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Tarlac State  
University



University Research  
Office

# RESEARCH MANUAL



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70th Regular Meeting under BOR Resolution No. 38, series of 2008  
which was held on June 05, 2008 at CHED Conference Rm., DAP Bldg. Pasig City

2015





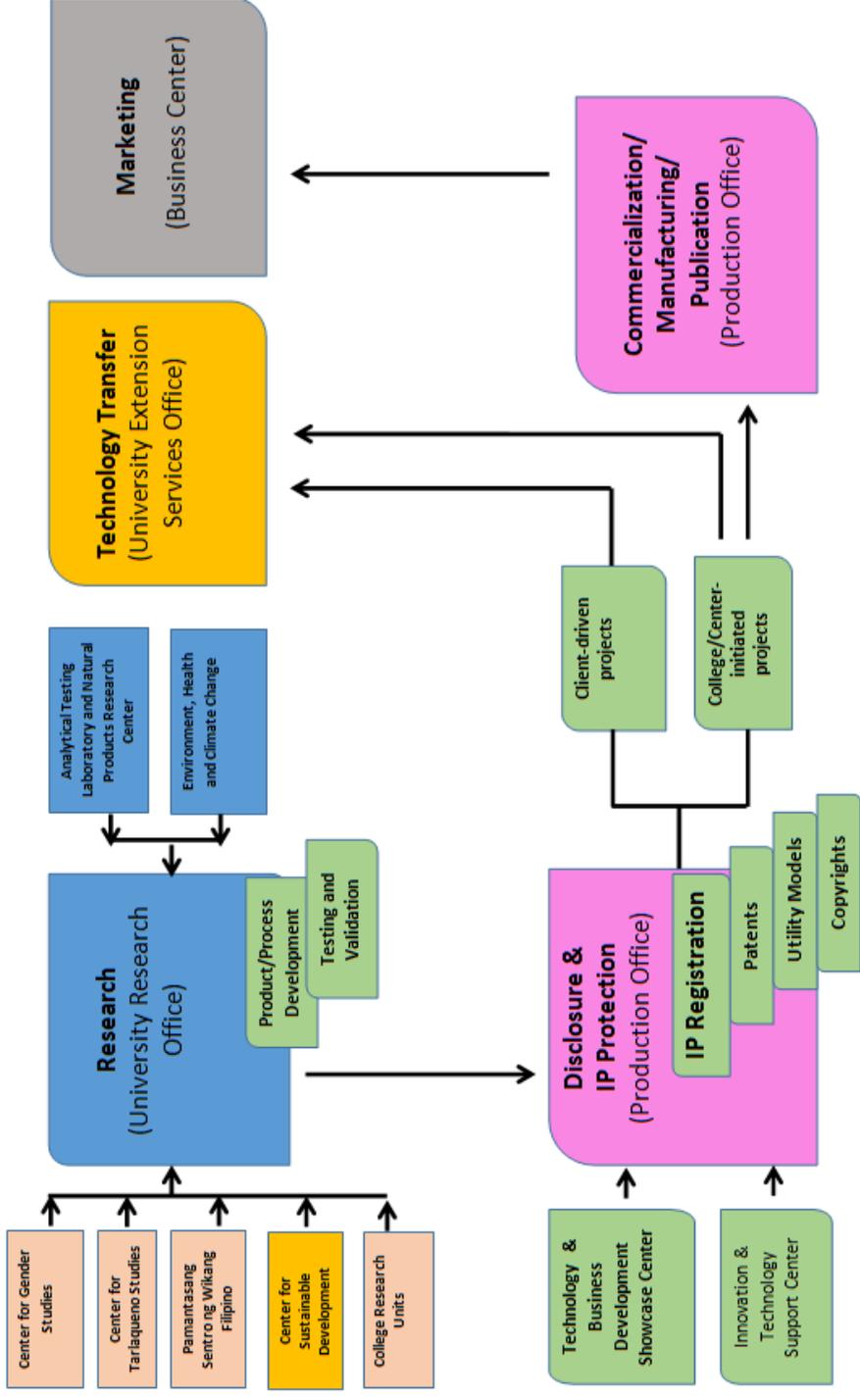
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**Tarlac State University Framework for Research, Production and Extension**

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## **INTRODUCTION and BRIEF HISTORY OF THE UNIVERSITY RESEARCH OFFICE**

In the Philippines, state universities and colleges (SUC's) are mandated by their charters to execute the following functions: instruction, research, extension and production which are considered interrelated and mutually reinforcing.

Research and Development (R&D) had been emphasized as a tool to achieve the goals for national development and global competitiveness. Tarlac State University is at the heart of Tarlac Province and of Region 3 and is at the vantage point of development work.

As a university, TSU is expected to be a lead agency for research and development. Each member of the faculty is expected to be research-oriented with research outputs that are relevant to the needs of the university, the community and the nation.

Formal efforts to push forward the frontiers of knowledge through faculty research came 17 years after the establishment of Tarlac College of Technology (predecessor of the present-day Tarlac State University) in 1965 when an office for research and development services was created.

The office was separate from the Extension Services Office, which was headed by Prof. Adoracion Nogoy. Years later the two offices merged and then separated anew.

The research office led for 16 years (1984-1990) by Prof. Tuazon, grew from one staff in 1984 (Mr. Ronald Fe), two in 1985 (Mr. Tiburcio Dumandan and Ms. Elizabeth Alarios) and three in 1987 (Mr. Dumandan, Ms. Alarios and Mr. Brigido Corpuz).

In 1991, Dr. Ismael Alonzo, assisted by Prof. Tuazon, Mr. Dumandan, Ms. Alarios and Mr. Corpuz, headed the unit. The TCT had just been converted into the Tarlac State University.

From 1992 until 1994, Dr. Alfredo Conte took over the helm of the merged research and extension units of the university.

In 1995, research and extension became distinct units once again. Designated as Director for Research was Dr. Victoria Gengania. Trailblazing the university's entry into the Information Age, she was reappointed by Dr. Dolores G. Matias, the first woman President of the university.

During Dr. Gengania's time, a staff of four faculty members Prof. Brigido Corpuz, also the Director of the Office for Grants and Endowments; Ms. Mirela Carlos, Mr. Edgar Macaraeg, former Network Administration of the University's Information Office and a full time science and technology researcher Mr. Rodel Botio, a chemist

and an inventor supports Director Gengania. Eventually Dr. Gengania was appointed as VP for Planning Research and Extension and Dr. Corpuz was appointed as Director for Research.

In 2005, Dr. Victoria Gengania applied for a sabbatical leave which was consequently approved. When her leave of absence took effect, Dr. Brigido Corpuz was appointed as OIC Vice President for Planning Research and Extension and concurrent research director.

With the appointment of Dr. Priscilla C. Viuya as new president of the University in April 2006 upon the retirement of Dr. Dolores Matias. New appointments were made.

In June 07, 2006, Dr. Maria Elena David, a faculty member from the College of Arts and Social Sciences was appointed as the new Director of the University Research Office. Sometime during the same year Osel Gihan O. Alamo an administrative aide in a job order status was hired to take charge of the clerical works in the office. Following year, two researchers, Xyris Gerard A. Fernandez and Engr. Bertrand Aldous L. Santillan were hired in a job order status in order to augment the staffing of the office. By June 2008 however, Engr. Santillan transferred to full-time teaching status while Engr. Michael Tomas returned back to the research Office as Faculty Research staff.

It was in June 2008 that the Secretariat of the Central Luzon Industry and Energy Research and Development Consortium (CLIERDEC) and the CLIERDEC Foundation Inc. was transferred to TSU through majority vote of the regional members. Dr. Priscilla C. Viuya, TSU president was voted as the President of the CLIERDEC Foundation Inc., Dr. Conrado J. Oliveros as the Chair of the Consortium and consequently Dr. Maria Elena D. David, TSU Research Director was appointed as the Consortium Director. In the same month and year, the TSU Research Office RESEARCH MANUAL was approved by the TSU Board of Regents during its 70<sup>th</sup> Regular Meeting under BOR Resolution No. 38, series of 2008 which was held on June 05, 2008 at CHED Conference Room, DAP Bldg. Pasay City. The Committee that reviewed the University Research Manual composed of the following members of the Board of Regents: Atty. Rhaege Tamaña, representative of Senator Manuel Villar; Dir. Conrado J. Oliveros, DOST III Regional Director; Dir. Remigio Mercado, NEDA III Regional Director; and local review committee headed by Dr. Glenard T. Madriaga, the then Vice President for Research, Extension and Development. The manual was compiled and edited by Dr. Maria Elena David.

In 2010, Ms. Julie Liezel Ferrer also joined the Research team handling Publications and conducting Social Science researches. In 2012, Dr. Louella F. Ona was appointed as the Vice President for Research, Extension, Production and Development. In the same year, Rosario Seguira became the Clerk of the office. Ms. Seguira was replaced by Bryan Limon in 2013 while Erika Pauline Tomas became a part of the

Research Office handling Microbiology and Biodiversity researches in January, 2014. Soon after, in April of the same year, Julie Ann Borja became the new Clerk of the office.

The year 2011 was also remarkable for the Research Office as it was during this year when the office handled the organization and conduct of the **International Education Conference** in cooperation with the office of the Professional and Development Consultancy Services. The said international conference became a yearly event thereafter popularly attended by research presenters from various universities and college around the Philippines and also by foreigners coming from the United States, Canada, China, Malaysia and the Middle East. The monetary incentives for research presentations were also approved by the Board of regents in the same year effectively increasing the number of paper presentations and publications by faculty researchers here and abroad.

2014 is a remarkable year in the history of the URO because it is when the new University President Dr. Myrna Q. Mallari took oath and under her term, changes were implemented in the research office. In the same year, URO established the Social Science and Education (SSED) group and the Science, Technology, Engineering and Mathematics (STEM) effectively assigning the colleges to their respective groups

Presently, the URO is still very active and abreast in serving the needs for research and research management playing a vital and significant role in the advancement and development of the university.

The URO is producing this manual to define the fundamental principles of Research at TSU. The areas, the organization, the implementing mechanisms, privileges of researchers and extension workers, and annual planning cycle. When these factors are well-defined, Research activities can be operationalized in an orderly, atmosphere of freedom, dignity and high standard of objectivity and professionalism in the University.

## **CHAPTER I**

### **GENERAL PROVISIONS**

#### **Article 1**

##### **Preliminary Matters**

Section 1. This document shall be called and known as the “Tarlac State University Research Manual.”

Section 2. Coverage. This Manual shall apply to and govern all researchers and the management and implementation of research in Tarlac State University.

Section 3. Purpose. This manual is intended as a guide in the conduct and management of research in Tarlac State University.

Section 4. Definitions. The terms and acronyms used in this Research Manual are defined as follows:

TSU – refers to the Tarlac State University

Research – refers to an investigation or experimentation aimed at the discovery and interpretation of facts, revision of accepted theories or laws in the light of new facts, or practical application of such new or revised theories or laws

URO – University Research Office

UREC– University Research Evaluation Committee

#### **Article 2**

##### **Basic Principles of Research**

- Section 1. The University Research Programs must respond to current needs and be sensitive to the needs of the future.
- Section 2. Clear and realistic goals must be developed taking into account national, regional, and local needs, specifically TSU's Five-Year Development Plan.
- Section 3. The Research Programs must be balanced in terms of university curricular offerings, commodities and appropriate combination of basic, applied, adoptive and developmental aspects, taking into account the human and material resources of this university.
- Section 4. The University Research Office and its programs should be flexible and should provide for a continuing approval of programs, progress and priorities as they relate to the problems of society.
- Section 5. As much as practicable intercolleges' approach in solving problems should be encouraged and developed. All units and program offices of the different colleges must maintain an open flow of communication and other effective mechanism for joint planning to ensure a concerted effort in the efficient and effective implementation of deliberately chosen ends.
- Section 6. Available scientific talents from the academe and non-academic staff should be utilized. In this connection, the University Administration shall endeavor to provide continuous professional growth for them to respond squarely to the problems of life and society.
- Section 7. The different colleges are expected to undertake relevant and mission-based researchers every year
- Section 8. Finally, the basic guidelines are relevance, excellence, cooperation and greatest good to the greatest number should be kept in mind at all times, especially with respect to research problem identification, project implementation, and result packaging for extension purposes.

## **CHAPTER II**

### **RESEARCH AGENDA**

#### **Article 1**

#### **Goals of Research in the University**

The URO shall have the following goals:

Section 1. Provide leadership in the priority areas of the university in line with the institutional and national goals for the improvement of the quality of life of the people towards global competitiveness through research.

Section 2. To develop Research areas in terms of university curricular offerings, commodities and appropriate combination of basic, applied, prototype, and developmental aspects, taking into account the human and material resources of the institution.

Section 3. Propose policy/ procedure/ rules and other systems for consideration by the URO to the Board of regents for the effectiveness and efficiency of research program operations.

## **Article 2**

### **Objectives of Research in the University**

The URO shall have the following objectives:

Section 1. To undertake research work and services that support the development thrusts and programs of the local, regional and national government.

Section 2. Conduct research works along the following priority areas: Foods, Phytochemical, Environment, Governance and Public Policies, Engineering, Information Technology and the adoption, utilization and development of technologies for educational institutions and various industries.

Section 3. Collaborate with other Colleges and Universities, government organizations, national government agencies, non-government organizations, people's organization and other agencies in areas of research services.

Section 4. Present research outputs in local, national and international fora, university in-house reviews and to publish them in refereed research journals.

Section 5. Utilize research outputs for instruction, extension services, policy development and commercialization by the industries in order to enhance their productivity.

Section 6. Conduct of Research Capability Building activities

## **Article 3**

## **Research Programs**

The Following are the research programs of TSU:

Section 1. Environment and Climate Change Mitigation

Section 2. Foods, Natural Products and Health Research

Section 3. Sustainability Technology

Section 4. Public Policy and Social Praxis

Section 5. Development and Validation of Softwares and Extended to LGUs  
and other Agencies

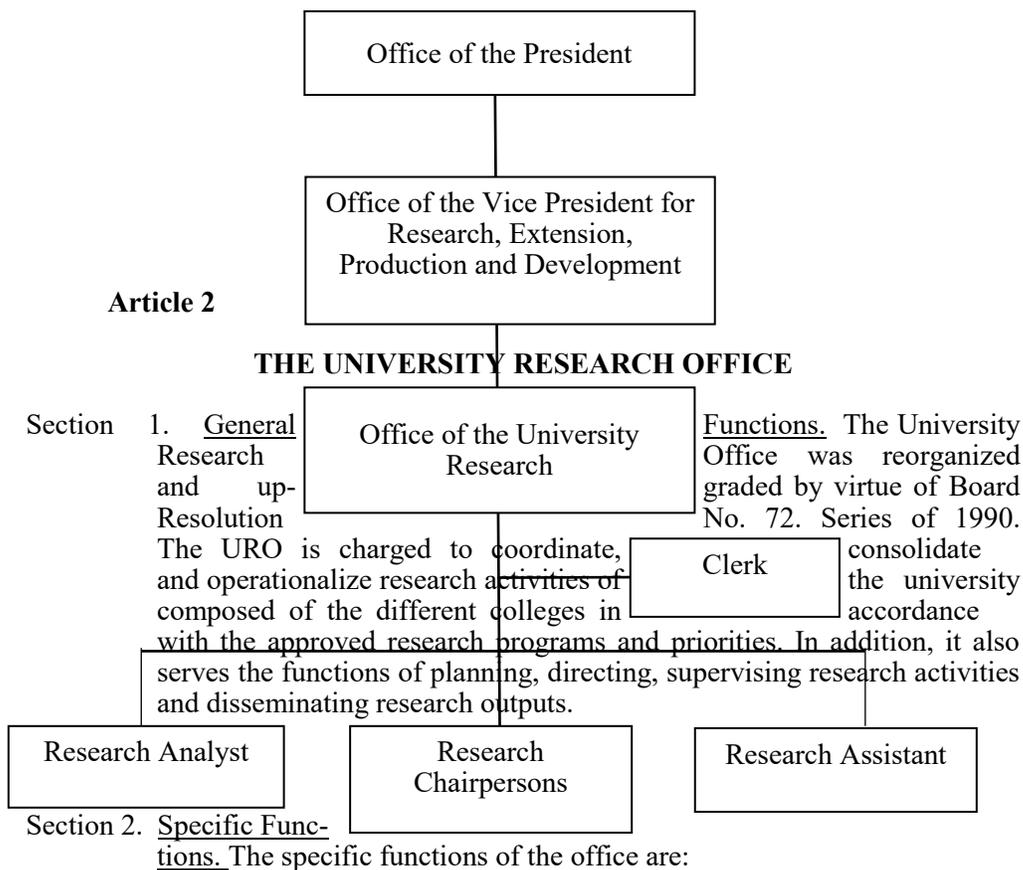
Section 6. Research Center on Gender Studies

## **CHAPTER III**

### **THE MANAGEMENT OF RESEARCH**

#### **Article 1**

#### **ORGANIZATIONAL STRUCTURE**



1. To assist the UREC in its program of development and growth by providing needed base data for decision making and for the formulation of development plans;
2. To provide the university personnel/ faculty with opportunities and funding support to pursue research projects that are relevant to the thrusts and needs of the university;
3. To establish linkages with industry and other agencies, for the purpose

- of identifying relevant subjects or problems for research, pursue research endeavors on areas of common concern jointly with these agencies;
4. To coordinate and monitor research projects of the various units of the university; and
  5. To formulate and implement guidelines approved by proper authority governing university research grants as well as the privileges and responsibilities of grantees.
  6. To disseminate research outputs through research presentations, roundtable discussions, workshops and publication of research journals, and newsletters.
  7. To plan and implement programs directed towards the continuing development of skills and competencies of research personnel.

## **Article 2**

### **The Director of the University Research Office**

- Section 1. General Functions. The head of the URO is a Director who shall coordinate, consolidate, and operationalize the Research programs of the University.
- Section 2. Specific Responsibilities. The specific functions of the Director of the University Research Office are the following:
1. To formulate general plans for research for the University;
  2. To recommend general policies and guidelines on research for recommendation of the President to the Board of Regents of the University;
  3. To guide the planning and direct the monitoring and feedback of Research activities of the University;
  4. To prepare and submit reports and recommendations to the President; and
  5. To establish linkages with private and government sectors for possible collaboration and grant assistance.

## **Article 3**

### **The University Research Office Staff**

- Section 1. General Function. The common function is to coordinate the Research activities of the university in the aspect of planning, technical review, evaluation, and monitoring, and publication of research results.
- Section 2. Specific Function. The specific functions and responsibilities of the University Research Office Coordinators are:

1. To coordinate with the College Chairpersons in the planning and organization of research activities in their respective areas of concern;
2. To identify and recommend research priorities for the university;
3. To plan and conduct workshops, round table discussions, lectures and short term training courses in research;
4. To prepare project proposals, direct and conduct research works along specialized fields like science and technology;
5. To prepare work plans, feasibility studies and research reports and assist other researchers in doing the same;
6. To review and evaluate the proposals submitted by faculty researchers through the College Chairpersons; and
7. Prepare research publications such as journals and newsletters.

#### **Article 4**

##### **The College Chairperson for Research**

Section 1. General Function. The College chairperson for research shall coordinate the research activities of their respective colleges to the University Research Office;

Section 2. Specific Functions. The specific functions of the college chairpersons are:

1. To review and evaluate the proposals within their respective colleges submitted by faculty researchers in terms of technical description, the rationale of the budget and the qualifications of the researchers through organizing a colloquium;
2. To evaluate and monitor researches conducted within the area of concern and submit progress reports;
3. To coordinate with other groups or units in the campus in the conduct of research projects;
4. To supervise researchers within their respective colleges;
5. To supervise Department Research Coordinators of the colleges;
6. Submit semestral reports and recommendations to the University Research Office;
7. To review research reports within the area of concern and to identify those for possible presentation, publication and printing;
8. To conduct research, subject to the same benefits and responsibilities as the other researchers.

#### **Article 5**

## **The Researchers**

Section 1. The researchers are primarily from the faculty of various colleges.

Section 2. The researchers are technically under the College Research Chairperson and URO director and administratively under their respective college deans.

Section 3. Research can be implemented either as a team to be headed by a Project Leader or as an independent study to be conducted by a researcher. For purposes of convenience and systematic classification, the researchers in the university are categorized as:

- A. Main Author. A researcher who submits a proposal consisting of two or more studies which are related to the main project. A Project Leader must handle at least one study under his project. The Project Leader must have the competency to serve as research leader in administrative capacity as well as a researcher and worker of the project.
- B. Co-Author. A researcher who assists the Project leader in an administrative capacity for proposals consisting of two or more projects and must handle at least one study under the main project.
- C. Corresponding Author. A faculty who submits one proposal at a time and shows the competency to conduct an independent work.
- D. Research Assistant. Hired by researchers whenever necessary, for research projects approved for funding by the university subject to government, accounting and auditing rules and regulations as per BOR Resolution No. 113, s. 2014 approved last November 19, 2014.

## **CHAPTER IV**

### **MECHANICS OF IMPLEMENTATION OF RESEARCHES**

#### **Article 1**

##### **Fundamental Provisions**

Section 1. Research is an important function of the University, and as such, the faculty and research who are qualified to conduct research, whether singly or in teams, are encouraged and given every opportunity and support to pursue research work in their areas of competence.

Section 2. To be considered for funding, the research project must be within the Research Agenda of the college and university and areas of specialization of the researcher and is identified as a priority.

Section 3. The release of the research budget to the respective units of the University will be based on the itemized budgets that were submitted and approved for each study or project. Research budget allocations and releases are dependent on the research proposals that are submitted and approved for funding.

Section 4. All research projects that are funded by TSU or other government agencies must be governed by the MANUAL FOR RESEARCH OF TSU and the usual government auditing and accounting procedures.

## **Article 2**

### **University Research Funding**

Section 1. University Research Funds shall be taken from the University Budgetary Allocation for Research and such other funds of the University, i.e., grants-in-aid.

Section 2. University Research Funds and all other forms of Research support and incentives shall be granted by the University President after a review and endorsement of the research proposals by the University Research Evaluation Committee.

Section 3. All research proposals must be accomplished with the itemized budget and the proof of competence or vitae of the researcher which shall form the bases in determining the amount and approval of the research fund.

Section 4. The release of funds for researches that claim funding will be in the form of cash advance to the researcher according to the following schedule of releases:

First Release – 50% after approval by the University President and upon start of actual research;

Second Release – 30% after presentation of evidence to the UREC through a progress report that the project is 75% complete and liquidation report of cash advance.

Final release – 20% after presentation of evidence to the UREC through a progress report that the project is 100% complete and liquidation report of cash advance.

Any change in the methodology and funding therewith shall require written request and justification, subject to review by the University Research Evaluation Committee (UREC) . Any change, before becoming effective, shall require the approval of the University President upon recommendation of the UREC.

### **Article 3**

#### **Development of College Research Programs**

- Section 1. The preparation of the College Research Programs shall be done on annual basis in consultation with the University Research Office Coordinators and College Chairpersons and Coordinators for Research. The identification of research titles and projects in the program should be prepared by the College Research Chairs and University research Coordinators.
- Section 2. Upon completion of the research program by the different colleges, copies should be submitted on or before the end of October of the calendar year.

### **Article 4**

#### **Preparation of Research Proposals and Approval Guidelines**

- Section 1. General provisions. Proposals to conduct research projects in different colleges are evaluated with the intention of ensuring:
- a. The probity or viability of research endeavors undertaken by different faculty researchers
  - b. The research question is of sufficient educational value, purpose, or significance for the University or community, to justify the expenditure of any necessary fund, time and effort required by the university
  - c. The research methodologies are appropriate and capable of producing valid outcomes.
  - d. The research findings are presented fairly and accurately.
- Section 2. The preparation of the University Research Proposal must be limited within those projects that are identified within the research program except for highly meritorious and emergency cases.
- Section 3. Preparation of research proposals shall be made for review and evaluation by the College Research Evaluation Committee and for final fund allocation by the University Research Evaluation Committee .

- Section 4. Approval Guidelines. Approval for all research projects must be sought from the University Research Office through the Research and Extension Approval Process (REAP)
- Section 5. Applications submitted to the Research Office should be in accordance with the *Criteria for Approving Applications* and include the *Required Documentation*. Before completing the application, applicants should read the criteria carefully. Note that, in signing the Application to Conduct Research work researchers indicate that they are familiar with the criteria and agree to abide by them. All of the documentation requested must be provided; proposals cannot be assessed unless adequate detail is provided.
- Section 6. Proposals emanating from the college/ university research units, are to be approved by its research evaluation committee, before final approval will be granted by the University level research evaluation committee.
- Section 7. Processing of applications. Research applications are processed by the Research Unit of the Colleges.

## Article 5

### Steps in the Approval Process

- Section 1. College level Evaluation. The Evaluation process covers the following steps in the college level:
1. The researcher/group of researchers submits a completely filled up application to conduct research work together with the proposal to the college research chairperson in three copies. College approved proposals should be submitted to the university level research evaluation committee.
  2. The college research chairperson receives the application together with the proposal then convenes the college research evaluation committee in order to evaluate the proposal according to the herein approved criteria.
  3. Results of the evaluation will be given to the researcher/s in written form stating if the paper is a) approved b) approved subject to modification or c) disapproved.
  4. If the proposal was disapproved, notification will be given to the researcher/s.
  5. If the proposal was approved subject to modification, it will be returned to the proponent together with the comments for revision. After revision it will again be submitted back to the college research evaluation committee

for appropriate action.

6. If the proposal was approved, recommendations will be given by the college research and evaluation committee to the university level research evaluation committee for review of the proposal.

Section 2. University Level Evaluation. This committee will follow these steps.

1. This committee will review the proposal coming from the college level evaluation committee as to the technical aspect of the proposal.
2. Results of the evaluation will be given to the college review committee and the proponent in written form stating if the proposal is a) approved b) approved subject to modification or c) disapproved.
3. Accepted proposals will be categorized into two: those that are recommended for funding and those that are recommended for incentives only upon completion of the research.
4. All accepted research proposals will be submitted to the University President and to the Board of Regents for final approval.
5. All approved research proposals will be consolidated by the UREC for proper fund consideration and programming.

## **CHAPTER V**

### **MONITORING AND EVALUATION OF RESEARCH**

#### **Article 1**

##### **The College Research Evaluation Committee**

Section 1. Composition. The committee will be composed of the following:

- a. Chairperson – College Dean
- b. Vice Chair - Chairperson, Department of Research
- c. Members
  1. Chairperson, Department of the College where the research is categorized
  2. Chairperson, Department of Research Coordination assigned to the College
  3. Specialist of the Discipline where the Research project is categorized

Section 2. Functions. The College research review and evaluation committee shall :

- a. Receive research proposals submitted through the college research chairperson;

- b. Evaluate research proposal base on the approved guidelines and criteria;
- c. Provide a written evaluator’s report to the person concerned and to the UREC;
- d. Monitor the conduct of approved proposal through review of research reports; and
- e. Evaluate finished research projects and submit to the UREC results of the evaluation of finished projects.

## **Article 2**

### **The University Research Evaluation Committee**

Section 1. Composition. The UREC will be composed of the following:

- a. Chairperson - VP- Research and Extension Development
- b. Vice – Chair- Director of the University Research Office
- c. Members
  - 1. Representative from the Deans’ Council
  - 2. Specialist of the Discipline where the Research project is categorized
  - 3. Budget Officer or representative

Section 2. Functions. The UREC shall have the following functions:

- a. Evaluate the proposal as per approved criteria;
- b. Determine and recommend the Equivalent Teaching Load or Incentives of proponents;
- c. Determine and recommend priority proposal for funding and categorize proposals for incentives only upon completion; and
- d. Evaluate finished researchers according to guidelines.

## **Article 3**

### **Evaluation of Researches**

Section 1. Criteria. Below is the criteria for evaluation of researches from the In House Review of Researches Guidelines (as per BOR Resolution No. 110, s. 2014 approved last November 19, 2014)

Section 2. Required Documentation. Following are needed in the evaluation of research proposals:

1. *Capsule Proposal Form (TSU-URO-ED-007)*
2. *Vitae of the Proponent*
3. *Research Proposal outline (original, 1 copy plus 2 photocopies)*
4. *Duly Signed Evaluation Form*
5. *Authenticity Form*
6. *Agreement Contract for Funded Researches*
7. *Certificate of Ethics Review Committee*

An outline of the research proposal should be provided. This should indicate:

- the description of the research project
- the rationale of the research project
- the means by which the data/information will be gathered
- the participants from whom the data/information will be gathered
- the methods for ensuring the privacy of participants
- a time line for the research.
- a line itemized

4. *Research instruments (original, 1 copy plus 2 photocopies)* The researcher must submit copies of interview schedules, questionnaires or other data collection instruments (including tests or stimulus materials). These are to be in the final form proposed for use. Where modifications are made, the researcher must submit the revised copies before they are used.

Section 3. Documentation needed for evaluation of accomplished researches. The researcher should submit one electronic copy and three printed copies of the finished research work. For technologies, the project should also be presented to the evaluating committee.

Section 4. Evaluator's Report. It is the responsibility of the Evaluation Committees to examine all research proposals to consider their quality, appropriateness and adequacy. Evaluation should be based on the approved criteria. Ethical issues also need to be considered in the conduct of the Research Projects. The researcher's capacity to handle the project should also be considered. The University level Evaluation Committee shall likewise make the recommendations for the granting of Funding Support or Incentives to the Project Proponent/s. The committee shall furnish the applicant with the timetable of evaluation and written report of evaluation.

## Article 4

### Implementation of Research Projects

Section 1. In the implementation of the research project, the project/study leader will be assisted directly by the College Chairperson regarding the actual

<b>Criteria</b>	<b>Technology Generated</b>	<b>Social Science/ Information Dissemination</b>
Novelty/Originality of Work	30%	30%
Appropriateness of Methodology/ Technical Presentation	30%	30%
Potential for Patenting or Technology Transfer or commercialization	30%	40%
Potential for Publication/Presentation	10%	

conduct of the work. The assistance may be in the form of:

- a. Facilitating request for manpower, i. e., research assistants/aids, etc. needed for the research;
- b. Negotiations with implementing or cooperating agencies;
- c. Facilitating requests for materials and supplies needed in the conduct of the study;
- d. Facilitating requests for travel and other contingencies; and
- e. Preparation of progress and final report.

Section 2. The University Research Office Coordinators shall contact the researchers through College Chairpersons for Research periodic monitoring conference.

Section 3. The project/study leader of the research shall take full responsibility in the systematic conduct of the study, accurate gathering and analyzing of data or observations.

Section 4. Researchers should be governed by legal provisions stipulated in the existing government accounting and auditing procedures. This is to insure the legal protection of the researcher in the administration of funds.

Section 5. In the administration of research, the following administrative functions are established to insure a wholesome relationship:

- a. If the research is classified as a project, consisting of two or more studies or services, the project leader automatically becomes the administrator of the research. The Researchers and other members of the personnel staff will be under the Project Leader. The coordination and consultation will be with the College Chairperson concerned and the University Research Office Coordinator for Research. This is to insure interaction and exchange of ideas regarding the development or progress of the research.
- b. If the research is classified as a study which means that it is one independent work; the Researcher is the sole administrator of the research work. However, he must do the research study in consultation with the College Chairperson concerned that has supervisory function of the study and with the University Research Office Coordinator for Research. This is to insure the success of the study and to develop a healthy relationship among colleagues in the scientific community.

Section 6. The research should be completed within the specified time frame.

## **Article 5**

### **Reporting, Documentation and Publication of Research Findings**

- Section 1. It is very vital that the findings of the research be documented according to prescribed style and format, before it is reported.
- Section 2. The reporting/presentation should be done through several venues such as seminars, forums, round table discussions, conferences and the University in-house review for researches.
- Section 3. After the research findings are reported in any of the venues mentioned, those researches that deserve to be printed and published in the research journal will be selected by the Office of the Director of the URO in consultation with the proper authorities and Research Publication staff.
- Section 4. The research report must be written as a technical paper, using the standard style and format prescribed by the University. This is to insure uniformity and high standard of writing research manuscripts.
- Section 5. In the administration of research, the following administrative functions are established to insure a wholesome relationship.

## **CHAPTER VI**

## **PRIVILEGES AND RESPONSIBILITIES OF RESEARCHERS**

### **Article 1**

#### **Research Support And Incentives**

- Section 1. Privileges and Incentives for Researchers. To motivate researchers in the University, there are four categories of privileges and incentives provided, namely:
- 1) credit for performance evaluation and NBC Evaluation, 2) reduced load, 3) funding support, 4) incentives, or 5) royalties from income generating research or projects subject to the existing University Policies on Intellectual Property Rights.
- Section 2. Only approved Researches can be used for Performance Evaluation and National Budget Circular (NBC) Evaluation.
- Section 3. Research proposals will be categorized by the Evaluation Committee in two ways: a) for granting of funds and deloading of teaching loads to be determined based on the work load schedule, b) granting of incentives after the project have been conducted and c) reduced load only subject to the completion of the paper.
- Section 4. For granting of Funding support and deloading of teaching loads the following criteria should be considered.
- Section 5. Equivalent Teaching Load. Full-time Faculty members performing the following functions in research shall be credited the following:
- 5.1 Director of the University Research Office. Shall be given 3 units teaching load.
  - 5.2. Faculty attached to the Research Office. Nine(9) to twelve (12) lecture hours.
  - 5.3 College Research Chairpersons. Fifteen (15) units teaching load
  - 5.4 College Research Chairpersons with approved researches shall be de-loaded.
  - 5.4 Faculty members with approved research project meeting the criteria in Section 3, fifteen (15) units teaching load for university / local community research projects while twelve (12) units teaching load for research projects for regional/national use or application.
- Section 6. For all other approved researches but were not recommended for funding, the proponent can claim for the granting of incentives under existing university policies upon submission of an acceptable output as determined by the university level evaluation committee. The Evaluator's Report is needed for claiming the incentives and certificates should accompany the claims for presentation and publication incentives.

A. Terminal Incentive. Faculty researchers with approved research projects shall be entitled to incentives that are legally allowed per task or project as approved by the Board of regents.

B. Incentives. All other incentives could be claimed by the researchers based on the existing guidelines on the giving of incentives as approved by the Board of Regents.

i. Processing of claims for the incentives shall be done by the URO only upon submission of the necessary documents: such as copies of the research work, journals, certificates, acceptance paper, etc. Incentives will be released to the main author or project leader.

ii. In as much as research outputs play a major contribution to the university's performance, expenses to be incurred by faculty and personnel research presenters (permanent, temporary or job-orders) in regional, national and international presentations are to be subsidized by the university. Funding for international conferences outside the Philippines shall be based on the recommendation of the Research Evaluation Committee and approval of the President.

iii. In order to have an equal distribution of opportunity and maximize the use of the limited resources of the university, each researcher shall be allowed to go on official business for oral and poster paper presentation as stated in (ii) only twice for each research work accepted within the country.

iv. Cash incentives for the Annual In-House Review of Researches shall be given together with the certificate of appreciation/recognition.

C. Royalties. Researchers whose findings are commercialized in formats (i.e. books, manuals, handbooks, etc.) that can be sold to various clienteles by the university or who invented and reproduced development projects that can be sold, are entitled royalties under legal provisions to be set by the university and the researcher through a Contract or Memorandum of Agreement subject to the existing University Policies on Intellectual Property Rights.

Section 7. All projects approved for funding will be prioritized by the University Research Evaluation Committee and programmed by the budget office.

Section 8. Only Faculty members whose projects were approved for funding will be granted deloading as per recommendation of the University Research Evaluation Committee.

Section 9. All faculty members whose projects were approved shall sign a contract with the university that they will finish the project as per specified period. University auditing and accounting procedures shall apply to the liquidation of funds granted. Those who will not be able to finish the project shall payback the university for any funds that they have received and for the deloading given.

## Article 2

### Responsibilities and Obligations of the Research Grantees.

1. Upon approval of the project by the President, the proponent shall enter into a contract or (Memorandum of Agreement) with the University. Such Memorandum of Agreement shall detail the rights and benefits and the corresponding obligations and responsibilities of both parties.
2. Non- compliance with any of the provisions in the agreement shall be ground for:
  - a. Modification or termination of research subsidy;
  - b. Suspension of the research projects
  - c. If warranted, after investigation, the researcher may be required to reimburse any honorariums or funds that have already been granted.
3. All University funded research outputs shall be the property of the University as stipulated in the University policies on Intellectual Property rights, and as such, any used of or reference to them shall make proper acknowledgements to the university.
4. Publication or presentation or use of any research output shall require the university approval and consent of all authors of the research project.

## CHAPTER VII

### Transitory Provisions

- Section 1. Effectivity. This Research Manual shall be effective immediately upon approval of the Board of Regents.
- Section 2. Amendments. Amendments or changes in the content of this manual will be possible after presentation and adoption of the administrative council and upon approval of the Board of Regents.
- Section 3. Any existing orders promulgated prior to the approval of this manual, that are inconsonant with any provision hereof shall be deemed superseded

by this manual, unless, otherwise contrary to any existing government laws or statutes governing such.



## APPENDICES

Appendix A. In House Review of Researches Guidelines (Approved last November 19, 2014 as per BOR Resolution No. 110, s. 2014)

### In House Review of Researches Guidelines

#### I. CRITERIA

Criteria	Technology Generated	Social Science/ Information Dissemination
Novelty/Originality of Work	30%	30%
Appropriateness of Methodology/ Technical Presentation	30%	30%
Potential for Patenting or Technology Transfer or commercialization	30%	40%
Potential for Publication/Presentation	10%	

#### II. GUIDELINES IN THE PRESENTATION OF PAPERS

1. Papers to be presented both in the Science, Technology, Engineering and Mathematics (STEM) and Social Science, Business and Education (SSBE) In House Review of Researches should be completed researches within the preceding year.
2. Papers to be presented in the (STEM) In House Review will be divided into Category 1 (Technology Generated/Validated) and Category 2 (Information for dissemination).
3. Only researches written in English and Filipino will be accepted.
4. Research Articles from Thesis or Dissertations of Faculty members currently employed by Tarlac State University are qualified for presentations
5. Researches conducted by students as thesis and co-authored by the faculty advisers are not qualified for presentations.
6. Paper entries should be original researches authored by faculty of Tarlac State University. A certification to this effect shall be submitted.
7. Research Articles entries should follow the prescribed publishable format not to exceed 5 pages including graphs, tables and bibliography, Times New Ro-

man font on 8 1/2" x 11" white bond paper.

8. It is the responsibility of the author to secure permit from the owners for use of copyrighted photos, figures and the like. A written permit shall be submitted to this effect.
9. Electronic and 3 Printed copies of the Research Articles in the prescribed publishable format in the In- House Review including one paragraph biographical sketch of the author should be submitted one week before the scheduled date of the Review to the:

University Research Office  
2<sup>nd</sup> Flr. RED Center, Lucinda Campus

10. Mechanics of Presentation

- a. Presentation shall be in powerpoint not to exceed 10 slides. The presenter should only present the highlights of the paper in bullet form.
  - b. Each presenter is given only 15 minutes for the oral presentation of his/her paper, hence, presenter is advised to present essential information/data about his/her research.
  - c. Presenter will be notified through a Note Card of the time left for his/her presentation, i.e., 5 minutes, 2 minutes and the last 1 minute to wrap up his/her presentation.
  - d. A total of 15 minutes will be allocated for questions from all the Judges. Again, the presenter is advised to give direct answer to questions raised by the Judges.
11. The decision of the 3-member External Panel of Judges shall be final and non-appealable.
12. Participants shall be given a Certificate of Participation only. Winners shall receive certificates of participation and cash prizes.

	<b>Science and Technology Category</b> (Information Dissemination and Technology Generated)	<b>Social Science Category</b>
First Place	Php 10,000.00	Php 7,000.00
Second Place	7,000.00	5,000.00
Third Place	5,000.00	3,000.00

13. In-House Review External Panel of Judges and all other external evaluators of university research papers shall be given an honorarium of Php 2,500.00 or USD 50.00 for foreign evaluators per paper.

Appendix B. Guidelines on Granting of Research Incentives (Approved last June 10, 2015 as per BOR Resolution No. 28, s. 2015)

**Guidelines on Granting of Research Incentives**

**Cash Incentives for Research Outputs**

1. **Terminal Incentives.** Section 6 of Chapter 2, Art. 1 of the University Research Manual provides for the granting of terminal incentives to permanent faculty researchers with approved researches but were not recommended for funding or deloading. Thus, for completed researches, granting of terminal incentives will be based on the result of the final evaluation made by the University Research Evaluation Committee:

Evaluation Rating	NEW RATE	
	Science and Technology Researches	Social Science Researches
95-100%	Php 50,000.00	Php 20,000.00
85-94%	40,000.00	15,000.00
75-84%	30,000.00	10,000.00

2.

**For Research outputs declared as winners in research competitions** (e.g. DOST Regional Invention Contest, CLIERDEC Best R & D Paper Competition, etc.), the winning research will be given a cash award for the following scheme below.

The same incentive scheme shall apply to research outputs awarded “Best Paper” or its equivalent in research conferences. In cases where there are no first, second, or third placers, the highest amount shall be granted to “Best Paper” awardees provided that the Conference Invitation announces the competition and guidelines are presented.

3. **Other Incentives.** The following incentives will be given over and above the

	NEW RATE	
	Regional and National Competition	International Competition
First Place	Php 20,000.00	40,000.00
Second Place	Php 10,000.00	30,000.00
Third Place	Php 5,000.00	20,000.00

honoraria/ terminal incentives or royalties awarded for approved researches:

## A. EXISTING RATE AND CATEGORIES

### 4. Other Guidelines

a.

Output	NEW RATE
Commercialized Invention/Innovation with Patent	25,000.00
Patent	15,000.00 per patent
Commercialized Invention/Innovation without Patent but Transferred	10,000.00
Adoption of research output/recommendation for policy formulation or implementation	10,000.00
International Journal Publication (ISI Indexed)	<b>50,000.00</b>
International Journal Publication (Peer reviewed)	15,000.00
International Proceedings Publication (Peer reviewed)	5,000.00
National Journal Publication (CHED Accredited)	<b>20,000.00</b>
National Journal Publication (Peer reviewed)	5,000.00
National Proceedings Publication (Peer reviewed)	2,500.00
International Oral Presentation (held abroad)	7,500.00
International Oral Presentation (held within the country)	5,000.00
National/Regional Oral Presentation	3,000.00

Faculty members enjoying scholarships and on study leave are not entitled to any of the above research incentives. If the faculty is reinstated at any point within the scholarship/study leave period, he can claim for incentives during reinstatement provided that the research was completed and submitted for evaluation or presented within the reinstatement period.

- b. The University In-House Review of Researches evaluates completed researches for the purpose of the contest and granting of cash prizes to winners.

Only thesis and dissertation of faculty member within the last three (3) years prior to the In-House Review will be accepted in the contest. Thesis and dissertation which are granted financial assistance are not entitled to terminal incentives.

All other research conducted by faculty members that were not submitted to

UREC for evaluation may also be presented in the University In-House Review but are not entitled to terminal incentives.

- c. Fees for patenting or copyright of researchers will be shouldered by the University and are subject to the Intellectual Property Guidelines of the University.
- d. Fees related to journal publication and subscription will be shouldered by the University provided that the journal is ISI-indexed or CHED-accredited or international/national peer reviewed.
- e. Publication incentives can be claimed only once.
- f. Incentives for paper presentation will no longer be granted to those who will present the same paper for the second time.
- g. All research outputs should be within research thrusts of the university and area of specialization and vertically aligned to the major field of specialization of the faculty researcher. Research papers which are not aligned to the major field of specialization shall not be granted incentives.
- h. Temporary faculty members who conducted research papers within the thrust of the university and aligned to their specialization shall only be granted terminal incentives, provided that such papers passed through the university evaluation process.

Appendix C. Guidelines for the Funding of Paper Presentations in National and International Conferences (Approved last June 10, 2015 as per BOR Resolution No. 29, s. 2015)

**Guidelines for the Funding of Paper Presentations in National  
and  
International Conferences**

Consistent with the provisions of the University Research Manual, the following guidelines for support for paper presentation in National and International Conferences are hereby promulgated:

1. Funding support shall be given to permanent faculty members whose papers have been accepted for oral presentation in national or international research conferences provided that such papers have been submitted to the University In-House Review or have undergone final evaluation by the University Research Evaluation Committee (UREC). Master's thesis and dissertation of faculty members which are accepted for oral presentation shall likewise be provided with funding support.
2. Paper presentation of research outputs which are part of University approved projects shall likewise be afforded funding support provided that the presenter is part of the research team.
3. Funding support for paper presentation in national conferences and international conferences held within the country shall not exceed thirty thousand pesos (Php 30,000.00) to cover registration fee, transportation and allowable per diem, subject to government accounting and auditing rules and regulations.
4. Funding support for paper presentation in international conferences held in America and European countries shall not exceed one hundred thousand pesos (Php 100,000.00), for the rest of Asia and Asia Pacific countries shall not exceed seventy-five thousand pesos (Php 75,000.00) and for ASEAN countries shall not exceed fifty thousand pesos (Php 50,000.00) to cover registration fee, transportation and allowable per diem, subject to government accounting and auditing rules and regulations.
5. A permanent faculty may receive funding support for paper presentation in a national or international conference only once per calendar year.
6. Paper presentation in any national or international conference may receive funding support from the University only once. Priority will be given to presenters in conferences with publications.
7. In papers with multiple authors, funding support as well as incentives for

- paper presentation shall be released to the author-presenter.
8. Paper presenters are encouraged to seek funding from CHED and other funding agencies.
  9. Paper presentations that received full funding from CHED or other funding institutions will no longer be funded by TSU. However, incentives for paper presentation under existing policies will still be granted. In cases where only partial funding was granted by funding institutions, the differences shall be shouldered by TSU.
  10. Priority shall be given to author-presenters who have not received funding for paper presentation during the preceding calendar year.
  11. In all cases, funding support shall be subject to availability of funds.
  12. All research papers for presentations should be within research thrusts of the university and area of specialization and vertically aligned to the major field of specialization of the researcher.

Appendix D. Editorial Policy and Guidelines for Publication in the TSU INQUEST Research Journal (Approved last August 25, 2015 as per BOR Resolution No. 54, s. 2015)

**Editorial Policy and Guidelines for Publication in the TSU  
INQUEST Research Journal**

**General Description**

The Tarlac State University Inquest Research Journal is a multidisciplinary publication of scientific research findings. It is an avenue for the dissemination of research findings and exchange of ideas of researchers in the university and in the academe

**General Guidelines**

1. Authors who are interested to publish their research articles in the Inquest Journal shall sign the Journal Publication Agreement Form and submit the electronic copy of their article in document (doc) format to [tsu\\_research@yahoo.com](mailto:tsu_research@yahoo.com) and to [research@tsu.edu.ph](mailto:research@tsu.edu.ph) Articles in PDF files will not be accepted.
2. All research articles must have a high degree of scholarship. The articles from TSU faculty researchers should come from research entries to the TSU Annual In-house Review of Completed Researches or those that have passed through the evaluation of the UREC. The Editorial Board reserves the right to conduct initial review of submitted research articles to determine the feasibility of its publication.
3. Research articles from external contributors may be accepted for publication in the accredited Inquest Journal for a fee provided that the number shall not be more than 40% of the total number of articles being published for each issue.
4. All articles must be approved by the editorial board and by selected referees for publication.
5. The articles must be written either in English or Filipino. All articles written in either language should be accompanied by an Abstract written in English.
6. All articles must be original.
7. Articles must use the latest APA style sheet.
8. All articles must be typed single-spaced, Times New Roman 12 pts on letter sized (8 1/2 x11) paper and not more than seven (7) pages following the attached format.
9. It is the author's/authors' responsibility to secure permission for the use of copyrighted materials and approval of co-authors for the article to be published.
10. Photographs, tables, line drawings, graphs and illustrations should be clear, of good quality and preferably grayscale.

11. Contributions should be accompanied by a short profile of the main author reflecting the present designation of the author, agency, education, and field of specialization.
12. For research articles coming from In-house reviews, the manuscripts should be revised according to the comments/critiques of the evaluating panel. All comments and suggestions of the evaluators and referees for each paper should be incorporated and taken into consideration by the authors upon revising their papers. It is the responsibility of the authors to revise the research papers submitted to external refereeing, and should sign an undertaking/contract to this effect. The author shall payback the university for the cost of external refereeing if the author fails to revise.
13. Revised research papers should be submitted back to the managing editor forty-five (45) days after receipt of the evaluation result.
14. Deadline of submission of revised contributions is every end of January of each year for publication for the current year.
15. The University President in consultation with the University Research Evaluation Committee shall appoint the editorial board of the Journal.
16. The Editorial board shall recommend to the University President qualified external reviewers for each paper.

### **Research Review System**

The Peer review system of the Journal follows a double blind review process.

Author (s) identity is removed from the manuscript during the review process. The reviewer is left with only the manuscript without any information that might enable him/her to find out the identity of the author(s). Likewise, the author will not be aware also of the identity of the reviewer of the research paper submitted.

Manuscripts are assigned to members of the editorial board of the journal or other qualified reviewers and external evaluators competent in the research field being reviewed. Reviewers make one of the following recommendations:

- Accept As Is
- Requires Minor Corrections
- Requires Moderate Revision
- Requires Major Revision
- Reject on grounds of (Please be specific)

A Review Certificate and the reviewer's fee is given to reviewers after the evaluation of the manuscript.

The review reports are sent to the authors. Reviewers' identity is removed from the review reports. The author (s) is left with only the review reports/recommendation without any information that might enable him/her uncovers the identity of the re-

viewers. A minimum of two review reports are required per manuscript.

The managing editor, on receipt of the author (s) revised manuscript shall send this to the editorial board together with, the original manuscript and the review reports. The editorial board shall then make the following decisions:

- Accept
- The Manuscript Requires Improvement
- Reject

If a manuscript is “Accepted”, an Acceptance Certificate is issued to the author (s) and the manuscripts are processed for publication. If a manuscript is rejected, the authors are informed of the decision and no further processing is done on the manuscript. If a manuscript requires improvement, it is sent to the author (s) with the editor’s recommendation for further revision. At this stage, the author is given another (15) days to revise. After revision the editor makes a final decision on the revised manuscript either to “Accept” or “Reject” it. If the researcher did not revise, he/she should payback the University for the Cost of refereeing.

Appendix D. Workflow Chart of Transactions and Services

**1. Agenda Setting**

Person-In-Charge	Flowchart	Procedure
RD	<pre> graph TD     A([Budget Request]) --&gt; B{Approved?}     B -- NO --&gt; C[Justify the budget request]     C --&gt; B     B -- YES --&gt; D[Invitation of Participants]     D --&gt; E[Conduct of Activity]     E --&gt; F[Processing of results and submission of report to VP REPD]     F --&gt; G[Approval of Administrative Council]         </pre>	1. The Research Director requests budget for the agenda setting workshop activity.
UP		2. The University President decides on the approval of the request.
RD & URO Staff		3. Once the request is approved by the President, the Research Director invites the stakeholders, faculty researchers, deans, student representatives, research director and Vice presidents.
URO, SH, CRC, FR, Deans, VPs		4. The URO conducts the activity where in: <ol style="list-style-type: none"> <li>Research themes and priorities of the university are identified.</li> <li>Inputs and directions are defined according to the priorities, projects and programs.</li> <li>Proposal of plans, policies and guidelines</li> </ol>
URO		5. After the workshop, URO processes the results of the activity and submit report to the VP REPD for review.
URO & VP REPD		6. The agenda is presented to the administrative council for further inputs and approval of the council.

**2. Capacity Building Program**

Person-In-Charge	Flowchart	Procedure
<p>RD</p> <p>UP</p> <p>RD &amp; URO Staff</p> <p>URO</p> <p>URO</p>	<pre> graph TD     A([Budget Request]) --&gt; B{Approved?}     B -- NO --&gt; C[Justify the budget request]     C --&gt; B     B -- YES --&gt; D[Invitation of Participants]     D --&gt; E[Conduct of Activity]     E --&gt; F[Processing of results and submission of report to VP REPD]           </pre>	<ol style="list-style-type: none"> <li>1. The Research Director requests budget for the capacitybuilding activity.</li> <li>2. The University President decides on the approval of the request.</li> <li>3. Once the request is approved by the President, the Research Director invites the trainer/s, college research chairpersons and faculty researchers.</li> <li>4. The URO conducts the activity to enhance the research skills and aptitude of the faculty researchers.</li> <li>5. After the activity, URO processes the results of the activity and submit report to the VP REPD for review.</li> </ol>

### 3. Approval of Research Proposals

Person-In-Charge	Flowchart	Procedure
FR	Submission of Capsule Proposal	1. The faculty researcher submits Capsule Proposal attached with the Research Profile Form to their respective College Research Chairperson.
CRC	Receives the CP and prepares colloquium	2. The College Research Chairperson receives the capsule proposal and convenes the college research evaluation committee for a colloquium of the submitted research proposals in order to evaluate the proposal according to the herein approved criteria.
CLEC	<p>Approved?</p> <p>NO: CP returned to FR</p> <p>YES: CP returned to FR for revision</p>	<p>3. Results of the evaluation are given to the faculty researcher/s in written form stating if the paper is a) approved b) approved subject to modification or c) disapproved.</p> <ul style="list-style-type: none"> <li>➤ If the proposal was disapproved, it will be returned to the faculty researcher/s.</li> <li>➤ If the proposal was approved subject to modification, it will be returned to the faculty researcher/s together with the comments for revision. After revision, the full research proposal will be submitted back to URO.</li> </ul>
URO	Revised proposal is forwarded to UREC	4. The revised proposal is given to the university level research evaluation committee for review of the proposal attached with the recommendations and evaluations from the college level evaluation committee.
UREC	UREC evaluates revised CP	5. UREC will review the proposal coming from the college level evaluation committee as to the technical aspect of the proposal.
RD & URO Staff	<p>Approved?</p> <p>NO: CP returned to FR</p> <p>YES: Categorized into 2: (a) for funding or, (b) for claim of research incentives</p>	<p>6. Results of the evaluation will be given to the college review committee and the proponent in written form stating if the proposal is a) approved b) approved subject to modification or c) disapproved.</p> <ul style="list-style-type: none"> <li>➤ Accepted proposals will be categorized into two: those that are recommended for funding and those that are recommended for incentives only upon completion of the research.</li> </ul>
UP	Final Approval	7. All accepted research proposals will be submitted to the University President for final approval.
URO Staff	Consolidation	8. All approved research proposals will be consolidated by the UREC for proper fund consideration and programming.

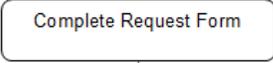
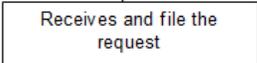
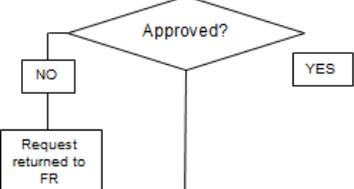
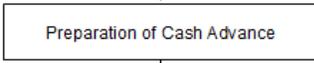
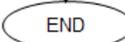
#### 4. In-House Review of Completed Researches

Person-In-Charge	Flowchart	Procedure
FR	Submission of Completed Research	1. The faculty researcher submits his/her entry to URO according to the In House Review of Researches Guidelines (BOR Resolution No. 110, s. 2014).
URO	Receives and file the CR	2. URO receives the completed research and file the entry.
VP REPD & RD	Approved? NO: CR returned to FR YES: URO confirms acceptance of CR	3. All entries are assessed by the VP REPD and RD if the research output is qualified for presentation in the In House Review. <ul style="list-style-type: none"> <li>➤ If disapproved, it will be returned to the faculty researcher/s.</li> <li>➤ If the entry is approved, URO Staff will confirm the acceptance of the research output in the In-House Review of Completed Researches.</li> </ul>
URO	Preparation of Documents	4. All accepted entries are compiled and categorized according to: (a) Social Science, (b) Technology Generated or (c) Information Dissemination. 4.1. Schedule of Presentation 4.2. Program 4.3. Score Sheets
UREC	Conduct of Activity	5. Conduct of In House Review of Completed Researches. <ul style="list-style-type: none"> <li>➤ <u>Powerpoint</u> presentation of the entries</li> <li>➤ Evaluation of the entries</li> </ul>
RD & URO Staff	Evaluation	6. External Panel of Judges evaluates and reviews each entry. They can also give recommendations and inputs for the improvement of the research output.
EPJ & URO STAFF	Summary of Scores and Announcement of Winners	7. Scores are summarized by the EPJ and a representative from URO. Entries are ranked and the three (3) highest ranks for each category will be announced as winners and will received certificates and cash prizes.
RD & URO Staff	Release of Certificates	8. All participants are given certificate of participation.

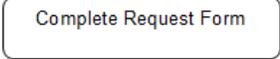
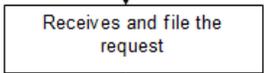
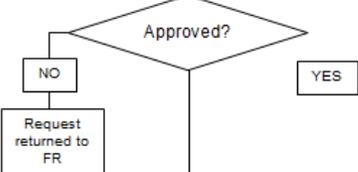
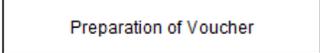
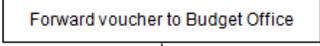
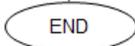
## 5. Request for Funding of Research Paper Presentations

Person-In-Charge	Flowchart	Procedure
FR	Complete Request Form	1. The faculty researcher accomplishes the Request for Funding of Paper Presentation (TSU-URO-ED-020) and complete the following requirements: a) Copy of the full paper b) Invitation to the presentation or Acceptance letter c) Approval sheet of thesis or dissertation
URO Staff	Receives and file the CR	2. URO Staff receives the request form and check if the research output meets the requirements as per approved guidelines (BOR Resolution No. 29, s.2015).
VP REPD & RD	Approved?	3. RD and VP REPD approve the request.
	Request returned to FR	
URO Staff	Preparation of Cash Advance	4. URO Staff prepares the Cash Advance attached with the duplicate of the submitted request form and requirements.
URO Staff	Forward CA to Budget Office	5. URO Staff forwards the prepared Cash Advance to the Budget Office.
	END	

## 6. Request for Funding of Research Paper Publication

Person-In-Charge	Flowchart	Procedure
FR		1. The faculty researcher accomplishes the Request for Funding of Paper Publication (TSU-URO-ED-0250) and complete the following requirements: a) Copy of the full paper b) Acceptance letter from the publishing journal c) Evaluation from the In-House Review
URO Staff		2. URO Staff receives the request form and check if the research output was presented during the In-House Review and is qualified for publication.
VP REPD & RD		3. RD and VP REPD approve the request.
URO Staff		4. URO Staff prepares the Cash Advance attached with the duplicate of the submitted request form and requirements.
URO Staff	 	5. URO Staff forwards the prepared Cash Advance to the Budget Office.

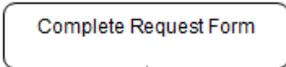
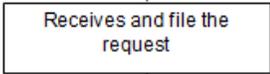
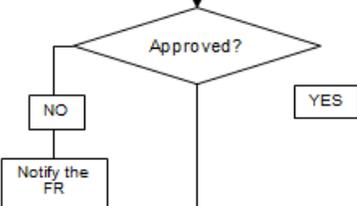
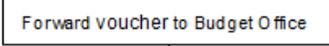
**7. Request of Incentive of Research Output**  
**A. Approval of Request of Incentive for Research Publication**

Person-In-Charge	Flowchart	Procedure
FR		1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005) and completes the following requirements: <ol style="list-style-type: none"> <li>acceptance letter from the publishing journal</li> <li>copy of the journal or the article including cover page</li> <li>copyright page</li> <li>editorial board</li> <li>table of contents of the journal</li> </ol>
URO Staff		2. URO Staff receives the request form and check if the research output was presented during the In-House Review and is qualified to receive incentive.
VP REPD & RD		3. RD and VP REPD approve the request.
URO Staff		4. URO Staff prepares the voucher attached with the duplicate of the submitted request form and requirements.
URO Staff	 	5. URO Staff forwards the prepared voucher to the Budget Office.

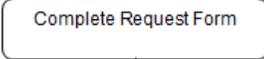
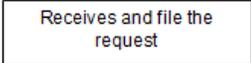
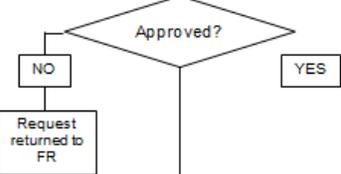
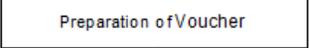
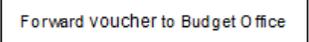
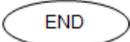
## B. Approval of Request of Incentive for Research Presentation

Person-In-Charge	Flowchart	Procedure
FR	<pre> graph TD     A[Complete Request Form] --&gt; B[Receives and file the request]     B --&gt; C{Approved?}     C -- NO --&gt; D[Request returned to FR]     C -- YES --&gt; E[Preparation of Voucher]     E --&gt; F[Forward voucher to Budget Office]     F --&gt; G([END])                     </pre>	<ol style="list-style-type: none"> <li>1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005) and completes the following requirements:                             <ol style="list-style-type: none"> <li>a. copy of the paper</li> <li>b. invitation to the presentation</li> <li>c. program of the conference</li> <li>d. certificate of appearance</li> <li>e. certificate of recognition/participation</li> <li>f. travel order</li> </ol> </li> </ol>
URO Staff		<ol style="list-style-type: none"> <li>2. URO Staff receives the request form and check if the research output is qualified to receive incentive.</li> </ol>
VP REPD & RD		<ol style="list-style-type: none"> <li>3. RD and VP REPD approve the request.</li> </ol>
URO Staff		<ol style="list-style-type: none"> <li>4. URO Staff prepares the voucher attached with the duplicate of the submitted request form and requirements.</li> </ol>
URO Staff		<ol style="list-style-type: none"> <li>5. URO Staff forwards the prepared voucher to the Budget Office.</li> </ol>

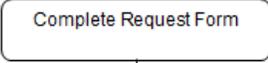
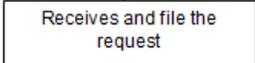
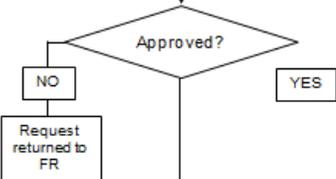
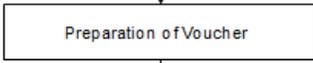
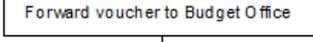
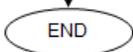
### C. Approval of Request of Terminal Incentive for Research Output

Person-In-Charge	Flowchart	Procedure
FR		1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005).
URO Staff		2. URO Staff receives and files the request form.
UREC		3. UREC evaluates the research output. The terminal incentive is based on the results of the evaluation according to the average rating of the UREC, the lowest rating is 75%.
VP REPD & RD		4. RD and VP REPD approve the request.
URO Staff		5. URO Staff prepares the voucher attached with the duplicate of the submitted request form and evaluation form.
URO Staff		6. URO Staff forwards the prepared voucher to the Budget Office.
		

**D. Approval of Request of Incentive for Winners in Research Competition/Oral Presentation in the University In-House Review**

Person-In-Charge	Flowchart	Procedure
FR		1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005) and completes the following requirements: <ol style="list-style-type: none"> <li>copy of the paper</li> <li>invitation to the presentation</li> <li>program of the conference</li> <li>certificate of recognition as winner</li> <li>certificate of participation and appearance</li> <li>travel order</li> </ol>
URO Staff		2. URO Staff receives the request form and check if the research output is qualified to receive incentive.
VP REPD & RD		3. RD and VP REPD approve the request.
URO Staff		4. URO Staff prepares the voucher attached with the duplicate of the submitted request form and requirements.
URO Staff	 	5. URO Staff forwards the prepared voucher to the Budget Office.

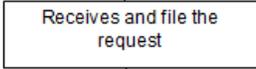
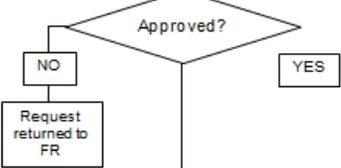
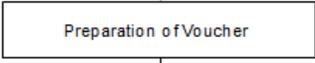
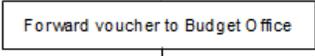
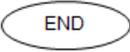
**E. Approval of Request of Incentive for Commercialized Research Output**

Person-In-Charge	Flowchart	Procedure
FR		1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005) and completes the following requirements: a. Copy of terminal report b. Certification
URO Staff		2. URO Staff receives the request form and check if the research output is qualified to receive incentive.
VP REPD & RD		3. RD and VP REPD approve the request.
URO Staff		4. URO Staff prepares the voucher attached with the duplicate of the submitted request form and requirements.
URO Staff	 	5. URO Staff forwards the prepared voucher to the Budget Office.

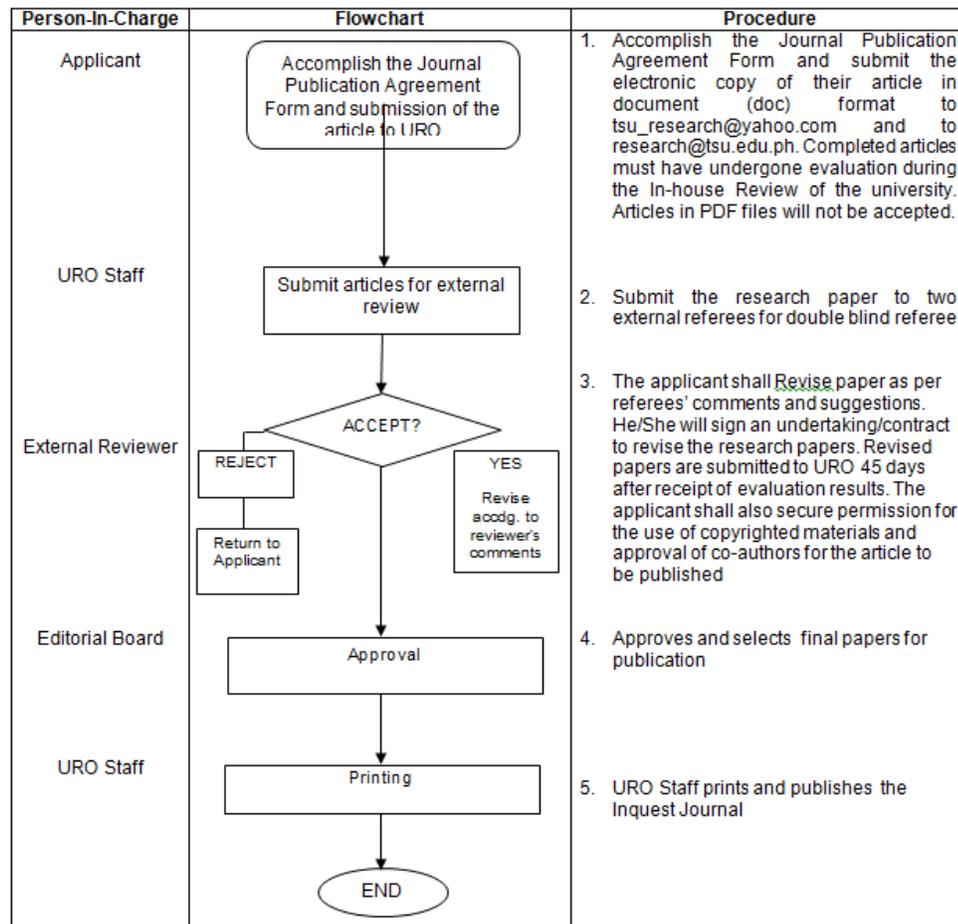
### F. Approval of Request of Incentive for Patented Research Output

Person-In-Charge	Flowchart	Procedure
FR	<div style="border: 1px solid black; border-radius: 10px; padding: 5px; width: fit-content; margin: 0 auto;">Complete Request Form</div>	<ol style="list-style-type: none"> <li>1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005) and completes the following requirements:               <ol style="list-style-type: none"> <li>a. Copy of terminal report</li> <li>b. Copy of application to IPO-PHL</li> <li>c. Certification of patent</li> </ol> </li> <li>2. URO Staff receives the request form and check if the research output is qualified to receive incentive.</li> <li>3. RD and VP REPD approve the request.</li> <li>4. URO Staff prepares the voucher attached with the duplicate of the submitted request form and requirements.</li> <li>5. URO Staff forwards the prepared voucher to the Budget Office.</li> </ol>
URO Staff	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Receives and file the request</div>	
VP REPD & RD	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Approved?</div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px; font-size: small;">NO</div> <div style="border: 1px solid black; padding: 2px; font-size: small;">YES</div> </div> <div style="border: 1px solid black; padding: 2px; font-size: small; margin-top: 5px; width: fit-content;">Request returned to FR</div>	
URO Staff	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Preparation of Voucher</div>	
URO Staff	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Forward voucher to Budget Office</div>	
	<div style="border: 1px solid black; border-radius: 50%; padding: 5px; width: fit-content; margin: 0 auto;">END</div>	

### G. Approval of Request of Incentive for Adoption Research Output/Recommendation for Policy Formulation or Implementation

Person-In-Charge	Flowchart	Procedure
FR		<ol style="list-style-type: none"> <li>1. The faculty researcher accomplishes the Request for Incentive of Research Output (TSU-URO-ED-005) and completes the following requirements:               <ol style="list-style-type: none"> <li>a. Copy of terminal report</li> <li>b. Certification</li> </ol> </li> <li>2. URO Staff receives the request form and check if the research output is qualified to receive incentive.</li> <li>3. RD and VP REPD approve the request.</li> <li>4. URO Staff prepares the voucher attached with the duplicate of the submitted request form and requirements.</li> <li>5. URO Staff forwards the prepared voucher to the Budget Office.</li> </ol>
URO Staff		
VP REPD & RD		
URO Staff		
URO Staff		
		

## 8. Publication to the Inquest Journal





# TARLAC STATE UNIVERSITY

**Dr. Myrna Q. Mallari**  
President

**Dr. Louella F. Ona**  
Vice President, Research, Extension,  
Production and Development

**Dr. Maria Elena D. David**  
Director, Research Office  
**Ms. Julie Liezel C. Ferrer**  
Research Analyst

**Ms. Erika Pauline D. Tomas**                      College of Education  
Research Assistant

**Dr. Niño B. Corpuz**                      **Ms. Anna Maria Soccorro Co-**

**Ms. Julie Ann C. Borja**  
Clerk

## Research Chairpersons

**Ioma**  
College of Arts & Social Sciences

**Prof. Erwin C. Mina**  
College of Science

**Dr. Edwin T. Caoleng**  
College of Public Administration

**Ms. Theda Flare Quilala**  
College of Computer Studies

**Dr. Jhonel C. Panlilio**  
College of Business & Accountancy

**Arch. Arlen Guieb**  
College of Architecture & Fine  
Arts

**Ms. Eddie Lynne P. Sevilla**  
College of Technology

**Engr. Leonides Tatu**  
College of Engineering



## **TARLAC STATE UNIVERSITY**

**VI-**

**SION**

Tarlac State University is envisioned to be a premier university in the Asia-Pacific region.

### **MISSION**

Tarlac State University commits to promote and sustain the offering of quality and relevant programs in higher and advanced education ensuring equitable access to education for people empowerment, professional development, and global competitiveness.

### **GOALS**

1. To uphold academic excellence and establish its position as a premier university in the region;
2. To reinforce the stature of the University as a Research Institution responding to the development of Science and Technology;
3. To enhance and strengthen partnership with LGUs, private organizations, and individuals in community development and people empowerment; and
4. To enhance income generating projects.

### **CORE VALUES OF THE UNIVERSITY**

The six (6) core values institutionalized as a way of life of the university community are:

E	-	xcellence and Enhanced Competence
Q	-	uality
U	-	nity
I	-	ntegrity and Involvement
T	-	rust in God, Transparency and True Commitment
Y	-	earning for Global Competitiveness

University Research Office  
Research, Extension, Production & Development Building,  
Tarlac State University—Lucinda Campus  
Tarlac City, Tarlac, Philippines  
Fax No.: (045) 982-0110 & Tel No.: (045) 606-8190  
E-mail Address: [research@tsu.edu.ph](mailto:research@tsu.edu.ph)





TARLAC STATE UNIVERSITY RESEARCH OFFICE.





Republic of the Philippines  
Tarlac State University  
**Extension Services Office**  
Romulo Boulevard, San Vicente Tarlac City,  
Philippines  
Tel: (045)-628-1051



# Extension Services Guide

**2015 Edition**



## MESSAGE

This Extension Services Guide prepared by the Office of the Extension Services of the TSU is a big leap for the enhancement and development of the Extension Services as an important function of the SUCs. The Guide is the first real effort in clarifying, operationalizing and implementing the programs in effective and productive ways through written guideposts and procedures. The intentionality of purpose in adhering to ethical, legal and efficient ways in carrying out extension service programs is well-marked and can be seen clearly and conveniently in the established procedures. These guidelines are not randomly or whimsically selected but are well-thought off based on experiences and tested activities. Some procedures are also borne out of the long processes practiced through the years and which were reviewed and evaluated from time to time by the experts and the practitioners in extension work.

Thus, anyone who is involved in providing extension work whether in the campus, in the community or in any other institution, will find that services extended to beneficiaries, if carried out with clarity of purpose and procedures, would be encouraging others to serve well too. And those served, upon seeing and receiving the services so well, would in return be more likely to do better and be more productive. This then serves the purpose by which extension service is pursued and would ensure that the University's effort and resources are well-spent.

Congratulations to the TSU Extension Office, the indefatigable staff, the skilled lecturers/professors and the moving force behind these, Director Redemptor G. Toledano. I am sure, the best is yet to come to TSU in the field of Extension Services.



**PRISCILLA C. VIUYA, Ph.D.**  
President

## FOREWORD

Like any other formal endeavor, “what to do” and “how to do” aspects of rendering extension services, demands precision and perfection being a science and an art. Necessarily, the approaches and strategies must be updated to keep abreast of the demand of the times and the processes must be clearly spelled out in order to avoid ambiguities. Thus, achieving the end would not be that complicated as the means are already clearly provided.

The enhancement and fruition of the TSU Extension Manual into the “TSU Extension Services Guide,” is expected to be facilitative in the conduct of extension work, community development projects and related development interventions to the target clients of the ESO and the College Extension Units from the project conceptualization/ planning phase to reporting and evaluation. Given this, faculty members and other university personnel are then expected to be further motivated and involved in doing their share in this mandated function. The guide would serve as a tool towards the further institutionalization in the University of an improved and quality extension service, a necessary hallmark of excellence which is the continuing thrust of Tarlac State University.

For these reasons, the TSU Extension Unit under the stewardship of its Director, Prof. Redemptor G. Toledano, deserves our grateful thanks and appreciation.



**GLENARD T. MADRIAGA**  
Vice President, Research, Extension and  
Development

## **Brief History of TSU Extension Function**

Extension as an institutional function started sometime in 1974 under the stewardship of Jose Lacson under the name, Extramural Studies and Extension Services (ESES). Its main program component was Rural Life Development, hence, the Institute of Rural Life Development (later renamed as Institute of Rural Life Technology or IRLT) which offered a four-year secondary agri-based program in 1975. Graduates of the program were encouraged to enter into the two-year vocational course which was also agri-based. This was in response to the government thrust of promoting agricultural development in the countryside. Two batches graduated under this program. The introduction of a trade-based secondary program in 1976 in addition to the agri-based secondary program shifted the focus of the IRLT to purely secondary instruction while extension was undertaken to meet the offering of short (10 hours) training programs in the various areas of expertise of the College which, for a while, Prof. Rizal V. Ganiban served as Director.

Retaining the name Extramural Studies and Extension Services, it was reestablished as a separate office directly under the office of the College President in 1983 with Prof. Adoracion Y. Nogoy as Director. Aside from offering non-formal education program which aimed at helping the out-of-school youth, continuing education and special projects aimed at enhancing the effectiveness of other sectors like the military was initiated. The office was also tasked to monitor the income generating projects of the College. Believing that extension is not only for outside clients, projects like success lessons for the faculty and staff was also initiated. The evaluation of faculty members was also placed and taken cared of by the Office.

When Dr. Ernesto Cosme was appointed as OIC President of Tarlac State University in 1992, the extension and research were merged into one under the directorship of Prof. Nogoy. When Dr. Alejandro Fernandez was appointed as the president of Tarlac State University, the directorship was turned over to Dr. Alfredo M. Conte after the retirement of Dr. Nogoy. In 1995, after the term of Dr. Fernandez, Dr. Rodolfo Baking took over the presidency of the university. He then separated the research from extension. The research was under the

directorship of Dr. Victoria Gengania, while Dr. Conte continued his stewardship as Director of Extension. This led to the designation of chairmen to take charge of the various functions and areas of concern and programs and also the designation of College Extension Coordinators whose main function is to serve as link between the University Extension Office to the various colleges. Volunteers from the Japanese Overseas Cooperation were also tapped to help in the extension activities of the University. Extension Initiatives were undertaken in collaboration with civic organizations, religious organizations and local government units. The granting of Level IIIA status to TSU under the leadership of President Dolores G. Matias, Dr. Gengania was appointed as Vice President for Planning, Research and Extension in 2002. When Dr. Gengania filed her 1-year Sabbatical leave starting June, 2005, Dr. Conte took over her position as OIC up to his retirement on March 6, 2006.

Upon the retirement of Dr. Conte, Dr. Glenard T. Madriaga, took over the directorship of the University Extension Office (UEO) who is committed to extend quality services by sharing TSU's expertise for the upliftment of the socio-cultural, technological, educational and environmental condition of the populace towards sustainable development. Under his leadership, the University Extension Manual was approved by the Board of Regents under Resolution No. 39 series of 2008 dated June 9, 2008.

His appointment as Vice President for Research, Extension and Development on February 16, 2008 led to the designation of Prof. Redemptor G. Toledano serving then as Cluster Chairman for Consultancy and Special Project, as Director of the UEO up to the present. The UEO, therefore, continued to undertake the following programs: Community Development Modeling Program which provides assistance in identifying the needs of a community and matching these with the capabilities of the institution; the Industry Development Extension Program which is aimed at providing services to small and medium enterprises in order to increase their productivity; the Institution-Public-Private Sector Partnership Program; the Extension Support Services Program and the Student Extension Experience Program. It was during the leadership of the latter that an effort to align the operation of the unit to ISO 9001:2008 was undertaken with the end-

view of eventually being certified accordingly. Hence, the University Extension Manual was converted into the TSU Extension Services Guide under BOR Resolution No. 66 series of 2009 dated November 4, 2009.



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# Chapter 1

## GENERAL PROVISIONS

### Article 1      **Legal and Institutional Framework**

The TSU Extension Services Guide is based on several mandates and framework as embedded in legislative acts, executive issuances and as 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 Colleges and Universities (SCUs) to promote the establishment and development of research and *extension centers* (Sec. 4m).

#### Section 2      Republic Act No. 6764

RA No. 7664, known as “An Act Converting the Tarlac College of Technology into a State University to be known as the Tarlac State University (TSU), provides that “The University shall provide advanced instruction in literature, philosophy, the sciences, and the arts and shall also offer professional and technical *training courses*.”

#### Section 3      Executive Order 605

EO 605 orders for “Institutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program, Amending for the Purpose Administrative Order No. 161, s. 2006” and likewise enjoined SUCs to establish ISO Quality Management Systems and be certified accordingly.

#### Section 4      TSU Vision

Tarlac State University is envisioned to be a premier university in the Asia-Pacific.

Section 5            TSU Mission

Tarlac State University commits to promote and sustain the offering of quality and relevant programs in higher and advanced education ensuring equitable access to education for people empowerment, professional development, and global competitiveness.

Towards this end, TSU shall:

Provide high quality instruction through qualified, competent, and adequately trained faculty members and support staff;

Be a premier research institution by enhancing research undertakings in the fields of technology and sciences and strengthening collaboration with local and international institutions; and

Be a champion in community development by strengthening partnerships with public and private organizations and individuals.

Section 6            TSU-ESO Goals

The following are the goals of the Extension Services Office:

to create productive opportunities for the improvement of the quality of life of the youth, persons with disabilities (PWDs), women, indigenous people, the unemployed and underemployed and other marginalized sectors of the society;

to attain a high level of productivity for the industry and services sectors through the dissemination of tech-

nological and managerial knowledge and skills;

to contribute to the creation and preservation of a balanced environment conducive for the sustainable development of the country;

to maintain institution and private-public sector linkage for improved governance and strengthened partnership towards a holistic approach to development;

to interface with research in the development of market-driven researches whereby results are needed by extension beneficiaries and/or clients; and

to continuously manifest and/or make known the strength and vital role of the university to national development.

## Section 7 TSU-ESO Objectives

The objectives of the Extension Services Office are as follows:

- a. Address at least 50% of the identified needs of four (4) communities;
- b. Provide at least ten (10) new product label designs and other promotional materials towards improved marketability of local products in the communities;
- c. Develop at least four (4) cottage industries in the communities into formal micro or small business enterprises;
- d. Transfer new knowledge, technologies, processes, or systems and procedures to at least fourteen (14) business enterprises towards their business development;
- e. Deliver at least five (5) professional assistance as identified by SMEs towards continual growth of their businesses;
- f. Conduct at least fifty-one (51) trainings and semi-

nars to 1,709 beneficiaries that will contribute to their socio-economic status and personal growth; and

- g. Obtain an average customer satisfaction rating of 95% with no individual ratings in all services delivered below 88%.

## **Article 2                    Extension and the TSU Extension Framework**

### **Section 1                    Definition of Extension**

By definition, extension is the dissemination of information to clients to enable them to solve their problems, especially those pertaining to their livelihood. Often, it is an informal education process in which the curriculum is based on the needs of the people it serves. It involves bringing out of a technology from the research agency and disseminating it through a formal organization or an extension agency through a development project. As a process, it is aimed at developing knowledge, skills and will-power of the people to solve problems by themselves.

Among SUCs, extension function may be called in various terms like: Technology Promotion and Transfer, Outreach Program, Community Development and Non-Formal Education

## **Chapter 2 FUNCTIONS OF THE UNIVERSITY EXTENSION SERVICES OFFICE**

### **Article 1                    General Function**

The general function of the University Extension Services Office is to orchestrate and oversee the realization of the extension mandate of the university towards contributing to the vision of becoming an institution of excellence.

## **Article 2      Specific Functions**

The University Extension Services Office has the following specific functions:

Plan and develop extension programs, projects and activities in accordance with the strength and comparative advantage of the university;

- a. Coordinate and consolidate college level planned extension programs, projects and activities with that of the university;
- b. Oversee the implementation of such extension programs, projects and activities by colleges and other instrumentalities of the university;
- c. Conduct regular monitoring, documentation and appraisal of extension efforts;
- d. Formulate and recommend policies for the improvement and enhancement of extension programs and services; and
- e. Undertake linkages with concerned public and private entities for funding and other assistance in the pursuit of the university's extension efforts.

**Chapter 3**  
**ORGANIZATION AND COMPOSITION OF THE**  
**UNIVERSITY EXTENSION SERVICES OFFICE**

**Article 1      Supervision of the University Extension Services Office**

The University Extension Services Office (UESO) shall be under the Vice-President for Research, Extension, Production and Development.

**Article 2      Composition of the University Extension Services Office**

The UESO shall be composed of the Director and Cluster Chairpersons of the different extension concerns, namely:

- a. community development;
- b. industry development;
- c. support services; and
- d. special programs/projects.

### **Article 3 College Extension Services Units**

Section 1 There shall be a College Extension Services Unit (CESU) established in each college headed by a College Extension Chairperson designated by the College Dean as approved by the University President.

Section 2 The specific functions of the CESUs are:

- a. Plan, develop and implement extension projects/ activities subject to applicable articles under Chapter 8 of this Guide;
- b. Identify and qualify the Extension Service Providers needed for the delivery of services required for approved extension programs, projects and/or activities; and
- c. Recommend policies, systems and procedures for the continual improvement of the delivery of extension services.

### **Article 4 College Extension Chairpersons and Department Extension Coordinators**

The College Dean shall designate a College Extension Chairperson (CEC) at the start of each calendar year who shall serve as the focal person of the college regarding all extension activities related to the college.

The College Dean shall also appoint a Department Extension Coordinator per department at the start of each calendar year who shall coordinate the department's extension activities with the CEC and disseminate extension information to faculty members in the department.

The CECs and DECAs shall be administratively under the College Dean and technically under the UESO Director.

Designations must only be given to faculty members with permanent status. All appointments shall be approved by the University President.

## **Article 5      Extension Service Provider**

Section 1      An Extension Service Provider is a faculty, non-academic personnel or guest expert of the university who is willing to serve as agent of extension services whose established expertise and/or competence is within the technical requirements of the functions, programs and/or projects of the UESO.

Section 2      Qualification and Selection of Extension Service Providers

The qualification of Extension Service Providers shall be undertaken by the UESO Director in coordination with the concerned college dean or head of unit.

Only those who are willing to deliver extension services shall be considered as Service Providers.

The qualification of Extension Service Providers shall be undertaken by the UESO Director in coordination with the concerned college dean or head of unit. The qualification shall follow approved criteria and shall be based on competencies relevant to the specific project component under which the service provider shall serve.

The university president shall approve the selection of qualified service providers through the issuance of a special order.

## **Chapter 4**

# **DUTIES AND RESPONSIBILITIES**

### **Article 1        The Extension Director**

The Extension Director shall have the following duties and responsibilities:

- a. Manage the smooth operation and program/project implementation of the University Extension Services Office (UESO);
- b. Recommend policies and guidelines to the President for approval in order to strengthen the extension mandate of the University;
- c. Review and recommend the approval of extension program/project proposals of college extension chairmen;
- d. Oversee the smooth implementation, monitoring and evaluation of programs/projects of the various college extension units;
- e. Promote the extension programs and services of the University to various concerned sectors and civil society; and
- f. Undertake necessary linkages with GOs, LGUs, NGOs, and POs and other entities in order to solicit support to and strengthening of the extension pro-

grams/projects of the University.

## **Article 2      The Cluster Chairpersons**

The Cluster Chairpersons shall have the following duties and responsibilities:

- a. Assist the Extension Director on the following:
  - i. Identification, planning, implementation, monitoring and evaluation of extension programs/projects of the University;
  - ii. Review and evaluation of submitted program/project proposals and other extension reports;
  - iii. Maintenance of close partnership and coordination with the colleges for a more effective program/projects integration and execution;
  - iv. Preparation of project proposals to be submitted to funding institutions, in developing partnership and linkages with GOs, NGOs, POs and other concerned entities and in conceptualizing other forms of extension interventions;
  - v. Monitoring and evaluating implemented programs/projects of college extension service providers, and
  - vi. Formulation of policies and guidelines for smooth operation of the UESO and implementation of program/projects.
- b. Provide required technical assistance to the College Extension Chairmen on program/project development;
- c. Develop and implement cluster program/projects

including coordination with colleges for smooth implementation;

- d. Conduct regular/periodic review and evaluation of cluster programs/projects and formulate necessary recommendations for improvement and smooth implementation of such; and
- e. Prepare and submit required reports.

Delivery of extension services related on their specific field of specialization on which they are authorized through an approved special orders (as trainer and/or consultant) would be treated as work over and above their duties and responsibilities, thus Chapter 3, Article 6 would apply to them as case would warrant.

## **Chapter 5**

# **AREAS OF EXTENSION CONCERN AND COVERAGE**

### **Article 1        Areas of Extension Concern**

In Tarlac State University, extension is performed in the form of non-formal education/extension classes, technical assistance, consultancy services, continuing education among professionals and other sectors.

### **Article 2        Coverage**

While it envisions serving the region and the country as a whole, its present operation is focused and geared towards helping the poor and marginal sectors and communities within the province. To facilitate extension project development which includes project identification up to implementation and evaluation thereof, activities are undertaken in partnership with LGUs, linkages with National Government Agencies like DOST, DTI and the Armed Forces, NGOs and private organizations. Being a technological institution, its main thrust is geared towards the development/enhancement of the technical skills of clients that are of demand/needed among local industries in their work assignment and elsewhere.

## **Chapter 6**

# **EXTENSION PROGRAMS AND SERVICES**

# STANDARDS

## **Article 1 Sustainable Community Development (ComDev) Program**

The ComDev Program provides assistance in identifying the needs of a community and matching these with the capabilities of the institution towards development. The community will serve as a model by which technical and non-technical assistance is provided by the university to the people within so that a change in socio-cultural, physical, technological and environmental condition ideal for sustainable development is created. As a model, the success and lessons learned can be duplicated by other communities under the same condition or situation.

The program seeks to improve the physical condition of the community and provides assistance through technology, knowledge and skills in improving the quality of their lives. It will integrate all the necessary factors to development; hence, the approach will be holistic.

## **Article 2 Industry Development Extension (InDEx) Program**

The InDEx Program aims to provide services to micro-cottage, small, and medium enterprises in order to increase their productivity and assist in graduating them to the next enterprise level. Enterprises identified are provided assistance in identifying and assessing their technical and non-technical needs or problems by university experts.

An enterprise level assessment is conducted on the identified needs through firm walk-through, measurements, interviews and others. In the end, short-term and long-term recommendations are provided in response to the identified needs. Experts will also provide assistance in installing whatever recommendations are to be adopted

by the firm and, likewise, in the measurement of parameters to determine impact of the assistance.

### **Article 3      Extension Support Services (ESS) Program**

The ESS Program provides specific support services that TSU can offer, namely:

- a. Non-formal education on short-term vocational courses, food/manufacturing technologies and development of cultural skills and arts;
- b. Continuing education – upgrade competencies of professionals and uplift the social, cultural, economic and physical well-being and capabilities of the elderly, the youth and other organizations such as cooperatives, people’s organizations and others;
- c. Technical assistance and consultancy – provide expertise to walk-in clients in addressing specific technical problems being encountered specifically for the industry sector including local government units and other organizations/associations.
- d. Effective governance includes assistance on urban planning, land use planning and sustainable development, computerization of governance, etc.

### **Article 4      Student Extension Experience (SEE) Program**

Leaders and members of recognized student organizations are basically stakeholders in this program as they will lay the major role of planning, identifying, fund sourcing and implementing extension initiatives in identified community or sector. It is aimed at inculcating through practice the value of helping to enhance community improvement by integrating extension in their annual program of activities.

Specifically, it wishes to encourage student organizations' participation in community work, to develop creativeness and resourcefulness in putting up a community/sector based development undertaking(s), to heighten development consciousness among TSU students; and to promote a healthy competition among student organizations through project development and implementation.

## **Article 5      Special Extension Programs/Projects**

Special extension programs/projects are those that are not covered by the regular extension programs of the university but serve sectors that are also clients of the extension office or the nature of assistance falls within the mandate of the office. This may also be programs or projects whereby the university has been tapped or commissioned by an external entity, whether public or private, to implement such.

## **Article 6      Extension Services Standards**

### **Section 1      General Statement**

The UESO establishes quality management system standards that require also the establishment of extension services standards for programs and for service providers. The minimum rating of satisfaction should be achieved from where continual improvement would be instituted.

### **Section 2      Extension Programs Services Standards**

The UESO assures that the delivery of extension services for extension programs is measured by criteria/conditions as may be governed by existing government and/or university standards:

- a. Pre-implementation documentation requirements;

- b. Timeliness in delivery of services;
- c. Post-evaluation;
- d. Internal quality audit; and
- e. Submission of post-activity requirements.

**Section 3            Customer Satisfaction**

The UESO assures that customers’ satisfaction on the delivery of extension services is appraised based on the following:

- a. Content, approach, methodology and/or strategy;
- b. Logistics;
- c. Service provider/s performance

## **Chapter 7 STRATEGIES IN PROGRAM/PROJECT DEVELOPMENT**

**Article 1            General Strategies**

To implement the above functions and programs, the following strategies shall be observed:

**Section 1            Manpower resource development**

Focuses on internal and external training - internal includes the upgrading of the existing expertise of univer-

sity extension personnel while external involves increasing the knowledge and skills of extension clients.

Section 2      Multidisciplinary and complimentary extension service approach

This is meant to mobilize and/or utilize the university experts when and where they are needed and where their services is required especially in the accomplishment of identified programs, projects and/or activities. Team approach to extension work composed of various disciplines is encouraged whenever necessary in the implementation of extension programs and/or projects.

Section 3      Expert excellence

To develop the specialization of extension personnel in order to accent the strength and comparative advantage of the University Extension efforts. Move towards encouraging extension personnel to become specialists and

Section 4      Extension Services Culture

Create an ideal extension services culture in the university that magnifies service more than over anything else.

Section 5      Client-centered efforts

Programs, projects and activities are focused on clients who need assistance most towards creating opportunities or raising the quality of life, towards increasing productivity in the industry and services sectors and towards complementing all these through the conservation and/or preservation of a social and ecological environment conducive to sustainable development

Section 6      Program focused extension service

Provides for efforts and meager resources being focused and directed towards creating significant impact on university extension programs and projects and attainment of vision, mission and goals

Section 7      Development of linkages

Having linkages to both local and foreign entities for fund sourcing, partnership in development especially with the local government units providing services to their constituents and even on performance audit for a stronger university extension program

Section 8      Information and education campaign

For the promotion of the extension services and capabilities of the university including the promotion of technologies and managerial skills for adoption and for information/knowledge dissemination specially those generated by the university

Section 9      Regular evaluation and assessment

Involves full documentation of programs, projects or activities and regular reporting and assessment of physical and financial accomplishment for proper adjustments of plans and implementation strategies including publications of impact/success and lessons learned from these experiences and as bases for reforms and/or re-planning.

Section 10     Institution-Public-Private Sector Partnership  
(IPP-Partnership) Program

The IPP Partnership Program views extension not as a sole work or function of the institution but as a social work of various entities which include government offices and private sector such as sectoral organizations, civic organizations, professionals, NGOs, POs and other

private organizations/associations. Partnership with the public sector and/or with the private sector puts all involved as stakeholders to development, hence, it unifies efforts and pools shared resources for a common objective of providing assistance to a common client and focused towards development.

TSU extension works primarily with the LGUs and any partner private sector in extending assistance to their clients. The extension personnel and other experts of the institution will serve as specialists in providing assistance to clients. The institution may also initiate such partnership on specific development projects identified and packaged by the university extension people.

## **Chapter 8**

# **UNIVERSITY EXTENSION DEVELOPMENT SYSTEM**

### **Article 1          Fundamental Provisions**

- Section 1          Extension service is one of the major functions of the University; as such university faculty and employees who are qualified to extend services are encouraged and are given every opportunity to serve the needs of the clientele based on their line of expertise.
- Section 2          The Extension projects must be within the mandate of the University and the colleges and are identified as priority to be considered for funding.
- Section 3          The release of the extension budget to the different colleges of the University will be based on the itemized budgets that is submitted and approved. Extension budget and releases are dependent on the extension project proposals that are submitted and approved for funding.

Section 4            There will be a continual improvement in the delivery of extension services to the satisfaction of its beneficiaries and/or clients through the setting up of quality management system standards.

**Article 2            Preparation and Submission of Extension Project**

Section 1            The preparation and review of University Extension Programs and Projects shall be done on a biennial basis by the Extension Services Office.

Section 2            Project proposals may emanate from colleges, units or partner agencies, offices, organizations/associations and/or other entities following the required format / forms (Annex D and E)

Section 3            These project proposals shall be submitted in four (4) copies to the theESO atleast 10 working days before the conduct of the project.

Section 4            Project proposal shall be reviewed by the UESO Director and Staff, recommended for approval by the VP REPD and shall be approved by the President.

Section 5            Projects emanating from external proponents shall be submitted directly to the ESO by the proponent or endorsed by a college and shall undergo the same process of evaluation and approval by the UEREC

Section 6            Extension services/activities such as conduct of training, seminar, specific technical assistance and other related services/activities on short period of engagement not requiring the evaluation and approval by the UEREC shall be submitted directly by the proponent or endorsed by a college to the ESO and shall undergo the usual internal system procedure established by the office.

**Article 3            University Extension Review and Evaluation**

Section 1 As submitted, extension proposals are reviewed and evaluated at the university level by a University Extension Review and Evaluation Committee (UEREK) to be composed of the following:

- Chairman - University President
- Vice Chairman - Vice-President for Research, Extension, Production and Development (REPD)
- Members - Director, Extension Services Office  
Concerned Cluster Chairman of ESO

Section 2 Extension proposals shall be reviewed and evaluated based on the following:

- a. Conformity with the standard format;
- b. Within the program thrust of the college and the university;
- c. Technical aspect of the proposal; and
- d. Satisfies the criteria set forth hereof.

Section 3 The UEREK shall, likewise, undertake the following:

- a. Determine and recommend the Equivalent Teaching Load (ETL);
- b. Prioritization of the proposals submitted;
- c. Endorsed approved proposals to the TSU President for approval; and
- d. At the end of project completion, conduct review and evaluation for the granting of incentives.

## Article 4 Criteria and Prioritization of Proposals

Section 1 Extension proposals shall be evaluated using the following criteria and percentages:

Criteria	Percentage
Contribution to national/regional/local development thrust including to impact to beneficiaries/clients.	40
Appropriateness of Approach/es	25
Resources generation/sourcing	25
Sectoral focus/potential clients	10
<b>TOTAL</b>	<b>100</b>

Proposals emanating from the Extension Services Office shall be endorsed to the UREC by the UESO for review and evaluation.

Section 2 Extension proposals recommended for approval by the UREC shall be prioritized according to the garnered points:

First Priority	-	91 – 100
Second Priority	-	81 – 90
Third Priority	-	71 – 80

Section 3 Proponents of the approved project proposal shall be entitled to receive the following as cash incentives;

First Priority	-	Php 5,000.00
Second Priority	-	Php 4,000.00
Third Priority	-	Php 3,000.00

Section 4 Only approved project proposals shall be included in the University Extension Development Plan.

**Article 5            University Extension Funding**

Section 1            All extension projects funded by the University must be governed by the provisions of the COA and TSU Order.

Section 2            Extension projects funded by the University shall be taken from the        University Budgetary allocations for Extension; while other assistance from other agencies or organizations shall be treated as trust fund.

Section 3            All extension project proposals should include the itemized budget which will be the basis of providing the funding.

Section 4            The release of extension project funding shall be based on the nature of projects and after complying with all the requirements set forth.

**Article 6            Program/Project Implementation**

Section 1            Projects/Programs requested by the community/prospective cooperating GO, NGO and other entities shall be covered by a Memorandum of Agreement or Conforme Letter, as the case may be, specifying the responsibilities of the parties. The MOA of both UESO and College initiated extension programs/projects shall be signed by the University President with the Dean(s) and Director(s) of the college(s) or unit(s) concerned acting as witness(es). Prior to the signing of a MOA, a letter of intent/request should be forwarded to the University President by the requesting organization/office, who shall forward the same to the UESO for proper coordination.

Section 2            Implementation of the approved project shall be done by the proponents of the project and shall make periodic reports on the progress of the project to the UESO

- Director.
- Section 3 Completion Reports (Annex F) shall be made by the College Extension Chairpersons/Department Coordinators and submit it to the President through the UESO Director and the Vice President for Research, Extension, Production and Development.
- Section 4 The UESO Director shall make the annual report of the project which is made available to the university populace.
- Article 7 Monitoring and Assessment of Extension Programs/Projects**
- Section 1 There shall be periodic monitoring of the progress and status of programs/projects using standard procedures established by the UESO.
- Section 2 There shall be an assessment of each program/project conducted and completed following standard procedures and services standards.
- Section 3 A Certificate of Completion shall be issued by the UESO to the implementing college upon the submission of pertinent documents and records generated from the extension service as proofs of project completion.
- Article 8 Privileges and Incentives**
- Section 1 Privileges and incentives shall be provided to all personnel of the UESO, college extension chairpersons, project coordinators, and extension service providers in order to motivate them to work hard and remain focused in the realization of project/program goals and objectives. The privileges or incentives are as follows:
- a. reduced work load or equivalent teaching load (ETL);

- b. service credits;
- c. credit for academic rank/faculty evaluation;
- d. reasonable honorarium; and
- e. allowable representation and traveling allowances.

On top of the above-mentioned privileges and incentives, the following may also be awarded based on approved sets of standards and evaluation procedures:

- f. cash incentives for top performing college extension chairpersons (see Annex A: Guidelines on Recognition of College Extension Services and College Extension Chairpersons)
- g. terminal extension cash incentives (TECI) for packaged project papers presented during the Biennial In-House Review of Completed Extension Projects. (see Annex B: Guidelines on the Conduct of Biennial In-House Review of Completed Extension Projects)

## Section 2

Reduced Work Load/ETL – To encourage and help the faculty and staff to conduct extension work, there must be reduction of teaching and administrative loads as determined by the University Extension Review and Evaluation Committee. University personnel directly involved in the extension function shall be given the following number of units teaching load and preparations:

<b>Position</b>	<b>Maximum Number of Units of Teaching Load/ Maximum Number of Preparations</b>
Director	(6 to 9)/2
Cluster Chairperson	(9 to 12)/2
College Extension Chairperson	(15 to 18)/2
Service Providers with approved projects	Shall be determined by the UESO

Section 3            Service Credits – Service Credits shall be granted to faculty for services rendered by them beyond their official time and during non-working days as may be governed by existing policies. These credits can offset absences during school days. It should be noted that an extension service provider who opts to receive honorarium for services rendered shall no longer be entitled to service credits and vice versa.

Section 4            Credit for Faculty Evaluation – Outputs in Extension should be given corresponding credits in the evaluation of faculty for academic ranking;

Section 5            Honorarium – The ESO Staff and Extension Service Providers conducting extension classes and training, professional assistance and consultancy, and other developmental extension activities over and above their official work and/or time shall be entitled to following honorarium subject to accounting and auditing rules and regulations;

- a. Trainer - fixed rate of 200.00/hr ( As per Board Resolution No.15, s.2012)
- b. Project Coordinator – 10% of the total number of hours of the project duration x 200.00/hr (applicable for CECCs only who not part of the service tea)

- c. Project Leaders – total number of service delivery x 200.00/hr or equivalent number of hours service credit ; They should be part of the service team
- d. Consultants / Service providers of Special, Reform-Oriented or Development projects - refer to Annex C for the guidelines on the grant of honorarium.

Section 6 Terminal Extension Cash Incentive (TECI)

- a. The TECI will be awarded to TSU Services Provider/s who has/have completed an approved extension program or project and has/have presented their work during the Biennial In-House Review of Completed Extension Projects.
- b. The TECI shall be given based on the results of evaluation by the panel of reviewers during the Biennial In-house Review of Completed Extension Projects which comprised of the VP REPD, UESO Director and 3 guest experts.
- c. Additional cash incentives will be given to the top three (3) projects adjudged during the biennial in-house review.

Section 7 Representation and Traveling Allowances (RATA) – The Extension Director shall be entitled to a monthly RATA based on existing rules and regulations.

Section 8 Incidental Expenses

Amount spent for transportation to and from one’s destination. This may be in the form of water, land transportation fare, jeepney and tricycle fare, etc.

Amount for hotel accommodation when serving out of town.

Meal allowances including that for visitors while negotiating official businesses/transactions.

## **Chapter 9**

### **TRANSITORY PROVISIONS**

#### **Article 1. Effectivity**

This Extension Services Guide shall take effect immediately upon the approval of the Board of Regents.

**Article 2. Amendments**

Amendments, modifications or changes in any provision in this Guide shall only be done upon presentation and adoption of the TSU Administrative Council and upon approval of the Board of Regents.

**Article 3. Saving Clause**

Any existing orders promulgated prior to the approval of this Guide that are inconsistent with any provision hereof shall be deemed superseded by this Guide unless, otherwise, contrary to any existing government laws or statutes governing such.





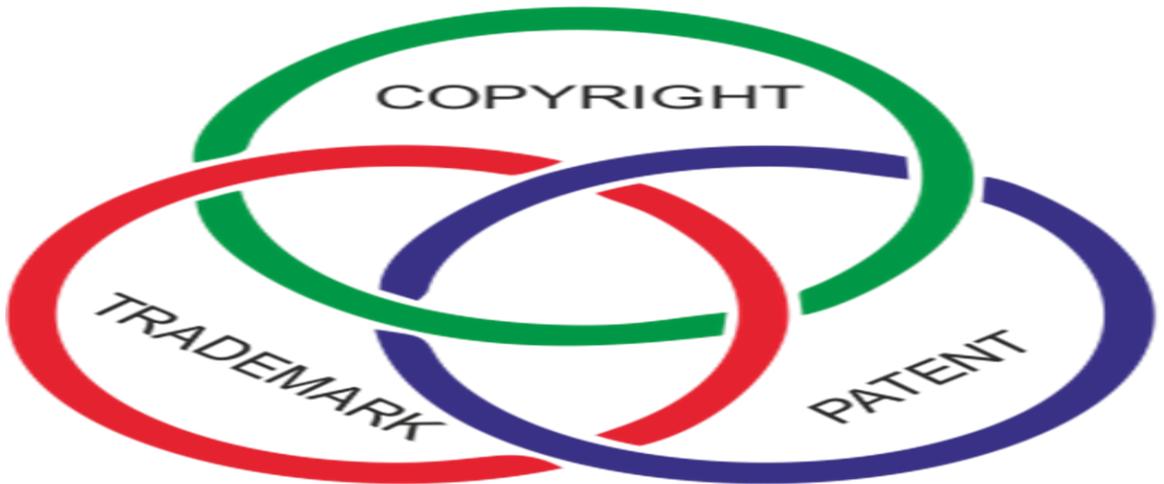


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TARLAC STATE UNIVERSITY  
**Office of Production**



# PRODUCTION MANUAL



Board Resolution No. 96, s. 2015

Approving the revised Production Manual and the establishment of the Technology and Business Development & Showcase Center and the Innovation and Technology Support Center.





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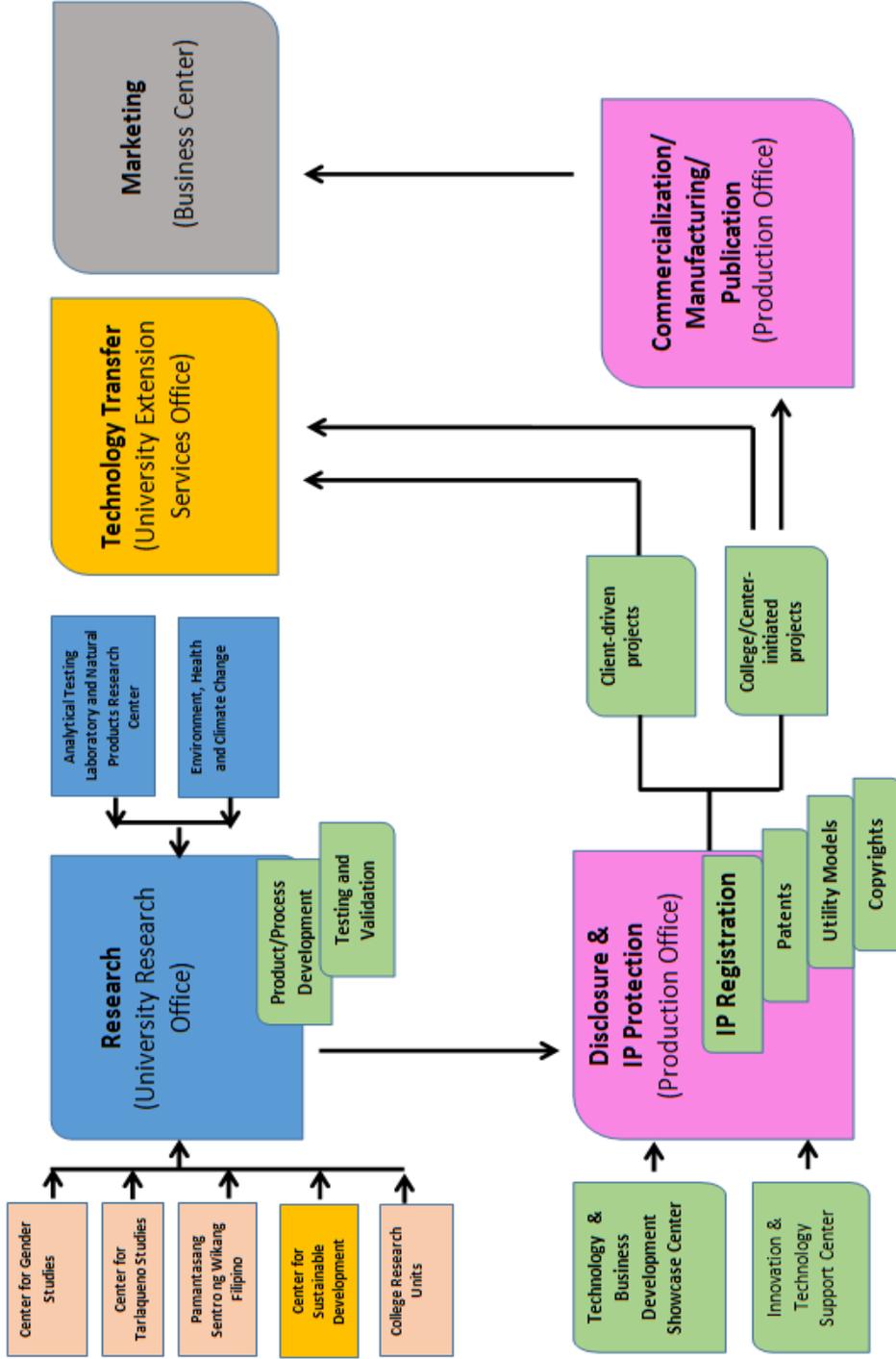
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**TSU FRAMEWORK FOR RESEARCH, EXTENSION AND PRODUCTION**

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## **INTRODUCTION**

In 2010, President Gloria Macapagal-Arroyo signed the Republic Act No. 10055

which states an act providing the framework and support system for the ownership, management, use, and commercialization of intellectual property generated from research and development funded by government and for other purposes. This republic act has a short title “Philippine Technology Transfer Act of 2009.”

According to Section 2 of Republic Act 10055 “the State fully recognizes that science, technology and innovation are essential for national development and progress. It shall, therefore, give priority to research and development, invention, innovation and their utilization. It shall also encourage the widest and most systematic participation of all stakeholders in policy-making related to science and technology, and in the generation, transfer and utilization of intellectual property, especially for the benefit of the general public.

Furthermore, the State shall facilitate the transfer and promote the utilization of intellectual property for the national benefit and shall call upon all research and development institutes and/or institutions (RDIs) that perform government-funded research and development (R&D) to take on technology transfer as their strategic mission and to effectively translate results of government-funded R&D into useful products and services that will redound to the benefit of Filipinos, notwithstanding the income generated from intellectual property rights (IPRs) and technology transfer activities.

Lastly, the State acknowledges that the successful transfer of government-funded R&D results depend on the proper management of intellectual property, development of capacity by RDIs to become self-sustaining and competitive, and on enhancing interaction and cooperation with the private sector, particularly small and medium enterprises through collaborative and contract research based on equitable, fair access, and mutual benefit for all involved partners.

The State shall establish the means to ensure greater public access to technologies and knowledge generated from government-funded R&D while enabling, where

appropriate, the management and protection of related intellectual property. In support of the above said Republic Act, the Production Office of Tarlac State University was established. The Production Office is mandated to promote the creation, protection, transfer of technology, management, as well as commercialization of intellectual properties generated by the university researchers such as faculty members, personnel, staff, visiting professors, and students. The guideline that governs the promotion of the creation, protection, transfer of technology, management as well as commercialization of intellectual properties is presented in the succeeding sections of this Production Manual. Likewise, the manual covers other services the Production Office can extend to the community towards the protection of their created intellectual properties.

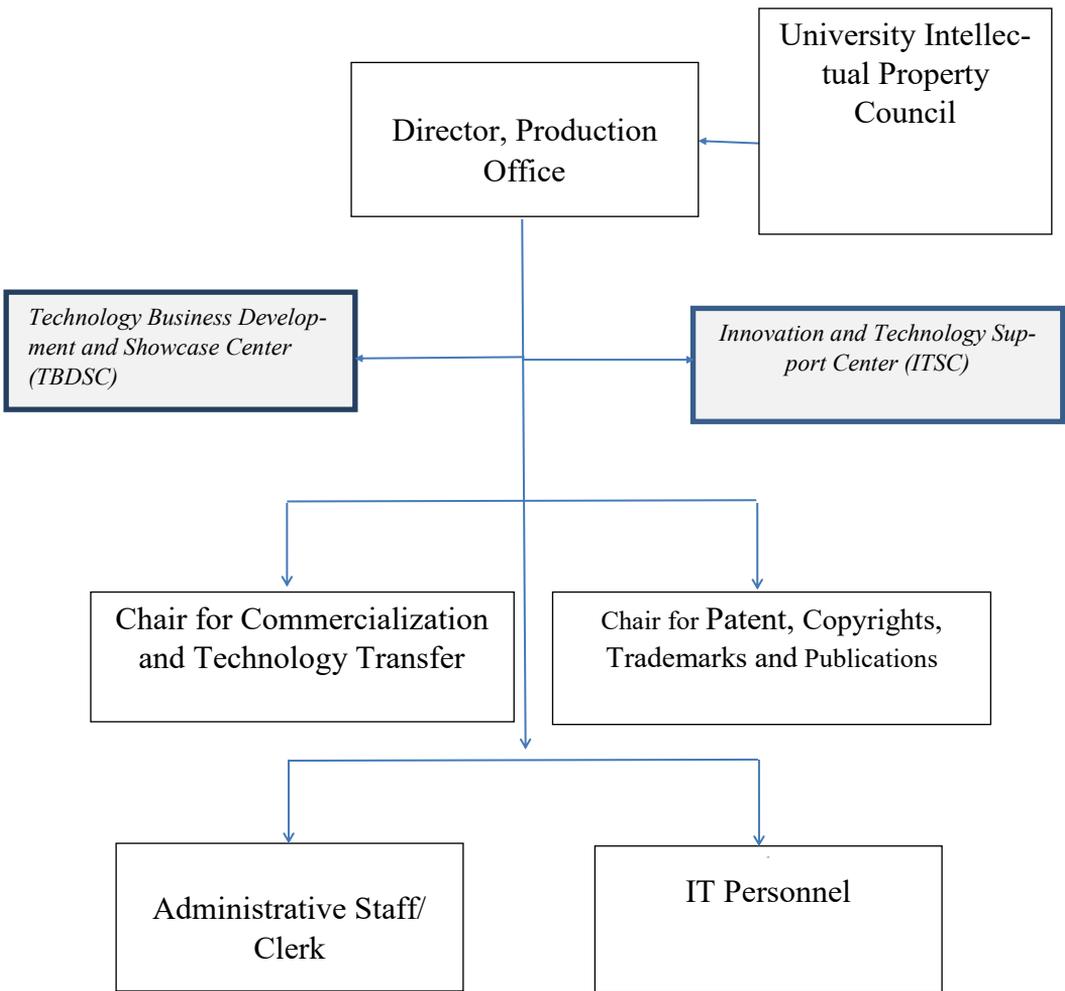
The references considered in the content of this manual are: Republic Act No. 8293 “Intellectual Property Code of the Philippines”; Republic Act No. 10055 “The Philippine Technology Transfer Act of 2009”; Republic Act No. 8439 “Magna Carta for Scientist, Engineers, Researchers and other Science and Technology Personnel in the Government”; Joint Department of Science and Technology – Intellectual Property Office Administrative order No. 02-2010; Guidelines on Developing Intellectual Property Policy by the World Intellectual Property Organization; and the Innovation and Technology Support Office franchise office manual of the Intellectual Property Office of the Philippines.

## **CHAPTER 1**

### **THE PRODUCTION OFFICE**

#### **Article 1**

#### **Organizational Structure**



## **Article 2**

### **Functions, Duties and Services**

Section 1. The following are the functions of the Production Office.

- a) Repository of all research outputs with potential for commercialization, technology transfer and intellectual property registration. Intellectual Properties created by the permanent faculty members, personnel, and university staff as well as the visiting professors and students of the university.
- b) Assist in the disclosure and/or registration of Intellectual Properties created by the permanent faculty members, personnel, and university staff, as well as the visiting professors and students to the Intellectual Property Office of the Philippines and other Intellectual Property Offices abroad (such in the United State of America, Japan, China, and other countries if applicable)
- c) Evaluation of research proposals and completed researches as regards its patentability, copyright registration, trademark registration, as well as industrial design registration potentials.
- d) Execute arrangement for the commercialization and technology transfer of Intellectual Property created within the University.
- e) Settle disputes arising from Intellectual Property Rights Infringements within the University.
- f) Monitor royalty payment and distribution.
- g) Review and recommend, upon consultation with the appropriate units, intellectual property policies to be implemented in the University;
- h) Undertake activities in coordination with the colleges to familiarize university personnel and students with guidelines on the policies of intellectual property.
- i) Manage the Technology Business Development and Showcase Center

(TBDSC) and the Innovation and Technology Support Center (ITSC) presented in Chapter 2, Article 9 herein.

## Section 2. Duties and Responsibilities of the Production Director, Chairpersons, University Intellectual Property Committee, and University Legal Officer

### *I. Director of the Production Office*

The duties and responsibilities of the Production Director are as follows:

1. Supervise the disclosure of *works created* and *inventions conceived* or *first reduced to practice* by all university personnel and students;
2. Facilitate the execution of agreements, affidavits, applications, complaints and other documents relating to works created and inventions;
3. Register trademarks, copyrights, and patents with the Intellectual Property Office of the Philippines (IPOPHL) and other Intellectual Property Offices abroad (such in the United State of America, Japan, China, and other countries if applicable) on behalf of the University;
4. Evaluates the commercial potential of works created and/or inventions conceived and negotiate contracts for its production, commercialization, distribution, marketing and transfer of technology;
5. Monitor the progress of royalty payments;
6. Review and settle disagreements that may arise from royalty distribution or sharing in accordance with the provision of the guidelines on Policies on Intellectual Property of the University;
7. Negotiate with the University personnel and students with respect to development of independently-owned technologies after a determination of their commercial potential for purposes of registration, licensing or joint-venture arrangements;
8. Review and recommend, upon consultation with the appropriate units, intellectual property policies for the University;
9. Undertake activities in coordination with the colleges to familiarize university personnel and students with guidelines on the policies of intellectual

property.

## *II. Chairperson for Patent, Copyrights, Trademarks and Publications*

The duties and responsibilities of the Chairperson for Patent, Copyrights, Trademarks and Publications shall be as follow:

1. Evaluate faculty, student and university personnel proposed and completed researches which can be applied for patent;
2. Monitor the progress of patentable researches;
3. Assist in the university IP audit;
4. Apply completed researches for patent;
5. Assist in the review and settle disagreements that may arise from royalty distribution or sharing in accordance with the provision of the guidelines on Policies on Intellectual Property of the University; and
6. Assist in the accreditation of the office and the university.
7. Evaluate copyrightable materials created by faculty, students and university personnel;
8. Evaluate created trademarks of the faculty, university personnel, and students;
9. Apply for copyright and trademark;
10. Assist in the university IP audit;
11. Monitor the publication of books and other copyrighted materials;
12. Assist in the review and settle disagreements that may arise from royalty distribution or sharing in accordance with the provision of the guidelines on Policies on Intellectual Property of the University; and
13. Assist in the accreditation of the office and the university.

## *III. Chairperson for Commercialization and Technology Transfer*

*Commercialization* in the context of the Production Office shall mean the fabrication of the technology research outputs and non-patentable goods from mature technologies, by means of identifying units in the university capable of such, or, identifying private or public companies/firms outside of the university for outsourcing. On the other

hand, *Technology Transfer* pertains to transfer of technologies, skills, knowledge, methods of manufacturing, manufacturing procedures and facilities to other government agencies, universities and institutions to ensure that scientific and technological developments are accessible to a wider range of users who can further develop and benefit from the technology in coming up with new products, processes, application, materials or services.

The duties and responsibilities of the Chairperson for Commercialization and Technology Transfer are as follows:

1. Facilitate the commercialization of patented research outputs; and
2. Facilitate in the technology transfer of research outputs.

#### *IV. University Intellectual Property Council (UIPC)*

The duties and responsibilities of the University Intellectual Property Committee (composed of the VP-REPD, Research Director, Production Director, Extension Director, concerned College Dean, and expert/s) shall be to:

1. Evaluate the generated intellectual properties by the faculty members, personnel, staff, visiting professors, and students of the university.
2. Recommend to the Production Director Intellectual Properties to be funded by the University for registration to the Intellectual Property Office of the Philippines, National Library, and other Intellectual Property Offices abroad.
3. Propose policies to the Production Office as regards the creation, protection, transfer of technology as well as commercialization of the generated Intellectual Properties within the University.

Section 3. The technology business development and showcase center will be headed by the Director of the Production Office as the Manager, two (2) support staff (who will serve as the Chairperson for Technology Evaluation and Valuation, and Chairperson for

Business Development, Monitoring and Protection), and one (1) clerk for the center (if found needed). The Chairpersons of the Production Office will concurrently serve as the Chairperson for Technology Evaluation and Valuation, and Chairperson for Business Development, Monitoring, and Protection. The clerk will concurrently serve as the liaison office of the Technology Business Development Center.

Section 4. The organizational structure, duties, and responsibilities of the ITSC general manager as prescribed in the Innovation and Technology Support Offices Operation Manual is as follows:

*The Chair*

- a) Supervise overall operation of ITSO.
- b) Scheduling of entire staff. The General Manager must oversee and make proper changes.
- c) Act as main liaison with IPOPHL, the Franchisor and coordinator of ITSO.
- d) Perform any of the functions of the franchise.
- e) Represent the Host Institution with IPOPHL to the Host and other relevant institutions.
- f) Liaison with any Vendors/Suppliers designated by IPOPHL for ITSO.
- g) Do all the paperwork, including the End of the Month paperwork. Also train staff how to correctly complete the daily paperwork.
- h) Oversee the IP service activities
- i) Promotions/Advertising – Must do weekly tracking of all promotional activity. This responsibility may be delegated to or shared with the Admin staff.
- j) Track the following: number of searches performed, types of IP services performed whether meeting performance targets, database update and maintenance, equipment repairs and maintenance, among other things.
- k) Attend to employment matters including recruitment and training.
- l) Act as liaison for WIPO, other partners and ITSO clients and stakeholders
- m) Planning and visioning: Do forward planning – This trait enables the staff and franchise to cope with frequent change.

- n) Being “on top of the details” and meticulous: This trait provides comfort for both IPOPHL (who want to be assured the service is in safe hands) and front-line staff (who want to know that their General Manager understands the implications of change and is able to provide advice and support).
- o Identify pool of technical experts on processes deemed relevant to specific production undertakings.

## **CHAPTER 2**

### **INTELLECTUAL PROPERTY POLICIES**

#### **Article 1**

##### **TITLE**

These guidelines shall be called the “Intellectual Property Policies of the Tarlac State University.”

#### **Article 2**

##### **COVERAGE**

Section 1. This policy shall apply to all faculty members, personnel, and university staff (regardless of their employment status), as well as visiting professors and students of the university engaged in any research project, research contract, and research activity in the university.

Section 2. These guidelines shall cover all generated intellectual properties by faculty members, personnel, and university staff (regardless of their employment status), as well as visiting professors and students of the university with or without patent or copyright protection, whether for commercial and non-commercial purposes, undertaken using any university resources and including all technology transfer arrangements, done or carried out upon the approval and effectivity of these guidelines.

Section 3. These guidelines shall cover all types of intellectual property rights enumerated under the Intellectual Property Code of the Philippines as follows: copyright and related rights, trademarks and service marks, geographic indications, industrial designs, patents, layout designs or topographies of integrated circuits and protection of undisclosed information. Furthermore, it shall cover the Plant Variety Protection Act as well as other applicable laws of the Republic of the Philippines and other States.

Section 4. These guidelines do not comprehensively cover guidelines for fair use of intellectual property rights owned by the university, university personnel or third parties. For purpose applicable provisions of the RA No. 8293, WTO agreements, and other existing related statues, shall be supplementary.

### **Article 3**

#### **GENERAL PRINCIPLES**

Section 1. The university subscribes to a policy of recognizing the traditional academic practice of treating faculty members as copyright owners of works they create

independently or in collaboration with others and their own initiative for traditional academic purposes which includes teaching, research, and extension work.

Section 2. The university encourages the faculty members, personnel, staff, visiting professors, and students full freedom in research, and in presentation and publication of their results subject to the approval of the University Research Director and Production Director, subject to the adequate performance of their other duties in the university.

Section 3. The university acknowledges that its efforts to generate income should be weighed against its principal responsibility to provide a favorable environment to explore knowledge for the benefit of the public in general.

Section 4. The university accepts that in some cases, the recognition of intellectual property rights of inventors and authors are effective ways to ensure accountability and accessibility of knowledge and technologies.

Section 5. The Production Office may request assistance from any department or unit of the university that can provide expert advice on any trade or discipline that will be the subject of any patent application, litigation, evaluation of the commercial value of the work or invention or any aspect of the work or technology licensing.

Section 6. Only recognized intellectual properties created by the faculty members, personnel and staff of the university can be used for promotion purposes (such as NBC 461 and the like).

#### **Article 4**

### **RULES OF CONSTRUCTION**

Nothing in these rules shall be construed —

Section 1. To prevent the university administration from implementing rules relating to the enforcement of academic standards, such as against plagiarism and dishonesty.

Section 2. To alter existing university policies affecting conflict of interest, including guidelines for outside teaching activities or practice profession.

Section 3. To limit the university's ability to negotiate and to meet obligations for deliverables under any contract, grant or other arrangements with third parties, including sponsored-research agreements, collaboration agreements, license agreements and the like, if these terms are more beneficial to meet the purposes and principles of these guidelines.

Section 4. To interfere with the discretion of textbook committees, editorial boards and the like to present and publish works.

## **Article 5**

### **COPYRIGHT**

Section 1. All literary, artistic and derivative works created and conceived or developed under Section 4 Article 2 hereof, and collectively referred to in these guidelines as “works” as defined in Section 172 and 173 of the Intellectual property Code of the Philippines (RA 8293), including course materials for e-learning and distance education, regardless of format in which it was created or produced, shall be covered by these rules on copyright.

Section 2. The ownership of copyright is determined in these cases:

- a) Copyright of all works shall remain with the creator, except as may be otherwise provided in these rules.

- b) The university shall have exclusive ownership over institutional works, such as:
- i) Works that are supported by a specific allocation of university funds or other resources other than the usual salary and resources made available to every faculty members, personnel, staff, visiting professors, and students;
  - ii) Works created at the direction and control of the university through its officials or designates for the purpose of a specific project or purpose;
  - iii) Works whose authorship cannot be attributed to one or a discreet number of authors, despite the application of process prescribed under these rules;
  - iv) Works whose authorship cannot be attributed to one or a discreet number of authors because it is the result of simultaneous or sequential contributions by multiple authors;
  - v) Works created by the faculty members, personnel, staff, visiting professors, and students of the university beyond or not part of their regular functions and duties which uses the facilities, materials, and resources of the university;
  - vi) Works created through substantial use of university resources, such as libraries, research facilities, buildings, utilities, equipment, tools and apparatus, including services of its employees working within the scope of their activities, duties, or functions which are not for university purposes, but for the personal gain or advantage of the faculty member, personnel, staff, visiting professors, and students of the university. There is a presumption of substantial use of university resources if the work has in any way been done during official time or within the premises of the university and is related to unauthorized outside teaching or the practice of profession without requisite permission.
- c) Dissertations, theses, and other intellectual properties developed or created

by the students as required in their studies shall be jointly owned by the creators and the university. Dissertation and thesis adviser or technical adviser shall not be included as author or creator of the said work when published, presented or exhibited unless approved by the University Intellectual Property Committee.

Section 3. In cases of institutional works, creators shall disclose the existence of the creation and assign copyright over the work to the university in accordance with the rules and the implementing rules that may be promulgated by the Office of the President.

Section 4. The copyright ownership of the university may be waived on these cases:

- a) In case of institutional works and works in joint ownership with the university, the university through its designated officials, may waive copyright in favour of the creator if all the following conditions are met:
  - i) The waiver would enhance the transfer of technology or improve the access of the works by the public in general;
  - ii) The waiver does not violate any existing contractual obligations to third parties; and
  - iii) The participation of the university in the work is acknowledged by the creator in all presentations and publications of the work, whether local or international.
- b) If the university is unable to or has not decided to present, publish, exhibit, or register the works within one year from its disclosure, its copyright is automatically waived in favor of the creator. The one-year period may also be waived by the university at the request of the creator if the work is to be published in a reputable local or international journal relevant to the academic discipline to which the work belongs in accordance with the policies and guidelines stipulated in the Production Manual. The contribution of the

university shall be duly acknowledges in all publication or exhibition of the work.

Section 5. In the absence of any contractual stipulation to the contrary, if the work is the result of collaborative efforts between the university, an outside entity and the creator/s, the copyright shall be jointly owned by the university, the creators and the outside entity.

Section 6. The authorship is determined in case of contributed efforts in these modes:

- a) In the case of works resulting from the contribution of efforts coming from different persons, authorship, whether sole or collaborative, shall be determined as follows:
  - i) By stipulation in the research contract;
  - ii) By application of the rules for joint, primary and sole authorship as determined by a publication for which the work was intended;
  - iii) Through alternative modes of dispute processing including mediation and arbitration to be facilitated by the Vice President for Research, Extension, Production, and Development, if the work originated from the efforts of faculty members, personnel, staff, visiting professors, and students of the university.
- b) Only in the event of failure of any of these modes of disputes resolution may a conflict pertaining to authorship or copyright of a work be referred for legal action.

## **Article 6**

## PATENTS

Section 1. All inventions which are related to a product, process, or an improvement of any of the foregoing, that is new, involves an inventive step, is industrially applicable and potentially patentable, including utility models and industrial designs referred to in these guidelines as inventions, shall be covered by these rules on patent.

Section 2. Except as otherwise provided in these rules, rights to patents shall belong to the inventors (as provided in Section 3 hereof).

Section 3. The university shall own all patent to commissioned inventions, such as:

- a) Inventions that are supported by a specific allocation of university funds or use of other university resources;
- b) Inventions produced at the direction and control of the university in pursuit of a specific project or purpose regardless of the sources of funding;
- c) Works whose inventorship could not be attributed to one or a discreet number of inventors, despite the application of process provided in these rules; and
- d) Those that may be stipulated by contracts as commissioned inventions.

Section 4. Creators of commissioned inventions should disclose and assign the patents to these works to the university in accordance with these rules and the implementing guidelines which may be promulgated by the President of the University.

Section 5. Inventions funded by outside entities shall be treated as follows:

- a) In the event that the funding for the research and creation of the invention is sourced by the university, wholly or partially, from outside entities, the university shall negotiate with the funding entities with respect to the ownership of the invention, patent rights and royalties sharing subject to confirmation by the of the University Intellectual Property Committee and/or Univer-

sity Board of Regents.

- b) In default of a negotiated agreement, all patent to inventions, the research funds of which were sourced from or by the university shall be owned by the university.

Section 6. Regardless of the source of funding, patents to the following inventions shall be assigned to the university:

- a) Those conceived or first applied to practice by faculty member, personnel. Staff, visiting professor, and students of the university in the course of the performance of their duties or responsibilities.
- b) Those created through substantial use of university resources, such as libraries, research facilities, buildings, utilities, equipment, tools and apparatus, including services of its employees working within the scope of their employment.

Section 7. The university waives its rights to patent in these cases:

- a) In the absence of existing contractual obligations to third parties, the university may release patent rights to inventors if all the following conditions are met:
  - i) The university elects not to file patent application and the inventor is prepared to do so. It shall be presumed that the university decides not to file patent application if no application is filed within one year after the disclosure of the invention or from the time the university is reasonably presumed to have known its existence;
  - ii) The waiver would facilitate the transfer of technology or its access to the general public; and
  - iii) The equity of the situation clearly indicates that such release should be given as per recommendation of the University Intellectual Property

Committee.

- b) No waiver shall be given unless there is a written commitment that no further development of the invention shall be made involving the financial support or resources of the university, nor shall any waiver be made in violation of any contractual obligation of the university.

Section 8. If the work is the result of collaborative efforts of the university, an outside entity and the creator/s, the patent shall be owned jointly by the university, the creator/s and the outside entity.

Section 9. Inventions as a result of collaborative efforts are treated in these cases:

- a) The identification of inventorship, whether sole, primary or joint, shall be determined as follows:
  - i) By contractual stipulation;
  - ii) By application of the rules and standards of a publication primarily intended by the collaborative effort; and
  - iii) By alternative modes of dispute resolution including mediation and arbitration to be facilitated by the Vice President for Research, Extension, Production and Development.
- b) Only in the event of failure of any of these modes of dispute resolution, may a conflict pertaining to the inventorship or patent rights to an invention referred for legal action.

Section 10. Dissertations, theses, and other intellectual properties developed or created by the students as required in their studies, which are found to be patentable or can be registered as utility model or as industrial design, shall be jointly owned by the creators and the university. Dissertation and thesis adviser or technical adviser shall not be included as author or creator of the said work when applied for registration unless approved by the University Intellectual Property Committee.

## Article 7

### OTHER INTELLECTUAL PROPERTY RIGHTS

Section 1. Trade and service marks are distinctive works or graphic symbols identifying the sources, products, producers, or distributors of goods or services. The university shall own trade or service marks relating to goods or services distributed by the university. These include names and symbols used by the university in conjunction with its degree programs, offices, or university activities and events.

Section 2. Proprietary information includes information arising from work within the university. These include processes which may fall under the concept of “trade secrets.”

- a) Proprietary information such as proposed terms of research agreements including their financial agreements shall be covered by applicable provisions of existing laws and statutes relating to the constitutional duty of the state university to public disclosure.
- b) Research information and processes used for academic purposes shall be presumptively considered part of the public domain and shall not be considered as “trade secret,” except when any of the following conditions is present.
  - i) The protection is necessary in order to pursue an academic research project to its completion;
  - ii) The information being protected is necessary in order to protect intellectual property rights of the university to an invention;
  - iii) Upon the determination of the University Intellectual Property Committee and/or University President, circumstances are such that well-defined interests of the general public will better be protected by

temporarily claiming legal protection of research process as “trade secrets” shall belong to the university.

- c) Tangible Research property (TRP) or research results which are in tangible form (i.e., integrated circuit chips, computer software, biological organisms, engineering prototypes) which cannot be the subject of any other kind of intellectual property protection are presumptively owned by the university.

## **Article 8**

### **WAIVER AND AUTHORITIES, ROYALTIES, AND CONTRACTS**

Section 1. The President shall periodically report to the Board of Regents, intellectual property rights owned by the university which are impliedly waived immediately upon their discovery.

Section 2. In the absence of contractual stipulations to the contrary, royalties derived from patents, copyrights and other intellectual property of the university shall be shared as follows:

- a) Fifty percent (50%) of the net income shall be given to the author/s or inventors. Joint authors or inventors shall share in accordance of their participation in the created intellectual property, which will be determined by the UIPC, or based on the agreement of the authors or inventors before the start of creation of such intellectual property.
- b) Fifty percent (50%) of the net income shall be given to the university. This will be distributed in accordance to regular government accounting procedures and as follows:
  - i) Thirty percent (30%) for the university operating expenses.
  - ii) Fifteen percent (15%) share of the Production Office for its operations.
  - iii) Thirty percent (30%) for the office or college where the author or inven-

tor belongs, to be used for college initiated researches.

- iv) Twenty percent (20%) for the improvement/enhancement of commercialized researches or proposed researches with high commercialization potential.
- v) Five percent (5%) for the University Intellectual Property Committee expenses.

Section 3a. Net income shall mean gross income less applicable taxes.

Section 3b. All other expenses such as administrative costs, filing fees, costs relating to the production, distribution, advertising, maintenance and similar expenses of the work or invention shall be taken from its share in the royalty income.

Section 3c. In the absence of sufficient royalty income of the university, the university shall fund expenses mentioned in Section 3b.

Section 4. Pursuant to its public function, the university shall not enter into exclusive licensing arrangements. Nor shall the university enter into any kind of contractual arrangements that would deter the public in general from having reasonable access to the works or inventions.

Section 5. All contracts for research directly related to Intellectual Property, regardless of source of funding, should provide for the means for determination of authorship in accordance with these rules.

Section 6. No allocation of research funds from the university shall be made in case of works to be produced by collaborative efforts until and unless the provisions for ownership of intellectual property rights and ownership of resulting tangible materials, including processes for settling disputes on authorship or inventorships, shall be clearly provided in a contract.

Section 7. All contracts for the commercialization of technology, vending, and costing should be recommended by the UIPC to the Administrative Council and approved by the President.

## **Article 9**

### **TECHNOLOGY BUSINESS DEVELOPMENT AND SHOWCASE CENTER, AND THE INNOVATION AND TECHNOLOGY SUPPORT CENTER**

#### **Technology Business Development and Showcase Center (TBDSC)**

Section 1. Republic Act No. 10055, with short title “Philippine Technology Transfer Act of 2009,” aims to promote and facilitate the transfer, dissemination, and effective use, management, and commercialization of intellectual property, technology and knowledge resulting from R&D funded by the government for the benefit of national economy and taxpayers. Furthermore, Article 9 Section 20 of Republic Act No. 10055 states that all research development institutes are encouraged to establish their own Technology Licensing Offices (TLOs) in whatever form and to adopt their own policies on Intellectual Property Right management and technology transfer, in accordance with this Act and other existing laws and in support of the policies of the Intellectual Property Office of the Philippines and the national policy and the mandate of their parent agency.

Section 2. The technology business development and showcase center is aimed to promote and facilitate the transfer, dissemination, and effective use, management, and commercialization of intellectual property, technology and knowledge created by the permanent faculty members, personnel, and university staff as well as the students of the Tarlac State University. Specifically the technology business development and showcase center will:

- a) Assess all generated technology and knowledge created within the university;
- b) Study and propose ways on how to effectively commercialize the generated technology or knowledge.
- c) Allow and monitor the equitable sharing of revenues generated from the commercialization of the generated technology or knowledge.
- d) Monitor and protect the interest of the University and the author/s or researcher/s as regards intellectual property infringements in relation to the commercialized technology or knowledge.

Section 3. The Technology Business Development and Showcase Center will be directly under the Production Office of Tarlac State University. The University Intellectual Property Council shall do duties and responsibilities over the Technology Business Development and Showcase Center as stipulated under Organizational Structure and Functions of the Production Manual.

Section 4. Office supplies and equipment of the TBDSC will be incorporated in the yearly PPMP of the Production Office.

Section 5. The university will finance the trainings, seminars, and workshops needed to be attended by the Production Director and/or Chairperson/s organized by the Intellectual Property Office of the Philippines, Department of Trade and Industry, and Department of Science and Technology and other Intellectual Property Organizations and Office of other States. Subsidy for such can also be sourced from the income of the Production Office if funds are available.

Section 6. The Production Director may request for the detailing of additional faculty members to become chairpersons under the TBDSC if the need arises.

## **II. Innovation and Technology Support Center (ITSC)**

Section 1. In support to the ITSO Network of the IPOPHL, the University establishes the Innovation and Technology Support Center (ITSC) under the umbrella of the Production Office.

Section 2. The Production Director will serve as the concurrent General Manager of ITSC and the Chairpersons will concurrently serve as the technical staff (Chairperson for Technology Evaluation, Valuation and Production as well as Chairperson for Business Development, Monitoring and Protection). The clerk of the production office shall likewise serve as the admin staff of ITSC.

Section 3. The university will finance the trainings, seminars, and workshops needed to be attended by the Production Director and/or Chairperson/s organized by the Intellectual Property Office of the Philippines, Department of Trade and Industry, and Department of Science and Technology and other Intellectual Property Organizations and Office of other States. Subsidy for such can also be sourced from the income of the Production Office if funds are available.

Section 4. The Production Director may request for the detailing of additional faculty members to become chairpersons under the ITCS if the need arises.

Section 5. The ITSC shall also be the technology development center to fabricate mature technologies and non-patentable goods for commercialization.

## **Article 10**

### **PENALTIES**

Any penalties may arise from the violation of any other law or university policies or guidelines, any person found to have violated any of the provisions of these guidelines shall be meted out any of the following penalties depending upon the nature and gravity of the violation.

Section 1. Ineligibility for research grants from the university or any of its affiliated foundations for a period not to exceed three years;

Section 2. Automatic removal of research load credits and ineligibility to receive these benefits for a period not to exceed three years;

Section 3. Removal from any administrative position and disqualification for any administrative position for a period not exceeding three years;

Section 4. Ineligibility for outside teaching activities or the privilege to practice profession, for a period not exceeding three years.

## **Article 11**

### **REPEALING CLAUSE**

Section 1. All other university policies inconsistent with these guidelines are repealed accordingly.

## **CHAPTER 3**

### **GUIDELINES FOR INTELLECTUAL PROPERTY REGISTRATION**

The term Intellectual Property (IP) Rights, according to Republic Act 8293, consists of: copyright and related rights; trademarks and service marks; geographic indications; industrial designs; patents; layout-designs (topographies) of integrated circuits; and protection of undisclosed information.

The Production Office of Tarlac State University is in-charge of protecting the Intellectual Property Rights of the faculty members, personnel, and university staff (regardless of their employment status) as well as the students of the university.

The University Intellectual Property Committee (UIPC) is composed of the VP-REPD and/or VP-AA, Research Director, Production Director, Extension Director, Planning Director, concerned College Dean, and faculty expert/s in-charge for the final evaluation of IP works which are applied for registration. The UIPC will endorse IP works qualified for registration, if applicable, based on the application guide for IP registration presented in the succeeding sections.

The guidelines for IP registration are proposed to assist the faculty members, personnel, and university staff (regardless of their employment status), as well as the students of the university to register their IP to the Intellectual Property Office of the Philippines (IPOP HL).

#### **PATENT**

Patentable Invention is any technical solution of a problem in any field of human activity which is new, involves an inventive step and is industrially applicable. It may be, or may relate to a product, or process, or an improvement of any of the foregoing. On the other hand, an invention qualifies for registration as a utility model if it is new and industrially applicable.

## Patent Application Guide

1. Submit to the Production Office (PO) the Patent Confidentiality Agreement (PCA) before the start of the research project. The two types of PCA are: Personal Covenants Agreement Regarding Confidentiality; and Confidential Disclosure Agreement.

- a) Personal Covenants Agreement Regarding Confidentiality

All concerned individuals are required to agree and sign the covenant. The concerned individuals are, but not limited to, the College Dean, College Research Coordinator/s, Researcher/s, Research Office Staff, and others who may be involved or knowledgeable of the project.

- b) Confidential Disclosure Agreement (if appropriate)

It is made between Tarlac State University, through the University Research Office, and individual/s (such as consultant and/or person skilled in the art), a company, government funding institution/s, and partner university/ies.

2. After completing the research project, all concerned individuals are required to submit a Certificate of Non-Disclosure which is to be attested by the College Dean and/or by the Director of the University Research Office)
3. The researcher/s should complete and submit the Invention Disclosure Form to the PO.
4. The PO staff will evaluate the patentability of the invention and submit the report to the Production Director. The report will then be endorsed or elevated to the University Intellectual Property Committee (UIPC) by the PO Director for final evaluation. The UIPC will recommend to the PO whether to apply for a full patent or utility model.

5. The PO staff will inform the researcher/s about the recommendation of the UIPC.
6. The researcher/s should submit to the Production Office the Research Patent Documents based on the recommendation of the UIPC.
7. The PO staff will file the appropriate intellectual property application to the Intellectual Property Office of the Philippines (IPOP HL).
8. The PO Director and/or staff will monitor the progress of the application to IPO-PHL. All concerns of the IPOP HL will be communicated to the researcher/s for appropriate action.

## **COPYRIGHT AND RELATED RIGHTS**

The work domain here includes writings, music, fine art (photography, painting or sculptures) and technology-based work (computer software programs, websites, and electronic databases).

### **Copyright Application Guide**

1. The author/s should request and send their work for evaluation to a college specializing or with faculty experts in the art or technology.
2. In the college level, the IP Committee (composed of the Dean, Chairperson/s, and Faculty Expert/s) should evaluate the work/s applied for copyright registration. The college IP committee needs to submit an endorsement letter accompanied by a copy of the work to be applied for copyright to the Production Office once the work/s is/are recommended for registration.
3. Works such as textbook, workbook, work text, manual, and other similar materials will be endorsed by the Production Director to the University Book Committee for evaluation and approval before applying for copyright registration. Other work endorsed by the college IP committee will be immediately applied for cop-

yright registration by the PO Director and/or staff after the accomplishing of all the documentary requirements listed in the copyright application form.

## **TRADEMARK AND SERVICE MARKS**

A mark means any visible sign capable of distinguishing the goods (trademark) or services (service mark) of an enterprise and it will include a stamped or marked container of goods.

Trademark may consist of words, names and first names, signature, letters, numbers, acronyms, as well as combination of letters, numbers, signs, logos, slogans, designs, figures, pictographs, labels and three-dimensional trademarks such as the shape of the product or its packaging color, or combination of colors.

Collective mark means any visible sign designated as such in the application for registration and capable of distinguishing the origin or any other common characteristic, including the quality of goods or services of different enterprises which use the sign under the control of the registered owner of the collective mark.

Trade name means the name or designation identifying or distinguishing an enterprise.

### **Trademark Application Guide**

1. The College IP Committee (composed of the Dean, Chairperson/s, and Faculty Expert/s) or the University Extension Office IP committee (composed of the UEO Director, College Dean, Chairperson/s, Faculty Expert/s) should evaluate the work/s applying for trademark. The aforesaid IP committee needs to submit an endorsement letter accompanied by the work applying for trademark to the PO once the work/s is/are recommended for registration.
2. Work recommended by the above said committee will be endorsed by the PO Director to the UIPC for final evaluation.

3. Approved work/s will be applied for trademark by the PO Director and/or staff after accomplishing all necessary documents.

## **INDUSTRIAL DESIGNS**

An industrial design is any composition of lines or colors or any three-dimensional form, whether or not associated with lines or colors, provided that such composition or form gives a special appearance to and can serve as pattern for an industrial product or handicraft.

### **Industrial Design Application Guide**

1. The College IP Committee (composed of the Dean, Chairperson/s, and Faculty Expert/s) or University Extension Office IP committee (composed of the UEO Director, College Dean, Chairperson/s, Faculty Expert/s) should evaluate the work/s applying for industrial design registration. The aforesaid IP committee needs to submit an endorsement letter accompanied by the work applying for industrial design registration to the PO once the work/s is/are recommended for registration.
2. Work recommended by the above said committee will be endorsed by the PO Director to the UIPC for final evaluation.
3. Approved work/s will be sent for industrial design registration by the PO Director and/or staff after accomplishing all necessary documents.









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Republic of the Philippines  
TARLAC STATE UNIVERSITY  
Tarlac City

# **VICE PRESIDENT for ACADEMIC AFFAIRS**

## **Operations Manual**

Approved during the 100<sup>th</sup> Regular Meeting of the Board of Regents of the Tarlac State University held at the Board Room, Clark International Airport Corporation, Clarkfield, Pampanga on December 4, 2015

Board Resolution No. 85, s. 2015

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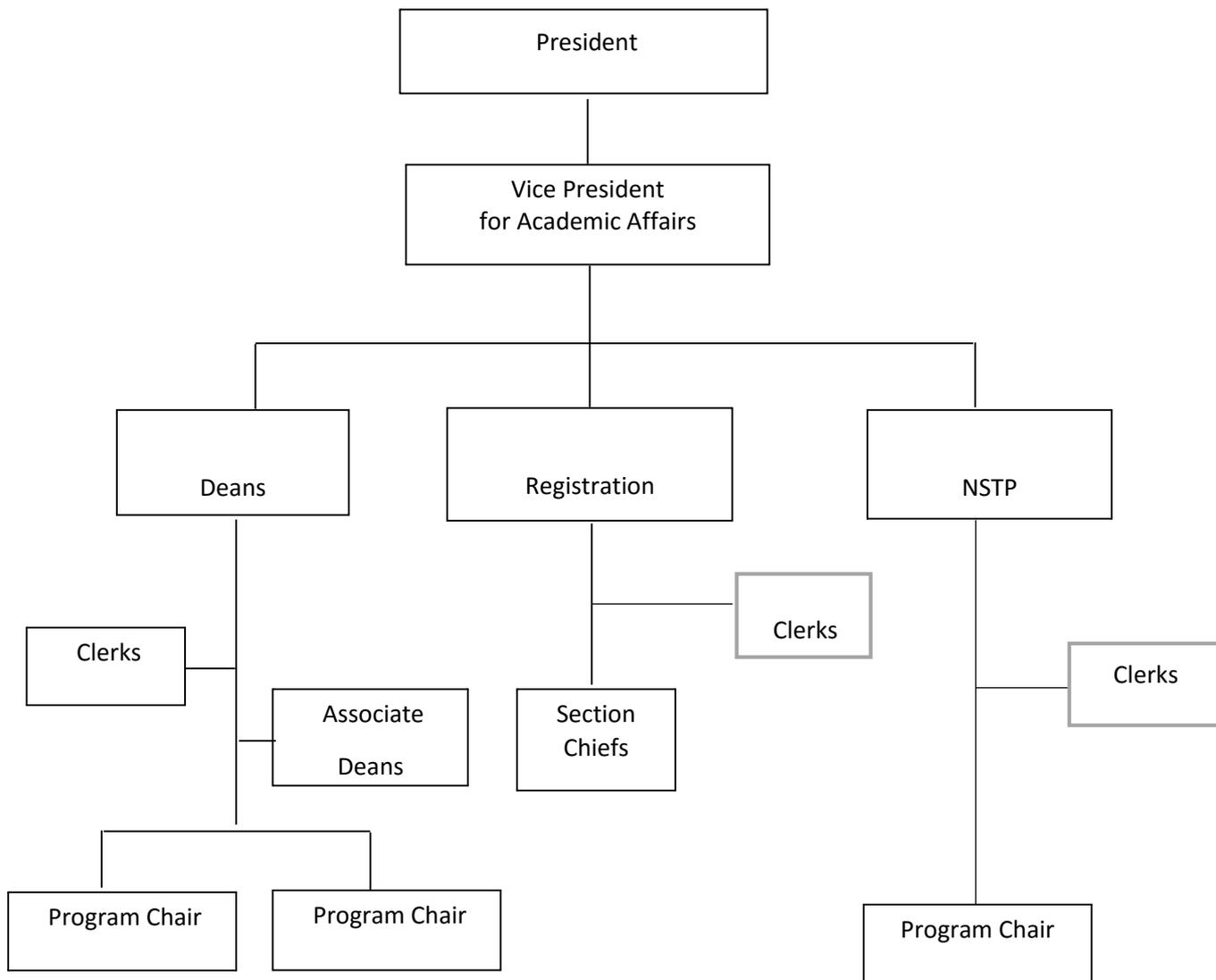
## Introduction

This Tarlac State University Academic Affairs Operations Manual is presented as a guide for processing, reporting and seeking approval of curricular matters through University Committees, Councils and Board of Regents. This manual is designed to be utilized by the academic group of Tarlac State University. Its purpose is to provide Tarlac State University with a reference manual containing policies and procedures. The manual covers flows of operations of academic units and colleges. This is to aid users of the expected channel of information when requested or processed. It also identifies the functions of the units and the duties of people detailed in all the academic offices. Academic policies and procedures are subject to internally initiated change. However, exemptions to academic policies and procedures are allowable when the justification is properly documented and processed for approval through regular channels, identified on the flow charts that include approval from the College Dean up to the Vice President Affairs. These policies and procedures apply uniformly to all colleges and to the whole University.

# Academic Affairs Operations Manual

The Vice President for Academic Affairs oversees the development of Colleges in attaining quality education, undertaking of extension services to the community and generating resources for the University.

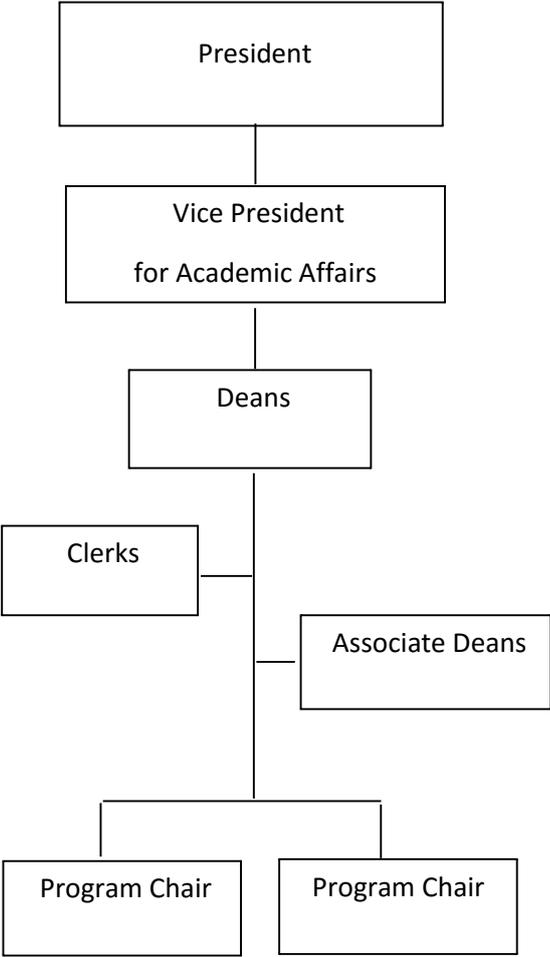
## ORGANIZATIONAL STRUCTURE



Section 1

COLLEGES

1.1. ORGANIZATIONAL STRUCTURE OF COLLEGES



1.2. FUNCTIONS AND SERVICES OF THE COLLEGES

The core functions of college are:

- 1.2.1. To deliver quality tertiary and advanced education;
- 1.2.2. To undertake quality researches;
- 1.2.3. To deliver to the community extension projects, programs and activities;
- 1.2.4. To assist in generating resources for the university by production projects.

### 1.3 DUTIES OF THE COLLEGE DEANS

1.3.1 The duties of the deans are as follows: to cascade the university directions, approve policies and guidelines and pertinent information affecting university operation and development; lead, manage, and administer the office and personnel under their supervision; Preside in meetings, assemblies, sessions and other gatherings; Submit regular reports on a monthly, quarterly, semestral annual basis, or as required by the administration; conduct professional development of the human resources under their jurisdiction, including team-building and activities promoting physical and mental health; maintain active communication and linkage with other offices or units of the University; assist and cooperate with other university sectors when such assistance will facilitate the completion of the tasks, and its usual work and functions are not hampered; furthermore, the deans, shall represent the university in an informal capacity in external affairs in the absence of a duly authorized personnel for such purpose.

### 1.4 DUTIES OF THE COLLEGE ASSOCIATE DEANS

1.4.1. The college associate deans assist the dean in the general supervision of the college whenever necessary and as requested by the dean; perform the following administrative functions under the supervision of the dean: Assist in the monitoring of attendance and performance of faculty members; monitor the implementation and updating of OBE Syllabi; monitor the attainment of objectives of Outcomes-Based Education in each subject and prepare reports of the said monitoring; supervise the encoding of grades on time by faculty members; Identify training needs and coordinate the same with Human Resource Management and Development Office and other responsible units to address the training needs; monitor the attainment of targets defined in the Office Performance Commitment and Review (OPCR) of the college and reports the same to the Dean; Conduct coaching of the respective chairperson whenever necessary; assist in the preparation of class, room and faculty academic schedules, if needed. Performs other duties assigned by the Dean.

### 1.5 DUTIES OF THE PROGRAM CHAIRS

1.51 Review periodically the curriculum along with the faculty members in the department; Ensure that the syllabus of each course in the program is fully implemented within the term; Recommend to the Dean the appointment of qualified faculty members; Convene regular and special department's faculty meetings; Schedule classes and assign room and faculty teaching load per semester; Ensure that student grades are submitted on time; Supervise, monitor and coach faculty members within the department; Monitor progress of the students; Assert strategic leadership by spearheading strategic planning and

initiatives, including the development of programs for training, research and extension of the department; and fulfill other duties and responsibilities as may be assigned by the Dean.

## 1.6 DUTIES OF THE COLLEGE COORDINATORS

### 1.6.1 Duties of the College Units' Extension Coordinators

- 1.6.1.1. The College units' extension coordinator organizes, implements, and evaluates approved extension activities in the college level;
- 1.6.1.2. Coordinates with other agencies, colleges and University Extension Office for possible assistance for extension projects; and
- 1.6.1.3. Recommends projects/activities that will enhance extension projects in the college level.

### 1.6.2 Duties of the College Units' Research Coordinators

- 1.6.2.1. To coordinate with the College Chairpersons in the planning and organization of research activities in their respective areas of concern;
- 1.6.2.2. To identify and recommend research priorities for the university;
- 1.6.2.3. To plan and conduct workshops, round table discussions, lectures and short term training courses in research;
- 1.6.2.4. To prepare project proposals, direct and conduct research works along specialized fields like science and technology;
- 1.6.2.5. To prepare work plans, feasibility studies and research reports and assist other researchers in doing the same;
- 1.6.2.6. To review and evaluate the proposals submitted by faculty researchers through the College Chairpersons; and
- 1.6.2.7. Prepare research publications such as journals and news-letters.

### 1.6.3. Duties of the College's Accreditation Coordinators

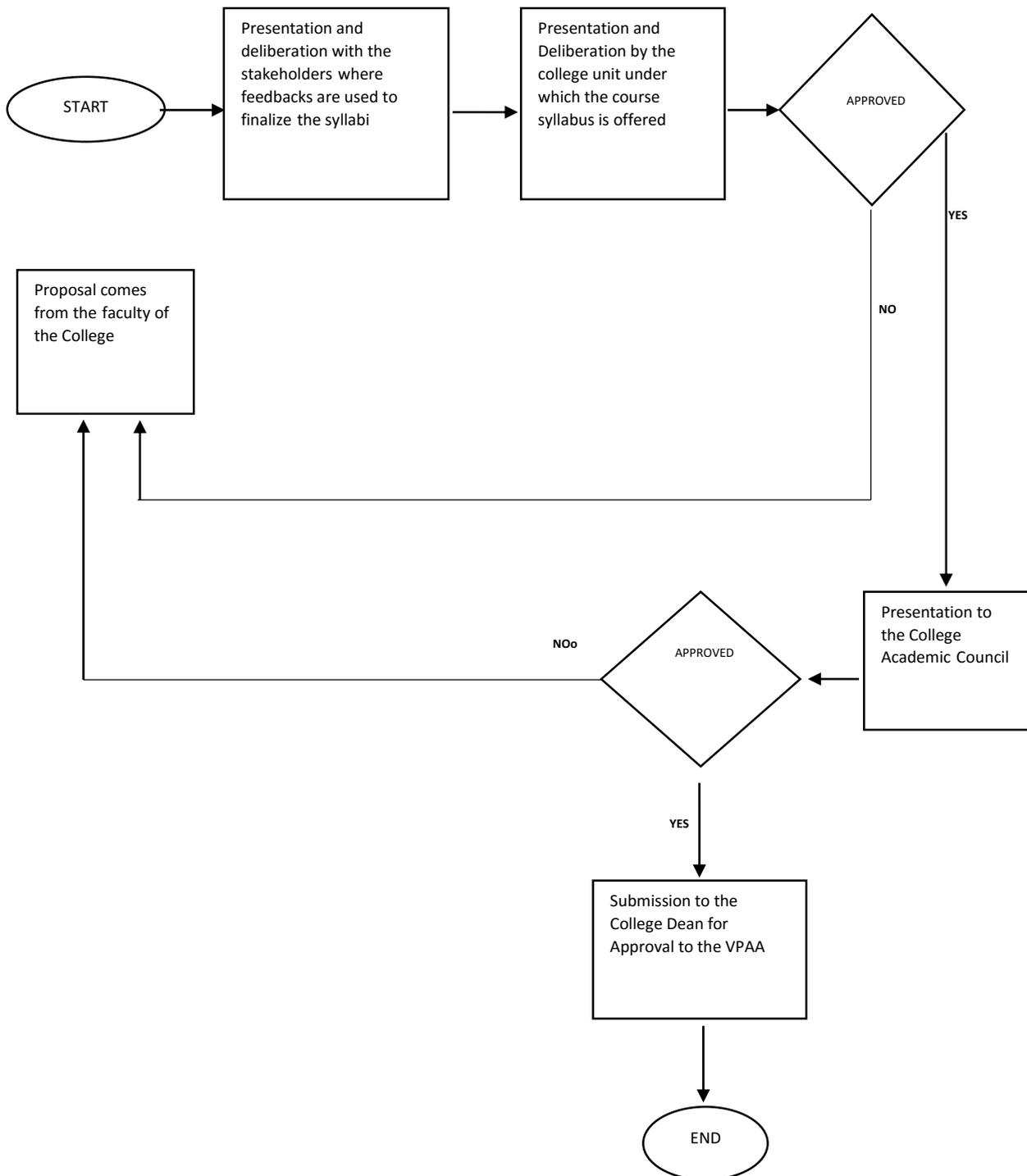
- 1.6.3.1. Coordinate with the QA Office on matters of accreditation.
- 1.6.3.2. Assist the Dean and lead the College in the preparation and packaging of documents for program accreditation.
- 1.6.3.3. Assist the Dean in actual days of accreditation; receives the accreditors, assist in the accreditation room while accreditation work is in progress.
- 1.6.3.4. Prepare the work and financial plan of the College corresponding to the accreditation schedule of the different programs due for accreditation.
- 1.6.3.5. Perform other duties that may be assigned by the Dean or the QA office.

## 1.7 DUTIES OF THE FACULTY MEMBERS

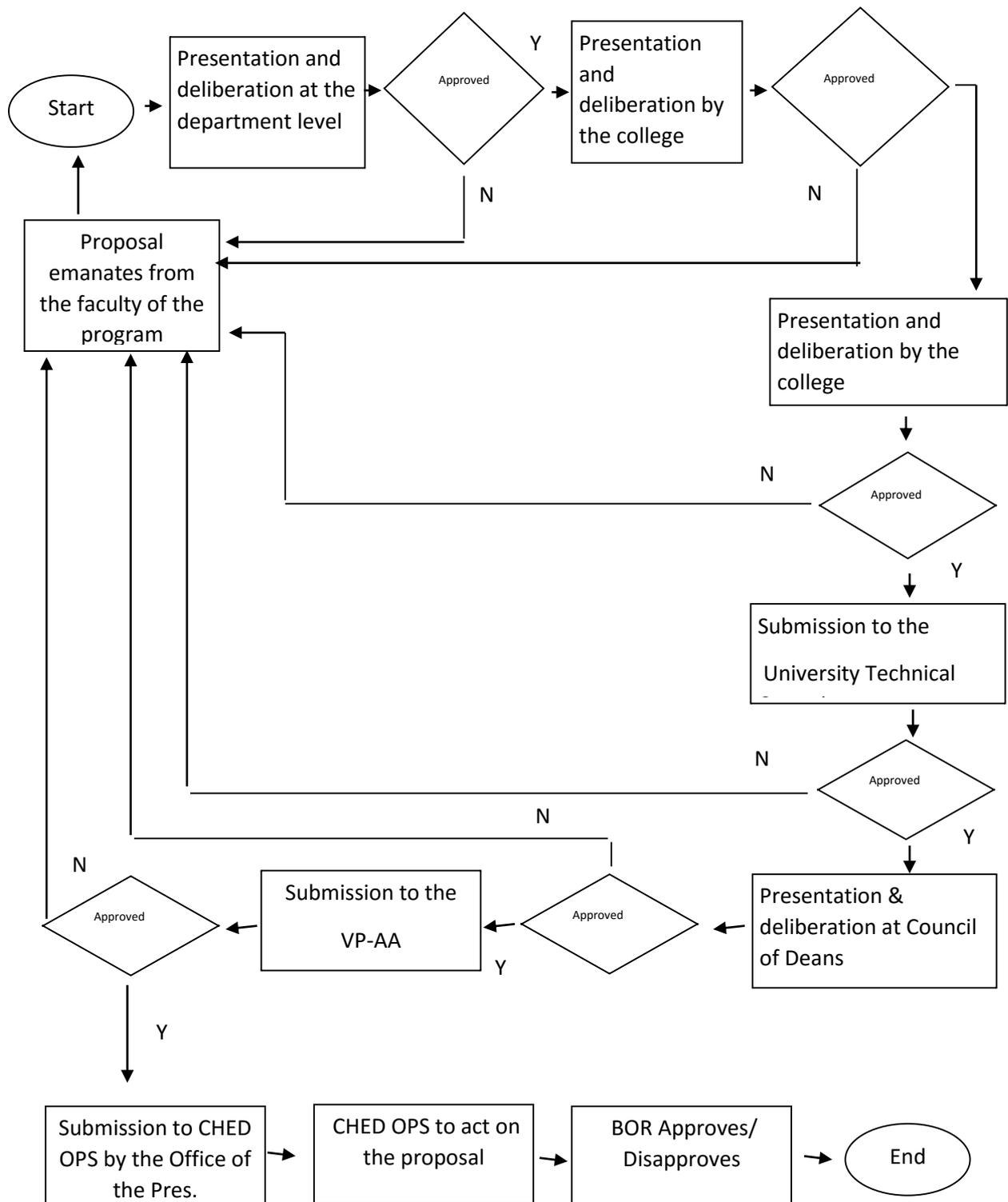
- 1.7.1. Prepare and plan outcomes based teaching learning syllabi/syllabus;
- 1.7.2. Teach courses in line with specialization;
- 1.7.3. Create instructional resources/materials for use in the classroom;
- 1.7.4. Plan, prepare and deliver instructional activities;
- 1.7.5. Create positive educational climate for students to learn in;
- 1.7.6. Meet course and school-wide student performance goals;
- 1.7.7. Participate in on-going training sessions. Maintain records on the grade of the students; develop projects designed to enhance lectures;
- 1.7.8. Read and stay abreast with current topics in education;
- 1.7.9. Utilize various resources;
- 1.7.10. Integrate competencies, goals, and objectives into the lesson; and
- 1.7.11. Conduct research, extension and production projects.

## 1.8 WORKFLOW CHART ON TRANSACTIONS AND SERVICES

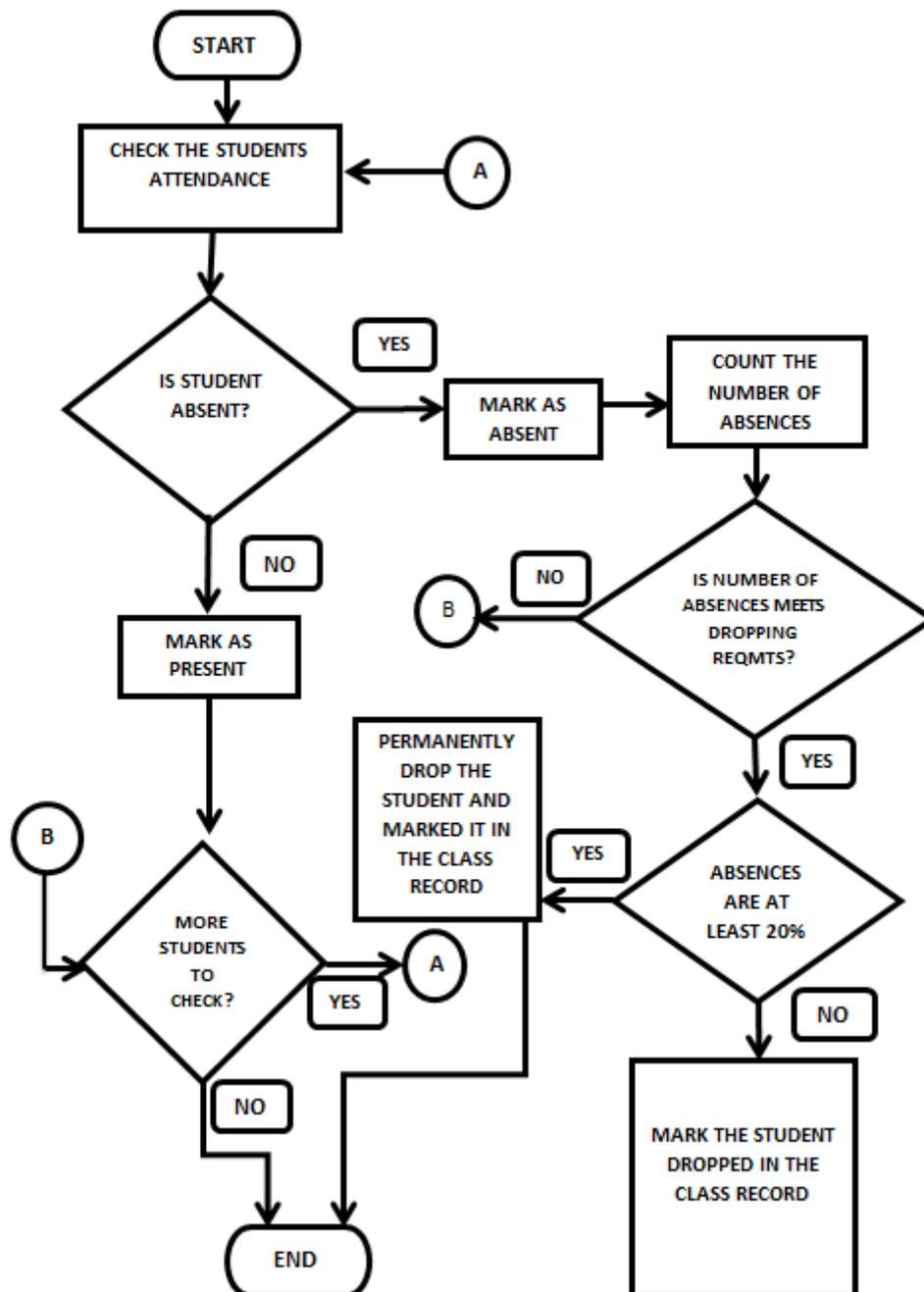
### A. Approval of New Curricular Program



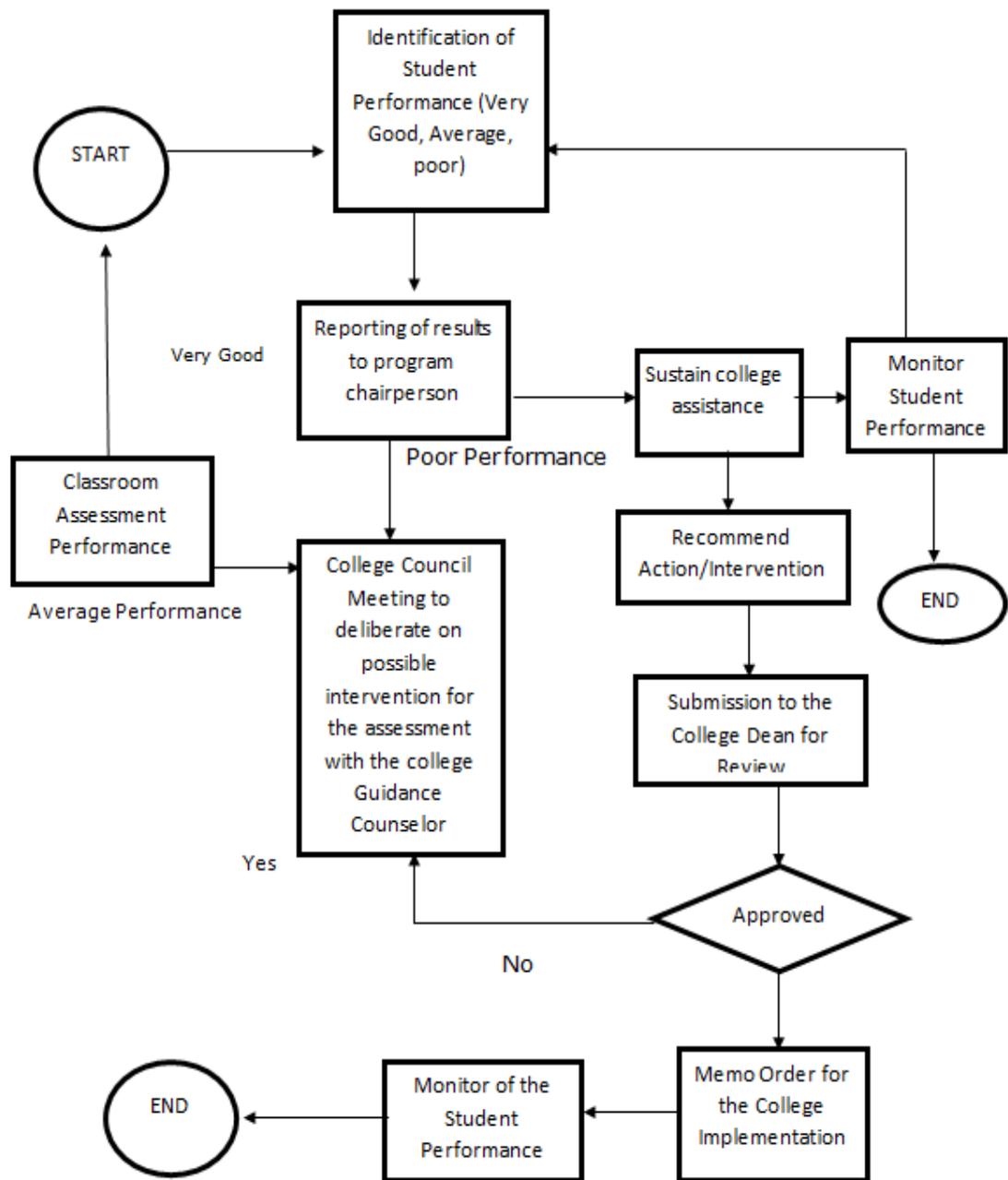
## B. Revision of Syllabus



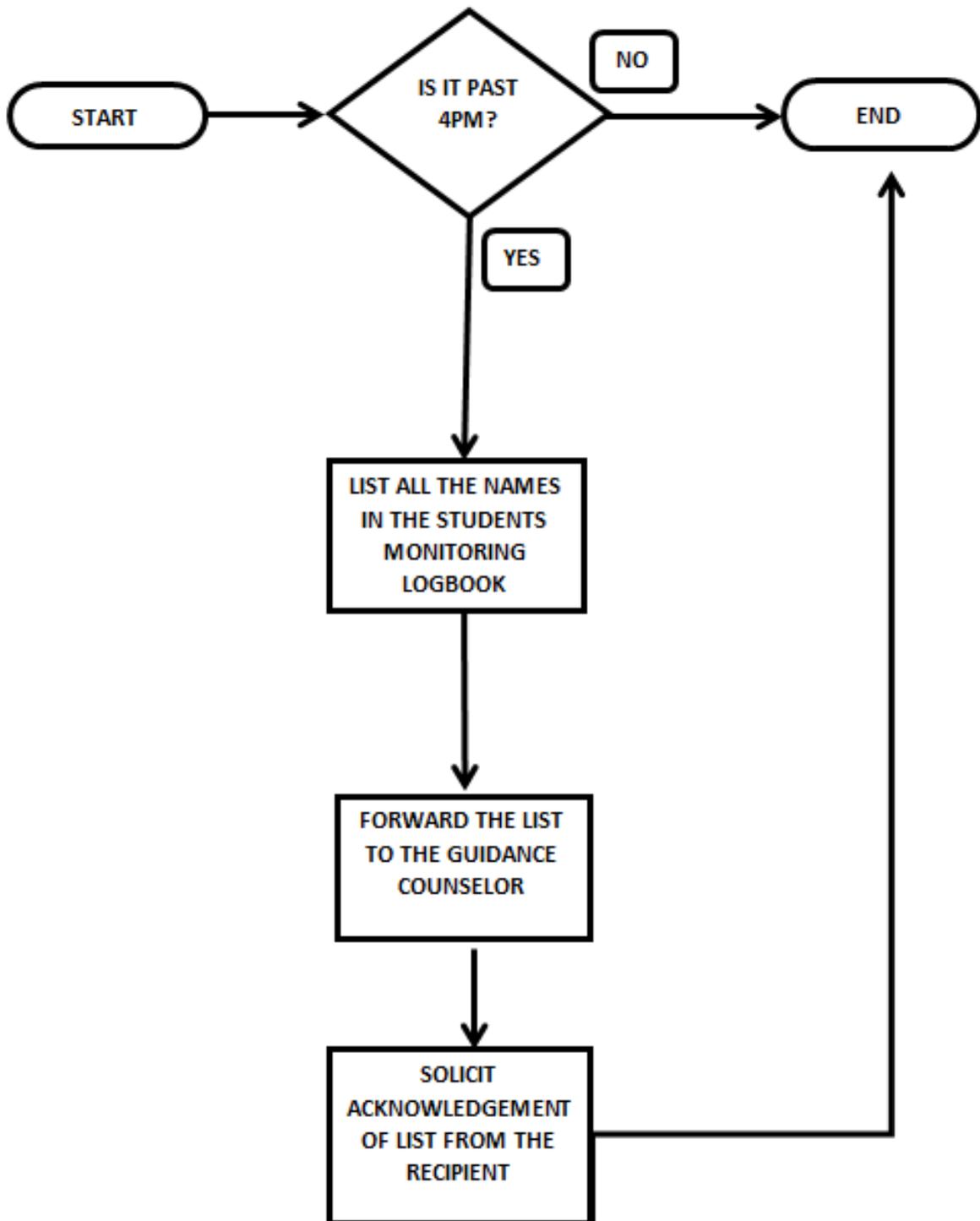
### C. Student Attendance and Monitoring Policy



### D. Monitoring of Student Performance within the College



E. Attendance Monitoring by College Clerk

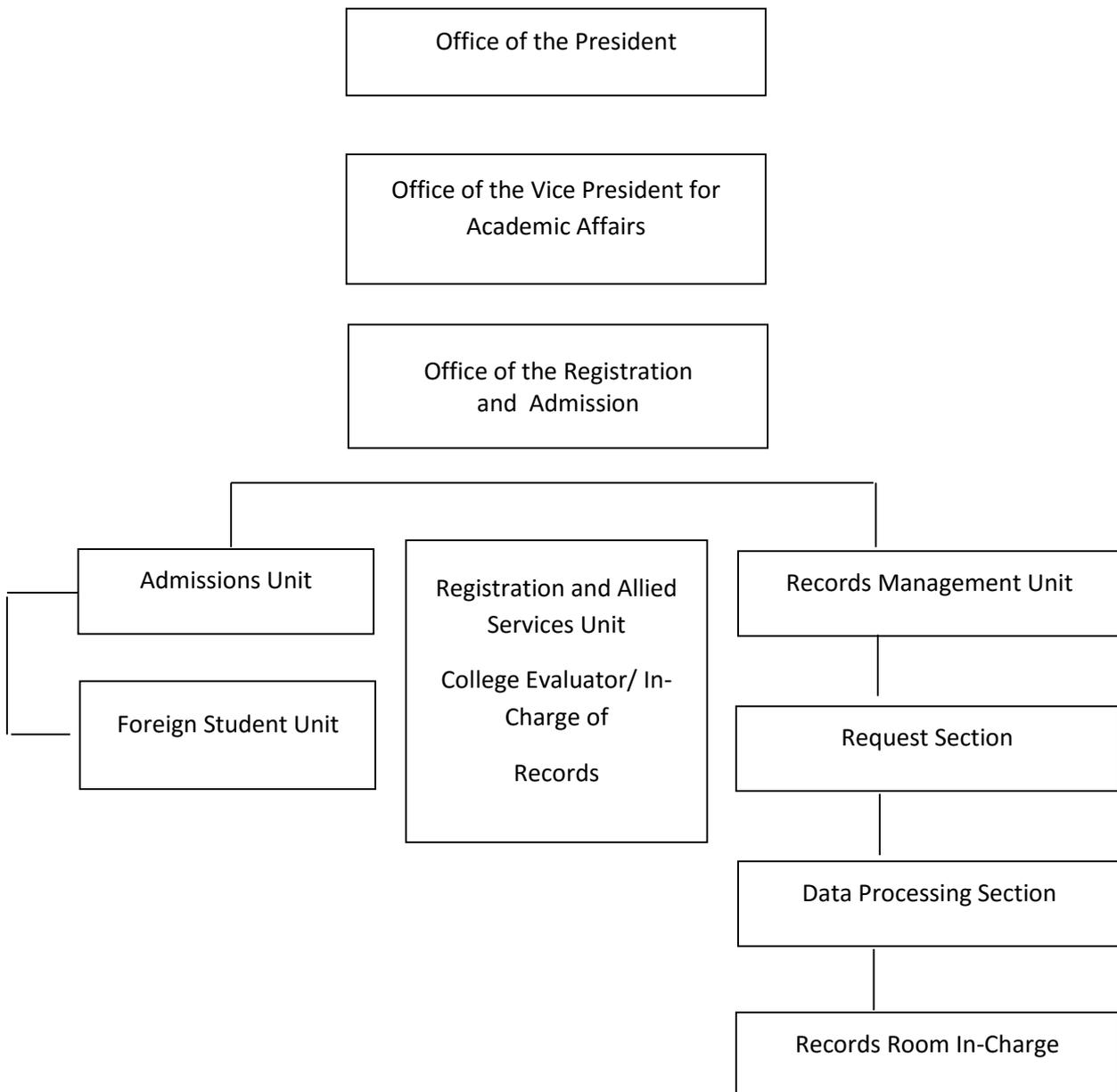


## Section 2

### ACADEMIC OFFICES

#### 2.1 REGISTRATION AND ADMISSION OFFICE

##### 2.1.1 Organizational Structure of the Registration and Admission Office



2.1.2. Functions and services of the registration and Admission Office

It is the function of registration and admission office to admit students who shall study at TSU, create, maintain and keep their records based on existing rules and regulation on records management.

2.1.3. Duties of The Registration And Admission Office Director

2.1.3.1. Assists top administration in the formulation and enforcement of policies on admissions, enrollment, accreditation, graduation, and other related academic matters.

2.1.3.2. Plans, supervises, and is responsible of:

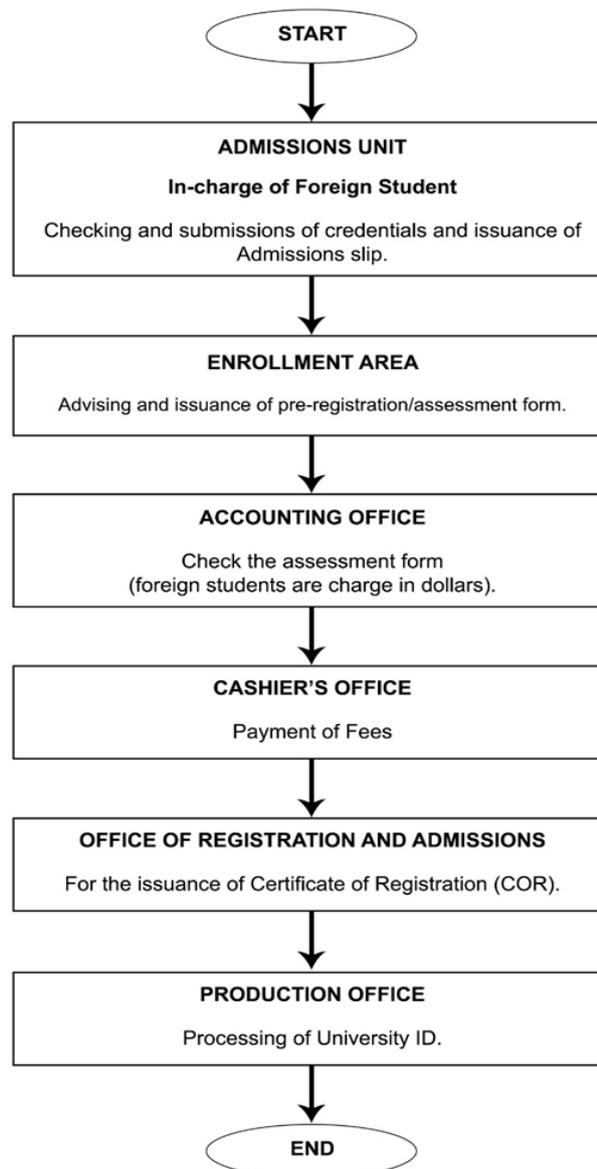
- a. Admission and selective retention of students.
- b. Compliance of admission and academic requirements.
- c. Registration/Enrollment of students.
- d. Enforcement of government and university regulations on academic scholarships, scholastic delinquency, transferees, accreditation, student loading, subject sequence, cross-enrolment, graduation, graduation with honors, changing/adding/dropping of subjects, and other related matters.
- e. Evaluation of scholastic records/credits for purposes of accreditation of transfer units, determination of curricular level, scholastic standing, promotion, graduation, etc.
- f. Commencement/Graduation exercises and all other relevant activities.
- g. Selection of honor students both in the collegiate and secondary levels.
- h. Custody, security, integrity, and confidentiality of student records.

- i. Management, accounting, control, maintenance and issuance/release of students' academic records.
- j. Dissemination of information on the curricular offerings, admission requirements, academic policies and regulations and CHED issuances.
- k. Orientation of students on academic policies, rules and regulations.
- l. Information on statistical data of enrolment, graduates, drop-outs, scholastic delinquents, returnees, transferees, shifters, etc.
- m. Preparation of memoranda on enrolment and on ORA concerns.
- n. Publication of Academic Calendar, Bulletin of Information, Catalog, etc.
- o. Training and development of ORA personnel and staff.

- 2.1.3.3. Signs transcript of records, certifications, and other related documents.
- 2.1.3.4. Resolves questions on academic policies and regulations and student records.
- 2.1.3.5. Performs curricular consultation with the colleges and the students.
- 2.1.3.6. Assists in the revision of curricula, TSU Code, Faculty Manual and Student Handbook.
- 2.1.3.7. Maintains linkages with other Registrars in connection with student records and registrar's concerns.
- 2.1.3.8. Sets a standard operating procedure for the ORA.
- 2.1.3.9. Designs process flow chart of office functions.
- 2.1.3.10. Periodically reviews and improves present systems and procedures.
- 2.1.3.11. Assigns, supervises, coordinates, checks, and reviews work of ORA personnel.

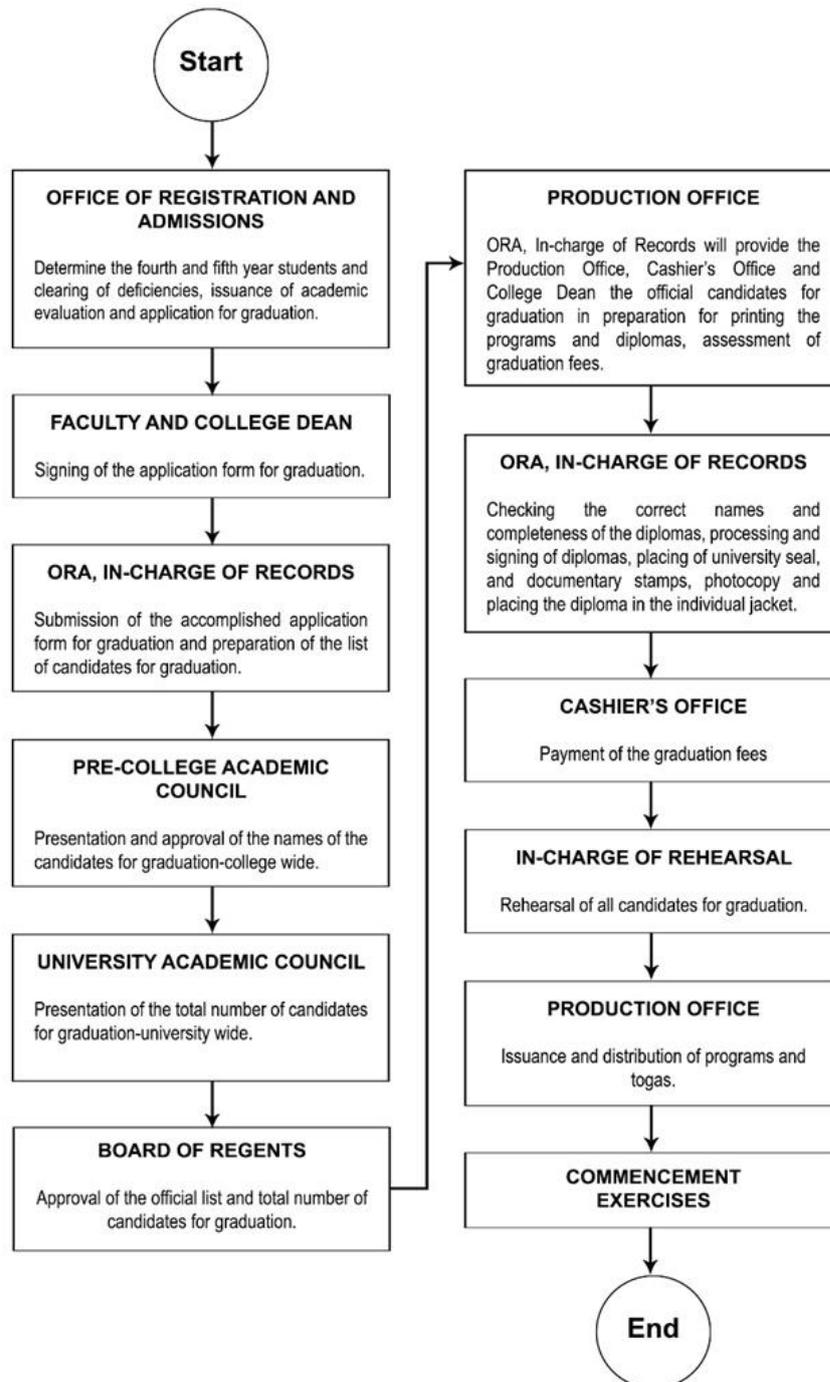
- 2.1.3.12. Evaluates performance of ORA personnel.
- 2.1.3.13. Designs and revises forms needed for ORA use and transactions.
- 2.1.3.14. Oversees the proper use, maintenance, control, and safekeeping of property and equipment of the office.
- 2.1.3.15. Maintains records of production income.
- 2.1.3.16. Requests the needed office equipment and supplies

**FOREIGN STUDENT ENROLLMENT FLOW CHART**



- 2.1.3.17. Creates the Development Plan of the OUR.
- 2.1.3.18. Submits Annual Accomplishment Report to the President.
- 2.1.3.19. Serves as the contact person of the University with the CHED and BI.

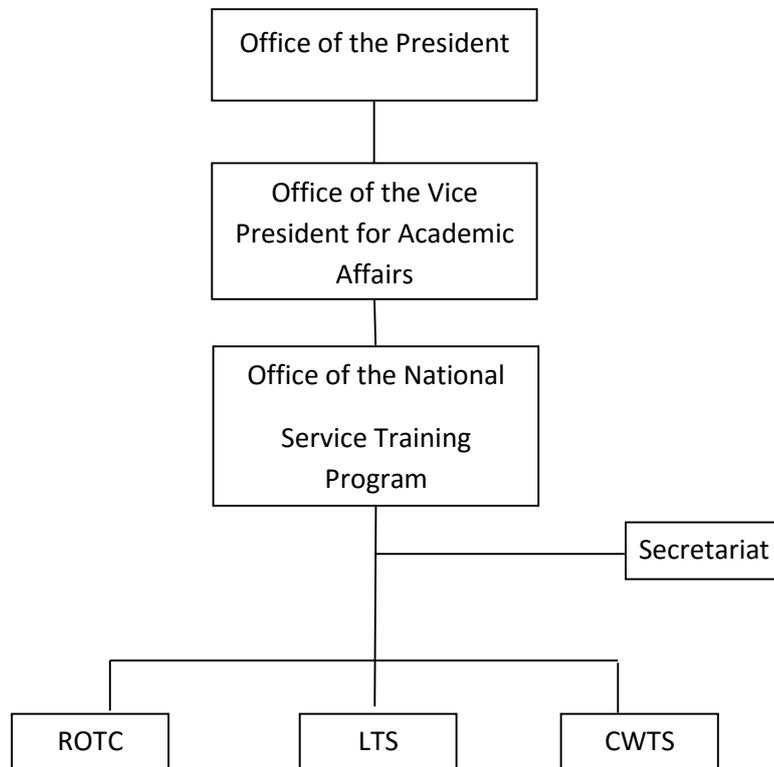
### GRADUATION FLOW CHART



## 2.2. NATIONAL SERVICE TRAINING PROGRAM OFFICE

The National Service Training Program Office implements RA 9163 otherwise known as "National Service Training Program (NSTP) Act of 2001".

### 2.2.1. Organizational Structure of the Registration and Admission Office



## 2.2.2. Functions and Services Of The National Service Training Program

2.2.2.1. **General functions** – The NSTP Implement the CWTS/LTC/ROTC activities on the University including campuses and colleges in accordance with the approved programs under RA 9163.

2.2.2.2. **Specific functions** - Lead in the formulation and implementation of CWTS/LTC/ROTC policies, rule, standards and basic procedure; Conduct academic and administrative supervision over the design and adoption of the areas of the areas of concerns of the program; Coordinate, monitor and review the CWTS/LTC/ROTC activities of the various campuses and colleges to ensure proper implementation;

## 2.2.3. Duties of the National Service Training Program Office Director

The NSTP Director exercises academic and administrative supervision; Formulates, adopts and implements the different NSTP components offered in the University; Coordinates, monitors, and evaluates the implementation of training programs of the different NSTP components in the university; Renders periodic reports to CHED Regional Office and DND – AFP (through the Major Service Reserve Commandant) for them to oversee and monitor the implementation of the NSTP of the University and to determine if the training conducted are in consonance with RA 9163; Recommend to the university authorities all matters pertaining to the National Service Training program.

2.2.4. Workflow Chart on Transactions and Services

A. Scheduling of Classes

