

GUIDELINES FOR THE GRANTS- IN-AID FUNDS OF DOST AND ITS AGENCIES

**(Amendments of A.O. 006 SERIES OF 2004
and 004 SERIES OF 2008)**

OUTLINE

1. Purpose of Grant
2. Definition of Terms
3. Classification of S&T Programs/Projects Funded
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OUTLINE

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OUTLINE

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GUIDELINES FOR THE GIA FUNDS OF DOST AND ITS AGENCIES

1. Purpose of Grant

- Aims to harness the country's scientific and technological capabilities;
and
- To spur and attain a sustainable economic growth and development.



2. Definition of Terms

For Operation

- **Completion Date** – refers to expiration date of a grant after which expenditures may not be charged against the grant.
- **Coordinating/Monitoring Agency** – refers to the agency that reviews the project proposal and provides technical assistance to the implementing agency.
- **Implementing Agency** – refers to the primary agency involved in the execution of program/project.
- **Direct Cost** – refers to expenses incurred by the implementing agency in the execution of program/project considered indispensable to its operations.
- **Indirect Cost** – refers to overhead expenses incurred by the implementing or monitoring agency in managing, evaluation and monitoring of the program/project.
- **Funding Agency** – refers to DOST and all its grant-giving units where funds/grants come from


For RRF

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- **Line Item Budget** – refers to detailed breakdown of financial assistance requested and reflects counterpart of Implementing Agency and other agencies cooperating in the project.
- **Program Leader** – refers to the person who plans, organizes and supervises the overall activities of a program and is directly responsible for the implementation of at least one (1) of the projects under a program
- **Project Leader** – refers to a project's principal researcher/implementer.
- **Proponent** – refers to person, private entity or agency that prepares and submit project proposals for DOST approval and assistance.
- **Unexpended Balance** – refers to the outstanding balance from the previous approved allotment after project has been completed/terminated/extended.


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3. CLASSIFICATION OF S&T PROGRAMS/PROJECTS FUNDED


- 3.1 Generation of Knowledge and Technologies
 - a. Fundamental/Basic Research
 - b. Applied Research
 - c. Experimental Development
 - d. Pilot Testing
 - 3.2 Diffusion of Knowledge and Technologies
 - 3.3 Development of Human Resources and Institution/Network for S&T Sector
 - 3.4 Provision of Quality S&T Services
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4. SELECTION CRITERIA


4.1 Eligibility of Proponent

- Any Filipino public or private entity with proven competence
 - Project proponent readiness in terms of technical, managerial, financial and marketing capabilities
 - Preference to DOST accredited science foundations and member of DOST network and its agencies
 - Proponents with no previous accountabilities with DOST.
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4.2 Application Requirements

- Complete Proposal
 - Detailed breakdown of the required fund assistance
 - Monthly Cash Program of the fund requested
 - Counterpart fund, in kind and/or in cash except for projects involving public good;
 - Curriculum Vitae of Project Leader and other co-researchers/implementers
 - Ethics Review
 - Clearance from National Committee on Biosafety
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For Private Sector/Non-Government Organization

- Securities and Exchange Commission (SEC) registration, documents of incorporation and other related legal documents
 - Surety Bond Application Form (if applicable)
 - Copy of Income Tax Return
 - Co-signers Statement (if applicable)
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5. LINE-ITEM BUDGET PREPARATION

Direct Cost for Operation

5.1 Personal Services

- Salaries and Wages (DOST GIA Rates)
- Honoraria (DOST MC 001 Series of 2009)

Direct Cost for RRF

5.1 Personal Services

- Salaries and Wages (DOST GIA Rates)
- Honoraria (maximum of Php 4,400/month for project leader, maximum Php 6,000/project for statistician)

5.2 Maintenance & Other Operating Expenses (MOOE)

- Traveling Expenses
 - Communication Expenses
 - Supplies and Materials
 - Representation Expenses
 - Rent Expenses
 - Utilities Expenses
 - Printing and Binding
 - Other Professional Services
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6. GRANT ADMINISTRATION ROLES OF THE CONCERNED INSTITUTIONS/OFFICES

Funding Agency

oversees the implementation of all approved projects

Monitoring Agency

ensures the efficient, timely and smooth implementation of approved projects



6. GRANT ADMINISTRATION

ROLES OF THE CONCERNED INSTITUTIONS/OFFICES

Implementing Agency

has the primary responsibility for general supervision of project activities

Program/Project Leader

provides technical leadership and directly implements the project/s



MONITORING AND EVALUATION

Technical Monitoring and Financial Monitoring



6.1 TECHNICAL MONITORING


For Operation

a. Submission of Technical Reports

- Regular Quarterly/Semi-annual Progress Report
- Annual Technical Report (exceeding one year)


For RRF

a. Submission of Technical Reports

- Regular Quarterly/Semi-annual Progress Report
 - Annual Technical Report (exceeding one year)
 - Technical Terminal Report (3 months after completion)
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b. Periodic Field Evaluation - shall be conducted by
Funding/Monitoring Agency

c. Programs/projects Extension

- Requests **plus latest financial report**, proposed LIB and Gantt Chart of activities for extension period, technical report & justification for extension
 - Request for extension without additional funding shall be evaluated and approved by the Monitoring Agency. Those with additional funding shall be evaluated and endorsed by the Monitoring Agency for approval of the Funding Agency.
 - The program/project duration may only be extended for a maximum of one year and can be given a maximum of only two (2) extensions.
 - Extension shall **not be allowed to a continuing project** unless it is on its terminal/last year of implementation.
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d. Continuing Assistance/Additional Funding

For Operations

- Request w/in 3 mos. before end of each implementing year
 - Request accompanied by Technical Report (at least 3 qrts)
 - Deferment due to delay in the release of fund shall resume w/in 3 mos. after release of fund
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6.2 FINANCIAL MONITORING

Fund Releases

- a. Releases of Funds shall be governed by DOST Memorandum Circular No.001 Series of 2011
 - Memorandum of Agreement (MOA), Memorandum of Instruction (MOI) or Conforme Letter
 - Approved Line-Item Budget
 - Obligation Request
 - Disbursement Voucher
- b. Project Implementation shall commence w/in 3 months after the release of funds.
- c. Subsequent releases of funds shall be subject to necessary financial and technical reports submission

Disbursement of Fund

Disbursement of funds shall be in accordance with the approved Line Item Budget (LIB)




Budget Reprogramming or Realignment /Creation of New Item/s

For Operations

- Request two months before end of project's current year
- Not more than 3 times in each implementing year including extension
- Revised LIB shall be approved

For RRF

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 - Not more than 3 times in each implementing year including extension
 - Revised LIB shall be approved
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APPROVING AUTHORITIES IN BUDGET REALIGNMENT


1. Implementing Agency

- W/in 33% of existing expenses (PS, MOOE)
- With notice to Monitoring and Funding Agency within the project duration

2. Monitoring Agency

- Over (>) 33% up to 100% with revised LIB
- Approved revised LIB Copy furnished Funding Agency

3. Funding Agency

- Exceeding 100%
 - Creation of additional expenses item/s with or w/out additional funding
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Submission of Financial Reports

Financial Reports shall be itemized in accordance with the approved LIB

Annual Financial Report shall be submitted 2 mos. after the end of every year/RRF Project

- **For Government**
 - Certified by Agency Accountant
 - Noted by Agency Head
 - Schedule of Accounts Payable, if any

Submission of Financial Reports

- **For NGO's or private institution**
 - Audited by License Independent Accountant

For Operation

Audited Financial Report shall be submitted within 1 mos. after the completion of the project (DOST Form 9B)

With Equipment Outlay

- List of Equipment (DOST Form No. 6)
- Acknowledgement Receipt for Equipment (ARE Format)

For RRF

Terminal Audited Financial Report shall be submitted within 3 mos. after the completion of the project (DOST Form 9B)

PROJECT UNEXPENDED BALANCE (UEB)/SAVINGS

For Operation

1. Completed/Terminated

- Refund/Reverted to funding source w/in 3 mos. after completion/termination

2. Continuing/Multi Year Project

- UEB shall be deducted to total approved budget of ensuing year
- Pending approval of ensuing year budget, Funding Agency may allow use of UEB to pay salaries and MOOE of multi year project

Note: UEB is not justification for extension of project/s

For RRF

1. Completed/Terminated

- Refund/Reverted to funding source w/in 3 mos. after completion/termination

Note: UEB is not justification for extension of project/s

SOPs for Non-Submission of Requirements (Terminal AFR, technical reports etc.)

- **1st** demand letter will be sent to the Project Leader within 3 months of project completion;
- **2nd** demand letter will be sent after 4 months of project completion w/o compliance;
- legal process may be instituted against Project Leader for failure to submit requirements after 5 months of project completion.

The Project Leader can be included in the **blacklist** that will be made available to all funding Agencies in the DOST System



Audit and Inspection

- Required audit shall be done by COA resident auditor or an authorized representative
- The activities, operation, books of accounts and records of the project shall be subject to inspection by the Funding Agency and its auditor, whenever necessary.




7. Hiring of Project Personnel/Nature of Appointment

- The Program/Project Leader shall hire personnel on contract basis to work for the program/project in accordance with existing hiring policies of the implementing Agency.
- All contracts of services for DOST Grant-In-Aid (GIA) Personnel should be in accordance with the attached DOST Qualification Standard under DOST Special Order No. 508 dated July 24, 2013.



8. Purchase, Ownership and Accountability of Project Equipment and Other Properties

- Supplies, materials and other properties authorized to be purchased using GIA funds shall be used exclusively for the program/project
 - The Funding Agency shall own all equipment purchased through grant funds.
 - The Program/Project Leader shall be primarily responsible for all properties related to the project until the same are transferred to another entity upon project termination
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9. Ownership and Utilization of Programs/Projects Results/Intellectual Property Rights Protection

The Ownership/intellectual property and Intellectual Property Rights resulting from a program/project partially or fully financed by DOST or any of its grant-giving units shall be governed by MC 001, Series of 2002 and RA 10055 or the Philippine Technology Transfer Act of 2009.



10. Discontinuance of GIA Assistance

The Funding Agency reserves the right to discontinue any program/project or its assistance at anytime for violation of Grant Agreement or when it is determined that the result obtained or are reasonably expected to be obtained do not justify further activity.



THANK YOU