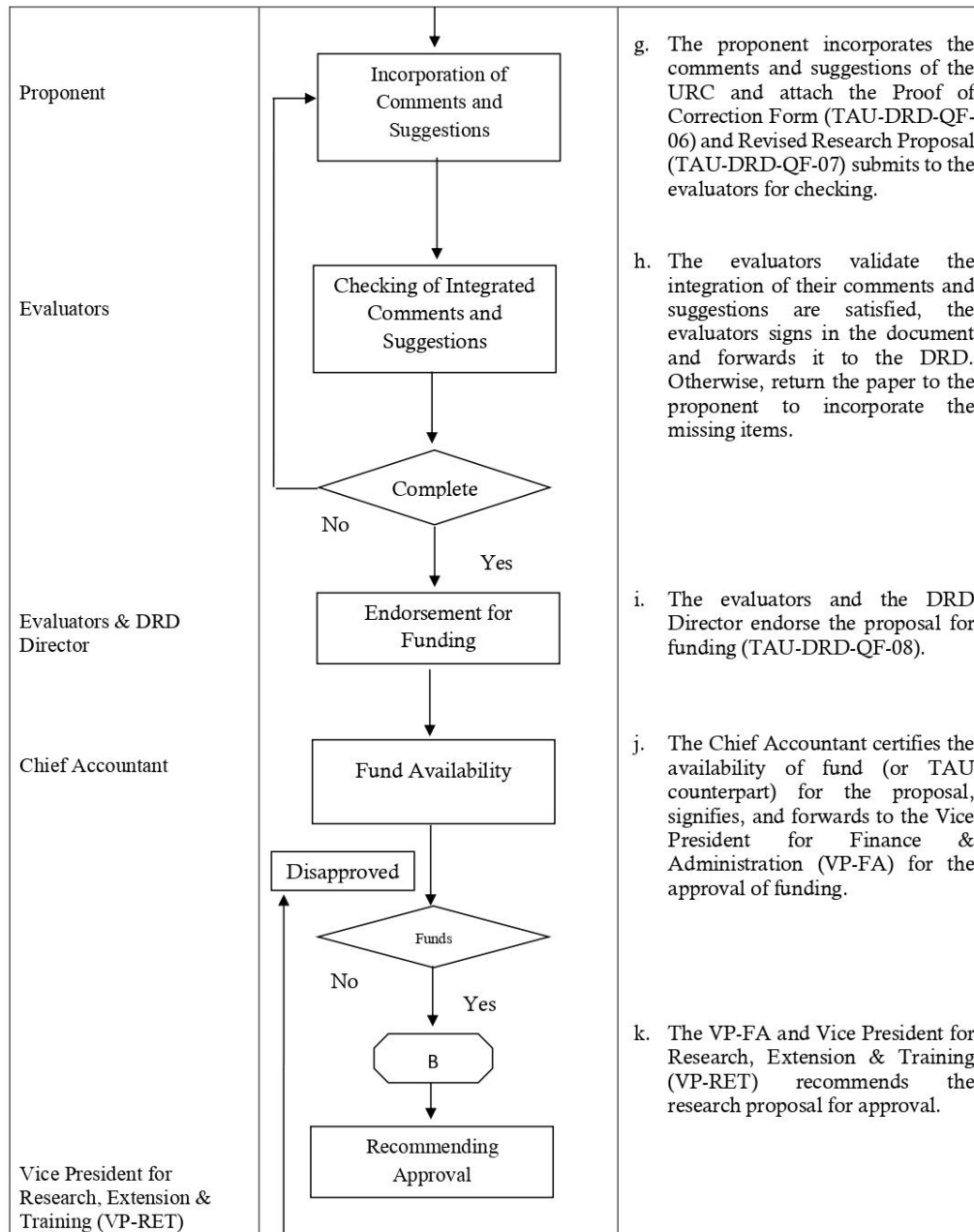
Annex 1. Flowchart of Internal Funding, Monitoring, Terminating and Utilizing of Research

	TITLE PROCEDURE ON INTERNAL FUNDING, MONITORING, TERMINATING AND UTILIZING OF RESEARCH	DOCUMENT NO.: TAU-DRD-SP-01	Page 2 of 6
			EFFECTIVITY DATE: June 10, 2023
			REVISION DATE: June 3, 2023
		COPY NO.:	REVISION NO.: 01

7.0 PROCEDURAL DETAILS

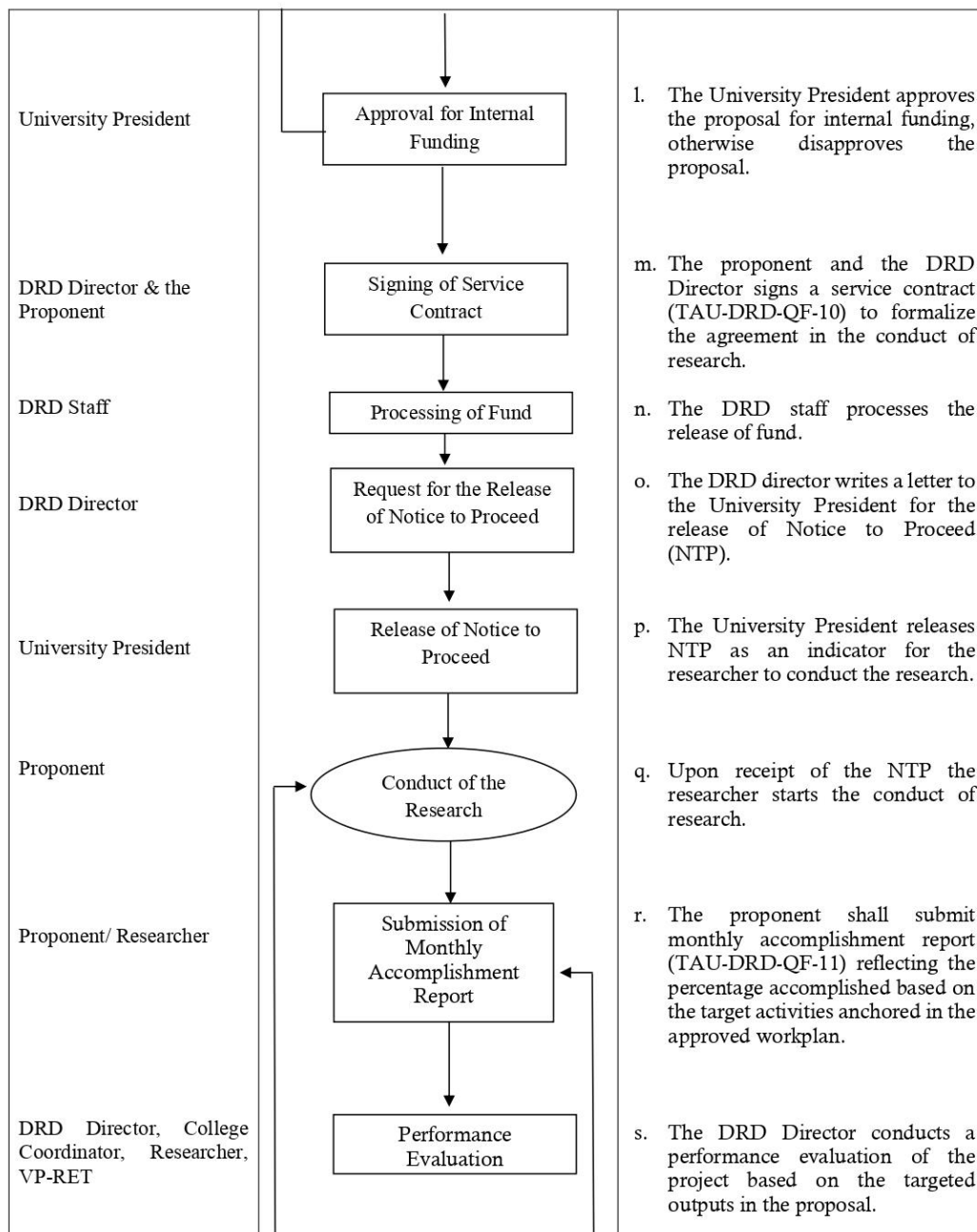
Person-In-Charge	Flowchart	Procedure
Proponent/ Researcher	 <pre> graph TD A([Submission of Research]) --> B[Endorsement of the Proposal] B --> C[Pre-Evaluation of Proposal] C --> D{Aligned} D -- No --> A D -- Yes --> E[Schedule of Evaluation] E --> F[Evaluation] F --> G{{A}} G --> H[Consolidation of Comments & Suggestions] </pre>	a. The proponent submits the research proposal (TAU-DRD-QF-01) to the College Research Coordinator attaching the Ethical Clearance Certificate (TAU-DRD-QF-36) (see SP in Research Ethics Review Process (TAU-DRD-SP-02)).
College Research Coordinator & College Dean		b. College Research Coordinator and College Dean endorses the proposal and forwards the proposal to the Department of Research & Development Office (DRD).
DRD Director		c. DRD Director conducts a pre-evaluation of the proposal and reviews the content of the proposal if it is aligned with the commodity thrust priorities of the university and the R&D Agenda. The DRD Director selects the appropriate evaluator, otherwise, the proposal shall be returned for revision and resubmission (PCT – 1 working day).
DRD Staff		d. DRD Staff schedules the date and venue of the evaluation and sends invitation to the UREC (TAU-DRD-QF-02) and Notice to Present to the proponent (TAU-DRD-QF-03).
Proponent, University Research Committee (URC), Director for Finance and VPFA		e. The proponent presents the proposal to the URC and the review committee comments and suggests in accordance to the checklist requirements and ethical standard for responsible conduct of research. (TAU-DRD-QF-04).
DRD Staff		f. DRD Staff consolidates the comments, suggestions, and results of the evaluation, (TAU-DRD-QF-05) and furnishes the proponent with a copy.
Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. Director for Research and Development	MA. ASUNCION G. BELTRAN, Ph.D. VP for Research, Extension and Training	MAX P. GUILLERMO, Ph. D. SUC President

	TITLE PROCEDURE ON INTERNAL FUNDING, MONITORING, TERMINATING AND UTILIZING OF RESEARCH	DOCUMENT NO.: TAU-DRD-SP-01	Page 3 of 6
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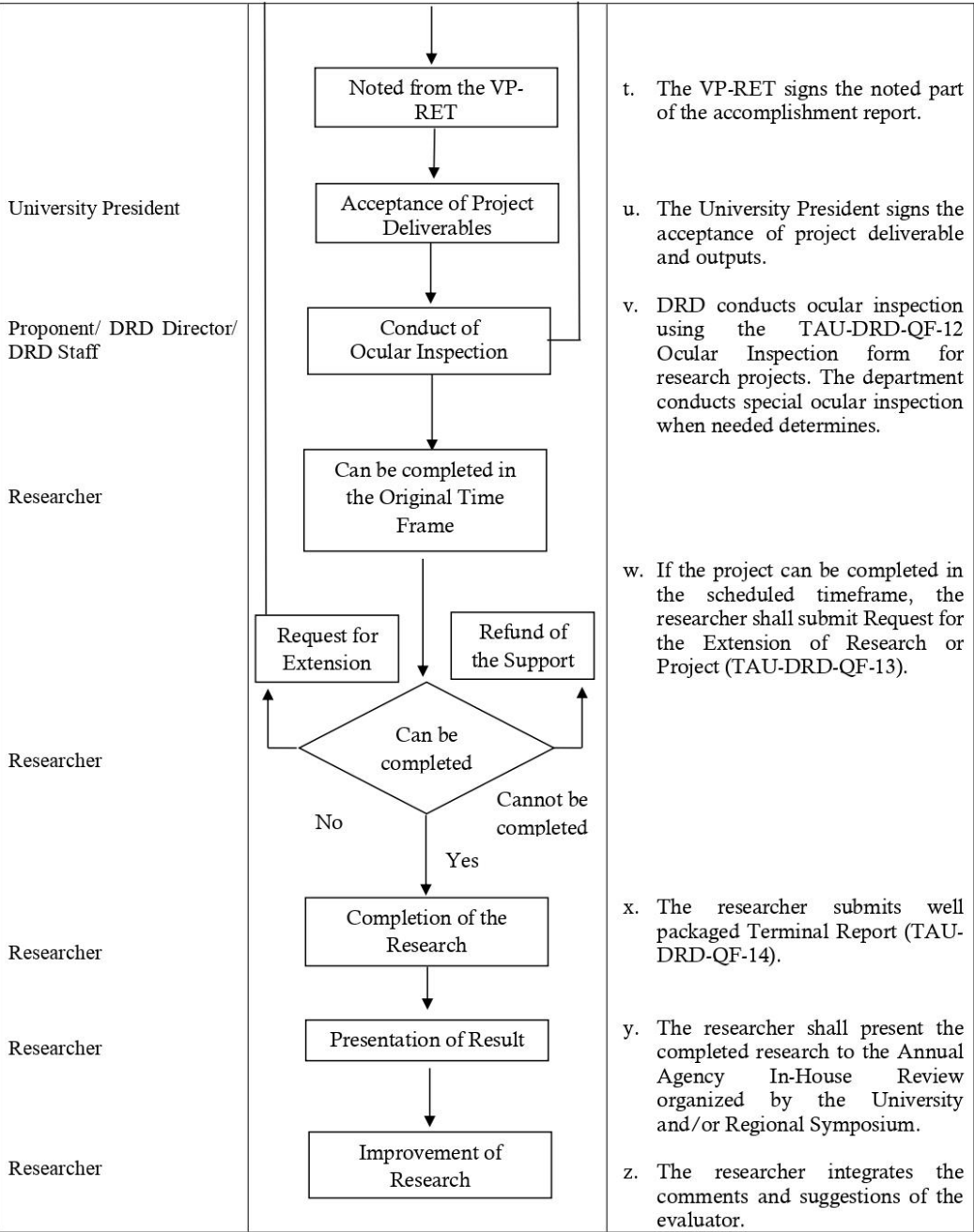


Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>

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Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>



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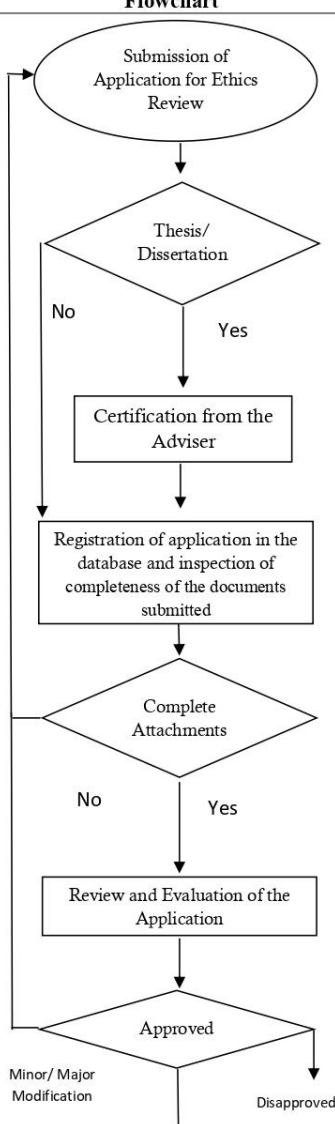
Researcher	 Utilization of Research (Presentation in Research Fora/ Publication/ IPR)	aa. The research shall be presented in research fora/ published/ registered for IPR whichever is applicable.

Prepared by: MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	Reviewed by: MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	Approved by: MAX P. GUILLERMO, Ph. D. <i>SUC President</i>
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Annex 2. Flowchart of Research Ethics Review

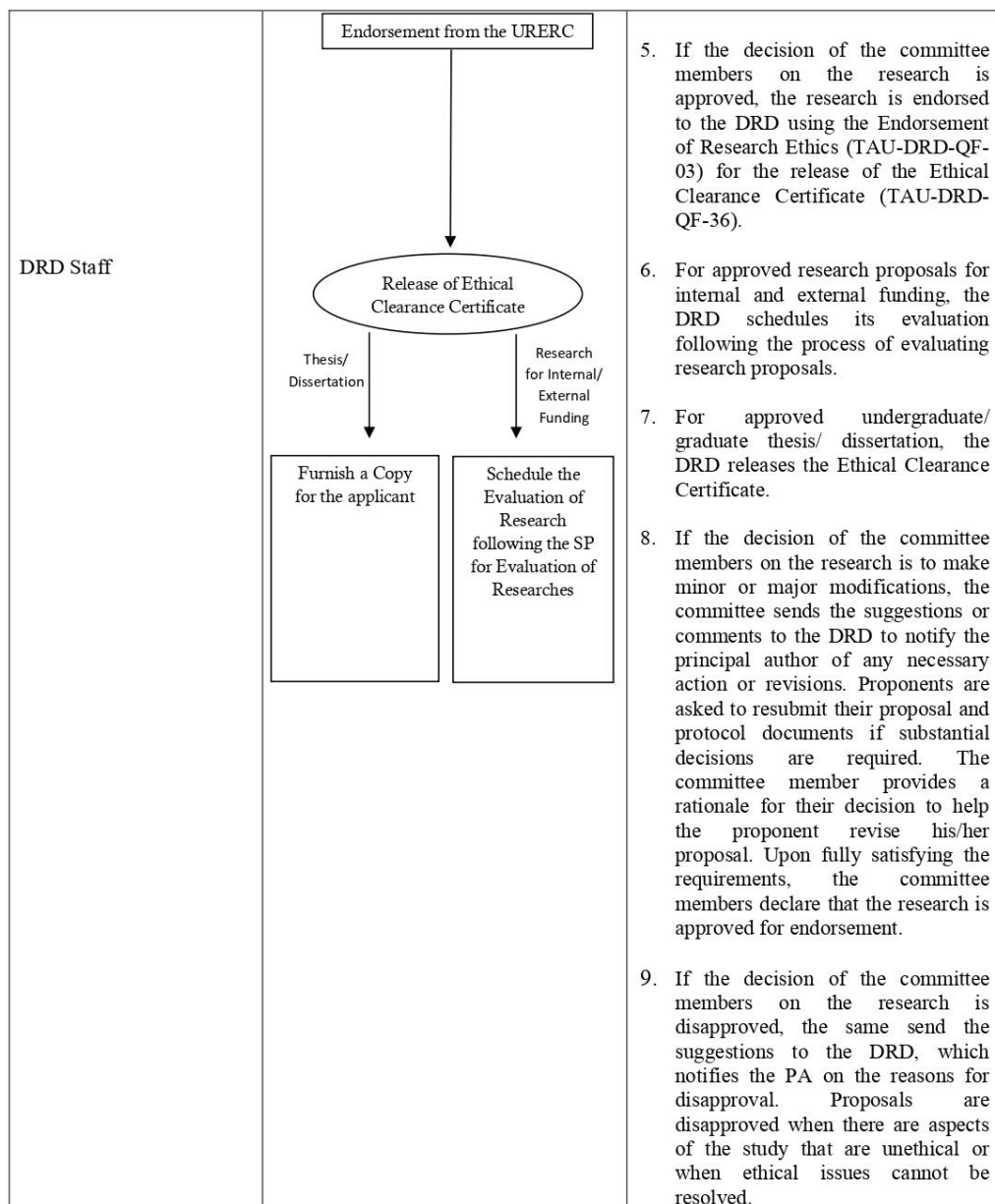
	TITLE RESEARCH ETHICS REVIEW PROCESS	DOCUMENT NO.: TAU-DRD-SP-02	Page 2 of 3
			EFFECTIVITY DATE: June 10, 2023
		COPY NO.:	REVISION DATE: June 3, 2023
			REVISION NO.: 01

7.0 PROCEDURAL DETAILS

Person-In-Charge	Flowchart	Procedure
Proponent/Requestor	 <pre> graph TD A([Submission of Application for Ethics Review]) --> B{Thesis/ Dissertation} B -- No --> C[Registration of application in the database and inspection of completeness of the documents submitted] B -- Yes --> D[Certification from the Adviser] D --> C C --> E{Complete Attachments} E -- No --> C E -- Yes --> F[Review and Evaluation of the Application] F --> G{Approved} G -- Minor/ Major Modification --> C G -- Disapproved --> H[Disapproved] </pre>	1. The proponent submits the Application for Research Ethics Review Form (TAU-DRD-QF-34). 2. For undergraduate and graduate thesis/ dissertation, the adviser signs the declaration of ethical consideration. For internally and externally funded research, step no. 2 shall be skipped.
Adviser		
DRD Staff		3. The DRD staff registers the application in the database, assigns an ID number, and initially inspects the completeness of the documents submitted. If the application has complete attachments, the DRD schedules the review by the University Research Ethics Review Committee (URERC) or prepares the Endorsement of Research Ethics (TAU-DRD-QF-35) for signature. Otherwise, the DRD informs the applicant of the lacking documents.
DRD Staff		
URERC		4. The URERC reviews the contents of the application and decides the status of the application as follows:
URERC		Approved Minor modifications required Major modifications require Disapproved
URERC		

Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>

	TITLE RESEARCH ETHICS REVIEW PROCESS	DOCUMENT NO.: TAU-DRD-SP-02	Page 3 of 3
			EFFECTIVITY DATE: June 10, 2023
			REVISION DATE: June 3, 2023
		COPY NO.:	REVISION NO.: 01



Prepared by: MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	Reviewed by: MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	Approved by: MAX P. GUILLERMO, Ph. D. <i>SUC President</i>
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Annex 3. Flowchart of Endorsement for Incentive

	TITLE PROCEDURE ON THE ENDORSEMENT FOR INCENTIVE	DOCUMENT NO.: TAU-DRD-SP-03	Page 2 of 2 EFFECTIVITY DATE: June 10, 2023 REVISION DATE: June 3, 2023
		COPY NO.:	REVISION NO.: 01

7.0 PROCEDURAL DETAILS

Person-In-Charge	Flowchart	Procedure
Proponent/Requestor	Submission of Request for Incentive	1. The proponent submits the appropriate request for incentive/ form for the research output.
College Research Coordinator and College Dean	Endorsement of the Request for Incentive	• Best Paper (TAU-DRD-QF-17) • Best Poster (TAU-DRD-QF-18) • Fund Generation (TAU-DRD-QF-19) • IPR (TAU-DRD-QF-20) • Publication (TAU-DRD-QF-21)
DRD Director	Evaluation of Incentive	2. College Research Coordinator, College Dean endorses the paper to the DRD Director.
	Disapproved	3. The DRD Director evaluates the request for incentive and checks the completeness of documentary requirements. If the request has complete documentary requirements, the DRD Director endorses the proposal. Otherwise, the request is disapproved, and the requestor receives a letter of disapproval (TAU-DRD-QF-09)
Chief Accountant	Passed	4. The Chief Accountant certifies the availability of fund for the incentive and checks the correctness of BOR resolution used then signifies and forwards to the Vice President for Finance & Administration for approval
	Funds Availability	5. The VP for Finance and Administration (VP-FA) and VP for Research, Extension & Training (VP-RET) recommends the paper for incentive.
Vice President for Research, Extension & Training (VP-RET)	Recommending Approval	6. The University President approves the incentive. Otherwise, disapproves the proposal
University President	Approval for the Grant of Incentive	7. The DRD staff processes the release of incentive. After which, and the requestor shall claim the incentive to the cashiers office.
DRD Staff	Processing and Release of Incentive	

Prepared by:

MARIA ELENA T. CAGUIOA, Ph.D.
Director for Research and Development

Reviewed by:

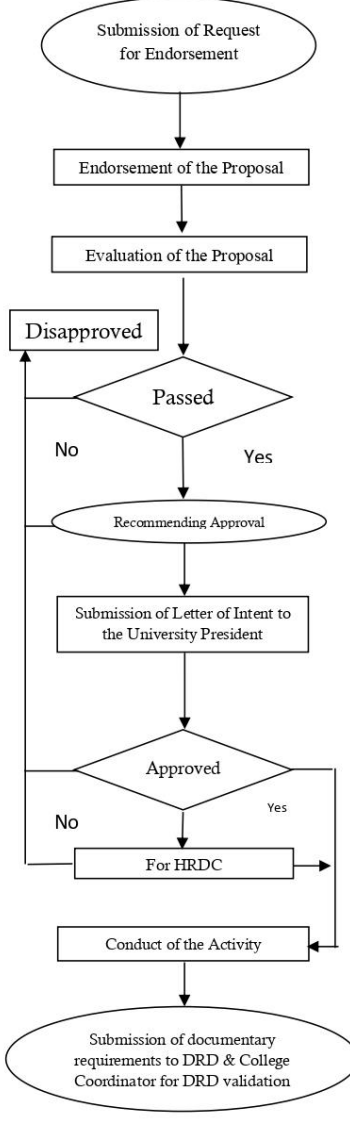
MA. ASUNCION G. BELTRAN, Ph.D.
VP for Research, Extension and Training

Approved by:

MAX P. GUILLERMO, Ph. D.
SUC President

Annex 4. Flowchart of Endorsement for Presentation

	TITLE PROCEDURE FOR THE ENDORSEMENT FOR PAPER PRESENTATION	DOCUMENT NO.: TAU-DRD-SP-04 COPY NO.:	Page 2 of 2 EFFECTIVITY DATE: June 10, 2023 REVISION DATE: June 3, 2023 REVISION NO.: 01
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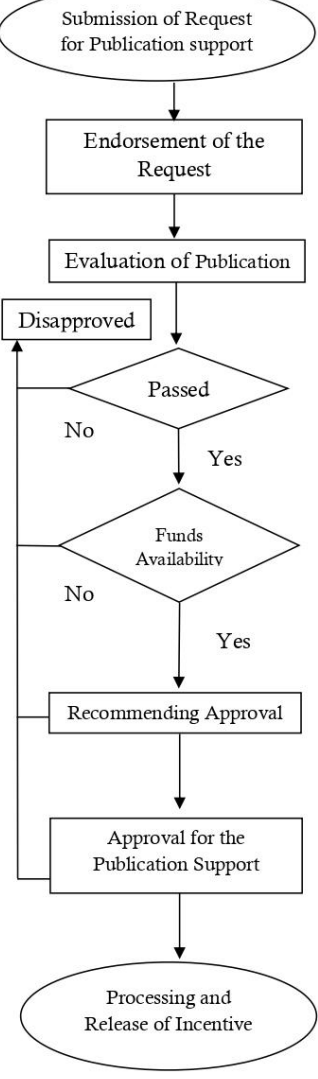
Person-In-Charge	Flowchart	Procedure
Researcher/ Requestor College Research Coordinator and College Dean DRD Director Vice President for Research, Extension & Training (VP-RET) Vice President for Academic Affairs (VP-AA)	 <pre> graph TD A([Submission of Request for Endorsement]) --> B[Endorsement of the Proposal] B --> C[Evaluation of the Proposal] C --> D{Passed} D -- No --> E[Disapproved] D -- Yes --> F([Recommending Approval]) E --> G[Disapproved] F --> H[Submission of Letter of Intent to the University President] H --> I{Approved} I -- No --> J[For HRDC] I -- Yes --> K[Conduct of the Activity] J --> L[Conduct of the Activity] K --> M([Submission of documentary requirements to DRD & College Coordinator for DRD validation]) </pre>	a. The requestor submits the request for the endorsement of the paper presentation (TAU-DRD-QF-23). b. The College Research Coordinator and College Dean endorse the paper to the DRD Director. c. The DRD Director evaluates the request for funding and checks the completeness of the documentary requirements. If the request passes the evaluation, the DRD Director endorses the proposal to the VP-RET. Otherwise, the proposal is disapproved, and the requestor receives a letter of disapproval (TAU-DRD-QF-09) d. The VP-RET recommends the paper for funding. e. The requestor attaches the approved endorsement along with his/her letter of intent addressed to the University President. f. University President approves the request and/or forwards it to HRDC for endorsement. Otherwise, disapproves. g. The HRDC evaluates and endorses the request for the approval of the University President. h. Upon approval, the requestor proceeds with the paper presentation. i. After the conduct of the activity, the requestor submits the documentary requirements (Certificate of Participation) to the DRD and College Coordinator for validation.

Prepared by: MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	Reviewed by: MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	Approved by: MAX P. GUILLERMO, Ph. D. <i>SUC President</i>
--	---	---

Annex 5. Flowchart of Research Publication Support

	TITLE PROCEDURE ON THE RESEARCH PUBLICATION SUPPORT	DOCUMENT NO.: TAU-DRD-SP-05	Page 2 of 2
			EFFECTIVITY DATE: June 10, 2023
		COPY NO.:	REVISION DATE: June 3, 2023
			REVISION NO.: 01

7.0 PROCEDURAL DETAILS

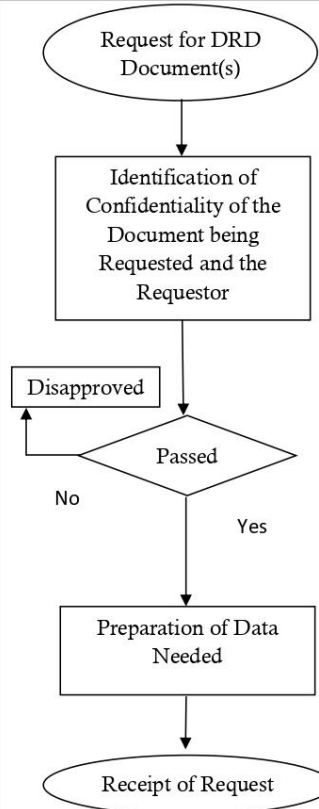
Person-In-Charge	Flowchart	Procedure
Proponent/Requestor College Research Coordinator and College Dean DRD Director Chief Accountant VP for Finance and Administration (VP-FA) and VP for Research, Extension & Training (VP-RET) University President DRD Staff	 <pre> graph TD A([Submission of Request for Publication support]) --> B[Endorsement of the Request] B --> C[Evaluation of Publication] C --> D{Passed} D -- No --> E[Disapproved] D -- Yes --> F{Funds Availability} F -- No --> E F -- Yes --> G[Recommending Approval] G --> H[Approval for the Publication Support] H --> I([Processing and Release of Incentive]) </pre>	- The proponent submits the request for publication support (TAU-DRD-QF-22). - College Research Coordinator, College Dean endorses the paper to the DRD Director. - The DRD Director evaluates the request for publication support and checks the completeness of documentary requirements. If the request has complete documentary requirements, the DRD Director endorses the proposal. Otherwise, the request is disapproved and the requestor receives a letter of disapproval (TAU-DRD-QF-09) - The Chief Accountant certifies the availability of fund for the request and checks the correctness of BOR resolution used then signifies and forwards to the Vice President for Finance & Administration for approval. - The VP for Finance and Administration (VP-FA) and VP for Research, Extension & Training (VP-RET) recommends the support for paper publication. - The University President approves the support for paper publication. Otherwise, disapproves the request. - The DRD staff processes the release of support.

Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>

Annex 6. Flowchart of Requesting R&D Files

	TITLE PROCEDURE FOR THE REQUEST OF R&D FILES	DOCUMENT NO.: TAU-DRD-SP-06	Page 2 of 2
			EFFECTIVITY DATE: May 3, 2021
		COPY NO.:	REVISION DATE:
			REVISION NO.: 00

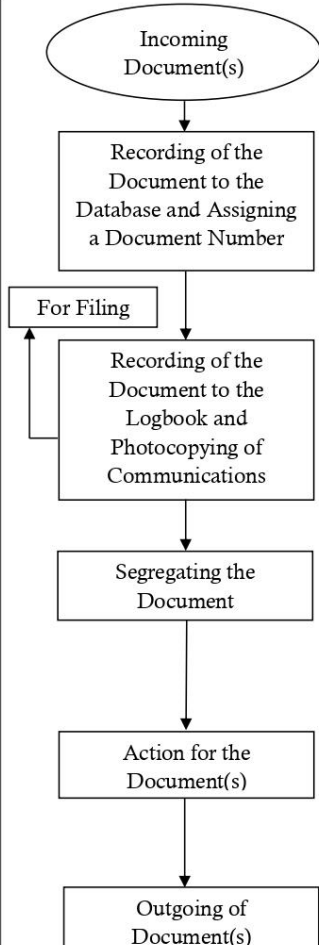
7.0 PROCEDURAL DETAILS

Person-In-Charge	Flowchart	Procedure
Requestor	 <pre> graph TD A([Request for DRD Document(s)]) --> B[Identification of Confidentiality of the Document being Requested and the Requestor] B --> C{Passed} C -- No --> D[Disapproved] C -- Yes --> E[Preparation of Data Needed] E --> F([Receipt of Request]) </pre>	1. The proponent submits the request DRD Document(s) (TAU-DRD-QF-31).
DRD Director		2. DRD Director identifies if the document being requested is appropriate for the requestor, if yes, the DRD Director forwards the requested document to the concerned DRD staff. Otherwise, disapproves the request.
Concerned DRD Staff		3. The concerned staff prepares and releases the document requested.
Requestor		4. The requestor receives the requested documents.

Prepared by: MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	Reviewed by: MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	Approved by: MAX P. GUILLERMO, Ph. D. <i>SUC President</i>
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Annex 7. Flowchart of Recording of Incoming and Outgoing Documents

	TITLE RECORDING OF INCOMING AND OUTGOING DOCUMENTS	DOCUMENT NO.: TAU-DRD-SP-07	Page 2 of 2
			EFFECTIVITY DATE: June 10, 2023
		COPY NO.:	REVISION DATE: June 3, 2023
			REVISION NO.: 01

Person-In-Charge	Flowchart	Procedure
Other Offices	 <pre> graph TD A([Incoming Document(s)]) --> B[Recording of the Document to the Database and Assigning a Document Number] B --> C[For Filing] C --> D[Recording of the Document to the Logbook and Photocopying of Communications] D --> E[Segregating the Document] E --> F[Action for the Document(s)] F --> G[Outgoing of Document(s)] </pre>	1. The DRD Staff receives incoming documents.
DRD Staff		2. The DRD Staff encodes the received document in the database, assigns a document number, and writes the number in the document.
DRD Staff		3. The DRD Staff records the numbered document in the logbook the details, and the number of the document. The document is then photocopied for filing.
DRD Staff		4. The DRD Staff segregates the document based on whether it is for "signature" or "communication" and places it in the corresponding folder. The folders are submitted to the DRD Director for appropriate action.
DRD Director		5. The DRD Director determines the appropriate action for the received document(s).
DRD Staff		6. The DRD Staff releases outgoing documents and have the receiver signs the logbook (same logbook used for incoming documents) with the recipient's office and name.

Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>

Annex 8. Flowchart of Assistance of Filing IPR

	TITLE PROCEDURE ON PROVIDING ASSISTANCE IN FILING INTELLECTUAL PROPERTY RIGHTS	DOCUMENT NO.: TAU-DRD-SP-08	Page 2 of 3
			EFFECTIVITY DATE: June 10, 2023
		COPY NO.:	REVISION DATE: June 3, 2023
			REVISION NO.: 01

Representative is the person designated to assist in filing application for registration for Intellectual Property Rights.

Trademark (RA 8293 Section 121) “Mark” means any visible sign capable of distinguishing the goods (trademark) or services (service mark) of an enterprise and shall include a stamped or marked container of goods; (Section 38, RA 166a)

Utility Model is any technical solution to a problem in any field of human activity which is new and industrially applicable. It may or may not have an inventive step. (<https://www.ipophil.gov.ph/services/utility-model>)

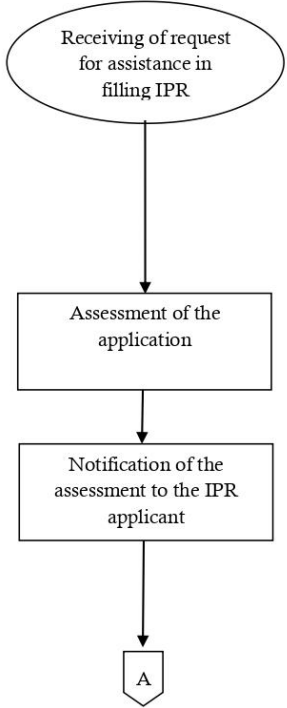
5.0 RELATED PROCEDURES

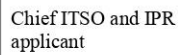
Procedure on Monitoring and Termination of Research Activity

6.0 DOCUMENTATION AND RECORDS

Application for Assistance in Filing IPR Form (TAU-DRD-QF-37)

7.0 PROCEDURAL DETAILS

Person-In-Charge	Flowchart	Procedure
IPR Applicant and ITSO/ DRD Staff		a. The proponent submits the application for assistance in filing IPR form (TAU-DRD-QF-37) to the Innovation and Technology Support Office (ITSO). The ITSO/DR staff assigns a control number to the application and encodes the information in the database. After which, the application is forwarded to the ITSO chief.
Chief ITSO		b. The ITSO Chief assesses (using the same form) the Intellectual Property (IP) potential and conduct prior art and patent search for the authenticity of the piece of work or product and other pertinent documents.
Chief ITSO		c. ITSO notifies the proponent on the status of the work after conducting a prior art and patent search and determines the applicable IP application.
Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. Director for Research and Development	MA. ASUNCION G. BELTRAN, Ph.D. VP for Research, Extension and Training	MAX P. GUILLERMO, Ph. D. SUC President



Chief ITSO

- d. ITSO conducts patent drafting in coordination with the proponent or juridical person.
- e. The ITSO Chief assist in the IP application and registration to IPOPHL with authorization from the proponent.

MARIA ELENA T. CAGUIOA, Ph.D.
Director for Research and Development

MA. ASUNCION G. BELTRAN, Ph.D.
VP for Research, Extension and Training

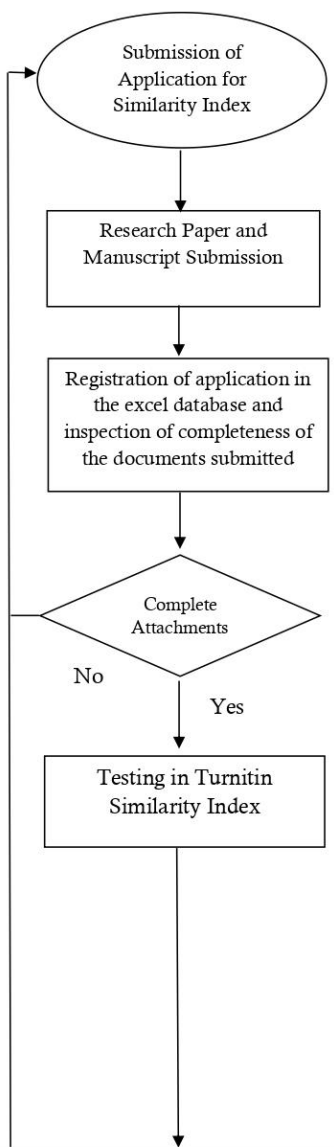
Approved by:

MAX P. GUILLERMO, Ph. D.
SUC President

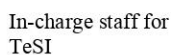
Annex 9. Flowchart of Testing Similarity Index Process

	TITLE TESTING OF SIMILARITY INDEX PROCESS	DOCUMENT NO.: TAU-DRD-SP- 10	Page 2 of 3
			EFFECTIVITY DATE: June 10, 2023
			REVISION DATE: June 3, 2023
		COPY NO.:	REVISION NO.: 01

7.0 PROCEDURAL DETAILS

Person-In-Charge	Flowchart	Procedure
Proponent/Requestor	 <pre> graph TD A([Submission of Application for Similarity Index]) --> B[Research Paper and Manuscript Submission] B --> C[Registration of application in the excel database and inspection of completeness of the documents submitted] C --> D{Complete Attachments} D -- No --> A D -- Yes --> E[Testing in Turnitin Similarity Index] E --> F[] </pre>	a. All research papers and manuscripts from faculty, staff, and undergraduate and graduate students must be sent to the DRD email (taudrd2@gmail.com) with a request letter for the test for similarity index.
In-charge staff for TeSI		b. The proponent submits the accomplished TeSI Application Form (TAU-DRD-QF-39) with an attached pdf copy of the manuscript, report, or paper and a clear scanned or screenshot copy of the receipt of payment by the Cashier Office to taudrd2@gmail.com.
In-charge staff for TeSI		c. The in-charge staff for TeSI registers the application, assigns an ID number, and inspects the submitted documents for completeness. If the attachments are complete, the application will proceed to testing. Otherwise, the applicant shall complete first the lacking documents.
In-charge staff for TeSI		d. The In-charge staff determines the similarity index using a Turnitin software with the following similarity index:
In-charge staff for TeSI		1. 25% for the thesis manuscript of the undergraduate students 2. 20% for the thesis/ dissertation of the graduate student 3. 20% for the research proposal for external and internal funding 4. 20% for the terminal reports of program/project/study of both internally and externally funded research or any equivalent reports

Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>

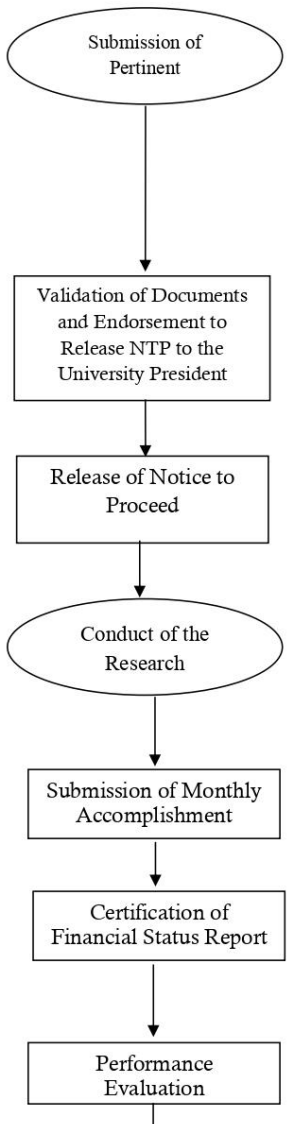


MAX P. GUILLERMO, Ph. D.
SUC President

Annex 10. Flowchart of Testing Similarity Index Process

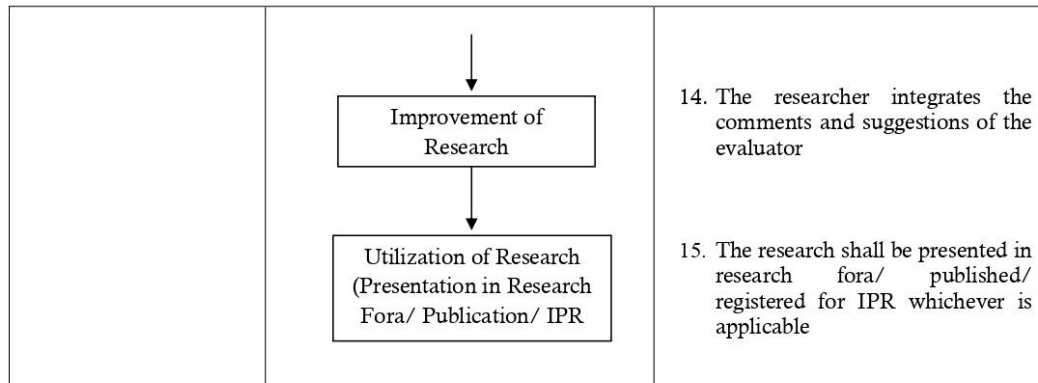
	TITLE PROCEDURE ON EXTERNAL FUNDING, MONITORING, TERMINATING AND UTILIZING OF RESEARCH	DOCUMENT NO.: TAU-DRD-SP-11	Page 2 of 4
			EFFECTIVITY DATE: June 10, 2023
			REVISION DATE:
		COPY NO.:	REVISION NO.: 00

7.0 PROCEDURAL DETAILS

Person-In-Charge	Flowchart	Procedure
Proponent/ Researcher	 <pre> graph TD A([Submission of Pertinent]) --> B[Validation of Documents and Endorsement to Release NTP to the University President] B --> C[Release of Notice to Proceed] C --> D([Conduct of the Research]) D --> E[Submission of Monthly Accomplishment] E --> F[Certification of Financial Status Report] F --> G[Performance Evaluation] </pre>	1. The researcher submits pertinent documents (copy of the proposal, approved MOA/MOU, notice to proceed (if any), official receipt as a proof that the fund is downloaded (if applicable) and other pertinent documents that will validate the approved funding of externally funded research) about his/her approved externally funded research.
DRD Director		2. The DRD director validates the authenticity of submitted documents. After the validation the DRD Director writes a letter to the University President for the release of notice to proceed.
University President		3. The University President releases Notice to Proceed as an indicator for the researcher to conduct the research.
Proponent		4. The researcher starts the conduct of research.
Proponent/ Researcher		5. The proponent submits monthly accomplishment report (TAU-DRD-QF-11) reflecting the percentage accomplished based on the target activities anchored in the approved workplan.
Chief Accountant		6. For externally funded research, the accounting staff and Chief Accountant certifies the budget status of the project.
DRD Director, College Coordinator, Researcher, VP-RET		7. The DRD Director conducts a performance evaluation of the project based on the targeted outputs in the proposal.
Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. Director for Research and Development	MA. ASUNCION G. BELTRAN, Ph.D. VP for Research, Extension and Training	MAX P. GUILLERMO, Ph. D. SUC President



	TITLE PROCEDURE ON EXTERNAL FUNDING, MONITORING, TERMINATING AND UTILIZING OF RESEARCH	DOCUMENT NO.: TAU-DRD-SP-11	Page 4 of 4
			EFFECTIVITY DATE: June 10, 2023
		COPY NO.:	REVISION DATE: REVISION NO.: 00



Prepared by:	Reviewed by:	Approved by:
MARIA ELENA T. CAGUIOA, Ph.D. <i>Director for Research and Development</i>	MA. ASUNCION G. BELTRAN, Ph.D. <i>VP for Research, Extension and Training</i>	MAX P. GUILLERMO, Ph. D. <i>SUC President</i>

APPENDIX B. STUDENT'S RESEARCH FORMS

Annex 1. Recommendation of Panel Members Form

 Republic of the Philippines TARLAC AGRICULTURAL UNIVERSITY Camiling, Tarlac			
DEPARTMENT OF RESEARCH AND DEVELOPMENT			
RECOMMENDATION OF PANEL MEMBERS FORM (For Undergraduate Thesis Students)			
NAME OF DEAN <i>Designation</i> College of _____			Date _____
Sir/Madam: I have the honor to nominate the following staff to constitute my thesis Advisory Committee: Chairperson: NAME Members: NAME			
Your approval on this matter will be highly appreciated. Very truly yours,			
NAME OF RESEARCHER 1 (Signature over printed name)		NAME OF RESEARCHER 2 (Signature over printed name)	
Program/Major _____			
Conforme: _____			
THE PANEL MEMBERS			
Member Date signed: _____		Member Date signed: _____	
Chairperson Date signed: _____			
APPROVED:			
NAME OF DEAN Dean, College of _____ Date signed: _____			
NOTED:			
NAME OF DIRECTOR Director, Research and Development Date signed: _____			
Form Code:	Revision No.:	Effectivity Date:	Page:
TAU-DRD-QF-43	01	June 10, 2023	1 of 1

Annex 2. Thesis Title Approval Form

	Republic of the Philippines TARLAC AGRICULTURAL UNIVERSITY Camiling, Tarlac								
DEPARTMENT OF RESEARCH AND DEVELOPMENT									
THESIS TITLE APPROVAL FORM (For Undergraduate Thesis Students)									
NAME OF DEAN <i>Designation</i> College of _____ Sir /Madam:	Date								
I/We have the honor to present my Thesis entitled: TITLE for your consideration and approval. Your approval on this matter will be highly appreciated. Very truly yours,									
NAME OF RESEARCHER 1 (Signature over printed name)	NAME OF RESEARCHER 2 (Signature over printed name)								
Program/Major									
Recommending Approval:									
THE PANEL MEMBERS									
Member Date signed: _____	Member Date signed: _____								
Chairperson Date signed: _____									
APPROVED:									
NAME OF DEAN Dean, College of _____ Date signed: _____									
NOTED:									
NAME OF DIRECTOR Director, Research and Development Date signed: _____									
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Form Code:	Revision No.:	Effectivity Date:	Page:						
TAU-DRD-QF-44	01	June 10, 2023	1 of 1						

Annex 3. Thesis Outline Approval Form

	Republic of the Philippines TARLAC AGRICULTURAL UNIVERSITY Camiling, Tarlac								
DEPARTMENT OF RESEARCH AND DEVELOPMENT									
THESIS OUTLINE APPROVAL FORM (For Undergraduate Thesis Students)									
Name of Chairperson Advisory Committee Sir/Madam: I/We have the honor to present my/our undergraduate Thesis Outline entitled: TITLE for your evaluation and consideration. I plan to conduct this research starting ____ semester, 20__ - 20__. Your approval on this matter will be highly appreciated. Very truly yours, NAME OF RESEARCHER 1 (Signature over printed name) NAME OF RESEARCHER 2 (Signature over printed name) Program/Major	Date								
APPROVED: THE PANEL MEMBERS Member Date signed: _____ Member Date signed: _____ Chairperson Date signed: _____									
NOTED: NAME OF DEAN Dean, College of _____ Date signed: _____ NAME OF DIRECTOR Director, Research and Development Date signed: _____									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Form Code:</td> <td style="width: 25%;">Revision No.:</td> <td style="width: 25%;">Effectivity Date:</td> <td style="width: 25%;">Page:</td> </tr> <tr> <td style="text-align: center;">TAU-DRD-QF-45</td> <td style="text-align: center;">01</td> <td style="text-align: center;">June 10, 2023</td> <td style="text-align: center;">1 of 1</td> </tr> </table>		Form Code:	Revision No.:	Effectivity Date:	Page:	TAU-DRD-QF-45	01	June 10, 2023	1 of 1
Form Code:	Revision No.:	Effectivity Date:	Page:						
TAU-DRD-QF-45	01	June 10, 2023	1 of 1						

Annex 4. Request for Ocular Inspection Form

	Republic of the Philippines TARLAC AGRICULTURAL UNIVERSITY Camiling, Tarlac								
DEPARTMENT OF RESEARCH AND DEVELOPMENT									
REQUEST FOR OCULAR INSPECTION FORM (For Undergraduate Thesis Student)									
NAME OF DEAN <i>Designation</i> College of _____	Date								
Sir/Madam: I/we have the honor to request for an ocular inspection of my/our Undergraduate Thesis entitled: TITLE on DATE, TIME at VENUE. Your approval on this matter will be highly appreciated. Very truly yours,									
NAME OF RESEARCHER 1 (Signature over printed name)	NAME OF RESEARCHER 2 (Signature over printed name)								
Program/Major									
Recommending Approval:									
THE PANEL MEMBERS									
Member Date signed: _____	Member Date signed: _____								
Chairperson Date signed: _____									
APPROVED:									
NAME OF DEAN Dean, College of _____ Date signed: _____									
NOTED:									
NAME OF DIRECTOR Director, Research and Development Date signed: _____									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Form Code:</td> <td style="width: 33%;">Revision No.:</td> <td style="width: 33%;">Effectivity Date:</td> <td style="width: 33%;">Page:</td> </tr> <tr> <td style="text-align: center;">TAU-DRD-QF-46</td> <td style="text-align: center;">01</td> <td style="text-align: center;">June 10, 2023</td> <td style="text-align: center;">1 of 1</td> </tr> </table>		Form Code:	Revision No.:	Effectivity Date:	Page:	TAU-DRD-QF-46	01	June 10, 2023	1 of 1
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Annex 5. Request for Oral Examination Form

	Republic of the Philippines TARLAC AGRICULTURAL UNIVERSITY Camiling, Tarlac								
DEPARTMENT OF RESEARCH AND DEVELOPMENT REQUEST FOR ORAL EXAMINATION FORM (For Undergraduate Thesis Student)									
NAME OF DEAN Designation College of _____ Sir/Madam: May I/we request for an Oral Examination of my/our undergraduate thesis entitled: TITLE to be evaluated on DATE, TIME, at VENUE. Your approval on this matter will be highly appreciated. Very truly yours, NAME OF RESEARCHER 1 (Signature over printed name) NAME OF RESEARCHER 2 (Signature over printed name) Program/Major _____ Date _____									
Recommending Approval: THE PANEL MEMBERS Member Date signed: _____ Member Date signed: _____ Chairperson Date signed: _____									
APPROVED: NAME OF DEAN Dean, College of _____ Date signed: _____									
NOTED: NAME OF DIRECTOR Director, Research and Development Date signed: _____									
<table border="1" style="width: 100%; border-collapse: collapse; margin-top: 20px;"> <tr> <td style="width: 33%;">Form Code:</td> <td style="width: 33%;">Revision No.:</td> <td style="width: 33%;">Effectivity Date:</td> <td style="width: 1%;">Page:</td> </tr> <tr> <td style="text-align: center;">TAU-DRD-QF-47</td> <td style="text-align: center;">01</td> <td style="text-align: center;">June 10, 2023</td> <td style="text-align: center;">1 of 1</td> </tr> </table>		Form Code:	Revision No.:	Effectivity Date:	Page:	TAU-DRD-QF-47	01	June 10, 2023	1 of 1
Form Code:	Revision No.:	Effectivity Date:	Page:						
TAU-DRD-QF-47	01	June 10, 2023	1 of 1						

Annex 6. Change in the Composition of Panel Members Form

	Republic of the Philippines TARLAC AGRICULTURAL UNIVERSITY Camiling, Tarlac		
DEPARTMENT OF RESEARCH AND DEVELOPMENT			
CHANGE IN THE COMPOSITION OF PANEL MEMBERS FORM			
NAME OF DEAN <i>Designation</i> College of _____	Date _____		
Sir/Madam:			
I have the honor to request for a change in the composition of my thesis Advisory Committee. Dr./Prof. NAME OF FACULTY will be replaced by NAME OF FACULTY because of the following reasons:			
1. 2. 3.			
Very truly yours,			
NAME OF RESEARCHER 1 <i>(Signature over printed name)</i>	NAME OF RESEARCHER 2 <i>(Signature over printed name)</i>		
Program/Major _____			
CONFORME:			
NAME OF ADVISER New Adviser Date signed: _____			
RECOMMENDING APPROVAL:			
NAME OF ADVISER Former Adviser Date signed: _____			
APPROVED:			
NAME OF DEAN Dean, College of _____ Date signed: _____			
NOTED:			
NAME OF DIRECTOR Director, Research and Development Date signed: _____			
Form Code:	Revision No.:	Effectivity Date:	Page:
TAU-DRD-QF-48	01	June 10, 2023	1 of 1

