ADMINISTRATIVE AND EMPLOYMENT MANUAL
FOR ACADEMIC PERSONNEL
(Higher Education)
2023 Edition

TABLE OF CONTENTS

Chapter One
VISION AND ORIENTATION OF
SAINT MARY'S UNIVERSITY OF BAYOMBONG

I. Vision, Mission and Objectives Statement of Saint Mary's University..... 1
   A. Vision 1
   B. Mission and Objectives 1
II. Specific Objectives 4
   A. School of Accountancy and Business 4
   B. School of Teacher Education and Humanities..... 5
   C. School of Engineering, Architecture and Information Technology..... 6
   D. School of Health and Natural Sciences..... 7
   E. College of Law 8
   F. School of Graduate Studies..... 9

Chapter Two
ORGANIZATION OF SAINT MARY'S UNIVERSITY OF BAYOMBONG

I. Governing Boards 11
   A. The CICM Provincial Government 11
   B. The Board of Trustees 12
II. University Officers 13
   A. University President 13

B. Vice President for Mission and Identity 17
C. Vice President for Administration 18
D. Vice President for Academic Affairs 21
E. Vice President for Finance and Treasurer 23
F. University Chaplain and Director, Center for Christian Formation 25
G. University Registrar 26
H. Academic Deans 29
I. Dean of Student Affairs and Services 33
J. Director, Center for Information and Communication Technology 36
K. Director, Center for Natural Sciences 38
L. Director, Human Resources Development Office 40
M. Director, Institutional Development and Quality Assurance Office 42
N. Director, Lingkod Maria Community Development and Advocacy Center 44
O. Director, Physical Plant and Properties Development and Maintenance Office 46
P. Director, University Learning Resource Center 48
Q. Director, University Research Center 51
R. Chief Accountant 53
S. Internal Auditor 54
T. Associate Dean of Student Affairs and Services for Men/Women 55
U. Head, Alumni Affairs Office 57
V. Head, Computer and Electronics Technical Services Office 59
W. Head, Cultural Affairs Office 60
X. Head, Equivalency and Technical Vocational Assessment Office 61
Y. Head, Guidance and Testing Office 63
Z. Head, Inventory Management Office 64
AA. Head, University Health Services 66
BB. Head, Promotions, External Relations and Internationalization Office 68
CC. Head, Publishing and Digital Printing Office 69

DD. Head, Safety and Pollution Control Office 71
EE. Head, Technology Transfer and Business Development Office 73
FF. Head, University Research Ethics Office 74
GG. Academic Department Heads 76
HH. Academic Coordinator, Juris Doctor Program 78
II. Graduate Programs Cluster Department Heads 80

III. University Boards, Councils and Committees 82
A. Advisory Board 82
B. Extended Advisory Board 82
C. Academic Council 83
Dean's Council 84
D. SMU Pastoral Council 84
E. Research and Community Development Council 85
F. Admissions Committee..... 86
G. Committee on Arbitration..... 87
H. Committee on Investigation..... 87
I. Committee on Decorum and Investigation 88
J. Campus Safety and Disaster Preparedness Committee..... 88
K. Personnel Selection, Rank and Tenure Committee 89
L. Physical Plant Development Committee 90
M. Retirement Committee 91
N. Student Scholarships, Grants and Awards Committee..... 91
O. Employee Recognition and Awards Committee 92
P. University Learning Resources Committee 93
Q. SMU Integral Growth and Lifestyle Advocacy Committee..... 93

IV. Organization Chart of Saint Mary's University 95

Chapter Three

EMPLOYMENT OF ACADEMIC PERSONNEL

I. Classification of Academic Personnel 96

A. According to Function 96
B. According to Administrative Level 98
C. According to Employment Status 99
D. According to Work Load 102
E. According to Rank 103

II. Employment Procedure and Policies 105
A. Management Prerogatives 105
B. Pre-Employment Procedures 106
C. Employment Contracts 111
D. Initial Rank 112
E. Grant of Faculty Tenure 114
F. Change of Personnel Status from Academic to Non-Academic Personnel 115
G. Transfer from one Academic Level to Another 116
H. Change in Employment Status from Full-time to Part-time Academic Teaching Personnel 117
I. Change in Employment Status from Part-time Partial Load to Full Load Academic Teaching Personnel 118

Chapter Four
PROFESSIONAL AND SOCIAL RESPONSIBILITIES
OF ACADEMIC PERSONNEL

I. Professional Responsibilities 119
A. Professional and Christian Spirit 119
B. Professional Excellence, Innovation and Communion..... 120
C. Professional Growth and Leadership 121

II. Social-Professional Relationships 122
A. Academic Personnel - Administration Relationship..... 122
B. Academic Personnel - Peer Relationship 124
C. Academic Personnel - Students Relationship 126
D. Academic Personnel – Parents Relationship 127
E. Academic Personnel – Community Relationship 128

III. Other Professional Responsibilities 129
A. Academic Personnel and the University Learning Resource Center 129
B. Organizational Advisorship 131
C. Academic Freedom 131

IV. Specific Duties and Responsibilities 132
A. Attendance and Punctuality 132
B. Academic Responsibilities 137
C. Professional and Ethical Responsibilities 138
D. Property Accountability 138
E. Proper Grooming and Attire 139
F. Trustworthiness/Confidentiality of University Information 140
G. Consideration of Others and Concern for Safety 140
H. Good Housekeeping 141
I. Honesty 141
J. Privacy of Offices 142
K. Transacting Business in University Premises 142
L. Overtime and Off-set Work Day 142

Chapter Five
INSTRUCTIONAL POLICIES

I. Teaching Assignments 143
A. General Guidelines on Teaching Loads 143
B. Load for Academic Teaching Personnel 143
C. Administrative and Academic Officers 145
D. Department Heads, GPC Department Heads, Academic Coordinators, Research and Community Development and Advocacy Coordinators..... 149
E. Priority in Assigning Loads 151
F. Teaching Load in the Midterm Term..... 152
G. Remuneration for Graduate and Post-Baccalaureate Teaching Load 153

II. Instructional Management 153
A. Classroom Management 153
B. Shepherding 154
C. Student Discipline 155
D. Classroom Teaching 156
E. Assignments and Other Requirements 160
F. Instructional Materials 161
G. Policies and Procedures on Examinations, Attendance and Grading Systems 162
1. Grading Terms and Examinations 162
2. Criterion Referenced Grading 163
3. Duration and Schedule of Examinations 167
4. Approval and Printing of Examinations 168
5. Test Booklets 168
6. Examination Permit 169
7. Special Examination and Exemptions from Examinations 170
8. Supervision during Tests 170
9. Checking of Test Papers 171
10. Shepherding of Students-at-Risk Based on Term-Grades 171
11. Grading Sheets 171
12. Incomplete Mark 172
13. Completion Form 174
14. Grading Provisions in the Course Syllabus 175
15. Other Grading Considerations 175
16. Class Record 176
17. Recomputation of Grades 177
18. Rectification of Grades 177
19. Changing and Dropping of Subjects 177
H. Student Attendance 178
I. Academic Supervision 180
J. Schedule of Events and Suspension of Classes 182

Chapter Six
EVALUATION, PROMOTION AND ACCELERATION
OF ACADEMIC PERSONNEL

I. Evaluation of Academic Personnel 184
II. Recognition for Exemplary Performance 193
III. Promotion in Rank 194
IV. Acceleration in Rank and Salary Adjustment 195

Chapter Seven
FACULTY DEVELOPMENT PROGRAM

I. Objectives of Faculty Development Program 198
II. Components of the Faculty Development Program..... 198
III. Formal Professional Advancement..... 199
IV. Other Professional Advancement 209
V. In-Campus Personnel Development Activities 213

Chapter Eight
REMUNERATIONS AND BENEFITS

I. Rules Pertaining to Salaries 218

II. Legal Benefits 220
A. Social Security System Benefits 220
B. Paternity Leave 223
C. National Health Insurance Program Benefits 223
D. Home Development and Mutual Fund Benefit 223
E. The 13th Month Pay 224
F. Service Incentive Leave 225
G. Solo Parent Leave 225
H. Special Benefit for Women 228
I. Paid Holidays 229

III. Benefits Granted by Management 229
A. Sick Leave 229
B. Additional Service Incentive Leave 229
C. Longevity Pay/Loyalty Awards 231
D. Midyear Pay 233
E. Rice Allowance 233
F. Uniform Allowance 234
G. Leave of Absence Without Pay 234
H. Medical and Dental Benefits 235
I. Insurance Protection 236
J. Birthday Leave and Birthday Cash Gift 236
K. Bereavement Leave 237
L. Study Grant for Academic Personnel 238
M. Study Grant for Personnel Dependents 238
N. Substitution Pay 239
O. Access to University Services 239
P. Loans 240
Q. Field Trips 240
R. Christmas Break 241
S. Semestral Break 241
T. Holy Week Break 242
U. Sabbatical Leave with Pay 242
V. Resignation Benefit 243
W. Retirement Benefit 244
X. Funeral Benefit 244

Chapter Nine
ADMINISTRATIVE DISCIPLINE AND
GRIEVANCE PROCESSING MECHANISMS

I. Administrative Discipline 245
A. Discipline 245
B. Decorum 245

II. Institutional Grievance Processing Mechanisms 246
A. Purpose 246

B. Grievance Procedure 247

Chapter Ten

SEPARATION FROM EMPLOYMENT

I. Expiration of Contract..... 249
II. Resignation..... 249
III. Abandonment..... 251
IV. Dismissal/Termination for Cause..... 252
V. Permanent Disability 254
VI. Retirement 255

Appendices

Annex A SMU Retirement Plan 257
Annex B Code of Proper Conduct for SMU Personnel 273
Annex C SMU Anti-Sexual Harassment Policy and Implementing Guidelines..... 317
Annex D SMU Confidential Information Non-Disclosure Policy 343

Chapter One

VISION AND ORIENTATION OF SAINT MARY'S UNIVERSITY OF BAYOMBONG

Saint Mary's University of Bayombong, as a Catholic and Missionary institution of learning, draws its vision and orientation from pertinent provisions of the 1987 Philippine Constitution, the educational goals expressed in the "Education Act of 1982" and allied laws, the philosophy of the Commission on Higher Education as embodied in the Manual of Regulations for Private Higher Education (MORPHE) of 2008 and of the Legal Education Board, the declaration on Christian Education (*Gravissimum Educationis* by the Second Vatican Council), the Apostolic Constitution on Catholic Universities *Ex Corde Ecclesiae* ("Born from the Heart of the Church"), and the vision-mission and directives on the educational apostolate of the Congregation of the Immaculate Heart of Mary (CICM).

I. VISION, MISSION AND OBJECTIVES

A. VISION: Saint Mary's University is a premier CICM Catholic educational institution drawn into **communion** by the Wisdom of God, dedicated to the integral formation of persons exemplifying **excellence**, **innovation**, and **passion for Christ's mission**.

B. MISSION AND OBJECTIVES: SMU carries on the mission of integral human development by:

1. Joyfully witnessing to Christ's mission.
    a. To gather the members of the SMU community in meaningful celebrations of life and faith church liturgies, sacraments, Marian devotions and other prayer activities. (**Faith Celebration**)

b. To joyfully witness to the Christian faith by reaching out to the needy and marginalized members of the immediate communities through works of charity and development. (**Faith Action**)
c. To deepen faith understanding of the members of the SMU community through the Christian Faith Education, retreats, and recollections. (**Faith Formation**)
d. To animate the members of the SMU community to participate in the Mission of the Church through vocation responses, as missionaries, priests, consecrated persons, or lay ministers, and through material or financial contributions. (**Faith Response**)
e. To build the SMU community as a strong participative Catholic community by forming and strengthening small religious organizations under the direction of the Office of the Vice President for Mission & Identity and Center for Christian Formation. (**Faith Community**)

2. Responsibly taking the lead and participating in community-building.
   a. To provide opportunities for leading and being actively involved in building vibrant Christian communities. (**Community Extension Services**)
   b. To provide occasions for initiating and taking part in promoting CICM and social advocacies. (**CICM and Social Advocacies**)
   c. To instill in the individual, faith and pride in the national culture and respect for other cultures. (**CICM and Social Advocacies**)
   d. To develop in the individual, responsible citizenship and leadership skills. (**Responsible Citizenship and Leadership**)

3. Relentlessly manifesting academic, personal and professional excellence (Excellence)
    a. To develop and support the faculty and staff in their pursuit of holistic growth as persons, learners, and scholars in their field of specialization. (**Faculty and Staff Development**)
    b. To provide opportunities for the continuous development in all student's desirable values and character traits by providing avenues for learning, relearning, and unlearning experiences aimed at facilitating and ensuring the formation of good character. (**Good Character Formation**)
    c. To provide opportunities that enhances the students' well-being. (**Students' Development Program and Students' Welfare Program**)

4. Conscientiously strengthening communion
    a. To help managers develop their full potential and capacity and to exercise leadership responsibilities, as well as train and prepare other employees to assume higher levels of responsibility at a later stage. (**Executive Management Development**)
    b. To create an environment of increased openness of communications, increased level of trust and support among organization members, and increased personnel enthusiasm and satisfaction. (**Organizational Development**)
    c. To ensure a culture of transparency, accountability, self and group responsibility in planning and implementing, and responsiveness through policies and procedures and other mechanisms. (**Good Governance**)
    d. To ensure that managers assigned to lead the units can generate high levels of commitment from followers through the exercise of fair, just and equitable treatment of employees and students, and a management style focused on policies that work for the good of the organization. (**Stewardship and Shepherding**)

5. Steadfastly nurturing creativity and physical prowess.
   a. To provide opportunities for the enhancement of creativity in the literary, visual, performing arts and sports. **(Students' Development Program)**

II. SPECIFIC OBJECTIVES

A. SCHOOL OF ACCOUNTANCY AND BUSINESS

The School of Accountancy and Business is envisioned as a globally competitive learning center in accountancy and business that fosters productivity through nurturing personal and professional growth. It aims to provide a learning environment that fully prepares its students for careers as accountants, business professionals and entrepreneurs who will serve as catalysts in the sustainable development of local and global academic, professional and business communities.

Specific Objectives:

1. To provide students with a broad-based general education, which will assist them in developing their intellectual, interpersonal, and communication skills that are critical to lifelong learning;
2. To provide a foundation of professional knowledge, skills and values, ethics and attitudes that enable them to relate to the realities of the business world;
3. To produce graduates immediately employable and/or engage in their entrepreneurship or self-employment capable of making positive contribution over their lifetimes to the profession and society in which they work;
4. To provide students with opportunities that will maximize their potentials through local and global linkages; and

5. To prepare Accountancy students for the CPA licensure examinations and for employment in public sector (government agencies) and private establishments.

B. SCHOOL OF TEACHER EDUCATION AND HUMANITIES

The School of Teacher Education and Humanities is envisioned to be a regional, national, and international leader in the inter-disciplinary fields of teacher education and humanities through excellent and competitive teaching and learning underpinned by innovative research in forming deeply rooted Christ-centered professionals within a dynamic, collaborative, and culturally inclusive community of learners living the Marian core values in union with the missionary call of the Church serving as an exemplar in higher education institutions and in community servanthood.

Specific Objectives:

1. To provide our students with quality general education courses geared toward their integral formation as human persons, scientifically well-informed, environmentally-committed, socio-culturally-engaged, gender-sensitive, communicatively-competent and responsible citizens and members of the Christian community;
2. To equip the students with the necessary proper skills and values to achieve self-reliance, self-determination, and economic security in order to become effective instruments of national prosperity;
3. To enhance and intensify their academic training in local and international community engagements as members and leaders in various disciplines to become innovative, creative, resourceful and socially responsible agents of change and bulwark of truth and justice;
4. To form our students with value-laden personal and social traits that will deepen their compassionate

concern and active involvement in national and international issues;

5. To develop their knowledge and informed understanding about their significant roles in the local and global communities based primarily on the Gospel values, diverse cultural, historical, and philosophical worldviews;
6. To emphasize their sensitivity to the needs of communities through their fundamental virtues such as prudence, justice, fortitude, and temperance as well as their patriotism, adherence to the democratic principles of equality, freedom and respect for human rights, and integrity of creation grounded on the supremacy of love; and
7. To form in our graduates the desire for continual professional growth, exude dynamic leadership, and pursue relevant and innovative research endeavors.

C. SCHOOL OF ENGINEERING, ARCHITECTURE AND INFORMATION TECHNOLOGY

The School of Engineering, Architecture and Information Technology is envisioned as a leading institution in providing education and training for the formation of excellent, innovative and globally competitive engineers, architects, and information technology and library science professionals who are in constant communion with others, imbued with the values of honesty, integrity and the passion for Christ's mission. It aims to educate engineers, architects, information technology and library science professionals in harnessing natural resources and creating utilities and improvements for the sustainable growth and development of human institutions, culture, and civilization.

Specific Objectives:

1. To provide holistic education to engineering, architecture, and information technology and library science students in the full development of their personality;
2. To prepare students to be engineers, architects, information technology and library science professionals who possess adequate academic literacy; equipped with the technical experience and skills to enable them to contribute significantly to the country's technological advancement and economic development;
3. To lay the foundation for the active participation of future engineers, architects, information technology and library science professionals in the implementation of infrastructure and information technology projects; and
4. To instill in the students Christian values and principles to guide them in the ethical practice of their professions.

D. SCHOOL OF HEALTH SCIENCES AND NATURAL SCIENCES

The School of Health and Natural Sciences is envisioned as a leading health care educational institution in the region that produces globally competent healthcare professionals, and a science resource center that will develop excellent and innovative Christian Science experts who can transform lives through its mission. It strives to provide quality healthcare and science education relevant to the needs of the local, national and global communities.

Specific Objectives:

1. To prepare persons for the humane and effective practice of healthcare in various settings by proper understanding of the principles and methods of modern scientific health services;

2. To provide the students with the broadest possible background of cultural and professional knowledge thus equipping them with the discipline and skills needed;
3. To provide enough opportunities for active involvement in various programs in the healthcare system and natural sciences for actual practice in real situations and field work;
4. To prepare professionals who can conduct significant researches in the field of healthcare and natural sciences;
5. To prepare professionals who may enroll for further studies in Medicine and other allied health science degree programs; and
6. To inculcate Christian values necessary for the students to live a wholesome and productive life as professionals and as individuals.

E. COLLEGE OF LAW

The College of Law is envisioned as a top school for the professional development of lawyers, who are drawn to communion in the wisdom of God and who are exemplifying excellence, innovation, and passion for Christ's mission.

Specific Objectives:

1. To prepare the students for future legal practice so that they can render excellent legal services that respond to the needs of the modern community;
2. To inculcate among law students law reform advocacies with particular focus on human rights, environmental protection, social reform and gender sensitivity;
3. To train students to be involved in academic legal research so that through their knowledge and expertise they can address burgeoning legal trepidations in the society;
4. To produce lawyers who are highly capable and ethically principled, with genuine concern for the poor and the marginalized; and

5. To prepare students as national and international leaders in the public or private sector with a missionary heart who exemplify Christian values and who advocate justice, freedom, peace and equality.

F. SCHOOL OF GRADUATE STUDIES

The School of Graduate Studies is envisioned as a caring and dynamic center of professional service and development committed to nurturing professionals exemplifying excellence, innovation and passion for Christ's mission. The school dedicates itself to vigorously guide professionals in the utmost development of their potentials for local and global relevance and responsiveness; passionately empower professionals with values, attitudes and insights for an effective and productive practice of their profession, and for becoming community-supportive individuals; and continuously challenge professionals to explore and pursue relevant, innovative and breakthrough ideas through research and development.

Specific Objectives:

1. To develop effective, responsible and authentic Christian professional leaders in education, government, business, industry, health system, information technology, engineering and other fields for the achievement of regional and national goals;
2. To develop in the students a high degree of competence in their chosen fields of specialization as committed professionals;
3. To develop competence in all aspects of research directed to planning and development including special interest in the preservation, transmission, and enrichment of our cultural heritage, especially in Northern Luzon;
4. To sharpen skills of critical and reflective thinking, inquiry and analysis;

5. To foster awareness of the environmental, social, economic, cultural, political situations and problems prevailing in the communities of the region, the country and the world – through social analysis – and involvement in solving these problems in meaningful projects as responsible Christian citizens;
6. To orient the students with the scientific and technological situations in the communities and in the process, clarify problems and issues which will eventually aid in the solution of the same; and
7. To disseminate the research results for appropriate utilization.

Chapter Two

ORGANIZATION OF SAINT MARY'S UNIVERSITY OF BAYOMBONG

Saint Mary's University of Bayombong is a Catholic institution of learning which is administered by the CICM Missionaries. It is a non-stock, non-profit educational corporation duly registered with the Securities and Exchange Commission. Its Articles of Incorporation was registered on 12 October 1948 while its By-laws was filed on 26 October 1948. From its humble beginning as Saint Mary's School in 1928, Saint Mary's High School in 1934 and Saint Mary's College in 1947, it was elevated into a University on 5 January 1994.

I. GOVERNING BOARDS

A. THE CICM PROVINCIAL GOVERNMENT

The CICM Provincial Government was directly responsible in the founding of Saint Mary's University of Bayombong and other CICM educational institutions because it considers the educational apostolate an integral part of its missionary presence. It wishes the educational apostolate to function as an integral part of its pastoral activity in a locality. It treats the CICM educational institutions on the same level as other forms of apostolate, and makes sure that these institutions are committed to the CICM vision. Its functions pertaining to the management of Saint Mary's University of Bayombong include the following:

1. Issues guidelines to the Board of Trustees for the educational apostolate of the CICM educational institutions through the Provincial Committee on Education;
2. Presents CICM candidates for different positions in the University and withdraws them from their employment

therein;

B. THE BOARD OF TRUSTEES

1. REFERENCE

a. **Composition**: Pursuant to applicable laws, rules and regulations and in accordance with its Articles of Incorporation and By-laws, the corporate powers of Saint Mary's University of Bayombong are vested in and exercised by the Board of Trustees, which consists of 10 religious and lay members.
b. **Qualifications**: Every member of the Board is required to possess at least a bachelor's degree and have utmost integrity who are well-respected in their profession/vocation. Members of the CICM shall at all times constitute majority of the total membership of the Board of Trustees.

2. FUNCTIONS AND RESPONSIBILITIES

a. reviews and approves policies pertaining to major administrative and organizational changes within the University, such as, but not limited to, the opening of new colleges and offering of new academic programs, or the closing of existing colleges and academic programs; the appointment of major officials and the establishment of new offices and services, among others;
b. considers long range plans for the improvement of the academic programs, teaching and research activities, spiritual welfare of the students, the faculty development programs, expansion and development of the physical plant and facilities of the University;
c. approves the annual budget of the University;
d. approves loans to be obtained by the University;
e. determines policies of investment and regulates policies on income and on salaries;
f. confirms the financial privileges and benefits for

employees;

g. receives the reports on external, objective and disinterested audit and review of the total operation of the University;
h. approves the purchase of, or hold, mortgage or sale of real estate properties, and other investments;
i. relates the University with the community in accordance with its basic objectives, vision and orientation;
j. approves affiliations with sister corporations and consortia;
k. grants extraordinary powers to the University President in case of emergency;
l. appoints an Acting President in case of vacancy before a University President is officially appointed;
m. recommends to the Commission on Higher Education (CHED) the conferment of honorary degrees to persons who distinguished themselves in their respective fields;
n. grants the title "Emeritus" to faculty members and administrators who have reached the retirement age;
o. serves as the body of last appeal involving administrative cases and/or conflicts that may have been handled by administrative office/bodies of the University; and
p. discharges such other functions, powers, and duties as may be assigned by law, or corporate by-laws to the Board, or as are inherent in the Board of Trustees of an educational institution.

II. UNIVERSITY OFFICERS

A. UNIVERSITY PRESIDENT. The University President is the chief executive/ administrator of Saint Mary's University.

1. **REFERENCE**
   a. **Appointment**: He/She is elected by the Board of Trustees from their own members for a term determined by it or as provided below for a non-CICM member.
   b. **Qualifications**: The University President must:
      i. possess at least a master's degree or a professional license requiring at least a bachelor's degree. A doctoral degree holder is, however, preferred;
      ii. have managerial competence or have a background of demonstrated service and competence in his/her previous field or endeavor, and
      iii. be of good moral character.
   c. **Term of Office**: The term of office is three years for the initial appointment. This initial appointment may be renewed for a term of five years for the successive appointments, provided that such appointments shall not be beyond 60 years old, unless the Board of Trustees extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES**
   a. The University President shall discharge the following duties and responsibilities:
      i. maintains and promotes the highest standards of academic excellence;
      ii. leads in setting institutional goals in partnership with the Board of Trustees, employees, students, and the local, national, and international communities and monitors the implementation of the Development Plan of the University;
      iii. works with the University and the community in creating an environment that encourages

learning for both employees and students. The University President is the liaison officer between the employees and students of the University on one hand, and the Board of Trustees on the other;

iv. maintains and promotes good and satisfactory public relations with the local, national, and international communities and partners;

v. spearheads soliciting financial resources for the physical development, faculty and staff development, student scholarships, research and extension activities of the University that will promote the best learning atmosphere and facilities;

vi. continues to develop the Saint Mary's University Scholarship and Development Foundation, which is a separate corporation intended to assist in the further development of the University through scholarships, development grants and other student support services;

vii. creates institutes, centers, boards, councils and committees, as he may deem necessary, in order to promote the goals of the University. He/She appoints the officers and members of such bodies and defines their duties and responsibilities;

viii. approves the hiring and initial rank or step of new personnel;

ix. appoints in consultation with the Advisory Board, University officers wherein Vice Presidents are subject to the approval, and Middle Managers and other institutional officers are subject to the confirmation of the Board of Trustees;

x. approves the promotion or retention, and

renewal or non-renewal of contracts of academic and non-academic personnel;

xi. appoints the "Acting President" when he/she is absent for more than two weeks;

xii. approves off-campus activities and suspension of classes;

xiii. exercises general supervisory powers over the financial and physical operations of the University. He/She approves, for submission to the Board of Trustees, the budget submitted by the Vice President for Finance and Treasurer;

xiv. approves all financial transactions amounting to Php50,000.00 and above with the recommendation of the Vice President for Finance and Treasurer;

xv. recommends capital expenditure projects and major investments to the Board of Trustees for approval after consultation with the Advisory Board;

xvi. presents an annual report on the overall operations of the University and furnishes a copy thereof to the Board of Trustees and members of the Corporation; and

xvii. supervises the Institutional Development and Quality Assurance Office (IDQAO), University Research Center (URC), Physical Plant and Properties, Development and Maintenance Office (PPPDMO), Promotions, External Relations and Internationalization Office (PERIO) and University Research Ethics Office (UREO).

b. **Delegation of Powers**. The President of the University may delegate some or any of his/her functions to other officers of the University, as he/she deems fit and necessary. In such case, he/she is bound by the decisions and actions of the delegate

which are performed within the bounds of his/her authority and in accordance with policies, rules and regulations of the University.

c. **Emergency Powers**. The President may be vested by the Board of Trustees with the emergency power to act and decide for and on behalf of the Board on important and urgent matters which in his/her sound discretion require immediate action. If time permits, he/she shall consult with his/her advisers and take such action, as he/she deems necessary. At the earliest opportunity, he/she shall report his/her action to the Board of Trustees and other officers of the University who may be entitled to such information/decision.

B. VICE PRESIDENT FOR MISSION AND IDENTITY

1. REFERENCE

a. **Appointment**: The Vice President for Mission and Identity is appointed by the CICM Philippines Provincial Superior through the SMU Board of Trustees for a term determined by them.

b. **Qualifications**: The Vice President for Mission and Identity must:
   i. possess at least a master's degree or a professional license requiring at least a bachelor's degree;
   ii. have managerial competence or have a background of demonstrated service and competence in his field of endeavor; and
   iii. be of good moral character.

2. FUNCTIONS AND RESPONSIBILITIES

a. he is the Officer-In-Charge during casual absences of the University President;

b. ensures the promotion in living out the CICM Catholic identity and missionary spirituality and activities in the University;

c. assumes the position of the University Chaplain and Director of the Center for Christian Formation (in the absence of other CICM priests who may be assigned);
d. chairs the Student Scholarships, Grants and Awards Committee and takes charge of the recognition for scholars;
e. supervises the Campus Ministry and the Christian Faith Education (CFE) Department, the Lingkod Maria Community Development Advocacy Center (LMCDAC) and the Scholarship Unit.
f. acts as CICM Liaison Officer; and
g. performs other related functions as the University President may assign.

C. VICE PRESIDENT FOR ADMINISTRATION

1. REFERENCE

a. **Appointment:** The University President recommends the appointment of the Vice President for Administration subject to the approval of the Board of Trustees.
b. **Qualifications:** The Vice President for Administration must:
   i. possess at least a master's degree or a professional license requiring at least a bachelor's degree. A doctoral degree holder, is however, preferred;
   ii. have managerial competence or have a background of demonstrated service and competence in his/her field of endeavor; and
   iii. be of good moral character.
c. **Term of Office:** The term of office is one year for the initial appointment. This initial appointment may be renewed for a term of two years on the second appointment. The succeeding appointments shall be for a term of three years each, provided that such appointment shall not be beyond 60 years old, unless

the President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES

a. he/she is the Officer-in-Charge during casual absences of the University President and the Vice President for Mission and Identity;
b. chairs the Committee on Campus Safety and Disaster Preparedness (CCSDP);
c. acts as Data Protection Officer;
d. studies, formulates and recommends policies related to all personnel in consultation with the Human Resources Development Office (HRDO), the Advisory Board, and the offices concerned;
e. oversees matters related to personnel such as staffing, training and development especially for non-academic personnel;
f. represents the University Administration in its relation with the SMU Employees' Union;
g. directs, monitors and evaluates the heads of offices in implementing administrative policies;
h. supervises the Dean of Student Affairs and Services (DSAS), the Director of the Human Resources Development Office (HRDO), the Director of the Center for Information and Communication Technology (CICT), the Head of the Alumni Affairs Office (AAO), and the Head, Safety and Pollution Control Office (SPCO);
i. takes charge of the implementation of the Administrative and Employment Manuals for Academic and Non-academic Personnel, and recommends amendments or supplements thereto as the need arises;
j. studies and formulates policies and programs related to the non-academic affairs of students in consultation with the offices concerned;
k. represents the Administration, together with the Dean of Student Affairs and Services, in its relation to

students and student organizations;

l. takes charge of preparing project papers and feasibility studies on administrative aspect;
m. represents the University in public activities and offices whenever delegated by the University President;
n. determines the general enrolment procedures in consultation with the Enrollment Management Team;
o. signs checks amounting to less than Php50,000.00 in the absence of the Vice President for Finance and Treasurer and checks amounting to more than Php50,000.00 in the absence of the University President and the Vice President for Mission and Identity;
p. takes charge of the use and maintenance of University vehicles and supervises the University drivers;
q. takes charge of the reservation for use of university facilities;
r. supervises the security guards and initiates security and emergency operations in the University;
s. approves requests for overtime endorsed by unit heads and entry in campus during non-working days;
t. approves travel order forms, employee leave forms, car service request forms, and trip tickets;
u. takes charge of administrative convocations and activities such as Administrative Session, *Gawad Maria*, and Foundation Day Celebration;
v. prepares or assists in the preparation of contracts and /or contract renewal with external agencies providing administrative services such as security, janitorial, internet, annual medical check-up and other service providers and submits them to the President for approval and keeps all contracts in the files for safekeeping; and
w. performs other related functions as the University

President may assign.

D. VICE PRESIDENT FOR ACADEMIC AFFAIRS

1. REFERENCE

a. **Appointment:** The University President recommends the appointment of the Vice President for Academic Affairs subject to the approval of the Board of Trustees.

b. **Qualifications:** The Vice President for Academic Affairs must:
   i. be a doctoral degree holder;
   ii. have managerial competence or have a background of demonstrated service and competence in his/her field or endeavor; and
   iii. be of good moral character.

c. **Term of Office:** The term of office is one year for the initial appointment. This initial appointment may be renewed for a term of two years on the second appointment. The succeeding appointments shall be for a term of three years each, provided that such appointment shall not be beyond 60 years old, unless the President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES:

a. he/she is the Officer-in-Charge during casual absences of the President, the Vice President for Mission and Identity and the Vice President for Administration;

b. takes charge of all academic matters including curriculum revisions, grading system, performance evaluation for academic personnel, and improvements of faculty and instruction, among others;

c. supervises the Basic Education Principals, Academic Deans, and Heads of Offices on matters relating to

instruction (e.g. academic supervision, preparation of teachers' load, etc.), faculty development, curriculum, supervision, library facilities and the like;

d. spearheads the preparation of the university school calendar;
e. recommends for approval to the University President the final teaching load and other assignments of the academic personnel;
f. leads in organizing seminars or workshops and coordinates with the Basic Education Principals and Academic Deans on matters relating to faculty in-service training;
g. supervises the University Registrar, the Academic Deans, the Basic Education Principals, the Director of the University Learning Resource Center (ULRC), the Head of the Equivalency and Technical-Vocational Assessment Office (ETVAO) and the NSTP Coordinator;
h. leads the Basic Education Principals and the Academic Deans in the accreditation process;
i. leads the Basic Education Principals and the Academic Deans in implementing government regulations;
j. takes charge of preparing the academic aspect of project papers or feasibility studies, and submits them to the President;
k. takes charge of academic convocations and activities such as commencement exercises, academic session and conferment of honorary degrees;
l. approves off-campus activities which are academic in nature and which are part of the curriculum;
m. endorses to the University President Memorandums of Agreement and Contracts which are academic in nature such as student affiliations, On-the-Job Training, Internships and keeps copies for safekeeping and reference; and
n. performs other related functions as the University

President may assign.

E. VICE PRESIDENT FOR FINANCE AND TREASURER

1. REFERENCE

a. **Appointment:** The President recommends the appointment of the Vice President for Finance and Treasurer subject to the approval of the Board of Trustees.

b. **Qualifications:** The Vice President for Finance and Treasurer must:
   i. possess at least a master's degree or a professional license requiring at least a bachelor's degree; a doctoral degree holder, is however, preferred.
   ii. have managerial competence or have a background of demonstrated service and competence in his/her field of endeavor; and
   iii. be of good moral character.

c. **Term of Office:** The term of office is one year for the initial appointment. This initial appointment may be renewed for a term of two years on the second appointment. The succeeding appointments shall be for a term of three years each, provided that such appointment shall not be beyond 60 years old, unless the President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES

a. he/she is the Officer-in-Charge during casual absences of the President, the Vice President for Mission and Identity, the Vice President for Administration and the Vice President for Academic Affairs;

b. is the chief financial officer of the University and as such, is responsible to the University President;

c. seeks funds to improve and develop the financial

resources of the University, including institutional fund raising or fund sourcing activities;

d. supervises the Chief Accountant, the Assistant Treasurer, the Head Cashier, the Head of Inventory Management Office, and the Head of Publishing and Digital Printing Office;
e. endorses to the University President Memorandums of Agreement and contracts which are related to properties, supplies, equipment and those related to the offices under his/her supervision and keeps copies for safekeeping and reference;
f. signs with the University President all contracts with financial implications, leases, and other documents of major importance as authorized by the Board of Trustees;
g. signs checks with the University President or with the other Board- authorized signatories which are the other Vice Presidents and countersigns and endorses checks, drafts, orders, notes, and other negotiable instruments belonging to the University in accordance with rules set forth by the Board of Trustees;
h. takes charge of all financial transactions such as sales and purchases with prior information and approval of the University President especially for major transactions amounting to Php50,000.00 and above;
i. recommends financial and administrative policies and systems for the efficient and proper utilization of the physical and financial resources of the University. For other financial requests and decisions, the standard operating procedures of the University are followed;
j. ensures that all accounts and records are audited by an independent Certified Public Accountant, and that accurate financial statements and reports are provided to the Board of Trustees, corporation members, standardizing agencies, government

agencies and others that are entitled to receive them;

k. acts as comptroller of operating and capital budget and expenditures under the general supervision of the University President;
l. spearheads the preparation of the budgets by the different units and schedules annual budget hearings with the Advisory Board prior to consolidation and submission to the Board of Trustees for approval;
m. approves and /or endorses for approval purchase request forms, materials requisition, canvass and purchase order forms, and gas slips;
n. spearheads the conduct of consultation meetings with students, parents and other stakeholders for the increase in tuition, miscellaneous and other fees;
o. keeps custody of bank account passbooks and checkbooks, all funds, securities and bonds of the University;
p. monitors various bank deposits and investment accounts; and
q. performs other related functions as may be assigned by the University President.

F. UNIVERSITY CHAPLAIN AND DIRECTOR, CENTER FOR CHRISTIAN FORMATION

1. REFERENCE

a. **Appointment**: The University Chaplain and Director for the Center for Christian Formation is appointed by the CICM-RP Provincial Superior, after consultation with the Local Ordinary and the University President.
b. **Term of Office**: He is appointed for a term of three years, and his term is renewable.

2. FUNCTIONS AND RESPONSIBILITIES: The University Chaplain and Director of Center for Christian Formation is directly responsible to the Vice President for Mission

and Identity and is mandated to perform the following:

a. spearheads and oversees Christian formation activities of all levels of the University;
b. supervises the MI Campus Ministers and Mission and Identity Coordinators;
c. guides the University community in maintaining and strengthening the Catholic identity and its mission of service;
d. leads the MI Campus Ministers and MI Coordinators in liturgical and other religious celebrations and other religious activities such as recollections, retreats, live-in seminars and weekend meetings, in coordination with the Vice President for Mission and Identity and with the Local Church, if needed;
e. is responsible for the supervision of religious organizations in all levels with the assistance of the MI coordinators ;
f. ensures religious and CICM missionary animation to the personnel of the Grade School, High School, College, Juris Doctor and Graduate levels;
g. is in-charge of the pastoral (moral and spiritual) guidance and counseling; and
h. performs other related functions as the Vice President for Mission and Identity may assign.

G. UNIVERSITY REGISTRAR

1. REFERENCE

a. **Appointment**: The University Registrar is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The University Registrar must:
    i. possess at least a master's degree; a doctoral degree holder, is however, preferred.
    ii. have at least three years of training or experience in the servicing and maintenance

of student academic records and related school work, and

iii. be of good moral character

a. **Term of Office**: The term of office is one year for the initial appointment. This initial appointment may be renewed for a term of two years on the second appointment. The succeeding appointments shall be for a term of three years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The University Registrar is directly responsible to the Vice President for Academic Affairs and is mandated to perform the following:

a. enforces government and University regulations regarding students' admissions, submission of requirements, enrolment, crediting, transfer, promotions, subject load and sequence, and graduation in coordination with the Academic Deans and Principals;
b. prepares the school calendar, course bulletins, course catalogues, and other announcements (i.e., enrolment dates, examination dates);
c. consolidates, synchronizes, and finalizes schedule of classes and room assignments for each term prepared by the Academic Deans and the Principals to be approved by the Vice President for Academic Affairs;
d. assists the Academic Deans and the Principals in the revision/update of various curricular programs;
e. disseminates information on new rules and regulations or requirements of curricular programs, i.e., Policies, Standards and Guidelines (PSG) based on Memorandum and Orders from the Commission on Higher Education (CHED), Department of Education

(DepEd) and Legal Education Board (LEB);

f. is the liaison officer with the DepEd, CHED, LEB, the Department of Foreign Affairs (DFA) and the Bureau of Immigration (BI) on matters involving foreign students;
g. prepares and submits periodic reports and statistical data required by the University or by government regulatory agencies;
h. determines students' subject load in accordance with approved curricula;
i. coordinates the preparations for graduation with the Academic Deans, Principals, and other offices concerned;
j. issues certifications, grades, transfer credentials and diplomas, and assumes full responsibility for all documents released by the Office;
k. verifies and authenticates documents released by the Office;
l. receives, processes, dispatches and controls the flow and security of files and students' official transcript of records;
m. oversees the generation, keeping, weeding, and archiving of students' academic records;
n. approves petitions for correction of personal data in school records as indicated in the birth certificate, Alien Certificate of Registration (ACR), or marriage certificate;
o. supervises the registrar's staff including those assigned in the Basic Education; and
p. performs other related duties as may be assigned by the Vice President for Academic Affairs or the President.

H. ACADEMIC DEANS

1. REFERENCE

a. **Appointment**: The Academic Deans are appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications**:

i. The Deans for undergraduate degree programs must be a doctoral degree holder and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree. However, in specific fields where there is dearth of holders of master's degree, a holder of a professional license requiring at least a bachelor's degree may be qualified.

ii. The dean for graduate degree programs must hold an appropriate doctoral degree and has published research works.

iii. The Dean of the College of Law program must be a member of the Bar in good standing and in the practice of law for at least five years.

iv. In addition, the Dean of the Undergraduate and Graduate levels must have at least five years of satisfactory teaching experience and at least two years of satisfactory managerial experience.

v. The academic deans must be of good moral character

b. **Term of office**: The term of office is one year for the initial appointment. This initial appointment may be renewed for a term of two years on the second appointment. The succeeding appointments shall be for a term of three years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Academic Deans are directly responsible to the Vice President for Academic Affairs and are mandated to perform the following:
   a. act as the academic leader and chief operating officer of his/her School
      i. articulate the vision and direction of the School;
      ii. set and work towards targets for educational quality;
      iii. supervise and evaluate the implementation of the School Plan;
      iv. initiate and supervise projects that are pertinent to the vision/mission of the School;
      v. recommend the appointment of a Department Head, Program Coordinator/s and other officials as may be necessary;
      vi. engage members of the School community to participate in Quality Assurance (QA) processes, and in doing so promotes a culture of excellence and a deeper awareness of the organization's direction;
      vii. coordinate with the Vice President for Academic Affairs and University Registrar on the publication of the School's course catalog;
      viii. prepare Bulletin of Information and other promotional materials for the school, in coordination with the Promotions, External Relations and Internationalization Office (PERIO);
      ix. coordinate with the University Registrar on matters relating to student admission, credentials, subject load, subject sequence, curriculum evaluation for eligibility to graduate and other related concerns;
      x. promote a sense of community within the School; and

xi. represent the School within the University.

b. coordinate with Department Heads and Program Coordinators regarding the following:
   i. development, monitoring, review and revision of curricula and other academic programs in accordance with CHED requirements;
   ii. preparation of proposal/feasibility studies for new programs of the School in coordination with the Research Center Director and the Vice Presidents;
   iii. supervision of instruction;
   iv. student advising on program of studies, registration and enrolment, subject loading, changing/dropping of subjects, as well as withdrawal of enrolment; and
   v. conduct of various activities of the faculty and students.
c. oversee research directions of the School
   i. supervise the Research Coordinator/s in the involvement of the School in the University's research activities, such as (1) implementing a sustainable research structure for the School and (2) recommending research grants to the Research and Community Development Council (RCDC);
   ii. ensure a workable research agenda for the School and promote scholarly work and publications.
d. supervise the Community Development and Advocacy Coordinator on community extensions and outreach activities of the School
e. coordinate with the HRDO Director on matters pertaining to human resources, i.e.,
   i. recommendation on hiring, retention, non-renewal, and termination of faculty and staff of the School, both full-time and part-

time/temporary;

ii. advancement of professional growth of the faculty and staff (Faculty and Staff Development Program);

iii. enforcement of discipline among the academic and non-academic personnel of the School;

iv. regular performance appraisal of the academic and non-academic personnel of the School;

v. recommendation on sabbatical and other special leaves of academic and non-academic personnel to the Vice President for Administration; and

vi. endorsement of Professorial Chairs to the Vice President for Academic Affairs who in turn recommends to the Advisory Board the approval of such.

f. coordinate and support the work of the academic and non-academic personnel and students, specific to his/her School

i. coordination with offices concerned (Guidance and Testing Office, Office of the Dean of Student Affairs and Services, Office of the Associate Dean of Student Affairs and Services for Men/Women and Center for Christian Formation) on the provision of the necessary support for academic, social and spiritual growth of students and faculty;

ii. supervision of School's faculty members in the preparation for accreditation

iii. monitoring of School's faculty members in response to the recommendations of the accrediting team; and

iv. coordination with IDQAO and concerned offices for accreditation.

g. spearhead the planning and implementation of the

budget of his/her School such as the

i. coordination with the department heads for their budgets;
ii. preparation and presentation of the School's budget for the school year;
iii. monitoring the utilization of the approved School budget; and
iv. undertaking fund raising for the School, when needed, subject to the approval of the Administration.

h. represent the School in linkages outside the University
   i. representation of the School in external organizations, whenever necessary, subject to the approval of the Administration;
   ii. coordination with the Vice President for Academic Affairs and Head, Promotions, External Relations and Internalization Office (PERIO) on forging and implementing projects on external affairs of the School;
   iii. coordination with the Head of the Alumni Affairs Office on alumni concerns; and
   iv. overseeing the publicity and promotion of School projects essential to SMU's impact and visibility;

i. performs other related tasks as may be assigned by the Vice President for Academic Affairs or the President.

I. DEAN OF STUDENT AFFAIRS AND SERVICES

1. REFERENCE

a. **Appointment**: The Dean of Student Affairs and Services is appointed by the University President subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Dean of Student Affairs and Services must:
   i. possess at least a master's degree. A doctoral

degree holder, is however, preferred;
ii. have at least two years of satisfactory managerial experience; and
iii. be of good moral character.

a. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Dean of Student Affairs and Services is directly responsible to the Vice President for Administration and is mandated to perform the following:

a. is the representative of the Administration to the students and is directly responsible for the coordination and development of the non-academic areas of student life;
b. is the adviser of the Student Central Council and the liaison officer between the Administration and the students. Organizes and supervises the yearly elections of the Student Central Council, attends their meetings and helps in planning and organizing the Student Central Council activities;
c. is the officer-in-charge of all extra-curricular student activities. With this function, the Dean of Student Affairs and Services:
    i. prepares the calendar of extra-curricular school activities;
    ii. coordinates and supervises the various extra-curricular student activities;
    iii. approves or disapproves all notices, posters of extra-curricular activities and supervises the posting of these; and
    iv. suggests and submits for approval to the University President the invitation of

speakers from outside the University for student activities.

e. is the officer-in-charge of student extra-curricular organizations and as such, the Dean of Student Affairs and Services:
    i. keeps files on the approved extra-curricular organizations with their constitution and by-laws, approval, renewal of approval, roster of officers and members, activities and annual report of the organizations;
    ii. receives applications of proposed student organizations and submits his/her recommendation to the University President;
    iii. nominates for confirmation by the University President, the advisers of the student organizations;
    iv. sees to it that the organizations observe their constitution and by-laws.
f. receives from
    i. the ADSAS the list of students not to be accepted or re-admitted for non-academic reasons and provides copies to the University President, Vice Presidents, Academic Deans and University Registrar; and
    ii. the Academic Deans the list of students for non-readmission for academic reasons and provides copies to the University President, Vice Presidents, and the University Registrar.
g. recommends to the Advisory Board the approval of membership fees and collections made for student activities and student organizations;
h. requires the submission of audited financial reports of extra-curricular student organizations;
i. organizes recreational and athletic activities for students in cooperation with the Sports Development Coordinator;
j. updates the Student Handbook and submits

recommendations to the Advisory Board and distributes the Student Handbook to all new students;

k. recommends for approval to the University President the adviser and activities of the Marian Dance Troupe, SMU Choral Society, Artists' Circle and the SMU Band;
l. oversees the publication of "THE MARIAN", the official student publication of Saint Mary's University, and recommends to the University President a faculty-adviser;
m. supervises the Associate Deans of Student Affairs and Services for Men/Women, Head of Guidance and Testing Office, the Head of Cultural Affairs Office,, Sports Development Coordinator, Medical/Dental Clinics Staff and the matron/master of the SMU dormitories;
n. monitors, together with the Associate Dean of Student Affairs and Services for Men/Women, the general living conditions of students in boarding houses and informs landladies/landlords about complaints or deficiencies in their boarding places.
o. performs other related duties as may be assigned by the Vice President for Administration or the President.

J. DIRECTOR, CENTER FOR INFORMATION AND COMMUNICATION TECHNOLOGY

1. REFERENCE

a. **Appointment**: The Director of the Center for Information and Communication and Technology is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Director of Center for Information and Communication Technology must:

i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
ii. have at least two years of satisfactory managerial experience related to Information Technology; and
iii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Director of the Center for Information and Communication Technology is directly responsible to the Vice President for Administration and is mandated to perform the following:

a. supervises the gathering and collation of information systems requirements and analyzes and designs solutions to meet those requirements;
b. prepares information systems and submits to the Vice President for Administration for approval;
c. supervises the implementation, maintenance and administration of approved information systems proposals;
d. prepares and updates user's manuals and technical manuals of information systems developed in-house and submits a copy to the Vice President for Administration;
e. supervises the training of users to effectively use computerized/automated information systems;
f. provides the Inventory Management Office (IMO) and Vice President for Administration (VPA) an annual inventory of the University's ICT resources;

g. identifies required ICT resources of the University, and recommends selection and procurement of new equipment;
h. is responsible for the administration, maintenance and upgrade of the University's ICT resources;
i. monitors the adequacy and update/renewal of software licenses;
j. supervises the effective, efficient, secure and safe storage, retrieval, customization and archiving and backup of data;
k. formulates and presents policies and procedures relative to the University's information systems for approval by the Vice President for Administration;
l. provides ICT support for the University's online and distance learning requirements;
m. supervises the Computer and Electronics Technical Services Office (CETSO), MIS, SMUNET and Internet sections; and
n. performs other related tasks as may be assigned by the Vice President for Administration or University President.

K. DIRECTOR, CENTER FOR NATURAL SCIENCES

1. REFERENCE

a. **Appointment**: The Director of the Center for Natural Sciences is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Director of the Center for Natural Sciences must:
    i. possess a doctoral degree aligned to any of the programs of the center~~;~~
    ii. have at least two years of satisfactory managerial experience; and
    iii. be of good moral character.
c. **Term of Office**: The term of office is one year for

the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Director of the Center for the Natural Sciences is directly responsible to the Dean of School of Health and Natural Sciences and is mandated to perform the following:
   a. performs the functions and responsibilities of Academic Department Head in the Natural Sciences;
   b. develops and manages the science academic programs at all levels in consultation with the Academic Deans and Basic Education Principals;
   c. supervises the operation of the science laboratories and extends laboratory and other technical assistance to the different schools and departments of the University, schools outside SMU, government and non-government agencies, among others in the conduct of basic and applied researches in the fields of natural sciences;
   d. initiates and monitors the conduct of basic and applied researches of the Center in coordination with the University Research Center;
   e. seeks funding from government and non-government agencies, among others, in the conduct of basic and applied researches in the fields of natural sciences with the approval of the University President and in coordination with the Vice President for Finance and Treasurer;
   f. recommends to the Dean the CNS academic and the non-academic personnel for further studies and for attendance to trainings, workshops, conferences, etc.;
   g. initiates science seminars and workshops for the up-skilling of the academic, non-academic personnel and students of the University;
   h. initiates the acquisition of resource materials,

equipment and services pertinent to the Center and sees that such are organized and maintained; and

i. performs other related functions that the Dean of the School of Health and Natural Sciences, the Vice President for Academic Affairs and the University President may assign.

L. DIRECTOR, HUMAN RESOURCES DEVELOPMENT OFFICE

1. REFERENCE

a. **Appointment**: The Director of the Human Resources Development Office is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Director of the Human Resources Development Office must:

i. possess at least a master's degree. A doctoral degree holder, is however, preferred;

ii. have at least two years of satisfactory managerial experience;

iii. knowledgeable on labor laws, standards and labor relations; and

iv. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES:

The Director of the Human Resource Development Office is directly responsible to the Vice President for Administration and is mandated to perform the following:

a. Recruitment, Selection and Hiring.

i. receives all requests for manpower needs (including working students and student

assistants) and ensures that accurate job descriptions and job specifications are in place;
ii. prepares and posts recruitment materials using various media ;
iii. receives application documents to be submitted to the University President for initial screening;
iv. subjects the shortlisted applicants to the selection procedure in coordination with the Dean, Principal, or Heads of Offices concerned and submits final hiring recommendation to the President for approval;
v. communicates the University President's decision to the job applicants;
vi. gives general orientation to newly hired employees.
vii. prepares employment contracts and issues notices relative thereto;
viii. proposes to the PSRTC initial ranking of employees; and
ix. keeps complete records and regularly updates the Human Resource Information System (HRIS) database of employees.

b. Retention
i. endorses to the Treasury and Accounting Office matters related to personnel benefits;
ii. designs and implements a holistic academic and non-academic personnel development program to create a dynamic and highly motivated human resource;
iii. monitors the implementation of the faculty and staff development program;
iv. develops and implements a performance evaluation system and personnel management policies and procedures in coordination with the Vice President for Academic Affairs for academic personnel and the Vice President for Administration for non-academic personnel;

v. prepares the annual comprehensive appraisal of employees based on the reports submitted by Deans, Principals and Heads of Offices and submitting these to the PSRTC for appropriate action;
vi. proposes to the PSRTC rank adjustments/accelerations due to additional qualifications or appointments;
vii. prepares HR documents based on approved requests of employees, regulatory and accrediting agencies;
viii. assists in explaining or answering queries related to interpretation of employment policies and procedures for clarification and guidance;
ix. provides basic counseling to employees who have work-related concerns/difficulties.

c. Separation
   i. assists resigning and retiring employees on document preparation;
   ii. conducts exit interview and submits to the VP for Administration regular reports of reasons for employee separation; and
d. Performs other related duties that the Vice President for Administration or the University President may assign.

M. DIRECTOR, INSTITUTIONAL DEVELOPMENT AND QUALITY ASSURANCE OFFICE

1. REFERENCE

a. **Appointment**: The Director of the Institutional Development and Quality Assurance Office is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Director of the Institutional Development and Quality Assurance Office must:

i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
ii. have at least two years of satisfactory managerial experience; and
iii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Director of the Institutional Development and Quality Assurance Office is directly responsible to the University President but will be reporting and coordinating with the four Vice Presidents, and is mandated to perform the following:
   a. spearheads the conduct of the institutional strategic and annual planning sessions and management review sessions;
   b. monitors and makes corresponding reports to the University President on the implementation of the development and action plans, including Quality Assurance (QA) systems and procedures of the University;
   c. serves as the Quality Management Representative (QMR);
   d. recommends to the Extended Advisory Board benchmarking activities to establish institutional standards;
   e. assists the Academic Deans, the Principals and the Vice President for Academic Affairs in the preparation, collection and evaluation of reports required by regulatory, certification and accrediting agencies;
   f. maintains complete and updated reports on the performance of the different academic departments

in the different key result areas that correspond with the standards set by regulatory, certification and accrediting agencies;

g. assists the Vice President for Academic Affairs in monitoring the implementation of the recommendations/memorandum orders of regulatory, certification and accrediting agencies;
h. consolidates documents for program accreditation and Institutional Sustainability Assessment (ISA) and gives recommendations for appropriate action;
i. discusses with the Vice President for Academic Affairs and with the concerned Academic Deans and the Principals the result of the evaluation by regulatory, certification and accrediting agencies; and
j. performs other related functions as the University President may assign.

N. DIRECTOR, LINGKOD MARIA COMMUNITY DEVELOPMENT AND ADVOCACY CENTER

1. REFERENCE

a. **Appointment**: The Director of the Lingkod Maria Community Development and Advocacy Center is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Director of the Lingkod Maria Community Development and Advocacy Center must:
    i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
    ii. have at least two years of satisfactory managerial experience; and
    iii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President

extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES**: The Director of the Lingkod Maria Community and Advocacy Center is directly responsible to the Vice President for Mission and Identity and is mandated to perform the following:

   a. provides and manages a sustainable and comprehensive community extension services program for the University;
   b. reviews and recommends to the Vice President for Mission and Identity the approval of all extension and outreach activities which are not included in the program, including the programming, implementation, monitoring and evaluation of said projects/activities;
   c. submits a quarterly evaluation report on the community extension programs to the Vice President for Mission and Identity;
   d. prepares a realistic annual budget for the different community extension services;
   e. requests financial and technical support from external sources with the approval of the Vice President for Mission and Identity and in coordination with the Vice President for Finance and Treasurer;
   f. represents the University in meetings/conferences on social development concerns;
   g. evaluates all extension and outreach activities rendered by the academic and non-academic personnel in consultation with the Academic Deans, the Principals and the Heads of Offices;
   h. recommends research work/projects pertinent to community extension development program;
   i. reviews and evaluates the community extension services outputs of students and endorses approval

of clearance to the Academic Dean;

j. spearheads the activities on Clean, Healthy, Safe and Friendly (CHSF) Environment Program;
k. maintains an Indigenous Peoples Desk manned by a focal person who:
    i. develops strategic partnerships and agreements with government agencies, indigenous people (IP) organizations and the non-government sector in the implementation of the unit's goals and objectives.
    ii. works closely with government and non-government agencies and leads negotiations to ensure that the needs and priorities of IPs are progressively met through appropriate program design, delivery strategies and resource allocation;
    iii. consults and advises the Vice President for Mission and Identity on the activities and issues regarding the preservation, promotion, and protection of IP culture in the university;
    iv. initiates strategies and projects to improve access and coordination of services provided to IPs;
    v. spearheads, coordinates and assists in organizing training/s for IPs; and
    vi. works with the Research Center on IP researches.
l. performs other related functions as may be assigned by the Vice President for Mission and Identity or the University President.

O. DIRECTOR, PHYSICAL PLANT AND PROPERTIES DEVELOPMENT AND MAINTENANCE OFFICE

1. REFERENCE

a. **Appointment**: The Director of the Physical Plant and

Properties Development and Maintenance Office (PPPDMO) is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Director of the Physical Plant and Properties Development and Maintenance Office (PPPDMO) must:
   i. be a registered Civil or Electrical Engineer or Architect. But in case there is a dearth of candidates, a person with training or experience in safety, pollution control, or Hazard Identification, Risk Assessment, and Control measures (HIRAC) may be considered as head with the support of a technical consultant.
   ii. have at least two years industry experience; and
   iii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Director of Physical Plant and Properties Development and Maintenance Office is directly responsible to the University President and is mandated to perform the following:
   a. is responsible for the supervision of housekeeping and upkeep of physical plant and facilities, including the regular inspection, planning, repair, maintenance and remodeling if needed, of property, plant and equipment;
   b. develops and implements the preventive maintenance program for all University properties, plants and equipment;
   c. is responsible for regularly inspecting, identifying

and correcting defects in all buildings and structures;

d. takes charge of planning, developing and monitoring of the real properties of the University;
e. supervises and evaluates the performance of contractors; conducts periodic inspections, monitors and certifies that contracted jobs are performed in accordance with the contract specifications. He/She may be held accountable for his/her certification if the project is found to be wanting of the expected output;
f. evaluates the need for training programs and arranges training schedules or conducts training to upgrade PPPDMO workers' skills;
g. acts on approved requests for major and minor repairs, renovations, improvements in offices, buildings or properties of the University;
h. seeks professional opinions of other experts regarding physical plant concerns when needed;
i. supervises, assists and coordinates preparation of facilities needed for University activities;
j. submits the required monthly/quarterly reports on accomplished projects to the University President;
k. keeps a copy of campus layouts, lot plans, building plans, electrical plans, certificate of occupancy, updated fire and safety maintenance reports and other related documents of all University properties;
l. oversees the General Services Supervisor;
m. obtains Construction Occupational Safety and Health (COSH 2) or BOSH 2 certification; and
n. Performs other related tasks that may be assigned by the University President.

P. DIRECTOR, UNIVERSITY LEARNING RESOURCE CENTER

1. REFERENCE

a. **Appointment**: The Director of the University Learning Resource Center is appointed by the

University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Director of the University Learning Resource Center must:
   i. be a Registered Librarian
   ii. possess at least a master's degree. A doctoral degree holder, is however, preferred;
   iii. have at least two years of satisfactory managerial experience; and
   iv. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Director of the University Learning Resource Center is directly responsible to the Vice President for Academic Affairs and is mandated to perform the following:

a. formulates, revises and administers general library policies, rules and regulations subject to the approval of the Vice President for Academic Affairs;
b. supervises the organization of all learning resources, the efficient and effective use of the library resources, facilities, and services and the maintenance of local databases for speedy access, retrieval or delivery of information in coordination with the Director of the CICT;
c. plans for the development of existing facilities and new library facilities;
d. spearheads the development and updating of the library collections in coordination with the Academic Deans and the Principals and recommends the purchases of library materials to the Vice President

for Academic Affairs;

e. conducts an annual inventory of the ULRC collection and submits a report of the same to the Vice President for Academic Affairs;
f. represents the University in library conferences and professional associations;
g. determines the need for, and recommends the acquisition/upgrade of instructional media equipment and production of learning support materials;
h. updates the faculty and staff about available learning support materials and equipment and promotes their effective and efficient use;
i. trains the teachers and staff in the operation of audio-visual and multimedia equipment;
j. conducts research on the utilization of instructional media equipment and learning support materials;
k. provides audio-visual and multimedia equipment with technical assistance during institutional and approved departmental programs/ activities;
l. facilitates the use of the audio-visual rooms;
m. ensures photo and video documentation of institutional activities and maintains a well-organized repository of these documentations for use by other units of the university;
n. plans and holds in-service educational technology development programs for faculty and personnel through workshops, demonstrations, auditions and intra-school visitation;
o. supervises the librarians and staff of the ULRC in all levels; and
p. performs other related functions as may be assigned by the Vice President for Academic Affairs or the University President.

Q. DIRECTOR, UNIVERSITY RESEARCH CENTER

1. REFERENCE

a. **Appointment**: The Director of the University Research Center is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Director of the University Research Center must:
   i. have an earned doctoral degree;
   ii. have at least two years of satisfactory managerial experience;
   iii. have published research in a peer reviewed journal; and
   iv. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES:

The Director of the University Research Center is directly responsible to the University President and is mandated to perform the following:

a. formulates and implements, in consultation with all concerned academic offices and subject to approval by higher authorities, a general and comprehensive university research development plan and research agenda as basis for possible research projects of the Research Center;

b. implements approved development plans, general policies, systems, procedures, rules and regulations regarding University research activities;

c. initiates and oversees the conduct of all forms of institutional researches;

d. spearheads the conduct of externally commissioned researches undertaken by the Research Center within its framework;
e. monitors and supervises the different Schools of the University in the preparation of their respective research agenda, animates and encourages all the academic personnel to be involved in research, and coordinates all their research activities within the framework of their respective school/college research agenda;
f. provides the academic personnel and student-researchers technical and consultative assistance in the preparation of their research proposals, actual conduct of their researches, and documentation of such researches;
g. presides over the evaluation committees in the undergraduate and graduate theses/researches of students to screen, together with the research coordinators, the Likha Awardees for final approval;
h. receives all relevant term papers/research papers prepared by students in the undergraduate and graduate classes and eventually prepares them for publication in the University's research journals and other forms of research publications through and with the help of the Academic Deans;
i. seeks external funding and keeps contact with funding agencies and with other research centers or organizations within and outside the country subject to the approval of the University President;
j. submits Report of Faculty Research Evaluation to the HRDO, copy furnished the Deans for verification; and
k. performs other related tasks as may be assigned by the University President.

R. CHIEF ACCOUNTANT

1. REFERENCE

a. **Appointment**: The Chief Accountant is appointed by the University President in consultation with the Advisory Board, subject to confirmation by the Board of Trustees.

b. **Qualifications:** The Chief Accountant must:
   i. be a Certified Public Accountant;
   ii. possess at least a master's degree. A doctoral degree holder, is however, preferred;
   iii. have at least two years of satisfactory managerial experience; and
   iv. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES:

The Chief Accountant is directly responsible to the Vice President for Finance and Treasurer and is mandated to perform the following:

a. ensures that all financial transactions of the University, including the SMU Retirement Plan are properly and correctly recorded in accordance with generally accepted accounting principles, policies and procedures;

b. ensures that all necessary financial reports and statements are prepared and submitted promptly;

c. prepares financial reports and liquidation reports for trust funds and other reports requested by outside agencies;

d. computes personnel salaries and ensures its timely deposit to the personnel's payroll accounts;

e. supervises personnel within the accounting division and coordinates their work with the other divisions under the Vice President for Finance and Treasurer and with

other sectors of the University;

f. computes proposed increase in tuition, laboratory and other fees and proposed increase in salaries and benefits;
g. updates the monthly salary guide whenever increases in salaries is approved;
h. assists in auditing activities by providing necessary information and requested documentations;
i. computes Actual Utilization of Tuition Fee Incremental Proceeds to be submitted to CHED and DepEd;
j. prepares the interim and annual budget performance reports and
k. performs other related tasks as may be assigned by the Vice President for Finance or the President.

S. INTERNAL AUDITOR

1. REFERENCE

a. **Appointment**: The University President recommends the appointment of the Internal Auditor in consultation with the Advisory Board subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Internal Auditor must:
   i. be a Certified Public Accountant;
   ii. possess at least a master's degree. A doctoral degree holder, is however, preferred; and
   iii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES

: The Internal Auditor is responsible to the University President and the Board of Trustees and is mandated to perform the

following:

a. checks the accuracy and reliability of financial records and ascertains compliance with University policies, regulations and procedures and compliance with applicable laws;
b. conducts independent, protective and constructive audits for management to review the effectiveness of operating procedures and internal controls;
c. reviews and evaluates the accounting systems and procedures to determine their efficiency and protective value;
d. reviews records pertaining to physical and financial assets, liabilities, income and expenditures, spot-check the physical existence of assets and conformity with records;
e. analyzes data obtained for observed deficiencies in controls, duplication of efforts, extravagance, frauds, and lack of compliance with established policies and procedures;
f. submits to the University President reports on findings / recommendations for the improvement of operating procedures and the financial condition of the University;
g. recommends systems whenever applicable and forwards the same to concerned authorities for appropriate action; and
h. performs other related tasks as may be assigned by the University President or the Board of Trustees.

T. ASSOCIATE DEAN OF STUDENT AFFAIRS AND SERVICES FOR MEN/WOMEN

1. REFERENCE

a. **Appointment**: The Associate Dean of Student Affairs and Services for Men/Women are appointed by the University President in consultation with the Advisory

Board and subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Associate Deans of Student Affairs and Services for Men/Women must:
   i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
   ii. have at least two years of satisfactory managerial experience; and
   iii. be of good moral character.

c. **Term of office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the President extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Associate Deans of Student Affairs and Services for Men/Women are responsible to the Dean of Student Affairs and Services and are mandated to perform the following:

a. are the officers in-charge of student discipline and as such, they:
   i. supervise the discipline of students, in accordance with the Student Handbook and such other rules and regulations which may be promulgated by the University;
   ii. receive from the faculty the attendance records of students and inform parents of students' absences;
   iii. mediate in conflicts which may arise among students, even with outsiders;
   iv. issue admission slips to students who incurred absences;
   v. implement disciplinary action to students with infractions after observing due process; and
   vi. issue certificates of good moral character and

other similar certificates.

b. assist the Dean of Student Affairs and Services in monitoring the general living conditions of students in boarding houses and inform landladies/landlords about complaints or deficiencies in their boarding places;
c. submit to the Dean of Student Affairs and Services and Academic Deans report on problems and recommendations on student discipline as the need arises and consolidated reports at the end of the semester;
d. submit referrals to the Guidance and Testing Office depending on the gravity of the offense;
e. supervise traffic management in campus, parking arrangements, and installation of RFID stickers on vehicles regularly entering the campus;
f. formulate guidelines relative to lost and found items, confiscated items, and ensures that these are claimed by rightful owners; and
g. perform other related tasks that may be assigned by the Dean of Student Affairs and Services.

U. HEAD, ALUMNI AFFAIRS OFFICE

1. REFERENCE

a. **Appointment**: The Head of the Alumni Affairs Office is appointed by the University President in consultation with the Advisory Board. subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Head of the Alumni Affairs Office must:
    i. be a graduate of Saint Mary's University in basic education or tertiary level;
    ii. possess at least a master's degree;
    iii. have good social and communication skills; and
    iv. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Head of the Alumni Affairs Office is directly responsible to the Vice President for Administration and is mandated to perform the following:
   a. animates and strengthens the participation of alumni in the academic, social, structural and financial development of the University;
   b. maintains an updated directory of all alumni and serves as liaison officer between the alumni/alumni groups and the University;
   c. maintains an updated directory and contact with alumni with significant national and international accomplishments and linkages and informs the PERIO, deans, principals and top management;
   d. ensures the semestral publication of the SMU Alumni Newsletter;
   e. provides job placement assistance to graduating students in coordination with the Guidance and Testing Office;
   f. takes care of the operations of the *Balai na Alumni* in coordination with the Hospitality and Tourism Management Department;
   g. submits monthly reports of accommodation at the *Balai na Alumni* to the Chief Accountant for recording of revenues;
   h. keeps track of the historical and milestone events of the University and coordinates with the units or Alumni Associations for the preparation of jubilee celebration and activities; and
   i. performs other related tasks that may be assigned by

the Vice President for Administration.

V. HEAD, COMPUTER AND ELECTRONICS TECHNICAL SERVICES OFFICE (CETSO)

1. REFERENCE

a. **Appointment**: The Head of the Computer and Electronics Technical Services Office (CETSO) is appointed by the University President in consultation with the Advisory Board. and subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Head of the Computer and Electronics Technical Services Office (CETSO) must:
   i. possess at least a bachelor's degree
   ii. have at least two years' experience in computer hardware servicing and maintenance;
   iii. be a holder of NCII or its equivalent in computer hardware servicing and maintenance; and
   iv. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES:

The Head of the Computer and Electronics Technical Services Office is directly responsible to the Director of the Center for Information and Communication Technology and is mandated to perform the following:

a. ensures the efficient functioning of all the computer and electronics equipment in the campus, offices and computer laboratory rooms of the University by providing technical services such as installation, preventive maintenance, repair and upgrading of hardware;

b. assists the Inventory Management Office Head in the conduct of inventory of all installers, hardware and electronic equipment of the University;
c. trains all users on computer safety and security procedures;
d. provides technical support to the users of computers and electronic equipment;
e. supervises the computer laboratory assistants and technicians;
f. formulates procedures and guidelines on the proper use of computer laboratory rooms and presents it to Director of CICT for approval;
g. verifies the need for, and recommends acquisition, upgrade and /or replacement of, electronic, computer hardware and parts for internet laboratories and offices; and
h. Performs other related tasks that may be assigned by the Director of CICT or the Vice President for Administration.

W. HEAD, CULTURAL AFFAIRS OFFICE (CAO)

1. REFERENCE

a. **Appointment**: The Head of the Cultural Affairs Office is appointed by the University President in consultation with the Advisory Board and subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Head of the Cultural Affairs Office must:
   i. possess at least a master's degree;
   ii. be artistically inclined; and
   iii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis but not beyond the

mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES**: The Head of the Cultural Affairs Office is directly responsible to the Dean of Student Affairs and Services and is mandated to perform the following:
   a. proposes, promotes, coordinates and supports cultural programs and creative activities of the University;
   b. plans, sponsors or provides appropriate cultural presentations for the SMU community and the community at large;
   c. promotes SMU as a venue for cultural activities in the provincial, regional and national levels;
   d. assists in providing training of all performing groups in coordination with Advisers of student clubs and organizations;
   e. assists in intramural and extramural cultural affairs and competitions in coordination with Department Heads and club Advisers;
   f. supervises the programs and activities of the extracurricular clubs (Marian Dance Troupe, SMU Choral Society, Artists' Circle and the SMU Band); and
   g. performs other related functions as may be assigned by the Dean of Student Affairs and Services.

X. HEAD, EQUIVALENCY AND TECHNICAL VOCATIONAL ASSESSMENT OFFICE (ETVAO)

1. REFERENCE

a. **Appointment**: The Head of the Equivalency and Technical Vocational Assessment Office is appointed by the University President in consultation with the Advisory Board. and subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Head of the Equivalency and Technical Vocational Assessment Office must:
   i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
   ii. have a relevant and updated Training Methodology Certificate; and
   iii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

FUNCTIONS AND RESPONSIBILITIES: The Head of the Equivalency and Technical Vocational Assessment Office (ETVAO) is directly responsible to the Vice President for Academic Affairs and is mandated to perform the following:

a. plans, develops and coordinates implementation of non-degree and non-formal programs, technical and short-term training courses, equivalency and accreditation, enrichment and intervention programs in collaboration with the schools where the locus programs are set;
b. formulates, assesses, revises and implements policies of the office and manages the activities and programs under his/her supervision towards maximum quality service;
c. develops partnership and linkages with other institutions offering similar programs, with the approval of the University President, to cater to the needs of the University and the community at large;
d. evaluates the ETVAO Programs and submits results and recommendations to the Vice President for Academic Affairs and for appropriate actions; and
e. performs other related functions as may be assigned by the Vice President for Academic Affairs or the University President.

Y. HEAD, GUIDANCE AND TESTING OFFICE (GTO)

1. REFERENCE

a. **Appointment**: The Head of the Guidance and Testing Office (GTO) is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Head of the Guidance and Testing Office must:
   i. possess at least a master's degree. A doctoral degree holder, is however, preferred; and
   ii. be a Registered Guidance Counselor;
   iii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES

FUNCTIONS AND RESPONSIBILITIES: The Head of Guidance and Testing Office is directly responsible to the Dean of Student Affairs and Services and is mandated to perform the following:

a. plans, organizes and controls the operation and activities of the Office;

b. supervises and monitors the provision of the different guidance services;

c. oversees the implementation of the activities as requested by other schools/organizations as part of its extension services like:
   i. Extension Testing,
   ii. Peer Counselors Training,
   iii. Leadership Training, and
   iv. Referrals

d. plans, implements and evaluates the conduct of the orientation programs designed for the freshmen and

transfer students in close collaboration with the Student Central Council and the Dean of Student Affairs and Services;

e. files confidential records, instruments, documents and reports related to testing, guidance and counseling sessions;
f. assists the PERIO in student recruitment;
g. conducts students' admission testing and job applicants' psychological testing;
h. coordinates with the Alumni Affairs Office on job placement activities;
i. coordinates with
j. supervises the designated Guidance shepherds in the basic and higher education levels;
k. Supervises the activities of the SMU Peer Counselors; and
l. performs other related tasks that may be assigned by the Dean of Student Affairs and Services or the Vice President for Administration.

Z. HEAD, INVENTORY MANAGEMENT OFFICE (IMO)

1. REFERENCE

a. **Appointment**: The Head of the Inventory Management Office is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Head of the Inventory Management Office must:
   i. possess at least a master's degree;
   ii. have a background on records management; and
   iii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President

extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Head of the Inventory Management Office is directly responsible to the Vice President for Finance and Treasurer and is mandated to perform the following:
   a. is responsible for the keeping of records and proper monitoring of the physical existence of equipment and moveable assets in all levels of the University;
   b. controls and monitors the stock of classroom, laboratory and office supplies and materials, keeping them at reasonable levels to ensure adequate supply at all times;
   c. evaluates and acts on requests for supplies and materials by all units from the stocks in inventory, or endorses purchase to the Vice President for Finance and Treasurer, if not available;
   d. submits monthly summary reports on served requisition of supplies and materials to the Chief Accountant for recording;
   e. receives supplies, materials, equipment purchased or donated, and checks the specifications, and issues the items to the requesting office or department after recording the acquisition and affixing asset tags;
   f. informs the staff in-charge of purchasing on any discrepancy in quantity and specifications of items delivered against the approved copy of the purchase order, and submits a regular report to the Vice President for Finance and Treasurer, Internal Auditor and staff in-charge of purchasing on these noted discrepancies;
   g. maintains an updated record per unit of all items issued and conducts spot check to verify existence and conditions of these assets;
   h. monitors equipment that are borrowed for outside use or brought outside of the university (with proper

written approval) for repair, disposal etc ;

i. monitors transfers of equipment and other movable assets;
j. conducts annual general inventory of all supplies, materials, equipment and moveable assets and reconciles these with the accounting records in coordination with the Chief Accountant;
k. submits to the Vice President for Finance in coordination with the Chief Accountant and the Internal Auditor an annual summary of unserviceable equipment which are turned over to the Materials Recovery Facility (MRF) for disposal;
l. keeps duplicate keys of offices, laboratories, function rooms, buildings and all gates;
m. issues and retrieves academic costumes rented by students for the graduation ceremonies;
n. supervises the operations of the SMU Bookstore; and
o. performs other related tasks that may be assigned by the Vice President for Finance and Treasurer.

AA.HEAD, UNIVERSITY HEALTH SERVICES

1. REFERENCE

a. **Appointment:** The Head of the Medical and Dental Office is appointed by the University President in consultation with the Advisory Board.
b. **Qualifications**: The Head of the Medica and Dental Office must:
   i. be a licensed medical doctor/ dentist or a registered nurse with a master's degree in nursing.
   ii. with experience in clinic operations
   iii. must be of good moral character
c. **Term of Office:** The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such reappointment shall not go

beyond 60 years old, unless the president extends it on a yearly basis but not beyond the late retirement age of 65.

2. **Functions and Responsibilities:** The Head of Medical and Dental Office is directly responsible to the Dean of Student Affairs and Services and is mandated to perform the following:

a. plans, organizes, and controls the operation and activities of the medical-dental clinics;
b. ensures that students (basic and tertiary) are informed regarding new threats to health, precaution against these new threats to health and proper health care through different media, i.e. flyers, social media postings, classroom visits, symposia.
c. controls and monitors the stock of medical supplies in the different medical-dental clinics.
d. evaluates and acts on request for medical supplies from all medical-Dental clinics in the university.
e. ensures that records of students in all medical-dental clinics are properly maintained and secured.
f. ensures that there is always a medical professional that oversees the medical-dental clinics in all levels in the university.
g. ensures that documents for audit and accreditations are ready for auditors, accreditors and for university use or reference.
h. ensures close coordination and collaboration with external health services providers for medical referrals as well as for emergency cases.
i. responsible in coordinating the schedules of the university physician as well as dentists in the respective medical-dental clinics of the university.
j. assist the Dean of Student affairs in supervising the work or functions of all medical and dental staff.

k. coordinate with the different university offices on how the university health services could be well implemented for the welfare of students and employees.
l. consolidate reports of the different field offices of the University health Services office.
m. performs other related tasks and other related functions as maybe assigned by the dean of Student Affairs or the Vice President for Administration.

BB. HEAD, PROMOTIONS, EXTERNAL RELATIONS AND INTERNATIONALIZATION OFFICE (PERIO)

1. REFERENCE

a. **Appointment**: The Head of the Promotions, External Relations and Internationalization Office (PERIO) is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.
b. **Qualifications:** The Head of the Promotions, External Relations and Internationalization Office (PERIO) must:
   i. possess at least a master's degree;
   ii. have good social and communication skills; and
   iii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

3. FUNCTIONS AND RESPONSIBILITIES: The Head of Promotions, External Relations and Internationalization Office is directly responsible to the University President and is mandated to perform the following:

a. serves as the Public Information Officer for linkage activities of the University;

b. works with the Head of the Alumni Affairs Office in activities and functions related to national and international alumni linkages;
c. is responsible for the forging, monitoring and evaluation of local and international linkages both academic or non-academic;
d. facilitates the preparation of required documents and reviews with the concerned unit or department proposals for joint institutional projects or undertakings;
e. prepares and implements a general program for the integration of international students into the academic and social life of the University and the preparation of outbound students and faculty exchange;
f. spearheads the updating of the University website, in coordination with the CICT;
g. prepares promotional materials (print or digital) and conducts marketing activities and recruitment of students;
h. leads the Promotion and External Relations Team (PERT);
i. spearhead the branding strategies and monitors compliance to the SMU brand standards; and
j. performs other related tasks that may be assigned by the University President.

CC. HEAD, PUBLISHING AND DIGITAL PRINTING OFFICE (PDPO)

1. REFERENCE

a. **Appointment**: The Head of the Publishing and Digital Printing Office (PDPO) is appointed by the University President in consultation with the Advisory Board, subject to the confirmation of the Board of Trustees.

b. **Qualifications:** The Head of the Publishing and Digital Printing Office (PDPO) must:
   i. possess at least a master's degree;
   ii. have experience in publications and digital printing equipment operations; and
   iii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Head of the Publishing and Digital Printing Office is directly responsible to the Vice-President for Finance and Treasurer and is mandated to perform the following:

a. solicits/receives materials for publication from the academic and non-academic personnel of the University;
b. ensures that the materials for publication are updated and of scholarly quality through a system of academic peer review;
c. ensures the technical and aesthetic quality of publications and compliance with the SMU brand standards;
d. ensures the adequate protection of the intellectual property rights of the authors and the University;
e. negotiates with external clients for publication or printing jobs, subject to the approval of the Vice President for Finance and Treasurer;
f. ensures that printing jobs are done in a timely, efficient and effective manner;
g. keeps supplies and materials inventory needed for publications at a reasonable level at all times to ensure non-disruption of productions/operations;

h. ensures that printing and publication equipment are adequate, efficient and functional;
i. ensures security and confidentiality of confidential documents/materials reproduced or printed including proper disposal of misprinted documents and test papers;
j. computes costs of jobs, selling prices and royalties of the authors;
k. ensures timely productions for income -generating projects such as notebooks and graduation diploma holders;
l. submits a monthly report of accomplished job orders to the Chief Accountant; and
m. performs other related tasks that may be assigned by the Vice President for Finance and Treasurer or the University President.

DD. HEAD, SAFETY AND POLLUTION CONTROL OFFICE (SPCO)

1. REFERENCE

a. **Appointment**: The Head of Safety and Pollution Control is appointed by the University President in consultation with the Advisory Board and subject to confirmation by the Board of Trustees.
b. **Qualifications:** The Head of Safety and Pollution Control Office must:
   i. possess at least a master's degree;
   ii. be a certified pollution control officer and Safety Officer II; and
   iii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Head of Safety and Pollution Control Office is directly responsible to the Vice President for Administration and is mandated to perform the following:

a. oversees the implementation of the Pollution Control Program and Occupational Safety and Health (OSH) Program in coordination with the OSH Committee;
b. conducts Pollution Control and OSH orientation and training to employees, students, concessionaires, janitorial and security staff;
c. regularly monitors and inspects any pollution, health and safety conditions in the university campuses, informs the head of the unit concerned regarding violations and submits written reports to the Vice President for Administration;
d. conducts investigation of pollution and safety -related accidents in the university campuses when such event occurs and prepares reports of the same as required by the OSH and EMB;
e. issues Work Stoppage Order when necessary based on the requirements and procedures provided by the OSH and pollution control standards;
f. assists government inspectors in the conduct of pollution control, health and safety inspection in the university campuses;
g. prepares the required Pollution Control, OSH and Crisis Management Committee (CMC) reports and permits to the appropriate regulatory government agencies;
h. coordinates fire and earthquake drills and other activities with the safety and DRMM coordinators in the basic education levels and prepares reports;
i. monitors compliance to waste segregation and disposal guidelines;
j. ensures the regular upkeep of fire safety equipment and devices; and
k. performs other related tasks that may be assigned by the Vice President for Administration or the University

President.

EE. HEAD, TECHNOLOGY TRANSFER AND BUSINESS DEVELOPMENT OFFICE

1. **REFERENCE**
   a. **Appointment**: The Head of Technology Transfer and Business Development (TTBDO) is appointed by the University President in consultation with the Advisory Board subject to confirmation by the Board of Trustees.
   b. **Qualifications:** The Head of the Technology Transfer and Business Development (TTBDO) must:
      i. possess at least a master's degree;
      ii. have knowledge and skills on technology transfer, business development, marketing, promotions and relevant laws appertaining; and
      iii. be of good moral character.
   c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES**: The Head of Technology Transfer and Business Development is directly responsible to the Dean, School of Engineering, Architecture and Information Technology and is mandated to perform the following:
   a. supervises the operation of TTBDO food and non-food Shared Service Facility (SSF) and other equipment provided by DTI, Local Government Units and other governmental and non-governmental agencies;
   b. supervises the troubleshooting and preventive maintenance of instruments, equipment, tools

and training aids;

c. drafts and secures the patents for utility models/industrial designs before new product commercialization/mass production;
d. conducts applied researches leading to utilization and product commercialization via internal/external government funding grants;
e. prepares the financial reports in coordination with the Chief Accountant;
f. ensures the adequacy and security of SSF materials and equipment and ensures the organization and daily upkeep of the SSF and storage areas;
g. reviews and ensures the availability of manuals, kits tools, and procedures with precision and exactness;
h. ensures proper disposal of wastes and other potentially hazardous materials in the facility according to government regulations and local standard operating procedures; and
i. performs other related duties as may be assigned by Dean, SEAIT and the University President.

FF. HEAD, UNIVERSITY RESEARCH ETHICS OFFICE (UREO)

1. REFERENCE

a. Appointment: The Head of University Research Ethics Office (UREO) is appointed by the University President in consultation with the Advisory Board and subject to the confirmation of the Board of Trustees.

b. Qualifications: The Head of the University Research Ethics Office must:

i. Possess a doctoral degree;
ii. have published research in a peer reviewed

journal;
iii. be a member of Research Ethics Board; and
iv. be of good moral character.

c. Term of Office: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES: The Head of the University Research Ethics Office is directly responsible to the University President and is mandated to perform the following:

a. coordinates with the University Research Center and the different Academic Deans the upliftment of the quality of thesis and dissertation outputs of students;
b. conducts capacity-building activities to promote research ethics among faculty and student researchers;
c. develops ethics guidance and processes for incorporation to the policies and guidelines of the University Research Center and the School of Graduate Studies to enhance ethics review of students' theses and dissertations;
d. facilitates ethics review of research proposals submitted by researchers from other institutions;
e. ensures that appropriate type of ethical review is conducted to research proposals involving (1) pathogens, (2) animal specimens and (3) human participants /respondents;
f. serves as the chair of the SMU Research Ethics Board (SMUREB) who:

i. safeguards the welfare of human participants/respondents in research;
ii. represents the SMUREB in internal and external meetings and conferences;
iii. presides over SMUREB meetings;
iv. oversees review of research proposals accepted by SMUREB;
v. assigns reviewers of accepted research proposals based on expertise and experience of SMUREB members;
vi. develops the Standard Operating Procedures (SOP) of the SMUREB together with the appointed officers;
vii. supervises the development and revisions of SOPs;
viii. prepares and submits annual report of the SMUREB to the office of the institutional authority and to Philippine Research Ethics Board (PHREB);
ix. prepares and submits annual budget of the SMUREB;
x. ensures initial and continuing research ethics trainings of members and staff;
xi. ensures a sustainable membership of the SMUREB;
xii. ensures that SMUREB is duly accredited by PHREB, and other governing bodies as applicable.

g. performs other related tasks that may be assigned by the University President.

GG. ACADEMIC DEPARTMENT HEADS

1. REFERENCE

a. **Appointment**: The Academic Department Heads are appointed by the University President in consultation with the Advisory Board.

b. **Qualifications:** The Academic Department Heads must:
   i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
   ii. be of good moral character.
c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the University President extends it on a yearly basis, but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Academic Department Heads are directly responsible to the Academic Deans and are mandated to perform the following:
   a. articulate visions and directions of the department to ensure organizational alignment to the School's vision, mission, and strategic goals;
   b. are responsible for setting educational goals for their department on the undergraduate level, including targets for educational quality;
   c. coordinate with their Academic Deans in initiating, monitoring, and assessing systems and programs to achieve the department's vision, mission, and goals;
   d. supervise the practicum or on-the-job training (OJT) Programs of the department in local, national or international settings;
   e. coordinate with offices concerned in providing the necessary support for academic growth of students and faculty of the department;
   f. spearheads the regular updating of syllabi in their department;
   g. oversee undergraduate degree programs, including course offerings and grades;
   h. oversee the academic advising and implementation of the retention policy for undergraduate students;

i. oversee undergraduate degree programs in line with research functions of the department. This includes spearheading the development of a research culture and a workable research agenda for the department and promoting scholarly publications of faculty and students in collaboration with the school's research coordinator;
j. assist their Academic Deans in the assignment and distribution of teaching loads to academic personnel;
k. supervise and evaluate academic and non- academic personnel of their department;
l. are responsible for faculty development of their department;
m. assist during the enrolment for their department;
n. oversee the preparation, management, and use of resources in their department;
o. represent their department in social functions; liaises with the various offices and units in the University;
p. represent their department in external organizations, whenever necessary and when authorized by the Administration;
q. oversee the publicity and promotion of their department's projects essential to SMU's impact and visibility; and
r. performs other related tasks that may be assigned by the Academic Deans.

HH. ACADEMIC COORDINATOR, JURIS DOCTOR PROGRAM

1. REFERENCE

a. **Appointment:** The Academic Coordinator of the Juris Doctor Program is appointed by the University President in consultation with the Advisory Board.
b. **Qualifications:** The Academic Coordinator of the Juris Doctor Program must:
   i. possess at least a master's degree. A doctoral degree holder, is however, preferred;

ii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the President extends it on a yearly basis but not beyond the mandatory retirement age of 65.

2. **FUNCTIONS AND RESPONSIBILITIES:** The Academic Coordinator of the Juris Doctor Program is directly responsible to the Academic Dean of the College of Law and is mandated to perform the following:
   a. articulates visions and directions of the Juris Doctor Program to ensure organizational alignment to the vision, mission, and strategic goals of the University and of the College of Law;
   b. sets targets for educational quality for the Juris Doctor program;
   c. coordinates with the Academic Dean in initiating, monitoring, and assessing systems and programs to achieve the Juris Doctor Program's vision, mission, and goals;
   d. coordinates with offices concerned in providing the necessary support for academic growth of students and faculty of the Juris Doctor Program;
   e. oversees the academic advising and implementation of the retention policy for Juris Doctor students;
   f. oversees the research functions of the Juris Doctor program. This includes spearheading the development of a research culture and a workable research agenda for the Juris Doctor and promoting scholarly publications of faculty and students;
   g. supervises and evaluates the academic personnel of the Juris Doctor Program;
   h. conducts in-service faculty development activities of Juris Doctor faculty in the areas of instruction and research;
   i. oversees the preparation, management, and use of curricular materials and resources in the Juris Doctor Program;
   j. oversees the publicity and promotion of the Juris Doctor program essential to SMU's impact and visibility; and

k. performs other related functions as may be assigned by the Academic Dean of the College of Law.

II. GRADUATE PROGRAMS CLUSTER DEPARTMENT HEADS

1. REFERENCE

a. **Appointment**: The Graduate Programs Cluster Department Heads are appointed by the University President in consultation with the Advisory Board.

b. **Qualifications:** The Graduate Programs Cluster Department Heads must:
   i. possess at least a master's degree. A doctoral degree holder, is however, preferred;
   ii. be of good moral character.

c. **Term of Office**: The term of office is one year for the initial appointment, renewable for terms of two years each, provided that such appointment shall not be beyond 60 years old, unless the President extends it on a yearly basis but not beyond the late retirement age of 65.

2. FUNCTIONS AND RESPONSIBILITIES:

The Graduate Programs Cluster Department Heads are directly responsible to the Dean of the School of Graduate Studies and are mandated to perform the following:

a. articulate visions and directions of the graduate programs cluster to ensure organizational alignment to the School's vision, mission, and strategic goals

b. are responsible for setting educational goals for their graduate programs cluster, including targets for educational quality;

c. coordinate with the Dean of the School of Graduate Studies in initiating, monitoring, and assessing systems and programs to achieve the graduate programs cluster's vision, mission, and goals;

d. supervise the practicum or internship of the graduate programs cluster in local, national or international

settings;

e. coordinate with offices concerned in providing the necessary support for academic growth of students and faculty of the graduate programs cluster;
f. oversee graduate degree programs under their cluster, including course offerings and grades;
g. spearheads the regular updating of syllabi in their cluster;
h. oversee the academic advising and implementation of the retention policy for graduate students in their cluster;
i. oversee the graduate degree programs in line with research functions of their cluster. This includes spearheading the development of a research culture and a workable research agenda for the department and promoting scholarly publications of faculty and students;
j. assist the Dean of Graduate Studies in the assignment and distribution of teaching loads to academic personnel;
k. supervise and evaluate academic and non-academic personnel of their cluster;
l. assist the Dean of Graduate Studies in the faculty development in their cluster;
m. assist during the admission and enrolment of students in their cluster;
n. oversee the preparation, management, and use of resources in their cluster;
o. represent their department in social functions; liaise with the various offices and units in the University, as authorized by the Dean of Graduate Studies;
p. represent their cluster in external organizations, whenever necessary and when authorized by the Administration;
q. oversee the publicity and promotion of their department's projects essential to SMU's impact and visibility; and

r. perform other related functions as may be assigned by the Dean of Graduate Studies or by the Vice President for Academic Affairs.

III. UNIVERSITY BOARDS, COUNCILS AND COMMITTEES

A. ADVISORY BOARD

Composition:

Chairman:	University President
Members:	Vice Presidents
	Legal Counsel

Functions:

1. Provides assistance in decision making in all matters of the University and assists the University President in his/her executive functions;
2. Advises on all appointments made by the University President especially those to be presented to the Board of Trustees for approval or confirmation; and
3. Advises the University President on policy recommendations regarding academic, administrative and financial matters.

B. EXTENDED ADVISORY BOARD

Composition:

Chairman:	University President
Members:	Vice Presidents
	Legal Counsel
	Principals
	Academic Deans
	University Registrar
	DSAS
	Directors and Heads (as needed)

Functions:

To widen the base of policymaking and decision-making

processes, the University President, in consultation with the Advisory Board, may form the Extended Advisory Board. The composition of the Board shall be determined by the University President and he/she shall have the exclusive prerogative to extend invitation to University officers to be members thereof. Other members of the academic community may be invited at any time for consultation or as resource persons.

On matters specific to the Basic Education, the University President may convene the Extended Advisory Board for Basic Education which consists of the members of the Advisory Board and the Principals.

C. ACADEMIC COUNCIL

Composition:

Chairman:	Vice President for Academic Affairs
Members:	Vice President for Mission and Identity
	Vice President for Administration
	University Registrar
	Academic Deans
	Basic Education Principals
	Director, CNS
	Director, ULRC
	Director, IDQAO
	Head, GTO
	Head, ETVAO
	Coordinator, NSTP

Functions:

1. Serves as an advisory body to the University President on academic matters;
2. Organizes the general in-service training and faculty development program for academic personnel;
3. Recommends major curricular changes in line with

the mission statement of the University;

4. Proposes the creation of new academic departments and School/s;
5. Studies the offering of new academic programs and new majors or realignment of existing ones;
6. Reviews academic policies on student admission, promotion, retention, grading system, and graduation requirements; and
7. Evaluates regularly the effectiveness and relevance of the academic objectives of all curricular and departmental programs, and for that purpose, other members of the academic community may be invited for consultation.

DEAN'S COUNCIL. Each School has its own academic council which is called the Dean's Council.

Composition: It is composed of the following:

Chairman: Dean
Members: Department Heads
CDA Coordinator
Research Coordinator
Senior faculty members as may be determined by the Dean

Functions:

The Council is convened after an Academic Council meeting, or at least once a month, to discuss matters affecting the School. The Dean shall furnish the Vice President for Academic Affairs with minutes of meetings

D. PASTORAL COUNCIL. The Pastoral Council is a consultative and/or advisory body to the Director, Center for Christian Formation/ University Chaplain. It is a venue for dialogue, consultation, collaboration and participation on the spiritual and pastoral needs of the different sectors of the University. It is convened by the

University Chaplain at least twice every semester or whenever necessary.

Composition:

Chairman:	Director, Center for Christian Formation/ University Chaplain
Members:	Dep't Head/Learning Area Coordinators, Christian Faith Education
	Mission & Identity Campus Minister
	Dean of Student Affairs and Services
	Director, LMCDAC
	One representative from the GTO
	Mission & Identity Coordinators
	One student from each School
	Representative of the Non-Academic Personnel
	Representative of the SCC

Functions:

1. Suggests policies on spiritual and pastoral concerns in keeping with the vision-mission of the University, the CICM-Provincial Committee on Education, and the Diocese of Bayombong; and
2. Reviews and recommends for approval by the University President the Strategic Plan of the Center for Christian Formation on the areas of Liturgy, Religious Education, Animation and Formation, Social Involvement, and Mission-Vocation Animation.

E. RESEARCH AND COMMUNITY DEVELOPMENT COUNCIL

Composition:

Chairman:	University President
Members:	Vice Presidents
	Academic Deans

Director, Research Center
Director, LMCDAC
Director, Center for Natural Sciences
In-charge, IP Desk

Functions:

1. Initiates, deliberates and provides direction for the policies, programs and activities related to research and community extension services of the University;
2. Decides on issues or concerns and activities related to research and community extension programs; and
3. Receives reports from the research and community extension services coordinators.

F. ADMISSIONS COMMITTEE

Composition:

Chairman:	Vice President for Academic Affairs
Vice Chair:	University Registrar
Members:	Vice Presidents
	Academic Deans
	Basic Education Principals
	Dean of Student Affairs and Services
	Head, GTO
	Head, PERIO

Functions:

1. Provides policies, rules and procedures on the admission of students; and
2. Hears and decides appeals on admission cases

G. COMMITTEE ON ARBITRATION (COA)

Composition:

The Committee is composed of the four Vice Presidents and Legal Counsel and chaired by the Vice President for Administration

Functions:

1. To deliberate on the findings and recommendations of the committee on investigation and decide administrative cases involving suspension and dismissal of personnel for any of the grounds enumerated under existing laws, and rules and regulations promulgated by government regulatory agencies and by the University.
2. The Committee is also tasked to resolve grievances not covered by the Code of Proper Conduct for SMU Employees, the SMU Anti-Sexual Harassment Implementing Guidelines, and the Collective Bargaining Agreement.

H. COMMITTEE ON INVESTIGATION (COI)

Composition:

The Vice President for Administration recommends the composition of the committee of three members from any academic and/or non-academic personnel of the University for approval by the University President.

Functions:

1. Its task is to assist any University officer who requests for the conduct of a fact-finding investigation for alleged violation of the Code of Proper Conduct for SMU Employees, other University rules and regulations, MORPHE, MRPSBE and Labor Code of the Philippines.

I. COMMITTEE ON DECORUM AND INVESTIGATION (CODI)

Composition:

The Vice President for Administration recommends to the University President the appointment of the chair and members of the Committee on Decorum and Investigation (CODI) based on the SMU Anti-sexual Harassment Policy and Implementing Guidelines.

Functions:

1. Receive and investigate complaints on sexual harassment following the prescribed procedure ;
2. submit a report of its findings and recommendations to the Committee on Arbitration;
3. lead in the discussions on sexual harassment in the university in order to prevent occurrence of sexual harassment; and
4. Other functions as specified in the SMU Anti-sexual Harassment Policy and Implementing Guidelines.

J. CAMPUS SAFETY AND DISASTER PREPAREDNESS COMMITTEE (CSDPC)

Composition:

Chairman: Vice President for Administration
Vice Chairman: Head, Safety and Pollution Control Officer

Members:

Dean of Student Affairs and Services
Academic Deans
Basic Education Principals
Director, HRDO
Director, PPPDMO
ADSAS for Men/Women
Department Head, Criminology
University Medical Teams
NSTP Coordinator
DRRM & Safety Coordinators
Head, Security Agency

General Services Supervisor
Adviser & President, Marian Emergency Response Team
Adviser, Senior High School Emergency Response Team
President, Student Central Council
ROTC Corps Commander

Functions:

1. Ensures that safety and security measures are in place in all buildings and facilities of the University at all times;
2. Makes the necessary plans and procedures for a pro-active, quick and effective response to any calamity, disaster or major emergency cases that may affect the University, employees and students;
3. Coordinates with other external agencies for disaster preparedness programs and activities for an effective and quick response to any calamity and disaster that may affect the University;
4. Conducts the necessary disaster-preparedness drills and activities that will ensure effective response to calamities and other emergencies;
5. Supervises emergency operations within the campuses and immediate vicinity during and after a calamity or disaster;
6. Regularly inspects and submits reports to the University President regarding the safety and security assurance of the University and immediately after every calamity or disaster.

K. PERSONNEL SELECTION, RANK AND TENURE COMMITTEE (PSRTC)

Composition:

Chairman: University President
Members:
Vice Presidents

Director, HRDO
President, SMU Employees' Union
Academic Deans/
Principals concerned
Office Heads concerned

Functions:

1. Recommends to the University President
   a. the hiring and initial rank of personnel;
   b. the promotion or retention in rank of personnel at the start of every school year based on performance evaluation;
   c. the renewal or non-renewal of employment contracts;
   d. the conferment of permanent status to personnel;
   e. rank classification and salary adjustments;
   f. policies and procedures on hiring, ranking and performance evaluation, promotion and rank; and
   g. other personnel issues and concerns related to employment that need to be resolved.

L. PHYSICAL PLANT DEVELOPMENT COMMITTEE

Composition:

Chairman: University President
Members: Vice Presidents
Director, PPPDMO
One Engineer and one Architect from the University appointed by the University President

Functions:

1. To review and make recommendations to the Board of Trustees on the University's plans for all major infrastructure projects.

2. To check on the proper implementation of projects according to the approved plans.

M. RETIREMENT COMMITTEE

Composition:

Chairman: University President
Members: Vice Presidents
Legal Counsel
Director, HRDO
President, SMU Employee's Union

Functions:

1. Implements the rules and procedures of the Retirement Plan;
2. Reviews the Retirement Plan Rules and Regulations and recommends to the Board of Trustees amendments thereto, if any;
3. Interprets the meaning, coverage and application of the provisions of the Retirement Plan and consults the Board of Trustees for ambiguous cases; and
4. Is responsible for the general administration and management of the Retirement Plan.

N. STUDENT SCHOLARSHIPS, GRANTS AND AWARDS COMMITTEE

Composition:

Chairman : Vice President for Mission and Identity
Vice Chairman: Vice President for Academic Affairs
Members:
Vice President for Administration
Vice President for Finance and Treasurer
Academic Deans
University Registrar
Dean of Student Affairs and Services

Functions:

1. Receives applications for entrance scholarships and deliberates and approves academic scholarships and service grants;
2. Awards undergraduate service scholarships and grants to working students in housekeeping, library working scholars, student assistants, Reserve Officer Training Corps (ROTC) officers, Student Central Council (SCC) officers, The Marian staff, members of Marian Emergency Response Team (MERT), performing arts and sports;
3. Institutes new awards or grants, if needed, and determines the criteria and mechanics of awarding;
4. Decides on academic and special awards to be given during graduation exercises; and

O. EMPLOYEE RECOGNITION AND AWARDS COMMITTEE

Composition:

Chairman: University President
Vice Chair: Vice President for Administration
Members:
Vice President for Mission and Identity
Vice President for Academic Affairs
Vice President for Finance and Treasurer
Director, HRDO
Legal Counsel
Director, Research Center
Director, LMCDAC

Functions:

1. Reviews guidelines and procedures regarding employee recognition and awards.
2. Formulates and recommends to the University President operational guidelines and procedures for recognizing and awarding outstanding employees.

3. Deliberates and recommends to the University President recipients of SMU Employee Recognition and Awards.

P. UNIVERSITY LEARNING RESOURCE COMMITTEE

Composition:

Chairman: Elected by the committee
Vice-Chairman: Elected by the committee
Secretary: Elected by the committee
Members:
Director, ULRC (ex-officio)
Student Council Representatives (ex-officio)
Three faculty representatives/Department Heads from each School/College appointed by the Academic Deans/Principals

Functions:

1. Reviews and recommends policies on the acquisition, use and disposal of learning resources of the University;
2. Promotes the use of the library to the faculty, students and other library users;
3. Assists in disseminating library policies and procedures to the faculty and students and other library users;
4. Recommends budget allocation and acquisition of learning resources; and
5. Resolves emerging issues and concerns on the operation of the University Learning Resource Center.

Q. INTEGRAL GROWTH AND LIFESTYLE ADVOCACY (SIGLA) WELLNESS COMMITTEE

Composition:

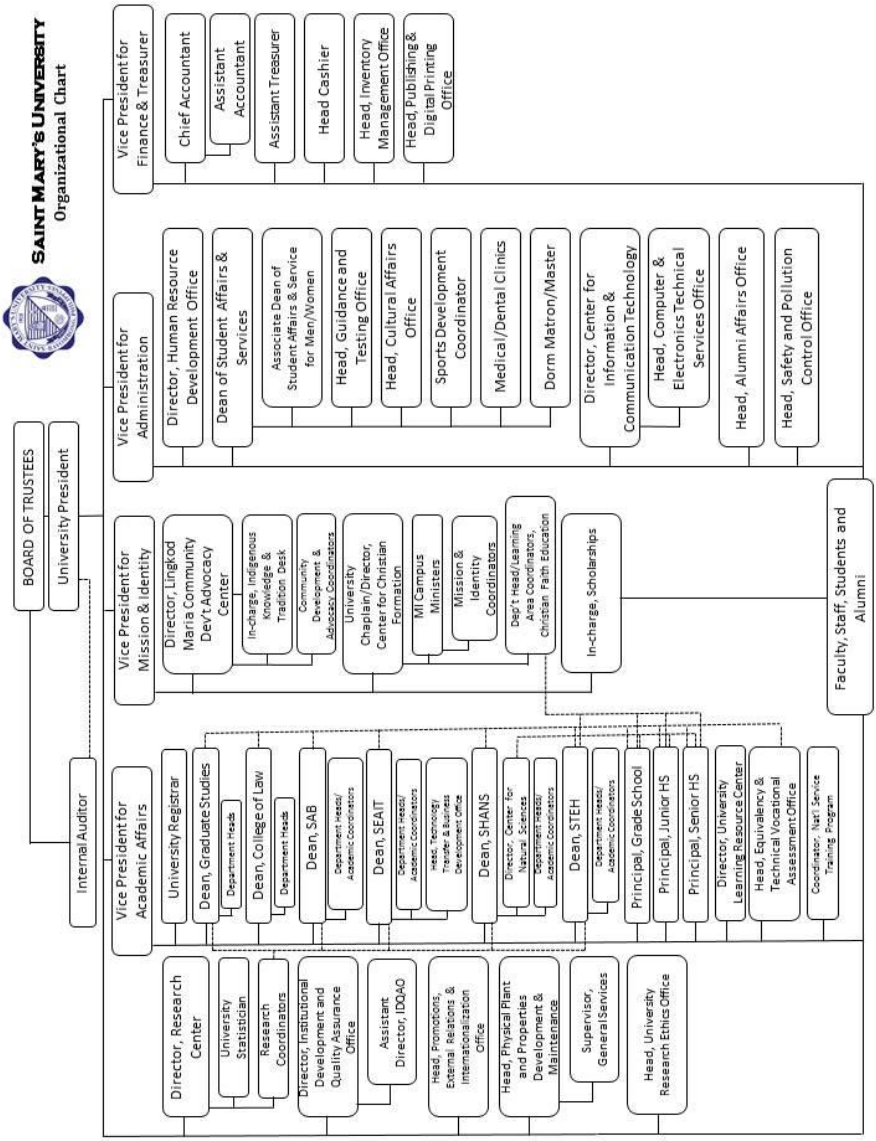
Chairman: Director, HRDO **(Personal Professional Wellness Program)**

Members: **Physical Wellness Program**
Dean of Student Affairs & Services
Department Head, MAPEH
Head, CAO
Coordinator, Sports Development
Psycho-Spiritual Wellness Program
University Chaplain
Head, GTO

Functions:

1. Coordinates the different SIGLA wellness programs in order to provide for more regular, sustainable, systematic and institutional wellness activities and advocacies;
2. Conducts surveys/simple researches to provide data-based information to the Vice President for Administration about emergent issues and concerns that effect or hinder the holistic wellness/functioning of university employees;
3. Recommends budget allocation for SIGLA wellness activities and needs and submits accomplishment report to the Vice President for Administration at the end of each SIGLA wellness conference; and
4. Performs other related duties as may be assigned for the purpose of ensuring the efficient and effective functioning of the SIGLA wellness program.

IV. ORGANIZATIONAL CHART OF SAINT MARY'S UNIVERSITY



Chapter Three

EMPLOYMENT POLICIES FOR ACADEMIC PERSONNEL

At the heart of every institution of higher learning are its academic personnel who may be classified according to their Function, Administrative Level, Employment Status, Work load, and Rank. Their employment is governed by the provisions of the Manual of Regulations for Private Higher Education (MORPHE) of 2008 and such other laws, rules and regulations as may hereafter be promulgated by concerned government agencies and by the University.

Employees are expected to manifest the SMU core values namely; excellence, innovation, communion and passion for Christ's mission and the CICM employee attributes of being rooted in faith and prayer, mission-oriented, compassionate, globally-enterprising and open to life-long learning, open to intercultural engagement, socially-committed and ethnically-engaged.

I. CLASSIFICATION OF ACADEMIC PERSONNEL

A. ACCORDING TO FUNCTION.

1. **Academic Teaching Personnel (ATP)**. These are the academic personnel who are formally engaged in actual teaching, either in full load or partial load basis including the academic deans, the Director of the Center for Natural Sciences (CNS), department heads, Head, Equivalency and Technical Vocational Assessment Office (ETVAO), academic coordinators, and research and Community Development Advocacy coordinators;
2. **Academic Non-Teaching Personnel (ANTP).** These are the academic personnel hired on a full-load basis to support the academic programs of the University. They perform certain prescribed academic functions directly supportive of

teaching. They may be given teaching assignments subject to approval by the Head of Office or the supervising Vice Presidents. To this group belongs the:

a. University Registrar;
b. Administrative Deans (Dean and Associate Deans of Student Affairs and Services);
c. Director, Human Resource Development Office (HRDO);
d. Director and Librarians of the University Learning Resource Center (ULRC);
e. Director and Statistician of the University Research Center
f. Director, Center for Information and Communication Technology (CICT);
g. Chaplain/Director, Center for Christian Formation (CCF);
h. Director, Lingkod Maria Development and Advocacy Center (LMCDAC);
i. Head and Guidance Counselors of the Guidance and Testing Office (GTO);
j. Head, Promotions, External Relations and Internationalization Office (PERIO);
k. Director, Institutional Development and Quality Assurance Office (IDQAO);
l. Head, University Research Ethics Office (UREO)
m. Head, Technology Transfer and Business Development Office (TTBDO)
n. Coordinator, National Service Training Program (NSTP); and
o. Coordinator, Sports Development
p. The following Academic Personnel who are appointed as head of non-academic offices:
    i. Director, Physical Plant and Properties Development and Maintenance Office (PPPDMO);
    ii. Internal Auditor;

iii. Chief Accountant;
iv. Assistant Treasurer;
v. Assistant Accountant;
vi. Head Cashier;
vii. Head, Inventory Management Office (IMO);
viii. Head, Cultural Affairs Office (CAO);
ix. Head, Computer and Electronics Technical Services Office (CETSO);
x. Head, Alumni Affairs Office (AAO);
xi. Head, Publishing and Digital Printing Office (PDPO); and
xii. Head, Safety and Pollution Control Office (SPCO)

Appointees to the above offices may be re-classified to academic personnel status based on their academic qualifications.

B. ACCORDING TO ADMINISTRATIVE LEVEL

1. **Top Administrative Officers**. These officers determine policies and formulate rules to ensure the most efficient and effective operation of the University. This group consists of the University President, the Vice President for Mission and Identity, the Vice President for Administration, the Vice President for Academic Affairs, and the Vice President for Finance and Treasurer.
2. **Middle Administrative Officers**. These officers assist the top administrative level in the formulation of policies, and directly oversee their implementation in their respective Schools/offices. These include the Academic Deans and DSAS, the HRDO Director, the University Registrar, the Chief Accountant, the Internal Auditor, the Director of ULRC, the Directors of the Research Center, LMCDAC, CNS, CICT, IDQAO, PPPDMO and the Chaplain/Director of CCF.

3. **Junior Administrative Officers**. These officers are entrusted some degree of supervisory authority. Belonging to this group are the Academic Department Heads and Coordinators, Assistant Accountant, Assistant Treasurer, Head Cashier, and the heads of the following offices: ADSAS, GTO, ETVAO, CETSO, IMO, CAO, AAO, PERIO, PDPO, UREO, TTBDO and SPCO.
4. **Rank and File Academic Personnel**. These are the academic and non-academic personnel who do not hold any administrative position.

C. ACCORDING TO EMPLOYMENT STATUS

1. **Full-Time Academic Personnel**. These are academic personnel who meet all of the following requirements as provided in the DOLE-DECS-CHED-TESDA Order No. 1, s.1996 and MORPHE:
    a. possess aligned or allied masters degree in his/her field of specialization as prescribed under the MORPHE and by the Commission on Higher Education (CHED).
    b. are paid monthly based on the regular workload of not less than 24 units for academic teaching personnel and 48 hours for academic non-teaching personnel.
    c. have no other remunerative employment elsewhere requiring regular hours of work, unless with the written approval of the University President.
    d. are not teaching full-load in any other higher education institution.

    All faculty or academic personnel who do not meet the foregoing qualifications are considered part-time.

    All faculty or academic personnel who are at the same time holding positions in government, whether appointive or elective, shall also be considered part-time.

There are two types of full-time academic personnel namely: Probationary Academic Personnel and Permanent Academic Personnel.

1.1 Probationary Academic Personnel.

a. These are full-time academic personnel whose fitness for the job is being determined.
b. The probationary period is covered by a semestral employment contract which may or may not be renewed depending on the performance evaluation and the needs of the university.
c. The probationary period is three consecutive school years of satisfactory service with at least 75% performance evaluation.
d. The probationary employee can be terminated at any time during the probationary period for unsatisfactory performance evaluation or for violations of the Code of Proper Conduct for SMU Employees and this Manual.
e. One month before the end of the probationary period, the President will decide whether to grant or not to grant permanent status to the probationary academic personnel upon the recommendation of the PSRTC.
f. Probationary academic personnel who are not granted permanent status are informed by the HRDO and severed from the University.
g. The period of probation may be shortened by the University President upon the recommendation of the Personnel Selection, Rank and Tenure Committee (PSRTC). One year of probationary period may be waived for every year of outstanding performance but in no case can it be less than one (1) year.

1.2 Permanent Academic Personnel. These are full-time academic personnel who have completed the probationary period, met the performance evaluation standard of 75% and are granted permanent status by the University

President. They cannot be terminated unless for just or authorized cause/s under the Labor Code and grounds for termination under the MORPHE and the SMU Academic and Administrative Manual for Higher Education.

2. Part-Time Academic Personnel. Based on the MORPHE, academic personnel who do not meet one or more of the requirements for full-time academic personnel are considered part-time. Part-time academic personnel cannot acquire permanent status. The types of part time-academic personnel are: Temporary Academic Personnel, Substitute Academic Personnel, Partial load academic personnel with or without employment outside SMU and Lecturers/Retainers.

2.1 Temporary Academic Personnel. These are part-time academic personnel who do not hold the minimum qualifications for the job (aligned or allied Master's degree in their field of specialization and required PRC License for Guidance Counselors and Librarians). The workload is not less than 24 units. The years of service as temporary Academic Personnel will not be counted as period of probation.

Upon submission to the HRDO of the documents required to meet the minimum requirements, the PSRTC may, depending on the needs of the university and performance evaluation, classify the employee to probationary Academic Personnel.

2.2 Substitute Academic Personnel.

a. These are part-time academic personnel whose service is engaged by the University for a particular period of time (e.g. substitute for faculty members on maternity leave, etc.).
b. The workload may be full load or partial load. Their employment with the University is automatically severed upon the termination of the term indicated in the contract, unless the University renews it for another period.
c. In no case shall they be employed for more than one year if they are given a full load.

d. Substitute academic personnel who meet the minimum requirements for full-time academic personnel who is hired within the school year, may be classified as probationary academic personnel at the start of the next school year upon the recommendation of the PSRTC and based on the needs of the University.
e. The service as substitute academic personnel is not counted as part of the probationary period.

2.3 Partial Load Academic Personnel These are part-time academic personnel who are given a workload below 18 units. They may or may not have other employment outside SMU. The service as part-time academic personnel is not counted as part of the probationary period.

2.4 Lecturers/ Professionals under Retainer Agreement. These are part-time academic and are experts whose specialized services are needed by the University for a specified period stated in their contract. They are paid on an honorarium basis and are not deducted for mandatory government contributions like SSS, PhilHealth or Pag-ibig. Retirees belong to this category. They are given workloads of not more than 18 units.

D. ACCORDING TO WORK LOAD

The workload of an academic personnel may include teaching and/or office work.

Full Load academic personnel in the higher education level are given at least 24 units teaching or its equivalent in office hours where 3 units is equivalent to 6 hours of office work per week.

Partial Load academic personnel are given less than 24 units or its equivalent in office hours where 3 units is equivalent to 6 hours of office work per week.

E. ACCORDING TO RANK. The rank of an academic personnel is determined on the basis of his/her educational qualifications, performance evaluation, and the length of his/her service to the University.

ACADEMIC RANK	MINIMUM EDUCATIONAL QUALIFICATION/S
Assistant Instructor 1; Assistant Instructor 2; Assistant Instructor 3	Bachelor's degree holder and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses.
Instructor I,1; Instructor I,2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Instructor II,1; Instructor II,2; Instructor II,3	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Senior Instructor I, 1; Senior Instructor I, 2; Senior Instructor I, 3	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor

ACADEMIC RANK	MINIMUM EDUCATIONAL QUALIFICATION/S
	with Bar.
Assistant Professor I, 1; Assistant Professor I, 2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Assistant Professor II, 1; Assistant Professor II, 2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Assistant Professor III, 1; Assistant Professor III, 2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Associate Professor I, 1; Associate Professor I, 2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.

ACADEMIC RANK	MINIMUM EDUCATIONAL QUALIFICATION/S
Associate Professor II, 1; Associate Professor II, 2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Associate Professor III,1; Associate Professor III, 2	Master's degree holder in the discipline or allied fields and, where applicable, a holder of appropriate professional license requiring at least a bachelor's degree for the professional courses. In the College of Law, a Juris Doctor with Bar.
Professor 1- 20	Doctorate degree holder in the discipline or allied fields. In the College of Law, a Juris Doctor with Bar and Master of Laws.

Note: For Medical Doctors and Dentists with teaching loads, the rank of Professor requires a masters degree in the discipline or allied fields.

II. EMPLOYMENT PROCEDURE AND POLICIES

A. MANAGEMENT PREROGATIVES

The hiring of personnel, the designation of academic and administrative officers, the promulgation of policies, rules and regulations for the effective operation of the University, and the discipline of personnel are management functions and prerogatives.

In the exercise of its Academic Freedom as an institution of higher learning, it is the exclusive prerogative of the SMU Administration to conduct its academic affairs and manage its business, including, but not limited to:

1. the right to prescribe the courses to be taken by the students, to set the schedule of classes and assign teaching assignments;
2. to promulgate and continuously revise and update guidelines for performance evaluation;
3. set and regulate campus-based activities and activities outside of University premises which involves the name of the University, its personnel or its students, or its resources;
4. sever employment relations for any of the grounds and in accordance with the procedure under existing laws;
5. promulgate rules and regulations from time to time as it may deem necessary to maintain order, safety and the general welfare and to require compliance thereto by all of its students and personnel;
6. the right to decide the number, extent and locations of its educational campuses or complexes, the libraries, laboratories, athletic facilities and other infrastructures; and
7. as well as other rights and prerogatives that are inherent in the management of the affairs and operation of the business of the University.

B. PRE-EMPLOYMENT PROCEDURES

1. The Academic Dean/Head of Office shall fill out a personnel requisition form secured from the HRDO and to be submitted to the University President at least five months before the beginning of a semester. The letter should contain the justification for the need of additional personnel

and it must be duly endorsed by the Vice President for Academic Affairs.

2. Once approved by the University President, the personnel requisition form shall be forwarded to the HRDO Director who shall proceed to advertise the personnel need of the University.
3. All application letters are addressed to the University President and must be accompanied by the following requirements:
    a. Two (2) pieces 2x2 colored ID picture
    b. Resume
    c. Clearance from previous employer, if applicable
    d. Certificate of Employment, if presently employed
    e. Certificate of Baptism
    f. Certificate of Confirmation
    g. Church recommendation from Current Church Affiliation
    h. Church Marriage Contract, if married
    i. Academic Credentials (Diploma, Certificate/s, Certified true copy of Official Transcript of Records)
    j. Certificate of Good Moral Character, if fresh graduate
    k. Professional license and board exam results, if applicable
    l. Employer's Certification allowing them to teach part-time (Government and Private Employees)
    m. Certificate of trainings

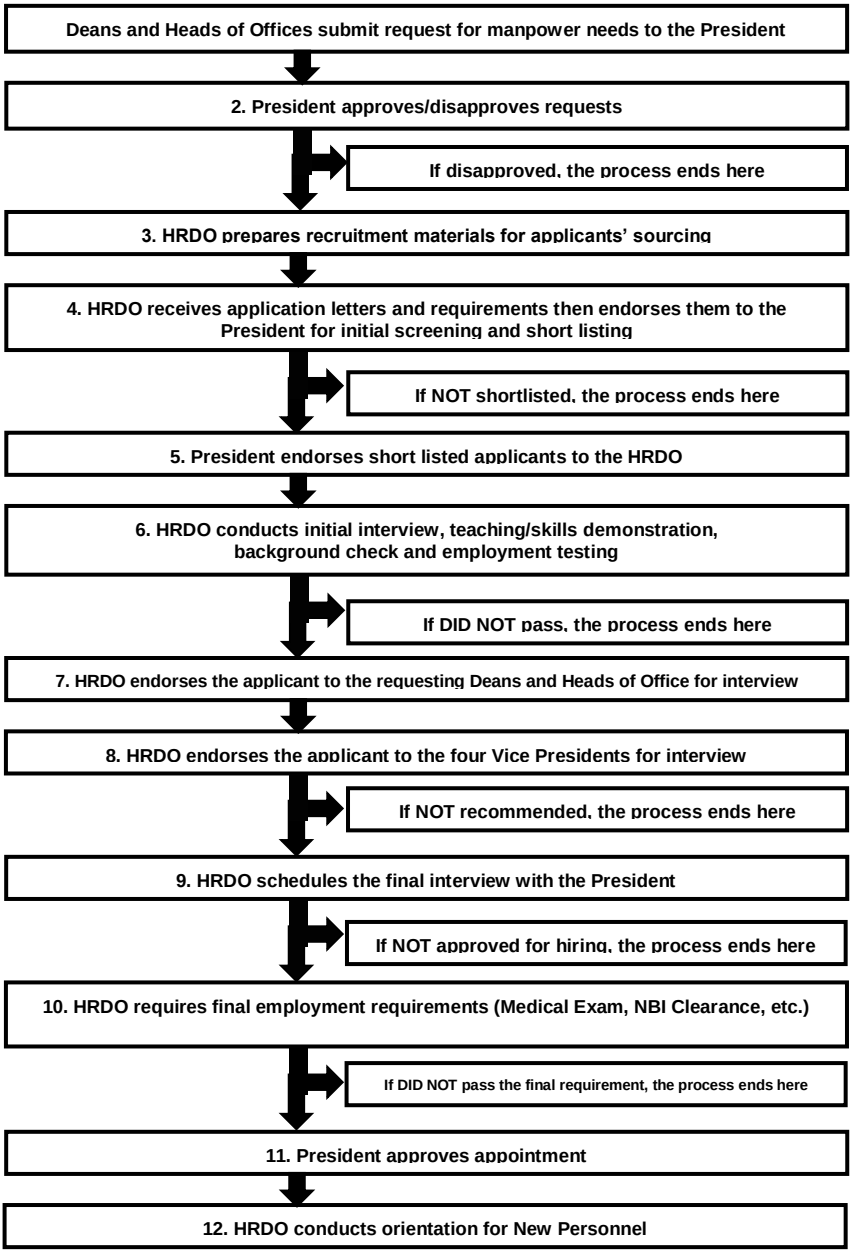
    All information given by the applicant is subject to verification. The University reserves the right to disqualify an applicant, or dismiss him/her if he is already in the employ of the University, if he/she is found to have falsified any information/data he/she had given pertaining to his/her employment.
4. The University President shall examine the documents submitted by the applicants for screening purposes. The HRDO Director shall conduct an initial interview on shortlisted applicants and thereafter, the HRDO Director

shall schedule the conduct of demonstration teaching, in the presence of an evaluation team (headed by the Vice President for Academic Affairs and such other members as he will choose). Demonstration teaching is a mandatory requirement for personnel applying as academic teaching personnel.

5. Qualified applicants are also scheduled for a series of tests in the Guidance and Testing Office. All tests results and their interpretation are forwarded to the HRDO.
6. The applicants shall undergo a series of interviews with the Vice Presidents and the Academic Dean/Head of Office who, together with the HRDO Director, shall select the most qualified applicant/s to be recommended for final interview by the University President.
7. Once the University President approves the hiring of the applicant, and before the issuance of the employment contract to the newly hired personnel, he/she shall be required to submit the following:
    a. Police, NBI, and Barangay clearances
    b. Tax Identification Number, SSS, PAGIBIG and PHILHEALTH numbers
    c. Medical and physical examination results
8. The HRDO Director prepares three copies of employment contract duly signed by the University President to be distributed as follows:
    a. The new personnel for his/her personal file;
    b. The Accounting Office; and
    c. The HRDO for the 201 file of the personnel.
9. The HRDO provides the Employment Proceeding Form to the Treasury and Accounting Office as basis for compensation and benefits.
10. **Re-Hiring.** In cases where a former academic personnel has voluntarily resigned and wishes to be re-employed, he will be treated as a new applicant, subject to the usual pre-employment procedures. The rank is determined based on the rules on initial ranking.

11. All personnel shall be compensated in accordance with their classification and rank as indicated in their employment contract.
12. **Orientation of New Personnel**. To familiarize them with all the University rules, policies, set-up, and facilities, all new personnel should undergo an orientation to be spearheaded by the HRDO Director.

PRE-EMPLOYMENT FLOWCHART



C. EMPLOYMENT CONTRACTS

1. Upon the employment of an academic personnel, he shall be issued the corresponding employment contract which indicates, among others, the rank and classification of the personnel, the terms and conditions of the employment, and the period covered by the employment contract.
2. Temporary and probationary academic personnel are required to signify in writing to the HRDO, their intent to teach for the succeeding semester at least a month before the expiration of their contract at the HRDO. Failure to do so shall be construed as disinterest to the renewal of the contract. The employment relation is thus automatically severed upon the expiration of the contract.
3. The University reserves the right whether or not to renew the employment contract of temporary, probationary or part-time academic personnel. Hence, the filing of re-application by a former academic personnel is not a guarantee that he shall be assigned an academic load, since the same is dependent on the availability of teaching load and the result of his/her performance evaluation.
4. Probationary or part-time academic personnel who obtains an unsatisfactory rating in the Students' Evaluation, or Dean's evaluation, or Department Head evaluation in the first semester of teaching may be given a teaching load in the subsequent semester or term, subject to availability of load. In no instance may a probationary or part-time academic personnel be renewed if he obtains unsatisfactory rating in the Students' Evaluation, or Dean's evaluation, or Department Head's evaluation for two semesters, whether consecutive or not. It shall be the primary responsibility of the Academic Deans/Heads of offices to monitor the performance of academic personnel under their supervision.
5. An employment contract covers an entire semester of five months starting August 1 for the first semester and January 1 for the second semester. An academic personnel, whether

permanent, probationary or part-time, who wishes to resign must do so at least one month prior to the beginning of a semester, subject to acceptance thereof by the University President. Receipt of the resignation letter should not be construed as acceptance.

6. Resignation within the semester without the requisite acceptance shall make an academic personnel liable to pay damages in the amount equivalent to his/her three month salary or P50,000.00, whichever is lower. A separate penalty in the amount of P75,000.00 shall be imposed upon the employee if he resigns within the semester or summer term for breach of contract**.** In addition thereto, all of his/her accrued benefits granted by the University, by law, or by virtue of a Collective Bargaining Agreement shall be forfeited.
7. During the effectivity of the contract, an academic personnel enjoys security of tenure, and may not be suspended, terminated or separated, except for just or authorized cause/s or other causes enumerated in the MORPHE and in this manual and subject to the observance of the requirements of due process in all instances.

D. INITIAL RANK

1. The initial rank of academic personnel is approved by the University President upon the recommendation of the Personnel Selection Rank and Tenure Committee (PSRTC).
2. Newly hired academic personnel without previous teaching or related professional experience shall be assigned the initial rank of Assistant Instructor 1.
3. Newly hired academic personnel with previous teaching or related professional experience are given an initial rank based on the following rules:
    a. As a general rule, no newly hired academic personnel may be given an initial rank higher than that he could have obtained if he would have been in SMU on a full load basis;

b. For academic personnel with previous full-load teaching experience in the tertiary level, he shall be credited in full for the years of full-load service that he rendered in an accredited institution listed by the Federation of Accrediting Associations of the Philippines (FAAP). Otherwise, he shall only be credited two-third (2/3) of the total number of full-load teaching.
c. For academic personnel with previous full-time practice of profession, he shall be given a credit of half-year for every year of full-time practice of profession. In order for their previous full-time professional practice to be credited, sufficient proof must be provided by the applicant.
d. For academic personnel with previous teaching experience in the pre-tertiary level, he shall be given a credit of one (1) year for every year of full-load teaching experience in SMU and in CICM sister schools, or one-half (1/2) if the teaching experience was acquired from other schools.
e. Only the full years of service will be credited in the determination of the initial rank. Any fraction of the total years of previous experience will not be counted.

4. Regardless of the years of teaching and other related experience, a newly-hired academic personnel who does not meet the minimum educational qualifications to an academic rank shall be on ceiling. For instance, the ceiling rank without an aligned or allied master's degree is Assistant Instructor 3 even if the years of teaching experience is beyond 3 years.
5. Resigned academic personnel who are re-hired will be treated as a new applicant and the rank is determined based on the rules on initial ranking.
6. Retired academic employees who are rehired as lecturers maintain their last rank upon retirement.

7. In the case of visiting and guest lecturers, their pay shall be determined by the Advisory Board taking into consideration their special qualifications.

E. GRANT OF FACULTY TENURE

1. The grant of tenure is conferred on the academic personnel by the University President upon the recommendation of PSRTC on the basis of his/her educational qualifications, performance evaluation results, and credited years of service to the University;
2. The Director of HRDO shall notify the Vice President for Academic Affairs and the Academic Dean/Head of Office before the beginning of the sixth semester of a probationary Academic Personnel that he/she is up for tenure the following semester. The Vice President for Academic Affairs and the Academic Dean/Head of Office shall decide on whether or not to recommend the grant of tenure to a probationary academic personnel, taking into consideration his/her educational qualifications and performance evaluation. The corresponding recommendation, duly signed by the members of the PSRTC, must be submitted to the Office of the University President at least two months before the end of the probationary period.
3. The University President shall relay his/her decision to the HRDO Director, who shall prepare the corresponding document, at least six weeks before the end of the probationary period. The HRDO Director shall prepare the tenure appointment or notice of non-renewal of contract for signature of the University President.
4. The academic personnel shall be forthwith informed of the decision of the University President by personally serving upon him/her either the tenure appointment or notice of non-renewal of contract. In either case, the concerned personnel should acknowledge the receipt of the document

which shall thereafter be filed in the personnel's 201 in the HRDO.

5. SPECIAL PROVISION. Academic personnel who have been Temporary for at least two years and subsequently obtained the minimum qualification may be granted a shortened probationary period as follows:
    i. The two years temporary and one-year probationary years of service should show an increasing trend of performance evaluation rating in the Satisfactory level (rating of 75 to 79), or sustained at least Very Satisfactory performance rating.
    ii. A temporary personnel's performance evaluation rating that slides down within the Satisfactory level will require a probationary period of two years.
    iii. The personnel's employment period prior to obtaining the minimum qualification will remain as temporary employment.
    iv. The counting of credited years of service as basis for the longevity award and other benefits remains as presently practiced.

F. CHANGE OF PERSONNEL STATUS FROM ACADEMIC TO NON-ACADEMIC

1. Change of personnel status from academic to non-academic status must be initiated by the employee.
2. If there exists a non-academic vacancy, an employee who intends to apply, submits a letter of application to the University President who in turn consults the Advisory Board, HRDO, and unit head concerned. The employee undergoes the appropriate skills tests and interview, and the PSRTC makes its recommendation to the President who makes the final decision.
3. Management shall review the qualifications, work experience, performance evaluation and qualities of the

employee to ensure suitability before the reclassification or transfer is approved.

4. Upon approval of the re-classification from academic personnel to non-academic personnel, the personnel:
    a. will no longer undergo the probationary period if he/she is permanent academic personnel or has rendered one-year probationary period.
    b. will undergo the probationary period if he/she is temporary academic personnel. The period of probation may be shortened or waived at the discretion of the University President
5. Upon transfer to non-academic status the employee shall be governed by the Administrative and Employment Manual for Non-Academic Personnel.
6. The PSRTC shall decide on the appropriate rank based on the rules on initial ranking for non-academic personnel.
7. The letter from the President concerning the transfer or reclassification and the assigned rank shall contain a *Conforme* which upon signing by the employee becomes binding.
8. The transfer will not interrupt the credited years of service in SMU.

G. TRANSFER FROM ONE ACADEMIC LEVEL TO ANOTHER

1. Transfer from tertiary to any level of basic education or vice versa, may be initiated by the employee or management.
2. If there exists a vacancy in any academic level, an academic personnel who intends to apply, submits a letter of application to the University President who in turn consults the Advisory Board, HRDO, and unit heads concerned. The academic personnel undergo the psychological tests and interview, and the PSRTC makes its recommendation to the President who makes the final decision.
3. In like manner, after assessing the needs of the university and with due consultation with the HRDO, the unit heads

concerned and the employee, the Advisory Board may transfer an academic personnel to an appropriate level where their qualifications and skills are most needed either in the tertiary, senior high school, junior high school, or grade school level. The employee undergoes the appropriate psychological tests and interview, and the PSRTC makes its recommendation to the President who makes the final decision.

4. Management shall review the qualifications, work experience, performance evaluation and qualities of the employee to ensure suitability before the transfer is approved.
5. Upon transfer to the new academic level, the Administrative and Employment Manual for Academic Personnel for that level shall apply.
6. The PSRTC shall decide on the appropriate rank based on the rules on initial ranking for that academic level.
7. The letter from the President concerning the transfer and the assigned rank shall contain a *conforme* which upon signing by the employee becomes binding.
8. The transfer will not interrupt the credited years of service in SMU.

H. CHANGE IN EMPLOYMENT STATUS FROM FULL-TIME TO PART-TIME ACADEMIC TEACHING PERSONNEL

1. Change in status of permanent and probationary academic teaching personnel to part-time status may be initiated by the employee.
2. The academic teaching personnel submits, one month prior to the start of the school year, a letter of intent to change to part-time status to the University President noted by the Dean. The University President informs the Advisory Board, HRDO, and Treasury and Accounting Office.

3. The change in status will result to forfeiting his/her probationary or permanent status including the benefits attached.
4. The letter from the President concerning the change in status shall contain a *Conforme* which upon signing by the employee becomes binding.
5. If the reclassified part-time academic teaching personnel re-applies for full-time status, he/she shall undergo the re-hiring process and will be treated as new employee.

I. CHANGE IN EMPLOYMENT STATUS FROM PART-TIME PARTIAL LOAD TO FULL LOAD ACADEMIC TEACHING PERSONNEL

1. Change of personnel status from part-time partial load to full load academic teaching personnel (not less than 24 units) is initiated by the employee.
2. If there exists a vacancy, an employee who intends to apply, submits, one month prior to the start of the school year, a letter of application to the University President who in turn consults the Advisory Board, HRDO, and unit heads concerned. The employee undergoes the appropriate psychological tests and other requirements for full load academic teaching personnel applicants. The PSRTC makes its recommendation to the President who makes the final decision.
3. Management shall review the qualifications, work experience, performance evaluation and qualities of the employee to ensure suitability before the reclassification is approved.
4. The work requirements and performance evaluation for full load academic teaching personnel will apply.
5. Application for change in status from full time to part time must be made at least one month prior to the start of the school year to allow the dean and HRDO to make the necessary adjustments.

Chapter Four

PROFESSIONAL AND SOCIAL RESPONSIBILITIES OF ACADEMIC PERSONNEL

The academic personnel are the primary personification of the University to the students and to the community. As such, their character and reputation will reflect on the way others look at Saint Mary's University as a Catholic institution of learning. This necessitates the Academic Personnel to live up to Christian values and Marian spirituality and adhere to the Philippine Professional Standards for Teachers, Code of Ethics for their respective Professions, and Code of Proper Conduct for SMU Personnel.

I. PROFESSIONAL RESPONSIBILITIES

A. Professional and Christian Spirit

1. Saint Mary's University envisions the gathering of academic personnel who are not only excellent and innovative, but more so who are deeply imbued with the mission of forming and animating a vibrant Christian community. As Christian disciples and as members of God's people, the academic personnel are witnesses to the world of the saving love of God. As such, the academic personnel are called to be supportive of the welfare of one another and to form a truly witnessing Christian community that evangelizes not only themselves but also the communities around them.
2. The academic personnel have to live, therefore, as committed Marians who know God in Jesus, glorify and worship Him in their lives, and in their professional work, and who are motivated by Christ's spirit and Mary's example to give service to their students even beyond the normal demands of school work.
3. The Marian academic personnel find fulfillment in involving themselves in various forms of community development, extension services and outreach activities.

B. Professional Excellence, Innovation and Communion

The Marian academic personnel strive to possess the following qualities of a good teacher:

1. **Excellent**. He/She knows his/her subject matter thoroughly and is interested in his/her profession. He/She is a true scholar and never stops studying and learning. He/She is willing and ready to handle new subjects when called upon and shows openness for intellectual growth.
2. **Efficient and diligent**. He/She always prepares for class work. He/She handles his/her class systematically and carefully. He/She organizes his/her lessons well, uses syllabi, summarizes and outlines his/her subject contents. He/She has definite standards of work and holds students responsible for meeting these, thus helping them to be competent. He/She gives clear, varied and reasonable assignment that will develop the critical and creative thinking of the students. He/She is able to show relationship of class work and subjects to daily life.
3. **Innovative**. He/She is resourceful and uses various methods of teaching and adapts these to the subject matter and to his/her students. He/She uses a variety of audio-visual materials and instructional technology.
4. **Missionary.** He/She has a sense of volunteerism and social responsibility.
5. **Objective**. He/She gives valid and varied assessments, grades accurately and fairly, returns learning outputs promptly, discusses them with the class and gives adequate time for review. He/She encourages the students to participate in class work and to express their ideas freely and gives them a chance to think for themselves.
6. **Student-centered**. He/She strives to know the students individually and keeps them engaged in the teaching-learning process by providing the learners avenues to interact or collaborate with one another as they learn how to

learn. He/She keeps the course work adjusted to learning capacities and comprehension of his/her students. He/She constantly diagnoses students' needs, does remedial teaching, and individualizes his/her instruction. He/She keeps students well-informed of their academic standing.

7. **Compassionate**. He/She is humane, sociable, polite, tolerant and mature in dealing with students, colleagues, administrators, parents/ guardians and other stakeholders. He/She is willing to attend to students' needs even outside of class hours. He/She is intellectually honest and humble; willing to admit his/her own shortcomings and errors.

C. Professional Growth and Leadership

1. Professional competence demands continuous professional growth that promotes professional leadership. Some factors indicative of the professional growth of the academic personnel are:
    a. Preparation of instructional materials and other teaching tools; and publication of books, manuals, modules and the like;
    b. Completion of relevant and aligned doctoral degrees, and postgraduate studies, or additional training relevant to one's work; and regular renewal of professional license;
    c. Current leadership/membership and active involvement in recognized associations in line with one's profession;
    d. Active participation in research activities, writing research reports and publishing in reputable professional journals; and
    e. Representing Saint Mary's University in different learned societies and organizations when authorized.
2. The faculty development program of the University helps academic personnel achieve professional competence by offering full scholarships in the master's and doctoral

programs to academic personnel. Other opportunities are given in the form of seminars, workshops, trainings, industry immersion, mentoring, etc.

II. SOCIAL-PROFESSIONAL RELATIONSHIPS

A. Academic Personnel - Administration Relationship

1. Saint Mary's University believes that the personnel are its greatest assets. The personnel are treated with the dignity of a human being; are encouraged in their human and professional development; are justly rewarded, fully informed, and properly assigned so that their lives are given meaning and dignity.
2. The Administration takes upon itself, as a moral obligation, the development of the academic personnel, for which reason it offers to them the opportunities for graduate studies, scholarship grants and other personal, professional, psycho-spiritual development activities, with all privileges attached thereto.
3. As one of the basic rights of man is to be informed truthfully and be given an active part in public affairs, the principles of right information and active participation in policy-formulation are upheld in the relation of the Administration and the academic personnel in the University. The Administration believes that efficiency and success depend upon teamwork and mutuality of interest in achieving the objectives of the University, especially the welfare of the students.

   The relationship between the Administration and the academic personnel, therefore, is not one of subordination, but of corporate interest and co-responsibility. The academic personnel work <u>with</u> rather than <u>under</u> the Administration, for the Administration holds in high respect the academic personnel's rights. The academic personnel should consider themselves as extension of the Administration in its educational task.

4. In the spirit of cooperation, the academic personnel speak well of the Administration. They support and defend its policies. The Administration acts in the same way towards the academic personnel. In this spirit, loyalty is developed in two directions: from Administration to academic personnel and vice-versa.
5. To attain success, the academic personnel have to share in the total school program from routine activities like recording and reporting class attendance to the complex problems of curriculum development and policy-making.
6. The Administration strongly supports an open-door policy whereby the academic personnel freely communicate and participate with the Administration in the formulation and implementation of sound educational practices and programs, designed to enhance the University position as a higher institution of learning. This practice of academic personnel participation is in keeping with the principles of subsidiarity which has been strongly advocated by the papal encyclical "*Mater et Magistra*." The University wants this principle to be carried out and practiced so that every academic personnel can contribute his/her share in the attainment of the University's common objectives. This it does while being guided by the principles of Christian and democratic processes, for the resolution of problems must be made after considering all aspects of University life -- the academic, the administrative, the human, the socio-economic and spiritual.
7. Academic personnel involvement in shaping and executing Administration's policies manifests itself in the following ways:
    a. Conscientious implementation of the policies and regulations duly promulgated for the purpose of operational efficiency;
    b. Coordination, whenever needed, with the different offices in the University as stipulated in this Manual and other official documents and issuances;

c. Wholehearted participation in meetings called
   (i) to analyze existing policies or formulate new ones; and
   (ii) to discuss rules and regulations or problems, including curriculum development;
d. Serving in different committees and participating actively in meetings by sharing one's opinions on University educational methods, policies, or procedures;
e. Taking an enthusiastic interest in and giving unselfish support to all officially sanctioned activities;
f. Personal handling of routine disciplinary problems met within the classroom, unless otherwise stated;
g. Rendering voluntary service when needed;
h. Cooperating with the Administration in the selection of textbooks, supplies, and equipment that best fit the interest of the students; and
i. Maintaining cordial, friendly, and wholesome relations with those who exercise authority; and
j. Reporting violations of policies, rules and regulations by students and fellow personnel to the proper authorities.

B. Academic Personnel - Peer Relationship

1. The academic personnel, in order to become a truly effective and dynamic educational force, must establish a friendly but dignified relation among their peers which include fellow personnel. Highly professional respect and congenial spirit should be displayed at all occasions. Through an amiable and fraternal attitude, which is manifested in all dealings among personnel, a feeling of unity and teamwork is generated. This way, cooperation, and not competition, becomes the norm of peer relationship.
2. If the academic personnel are to create a community in which Christian and democratic principles are nourished,

and which they are called to, they must themselves be free, cooperative, and capable of working together. In actual practice, this means that the Marian Academic Personnel observe the **"Code of Ethics for Professional Teachers"**. Hence, an academic personnel:

a. Speaks well of his/her fellow personnel at all times and in all places and protects personnel's interests in or out of the presence of students, parents, and others;
b. Assists his/her fellow personnel in their work whenever necessary;
c. Works harmoniously with other members and reinforces coordination through channels;
d. Gives his/her personal and professional support to activities in which his/her fellow personnel are duly engaged;
e. Contributes in creating an *esprit de corps* which makes no distinction among the Schools/Departments/units to which other personnel belong;
f. Holds inviolate all the confidential information given to him/her in the exercise of his/her professional functions;
g. Should he/she be one who is senior in service, extends a helping hand to new personnel through peer coaching or mentoring so that they may get more easily adjusted to their work and to the University environment;
h. Should he/she be a new employee, inquires why things are done as they are, before disregarding them or adversely commenting on them or extends help in areas where he/she is familiar;
i. Does not discuss in class his/her personal troubles with his/her peers nor criticizes them in the class for this is against fair play and ethics; and
j. Engages in objective peer evaluation of instruction

for mentoring.

C. Academic Personnel - Students Relationship

1. An academic personnel directs his/her immediate attention to the students whose interests and needs he is directly charged with, by virtue of his/her profession, and his/her teaching contract.
2. He/She treats his/her students fairly and respects their personalities and potentials. He/She considers his/her students' individual differences. He/She does not allow prejudice, preference or discrimination to have any place in his/her relations with students.
3. He/She is prohibited from tutoring with remuneration or material value his/her own students and other students of the school. Instead, he/she conducts consultation with students who need remedial attention and offers his/her services to implement the shepherding program out of dedication to his/her profession.
4. To obtain a better operational efficiency of the University, academic personnel should know and implement the policies of the Student Handbook as well.
5. Merit should serve as the only criterion for the academic personnel to evaluate the performance of his/her students. Grading and promotion of students are generally determined by the academic personnel in accordance with the evaluation standards set by the Institution and not by any other consideration.
6. All academic personnel should extend special attention, kind consideration, and sustained interest even outside the classroom to first year students and transferees since the first school year is a period of adjustment.
7. Guidance of students, either formal or informal, is the concern of all academic personnel. The academic personnel provide their students with guidance within their expertise and specialization or they refer their students to guidance counselors for professional counseling.

8. In the activities of the co-curricular and extra-curricular organizations, the academic personnel have the mandate of inspiring the duties of citizenship and of a peace-loving citizen of the Republic.
9. To promote a constructive relationship with the students, the academic personnel integrates in his/her dealings with his/her students the following considerations:
    a. Provision of wholesome motivation and appreciation rather than aggressive opposition;
    b. Provision of a tolerant, patient, and sympathetic understanding of students' problems, difficulties, physical and health conditions, and limitations;
    c. Provision of a wholesome learning atmosphere;
    d. Offering constructive criticism when necessary even for non-scholastic activities, such as sports, hobbies, etc.;
    e. Consideration of the capacity and welfare of the students in the giving of class requirements;
    f. Maturity in dealing with the challenges of the teaching profession;
    g. Avoiding the sending of students to do personal errands during or out of classes; and
    h. Avoiding any commercial or business transactions with students.

D. Academic Personnel - Parents Relationship

1. It is helpful for the academic personnel as educators to have some awareness of the student's parents' cultural and socio-economic background, the personal relationship he/she has with his/her parents, and the religious atmosphere and attitudes in his/her home.
2. Academic personnel shall exercise special parental authority. As such, they are given the responsibility of cooperating with the parents in molding the youth. Outside of formal teaching, they cooperate with parents in guiding the cultural and recreational activities of students; helping the parents in directing the students in the wise use of leisure hours; and

establishing contact with parents concerning the problems of students.

3. Academic personnel should avoid any commercial or business transactions with parents/guardians using undue influence or moral ascendancy.

E. Academic Personnel - Community Relationship

1. Every academic personnel constitutes a link with the community. In civic, cultural, social and religious gatherings an academic personnel uses effective means to inform the public about the University's objectives, functions, programs, plans and policies.
2. Academic personnel should be genuinely interested in the conditions of the community. Membership in civic, cultural and religious associations and participation in community projects are encouraged. However, academic personnel should exercise due care before accepting advisorship to non-Saint Mary's University organizations and discuss it with his/her Dean and the University President.
3. Academic personnel should refrain from accepting advisorship to fraternities or sororities within or outside of the University.
4. In order that political activities of an academic personnel may not prejudice his/her teaching services, an academic personnel who plans to run for public office should present his/her plans in writing to the Advisory Board duly noted by his/her immediate superior before the beginning of the semester. The Advisory Board may request him/her to be on leave or to reduce his/her load substantially, to let him/her devote his/her time to his/her political activities. This is an act of justice and fairness to himself/herself and to his/her students.

III. OTHER PROFESSIONAL RESPONSIBILITIES

A. Academic Personnel and the University Learning Resource Center (ULRC)

1. **Academic Personnel Use of the ULRC**
   a. An academic personnel is given the privilege to use the resources of the ULRC. Observance of rules and regulations of the ULRC is expected on his/her part. Thus, academic personnel should read ULRC policies and circulars in order to be properly informed about the ULRC and its collection.
   b. New academic personnel must attend an orientation about the ULRC.
   c. Where "open shelf" is observed, every academic personnel must deposit bulky personal belongings at the designated areas, except writing materials and valuables.
   d. Academic personnel must personally borrow books and fill in the loan record and book card.
   e. An academic personnel should not borrow books for other people. To do so would be tantamount to depriving students (who pay ULRC fee) of the use of books.
   f. An academic personnel may borrow 15 books at a time (those which are not in demand), from the main and branch libraries (except College of Law Library), for a period of one month. This loan privilege does not apply to reference books, periodicals and theses. Moreover, any book which is urgently needed may be recalled with due notification to the academic personnel concerned. The rules on overdue books and fines for students apply also to the academic personnel.
   g. At the end of each term, academic personnel should return all books borrowed and settle accounts before a clearance can be signed by the ULRC Director.
   h. Academic Personnel enrolled as graduate students should follow the rules and regulations just like any other graduate student.

i. Books duly borrowed by an academic personnel are entirely under his/her responsibility.
j. Academic personnel may give suggestions to the ULRC Director for the improvement of the ULRC services.
k. Academic personnel should not ask the ULRC personnel to conduct research work for them.

2. **Acquisition of New Books**
   a. Should there arise a need for new books or additional copies of a book in the ULRC, the academic personnel concerned submits to the Department Head the list of books recommended for purchase. Book orders endorsed by the Department Head and the Dean are forwarded through the Director of ULRC to the Vice President for Academic Affairs who approves and endorses same to Vice President for Finance and Treasurer for purchase.
   b. As a manifestation of professional responsibility, every academic personnel regularly and continuously updates himself/herself on the ULRC's new books and periodical acquisitions, particularly on those in his/her field of specialization, through visits to the browsing sections or from the ULRC newsletter, Web OPAC, and Facebook page.

3. **The Academic Personnel and the Students' Use of the ULRC**
   a. Academic personnel should encourage their classes to make frequent and proper use of the ULRC through well-planned out-of-class activities that promote the wide use of ULRC resources.
   b. At the beginning of a regular semester or summer term, every academic personnel should designate some books, which are directly related, or extremely important in the understanding of the course he/she is going to teach during the term. Such books are placed in the Reserved Books Section of the Main Library. These books must be with copyright year of not older than five years and listed (with call numbers) in the course syllabi.

c. Library research assignments given to students must be realistic i.e. given according to the physical possibilities of the present collection of the ULRC. Library research assignments should not be given in lieu of regular class schedule.

B. Organization Advisorship

1. The Adviser of a co-curricular organization is appointed by the Academic Dean, while the Adviser of an extra-curricular organization is appointed by the Dean of Student Affairs and Services. Acceptance of advisorship is a healthy sign of understanding that education is not achieved only within the confines of the classrooms.
2. The activities of co-curricular and extra-curricular organizations must be reflective at all times of Saint Mary's University's vision-mission statements. Academic personnel Advisers and all other academic personnel should, therefore, give due attention to the following regulations:
   a. The prescribed rules and regulations governing student activities should be observed, as provided in the Saint Mary's University Student Handbook**.**
   b. Activities of co-curricular and extra-curricular organizations should be held preferably during free hours of the day or on free days so that class hours are not disrupted. Exceptions may be given in cases duly approved by the President.
   c. Academic personnel are strictly prohibited from collecting money or the like from the members of student organizations unless authorized to do so in writing by the Academic Dean and/or the Dean of Student Affairs and Services.

C. Academic Freedom

1. The University upholds the exercise of academic freedom by all academic personnel in consonance with the provision of Sec. 8 (2), Art. XV, of the 1987 Constitution. As such, every

academic personnel has "the freedom to investigate the problems of his/her science and express his/her conclusions whether through publications or in the instruction of students without interference from (university) authorities unless his/her methods are found by qualified bodies of his/her own profession to be clearly incompetent or contrary to professional ethics."

2. The exercise of academic freedom, however, should not diminish or preclude the obligation of academic personnel to disseminate and live by the creeds and principles on which Saint Mary's University as a Catholic institution is founded.

IV. SPECIFIC DUTIES AND RESPONSIBILITIES

A. Attendance and Punctuality. The University expects all personnel to have a professional attitude towards attendance and punctuality at work. Absence from work disrupts the normal operations of the University and results to the short-changing of services to students. On the other hand, tardiness delays the start and hence the completion of classroom activities. Absences should only be for valid reasons/emergency cases. All academic personnel should:

1. Record their daily attendance by using the biometrics. They should register their time-in and time-out in the morning and in the afternoon. In cases of biometric breakdown, attendance should be recorded in a logbook.
2. Submit their attendance record to the HRDO immediately within one week from the day of an activity conducted outside of the University such as RLE, OJT, field work, etc.
3. Meet their classes regularly and punctually. Personnel should proceed to their class five (5) minutes before the start of the class. Accumulated tardiness and undertime reported by the checkers will be deducted from their salary and performance evaluation.

Excessive and habitual absenteeism shall be dealt with in accordance with the Code of Proper Conduct for SMU Personnel.

4. Start and dismiss their classes on time. A lecture class may be dismissed five (5) minutes before the next period. A two or more hour class period may be given a fifteen (15) minutes break. A personnel should not dispense with the fifteen- minute break to justify early dismissal;
5. Accomplish the Employee Leave Form (ELF) and Alternative Classroom Activity Form (ACAF) in accordance with the existing University rules. Absences that are not covered by ELF and ACAF, or filed after the absence (except for emergency cases), are unauthorized absences which shall be considered in the performance evaluation of personnel.
    a. Absences are of two types namely: Authorized and Personal Absences.
        i. Authorized absences include Official Business (OB), Official Time (OT), Birthday Leave, Bereavement Leave, Solo Parent Leave, Maternity/paternity leave and others authorized by the VP for Administration. Official Business includes being sent for seminar or being sent by the Administration to transact business for the University. Official Time is granted when personnel is allowed to attend external engagements without financial support from the University or on personal capacity and not as an official representative of the University but with the approval of the University. Authorized absences do not affect performance evaluation and pay;

ii. Personal absences consist of sickness and other emergencies.

b. Absences that affect performance evaluation are personal absences excluding death of immediate family member (maximum seven days), sickness with medical certificate and emergency cases as assessed by the supervising head. Absences deducted from pay include all personal absences in excess of twelve (12) days;

c. Tardiness is committed when the employee reports in class but does not arrive at the officially designated starting time. Making up for tardiness by extending a few minutes or hours longer is not allowed. Early dismissal of classes is also not allowed.

d. **Alternative Class Activity Form**

i. The Alternative Class Activity Form (ACAF) is accomplished by the academic personnel when the class is expected to be outside of the designated classroom/laboratory, performing or participating in an alternative activity.

ii. The academic personnel is expected to be with the class even during alternative class activities. Otherwise, the academic personnel will be marked absent.

iii. The ACAF should be approved by the Department Head and/or Academic Dean and submitted to the HRDO before the conduct of the alternative activity.

6. Absences of academic teaching personnel in the classroom shall be computed on the basis of the following formula:

FULL LOAD ACADEMIC PERSONNEL:

$$\text{Monthly Absence (days)} = \left[\frac{\text{No. of Hours Absent per Month}}{\text{Total Teaching Hours per Month}}\right] \times \text{Total Working Days in a Month}$$

PARTIAL LOAD ACADEMIC PERSONNEL:

$$\text{Monthly Absence (hours)} = \text{No. of Hours Absent per Month}$$

7. Attend University functions and School activities where attendance is required.
    a. All academic personnel are expected to attend general academic personnel meetings, departmental meetings, recollections, educational assemblies, convocations, seminars, in-service trainings and other institutional functions. The part-time academic personnel are encouraged to find time from their work outside the University to attend such activities/functions. These are opportunities for professional growth which Deans and Departmental Heads should organize.
    b. The University functions are the following:
        1. **Absences from the following University Activities will be deductible from performance evaluation and pay**:
            i. Academic/Administrative Sessions- At the beginning of each semester, all academic personnel are called to attend an academic/administrative sessions . It is followed by a general meeting in which plans and recommendations for the semester are presented by the President.
            ii. Recollection/Retreats- These activities are arranged by the Campus Ministry Office for further spiritual formation of employees. They may be held in or outside the campus.

iii. University Games - To promote sportsmanship, leadership and community spirit, the University holds competitive games among the students, academic personnel and staff of the different schools/colleges.
iv. Foundation Day (December 8) - This day commemorates the founding of the University and the renewal of the academic personnel's dedication to sustained educational service.
v. Commencement Exercises - The Graduation Exercises with the Baccalaureate Mass are the culminating activities of the academic community.
vi. Programs/Activities during Special University Holidays – These are celebrations in observance of special occasions such as CICM Founding Anniversary, University President's Birthday, Sacerdotal Anniversary and the like.
vii. Opening and Closing Activities of the SMU Integral Growth and Lifestyle Advocacy (SIGLA)
viii. Other activities/functions which are initiated, organized, called for, or required by the University President.

2. **Absences from the following activities will be deductible from performance evaluation:**
   i. Recognition Program - It marks the official recognition of the university scholars service grantees and dean's listers in a simple academic convocation.
   ii. Gawad Maria Program – This marks the official recognition of the university's outstanding personnel and tribute to retirees and service awardees.
   iii. Monthly flag raising ceremony – The flag raising ceremony is an occasion to be well abreast of current developments in the university.

B. Academic Responsibilities. All personnel are expected to strive for excellence in the performance of their respective duties to meet the standards set by the University. For this reason, they should

1. Obtain at least a satisfactory rating in the teaching performance evaluation conducted by the University twice a year.
2. Conduct scholarly researches and participate in the community extension activities.
3. Prepare and update the syllabus in coordination with members of his/her academic department head and/or Dean, and be guided by it in the conduct of day-to-day classroom instruction. Copies of the approved syllabus must be distributed and discussed to the students during the first day of classes. The entire subject matter included in the syllabus must be covered during the semester.
4. Undertake classroom management and delivery of instructions through creative and innovative teaching, proctoring, mentoring and advising following the prescribed syllabus.
5. Be available during consultation time for his/her students. Academic teaching personnel should allot at least one hour a day for this purpose. The schedule of consultation hours of the faculty should be posted on the college or department bulletin board for information. It shall be the joint responsibility of the Academic Dean and the Department Head to ensure that academic teaching personnel under their supervision are available for consultation during the designated hour**.**
6. Conduct make-up classes for sessions missed.
7. Give special major examinations to students with authorized and excused absences.
8. Return quiz papers, activity outputs and assignments to students and discuss the computation of their grades.
9. Submit within the period prescribed by the University the final grades of students to the Office of the Registrar.

C. Professional and Ethical Responsibilities. As personnel of a Catholic institution of higher learning, every personnel is expected to be guided by the Marian virtues in performing his/her duties and responsibilities and in dealing with others. They are expected to observe high standards of professional conduct and ethics in their work. For this purpose, every personnel should take it upon himself/herself to read, understand and live by the provisions of this Manual, the Code of Proper Conduct for SMU Personnel, the SMU Anti-Sexual Harassment Implementing Guidelines, the Code of Professional Ethics in their professions, and other similar laws and guidelines.

D. Property Accountability. Every personnel is responsible for all University properties entrusted to him/her by virtue of the functions of his/her office/position. Hence, all personnel

1. who are entrusted with keys to offices, classrooms, cabinets, lockers and other enclosures shall be held accountable for all losses and damages sustained by the University by virtue of his/her neglect in the use of the keys;
2. shall be held accountable for any loss of or damage to University properties due to their neglect and want of due care and shall pay its replacement value; however, the personnel shall not be liable for such losses due to *force majeure* or causes beyond their control;

Financial liability for failure to follow University rules on proper maintenance of facilities: Any employee who was reported and proven to have violated the University rule of switching off lights and electrical units (like air-conditioning unit, ceiling/orbit/electric fans, computer units, laptops and other similar office equipment and gadgets) will be liable to pay an equivalent power cost computed per day or per night.

The payment of electricity cost shall not relieve the person from any corresponding sanctions based from the Code of Proper Conduct for SMU Personnel.

Unit/Gadget	Charge
Lights, ceiling/orbit/electric fans, exhaust fans	Php100.00/night Additional Php200.00/day**
Computer units, laptops & peripherals (AVR, UPS), water dispenser and closets, and other similar appliances	Php150.00/night Additional Php300.00/day**
Aircon units	Php500.00/1 or ¾ hp air-conditioning unit Additional Php1,000.00/day**

**Sunday or holiday

3. are prohibited from appropriating or converting school properties for their personal or for a third person's advantage. All office facilities and office supplies are to be used only in the office and are strictly for University business. In cases when University properties are brought out of the University, the corresponding forms must be properly filled up; and
4. are obliged to report as soon as possible to the Vice President for Administration any occurrence of loss or damage to University properties, regardless of causes such as acts of robbery, theft, natural calamity and the like.

E. Proper Grooming and Attire. All personnel are expected to wear the prescribed uniform and their ID. During the "dress down" (non-uniform) days , the following are not allowed:

1. For Female Academic Personnel
    a. Tight-fitting pants, and knee-length pants, slashed or ripped denim pants;
    b. Very tight skirts, and mini-skirts;

c. T-shirts or blouses which are tight-fitting, with plunging necklines;
d. Bare backs, haltered and flimsy blouses which are worn without undershirts;
e. Very short or hanging blouses which expose the stomach or mid-rib;
f. Bright colored hair and highlights; and
g. Rubber slippers/ flat step-in

2. Male Academic Personnel
   a. Very long T-shirts;
   b. T-shirts which are tight fitting;
   c. Slashed or ripped denim pants;
   d. Cross-dressing;
   e. Rubber slippers;
   f. Long and/or bright colored hair and highlights;
   g. Hair accessories (such as kerchief and others) and earrings.

F. Trustworthiness/Confidentiality of University Information. It is the responsibility of all personnel to safeguard the confidentiality of the records in their respective offices. No official records should be shown, lent or released to anyone without the approval of the supervisor responsible for them.

During meetings, no one is allowed to record the proceedings unless authorized by the presiding officer. The keeping of any unauthorized recording of conversations in the course of official business without the knowledge of the persons involved shall be treated as "Unacceptable Behavior" and subject to disciplinary action. Annex D explains further the guidelines on confidentiality.

G. Consideration of Others and Concern for Safety. All personnel should always be considerate of their colleagues. Such attitude leads to high morale, smooth office teamwork and greater

productivity. Being considerate, however, should not be misinterpreted to mean unjustified tolerance of misdeeds.

To ensure security and safety of the University properties, as well as personal belongings of all personnel, the following shall be strictly observed:

1. Rooms or offices must always be locked, especially after office hours;

2. Upon leaving, all switches for lights and appliances shall be turned off;

3. Bags and packages brought in and out of the school premises, and delivery vans and vehicles are subject to inspection by the guards; and

4. Personal property of personnel brought into and brought out from the University premises must be properly recorded and registered in the security logbook/properly filled-out form.

H. Good Housekeeping. Proper housekeeping should be a daily personal responsibility of all personnel. Offices should be kept clean. CHSF rules should be observed at all times. All teaching personnel should never leave a classroom unless the chalkboards or white boards are clean, chairs are in proper order, and lights, electric fans and/or air conditioning units are turned off. Use of University electrical resource for personal consumption is discouraged.

I. Honesty. Dishonesty is certainly inconsistent with the basic precepts of professional standards and moral calling of all Christians. Thus, all personnel should observe honesty in their dealings and this should be reflected in the disposition of office supplies, office equipment, use of official time as well as handling

of money and valuables found in the University campus. Dishonest acts shall be dealt with accordingly.

J. Privacy of Offices. In consideration of their colleagues, no visitors should be entertained in faculty rooms and offices. Children of personnel are discouraged from staying in the offices, especially during office hours but instead can stay in the space/facility designated by management. Aside from exposing them to potential hazards, their presence also affects the productivity of the personnel.

K. Transacting Business in the University Premises. Consistent with the goal of the University to uphold the dignity of every personnel, no lenders should be allowed to collect indebtedness inside the classroom and in offices. Personnel are strictly prohibited to sell goods or tickets to students and their parents unless authorized in writing by top management.

L. Overtime and Off-set Work Day. When the exigencies of service so require, the Head of Office may, using the Request Form for Overtime, secure written permission from the Vice President for Administration for academic non-teaching personnel to perform overtime work defined as work beyond 8 hours in a day (or beyond 9 hours in a day for the shortened work week schedule). This authorized overtime work is paid accordingly unless the employee opt to rest by offsetting (not reporting for work) for the equivalent extra hours rendered within 30 calendar days from the date of extra work rendered as approved in the Employee Leave Form (ELF). The normal rest day for academic non-teaching personnel is Sunday while the normal working week is Monday to Saturday or as indicated in the office schedule approved by the Vice President for Administration.

Chapter Five

INSTRUCTIONAL POLICIES

The academic personnel should take cognizance of their three-fold responsibility to the University, to their profession and to their students. More than just a source of livelihood, the employment of academic personnel carries with it a sensitive and crucial obligation to contribute to the molding of the youth to exemplify excellence, innovation, communion and passion for Christ's mission.

I. TEACHING ASSIGNMENTS

A. General Guidelines on Teaching Loads

1. The assignment of teaching loads shall be done by the Academic Dean in consultation with the Department Heads or Coordinators, and the Heads of office for academic non-teaching personnel and the non-academic personnel.
2. The teaching loads may be recommended for revision by the Vice President for Academic Affairs before the University President gives final approval. In certain cases, the teaching load may be reviewed by the Advisory Board.
3. The computation of the compensation for teaching is based on the salary guide of the academic personnel.

B. Load for Academic Personnel

1. The regular or basic teaching load for a full-time academic personnel is 24 unit-hours during the regular semester unless otherwise provided for by law or regulatory bodies (CHED and PRC guidelines). This load includes teaching and other related work such as advisorship for student organizations, committee work, meetings, student consultation, and co-and extra-curricular activities.
2. An academic personnel may be given a maximum of four preparations, except in exceptional instances where the

expertise and availability of the academic personnel is needed or required.

3. Deans, assigning loads to academic personnel under other schools/ colleges, must consult the Dean of the "home" school to enter the course. Teaching loads in other schools/college of the university should not be more than the loads in the "home" school.
4. In general, a part-time academic personnel may be given a load of not more than 17 units. In cases when there is a shortage of qualified full time academic personnel, a part-time academic personnel may be given additional load although his employment status remains part-time.
5. Rank and File Academic Non-Teaching Personnel may be given a teaching load within their office hours with the written consent of their respective Heads of Office. In no instance may their teaching load be more than six (6) units. Their teaching assignments shall not be considered as overtime work and the total office and teaching assignment should not exceed 48 hours inclusive of 4 hours of professional development activities.
6. Non-academic personnel may be given teaching load with written consent of the office Head of not more than six (6) units. For their teaching work, they shall be treated as part-time academic teaching personnel and shall be paid accordingly. As part-time academic teaching personnel, their teaching assignments shall not be considered as overtime work and the total office and teaching assignment should not exceed 48 hours inclusive of 4 hours of professional development activities. Non-academic personnel who are given teaching load could not acquire permanent or regular status as academic teaching personnel.
7. A full-time academic personnel may be assigned an overload of not more than six (6) units in his field of specialization in the Graduate Studies or in the College of Law.
8. Academic personnel who are given some units for supervisory work/coordinating function shall render two

hours of office work for every credited unit per week. For example, a three-unit credit is equivalent to six hours of supervisory work/coordinating work per week. The actual office schedule shall be endorsed by the supervising head for approval by the Vice President for Administration.

9. Deans may endorse to the Advisory Board, through the Vice President for Academic Affairs, to give other assignments credited as units (e.g. Study load, project in-charge) provided, clear outputs are specified. In such cases, a formal agreement is prepared specifying outcomes expected and sanctions for non-compliance to the agreement.
10. The normal teaching load during the midyear term is nine (9) units for full time permanent academic personnel. This nine-unit load is equivalent to 24 units in the regular semester. Probationary and part-time academic personnel may be given teaching loads if there are available loads. Since the availability of subjects is dependent on the enrolment and the number of available teachers, the actual load may be higher or lower provided the priority and criteria for loading are followed.
11. A permanent academic teaching personnel must teach the approved teaching load. Should he/she refuse to teach the assigned teaching load, the Dean directs the academic teaching personnel to submit a written explanation to the University President who may approve or disapprove the request.

C. Administrative and Academic Officers

1. Academic and administrative officers normally render 48 hours of work per week inclusive of four hours of professional development activities usually on a Saturday. The administrative load units cover the supervisory and other responsibilities of the office and work hours rendered beyond the normal office hours and work days when needed.
2. They are expected to have teaching loads aside from their administrative or office work. The Vice Presidents may be

assigned teaching loads whenever necessary. The table below serves as a guide in assigning the teaching load for academic and administrative officers during the regular semester and midyear term unless otherwise specified by CHED, PAASCU or other regulatory bodies.

ADMINISTRATIVE AND ACADEMIC OFFICER	Total or Fixed Units	Expected teaching & special assignments per semester in units or equivalent hours	Expected teaching & special assignments for Midyear Term in units
Vice Presidents	45	3	1.1 summer units
Academic Deans, Registrar, HRDO Director, DSAS, PPPDMO Director	39	12	4.5 summer units
Directors of CICT, CCF, LMCDAC, URC, ULRC, IDQAO	36	12	4.5 summer units
CNS Director	36	18	6.8 summer units
Internal Auditor, Chief Accountant	36	12	4.5 summer units
ADSAS, Heads of Offices	33	12	4.5 midyear units
Department Heads/JD Academic Program Coordinator/Graduate Programs Cluster Department Heads supervising more than 10 Academic Personnel	30	18	9 midyear units

ADMINISTRATIVE AND ACADEMIC OFFICER	Total or Fixed Units	Expected teaching & special assignments per semester in units or equivalent hours	Expected teaching & special assignments for Midyear Term in units
Department Heads/Graduate Programs Cluster Department Heads supervising at most 10 academic personnel	30	21	9 midyear units
NSTP, Sports Development, Clinical and Research Coordinators	30	18	6.8 midyear units
Some Academic Personnel in Office (e.g. IP Desk Staff)	30	18	6.8 midyear units
University Statistician	30	9	3.4 midyear units
Year-level Coordinator,- CDA Coordinator, MI Coordinator	27	24	9 midyear units

3. Those in-charge of assigning the loads must prioritize the required teaching or special assignments given to those with expected teaching loads (the officers included in the above table) before any overload is assigned to other academic personnel. Special assignments refer to work assigned not inherent to the office occupied. However, those in charge of assigning the loads are strongly reminded to make the necessary planning arrangements to ensure that the School complies with the *prohibition on unusually heavy teaching loads*. Subsequently, no overload shall be assigned to

administrative and academic officers and academic personnel with fixed units, unless absolutely necessary and endorsed by the Vice President for Academic Affairs and approved by the University President.

4. If the officer refuses to accept the assigned teaching load/s, he/she must write a letter of explanation to the University President who determines if the reason is justifiable or not. If the reason for refusal is unjustified, there shall be a corresponding reduction in the fixed load corresponding to the teaching load being assigned. In no case shall the fixed load be reduced to less than 24 units. The officer shall either teach the assigned teaching load or his fixed load shall be reduced by the number of units
5. In case an academic non-teaching personnel has a teaching load, the time rendered for teaching is inclusive of the 48 work hours per week including office work and professional development activities.
6. In special circumstances, the Vice President for Academic Affairs may endorse more than the maximum teaching or special assignments load. The maximum extra load that can be given to an officer with fixed units is six units in the semester and two units in the midyear term.
7. At the end of the school year, the Treasury and Accounting Office shall determine if there are excess teaching loads & special assignments beyond the expected teaching load for the year for Junior and Middle Academic and Administrative Officers except Department Heads and Coordinators.
8. For Junior and Middle Academic and Administrative Officers except Department Heads and Coordinators, the overload or excess teaching units which should not exceed 14 units & special assignments shall be computed on an annual basis and shall be paid at the end of the year using the formula shown below:

$$\text{Excess units for the year} \quad \frac{\text{+ / - overload}}{\text{underload for 1st sem x 5}} \quad \frac{\text{+ / - overload}}{\text{underload for 2nd sem x 5}} \quad \frac{\text{+ / - overload}}{\text{underload for summer converted to semestral units x 2}}$$

$$\text{Overload Pay for excess units at the end of the year} = \frac{\text{Regular monthly rate}}{\text{Fixed units}} \times \frac{\text{Excess units for the year}}{2}$$

Note: (+) is for overload; (-) is for underload

9. The excess units for the year are divided by two to reflect the reduction in administrative office time brought about by the excess teaching load. Excess teaching loads reduce the administrator's consultation time (with teachers, students, & administrators), supervision time, time for networking with external agencies, etc.
10. The overload of the Academic Department Heads and Academic Coordinators are paid in full during the semester of overload.
11. In an office where the work requires continuing attention of the officer concerned, the supervising Vice President may request the University President in writing for a reduction in the normal teaching or special assignment load of the particular officer citing the justification. This is done two weeks before the assigning of loads every semester.

D. Department Heads, GPC Department Heads, Academic Coordinators, Research and Community Development and Advocacy Coordinators

1. The regular work loads of Academic Department Head and GPC Department Heads are as follows:

RANGE OF SUPERVISION	AT MOST 10 ACADEMIC PERSONNEL		MORE THAN 10 ACADEMIC PERSONNEL	
	Regular Semester	**Midyear**	**Regular Semester**	**Midyear**
Teaching	21 units	9.0 units	18 units	9.0 units
Supervision	9 units	2.3 units	12 units	2.3 units
Total	30 units	11.3 units	30 units	11.3 units

a. In the event that the Department Head supervises more than 10 faculty members whether full time or part time, he/she shall be given a release load of three units from teaching which shall be added to his/her load for supervision for a total of 30 units in the regular semester i.e. 18 units teaching and 12 units supervision. For purposes of determining the number of faculty members being supervised, a faculty member shall be included in the department where the academic personnel belongs, regardless of the number of teaching load handled in other departments.
b. When necessary, the Vice President for Academic Affairs may assign a teaching load above the regular teaching load of 21 units (or 18 units) to the Department Head. The excess teaching load shall be paid over and above the 30 units.
c. During the midyear term, Department Heads will have an administrative load of 2.3 units which is equivalent to six semestral units since they are not expected to perform many of their semestral responsibilities and they are expected to have a midyear teaching load of 9 units.

1. The regular work loads of Academic and CDA Coordinators are:

RANGE OF SUPERVISION/ COORDINATION	**ACADEMIC/** CDA **COORDINATOR**	
	Regular Semester	**Midyear**
Teaching	24 units	9.0 units
Supervision/Coordination	3 units	1.1 units
Total	27 units	10.1units

2. The regular work loads of Research Coordinators are:

RANGE OF COORDINATION	RESEARCH COORDINATORS	
	Regular Semester	**Midyear**
Teaching	18 units	6.8 units
Coordination	12 units	4.5 units
Total	30 units	11.3 units

E. Priority in Assigning Loads

The teaching loads shall be assigned following the order of priority indicated below. No overload should be assigned if there are officers/academic personnel with fixed units who can handle the subject. If a possible overload is identified, the priority for assigning such overload should likewise follow the order below:

For Regular Semester:

1. Permanent Academic Personnel
2. Probationary Academic Personnel
3. Department Heads, Academic, Research and CDA Coordinators
4. Other Academic and Administrative Officers
5. Part time Temporary Academic Personnel
6. Academic Non-Teaching Personnel
7. Part time Partial Load Academic Personnel
8. Non-Academic Personnel
9. Lecturers
10. Substitute Teachers

For Midyear Term

1. Department Heads, Academic, Research and CDA Coordinators
2. Other Academic and Administrative Officers
3. Permanent Academic Personnel
4. Probationary Academic Personnel
5. Part time Temporary Academic Personnel

6. Academic Non-Teaching Personnel
7. Part time Partial Load Academic Personnel
8. Non-Academic Personnel
9. Lecturers
10. Substitute Teachers

In cases of the same level of priority based on the above criterion, the following factors shall be considered in this order:

1. **Performance evaluation**. Priority is given based on the academic personnel's overall rating in the previous school year's performance evaluation.
2. Expertise on the subject. Academic personnel with specializations or major discipline of study and who are practitioners are prioritized in the assignment of related subjects.
3. Highest degree attained. Academic personnel with doctorate and master's degrees which are aligned with their field of specialization are given priority over those with none.
4. Availability and other considerations. Priority may be given to academic personnel who is readily available and who possesses some other special qualifications.

F. Teaching Load in the Midyear Term

1. Teaching load during the midyear term is dependent on the number of enrollees in particular subjects. Teaching load during midyear will be based on the following criteria:
   a. Nature of the subject or field of specialization,
   b. Performance evaluation, and
   c. Years of efficient teaching experience in the University.
2. As a rule, the regular teaching load for midyear term is nine units. Academic personnel may apply in writing for research work or study load (for thesis and dissertation writers scheduled for final oral defense), instead of teaching. However, their application is subject to the approval of the

Research and Community Development Council (RCDC) for research load or the Vice President for Academic Affairs for study load.

G. Remuneration for Graduate and Post-Baccalaureate Teaching Load

For a teaching load of masteral subjects, the academic personnel are paid 125% of the undergraduate rate and 150% for doctoral subjects. The academic personnel of the College of Law teaching Juris Doctor (JD) subjects are paid the rate of doctoral subjects. A special remuneration package is applied to visiting professors and guest lecturers.

II. INSTRUCTIONAL MANAGEMENT

A. Classroom Management

1. The class period consists of the entire duration as scheduled for a particular subject. Academic personnel are expected to be in the class venue on time, begin class work promptly, and dismiss the class punctually.
2. The class period begins and ends with a prayer or a short invocation led by the academic personnel or an assigned student.
3. Academic personnel should teach for the full duration of the class time/period. Proper and full use of the class period for academic instruction is a proof of effective teaching.
4. Academic personnel should have all educational and instructional aids at hand.
5. Academic personnel are not allowed to transact business with or entertain visitors during class period unless these visitors are authorized by University officials, or in cases of emergency. They should not allow their students to do the same.
6. Academic personnel are not allowed to hold classes during Sundays and legal holidays unless in exceptional cases which must be endorsed by the Academic Dean and duly

approved by the Vice President for Academic Affairs and the Vice President for Administration.

7. At the beginning of the semester/midyear term, academic personnel provide the necessary information to students on their class policies, the requirements of the course, the use of the approved textbooks, the syllabus and the list of readings.
8. Academic personnel should check at the beginning of the term whether their students have taken the prerequisite subjects to the course. Problems in connection with prerequisite subjects are referred to the Academic Dean.
9. Only officially enrolled students may be allowed to attend a class. A seat plan is advisable for effective classroom management.
10. Academic teaching personnel should abide by the CHSF and Green Campus Behavioral Guidelines at all times. Academic personnel should lead the class in observing the CHSF Minute for the routine housekeeping in the class venue (room, laboratory or field).

B. Shepherding

The Shepherding program is a way of life that finds its inspiration from the Good Shepherd "who leaves the 99 others and searches high and low for the lost sheep" (Mt. 18: 10-14) and when necessary the "Good Shepherd can lay down his life for his sheep." (John 10:11, 14)

As a way of life, its activities and action plans may vary among different fields and venues, but the biblical inspirations of a "sincere and wholehearted dedication to students, without counting the cost," will always stay the same.

As a general rule, educators who are involved in the Shepherding Program, must commit and take into heart the tenets of the Good Shepherd of Love and Sacrifice. But below are some specifics to guide aspiring Marian Shepherds:

1. **Listener-advisors.** As the primary line of contact between the student and guidance shepherding program, academic teaching personnel are expected to know the students best. They are able to communicate with students, build trust and respect, and assist the student to adjust to life in the university.
2. **Referral and receiving agents.** Academic teaching personnel refer to the guidance counselor students who are identified to be in need of counseling service. They encourage students to seek guidance counselor assistance and support and reinforce the outcome of counseling.
3. **Human potential discoverers.** They identify students' talents, abilities, strengths and interests.
4. **Role as career educators.** They integrate career education in the curriculum and promote positive attitudes and values to education, career preparation, and decision-making.
5. **Human relations facilitators.** They provide favorable conditions and environment for learning and serve as a model in demonstrating positive human relations.
6. **Guidance shepherding program supporters.** They influence how students view and utilize the guidance shepherding activities and collaborate with the guidance counselor, parents, administration and the community.

C. Student Discipline

1. Discipline in the classroom is the academic personnel's sole responsibility. The academic personnel himself/herself deals with acts of misbehavior in class according to the dictates of prudence and as warranted by time, place and circumstances.
2. Academic personnel should not admit in class students without proper identification card and complete uniform, which identify them as *bona fide* students of Saint Mary's University. Academic personnel should remind students to wear their identification card at all times while inside the campus.
3. Any major breach of school discipline defined in the Student

Handbook should be promptly reported to the Associate Dean of Student Affairs for Men/Women. Academic personnel are presumed to know the provisions or rules stated in the Student Handbook to be able to exercise school discipline. Failure on the part of the academic personnel to report serious breaches of discipline constitutes an act of negligence and irresponsibility prejudicial to the interests of students, academic personnel and the University.

4. Since they exercise *loco parentis*/special parental authority, the academic personnel can mete out disciplinary measures to erring students, but in no case shall corporal punishment be imposed.
    a. They may demand, on the basis of their sound judgment, public apologies and written promises from students, or issue reprimands and warnings to them.
    b. They may send misbehaving, erring and intoxicated students out from classes, and immediately inform the Associate Dean of Student Affairs and Services for Men/Women.
    c. The faculty member may refer or file a complaint to the Dean of Student Affairs and Services or the Associate Deans of Student Affairs and Services in order to give the students due process of law following procedures stated in the Student Handbook.
5. At the end of the semester, the Dean of Student Affairs and Services shall forward to the Academic Deans and the University Registrar the list of students who are not to be readmitted for violation of the rules and regulations prescribed in the Student Handbook to the Academic Dean, the University Registrar, the Vice Presidents and the University President.

D. Classroom Teaching

1. The professional responsibility, integrity and teaching

competence of an academic personnel is observed in classroom teaching.

2. Consultation hours for students should be utilized to encourage/promote better learning achievement.
3. Alternative class activities by students during class time is allowed only if explicitly required in the module or syllabus and subject to the approval of the Academic Dean/Department Head. As such, specific guide questions and instructions must be given to students. It is imperative that the instructor must accompany the students in the library, audio-visual room (AVR) or in the class activity area during the entire duration of the class time. The Alternative Class Activity Form (ACAF) must be accomplished and approved before the actual activity and a copy thereof submitted to the HRDO.
4. Field trips and seminars prescribed in a course are conducted preferably during vacation time or free days within the semester to prevent students' absences from their other academic classes. Approval must be sought following the procedural guidelines.
5. Academic personnel may anchor their instructional activities on the "PRIME-UP" teaching framework. Whether in lecture or laboratory classes, in-campus or on-the-job training, theory or field subjects, the Marian teacher endeavors to undertake class activities within the following framework:

   P: **P**rayer, **P**rior Knowledge, **P**reparatory Activities, **P**rojection device, **P**reliminaries, **P**unctuality and Attendance Monitoring, **P**hysical Environment Check, **P**rior Knowledge, **P**re-cognition, **P**resentation, **P**lan for the Day, **P**robing

   R: **R**elevance to the University Vision-Mission, **R**ecall, **R**eal-World Connection, **R**ecitation, **R**ecognition of Students' Achievements, **R**eadiness Activities, **R**emediation, **R**eadings, **R**eferences and **R**esources

I: **I**nteraction, **I**nstructional Technology, **I**nternet Resources, **I**nterests, **I**ntegration of Values, **I**nternalization, **I**nnovations

M: **M**atching Teaching-Learning Styles, **M**ultiple Intelligences, **M**arian & Christian Spirituality, **M**odelling **M**other **M**ary, **M**ission of Christ, **M**inute of CHSF

E: **E**xcellence Prompting and Pledge, **E**nduring Understandings, **E**valuation of **E**ssentials, **E**nthusiastic/**E**ncouraging Agreements/Assignments

U: **U**niversal **U**nderstandings (Generalizations), **U**tilization (Transfer), **U**nfolding of Things to Look Forward to, **U**pdates, **U**pgrades

P: **P**reparing to Wrap-up, **P**rescriptions for Future Learning (Assignment), **P**lan for the Next Class, **P**rayer of Class Closure, **P**ost Script

Different approaches, methods, techniques, or strategies may be applied or utilized for the various components of the framework.

6. Compassionate Teaching Approach (compiled from www.facebook.com/SMUSTEH/posts, 2020 Aug 10)

The paradigm shift on the delivery of content and instruction caused by the COVID-19 pandemic led the School of Teacher Education to evolve an approach that caters to existing and emerging educational needs. To become better quality education providers, with the aim to be more inclusive than ever, the university commits herself to the ideas of Compassionate Teaching for our students. As Marian instructors inspired by Mother Mary and the teachings of Jesus Christ, the idea of Compassionate Teaching was

conceptualized to achieve the true significance of teachers in the learning continuity. We will COMMUNICATE! We will provide CLARITY! We will CONNECT! Because SMU CARES! Compassionate Teaching is composed of four dimensions that describe the commitment of Marian instructors in teaching in the "new normal".

a. **Compassionate Teaching**. Teaching is a very humanistic profession, and teachers become humane by showing compassion to the learners with the sincere feeling of being concerned and understanding about the learners (Alrubail, 2015). Compassionate practices build on the teaching character that is beyond understanding who our learners are, but also the things they are going through, and being there for them. Compassionate teaching in this framework is defined as a teaching principle that analyzes and understands the learners and their contexts, shows kindness and understanding, and provides consideration and a helping hand towards a more effective delivery of content and instruction and successful student learning. According to Wolpow, Johnson, Hertel and Kincaid (2011), compassion is the heart of teaching and learning. To become compassionate teachers, there is a need to recognize that we can only expect students to successfully achieve the intended academic goals if their basic needs are met. The school and the whole community need to work together to share, to gather and utilize student information they have, and to support each other to provide compassionate education.
b. **Communication.** Marian instructors commit to communicate with the students regularly to become their "guide at the side" and "peer at the rear". This will enable the instructors to become physically or virtually present for the students during the learning process. This dimension believes that teacher presence is an important factor for successful student learning. It involves

constant and regular communication through different platforms available to the students and the instructors such as text messaging, online chat, phone calls, video calls and online forums among others.

c. **Connection.** Marian instructors commit themselves to connect with students which entails a deeper understanding since it needs to know and understand the context of the learners, the different factors that affect learning, growth and development.
d. **Clarity.** Marian instructors commit to provide clear learning and assessment activities. Results of assessments are valid and reliable measures of student learning and are used for careful planning of the next lessons for a more just and humane teaching.
e. **Care.** The end goal of all the dimensions is to provide care for the students. This dimension describes the commitment to become inclusive, responsive and supportive to the students' well-being. Marian instructors commit to provide care for the students by responding to their concerns, needs and issues, and by motivating and encouraging students despite the difficulties, challenges and pressures they experience. Marian instructors commit to help each other in looking after the students' emotional, social, physical, environmental, occupational, financial and spiritual well-being.

E. Assignments and Other Requirements

1. The requirements of a course should include some out-of-class assignments. Academic personnel should make students work hard but temper assignments with moderation and be aware that the usual load of a student consists of 7-8 subjects a semester.
2. For the purpose of giving assignments, academic personnel should know the available books, periodicals and references in the ULRC. Projects or assignments which involve expenses

on the part of the students should be referred to the Academic Dean through the Department Head, keeping in mind the socio-economic status of students.

3. Term-paper assignments in the undergraduate courses should stress quality rather than quantity.
4. Academic personnel should provide students opportunities for independent and creative work and research. They should be motivated to master their chosen field of specialization.
5. Academic personnel should check or evaluate all course requirements.

F. Instructional Materials

1. A basic textbook and/or module should be prescribed by the Academic Dean and/or Department Head for every subject. All academic personnel teaching the same subject should use and follow the basic textbook/module.
2. The Department Heads or Coordinators should recommend through the Academic Deans the purchase of textbooks prescribed for students. No academic personnel should make transactions with students about the purchase of books. The books will be made available at authorized outlets. The Academic Deans should see to it that a sufficient number of textbooks are available in the library.
3. Academic personnel must be familiar with the intellectual property and copyright laws and disallow students to use photocopied volumes of commercially available textbooks.
4. Academic personnel should prepare modules, outlines, and teaching materials. These modules/outlines should be endorsed by the Department Head and the Academic Dean who forwards them to the Publishing and Digital Printing Office for evaluation and approval by a designated committee. From the Publishing and Digital Printing Office, these materials are brought to the Vice President for Academic Affairs for final checking and approval before printing. These publications are sold at authorized outlets.

5. Teaching aids such as laptops, LCD projectors, overhead projectors, audio-visual aids etc., are available at the Multimedia and Technology Section of the University Learning Resource Center (ULRC) or at the office of the Academic Dean. Arrangements should be made with the Section Heads concerned on the utilization of these instructional aids.

G. Policies and Procedures on Examinations, Attendance and Grading Systems

1. **Grading Terms and Examinations.** A semester is divided into three grading terms for regularly scheduled subjects, each culminating in a major examination. These examinations shall be referred to as follows:
    a. First Term Examination,
    b. Second Term Examination, and
    c. Final Examination.

    The coverage and weight of each examination is summarized in this table:

GRADING TERM	DURATION	MAJOR LEARNING ASSESSMENT	COVERAGE OF EXAMINATION	WEIGHT OF TERM GRADE IN THE FINAL GRADE
First Term	Weeks 1 to 6 (or first one-third of allotted time)	First Term Examination	First one-third of the subject coverage	25%
Second Term	Weeks 7 to 12 (or middle one-third of allotted time)	Second Term Examination	Middle one-third of the subject coverage	25%
Final Term	Weeks 13 to 18 (or last one-third of allotted time)	Final Examination	Entire subject coverage	50%

2. Criterion Referenced Grading

a. The grading system adopted is the criterion-referenced or percent system.

b. As a rule, computed grades range from 65 to 100 in all grading terms, while the lowest passing grade is 75. However, the lowest FINAL grade reported in the grading sheet is 70, regardless of the score/points earned.

c. **Criterion-Reference.** Scores in each graded activity shall be transmuted to grades with the following cut-of equivalences in the transmutation scales using equal intervals. To give premium to excellent performance and to discourage mediocrity, the following grade transmutations are required:

    a. For General Education Courses (or Basic/"Minor Subjects"): 60 percent score = 75 grade.

    b. For Professional Courses (or "Major Subjects"):

        i. 65 percent score – 75 grade

ii. For Integration Courses (or "Review Subjects"):

        i. 70 percent score = 75 grade

c.1. The transmutation scales for 60% score=75 grade, for 65% score=75 grade and for 70% score= 75 grade are shown in Table 1.

c.2. The official spreadsheet grading template (Grade Computation Program **(Bayot, 2018**)) shall be used by the faculty.

d. Academic teaching personnel should indicate the required cut-off in the transmutation table in the syllabus. It must be disseminated to the students at the beginning of the classes. The cut-off represents the minimum percentage of knowledge expected to be learned or the score/points earned to obtain a passing grade. For example, the 60 score cut-off on a 100 percent score represents a 60 percent minimum performance requirement, equivalent to a passing grade of 75%.

e. The Academic Dean, Department Head concerned, and all Academic Personnel teaching the same subjects will

determine if a higher transmutation is to be used for a particular subject.

f. the cut-off is a guide to avoid extremes in assigning grades. Thus, it should be used intelligently, adhering to objectivity, fairness, justice, and common sense.

Table 1. Grading Transmutation Scales

Grade	Remark	60% score = 75 grade	65% score = 75 grade	70% score=75 grade	Grade
100	Highest possible grade	100	100	100	
99		98-99	99	99	99
98		97	97 - 98	98	98
97		95-96	96	96 - 97	97
96		94	94 - 95	95	96
95		92 - 93	93	94	95
94		90 - 91	92	93	94
93		89	90 - 91	92	93
92		87 - 88	89	90 - 91	92
91		86	87 - 88	89	91
90		84 - 85	86	88	90
89		82 - 83	85	87	89
88		81	83 - 84	86	88
87		79 - 80	82	84	87
86		78	80 - 81	83	86
85		76 - 77	79	82	85
84		74 - 75	78	81	84
83		73	76 - 77	80	83
82		71 - 72	75	78 - 79	82
81	Lowest passing grade for academic scholars, and dean's listers.	70	73 – 74	77	81
80		68 - 69	72	76	80
79		66 - 67	71	75	79
78		65	69 - 70	74	78

Grade	Remark	60% score = 75 grade	65% score = 75 grade	70% score=75 grade	Grade
77		63 - 64	68	72 - 73	77
76		62	66 - 67	71	76
75	Lowest passing rate	60 - 61	65	70	75
74		58 - 59	64	69	74
73		57	62 - 63	68	73
72		55 - 56	61	66 - 67	72
71		54	59 - 60	65	71
70	Lowest final grade reported on grading sheet	52 - 53	58	64	70
69		50 - 51	57	63	69
68		49	55 - 56	52	68
67		47 - 48	54	60 - 61	67
66		46	52 - 53	59	66
65	Lowest possible computed grade in the class record; Given also for cheating in assessment activities	0 - 45	0 - 51	0 - 58	65

g. Academic teaching personnel should indicate the required cut-off in the transmutation table provided and must be disseminated to the students at the beginning of the classes. The cut-off represents the minimum percentage of knowledge expected to be learned or score/points earned to obtain a passing grade. For example, the 60 score cut-off on 100 percent score represents 60% minimum performance requirement which is equivalent to a passing grade of 75%.

h. The Dean, Department Head concerned, and all other Academic Personnel teaching the same subjects will determine if a cut-off higher than 60% is to be used for a particular subject.
i. The cut-off is a guide to avoid extremes in assigning grades. Thus, it should be used intelligently adhering to objectivity, fairness and justice, and common sense.
j. **Nature and Grading of the Major Examinations**. Grades shall be promptly reported to students and determined from the following sources:
    i. Class standing. This comprises all graded class activities during the term, including quizzes, recitations, assignments, seatwork, themes, experiments, laboratory work and the like. Each assessment output is scored then graded and the average (based on approved weights) of these grades is the class standing grade. Class standing accounts for 50% of the term grade.
    ii. Term examination. This is a long or major examination requiring higher-order cognitive competency and/or performance skills assessed through a written test, practical test, skills assessment, performance test or a combination of these. Each major exam accounts for 50% of the term grade.
    iii. Changes in the weights for the different sources of class standing and for several components of the term examination are allowed whenever necessary to suit certain subjects, after approval by the respective Academic Deans.
k. The term grades are simple averages of the grades in class standing and term examination. The Final Grade is the weighted average with the tentative final grade having twice the weight of the other term grades to reflect the full-content coverage of the final examination.
l. The following formulae shall be used for computing grades during a regular semester:

$$G_1 = \frac{CS_1 + FTE}{2} \qquad G_2 = \frac{CS_2 + STE}{2}$$

$$TFG = \frac{CS_F + FE}{2} \qquad FG = \frac{G_1 + G_2 + 2TFG}{4}$$

where

G_1 = Grade for the first term
CS_1 = Class standing grade for the first term
FTE = First term examination (long test) grade
G_2 = Grade for the second term
CS_2 = Class standing grade for the second term
STE = Second term examination grade
TFG = Tentative final grade
CS_F = Class standing grade for the final term
FE = Final examination grade
FG = Final grade

m. During the midyear term, the GCP should be adjusted to reflect only the midterm and final exams.

3. **Duration and Schedule of Examinations**. The Registrar shall issue a schedule of the major examinations before the beginning of every semester. Exams for OJT/RLE shall be scheduled so that practicum duties shall not be unduly disrupted.
   a. Major Examinations are those administered during the blocked schedule. A testing period of 1½ to 2 hours each is allotted for these major examinations.
   b. Adherence to the schedule of examinations, as prepared by the Registrar's Office, will prevent inconveniences on the part of the students and academic personnel. It will also encourage the settlement of the student's financial obligations on time.
   c. Any change in the general time schedule for examinations should get the prior written approval of the Vice President for Academic Affairs upon recommendation of the Academic Dean.

d. To give a "partial final test" ahead of the scheduled examination needs the written approval of the Vice President for Academic Affairs upon recommendation of the Academic Dean.
e. The College of Law and the Graduate School shall only have two major examinations; Midterms and finals.

4. Approval and Printing of Examinations.

a. All major examinations accompanied by Tables of Specifications (TOS) must be submitted by academic personnel for review and approval by the Academic Coordinator, Department Head and/or Academic Dean. Copies of approved major examinations and Tables of Specifications (TOS) are submitted to the Academic Dean as clearance requirement.
b. For printed exams and performance checklists/rating sheets used with major examinations, all pages of the master copies must be signed and dated by the approving officer before these are endorsed for reproduction at the Publishing and Digital Printing Office. No examination and no quizzes consisting of objective test-items may be flashed as presentation slides. Unsigned term examinations are unauthorized for reproduction and cannot be administered to students.
c. Major examinations administered through the e-Learning Management System should have an approval footnote.

5. Test Booklets

a. Students should mark or write their answers to major examination questions, objective tests (forced choice or short–answer supply types) as well as essay and open-response tests, on official test booklets that can be obtained from authorized outlets.
b. Marked and graded test booklets for the first and second terms should be returned to students for their perusal and review. Test booklets for the final examinations should be submitted to the Dean's Office as a clearance requirement.

6. Examination Permit

a. All students and instructors are advised about the conscientious implementation of the TEST PERMIT REQUIREMENT during major examinations.
b. Instructors must require students to present their test permits before taking major examinations. Instructors should sign opposite their Course Number on the permit and also ensure that the Test Permit Number is written on the test booklet or answer sheet.
c. Test permits are obtained, through self-service, at the Treasury and Accounting Office.
d. Students must keep their test permits secure for purposes of verification regarding examinations they have taken.
e. In compliance to CHED Memorandum Order No. 22. 2010, the following flexibilities are extended to students who are financially challenged or who cannot readily obtain their test permits:
    i. For the First and Second Term Examinations, students accompanied by their parents can obtain their test permits after availing of the student loan facility under the Program for Educational Assistance to Students (PEAS). This non-cash support can be applied through the Office of the Dean of Student Affairs and Services.
    ii. Students who can show proofs of indigency can apply at the Office of the Vice President for Mission and Identity for tuitional discounts under the University Socialized Tuition Fee Program (STFP).
    iii. For the Final Examinations, students are allowed to take their examinations even without test permits.
f. All academic and support personnel are enjoined to refer to ODSAS or VPMI the students who are financially constrained to obtain their test permits.
g. Academic personnel should take note of the students who take major examinations without valid test permit.
h. When an officially enrolled student has not presented an examination permit during the final examinations, his grades

will be withheld, in which case, the Academic Personnel shall submit the grades to the Registrar's Office by filling out the prescribed form.

i. The withheld grades will be viewed at the Student Portal after the students have fully settled all accountabilities and have presented the test permit at the Registrar's Office.

7. Special Examination and Exemptions from Examinations

a. As a general rule, oral examinations are not allowed unless approved by the Academic Dean of the School concerned.
b. A special examination may be given only with the written permission of the Academic Dean, and for special cases, the Vice President for Academic Affairs. This should be given within ten (10) days after the scheduled term exam.
c. Special examinations are granted with full credit for circumstances beyond the control of the student such as sickness (with medical certificate), accidents and death of an immediate family member.
d. To be fair to the students who take their examinations as scheduled, maximum credit for major examinations allowed for unexcused absences (due to reasons other than sickness with medical certificate, accident or death of an immediate family member) is only 75% of actual score.
e. No student may be granted exemption from any examination.

8. Supervision during Tests

a. Instilling in students the virtues of honesty and integrity is a part of the Marian formation even during examinations and quizzes. Academic personnel should prevent opportunities for cheating by personally administering and supervising the examinations.
b. Academic personnel should not request others to substitute for them to administer a test unless approved by the Academic Dean or Vice President for Academic Affairs for special cases. Office personnel, students or outsiders may not be asked to administer examinations.

9. Checking of Test Papers

a. Academic personnel must personally check or correct test papers, and record test results in the class record.
b. Assigning their own students to correct examination papers is not allowed since it may lead to favoritism, suspicion and jealousy.

10. Shepherding of Students-at-Risk based on Term Grades. Academic personnel shall assist the Guidance and Testing Office in its Shepherding Program by submitting to the Academic Dean a referral report of underperforming students after each grading term. This will allow prompt provision of intervention (such as advising or coaching) for potentially academically-delinquent students.

11. Grading Sheets

a. The instructor must see to it that the official grading sheet in ESMIS at the Registrar's Office contains the names of all students who attended the class.
b. A copy of the class record printed from the Grade Computation Program shall be submitted to the Dean's Office as clearance requirement.
c. Only the final grade shall be indicated in the grading sheet.
d. Final grades shall be submitted through ESMIS within three (3) days after the last day of the final exams excluding Sundays or holidays, or as set by the Vice President for Academic Affairs.
e. Grades are the sole responsibility of academic personnel. The Academic Dean can discuss grades with the academic personnel but cannot change the grade. However, in the event that the grades given are put into issue, the Academic Dean can require the academic personnel to explain the manner how he arrived at the computed grades.
f. Grading sheets with alterations or erasures should bear the initial of the academic personnel. Grades must bear the mark of finality since scholarship or graduation is attached

to them. The final grades, once submitted and approved, cannot be altered, except in cases when academic personnel has satisfactorily proven that he/she committed an error.

g. Correction or alterations in grades must be done within the period of two months from the time they are submitted to the Registrar's Office. Thereafter, they can no longer be changed or altered for whatever reason.
h. A student who drops a subject is marked either with **AW** (Authorized Withdrawal) or **UW** (Unauthorized Withdrawal). The date of dropping should be indicated in the grading sheet under "Remarks". **AW** means officially dropped due to valid reasons like sickness (with medical certificate), accident (with police report), death of an immediate family member (with death certificate) or change of residence, that is, the student's dropping from class was approved by the Academic Dean and the corresponding petition form was submitted to the Registrar's Office. A mark of **UW** (Unauthorized Withdrawal) is given if the officially enrolled student is dropped due to non-appearance or due to absences beyond the maximum allowed during the term.
i. Corrected final test booklets/papers are submitted to the Academic Deans.
j. Failure to punctually submit the grades does not only hamper the operation of the administrative process but is most unfair to students. Thus, Academic Personnel who remises in the submission of grading sheet shall be imposed demerits and shall be dealt with in accordance with the provisions of the Code of Conduct for SMU Personnel.

12. Incomplete Mark

a. A mark of INC is given, only in EXTREME cases, to a student who has

i. Failed to appear for the final examination as scheduled
ii. Not submitted final manuscript of thesis, proposal, research paper or capstone project
iii. Not finished RLE, make-up duties, on-the-job-training, practicum, or internship
iv. Not submitted requirements on time due to the following reasons with supporting documents: (1) sickness or other medical condition (with medical certificate), (2) injury from accident or calamity (with police report, medical abstract or barangay certification), or (3) death (with supporting document) of an immediate family member (parent, grandparent, child, sibling or legitimate spouse). Failure to submit other course requirements on time due to other reasons does not merit an INC mark but a **failing grade** in the requirements and a final grade is computed.

b. The reason for the INC mark is considered part of the records of the students. Teachers should indicate the reason for INC mark on the grading sheet (e.g. No Final Exam; Incomplete RLE; Lacked OJT Time, No Final Manuscript).
c. If there is no justifiable reason for the student's failure to take the scheduled examination, to finish RLE/internship/practicum, or submit thesis/capstone project manuscripts, maximum credit is only 75% of raw score and grade is transmuted accordingly.
d. Incomplete grades caused by failure to take the final examinations or to submit requirements on time due to sickness, accident or death of an immediate family member should be completed within one year from the issuance of the incomplete grades. Students have the responsibility to verify their grades or get their copy of grades from the Dean's Office at the designated date, or approach the concerned academic personnel regarding

their incomplete grades. Beyond the one-year grace period, students will be required to re-enroll the subjects marked with INC. An "INC" mark which is not removed within 365 days after the end of the semester in which the subject was enrolled (which is the one-year grace period) shall automatically be considered a failing mark.

e. If the student exceeds the allowed absences, ceases to attend classes on the final term and has little chance of passing even with a delayed final examination, a failing grade is computed and given with a remark of DROPPED-FAILED. The final grade is based on the first and second term grades, final term class standing and the imputed final exam grade transmuted from a zero score. In each case, the date of dropping is indicated on the grading sheet.

f. A student who ceases to attend classes due to valid reasons stated in letter "a", during the final term but has not exceeded the allowed absences may be given an INC mark.

g. The student secures the completion requirement form from the Registrar's Office and presents to the academic personnel together with the requirements submitted. The academic personnel must sign the form as proof that the student has completed the requirements.

13. Completion Form

a. Completion is done by performing the corresponding academic activity that would be rated, and the final grade would be computed accordingly (considering all the other sources of the grade). It should be made clear that mere completion does not automatically warrant a passing grade. Unsatisfactory compliance with the required academic action may merit failing final grade. In either case (whether passing or failing), faculty members should PROMPTLY accomplish SMU Form RO 57, attaching individual computation of grade and supporting documents (i.e., final test booklets, approval sheet of

thesis/proposal/capstone/project; Certificate of Completion of OJT/internship/practicum; or medical/police/death/barangay certificate).

b. The Completion Form from the Registrar's Office shall be accomplished by academic personnel and must be submitted within the one-year grace period after the INC was incurred.
c. Upon completion by the student, academic personnel must submit a completion form to the Registrar's Office within one (1) month regardless of passing or failing mark.
d. The Completion Form must be accomplished in triplicate for approval by the Academic Dean. Alterations in the form should be countersigned by the academic personnel otherwise the same shall not be valid.
e. For security purposes, the form should be personally submitted by the academic personnel to the Registrar's Office.

14. Grading Provisions in the Course Syllabus. The major examinations should be explicitly indicated at strategic points (end of the 6th week or first one-third of the subject, end of 12th week or second one-third of the subject, and end of the subject) as milestone activities in the course syllabus. Combinations of various forms (written and practical) of the term examinations and their corresponding weights must be included in the relevant section of the syllabus.

15. Other Grading Considerations

a. An Academic Personnel must consult with the Academic Dean when more than 30% of the class fail despite appropriate interventions. The academic personnel must avoid extreme liberality and strictness and abide by the principles of fairness, justice and common sense.
b. Instructors should not entertain any request to give high marks or rectify low marks in order to save a scholarship unless there is an inadvertent error on the part of the

academic personnel. To do otherwise is against professional ethics and teaches graft and corruption.

c. Corrected non-final major examinations booklets or papers (i.e. for first-term and second-term examinations) are to be given back to the students at most seven (7) days after the examination. Within the same period, academic personnel should inform students about their term grades in class.
d. Instructors should never give a grade of 73% or 74% for the finals. It should either be 72% or below, or 75%.
e. A student who was absent during short quizzes or recitations may be given a special make-up assignment or test, if his/her absence was reasonable and excused; otherwise, he/she gets a zero for these quizzes.
f. A student who cheats during any quiz or major examination, or commits plagiarism gets a grade of 70% for the particular test or the research work.

16. Class Record

a. Every instructor must have a class record using the Grade Computation Program (GCP) in which he/she reflects the results of tests, quizzes, assignments and the like. Aside from the class record, the academic personnel keeps track of the attendance and tardiness of every student in the Class Monitoring Form (CMF).
b. Academic personnel should keep the records of the students' rating for future legitimate needs.
c. Grading sheets showing first and second term grades are submitted to the respective Deans for their notation, not later than 10 days after term examinations.
d. Academic personnel who resign, or are separated from the University, or on study leave, should surrender to their Academic Dean all class records of the two preceding school years for reference purposes. No clearance shall be issued until the academic personnel comply with this requirement.

17. Recomputation of Grades

a. Students' requests for recomputation of grades are referred in writing to the Academic Dean of the School concerned, or to the Vice President for Academic Affairs, if not resolved at the level of the Academic Dean.

b. Recomputation of grades and test paper results will be entertained only within two months after the release of grades and test results. No recomputation will be entertained after this period.

18. Rectification of Grades

a. Grading sheets are official documents. No change of grade may be considered unless an error has been committed by the academic personnel.

b. The academic personnel, not the student, applies for a change of grade, at the office of the Academic Dean, addressed to the Vice President for Academic Affairs. The application is done in triplicate, stating the change and its reason/s, accompanied by a supporting document. If the Vice President for Academic Affairs approves the rectified grades, the application shall be submitted to the Registrar's Office for recording and filing.

c. Correction or rectification in grades must be done within the period of two months from the time they are submitted to the Registrar's Office. Thereafter, they can no longer be changed or rectified for whatever reason.

19. Changing and Dropping of Subjects

a. The practice of changing subject/s is discouraged but allowed only if there are conflicts in the student's class schedule and should be done within the prescribed petition period. Application for changing subject/s can be done by obtaining a prescribed form from the Registrar's Office. This is submitted for approval to the Academic Dean concerned. A fee is charged for any change of subject/s, but it is waived for changes due to abolition of subjects.

b. A student, who, after the first major examination drops any of his subjects without prior approval of the Academic Dean, automatically receives a failing grade in that subject which will be marked on the grading sheet.

H. STUDENT ATTENDANCE

1. Saint Mary's University considers monitoring the regular attendance and punctuality as important obligations. It assumes that every student has to come to the University to use all opportunities and facilities offered to him/her. Regular attendance, therefore, in all classes is obligatory.
2. Students' attendance of students during convocations, fora and special assemblies like intramurals, foundation day, Eucharistic celebrations and other activities sanctioned by the University is required. Absence from such activity will be recorded as absence from the class period which otherwise would have been held.
3. A student is required to attend classes regularly from the first day of the school calendar. Classes missed because of late enrollment shall be considered as absences.
4. A student absent for only one class period shall not be allowed to re-enter the class without an admission slip duly signed by the Associate Dean of Student Affairs and Services for Men/Women.
5. A student who is tardy within the first 15 minutes of the class will be considered absent but may still be allowed entry into the class. In both cases, the student should secure an admission slip from the ADSAS offices. Three counts of tardiness will considered as one absence. Habitual tardiness and absences, especially during the first period in the morning or the afternoon, shall not be allowed.
6. A student is held personally responsible for lectures, grade activities, and missed assignments due to absences.
7. A student who misses a quiz due to an unexcused absence will not be given credit for the quiz.

8. The Associate Deans of Student Affairs and Services for Men/Women regularly keep parents informed of students' absences through letters and individual conferences, thus the students' absences have to be promptly reported by the academic personnel to their offices following the schedule of reporting as shown in the table below:

CONTACT HOURS Per week	**1st Report (Warning)** **ABSENCES** (in hours)	**2nd Report (Warning)** **ABSENCES** (in hours)	**3rd Report (Dropping)** **No. of hours of absences before one is dropped**
1	2 hrs.	3 hrs.	4 hrs.
1.5	3 hrs.	4.5 hrs.	6 hrs.
2	3 hrs.	5 hrs.	8 hrs.
3	4.5 hrs.	7.5 hrs.	12 hrs.
4	5 hrs.	10 hrs.	15 hrs.
5	6 hrs.	13 hrs.	19 hrs.
6	9 hrs.	15 hrs.	23 hrs.
7	9 hrs.	17 hrs.	26 hrs.
8	10 hrs.	19 hrs.	29 hrs.
9	11 hrs.	22 hrs.	33 hrs.
10	12 hrs.	25 hrs.	37 hrs.
11	14 hrs.	27 hrs.	41 hrs.
12	15 hrs.	29 hrs.	44 hrs.
13	16 hrs.	32 hrs.	48 hrs.
14	17 hrs.	34 hrs.	51 hrs.
15	18 hrs.	37 hrs.	55 hrs.
16	19 hrs.	38 hrs.	59 hrs.
17	21 hrs.	43 hrs.	64 hrs.
18	23 hrs.	45 hrs.	68 hrs.
19	24 hrs.	48 hrs.	72 hrs.
20	25 hrs.	50 hrs.	76 hrs.
21	26 hrs.	53 hrs.	79 hrs.
22	28 hrs.	55 hrs.	83 hrs.
23	29 hrs.	58 hrs.	87 hrs.
24	30 hrs.	60 hrs.	91 hrs.
25	32 hrs.	63 hrs.	95 hrs.

CONTACT HOURS Per week	1st Report (Warning)	2nd Report (Warning)	3rd Report (Dropping)
	ABSENCES (in hours)	**ABSENCES** (in hours)	**No. of hours of absences before one is dropped**
26	33 hrs.	66 hrs.	98 hrs.
27	34 hrs.	68 hrs.	102 hrs.
28	35 hrs.	71 hrs.	106 hrs.
29	37 hrs.	73 hrs.	110 hrs.
30	38 hrs.	76 hrs.	113 hrs.
31	39 hrs.	78 hrs.	117 hrs.
32	40 hrs.	81 hrs.	121 hrs.
33	42 hrs.	83 hrs.	125 hrs.
34	43 hrs.	86 hrs.	129 hrs.
35	44 hrs.	88 hrs.	132 hrs.
36	45 hrs.	91 hrs.	136 hrs.

9. A student is given first and second warnings before he/she is "dropped" from the class. The number of hours of incurred absences corresponding to the number of units of a subject before 'warnings' or 'dropping' is implemented as shown in the table above.

I. ACADEMIC SUPERVISION

1. Democratic Supervision is a service extended to academic personnel in their work as teachers. Its primary purpose is to evaluate the methods and contents of teaching with the ultimate end of fostering the development of the students in the actual setting of learning. Supervision does not aim at finding fault, but at giving necessary help and guidance to academic teaching personnel by offering the ideas, practices, experiences, and techniques of skilled and efficient teachers. Supervision, therefore, is not an end in itself, but a means to efficient teaching.
2. Supervision, to be constructive and creative, and not merely critical, should be based not on the authority of one person, or on the efforts of the supervising academic personnel alone, but on the collective endeavors of the whole teaching force in each

department. It should be flexible and easily adjustable to classroom situations. It should be based on a professional rather than on a personal relation among the Department Head, the Academic Dean, and the supervised academic personnel. This way, supervision becomes a cooperative study of teaching techniques rather than the study of one individual by another person.

3. All academic personnel are covered by the supervisory program. The Academic Dean and the different Department Heads institute the supervisory program. Academic personnel teaching subjects under a department should be supervised by the Head of the Department, while those faculty members without Department Heads should be supervised by the Academic Dean. The Academic Dean, however, may call upon any Department Head even of another School for assistance. Generally, every academic personnel should be supervised at least once a semester, but probationary academic personnel should be supervised at least twice a semester. Class supervision is done with or without due notice.
4. The Academic Dean and the Department Head/Academic Coordinator should conduct clinical academic supervision. This is initiated by the Academic Dean and Department Head who engages the academic personnel in a pre-observation conference in which areas for supervision during class observation and schedule are agreed upon.
5. The evaluation reports of the Academic Deans, Directors and Department Heads take proper recognition of good points observed and, in a tone of understanding and friendly help, also of weak points that need improvement. This report is submitted to the Academic Dean only after a conference between the supervising Department Head and the academic personnel observed. This post-observation conference in a dialogue form leads to desirable and tangible results, not only for the academic personnel observed but for the whole department as well. It provides an opportunity for the exchange of ideas between the supervising Head of the School/

Department and the academic personnel. This democratic practice of "professional conversation" enhances the teaching-learning situation, for the academic personnel observed is made to actively cooperate in supervision and not merely required to accept the authoritative imposition of desirable changes in classroom activities.

6. Shared faculty members should be supervised by the mother department and evaluated by other departments where the faculty member teaches.
7. The Vice President for Academic Affairs is furnished a copy of summary of the evaluation.

J. SCHEDULE OF EVENTS AND SUSPENSION OF CLASSES

1. Classes and office works are suspended on regular and special holidays as declared by the government and on other holidays as declared by the University President.
2. College events, such as athletic games, cultural presentations, field trips and the like should not interfere with class periods, except in extreme and justifiable cases approved by the Vice President for Academic Affairs.
3. **Suspension of Classes**
   a. **Typhoons/Storms/Flood**
      i. When PAGASA raises Signal No. 3 or above in Nueva Vizcaya, all classes in the tertiary level, including Graduate Studies and College of Law, within the said locality shall be deemed automatically suspended without need of declaration from the University and/or any of its officials until PAGASA lowers the said typhoon signal.
      ii. In case PAGASA raises Typhoon Signal No. 2 or No. 1 in Nueva Vizcaya, classes in the tertiary level, including Graduate Studies and College of Law shall not be suspended. However, the University President may, at his own discretion, suspend classes in the tertiary level, including graduate studies and College of Law, until such time that the typhoon signal(s)

shall have been lowered by PAGASA or until the weather improves .

iii. When the MLGU or PLGU declares no classes in private colleges and Universities, the University shall abide by the MLGU or PLGU declaration.

iv. For safety and security reasons, no one is allowed to enter the University campuses, unless authorized for very important concerns.

v. However, it is expected that administrators in all levels particularly those given with the responsibility over physical facilities (offices, equipment) should come to the campus to check and secure the facilities before and after a strong typhoon, when one finds it safe to travel from home to the university and vice-versa.

b. **Fire, Earthquake, Pandemic and other Natural Calamities**

i. The academic personnel must comply with the directives from the University President and vice presidents and other authorized government officials.

ii. The Campus Safety and Disaster Preparedness Committee shall take the necessary actions to mitigate the effects of the calamity.

4. **Required Number of School Days**

Academic personnel must ensure to complete the required number of school days for the school year. Alternative class activity may be conducted to off-set the days when classes are suspended.

Chapter Six

EVALUATION, PROMOTION AND ACCELERATION OF ACADEMIC PERSONNEL

In line with the vision-mission of the University, academic personnel are evaluated by their students, Academic Department Heads/Coordinators and Academic Deans according to their excellence, innovation, communion and passion for Christ's mission.

I. EVALUATION OF ACADEMIC PERSONNEL

Every academic personnel is evaluated for his/her yearly performance at the end of the school year. The evaluation is generally anchored on the four core values.

A. The academic personnel is evaluated by the Academic Dean, Director/Department Head/Coordinator(s), and Students, and by Administration for research and community extension.

1. For Academic Personnel, the percent weights of the summative evaluation components are as follows:

Source	Full Teaching Load With Bachelor or Master's Degree	Academic Personnel With Doctorate Degree	Partial Teaching Load With Outside Job/ Partial Teaching Load On Study Leave /Non-Academic Personnel With Partial Teaching Load*	Office Heads/Academic Non-Teaching Personnel With Partial Teaching Load Without Doctorate Degree
Students	30	30	30	30
Dean	20	20	20	20
Director/Dept. Head/Coordinator	30	30	30	30
Research	10	15	Not required	5
Extension	10	5	Not required	credited in office rating
TOTAL	100	100	80	85

Source	Full Teaching Load With Bachelor or Master's Degree	Academic Personnel With Doctorate Degree	Partial Teaching Load With Outside Job/ Partial Teaching Load On Study Leave /Non-Academic Personnel With Partial Teaching Load*	Office Heads/Academic Non-Teaching Personnel With Partial Teaching Load Without Doctorate Degree
			Prorated to100	Prorated to 100

*Notes:
1. Partial load Academic Personnel from the Elementary and High School are rated like Partial Load Academic Personnel with outside jobs.
2. For those with office function, the teaching ratings will be combined with the office rating proportionate to the units for office and teaching or as stated below for department heads.

B. The Academic Dean evaluates the academic personnel along administrative and academic areas.
   1. The following criteria are used for the Dean's evaluation of academic personnel in the administrative area.

CRITERIA
a. CHRIST'S MISSION
a.1 Providing services beyond what is required without remuneration and without complaints (e.g. committee work, school-level or institutional activities)
a.2 Prompt submission of student-related forms and communications (completion, referrals, academic consultation log, study groups reports, endorsements, etc.)
a.3 Conduct of substitution teaching, remedial classes, study group sessions, student organization advising without remuneration
a.4 Engagement as resource speaker, research presenter, or teaching demonstrator in in-person/online academic activity
a.5 Support for Relevant and Innovative Programs,

Initiatives (e.g. Compassionate Teaching, INSET, extension and outreach)
a.6 Timely Submission of Report on Student Absences
b. COMMUNION
b.1.Involvement in College Activities
b.2 Support for School/College Administration
b.2.1. Prompt Compliance with School Policies and Directives (e.g. uniform/dress code, Compassionate Teaching, INSET, e-SEII, ACAF, long exam approval)
b.2.2. Coordination and Communication through Channels
b.3 Attendance in School/College-Level Activities
b.4 Attendance in University/Institutional Activities
b.5 Submission of Requirements, Reports, and End-of- Semester Clearances to Dean's Office
c. EXCELLENCE
c.1 Attendance and Punctuality
c.1.1 Absences in Teaching that are Deductible from Evaluation
c.1.2 Tardiness/Early Dismissal - Demerit: 0.5 point for every 5 instances of tardiness or early dismissal in teaching
c.2 Cooperation in the Implementation of Proper Notification to Dean concerning Absences
C.3 Submission of Grades and Rectification (Midyear Term, 1st sem, 2nd sem)
C.3.2 Demerit: Unauthorized Late Submission of Grades
C.3.3 Demerit: Rectifications of Grades due to Teacher Error
d. INNOVATION through Professional Growth
d.1.Obtained aligned doctorate degree with supporting document
d.2. Obtained aligned master's degree; passed bar exam
d.3. Completed aligned graduate units during the year with supporting document of grade, if not doctorate degree holder
d.4. Current membership in duly recognized associations in line with one's profession, with unexpired ID card (with supporting document)

d.5. Attendance in conferences, seminars, workshops or academic convocations (organized/hosted by non-SMU)

2. The Academic Dean conducts supervision of instruction to evaluate the academic personnel in the academic area.

C. The Department Head uses the following criteria in the evaluation of the academic personnel in their discipline.

CRITERIA
1. CHRIST'S MISSION (25%) ● Indicators on the core value of Christ's Mission deals with presiding over moments of prayer in class, involvement in community extension and outreach, service beyond official time, manifesting desirable work ethics and sense of propriety, modelling and integrating Christian values and Marian virtues/identity, response to communication issues, feedbacking on students' performance, shepherding of and academic support for at-risk students, and concern for students and personnel well-being,
2. COMMUNION (25%) ● Indicators on the core value of Communion involve Cooperation with School Administration (updating subject syllabi and enriching learning materials, observing policies in improving teaching-learning outcomes, and submitting clearances, reports, book endorsements and examinations), Cooperation with Students (respecting individuality, providing opportunities for developing socio-emotional skills and responsibility for learning, favorable professional relationship and enforcing reasonable disciplinary rules), and Cooperation with Peers (through dignified relationships, support and active involvement in departmental meetings and activities, and respect for each other).
3. EXCELLENCE (25%) ● Indicators on the core value of Excellence include

Course Content (substantiality and functionality of materials covered, organization and presentation, and mastery of subject matter and trends and development in the discipline), Teaching Skills (adeptness in instructional delivery, ensuring conducive settings, proficiency in the medium of instruction with well-modulated voice and in text) and Evaluating Students (quality of assessment, objectivity in grading, efficiency and accuracy of evaluation record and timely feedbacking and submission of students' performance ratings).
4. INNOVATION (25%) ● Indicators on the core value of Innovation refer to the conduct and disseminate research, relating content with other fields and to students' context, production of learning resources, creativity of interactive class activities, appropriateness of teaching techniques and technologies, sustaining learners' responses and varied forms of participation, stimulating intellectual curiosity and critical thinking through an effective art of questioning, clarity and specificity of assignments, and commitment to continuing professional development.

In addition, the Department Head shall conduct classroom evaluation.

D. The Students' Evaluation of Instruction is done by accomplishing the Students' Evaluation of Instructors Inventory. The following are the criteria:

CRITERIA
1. Christ's Mission and Communion ● **Christian Spirit and Relationships** deal with initiating fervent moments of prayer, integrating community extension, addressing difficulties, conducting academic consultations, shepherding at-risk learners, concern for class well-being, manifesting sense of propriety, modelling and integrating Christian values and Marian identity, and providing opportunities for developing socio-emotional skills and

responsibility for learning
2. Excellence ● **Mastery of Subject Matter** deals with the breadth and depth, substantiality and functionality of materials covered including trends and developments in the profession, logical presentation of lessons, clarification of difficult concepts, ability to relate contents with other fields or practice and to students' context, enriching discussions with faculty research results and up-to-date readings
● **Class Management** deals with ensuring conducive class settings, efficiency in instructional routines with clear instructions and announcements, effective transitions, provision of course outlines, proficiency in the medium of instruction with well-modulated voice and in text, and enforcing reasonable disciplinary rules
● **Student Evaluation** deals with the validity and reliability of assessment tools, relevance and reasonableness of assignments and tasks, objectivity in grading, efficiency and accuracy of evaluation record, compassionate implementation of grading policies, and timely feedbacking of students' performance ratings.
3. Innovation ● **Teaching Skills** deals with the effectiveness and efficiency of instructional delivery, production of learning resources, creativity and variety of interactive activities, appropriateness of teaching techniques and flexible technologies, sustaining participation, stimulating critical thinking through an effective art of questioning, and proficiency in the medium of instruction.

E. The Administration's evaluation of academic personnel includes the following criteria among others:
    1. **Passion for Christ's Mission and Communion with the Academic Community** are evaluated based on involvement in voluntary community development, outreach and extension activities reported to the Lingkod Maria Development and

Advocacy Center (LMCDAC). Points are awarded by the LMCDAC Director based on criteria and point-system described in the Manual of Procedures and Guidelines (MOPG) of the LMCDAC.

2. **Innovation** which is evaluated based on written outputs of completed research studies during the reckoning period. Points are awarded by the University Research Director based on criteria and rubric in the Manual of the University Research Center**.**
3. Part-time academic personnel in the college level with outside jobs are exempted from conducting research and community extension services but are given merit points for documented research and extension activities, if any.
4. Full-time academic personnel who teach in different levels (college, high school, elementary) are evaluated for their performance in each of the levels where they teach. These performance ratings are not synthesized into one but are considered separately.

F. The Academic Directors, Department Heads and Academic Coordinators are evaluated by the Academic Deans and academic personnel according to their functions as academic administrators on the following criteria using the appropriate forms.

The Academic Deans shall make use of the following criteria:

CRITERIA
1. CHRIST'S MISSION (25%) ● Indicators on the core value of Christ's Mission involve implementation of institutional advocacies in community extension and outreach, modelling Christian values and Marian virtues, desirable work ethics and sense of propriety, shepherding of at-risk students, service beyond official time, and concern

for students and personnel well-being,
2. COMMUNION (25%) ● Indicators on the core value of Communion deal with cordiality and rapport with students and personnel, informing stakeholders about developments, open communication, supporting university and school projects, engaging in collaborative decision making, assisting in the supervisor's activities, overseeing the students' practicum or internship, involving alumni and industry partners in relevant activities, and conduct of post-conferences regarding personnel evaluation with deliberation on these with the supervisor.
G. EXCELLENCE (25%) ● Indicators on the core value of Excellence include articulation of institutional vision-mission, economical and rational allocation of human and material resources, overseeing of promotional campaign, accomplishment of plans, implementation of regulatory and accrediting bodies, regular class observations, involvement in professional organizations, and enforcing professionalism and academic discipline.
H. INNOVATION (25%) ● Indicators on the core value of Innovation are on the promotion of self and departmental professional growth, conduct and dissemination of relevant research, leading in the preparation, selection and utilization of learning resources, organizing in-service trainings, curricular improvement or new offering, prompt attention to referred matters, trying out of creative work ideas and alternative strategies to enhance efficiency and effectiveness in teaching or office/lab work practice, and coping resourcefully with difficulties.

The Academic Directors, Department Heads and Academic Coordinators shall also be evaluated as an academic personnel since they have teaching loads. The

percent weights of the evaluation of Academic Directors, Department Heads and Academic Coordinators are as follows:

DESIGNATION	EVALUATOR	% WITHIN	TOTAL
As Academic Director/ Department Head/Coordinator			20%
	Academic Dean	50%	
	Academic Personnel	50%	
As Academic Personnel			80%
	Academic Dean	20%	
	Academic Dean acting as Department Head	30%	
	Students	30%	
	Research	10-15%	
	Community Extension	5-10~~-15~~%	

I. The Academic Deans are evaluated as administrators and also as academic personnel because of their teaching loads. The percent weights in the evaluation are as follows:

DESIGNATION	EVALUATOR	% WITHIN
As Academic Dean		
	Administration	50%
	Academic Personnel/ Staff (Subordinates)	30%
	Client	20%
As Academic Personnel with Doctorate Degree		
	Academic Director/ Department Head/Coordinator	30%

DESIGNATION	EVALUATOR	% WITHIN
	Students	30%
	Community Extension	5%
	Research	15%
		80% (pro-rated to 100%)
As Academic Personnel without Doctorate Degree		
	Academic Director/ Department Head	30%
	Students	30%
	Community Extension	10%
	Research	10%
		80% (pro-rated to 100%)

The evaluator should be guided by the dictates of propriety and fairness regardless of who is the subject of the evaluation. Favoritism and bias should be avoided so as not to compromise the objectivity of the evaluation process.

II. RECOGNITION FOR EXEMPLARY PERFORMANCE

The Gawad Maria Program recognizes exemplary performance of employees such as Outstanding Performance, Academic Achievement Award, Magnificat Award for consecutive outstanding performance, Service Awardees, Best in Research, Best in Extension, Team Awards, Professional Leadership etc., the guidelines of which are stated in a separate manual.

III. PROMOTION IN RANK

A. Promotion in rank is the annual increase in rank which depends on the years of service and the evaluation of the academic personnel's performance by his/her Academic Dean, Director/Department Head, students and the Directors of University Research Center and LMCDAC.

B. Promotion in rank means vertical movement in the salary guide.
   1. For academic personnel with full load, promotion in rank means vertical movement of one year.
   2. For academic personnel with less than full load, promotion in rank means pro-rated vertical movement of 1/2 year for a satisfactory performance rating.

C. For permanent academic personnel, the required minimum performance evaluation rating to be qualified for promotion in rank is "satisfactory" (70%).

D. For probationary and part-time including temporary academic personnel, the required minimum performance evaluation rating to be qualified for promotion in rank is "satisfactory" (75%).

E. No academic personnel can be granted or promoted to the rank of Instructor without an aligned/allied master's degree (with official transcript of records).

F. For the rank of Instructor, an aligned/allied master's degree is required. For the rank of Professor, an aligned/allied doctoral degree is required.

G. An academic personnel will be retained in rank if the required minimum evaluation rating for promotion is not obtained.

H. For academic personnel who teach in different levels, the promotion is for each level. For example, one who teaches in both college and basic education levels may be promoted in high school for satisfactory performance but retained in college for unsatisfactory performance.

I. Academic personnel hired during the second semester must have served at least five (5) months to be eligible for

promotion in rank.

J. Effective A.Y. 2023 – 2024, the levels of performance evaluation rating are as follows:
    a. Very Satisfactory (90 to 100)
    b. Satisfactory (80-89)
    c. Fair (70-79)
    d. Unsatisfactory (69 and below)

K. Effective A.Y. 2023 – 2024, the outstanding award is given to personnel with exemplary performance over and beyond the expected tasks. The award is conferred by the Employee Awards Committee upon attainment of the standards and criteria set by the committee.

IV. ACCELERATION IN RANK AND SALARY ADJUSTMENT

A. An academic personnel is accelerated by one year in the rank scale upon appointment to a Junior Administrative Position, by two years to a Middle Administrative Position and three years to Top Management Position but not surpassing the highest allowed rank corresponding to educational attainment. Acceleration shall not apply to re-appointments, designations in acting or OIC capacity, lateral movement (movement within the same administrative level), and lower position.

B. An academic personnel is accelerated by one year in the rank scale for a Magnificat Award, (vertical movement) but not surpassing the highest allowed rank corresponding to educational attainment. For those on ceiling, a cash incentive is given instead of acceleration.

    A Magnificat Award is given to academic personnel who obtained outstanding performance for five consecutive years (effective AY 2023 - 2024).

C. An academic personnel is accelerated when he/she finishes an aligned or allied master's degree (with official transcript of records and diploma) or passes a government licensure

examination (with PRC/Bar official rating). The acceleration means movement to the corresponding column (horizontal acceleration) in the salary guide for higher education

D. For academic personnel who earn an aligned or allied doctoral degree (with official transcript of records and diploma), the acceleration is three years or its equivalent (vertical movement in the rank scale) plus movement to the corresponding column (horizontal movement) in the salary guide for higher education.

E. For academic personnel who earn a non- aligned or non-allied masteral degree (with official transcript of records and diploma), there is movement to the corresponding column (horizontal movement) for non-aligned masteral degree in the salary guide for higher education. The highest rank for non-aligned or non-allied masteral degree is Assistant Instructor 3.

F. For academic personnel who earn a non- aligned or non-allied doctoral degree (with official transcript of records and diploma), there is no acceleration of three (3) steps (vertical movement in the rank scale) but there is movement to the corresponding column (horizontal movement) for non-aligned doctoral degree in the salary guide for higher education. The highest rank for non-aligned or non-allied doctoral degree is Associate Professor III, 2.

G. Academic personnel who is on ceiling in their current rank and obtain the appropriate degree moves to the appropriate column in the salary guide and promoted to the next higher rank upon submission of the transcript of records and diploma provided they pass the performance evaluation standard in the previous school year.

Chapter Seven

FACULTY DEVELOPMENT PROGRAM

One of the most important educational resources in the realization of the vision, mission, goals and objectives of a University and its schools is its academic personnel. Quality education depends so much on the quality of educators who train professionals in various fields who will contribute to the welfare of the community and who will help mold the youth of the country. Based on these, it is very important that academic personnel continuously engage in professional advancement to qualify themselves with the necessary degrees, relevant industry immersion and professional practice, and to keep abreast with the latest trends and developments on the concepts, strategies, innovations in instruction, research and extension, and likewise be actively involved with professional organizations in their fields of specialization, if they are to be updated. Personal development should also be attained in the areas of spiritual, social, mental, psychological, financial and physical well-being and health, while the academic personnel are active in instructional functions in the university. These objectives would be achieved through a program of professional and personal development for the academic personnel through the Faculty Development Program.

As an institution of learning, it is a primary concern of the University to advance the professional growth of its academic personnel. On the other hand, the academic personnel are expected to chart their personal and professional development, either on their own or in conjunction with the University, not only for the purpose of securing their employment tenure but more importantly, to make themselves relevant to the academic community amidst this fast-paced world. Regardless of whether the personal and professional development is on their own account or charged to the University, it is the duty of the academic personnel to secure the recommendation of the Academic Dean and the approval of the Vice President for Academic Affairs, and to inform the HRDO Director. This is to ensure

that their personal and professional undertaking will not adversely interfere with the performance of their work.

I. Objectives of the Faculty Development Program

The Faculty Development Program strives to achieve the following objectives:

1. To improve the academic personnel profile in terms of formal advanced professional degrees, industry immersion, professional practice, and relevant trainings;
2. To upgrade and update the qualifications of the academic personnel;
3. To immerse the academic personnel in recent trends and development on the concepts, strategies, and innovations in instruction, research and extension in their disciplines or fields of specialization;
4. To involve the academic personnel in leadership positions and membership in professional organizations or associations in their disciplines; and
5. To contribute to the personal development of the academic personnel in the areas of spiritual, social, mental, psychological, financial, and physical well-being and health.

II. Components of the Faculty Development Program

1. Formal Professional Advancement
   1.1 Graduate Studies
      a. SMU Funded Scholarships within SMU
      b. SMU Funded Scholarships outside SMU
      c. Personal Graduate Studies in or outside SMU
   1.2 Certification or Accreditation (ex. TESDA)

2. Other Professional Advancement
   2.1 Academic Session
   2.2 In-service Seminars/Trainings and Continuing Professional Development

2.3 Involvement in Professional organizations/ Associations

3. In-campus Personnel Development Activities

III. Formal Professional Advancement

Formal Professional Advancement involves graduate studies and certification or accreditation.

1. Graduate Studies

A. SCHOLARSHIP GRANTS WITHIN SMU

a. Only temporary, probationary or permanent academic personnel who are enrolled for Masters or Doctoral programs which have been approved by the University shall enjoy free tuition and miscellaneous fees. Those whose studies do not bear the required approval shall be charged like a regular student.

b. Probationary and Part time (Temporary) academic personnel who want to avail of the study grant must have rendered at least two consecutive semesters of full-load teaching with satisfactory performance (75%) rating and are teaching in SMU during the time of the study grant.

c. For academic personnel who would like to avail of the study grants within the University in line with the documented Faculty Development Plan of the School, the following steps will be taken:

i. accomplish HRDO Form for a scholarship grant, indicating the intended field of study and timeline for its completion.

ii. The academic personnel bring the accomplished application form to the Academic Dean for recommendation and signature.
iii. The academic personnel bring the application form to the Vice President for Academic Affairs for final approval.
iv. Grantee submits approved application form to the HRDO and presents enrolment form to be noted by the HRDO Director.
v. Grantee proceeds with the enrolment. A photocopy of the form indicating the amount of assessed fees must be submitted to the HRDO for filing.
vi. Before enrolling for the next semester, the grantee should submit the accomplished HRDO Progress Report form to the HRDO. When approved by concerned University officers, this serves as the permit to enroll.

d. The privilege for study grants within SMU shall not apply to obtain a degree in Juris Doctor (J.D.).

e. Grantees should earn passing grades in all subjects. They shall pay the fees for courses with failing marks or incomplete grades, and penalty courses if they exceed maximum residency and dropped subjects (Unauthorized Withdrawal).

f. Grantees of the Scholarship Grants within SMU are bound to comply with the following service pay back requirements, counted from the time of the completion of the last unit. Ten to twelve months in a year of teaching or work in SMU while not enjoying the faculty study grant is counted as one year of service payback requirement. Those who complete a master's degree and continue to a doctoral degree must serve separately the number of service payback for both the master's degree and the doctoral degree.

TOTAL UNITS COMPLETED	SERVICE REQUIREMENT
1- 9 units	1 year
10-19 units	2 years
20-29 units	3 years
30-39 units	4 years
40-49 units	5 years
50 units and above	6 years

g. Should their employment with the University be terminated either by resignation or retirement or dismissal --- either at their instance or of the University --- before or after the completion of their degree but prior to completion of the service requirement, they shall be required to pay all the fees for all the subjects that they were given a discount with legal interest of 12% per annum compounded annually corresponding to the unserved service obligation. In case of litigation, it shall further include attorney's fees of 10% of whatever is due to the University and cost of litigation. This is without prejudice to other legal remedies available to the University.

h. Any unserved service payback requirements shall be paid by the academic personnel upon retirement from the University. They shall be required to pay all the fees for all the subjects not yet served in the service requirement that they were given a discount with legal interest of 12% per annum compounded annually. In case of litigation, it shall further include attorney's fees of 10% of whatever is due to the University and cost of litigation. This is without prejudice to other legal remedies available to the University.

i. Those who pursue undergraduate studies related to their field of teaching enjoy full discount on tuition and miscellaneous fees. However, their studies must have been

endorsed by the Academic Dean and approved by the Vice President for Academic Affairs.

B. SCHOLARSHIP GRANTS OUTSIDE OF SMU

a. Probationary, Permanent or Part time (Temporary) academic personnel who served the University for at least two (2) consecutive semesters may be sent for study outside of the University upon application or recommendation of the Academic Dean. Qualified personnel are required to submit their application for a scholarship, indicating the intended field of study and timeline for its completion, to his/her Dean. The Dean will assess the application on the basis of the academic aptitude of the applicant, the result of the performance evaluation, and the needs of the School. If the Dean finds the application to be meritorious, he/she shall endorse the same to the Vice President for Academic Affairs.
    i. Academic personnel accomplish the application form from the HRDO.
    ii. Academic personnel bring the application form to the Dean for first endorsement.
    iii. Academic personnel brings the application form to the Vice President for Academic Affairs and the Vice President for Administration for second endorsement and the Vice President for Finance and Treasurer for the availability of budgeted funds and the University President for final approval.
    iv. The accomplished and approved form shall be returned to the HRDO for the signing of the contract.

b. The University shall pay for the tuition and other applicable fees of the grantee. In addition, thereto, the University shall also

i. Provide a monthly stipend and travel allowance in such amount as may be determined by the University; and/or
ii. Pay the salaries of the grantee which shall be computed on the basis of his/her regular teaching and/or administrative load.

c. The grantee shall only enroll in the school and the course indicated in his/her application. Deviation from the approved application shall be a ground for the immediate termination of the scholarship grant. This is without prejudice to other available remedies to the University.

d. The grantee should obtain his/her degree within the period indicated in his /her study contract. Written requests for extension may be considered by the University President on a case to case basis.

e. During the period of the scholarship, the grantee shall devote his/her full time to the course of study, enroll the maximum study load, complete all requirements and pass all subjects enrolled.

f. In the event that the grantee cannot enroll due to unavailability of subject, approved Leave of Absence, and other valid reasons approved by the University President, the study grant shall be suspended and the grantee shall be required to render service to the University on a full-load basis. This service is considered part of the service payback.

g. The scholarship grant shall be terminated immediately if:
i. the grantee obtains a failing mark in more than one subject in one semester/term.
ii. the grantee fails in one subject, in one semester/term and obtains another failing mark in the subsequent semester/term;

iii. the grantee drops out or withdraws from the program due to personal reason/s;
iv. the grantee obtains two (2) unsatisfactory performance rating, if he/she is on study grant with partial work load /full work load with the University.

h. Academic personnel who are on study grant will be charged correspondingly all fees for courses with failing marks or incomplete grades, penalty courses, and dropped subjects.

i. In no case shall the grantee engage in any full-time or part-time work of any kind outside SMU.

j. The HRDO shall take charge of the monitoring of the academic progress of the grantee.

k. The grantee shall be required to render service pay back for the following period:

CONDITION OF STUDIES	SERVICE REQUIREMENT
Full time Study leave	4 years for every year of study
Partial work load with full time study	3 years for every year of study
Full work load with part time study	2 years for every year of study

1. The period during which the grantee is on studies shall not be included for the purpose of computing the service pay back requirement. The service pay back shall be rendered after the completion of the degree. Ten to 12 months in a year of teaching or work in SMU while not enjoying the faculty study grant is counted as one year of service payback.
2. The fractional part of the study leave consisting of 1-5 months is considered ½ year and 6-12 months is considered as one year of studies.
3. In the event that the grantee opts to discontinue the studies, he/she shall be required to render service

payback based on the years of study grant multiplied by the required service requirement corresponding to the condition of studies in the table above. For example, an employee who enjoyed 2 years of partial work load with full time study grant will serve 6 years as service payback requirement.

4. If the grantee does not finish his studies for reasons attributable to him/her, or decides not to render the pay back service mentioned above, he/she shall be made to pay for the following:
    i. Cost of studies to include school fees, stipends, travel allowances and salaries covering the de-loaded units for the studies.
    ii. Legal interest of 12% per annum compounded annually.
    iii. Liquidated damages in the amount of Php25,000.00 for scholars solely supported by SMU and Php50,000.00 for scholars supported by both SMU and other agencies.
    iv. In case of refusal to pay, they shall also be charged with attorney's fees of 10% of whatever is due to the University and cost of litigation.
5. Personnel who are on study grant will be charged correspondingly all for courses with failing marks or incomplete grades, penalty courses, and dropped subjects.

l. A grantee who is on full time study leave shall receive corresponding adjustments in the salary upon the effectivity of every salary increase. He/She shall also be promoted in rank within the duration of the grant provided he/she submits the grades indicating that he/she has not failed or dropped any of his/her subjects during the performance evaluation period.

m. After completion of the degree, the graduate degree shall be considered for salary increase and promotion only after the presentation to the HRDO of his/her transcript of record with special order (SO) number, if applicable. If the delay in presentation of the requirements and documents is due to causes beyond the control of the grantee as determined by the administration, the promotion shall be made retroactive to the date of graduation as appearing on the original transcript of records.

n. A grantee may be given a one (1) year extension of the study grant under the same terms and conditions, at the discretion of the University President after considering the reason.

o. A grantee who is on full time study leave and who extends his/her studies beyond the regular period of completion will be retained in rank at the discretion of the University President after considering the reason for the delay in completion.

p. If the grantee does not finish within the extension period, he/she can continue with his/her studies on his/her own expense and treated as a leave of absence without pay.

q. Scholarship grants given by agencies outside of SMU shall be governed by the provisions of such grants. However, the University may also impose additional obligations to the grantee if it will extend benefits in consideration of the grant (e.g. payment of salaries during the scholarship period, stipends and allowances, etc.). These obligations will be covered by a corresponding contract.

r. The University Administration reserves the option to redirect the field of study or stop the study grant based

on the performance of the personnel in his/her work or studies or based on the priorities of the University.

ii. FORMAL STUDIES ON PERSONAL EXPENSE (DISCOUNTS)

a. Some academic personnel obtain their advanced degrees by enrolling in graduate programs at their own personal expense in programs and institutions of their choice. In such cases, the academic personnel accomplish a Permit to Study and submits this to the HRDO. This is to ensure that his/her professional undertaking will not adversely interfere with the performance of his/her work, especially teaching. Even if there is no return service obligation, it is still the duty of the academic personnel to regularly submit progress reports to the HRDO for profile purposes.

b. The academic personnel who are college graduates of the University and have actual teaching loads in any level of the university may avail of the following discounts on tuition fees when they enroll in the SMU School of Graduate Studies but only for one master's degree:
    i. 50% if SMU college alumni.
    ii. 25% if non-SMU graduates

c. To avail of the 50% or 25% discount, the academic personnel must present to the Treasury and Accounting Office during every enrolment, their enrollment form signed by the HRDO director after submission of the permit to study and fill-up the application for discount.

d. Permanent employees enrolled on their own expense at Saint Mary's University shall be granted a 20% discount on tuition fees if enrolled in the masteral degree program, and 10% discount on tuition fees if enrolled in the doctorate and Juris Doctor programs. The employee is required to accomplish the permit to study to avail the discount.

e. Academic personnel (teaching and non-teaching) with full work load in the University and who are enrolled on their own expense, may avail of the 50% discount on tuition fees if enrolled in allied/aligned masteral degree program in SMU.

f. Permit to study and progress reports are required to be accomplished before the discounts can be granted.

g. The various discounts cannot be combined. Only the highest discount for which the employee is qualified can be availed.

iii. CERTIFICATION OR ACCREDITATION

Academic personnel may acquire additional qualifications in the form of certifications and accreditation of specializations after undergoing formal short-term trainings. These certifications may be necessary in their teaching and in the exercise of their professions.

a. CERTIFICATIONS

Academic personnel may attend short-term formal training courses to upgrade their skills and be issued certificates of qualifications. Examples of these are the courses whose training regulations are registered with and accredited by the Technical Education and Skills Development Authority (TESDA). For these, National Certificates (NCs) are awarded for specific qualifications and within a fixed period of validity. The certification must be updated/renewed.

b. SPECIALIZATION ACCREDITATIONS AND LICENSING

Academic personnel may also be issued accreditations for specialized skills after undergoing formal validation procedures that are administered by relevant professional bodies in their disciplines. Examples of these are accreditations as ASEAN Advanced Level Engineer by the

Philippine Technological Council (PTC), and as accredited/licensed basketball officiating referee by the National Integrated Basketball Referees Association (NIBRA) after a series of training clinic for accreditation and licensing.

c. FUNDING

1. If the additional qualification is mostly for the academic personnel's individual benefit, he/she shall personally bear the specific training fees and the corresponding fees for certification, accreditation or licensing.

2. If the qualification is required for the offering of a course or training program in the university (e.g. training and assessment at ETVAO or courses in the TVL strands in Senior High School), subsidy can be provided for the applicable training. In this case, the Guidelines for Payback for Trainings, Seminars, Workshops and Travels (in the next section) will apply.

IV. Other Professional Advancement

Other Professional Advancement involves the following activities:

a. ACADEMIC SESSION

The Annual Academic Session gathers all academic teaching personnel in a convocation for a formal lecture and workshop on a theme that is relevant to their instruction, research and/or extension functions. Distinguished resource persons with vast national and international exposures conduct a lecture and facilitate a workshop that will enhance the instructional ability (including pedagogy), research skills and/or extension sensibilities of the faculty members. Activities may involve updating or retooling of the academic personnel on content, pedagogy or emerging

trends in education.

The Academic Session may also be the venue for the awarding and presentation of grants/awards for Professorial Chairs in Instruction or Research. For the public lecture series of Professorial Chairs, one of the lectures in the series shall be scheduled during an Academic Session.

Attendance in the academic session is strictly monitored. Absence in the academic session by full-load faculty members is deductible from performance and pay.

b. IN-SERVICE SEMINARS/TRAININGS AND CONTINUING PROFESSIONAL DEVELOPMENT

All academic personnel are required to attend in-service trainings (INSET) or seminars that are relevant to instruction, research and extension in their respective fields, which are held in, or sponsored by, the University or organized by professional associations. Annual budget allocation per faculty member is made for attendance in at least one INSET for the school year, outside the university preferably at the national or international level.

For seminars/trainings held outside of the University which entails payment of registration fees and other incidental expenses, the Dean shall endorse to the Vice President for Academic Affairs the names of the participants who shall be chosen on the basis of:

1. The needs of the School and the participating personnel;
2. The relevance and timeliness of the training/seminar to the field of specialization of the participants;
3. The budgetary requirements; and
4. Such other relevant factors as the Dean may determine.

For Continuing Professional Education/Development (CPE/CPD) seminars and trainings, the Academic Personnel shall personally bear the specific CPE/CPD registration fees.

The following guidelines govern the academic personnel's attendance in professional development activities:

1. Academic personnel are encouraged to plan in advance their attendance in INSET for the school year. National and international conferences/seminars covering themes on instruction, research, and extension, with reasonable registration fees and organized by reputable universities and accredited providers are preferred.
2. Priority shall be given to academic personnel who shall be presenting research papers.
3. Multiple attendees may be allowed if there are parallel sessions in the seminar/conference. Otherwise, attendees may be required to shoulder counterpart expenses.
4. Attendees shall submit a written report on the seminar/training attended with activity plan for multiplier effect in teaching, research and extension.
5. Photocopies of Certificates of Participation shall be submitted to the dean's office and the HRDO.
6. Academic personnel are required to regularly update their individual Faculty Information Sheet in the Human Resource Information System to reflect their professional development activities.
7. Payback for Trainings, Seminars, Workshops and Travels.
    i. An academic personnel who decides to leave Saint Mary's University is obliged to pay the cost of training (such as registration fees, travel expenses, accommodation, allowance),

and salaries for the period while on training and travel days if he/she availed of support from the University for trainings, seminars and workshops and travels with a combined duration of 3-20 days, including travel days within the past 12 months, or more than 20 days, including travel days within the past 24 months.

ii. The reckoning period of computation of payback should be the date of resignation.

iii. Simple interest is to be applied for the first year but if not paid within a year, compound interest will be applied.

c. INVOLVEMENT IN PROFESSIONAL ORGANIZATIONS/ ASSOCIATIONS

Academic personnel are strongly encouraged to engage actively in activities of reputable professional organizations of which they are members. These associations provide professional development activities for their members and other interested parties in the areas of instruction, research, extension and even linkages.

The following guidelines govern the academic personnel's involvement in officially recognized professional organizations/associations:

1. Membership fees and renewal dues in professional organizations shall be borne by the academic personnel. If the school is required to be a member of the same organization, the institutional membership fee is charged to the University.
2. Photocopies of official identification cards of membership and corresponding renewal cards in professional organizations/associations shall be submitted to the Dean's Office and HRDO.

3. Academic personnel are required to regularly update their individual Faculty Information Sheet in the Human Resource Information System to reflect new memberships and leadership positions.
4. Leadership positions in professional organizations at the national or international levels shall be officially recognized during the *Gawad Maria* Ceremonies. Recognition shall also be given to Regional Chapter Presidents of professional organizations.

V. IN-CAMPUS PERSONNEL DEVELOPMENT ACTIVITIES

These include the following:

a. Orientation for new employees and re-orientation for current employees of the University's mission, vision, goals, objectives, organizational structure, policies and procedures, services, academic personnel functions and responsibilities, benefits, and remuneration, etc.;
b. Induction and in-service trainings for professional development for academic personnel conducted by their respective schools and capacity-building units in the university to address assessed development or training needs in the areas of instruction, research and extension;
c. Regular presentation and oral sharing of current contents or readings from recent professional journals done during general and departmental faculty meetings. Written reports on the current content sharing require the faculty to indicate in which subjects/courses the journal articles may enrich or update. This leads to an updating or enrichment of the corresponding curriculum map, not just in references but more importantly in content. The written report also provides an exercise in literature search, abstracting and bibliographic citation as part of research capability building.
d. The SMU Integral and Lifestyle Advocacy (SIGLA) program instituted for the personal-professional,

psycho-spiritual and physical development of University personnel.

1. Psycho-spiritual development can be derived from the following activities:
    i. annual retreats and recollections conducted by the Campus Ministry Office at the start of the year and at mid-year during the semestral break or as scheduled. Venues vary from year to year, from out-of-town formation centers or training facilities to appropriate venues within the university campus.
    ii. sponsorship of weekly and monthly liturgical celebrations for birthday and special occasions.
    iii. Small group dynamics may also be conducted for team-building to enhance personnel relationships with others.
2. Further physical and social development is encouraged with the conduct of the following:
    i. Year-round sports tournaments (e.g. basketball, volleyball, table tennis, biking, badminton and chess) among academic and non-academic personnel. Teams among the personnel also play with invited teams from the outside, like faculty and staff from other CICM schools and neighboring colleges and universities;
    ii. Song, Dance and cultural contests/activities;
    iii. Regular Zumba or *hataw* sessions after office hours on selected weekdays, held at the gymnasium,

Sacred Heart Center, or in front of the Rev. Lambrecht stage; and

iv. Family Day Celebrations.

e. Marian C.A.R.E.S. Program

The Marian **C.A.R.E.S.** Program intends to provide avenues for values formation and wholistic wellness of members of the Marian academic community. This program intends not only to promote the physical, psycho-emotional, social, and spiritual well-being of all members of the academic community but also to nurture their innate potentials (Aduca, *et al*.). The whole day of Wednesdays (except during major exam days) shall be reserved for non-class activities for students, faculty members and staff. The formation program is geared towards:

1. **Spiritual Formation** - by providing meaningful experiences that will deepen participants' relationship with God through Eucharistic celebrations, creative prayer services and activities, recollections, and other similar activities.
2. **Well-Being** - by providing psycho-emotional and social support, like the following but not limited to:
    i. **Team and Community-Building** to include faculty and personnel meetings and capacitation workshops.
    ii. **Routine Counseling** by the Guidance Counselors where participants are assisted with their concerns as well as to get to know them better.
    iii. **Disaster Risk Reduction Management** through participation in earthquake or fire drills or similar resilience or disaster preparedness activities..
    iv. **Enhancement Activities** that provide opportunities for the participants to hone their skills, abilities and talents.
    v. **Outreach Activities** that instill community engagement by participants towards those in need

3. The following are the themes of the Marian C.A.R.E.S. program:
    i. **C**hristian Faith
    ii. **A**ppreciation, **A**ffection, and **A**ffiliation
    iii. **R**isk Reduction
    iv. **E**nhancement of Skills
    v. **S**ocial Responsibility

4. Institutional Marian **C.A.R.E.S.** activities for employees must be coordinated with respective supervising Vice Presidents.

5. Marian C.A.R.E.S. activities (for students and employees) are scheduled for priority following the letters of C.A.R.E.S.:
    i. First and Fifth Wednesdays are **C**hristian Formation days. The period 3:30-5:00pm every Wednesday remains to be **C**ampus Ministry period.
    ii. Second Wednesday is for activities on **A**ppreciation**, A**ffection **and A**ffiliation. Hence school/college or departmental faculty meetings are prioritized on this day.
    iii. Third Wednesdays can be prioritized for **R**isk **R**eduction and Mitigation and other activities for **E**nhancement of Skills and Personal Attributes. Skills trainings for behaviors during calamities and disasters and for occupational safety may be held during this Wednesday.
    iv. Fourth Wednesday priorities are on **S**ocial Responsibility and Community Engagement activities.

6. Out-of-campus extension activities on Wednesdays may be participated in by faculty members. Participation of non-academic personnel on Wednesday extension service may be allowed only if office or unit operations are not disrupted in any way. Social responsibility activities can also be

conducted on Saturdays with most students, faculty and non-academic personnel.

7. Wednesdays should not be thought of a non-school day, albeit a non-class day that may call for students and faculty to be in campus for relevant activities that delve with the themes.
8. Scheduling non-class activities on Wednesdays aims to avoid unnecessary disruption of classes on class days.
9. Activities on other themes may still be conducted on any Wednesday. However, reservation of university facilities may be based on the priority theme scheduled on which Wednesday. For example, on the first and fifth Wednesdays, activities on other themes must give way to Eucharistic **c**elebrations, **C**hristian formation, **c**ampus ministry activities, **c**lass recollections or retreats, **c**reative liturgies, in-campus activities of the **C**hristian Faith Education (CFE) Department, etc. for the use of facilities of choice (e.g. Rev. Cornelius Tonus Gymnasium, Sacred Heart Center/Open Stage, Grade School Gymnasium, Junior High School Gymnasium, Aula Maria, Conference Halls, Functions Rooms, Amphitheatre, Four Pillars Stage, Patios).

Chapter Eight

REMUNERATION AND BENEFITS

I. RULES PERTAINING TO SALARIES

A. Decisions on increases in salaries and increases/new benefits for the personnel of Saint Mary's University are subject to the approval of the Board of Trustees of Saint Mary's University.

B. All personnel are issued copies of the latest salary guide. Salaries of personnel are paid using a monthly salary rate, except for substitute teachers who are paid using a salary rate per hour of teaching. If the substitute teacher assumes the class until the end of the semester for a minimum of one (1) month, the salary is computed as a regular load. The salaries are given on the 15th and last day of each month. Should the payday fall on a non-working day, the salaries are paid on the last working day prior to the non-working day.

C. Personnel salary rates and scale are based on the ranks or steps and educational qualifications as determined by the HRDO and approved by the PSRTC.

D. In case of exceptional and special qualifications or work assignment, the University President, in consultation with the Advisory Board and Extended Advisory Board, has the right to determine the appropriate remuneration.

E. The salary of a regular or permanent Academic Personnel is the total of the basic load of 24 units and the administrative allowance or the additional units attached to an office or position, if any. For full-time Academic Personnel without administrative load, their salary is based on the basic load of 24 units and any teaching overload and/or special assignments.

F. In no case shall there be a diminution in the basic salary for 24 units and benefits of permanent employees.

G. An Academic Personnel who is transferred to another office or is given a new assignment after his/her term of office shall assume the workload/units attached to the new office/assignment.

H. If the transfer is from a higher to a lower position during the term of appointment, the personnel retains his/her load/units until the term of appointment expires after which he/she shall be paid the load/units of the new office/assignment.

I. If the transfer is from a lower to a higher position during the term of office, the personnel shall be paid the load/units of the new office immediately.

J. Members of the Administration occupying executive positions (Top, Middle and Junior Administrative Personnel) shall not receive overtime pay for work extended beyond the regular work hours or work days as these are covered by the administrative allowance. All those with administrative allowance are expected to render services beyond the regular work hours or work days when needed to respond to urgent concerns. For special projects, the Advisory Board may assign an honorarium.

K. All personnel are entitled to their regular daily wage during the national regular holidays and school holidays declared by the Administration and Provincial or Municipal LGUs.

L. Accumulated tardiness and/or undertime for the month shall be proportionately deducted from the personnel's salary for the succeeding month. The report on accumulated tardiness and/or undertime for the month must be submitted by the HRDO to the Treasury and Accounting Office on or before the 10th day of the following month.

M. When offices and classes are declared suspended by the University President, there shall be no deduction in the salaries of personnel. Suspension of classes, however, does not necessarily mean suspension of office work.

II. LEGAL BENEFITS

The University complies with the legal responsibilities of providing all personnel with government mandated employee benefits under the Labor Code and other special laws.

A. Social Security Systems (SSS) Benefits. As mandated by Republic Act. No. 8282, otherwise known as the Social Security Act of 1997, all personnel are members of the Social Security System (SSS) and shall be entitled to the following:

1. Sickness benefit,
2. Retirement benefit,
3. Disability benefit
4. Death and funeral benefit, and
5. Salary and other loans.
6. Employees' Compensation (EC) Program. All SSS-registered personnel are compulsorily covered by the Employees' Compensation insurance. This aims to assist workers who suffer work-connected sickness or injury resulting to prolonged absence from work. The benefits under the EC program may be enjoyed simultaneously with benefits under the social security program effective June 1984.
7. The Mandatory Provident Fund (MPF) which was introduced effective January 1, 2021 under the SSS Workers' Investment and Savings Program, covers all employees with earnings above Php20,250.00 per month, levied at the same rate as SSS premium contributions. At retirement of the employee, the accumulated MPF will be converted into a monthly pension payable for a period of at least 15 years.

8. Maternity leave and pay
    a. The benefits under the Social Security System Expanded Maternity Leave under R.A. No. 11210 include:
        a.1 Entitlement by female worker to 105 compensable days of maternity leave for live childbirth, regardless of the type of delivery and number of deliveries. The maternity leave period is counted in calendar days, inclusive of Saturdays, Sundays, and holidays. In case of miscarriage, the entitlement is 60 days of paid maternity leave;
            i. Female employees from the private sectors availing the maternity leave shall receive SSS maternity benefit based on the prescribed computation of SSS and the salary difference, if any, between the average regular wages rate for the entire duration of maternity leave and SSS benefits.
            ii. The employer of the availing worker is required by the law to pay the salary differential.
            iii. The salary differential to be paid by employers in the private sector is considered as a benefit exempt from the Income and Withholding Taxes.
    b. Option for the female worker to extend for an additional thirty (30) days without pay;
    c. Extension of fifteen (15) days for solo mothers;
    d. Female worker may, at her option, allocate up to seven (7) working days of said benefits to the child's father, whether or not the father is married to the female worker. In the absence of the father, the female employee may still allocate said maternity leaves to an alternate caregiver

who is either a relative within the 4th degree of consanguinity or a current partner, regardless of gender, who shares with her the same household.

e. Maternity leave is for every instance of pregnancy, miscarriage or ETP (emergency termination of pregnancy), regardless of frequency.

f. An option to extend leave for an additional thirty (30) days without pay. The extended maternity leave is allowed but, chargeable against the female employee's sick leave credits, and against the vacation leave credits in case her sick leave credits have been exhausted. Application for extended maternity leave must be filed with the agency at least forty-five (45) days before the end of the 105 days maternity leave. In case of a medical emergency, subsequent notice shall be submitted.

g. To qualify for the maternity benefit from the Social Security System, the female worker must meet the following requirements:
    i. the employee must have paid at least 3 monthly SSS contributions in the 12-month period immediately preceding the semester of the birth, miscarriage or termination; and
    ii. must notify her employer of her pregnancy and expected date of birth. Such notice shall be transmitted to the SSS in accordance with the rules and regulations. Failure of the pregnant female worker to notify the employer shall not bar her from receiving the maternity benefits, subject to guidelines prescribed by the SSS.

B. Paternity leave Paternity leave benefits are given to married male employees whose legal wife had a child delivery or miscarriage. The benefit applies to all male employee regardless of employment status. The benefit consists of seven (7) days of leave credits with full pay. The married male employee is required to be cohabiting with his legal wife unless there is a justifying circumstance. The benefit is non-convertible to cash and non-cumulative, and availed as follows:

a. 7 working days paternity leave to the father of the child, if he is married to the female worker. Thus, a married new father can enjoy as much as 14 working days leave (7 days Paternity leave and 7 days under RA 11210).
b. An unmarried new father may be entitled only to 7 working days allocated leave under RA 11210 (Expanded Maternity Leave Law).

C. National Health Insurance Program (NHIP) Benefit. Pursuant to Republic Act No. 7875, otherwise known as National Health Insurance (NHI) Act of 1995, all University personnel are covered by a medical insurance administered by the Philippine Health Insurance Corporation (PHILHEALTH). Both the University and the personnel contribute to the premium of the insurance based on the personnel's actual monthly salary and contribution schedule provided by PHILHEALTH.

D. Home Development and Mutual Fund (HDMF) Benefit. As mandated by Presidential Decree No. 1530 more popularly known as PAG-IBIG Fund, all University personnel are members of the Home Development and Mutual Fund and shall be entitled to multi-purpose loans and housing loans at low interest and long-term payment. Both the University and the personnel contribute to the monthly premium in an amount not less than Php100.00.

E. The 13th Month Pay. Presidential Decree No. 851 provides for the payment of thirteenth month pay which is equivalent to 1/12 of the total basic salary earned within the calendar year.

1. Basic salary includes all remunerations or earnings regularly paid by an employer to an employee for services rendered. The salaries during approved sabbatical leave and sick leaves with pay shall be included in the computation of the gross pay for purposes of computing the thirteenth month pay. Honorarium-based pay and NSTP pay shall be included in the computation of the thirteenth month pay.
2. The computation shall not include *de minimis* benefits, overtime pay, substitution pay, honorarium, night shift differential pay, premium pay, 2-unit midyear pay, and other monetary benefits which are not part of the regular salary of the personnel.
3. The 13th month pay of employees are given in two installments: not later than May 5 and not later than December 5 of each year. For emergency cases or other contingencies, an advance of the 13th month pay may be granted computed based on the actual number of months rendered.
4. The 13th month pay shall be computed on the basis of the following rules:

   GENERAL RULE: The 13th month pay of academic personnel is computed based on the total of the basic salary received during the calendar year divided by 12.

   SPECIAL RULE: For the following academic personnel, the denominator is the actual number of months of service instead of 12:

   a. Permanent and probationary academic personnel who do not teach during the midyear term;

   b. Those who are retiring during the year; or

c. Permanent and probationary academic personnel who go on approved leave of absence and who have rendered service for at least six months during the calendar year.

F. Service Incentive Leave. As provided in Article 95 of the Labor Code of the Philippines, an employee who has rendered at least one year of service is entitled to a yearly five (5) days service incentive leave with pay.

G. Solo Parent Leave. In accordance with Republic Act No. 11861 otherwise known as The Expanded Solo Parents' Welfare Act, all solo parent personnel who have rendered service of at least six (6) months of service to the University shall be entitled to parental leave of not more than seven (7) working days every year.

1. The parental leave may be availed on a continuous or staggered basis, subject to the approval of the University President. In this regard, the Solo parent shall submit the application of parental leave at least one week prior to availing the Solo parent leave, except on emergency cases.
2. A solo parent refers to any individual who falls under any of the following categories:
    a. Birth of a child as a consequence of rape, even without final conviction: *Provided,* That the mother has the sole parental care and support of the child or children: *Provided,* further, That the solo parent under this category may still be considered a solo parent under any of the categories in this section;
    b. Death of the spouse;
    c. Detention of the spouse for at least three (3) months or service of sentence for a criminal conviction;
    d. Physical or mental incapacity of the spouse as certified by a public or private medical practitioner;
    e. Legal separation or de facto separation for at least six (6) months, and the solo parent is entrusted with the

sole parental care and support of the child or children;

f. Declaration of nullity or annulment of marriage, as decreed by a court recognized by law, or due to divorce, subject to existing laws, and the solo parent is entrusted with the sole parental care and support of the child or children; or
g. Abandonment by the spouse for at least six (6) months;
h. Spouse or any family member of an Overseas Filipino Worker (OFW), or the guardian of the child or children of an OFW: *Provided,* That the said OFW belongs to the low/semi-skilled worker category and is away from the Philippines for an uninterrupted period of twelve (12) months: *Provided,* further, That the OFW, his or her spouse, family member, or guardian of the child or children of an OFW falls under the requirements of this section;
i. Unmarried mother or father who keeps and rears the child or children;
j. Any legal guardian, adoptive or foster parent who solely provides parental care and support to a child or children;
k. Any relative within fourth (4th) civil degree of consanguinity or affinity of the parent or legal guardian who assumes parental care and support of the child or children as a result of the death, abandonment, disappearance or absence of the parents or solo parent for at least six (6) months: *Provided,* That in cases of solo grandparents who are senior citizens but who have the sole parental care and support over their grandchildren who are unmarried, or unemployed and twenty-two (22) years old or below, or those twenty-two (22) years old or over but who are unable to fully take

care or protect themselves from abuse, neglect, cruelty, exploitation, or discrimination because of a physical or mental disability or condition, they shall be entitled to the benefits of this Act in addition to the benefits granted to them by Republic Act No. 9257, otherwise known as the 'Expanded Senior Citizens Act of 2003'; or

l. A pregnant woman who provides sole parental care and support to the unborn child or children."

m. Children or dependent refer to those living with and dependent on the solo parent who are unmarried, or unemployed and twenty-two (22) years old or below, or those twenty-two (22) years old or over but who are unable to fully take care or protect themselves from abuse, neglect, cruelty, exploitation, or discrimination because of a physical or mental disability or condition.

3. Before a personnel may avail of this privilege, he/she should present the corresponding certification from the concerned government agency attesting to the fact that he/she is a Solo Parent. Within three (3) days from availment of Solo Parent Leave, the personnel should present a corresponding proof/certification/document to the HRDO showing that the leave period was utilized for the authorized purpose. This privilege will not be credited as Solo Parent Leave if the personnel fails to comply with the above conditions.

4. Unused Solo Parent Leave within the school year is not cumulative. Neither is it convertible to cash.

5. The Solo parent employee may avail of parental leave under any of the following circumstances:

    a. Attend to personal milestones of a child, such as birthday, communion, graduation and other similar events;

b. Perform parental obligations such as enrolment and attendance in school programs, PTA meetings and the like;
c. attend to medical, social, spiritual and recreational needs of the child; and
d. Other similar circumstances necessary in the performance of parental duties and responsibilities, or physical presence of the parents is required.

6. A change in the status or circumstance of the parent claiming benefits, such that he/she is no longer left alone with the responsibility of parenthood, shall terminate his/her eligibility for these benefits.

H. Special Leave Benefits for Women. Republic Act No. 9710 or the Magna Carta for Women Act provides for special leave benefits for women regardless of age and civil status:

1. A female personnel having continuous aggregate employment service to the present employer of at least six months for the last 12 months shall be entitled to a special leave benefit for a maximum of two (2) months with full pay based on her gross monthly compensation following the surgery caused by gynecological disorders. When the employee reports to work before or after the two (2) months leave, she must present a medical certificate indicating that she is fit to work. If the attending Physician requires an extension of the medical leave, the leave will be considered as leave without pay from the University but may be applied from SSS benefits.
2. "Gynecological disorders" refers to disorders that would require surgical procedures such as, but not limited to, dilatation and curettage and those involving female

reproductive organs such as the vagina, cervix, uterus, fallopian tubes, ovaries, breast, adnexa and pelvic floor, as certified by a competent physician. For the purpose of availing this benefit, gynecological surgeries shall also include hysterectomy, ovariectomy, and mastectomy.

3. The female employee must file an application for special leave within a reasonable period of time (15 days) before the expected date of surgery. The employee must submit a proof that she underwent surgery due to Gynecological disorders as certified by competent Physician.
4. There shall be no double compensation for the period covered by this special leave. Any salary paid during the period of contingency shall already cover the leave benefits stated above.

I. Paid Holidays. Regular holidays are paid days. This means that every personnel is entitled to his/her regular daily wage on regular holidays even if he/she has not reported for work.

III. BENEFITS GRANTED BY MANAGEMENT

A. Sick Leave

Temporary, probationary and permanent academic personnel are entitled to 5 days sick leave (SL) with pay per school year. If unused, it is not monetized.

B. Additional Service Incentive Leave.

1. In addition to the 5 days Service Incentive Leave (SIL) mandated by law**,** temporary, probationary and permanent academic personnel are granted an additional 2 days Service Incentive Leave for a total of 7 days SIL with pay for every

year of completed service. The leave credits may be used for whatever reason.

2. Temporary, probationary and permanent academic personnel who have rendered at least one year of service, and who do not use all or part of the allowed 7 days SIL for personal absences in a school year are given cash incentive pay corresponding to the number of unused SIL days to be paid within one month after the end of the school year.
3. Personal absences to be charged to the seven (7) days SIL include all absences, except:

    a. Absences on official business or on official time;
    b. Bereavement leave of seven (7) days for death of immediate family members (parents, siblings, half - brother/sister, spouse, children, and parents-in-law);
    c. Authorized absences incurred by Union officers or their authorized representatives during CBA negotiations, LMC meetings and other Management-Union activities for a maximum of 15 days;
    d. Birthday leave;
    e. Special leave for women;
    f. Maternity leave;
    g. Paternity leave;
    h. Sabbatical leave;
    i. Solo parent leave; and
    j. Fieldtrip leave
    k. Leave without pay

4. The pay credit is based on the basic pay of the personnel as contained in the salary guide of the applicable school year.
5. Those who are on full study leave are not entitled to the incentive pay credit but those on study leave with partial teaching or office work are entitled thereto.

6. Those on approved leave for part of the school year are granted the incentive pay credit in proportion to the number of months served.
7. The University President, Vice Presidents, partial load academic personnel, lecturers, and contractual personnel are not entitled to the incentive.
8. Accumulated absences beyond the 12 days allowed leaves (SL and SIL) shall be proportionately deducted from the personnel's salary for the succeeding month. The report on accumulated absences beyond 12 days must be submitted by the HRDO to the Treasury and Accounting Office (TAO) on or before the 10th day of the following month.
9. Those who resigned or retired within the academic year, the SIL will be computed using this formula:

$$\frac{\text{Months served}}{\text{12 months}} \times \text{7 days (incentive leave)} = \text{SIL}$$

C. Longevity Pay / Loyalty Awards. In recognition of their loyalty to the University, the following awards are given to permanent academic and non-academic personnel who have rendered 5, 10, 15, 20, 25, 30, 35 and 40 years of actual full-time service.

For the purpose of qualifying an employee for longevity pay/award, the basis is the actual number of years of service rendered as an employee on full workload.

YEARS OF SERVICE	AWARD/S
Upon attainment of Regular Status	An academic personnel who attains regular status is entitled to one (1) scholarship for a ward for college education at Saint Mary's University provided he/she has no children enjoying the study grant for personnel dependents. The terms of the scholarship are the same as that for personnel dependents. The scholarship is non-transferable and will be

YEARS OF SERVICE	AWARD/S
	discontinued when the personnel resigns or is separated from SMU or shall have his/her own child enrolled and enjoying the Study Grant for Personnel Dependents.
5 years	A certificate plus Php4,000.00
10 years	A certificate plus Php8,000.00
15 years	1. A certificate plus Php12,000.00 2. A single or a childless married personnel with 15 years of service is entitled to one (1) scholarship for a ward or dependent from Kindergarten 2 to College at Saint Mary's University, subject to the following terms and conditions: a. The terms of the scholarship are the same as that for regular personnel dependents. b. The scholarship is non-transferable and will be discontinued when the personnel shall have his/her own child enrolled and enjoying the Study Grant for Personnel Dependents. c. The benefit stops when the personnel resigns or is terminated for cause. d. This benefit will be continued even after the retirement, death or total and permanent disability of the personnel.
20 years	A certificate plus Php20,000.00

YEARS OF SERVICE	AWARD/S
25 years	A Plaque and Php10,000.00 plus Certificate of Scholarship for one ward from Kindergarten 2 to College at Saint Mary's University, subject to the following terms and conditions: a. The terms of the scholarship are the same as that for regular personnel dependents. b. The benefit stops when the personnel resigns or is terminated for cause. c. This benefit is non-transferable and will be continued even after the retirement, death or total and permanent disability of the personnel.
30 years	A plaque plus Php30,000.00
35 years	A plaque plus Php35,000.00
40 years	A plaque plus Php40,000.00

D. Midyear Pay

1. Permanent and probationary college academic personnel are entitled to a two-unit midyear term pay whether they teach or not during midyear term. This midyear term pay is over and above the regular midyear term pay, if the faculty member has midyear term load (teaching or research load).
2. College academic personnel who teach/render service for one semester only will be entitled to one-unit midyear pay.

E. Rice Allowance. All permanent and probationary academic personnel are given monthly rice allowance, a *de-minimis* benefit

which is not taxable. The rice allowance shall not be included in the 13th month pay and retirement/separation pay computations. Those on leave without pay, except those on sickness, maternity leave, sabbatical leave, and special leave for women, are not entitled to this allowance. Prolonged sickness leave must be with updated medical certificate.

F. Uniform Allowance. All permanent and probationary academic personnel are entitled to a uniform allowance as stipulated in the Collective Bargaining Agreement (CBA) with the SMU Employees' Union. The HRDO, in consultation with the SMU Employees' Union President shall coordinate with employee representatives per unit regarding the uniform design, color, material and the service provider.

G. Leave of Absence Without Pay. A personnel of Saint Mary's University may, upon the recommendation of the Academic Dean/Head of Office and the approval of the Advisory Board, be granted a leave of absence without pay for one month or more provided that:

1. The chief purpose for such leave may be protection or recovery of health, studies, and board or bar examinations review;
2. The leave of absence shall be filed at least 30 days before the effectivity;
3. The personnel who proposes to take a leave should apply to the Academic Dean/Head of Office who shall make the necessary recommendation to the Advisory Board;
4. Such leave of absence shall take effect at the start of a semestral or midyear term. A one-semester leave is preferably granted during the second semester.
5. The period of such leave shall be a maximum of one school year or may be extended for another year upon the approval of the Advisory Board.
6. During the period of the leave, the personnel shall not accept

employment outside of Saint Mary's University. Upon verification of employment, the HRDO should notify the employee of such alleged violation in the Code of Proper Conduct for SMU Personnel and make the necessary explanation. With or without explanation, the HRDO shall determine whether or not to initiate an administrative proceeding;

7. This leave of absence shall not be included in the computation of the actual years of service rendered;
8. Upon return, the personnel shall carry the rank held before the leave;
9. While the employee is on leave without pay, he/she will not be entitled to benefits mandated by the government and granted by management except the study grants for dependents/wards where the rules on the study grants for personnel dependents shall apply;
10. The employee shall pay his/her SSS/PhilHealth/HDMF contributions as a voluntary contributing member, and his/her loans.
11. One who is granted Leave of Absence without Pay and does not immediately return to work at the end of the leave period shall be issued a return-to-work notice by the HRDO. In case of non-compliance with the return to work notice the HRDO shall initiate the appropriate administrative proceeding for violation of professional responsibilities as stated in the Code of Proper Conduct for SMU Personnel.

H. Medical and Dental Benefits.

1. The University shall provide to all employees free medical and dental consultation and basic first aid in the university clinics.
2. The University shall provide permanent and probationary employees free annual medical examination which includes the following: ECG, chest x-ray, CBC, urinalysis, blood chemistry which includes: FBS, BUN, Creatinine, Cholesterol, HDL, LDL, Triglycerides, Uric Acid, SGPT and SGOT, except

those not recommended by the school physician for a particular employee (ex. X-ray for pregnant women).

I. Insurance Protection

All permanent, probationary, and temporary academic personnel are covered for free by the group accident insurance package (on a rider policy as negotiated by Administration with benefits which may change from year to year).

The benefits under this accident insurance coverage may include:

- Accidental Death/Disablement
- Unprovoked Murder and Assault
- Burial Benefit (accident case)
- Medical Expense Reimbursement (accident case)
- Separate Cash Assistance (for natural death)
- Daily Cash Allowance (60 days maximum for accident confinement)
- Daily Cash Allowance (60 days maximum for sickness confinement, provided the hospital confinement is not due to congenital illness)
- Emergency Cash Assistance (due to fire and earthquake)

-Other Features

- 24 - Hour coverage for 365 days, worldwide, (accidents within and outside the school premises).
- With Motorcycle Coverage – (whether a passenger or driver/operator of any 2 or 3 or 4 wheeled motorized vehicles), provided with driver's license and head gear/helmet.
- Dog, cat, snake bites and any form of animal bites, and food poisoning are included.

J. Birthday Leave and Birthday Cash Gift.

1. All permanent, probationary and temporary academic personnel shall be entitled to one day birthday leave with pay during the actual date. The leave can be on any scheduled date within 30 days from the birthdate but not before the birthdate in case the birthday falls on a Sunday, holiday, semestral break or a non-working day. If possible, the availment should not be done on the first day of the school term. In cases when an employee is required to report during his/her birthday, he/she can offset it at any day during the term indicated above.
2. Permanent academic personnel are granted a Php1,000 birthday cash gift which may be claimed one day before the birth date.

K. Bereavement Leave.

1. All employees shall be entitled to seven (7) working days bereavement leave with pay that may be availed within the 40-day period from date of death of employee's immediate family member. This leave aims to allow the employee to attend to the funeral wake, interment, 9th day and 40th day of death of employee's immediate family member.
2. The bereavement leave covers the demise of the following legitimate immediate family members:
    a. Parents
    b. Brothers/sisters, half-brothers/half-sisters
    c. Spouse
    d. Children
    e. Parents-in-law

L. Study Grant for Academic Personnel. SMU offers study grants to its academic personnel in line with the University's Faculty and Staff Development Program. The terms and conditions of the grant are spelled in the chapter on Faculty Development Program.

M. Study Grant for Personnel Dependents

1. Legal dependents (less than 24 years of age) of permanent personnel enjoy discounts of 100% tuition fee and part of miscellaneous fees when enrolled at Saint Mary's University from Kindergarten 2 to College.
2. The discount does not include textbooks, computer laboratory fees, laboratory fees, educational trip fees, work immersion, and miscellaneous and other fees which are remitted to external providers.
3. Personnel dependents may avail of one privilege at a time. They shall be afforded the privilege with the highest benefit. However, if the personnel dependent qualifies also as academic scholar, the combined discounts should not exceed the total fees of the dependent.
4. The benefit does not include Master's and Doctoral degrees, Juris Doctor and a second undergraduate degree, even if the first Bachelor's degree was obtained in another school.
5. Failed subjects, unremoved incomplete marks and UW subjects shall be paid by the personnel.
6. This benefit shall be cancelled when the personnel resigns or is terminated for cause.
7. When the personnel goes on leave without pay for one year, the study grant of his/her dependent continues. However, if the personnel does not report back to work after the leave, the study grant will be revoked and he/she will be charged the cost of the dependent's study grant during the leave.
8. This benefit will be continued even after retirement, death or total and permanent disability of the personnel.

9. The dependents of part-time academic personnel who are hired starting School Year 2011-2012 are not entitled to this benefit.

N. Substitution Pay.

1. When an academic personnel is recommended by the Academic Dean and approved by the Vice President for Academic Affairs as a substitute in lieu of another academic personnel, he/she shall be paid in accordance with the following formula:

Substitution pay= Rate Per Hour x Number of Hours

Where:

$$\textbf{Rate per hour} = \frac{\textbf{(Basic pay of substitute) x (3/24) x 5 months}}{\textbf{54 hours}}$$

2. When the duration of substitution is at least one month, the computation is:

$$\textbf{Substitution pay} = \frac{\textbf{Basic Pay of Substitute x Number of Units}}{\textbf{24}}$$

3. The substitution pay is multiplied by 125% when substitution is in a masteral level, and 150% when the class is in a doctoral level or Juris Doctor.

O. Access to University Services. The University offers the following services to all personnel:

1. **University Learning Resource Center (ULRC)**. All personnel may use the library facilities or borrow books.
2. **The Multimedia and Technology Section of the ULRC.** All personnel may avail of the services of the Section which houses an internet and computer workroom, audio-visual rooms and other specialized areas. It also

serves as a lounging and reading area. They could also borrow therefrom audio-visual materials.

3. **Guidance and Testing Office (GTO)**. All personnel are free to consult the Guidance staff to help them in their difficulties or to attain greater self-development.
4. **University Chapel**. The University chapel is open for prayer to all personnel.
5. **Internet Access**. All personnel may use the internet facilities in the laboratories, library, and wifi hotspots for free.

P. Loans. Loans can be requested from the Finance Office depending on the availability of funds subject to the following conditions:

1. Permanent and probationary personnel may be granted salary loans equivalent to one-month or two months salary, payable within five months or within the semester.
2. Salary loans amounting to Php50,000.00 and above are subject to the approval of the University President.
3. Personnel who have rendered at least 10 years service in SMU may be granted loans from the Retirement Fund equivalent to 75% of their earned benefits, payable within 12 to 36 months.
4. Regardless of the amount, the University President shall act on all applications for a Retirement loan.
5. Approval of loan applications depend on one's capacity to pay and net take home pay and the availability of university funds.

Q. Field Trip Leave

1. Academic personnel whose office work load is equivalent to more than 12 units are given two free days after

completing one year of office service, preferably during midyear, for office field trip for teambuilding.

2. The field trip should be a one-time two-day availment and not on an installment basis. Those who do not join the trip may schedule their field trip leave on another one-time two-day day schedule as approved by head and supervising Vice President. To be considered as an authorized leave, personnel are required to submit duly-accomplished Employee Leave Form (ELF) before the scheduled field trip leave.
3. The school vehicles may be used for the office field trip but the personnel shall pay a minimal amount as rental and shoulder the expenses for gas, toll fees, driver's allowances and overtime pay and depreciation cost of the vehicle.
4. To maximize the field trip, personnel are advised to travel in the evening prior to the two-day leave. The group is expected to travel back in the evening of the second day of the trip.
5. Unused field trip within the school year shall be forfeited, cannot be monetized and cannot offset absences incurred during the year**.**
6. Academic personnel with office work who join student field trips as chaperones and off-campus team building activities can no longer avail of this benefit.
7. The field trip is exclusive for SMU employees only. Family members and other persons who are not SMU employees are not allowed to join the office field trip.

R. Christmas Break. All academic personnel are entitled to a 10-day Christmas Break as programmed in the school calendar.

S. Semestral Break. College faculty members are granted a semestral break as programmed in the school calendar.

T. Holy Week Break. All Academic Personnel are entitled to a 3-day Holy Week Break (Monday, Tuesday, Wednesday) in addition to the 2-day non-working holiday mandated by the government.

U. Sabbatical Leave with Pay

1. All permanent academic personnel in the college level who have served Saint Mary's University for 20 years are qualified for sabbatical leave of one (1) month with pay. If not availed, the employee may still qualify for a sabbatical leave of one and one-half (1 ½) months after 25 years of service. If an employee avails the one-month sabbatical leave with pay after 20 years of service, he/she can still avail a half-month leave with pay upon reaching 25 years of service. The leave is upon the recommendation of the Dean or Head of Office, endorsed by the Advisory Board and approved by the President.
2. The chief purpose of the sabbatical leave is for the personnel to be re-energized to continue efficient service to the University.
3. The sabbatical leave pay is based on the basic salary corresponding to the rank of the employee or the total salary for fixed units for those with fixed units.
4. The Advisory Board shall use the following criteria in approving and/or selecting the grantees:
    a. Urgency of purpose
    b. Exigency of service
    c. Seniority
    d. Date/Timing of leave
5. In a given year, the number of grantees to avail of the sabbatical leave shall not be more than 5.
6. The sabbatical leave should preferably start at the beginning of a term. The application for sabbatical leave should be filed at least one month before the start of the leave.
7. The sabbatical leave preferably should not be during

peak periods. The recommended periods are second semester or mid-year term.

8. Upon return, the employee shall carry at least the basic load for the semester.
9. The leave shall not be considered as a disruption in the service of the employee.
10. If the sabbatical leave is not availed of by a qualified employee whose application is constantly denied by the Advisory Board/University President due to the exigencies of the work force or for other reasons, the sabbatical leave pay for one month (after 20 years of service) and one and one-half months (after 25 years of service) shall be monetized and given upon retirement or resignation.
11. In meritorious cases as recommended by the Advisory Board, an extension of the leave without pay may be approved by the University President, but the same must be applied at least 15 days before the beginning of the requested extension.
12. One who is granted a Sabbatical Leave and does not immediately return to work at the end of the leave period shall be issued a return to work notice by the HRDO. In case of non-compliance with the return to work notice the HRDO shall initiate the appropriate administrative proceeding for violation of professional responsibilities as stated in the Code of Proper Conduct for SMU Personnel.

V. Resignation benefit

A member who resigns from the University prior to his/her retirement date shall receive an amount equal to a percentage of the retirement benefit (last monthly salary multiplied by the corresponding retirement benefit rate multiplied by the member's actual years of service) in accordance with the vesting schedule below:

Years of Service	Percentage
Less than 10 years	0%
10 but less than 15	20%
15 but less than 20	40%
20 but less than 25	60%
25 but less than 30	80%
30 years and over	90%

W. Retirement Benefit

1. Academic personnel are covered by a non-contributory retirement plan whereby they are entitled to a retirement pay upon reaching the normal retirement age of 60.
2. With the approval of the University President, an academic personnel may also avail of an optional early retirement if he reached the age of 55 and has at least 20 years of credited service. The computation of the retirement benefit is stated in the SMU Retirement Plan Rules and Regulations.

X. Funeral Benefit. The officially nominated beneficiaries of the deceased academic personnel (currently employed or retired) shall be granted a funeral benefit of Php50,000.00.

Chapter Nine

ADMINISTRATIVE DISCIPLINE AND GRIEVANCE PROCESSING MECHANISMS

I. ADMINISTRATIVE DISCIPLINE

A. DISCIPLINE

Every personnel is duty-bound to perform his/her assigned tasks or the functions of his/her office with honesty, sincerity, and integrity. He/She should faithfully render work appertaining to his/her position and assignment in fairness to the University as his/her employer. The personnel by virtue of his/her employment contract with the University should keep and maintain a reputation within the context of good morals and propriety at all times.

B. DECORUM

Every personnel is expected to practice the elementary rules of discipline, obedience, respect, and human relations with his/her superiors and fellow personnel at all times. He/She should act in a manner befitting the functions of his/her office, observing elementary principles of social decorum and be responsive to the needs of the people with whom he/she deals at all times. Every personnel should do his/her job with sobriety. Under no circumstance will personnel under the influence of liquor or mind-altering substances be allowed to be in his/her workplace. Every personnel is expected to speak well of the University. In any contract or statement which involves the University by way of reference, the prior knowledge and written consent of the University must first be obtained before such reference is made.

Discipline of personnel shall be primarily governed by the Code of Proper Conduct for SMU Personnel (Refer to

Annex B), and the SMU Anti-Sexual Harassment Implementing Guidelines (Refer to Annex C). They are supplemented by applicable provisions of this Manual and such other promulgations, circulars, and memoranda as may be enacted by the SMU Administration from time to time. Matters which are not covered by the Code of Proper Conduct for SMU Personnel and the SMU Anti-Sexual Harassment Implementing Guidelines may be threshed out in accordance with the procedure delineated below.

II. INSTITUTIONAL GRIEVANCE PROCESSING MECHANISMS

A. PURPOSE

The cultivation of a healthy working relationship within the academic community is essential to effective and efficient delivery of services. Thus, all sectors of the University should strive to establish a climate conducive to personal and professional growth, and reflective of the University's core values of Excellence, Innovation, Communion and Passion for Christ's Mission.

However, like in any human organization, incidents that mar the most wholesome of relationships are bound to happen. Every now and then, personnel may come up with issues pertaining to their work, University policies and procedures, their colleagues and such other factors which contribute to their dissatisfaction and are oftentimes translated into mediocre output and half-hearted service.

It is for the above reason that several grievance procedures were established to resolve personnel concerns in an equitable and timely fashion. As befits every Christian in an academic community, grievances of whatever nature are best settled through sincere dialogue, mediation, conciliation, alternative dispute resolution and negotiation.

B. GRIEVANCE PROCEDURE

The kind of procedure to be undertaken is dependent upon the nature and kind of the grievance, and they shall be dealt with in accordance with the applicable rules. Hence, grievances pertaining to conduct/s that are covered by the Code of Proper Conduct for SMU Personnel and the SMU Anti-Sexual Harassment Implementing Guidelines shall be dealt with in accordance with their provisions. On the other hand, grievances pertaining to terms and conditions of employment which are covered by the Collective Bargaining Agreement (CBA) shall be governed by the grievance procedure established therein. All other grievances not covered by the above stated grievance procedures shall be threshed out in accordance with the following procedure:

1. Every grievance/issue/concern is first expressed orally to the immediate superior/Head of office concerned. Grievances/issues/concerns that are made orally are considered informal and are to be settled informally. If the matter concerns personnel from different departments/offices, the heads of concerned offices should work collaboratively for its amicable settlement.

2. For issues submitted in written form to the President, he/she may direct the supervising Vice President to settle the issues amicably between the parties with a written amicable settlement or compromise agreement executed and signed by both parties and the supervising Vice President.

3. If the matter is not settled amicably, the immediate superior/Head of office concerned shall require the concerned personnel to reduce his/her grievance/issue/concern into writing. He/She must attach all available evidence in his/her possession substantiating claim/grievance. The immediate

superior/head must He/She may also require the other concerned party to explain his/her side.

4. On the basis of the documents thus submitted, and any interview clarifications by the head, the immediate superior/Head of office concerned shall make a decision.
5. The decision of the immediate superior/Head of office concerned shall be final, unless it is brought on appeal for review to the supervising Vice President whose decision is executory.

Chapter Ten

SEPARATION FROM EMPLOYMENT

A personnel may be separated from employment by reason of any of the following: expiration of contract, resignation, abandonment, dismissal, permanent disability, retirement or death. A personnel who is separated from the employ of the University is required to accomplish the SMU Personnel Accountability Clearance Form and settle all his/her accountabilities and other obligations with the University. Benefits and clearance certificate will only be released after submission of the said clearance.

I. EXPIRATION OF CONTRACT

If the employment is covered by a fixed-term contract, it is the right both of the University and the personnel to opt for its non-renewal. If the employment contract is not renewed by the University, the employer-employee relationship is severed. The University is not bound to give reason/s either verbally or in writing for a decision not to renew a contract. The University need not inform the personnel of the expiration of the contract and its subsequent non-renewal.

II. RESIGNATION

It is a voluntary act of a personnel to end the employment relationship, subject to acceptance thereof by the employer.

1. The resignation of a personnel must be done in writing or may be submitted personally, via courier, or sent electronically as an attachment in an email duly noted by the Academic Dean or Head of Office. The employee intending to resign must indicate the specific effectivity date of resignation. The letter must be addressed to and received by the University President not less than 30 days prior to the date of the resignation effectivity.

2. Expression of intent to resign through text messages and other similar means shall not be accepted and the failure of the personnel to report for work shall make him/her liable for abandonment.

3. Receipt of the resignation letter should not be construed as acceptance. The official acceptance and approved date of effectivity of the resignation is confirmed through the reply letter coming from the University President.

4. All personnel who resign are entitled to all benefits that are due them, such as 13th month pay, and other applicable benefits which shall be computed on a prorated basis after accomplishing the SMU Personnel Accountability Clearance Form.

5. Resignation results in the forfeiture of all privileges and benefits of a regular academic personnel. Re-employment in the future shall not necessarily mean reinstatement to his/her rank and all the benefits accorded thereto. They will be treated as new employees and as such, their rank and status will be in accordance with the policy on initial ranking.

6. Resignation of an Administrator

   An administrator who resigns from the University within the 30-day period prior to the effectivity date of resignation will make him/her liable to pay damages in the amount equivalent to his/her three-month salary or Php60,000.00, whichever is lower. A separate penalty in the amount of Php100,000.00 shall be imposed upon the employee if he/she resigns prior to the end of his/her term for breach of contract. His/her resignation shall likewise forfeit his/her status.

7. The preceding paragraph, however, does not apply when the administrator resigns from his/her administrative post but does not sever his/her employment from the University. The term “administrator”, as used in this paragraph, embraces all

the University officers from junior administrative officers to top management.

8. Resignation of an Academic Personnel

   An academic personnel, who resigns within the 30-day period prior to the effectivity date of resignation will make him/her liable to pay damages in the amount equivalent to his/her three-month salary or Php50,000.00, whichever is lower. A separate penalty in the amount of Php75,000.00 shall be imposed upon the employee if he/she resigns within the school year or midyear term for breach of contract**.** A permanent and tenured academic personnel who will resign shall likewise forfeit his/her status.

9. Separation benefits due to resignation of personnel shall be governed by the provisions of the existing University Retirement Plan Rules and Regulations (Refer to Annex A).

III. ABANDONMENT

For a charge of abandonment to prosper, absence from work and deliberate intent to discontinue employment without intention to return must be proven (*MORPHE, 2009*).

1. An academic personnel is charged for abandonment in any of the following instances:
   a. does not report for- work for more than 30 calendar days for whatever reason without filing an application for leave;
   b. does not return for work upon notice that the application for leave has been disapproved; and/or
   c. any other similar or analogous situation.

2. In any of the above cases, the academic personnel shall be considered absent without leave (AWOL) and, after 15 calendar days from receipt of notice to return to work,

he/she shall be terminated from the service for abandonment of work after due process.

3. In like manner, those who fail to report on duty within 30 days from the expiration of their allowed leave shall be deemed as having abandoned work and shall be separated after due process without need of notice.
4. An academic personnel, who abandons work will make him/her liable to damages in the amount equivalent to Php150,000.00.

IV. DISMISSAL/TERMINATION FOR CAUSE

1. An academic personnel may be dismissed at the instance of the University for any of the just and authorized causes listed in the Labor Code of the Philippines, Manual of Regulations for Private Higher Education (MORPHE), SMU Data Protection Policy, and other applicable laws, the Collective Bargaining Agreement, SMU Administrative and Employment Manual for Academic Personnel in Higher Education (AEMAPHE), the Code of Proper Conduct for SMU Personnel, the SMU Anti-Sexual Harassment Implementing Guidelines, and such other rules and regulations as may hereafter be promulgated by the University. Dismissal for cause shall be undertaken in strict observance of the requirements of due process.

2. The following are some of the causes for dismissal/termination by the University:

    a. Serious misconduct or willful disobedience by the employee of the lawful orders of school authorities in connection with his/her work;
    b. Gross and habitual neglect by the employee of the trust reposed in him by school authorities;

c. Fraud or willful breach by the employee of the trust reposed in the academic personnel by the school authorities
d. Commission of a crime or offense by the employee against school authorities or any immediate members of their family;
e. Closing or cessation of the school, course programs, decrease in enrollment, redundancy, retrenchment, automation, and installation of labor saving devices;
f. Disease of an employee and whose continued employment is prohibited by law or is prejudicial to his health as well as the health of his co-employees or students;
g. Gross misconduct, such as, but not limited to, giving of grades to a student in a subject not based solely on scholastic performance; failure to maintain confidentiality of school records; contracting loans from students or parents; use of cruel punishment, insubordination;
h. Gross inefficiency and incompetence in the performance of duties such as, but not limited to failure to cope with the reasonable standards of efficiency and competence of the institution; habitual absences and tardiness from classes, and willful neglect of employment or assignment;
i. Tampering or falsification of, or negligence in keeping school or student records including unreasonable delay in the submission of student grades;
j. Conviction of a crime, or an attempt on, or a criminal act against the life of any school official personnel or student, or upon the property or interest of the University;
k. Being notoriously undesirable;

l. Disgraceful or immoral act inside or outside the school campus or conduct contrary to the teachings of the Catholic faith and Saint Mary's University;
m. The sale of tickets or collection of any contribution in any form or for any purpose or project whatsoever, whether voluntary or otherwise, from students or school personnel by an academic personnel unless with written authorization by the President, Vice President, academic dean or dean of student affairs;
n. Voluntary request for deloading of teaching units to less than the required minimum teaching assignment for full time academic personnel as fixed by the school;
o. Phasing out, closure or cessation of a course program or the university;
p. Commission of a crime involving moral turpitude and offenses committed by the employee such as immorality, dishonesty, drunkenness, assaulting a fellow employee, any school authority, school guest, or student
q. Grave emotional or psychological disturbance on the part of the employee, which in the judgment of the employer or his representative, could bring damage to the students and the school in general;
r. Sexual harassment as provided in Annex C: SMU Anti-Sexual Harassment Implementing Guidelines;
s. Other causes as provided in Annex B: Code of Proper Conduct for SMU Personnel;
t. Other causes analogous to the foregoing as may be provided for in the policies and regulations of the CHED, or SMU or in the CBA.

V. PERMANENT DISABILITY

An academic personnel may be severed of his/her employment in the University for any of the following causes:

1. when the personnel is declared unfit for work by a competent public health authority or by the University Physician;
2. when the personnel suffers from a disease of more or less permanent nature which may seriously impair his/her ability to perform his/her work or duties; or
3. when the personnel suffers from a disease which is prejudicial to his/her health, his/her students or his/her colleagues.

Separation benefits due to permanent disability of personnel shall be governed by the provisions of the existing University Retirement Plan Rules and Regulations (Refer to Annex A).

VI. RETIREMENT

1. It is the severance of employer-employee relationship upon reaching the normal retirement age of 60. With the approval of the University President, a personnel may also avail of an optional/early retirement if he/she has reached the age of 55 and has at least 20 years of credited service.
2. Retirement benefits of personnel shall be governed by the provisions of the existing University Retirement Plan Rules and Regulations (Refer to Annex A).
3. The retirement of an academic personnel shall take effect at the end of the school year or the end of the midyear term of that same school year when the personnel reached the normal retirement age of 60.
4. In the case of academic personnel who occupies an administrative position, the retirement shall take effect at the end of the last month of the current school year.
5. Sixty days prior to the employee's retirement, a letter from the University President is given to the employee who is due

for retirement. In like manner, the University President may inform the employee, subject to his/her consent, an extension of his/her services when needed by the University on an annual basis but not beyond the mandatory retirement age of 65.

6. The retiring academic personnel must accomplish the SMU Personnel Accountability Clearance Form before any benefits are released.

APPENDICES

Annex A

SAINT MARY'S UNIVERSITY RETIREMENT PLAN
RULES AND REGULATIONS

ARTICLE I
NAME, PURPOSE AND EFFECTIVE DATE

Section 1. **Name**. The name of this Plan shall be the SAINT MARY'S UNIVERSITY, INC. RETIREMENT PLAN.

Section 2. **Purpose**. This Plan shall establish the SAINT MARY'S UNIVERSITY RETIREMENT TRUST FUND which will provide retirement, death, disability and severance benefits for all eligible employees of the University.

Section 3. **Date and Effectivity**. The Plan shall be in effect on June 1, 1998.

ARTICLE II
DEFINITION OF TERMS

Section 1. **Definitions**. The following words or phrases used in this Plan shall be defined as follows:

a. "University or "Company" shall mean the SAINT MARY'S UNIVERSITY.
b. "Plan" shall mean the Retirement Plan adopted herein together with any amendments or further amendments duly adopted by the University.
c. "Fund" shall mean the Retirement Trust Fund

established under this Plan, and shall mean generally the employer's contributions together with all income, gains and other additions thereto, less any losses, expenses, and benefit payments therefrom.

d. "Trustee or Trustees" shall mean the person, entity or body created by the University with powers and authority to administer the Plan in accordance with Article VII hereof.

e. "Member" shall mean any academic or non-academic employee who has qualified for membership under Article III and whose membership has not been terminated as provided therein.

f. "Monthly Salary" or "Pay" shall mean the last monthly salary paid to the Member for services rendered during normal working days and hours including the administrative allowance for the position held by him at the time of his retirement/resignation but excluding other allowances, overtime pay, honoraria, substitution pay, royalties, commissions, bonuses and/or profit sharing payments and other fluctuating or irregular emoluments or monetary benefits (like the two-unit summer pay given over and above the summer pay based on actual load assignment) which are not considered as part of or integrated into the regular salary of the employee.

g. "Credited Service" shall mean the period of service rendered by a Member as determined from the records of the University. Period of service shall be reckoned from date of hire to date of retirement, death **or** permanent disability which excludes part time, temporary and contractual status.

g.1 For purposes of determining the number of years of credited service, leave of absence without pay shall not be considered but a fraction of a year served that is 6 months or more shall be considered as equivalent to one year.

1. For retiring members of the Teaching Staff, however, completion of one semester (5 months) is considered one year of service subject to the following conditions:
2. the retiree is at least 60 years old;
3. the retiree is single or childless and has 24 years and one semester of service with SMU (This is to enable the retiree to avail of the benefit of one ward, a benefit for employees with 25 years of service, considering that single/childless employees did not enjoy the educational benefits given to children of SMU employees).
4. There is no available teaching load for him/her anymore because of decrease in enrolment and other reasons that are beyond the control of the retiree and the University.
5. For employees who resign, credited number of years is not applicable. Years of actual service shall apply**.**

h. "Regular Employee" shall mean an employee who has attained regular employment status and who starts receiving his monthly regular pay.

i. "Beneficiary" shall mean the person or persons who shall receive the death benefit provided for herein. The nomination of beneficiaries shall be in accordance

with Article VI Section 2.

j. "Actuarial Advisor" shall mean an independent person or a consulting firm who is accredited with the Insurance Commission to conduct an independent actuarial valuation.

Section 2. **Gender**. The masculine pronoun shall include the feminine gender and the single number shall include the plural unless the context indicates otherwise.

ARTICLE III
MEMBERSHIP

Section 1. **Membership.** Membership in the Plan shall be automatic for all academic and non-academic Regular Employees of the University who have attained regular employment status. Membership in the Plan will commence retroactively on the first day of the month coincident with or next following his attainment of regular employment status. Upon commencement of membership the University may require the Member to execute a pledge to the effect that he has read and is in conformity with this Plan and that he shall abide by its provisions and with any amendments and supplementary rules thereto.

Section 2. **Termination**. Membership in the Plan shall cease automatically upon termination of the Member's service to the University.

Section 3. **Re-Employment**. A Member whose membership in the Plan is terminated and is subsequently employed by the University shall, upon re-admission to the Plan, be treated as a

new Member.

Section 4. **Leave Of Absence**. Membership in the Plan shall continue during any period during which a Member is on leave of absence approved by the University in writing, and during any period of absence due to sickness, accident or other causes not constituting a severance of the employer-employee relationship, except that it may be temporarily suspended at the option of the University during the period of fifteen (15) calendar days or more over which a Member is on leave of absence without pay.

ARTICLE IV
THE FUND

Section 1. **Non-Contributory Plan**. No Member shall be required to make any contributions to the Fund.

Section 2. Funding. The funding of the Plan shall be determined by the Actuarial Advisor and payment of the benefits thereunder shall be provided for through the medium of a Fund held by a Trustee under an appropriate Trust Agreement. The contributions to the Fund so created together with gains and losses realized and unrealized plus contributed accrued liabilities, if any, shall constitute the Fund.

Section 3. **Valuation**. The contributions to the Fund shall be actuarially determined at least once a year.

Section 4. **Procedure for Payment**. Application for the payment of the retirement benefits under Article V and VI must be made in writing in the form and manner prescribed by the

Trustee and must be filed with the Trustee at least thirty (30) days in advance of the date of actual retirement, resignation or separation without cause. Decision of the Trustee shall be final and binding upon all parties.

Section 5. Manner of Payment. At the option of the Trustee, all benefits under the Plan shall be payable to the withdrawing member in the form of a single sum payable anytime within sixty (60) days from the date of such withdrawal from the Plan, upon submission of final clearance. Such benefit shall be payable directly to the Member or to his beneficiary as the circumstances of each case may warrant.

Section 6. Non-Diversion of Funds. All contributions made to the Fund shall be held solely and exclusively for the benefit of the members or their beneficiaries and no part of the said Fund shall be used for, or diverted to, purposes other than for the exclusive benefit of the members or their beneficiaries.

Section 7. Waiver of Claims. Receipt of any benefit by any Member of the Plan shall be deemed a final settlement of any and all claims that the Member may have under the Plan. The Member shall hereby waive, quit claim and release the University and the Plan from any and all claims, actions and liabilities arising from this Plan.

ARTICLE V
RETIREMENT DATES AND BENEFITS

Section 1. Normal Retirement. The Normal Retirement Date of each member shall be:

a. **For Academic Personnel**: At the end of the

semester or the end of the summer term of that same school year when the personnel reached the normal retirement age of 60. In the case of Academic Personnel who occupies an administrative position, the retirement shall take effect at the end of the last month of the second semester of the current school year

b. **For Non-Academic Personnel:** On any day following the celebration of his 60th birthday but not later than the end of the summer term of that same school year.

The Member's Normal Retirement Benefit shall be a sum determined in accordance with Section 4 hereof.

Section 2. Optional/Early Retirement. With the consent of the University, a Member may elect to retire prior to his Normal Retirement Date provided he has reached at least age fifty-five (55) and has completed at least twenty (20) years of Credited Service. The Member's Early Retirement Benefit shall be a percentage of the Retirement Benefit stated in Section 4 hereof in accordance with the vesting schedule below:

Years of Service	**Percentage**
20 but less than 25	65%
25 but less than 30	85%
30 years and over	95%

Section 3. Late Retirement Date. A Member who is allowed by the University to continue to work full time on a yearly extension basis beyond his normal retirement date shall

continue to be a member of the Plan up to his late retirement date. The Late Retirement Date of a Member shall be the first day of the month after attaining his normal retirement date but not beyond age 65. The Member's Late Retirement Benefit shall be a sum determined in accordance with Section 4 hereof.

Section 4. Retirement Benefit. The Retirement Benefit of a Member shall be a sum equal to One-half Monthly Salary for every year of Credited Service. "One-half monthly salary" shall be defined in accordance with the provisions of Republic Act No. 7641 as follows: 15 days Pay plus 1/12th of the 13th month pay plus the cash equivalent of not more than 5 days service incentive leave Pay. This provision is equivalent to 84.76% of Monthly Salary for every year of Credited Service.

However, starting SY 2006-2007, the rate of computation of benefits was increased as follows:

SY 2006 - 2007	-	86 %
SY 2007 - 2008	-	87.5%
SY 2008 - 2009	-	89 %
SY 2009-2010	-	92%
SY 2010-2011	-	95%
SY 2011-2012	-	98%
SY 2012-2013 and beyond	-	100%

Section 5. Resignation Benefit. A member who resigns from the University prior to his retirement date shall receive an amount equal to a percentage of the retirement benefit (last monthly salary multiplied by the corresponding retirement benefit rate multiplied by the member's **actual** years of service) in accordance with the vesting schedule below:

Years of Service	Percentage
Less than 10 years	0%
10 but less than 15	20%
15 but less than 20	40%
20 but less than 25	60%
25 but less than 30	80%
30 years and over	90%

Section 6. Disability Retirement. In the event that a Member is retired by the University due to permanent total incapacity or disability, as determined by a competent physician appointed by the University, his disability retirement benefit shall be a single sum equal to the Retirement Benefit (last monthly salary multiplied by the Retirement Benefit Rate multiplied by the credited years of service) but not less than 10,000.00 In addition a medical benefit equal to 10,000.00 shall be paid.

Section 7. Severance Benefit. A Member who is involuntarily separated by the University due to a retrenchment program or for causes not due to his own fault shall be entitled to a benefit determined in accordance with the Labor Code or in accordance with the Collective Bargaining Agreement or the retirement benefit under Article V, Section 4 of this Plan, whichever is greater.

Section 8. Dismissal for Cause. A Member who is dismissed by the University for cause shall not be entitled to any benefit under the Plan.

Section 9. Forfeitures. The portion of the amount standing to the credit of a separated Member which is not paid to him by virtue of the limitations specified in this Plan shall be retained

in the Fund and shall be used to reduce future contributions of the University.

ARTICLE VI
DEATH BENEFIT

Section 1. Benefit. In the event that a Member dies **while in service**, from any cause except self-inflicted injuries, his beneficiaries shall be entitled to receive a death benefit in a lump sum equal to the Retirement Benefit (last monthly salary multiplied by the corresponding retirement benefit rate multiplied by the credited years of service) but not less than 50,000.00. In addition, a funeral benefit of 50,000.00 shall be paid.

Section 2. Nomination of Beneficiary.

Procedure. Each employee shall, upon eligibility to participate in the Plan, forthwith nominate in writing, in such forms as shall be prescribed by the Trustee, a person or persons entitled to succeed such Member, by testate or intestate succession under existing laws, to receive the amount which may be due the Member in case of his death or inability to receive in person any sum due him from the Fund.

Every nomination or appointment shall remain in force until the death of the nominee or appointee or until revoked or amended by the Member making it by delivering to the Trustee another nomination or appointment in the prescribed form.

In the event of death of a designated or appointed beneficiary during the lifetime of the designating or appointing Member,

said Member shall forthwith nominate or appoint another person in the place of the deceased beneficiary.

Failure to Nominate. If at the death of the Member there shall exist no valid nomination by him of a beneficiary, the existing laws on succession shall prevail.

If the person or persons from among those enumerated in the existing laws on succession do not exist at the time of the Member's death, no death benefit shall be paid by the Plan. The death benefit which should have been paid shall be forfeited in favor of the Fund.

Minor/Incompetent Beneficiary. In case the beneficiary is a minor or under any disability to give legal discharge for payment of the benefits, then payment of the benefits shall not be made until a legal guardian is appointed in behalf of the minor or person under disability, but the beneficiary shall not be entitled to any income on the amount of the accrued benefits during the period that the payment was deferred because of the absence of a legal guardian; provided further that if the amount of benefit is such that existing laws would allow the payment thereof to the surviving parent of the minor or incompetent beneficiary, then benefit payments for the account of said beneficiary shall be made to the surviving parent of said beneficiary.

ARTICLE VII
ADMINISTRATION

Section 1. The Plan. The Plan shall be administered by a Trustee appointed by the University who shall be responsible

for the general administration of the Plan and the management of the Fund. The University may create a Retirement Committee which will coordinate with the Trustee in the implementation of this Plan. The Trustee may seek the advice of a counsel and may appoint an investment manager or managers to manage the Fund, an independent accountant to audit the Fund and an actuary to value the Fund. Fees and expenses incurred in the investing and accounting and/or actuarial audit, amendment and other services for the Plan may be charged to the Fund. In the absence of a TRUSTEE, the Retirement Committee shall administer/manage the Retirement Fund.

Section 2. Trust Agreement. The powers, authorities and discretions necessary or expedient for the Trustee to perform his/her duties shall be expressed in the Trust Agreement executed by the University and the duly appointed person(s) or entity.

Section 3. Retirement Committee. The duties of the retirement committee shall consist of the following functions solely as they relate to the Plan:

Composition:

Chairman: University President
Members: Vice Presidents
Legal Counsel
Director, HRDO
President, SMU Employee's Union

Functions:

a. Implements the rules and procedures of the Retirement Plan;

b. Reviews the Plan and recommends to the Board of Trustees amendments thereto, if any;
c. Interprets the meaning, coverage and application of the provisions of the Plan and consults the Board of Trustees for ambiguous cases; and
d. Is responsible for the general administration and management of the Plan.

ARTICLE VIII
AMENDMENT AND TERMINATION OF THE PLAN

Section 1. Amendment. The University may amend or modify this Plan at any time. Any amendment should conform with Republic Act No. 4917 and Republic Act No. 7641 and their implementing regulations and shall be immediately communicated to the Trustee and the Members of the Plan.

Section 2. Termination by Liquidation. The University reserves the right at any time on account of business necessity to terminate, withdraw, amend, or modify the Plan in whole or in part, at the discretion of the University. In the event of the termination of the Plan, the liability of the University to make contributions shall cease, and the assets of the Fund shall be allocated, subject to provisions for expenses of administration or liquidation.

The Trustee shall pay all debts and obligations of the Fund and settle or dispose of any claims then outstanding against the Fund, and thereafter allocate the property remaining in the Fund to the employees or their beneficiaries, as follows:

1. A sum in full or pro-rata, to provide for the payment to members who are eligible for normal and late retirement,

or for death and disability benefits, but who have not received their benefit payments by the date of termination of the Plan.

2. If any amount remains after (a) above, a sum, in full or pro-rata, to provide for the payment of benefits to employees who are eligible for early retirement by the date of Plan termination.
3. If any amount remains after (b) above, a sum, in full or pro-rata, to provide for the payment of benefits to employees who remain and who may have contingent benefit interest as the Trustee or Retirement Committee may determine on the termination of the Plan.
4. Any amount remaining in the fund after making the above allocations and after paying all liabilities shall revert to the University.

Section 3. Termination by Transfer. In the event the University terminates the Plan by transferring it to any other Fund which is similar, in the opinion of the Trustee, to the purpose and terms of this Plan, each Member shall be entitled to the same benefits as they have in this Plan had the Plan not been terminated.

ARTICLE IX
EFFECT OF LEGISLATION

Section 1. Social Security System and Workmen's Compensation. Except as otherwise provided, whatever benefits may be due the Member on account of the Social Security Law shall not be deducted from the Plan benefits.

Section 2. Duplication of Benefits. In the event that existing

or future laws, including the Collective Bargaining Agreement, require the University to pay similar or analogous benefits to those already herein provided, the Member concerned shall not be entitled to receive both what the law, legislation or the CBA requires the Company to give but shall be entitled only to whichever benefit is the greater among them (and not in addition to);, or, the University may exercise the right to reduce its current contributions or benefits under this Plan by the amount of any payments required by the subsequent legislation or CBA in accordance with the regulations promulgated by the University.

ARTICLE X
MISCELLANEOUS PROVISIONS

Section 1. Irrevocability. The University shall have no right, or interest in the contributions made by them to the Trust and no part of the Fund shall revert to the University except after satisfaction of all liabilities of the Plan; however, such contributions as may have been made by the University as a result of overpayment may revert to the University.

Section 2. Non-Transferability of Rights. No benefit payable under the Plan shall be subject in any manner to anticipation, alienation, sale, transfer, assignment, pledge, encumbrance or change; and any action by way or anticipating, alienating, selling, transferring, assigning, pledging, encumbering, changing the same shall be void and of no effect.

Section 3. Lien of the University. The University shall have the first lien upon the amount standing to the credit of its employee-member to cover all liabilities of the Member to the

University. Said amount of liability shall be deducted by the Trustee from the benefit payment to the Member and shall be remitted to the University.

Section 4. Waiver of Claims. Any benefit received by the Member from the Plan shall be deemed a final settlement of any and all claims that the Member has pursuant to this Plan. Therefore, the Member hereby releases the University and the Plan from any and all Plan liabilities.

Section 5. Employment. The establishment of the Plan shall not be construed as conferring any right upon any Member or any person to a continuation of employment.

Annex B

CODE OF PROPER CONDUCT FOR SMU PERSONNEL

Section 1. Statement of Policy. Proper conduct plays a very vital role in achieving the institutional mission of integral formation of person inspired by Christ's mission and driven by excellence, innovation, and communion. As such, the University expects all its personnel to contribute their share in this effort by following the prescribed norms of proper conduct and behavior as spelled out in this Code, the Manuals for Academic and Non-Academic Personnel, the SMU Anti-Sexual Harassment Implementing Guidelines, and such other rules and regulations as may be promulgated by the University in the future.

The Code of Proper Conduct is aimed primarily at developing self-discipline among SMU personnel. For this reason, it should be considered as an instrument for the maintenance of proper conduct and should not be viewed from a punitive perspective. It also seeks to correct unbecoming conduct and unsatisfactory work habits in order to maintain a clean, healthy, safe, friendly, productive and pleasant work environment.

Section 2. Scope. The provisions of this Code shall apply to all academic and non-academic personnel of Saint Mary's University regardless of their employment classification and status. It shall apply not only to all acts committed within the campus of SMU, but also to those committed outside the University domain insofar as it relates to the performance of the duties and responsibilities of its personnel, or it affects SMU's name and good reputation.

Section 3. General Guidelines

3.1 The immediate superior shall exercise primary jurisdiction in implementing this Code. As such, he/she shall be primarily

responsible in enforcing its provisions and other institutional rules and regulations, undertake appropriate corrective actions, and initiate administrative complaints when warranted by circumstances.

3.2 The rudiments/requirements of due process, both procedural and substantive shall always be observed prior to the imposition of appropriate administrative sanction.

3.3 When the unacceptable behavior of the personnel is established by substantial evidence, the appropriate corrective action shall be promptly and consistently applied. Aggravating and mitigating circumstances may be considered on a case-to-case basis and proven evidence.

3.4 When the unacceptable behavior involves damage to property, in addition to the imposition of appropriate administrative sanction, the respondent shall also be required to restitute or pay for the lost or damaged property based on its replacement value, repair the damage caused, or be required to indemnify its consequential damages if applicable under the circumstances.

3.5 The list of unacceptable behavior and sanctions in this Code is not exclusive. Other unacceptable behavior and their corresponding sanction are spelled out in the Manual of Regulations for Private Higher Education (MORPHE), Manual of Regulations for Private Schools (MRPS), Labor Code of the Philippines and in such other circulars, and memoranda as may be promulgated by the SMU Administration from time to time, subject only to the requirement of proper dissemination.

3.6 When a single act constitutes two or more unacceptable behavior under this Code, the corrective action for the more serious unacceptable behavior shall be applied.

3.7 The proceedings under this Code are administrative in nature. As such, the University is not obliged to afford the parties a trial-type proceeding. Neither is the University bound by technical rules of procedure or evidence applied in the courts of law or agencies exercising quasi-judicial functions. The submission of pleading, countervailing written evidence,

affidavits, position papers, memorandum, documents, or the like shall be enough evidence to be considered except for clarificatory purposes. The parties may seek the assistance of their legal counsel but the latter is not allowed to directly participate in the proceedings.

Section 4. Unacceptable Behaviors and Administrative Sanctions.

4.1 Classification of Unacceptable Behaviors. Unacceptable behaviors may be categorized under any of the following:

CODE	DESCRIPTION	DEFINITION
I	Light	An act that is slightly detrimental to the interest of the University but can be corrected by Counseling upon first offense.
II	Less Grave	An act that is moderately detrimental to the interest of the University but can be corrected by Written Reprimand upon first offense.
III	Grave	An act that is gravely detrimental to the interest of the University but can be corrected by Suspension or Demotion upon first offense.
IV	Very Grave	An act that is very detrimental to the interest of the University and is normally penalized by Demotion or Dismissal upon first offense under the Labor Code or the Manual of Regulations for Private Higher Education (MORPHE).

4.2 Imposable Corrective Actions. The following corrective

actions shall be imposed upon a personnel who is established by substantial evidence to have committed any unacceptable behavior:

CODE	DESCRIPTION	PROCESS INVOLVED
C	Counseling	The immediate superior talks privately to the concerned personnel to explain why a corrective action is taken with the aim of helping him realize that his action was improper and how he can improve in the future. The immediate superior should file a simple report, which specifies the date of counseling and a brief description (content) of the counseling activity. The letter/note shall be received and signed by the concerned personnel and shall be placed in his 201 files in the HRDO.
W	Written Reprimand	A formal letter is given to the concerned personnel specifying the unacceptable behavior he has committed and reminding him to desist from repeating such behavior. The letter/note shall be received and signed by the concerned personnel and shall be placed in his 201 files in the HRDO.
S	Suspension	A formal letter is given to the concerned personnel informing him that he will not report for work for a certain period without pay as corrective action for an unacceptable behavior he has committed. The number of days of suspension may range from one to 30 working days, depending on the circumstances and gravity of the

CODE	DESCRIPTION	PROCESS INVOLVED
		unacceptable behavior. The letter/note shall be received and signed by the concerned personnel and shall be placed in his/her 201 files in the HRDO.
De	Demotion	A formal letter is given to the concerned informing him that due to an unacceptable behavior he has committed, he/she is relegated to a subordinate or less important position, constituting a reduction to a lower rank/step effective on a certain date. The letter/note shall be received and signed by the concerned personnel and shall be placed in his/her 201 files in the HRDO.
Di	Dismissal	A formal letter is given to the concerned informing him that due to an unacceptable behavior he has committed, he is dismissed from the University effective a certain date. The letter/note shall be received and signed by the concerned personnel and shall be placed in his 201 files in the HRDO.

4.3 List of Unacceptable Behaviors and Corrective Actions. In the exercise of its disciplinary authority over its academic and non-academic personnel, the University hereby declares the following acts as Unacceptable behaviors and hereby provides for their corresponding administrative sanctions:

Table I
OFFENSES AGAINST PERSONS

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Any act constituting threat, or any attempt to inflict bodily harm, intimidation or coercion against a personnel or student.	II III	W S	S Di	Di	
2. Interfering or obstructing in any way with the work of fellow personnel.	II III	W S	S Di	Di	
3. Inflicting bodily injury upon a student, clients or another personnel or have in fact inflicted or caused bodily harm through other persons.	III IV	S Di	Di		
4. Bringing into University premises other persons not connected with the University to attack or have in fact attacked another person within University premises.	III IV	S Di	Di		
5. Inflicting bodily injury upon another personnel or student, or school guest at any time within or outside	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
school premises, job sites or property.					
6. Commission of a crime or offense by the personnel against a co-employee or any of his/her superiors or any immediate member of his/her family due to work-related reason/s.	III IV	S Di	Di		
7. Any act or utterance amounting to disrespect, humiliation and embarrassment of students, other personnel, visitors or persons in authority.	II III IV	W S Di	S Di	Di	
8. Uttering, writing, "texting", chatting, e-mailing or posting/uploading malicious, obscene, insulting or offensive words, photos, drawings or videos against co-workers, students, guests or superiors.	II III IV	W S Di	S Di	Di	
9. Defamation (libel, slander) or public imputation of a crime, vice or defect or act tending to cause dishonor	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
or discredit to a person in authority, other personnel, students or guests.					
10. Instigating a fight with another personnel, a student or school guest inside or outside school premises, irrespective as to who started or initiated the fight.	I II III IV	C W S Di	W S Di	S Di	Di
11. Fighting with another personnel, a student or school guest inside or outside school premises, irrespective as to who started or initiated the fight.	II III IV	W S Di	S Di	Di	
12. Inflicting corporal punishment on student/s.	III IV	S Di	Di		
13. Participation in hazing.	III IV	S Di	Di		
14. Intentional filing of malicious and unfounded complaints against a student, employee or university authority.	II III IV	W S Di	S Di	Di	
15. Reckless driving resulting in an accident where a third party has been injured or	III IV	S Di			

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
killed.					
16. Other behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table II
OFFENSES AGAINST PROPERTY AND PROPERTY RIGHTS

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Any damage caused to University property or the property of another personnel or student during school time and in school premises either willfully or through negligence.	I II III IV	C W S Di	W S Di	S Di	Di
2. Vandalism in any form, act of sabotage or intentional destruction of University property.	II III IV	W S Di	S Di	Di	
3. Bringing into University	III	S	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
premises other persons not connected with the University to cause damage to property.	IV	Di			
4. Any act of theft or any attempt to commit theft or robbery of any University property or that of personnel or student.	II III IV	W S Di	S Di	Di	
5. Misuse and/or malversation of University funds or trust funds or similar acts of dishonesty.	III IV	S Di	Di		
6. Substituting or attempting to substitute University material or equipment with another of inferior quality with intent to defraud the University.	III IV	S Di	Di		
7. Obtaining supplies or materials on fraudulent orders, and conniving or colluding with the personnel doing it.	III IV	S Di	Di		
8. Using the time, material, equipment, facilities, room or building of the University on matters alien to the University's business and/or	I II III IV	C W S Di	W S Di	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
to promote personal interest.					
9. Reckless driving resulting in injury, death or damage to university vehicle or property	III IV	S Di	Di		
10. Submitting false or fraudulent money claims against the University or submitting forged certification or documents.	III IV	S Di	Di		
11. Engaging in fictitious transactions, fake invoicing, deals padding and other sales malpractices.	III IV	S Di	Di		
12. Failure to report immediately to University authorities any damage to its property caused by his/her actions.	II III IV	W S Di	S Di	Di	
13. Unauthorized use of University equipment to develop unauthorized software, programs or systems or to spread viruses or to view pornographic materials or to engage in computer games and other similar acts.	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
14. Unauthorized revision or reproduction of systems, computer programs, systems configuration or settings and other similar acts.	III IV	S Di	Di		
15. Unauthorized reproduction, distribution or selling of University instructional materials or any University documents.	III IV	S Di	Di		
16. Other behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table III
OFFENSES AGAINST UNIVERSITY INTEREST AND POLICIES

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Not wearing the prescribed	I	C	W	S	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
uniform/appropriate attire and I.D. during work hours without a valid reason or prior approval.					
2. Failure to record one's attendance.	I	C	W	S	Di
3. Fraudulently registering time or tampering daily time record or that of another personnel.	II	W	S	S	Di
4. Falsification or irregularities in the accomplishment or keeping of daily time record.	II	W	S	S	Di
5. Fraudulently obtaining or releasing money, property or documents from the University, either personally or in collusion with others.	II III IV	W S Di	S Di	Di	
6. Intent to deceive by misrepresentation in withdrawing or attempting to withdraw the salary or benefits of another personnel.	III	S	Di		
7. Failure to remit any and all collections and other articles whether in cash or	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
check credit.					
8. Accepting directly or indirectly any sum of money, unauthorized commission, offer or promise, in consideration of any act, contract, decision of service connected with the discharge of the official duties resulting to a disadvantage to the University. Prosecution under this paragraph shall be without prejudice to the filing of a civil case for the damages sustained by the University.	II III IV	W S Di	S Di	Di	
9. Offering or accepting anything of value in exchange for a job, work assignment, work location or favorable condition of employment.	II III IV	W S Di	S Di	Di	
10. Destroying or attempting to destroy University records to conceal irregular or illicit transactions to the prejudice of the University.	III IV	S Di	Di		
11. Submitting false documents	IV	De	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
or false statements or willful misrepresentation or concealment of disqualification to secure employment or promotion in the University.					
12. Unauthorized use of University logo, letterhead and other University emblems.	II III	W S	S Di	Di	
13. Giving ID card or identification material to any person not entitled to it or assisting non-personnel or unauthorized person to enter the University premises and restricted area without permission from concerned University authority.	II III	W S	S Di	Di	
14. Giving away restricted or classified University information, form, document, or other confidential papers without authorization or clearance from the University President or supervising Vice President to any	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
outsider or to those not authorized to possess such materials. This is without prejudice to the filing of appropriate case against the offender.					
15. Unauthorized issuing of official statement, policies, pronouncements to the public, partners, clients, etc. without the prior knowledge and approval of the University President.	II III IV	W S Di	S Di	Di	
16. Making vicious or malicious statements that are detrimental to the University.	II III	W S	S Di	Di	
17. Tampering, intentionally destroying or keeping University files, forms, documents or other similar data without proper authorization, whether confidential or not.	II III IV	W S Di	S Di	Di	
18. Unauthorized recording of conversations in the course of official business without the knowledge of the persons involved.	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
19. Performing certain acts amounting to grave abuse of authority, or constituting a violation of University policy, which bind or tend to bind the University, or which would result to damage or loss on its part.	II III IV	W S Di	S Di	Di	
20. Conflict of interest or engaging in any unauthorized commercial activities during work hours that would interfere with the performance of one's duties.	I II III	C W S	W S Di	S Di	Di
21. Soliciting or collecting money or other things of value from personnel or students or parents for any purpose without prior written authorization from proper University authorities.	II III IV	W S Di	S Di	Di	
22. Contracting loans from students or their parents where trust relationship is involved.	II III	W S	S Di	Di	
23. Incurring financial obligations outside where	I	C	W	S	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
creditors disturb university officials or other employees with repeated reminders and notices about such financial obligations of the employee.					
24. Exercising any act of authority towards another employee under false pretense.	II III IV	W S Di	S Di	Di	
25. Usurpation and/or misrepresentation of official University function or position resulting in prejudice to the interest of the University.	II III	W S	S Di	Di	
26. Abuse of authority in the discharge of one's duty to gain profit or advantage from other personnel, students, parents, guests, clients and others.	II III IV	W S Di	S Di	Di	
27. Changing of exam schedules not approved by the Vice President for Academic Affairs upon recommendation of the Academic Dean or use of proctors not authorized by	I II	C W	W S	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
the Academic Dean.					
28. Selling merchandise during class/office time or unauthorized tickets to students.	II III	W S	S Di	Di	
29. Teaching or working in other institutions without prior written permission from the University President.	II	W	S	Di	
30. Administering first term, second term or midterm exams to a student who fails to present the test permit	II	W	S	Di	
31. Incurring three written reprimands in one school year.	III	S	Di		
32. Incurring three suspensions within two school years.	IV	Di			
33. Padding of university documents and records.	III IV	S Di	Di		
34. Uttering, writing, "texting", e-mailing or posting/uploading malicious, obscene, insulting or offensive words photos or videos against the institution.	II III IV	W S Di	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
35. Proselytizing for other religious sects within the campus.	II	W	S	Di	
36. Recruiting students and personnel to join terrorist/rebel groups officially declared by the Government.	II	W	S	Di	
37. Other behaviors analogous to the foregoing/Violation of University policies, rules and regulations.	I II III IV	C W S Di	W S Di	S Di	Di

Table IV
OFFENSES AGAINST PROFESSIONAL RESPONSIBILITIES

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Inefficiency, negligence or incompetence in the performance of one's duties.	II III IV	W S De	S Di	De	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
2. Habitual absences and tardiness.	II III IV	W S Di	S Di	Di	
3. Abandonment of employment or assignment.	IV	Di			
4. Making cheating possible or intimating answers in a quiz or exam whether for monetary gain or not.	II III IV	W S Di	S Di	Di	
5. ”Selling” grades/ test papers or accepting cash or anything of value in lieu of compliance with school requirements.	IV	Di			
6. Absence without official leave or tardiness or early dismissal or leaving class without permission.	I II	C W	W S	S Di	Di
7. Failure to submit student record, grading sheets, completion form, test booklets and other requirements on time.	I II	C W	W S	S Di	Di
8. Refusal to submit student records such as grading sheets, completion form test booklets, etc. when directed to do so by	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
University authorities .					
9. Assigning grades not adequately supported by student performance records or submitting erroneous grades.	II	W	S	Di	
10. Unfair treatment of students such as favoritism or bias for or against some students.	I	C	W	S	Di
11. Using class time for unauthorized non-class activities or holding classes in venues not approved by University authorities.	II	W	S	Di	
12. Losing/misplacing school records which cause prejudice to the University or negligence in keeping student or University records or tampering with or falsifying any of said records/documents	II III IV	W S Di	S Di	Di	
13. Failure to inform the HRDO in writing within 30 days of any change in civil status, address, practice of profession, election or	I II III	C W S	W S Di	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
appointment as public official, or membership in any organization.					
14. (For Probationary/Part time Personnel) Unsatisfactory performance in any of these criteria in the semestral performance evaluation: Student Evaluation, or Department Head Evaluation or Dean Evaluation or Head of Office Evaluation.	II III IV	W De Dismissal or Non-renewal of contract			
15. (For Permanent Personnel) Unsatisfactory performance in the Annual Performance Evaluation	II	W	S	De	Di
16. Wasting time or loitering, or sleeping during official work hours or malingering or feigning illness to avoid doing assigned work.	I II III	C W S	W S Di	S Di	Di
17. Leaving work assignment or University premises during official work hours without previous permission from the immediate superior.	I II III	C W S	W S Di	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
18. Intellectual dishonesty or plagiarism.	II	W	S	De	Di
19. Violation of the Code of Professional Ethics of one's profession (e.g. Teacher, Nurse, Engineer, Accountant).	I II III IV	C W S Di	W S Di	S Di	Di
20. Non-renewal of professional license or any other certifications and accreditations.	II	W	S	De	Di
21. Other behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table V
OFFENSES AGAINST GENERAL SECURITY AND SAFETY, PUBLIC ORDER AND PUBLIC HEALTH

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Forcing entry into the office or University premises during off-hours without necessary overtime work authorization or permission from concerned University authorities or entering restricted areas without specific permission.	III IV	S Di	Di		
2. Unauthorized possession of key that can open the locker, drawer or office of another personnel.	II III IV	W S Di	S Di	Di	
3. Unauthorized carrying of firearms, explosives, inflammable materials and other deadly weapons such as knives, bolos, ice picks, bows and arrows, etc. inside University premises or jobsites.	III IV	S Di	Di		
4. Refusal or failure to submit	II	W	S	Di	

to security and safety requirements/inspection	III	S	Di		
5. Removal of safety devices without authorization.	II III	W S	S Di	Di	
6. Driving company vehicle without a valid driver's license or authority from proper University authority.	II III	W S	S Di	Di	
7. Failure to follow University rules on proper maintenance of its facilities such as putting off lights and air-conditioning units, locking rooms, etc.	II	W	S	Di	
8. Smoking/vaping inside the University premises.	I	C	W	S	Di
9. Failure to report or willfully withholding information thereof from University authorities if having a serious contagious disease which may endanger other personnel and knowing about it yet	III	S	Di		
10. Failure to observe University and general health safety practices and regulations, or willful disregard of office directives relating to sanitary conditions of the office, orderliness and security.	I II	C W	W S	S Di	Di

11. Concealment and/or manifestation of strong emotional disturbance or instability.	I II III IV	C W S Di	W S Di	S Di	Di
12. Failure to follow CHSF and Green Campus Guidelines.	I II	C W	W S	S Di	Di
13. Failure to report and register personal property brought into and brought out from the University premises.	I II	C W	W S	S Di	Di
14. Other behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table VI
OFFENSES AGAINST PUBLIC MORALS

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Disgraceful or immoral conduct/ Notoriously unacceptable behavior.	III IV	S Di	Di		
2. Conviction of any crime involving moral turpitude.	IV	Di			
3. Taking part in any gambling, lottery or any other game of	I II	C W	W S	S Di	Di

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
chance using the time and/or within premises of the University					
4. Bringing into University premises, possession or taking in any drug prohibited by law inside University premises or jobsite or reporting for work under the influence of the same.	III IV	S Di	Di		
5. Bringing into or possession of alcoholic beverage within University premises, unless officially approved by the Vice President for Administration or University President as part of official events.	I	C	W	S	Di
6. Drinking liquor or any intoxicating drink while in the performance of one's duty or within the University premises or reporting for work under the influence of liquor, unless officially approved by the Vice President for Administration or University President as	II III	W S	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
part of official events.					
7. Driving while under the influence of alcohol using University vehicle.	III	S	Di		
8. Engaging in scandalous or indecent act within or outside the University.	III IV	S Di	Di		
9. Using abusive or profane language within University premises or at any place during official business or University- related activity.	II III	W S	S Di	Di	
10. Any discourteous act to a client, customer or guest in the performance of one's duties.	I II III	C W S	W S Di	S Di	Di
11. Showing or exhibiting pornographic materials, pictures or literature within University premises or jobsites or at any place during official business or University- related activity.	I II	C W	W S	S Di	Di
12. Rumor mongering or making false, vicious or malicious statement about personnel or students.	II III	W S	S Di	Di	

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
13. Having illicit relations with co-personnel, students, or other persons in or outside the University.	III IV	S Di	Di		
14. Engaging in relationships with students or other persons under scandalous circumstance.	II III IV	W S Di	S Di	Di	
15. Engaging in extramarital relationship.	IV	Di			
16. Premarital sexual affairs or relationship, which may or may not result to pregnancy (the corresponding corrective action or sanction for female employees applies to male employees who engage in premarital sexual affairs or relationship or who fathers a child outside marriage).	III	S			
17. Concealment of pregnancy before Church marriage (the corresponding corrective action or sanction for female employees applies to male employees who fathers a child outside marriage).	II III	W S	S		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
18. Indecent conduct including: a. Lewdness, acts of lasciviousness, sexual advances inside or outside the University premises; and b. Texting, messaging, posting, uploading lewd or pornographic messages, photos or videos of oneself.	III IV	S Di	Di		
19. Any behaviors analogous to the foregoing.	I II III IV	C W S Di	W S Di	S Di	Di

Table VII
OFFENSES AGAINST ADMINISTRATION AND AUTHORITIES

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
1. Any act of disobedience or insubordination (i.e., refusal to follow reasonable and lawful orders or instructions of superior in connection with one's work).	II III IV	W S Di	S Di	Di	
2. Willful disregard of office directives relating to economical use of office supplies and equipment.	I II	C W	W S	S Di	Di
3. Failure to follow prescribed procedures resulting to loss or pilferage or accidents.	II III	W S	S Di	Di	
4. Willful breach by the personnel of the trust reposed in him by his superior or any University authority	III IV	S Di	Di		
5. Non-cooperation in any authorized University activity or group work.	I	C	W	S	Di
6. Refusing to answer the questions or cooperate in any investigation	III IV	S Di	Di		

UNACCEPTABLE BEHAVIOR	CLASSIFICATION	FREQUENCY OF COMMISSION AND CORRESPONDING CORRECTIVE ACTION			
		1st	2nd	3rd	4th
authorized or conducted by the University or concealing matter which is material to the case, unless such answer would violate one's right/s.					
7. Intentionally using or giving false testimony, document, or information which is material to the case in any University investigation.	III IV	S Di	Di		
8. Organizing activities involving students and/or accompanying them without prior written permission from University authorities.	II III	W S	S Di	Di	
9. Inciting, instigating, or participating in any riot, disorder, unlawful rallies and demonstrations against the University.	III IV	S Di	Di		
10. Other acts analogous to those listed above.	I II III IV	C W S Di	W S Di	S Di	Di

Section 5. Procedure to be Followed for Unacceptable Behaviors that Warrant Counseling or Reprimand. To comply with the requirements of due process before the imposition of proper administrative sanction, the following procedure shall be observed:

5.1 Any person (personnel, student, parent, alumni, client, visitor, etc.) may file a written complaint against any personnel of Saint Mary's University for an unacceptable behavior listed above. The complaint shall be filed in the office of the immediate superior of the subject personnel. Complaints that are filed to any school personnel shall be referred to the Vice President for Administration and the immediate superior of the personnel being complained about (hereinafter to be referred to as "the respondent").

a. When reports or complaints are conveyed in oral, phone, text, chat messages, or through social media platform to any school personnel, the receiver shall require the complainant to reduce the same into writing and file with the University. The University reserves the right to refuse to proceed with the administrative inquiry until the complainant complies with this condition. For violation of University rules and regulations, the immediate superior should initiate the administrative process against the respondent.

b. Anonymous complaints that are received by any school personnel shall be forwarded to the HRDO who shall furnish the immediate superior and the Vice President for Administration the copy of the complaint. If the complaint contains verifiable information, the immediate superior shall conduct proper investigation to determine if there is sufficient basis to initiate an administrative proceeding against the personnel concerned.

5.2 Upon receipt of the complaint, or when a personnel violates University rules and regulations, the immediate superior shall prepare a written directive addressed to the respondent requiring him/her to explain within a period not exceeding 72 hours from receipt why he/she should not be administratively sanctioned for a specified violation of the Code of Proper Conduct for SMU Personnel. Relevant documents, if any, evidencing the infraction committed by the respondent shall be attached in the written directive. The written directive, as well as the attachments, must be personally served upon the respondent.

5.3 If the respondent fails to file his/her written explanation/answer within the prescribed period, the immediate superior shall prepare five copies of the decision duly noted by the supervising authority mentioned in Section 5.4 within five (5) working days from the expiration of the term given the respondent. The decision must be personally served upon the respondent and receipt thereof duly acknowledged by him/her. The copies shall be distributed as follows:

- 1st copy- the respondent
- 2nd copy- file of the immediate superior
- 3rd copy- HRDO copy to be filed in the 201 file of the respondent
- 4th copy- complainant
- 5th copy- Legal Counsel

5.4 If the respondent files his/her answer, the immediate superior shall initiate a mediation or conciliation to settle the issue within two (2) working days after receipt of the response/answer. If unresolved, the immediate superior conducts an investigation. For this purpose, he/she may require the complainant and the respondent to submit their evidence. On the basis thereof, he/she shall make the corresponding report, which shall be noted by the proper approving authority.

ERRING PERSONNEL	IMMEDIATE SUPERIOR	SUPERVISING AUTHORITY
Academic Personnel	Academic Dean	Vice President for Academic Affairs
Non-Academic Personnel under Vice President for Mission and Identity	Head of Office	Vice President for Mission and Identity
Non-Academic Personnel under Vice President for Finance	Head of Section/Office	Vice President for Finance
Non-Academic Personnel under Vice President for Administration	Head of Office	Vice President for Administration
Academic Department Head/ Coordinator	Academic Dean	Vice President for Academic Affairs
Office Head/ Administrative Dean/ Administrative Director	Supervising Vice President	University President
Academic Dean	Vice President for Academic Affairs	University President
Vice President	Advisory Board	University President

5.5 If after investigation, the immediate superior finds that the respondent is liable/not liable of the charge, he/she shall prepare five copies of the decision duly noted by the supervising authority mentioned in Section 5.4 within seven (7) working days after the expiration of the two (2) days period. The same must be personally served upon the respondent and receipt thereof duly acknowledged by him/her. The copies shall be distributed as follows:

- 1st copy- the respondent
- 2nd copy- file of the immediate superior
- 3rd copy- HRDO copy to be filed in the 201 file of the respondent
- 4th copy- complainant
- 5th copy- Legal Counsel

5.6 The respondent or complainant may appeal the findings of the immediate superior to the Office of the University President whose findings shall be final and executory.

Section 6. Procedure to be Followed for Unacceptable Behaviors that Merit Suspension, Demotion or Dismissal. To comply with the requirements of due process before the imposition of proper administrative sanction, the following procedure shall be observed:

a. Any person (personnel, student, parent, alumni, client, visitor, etc.) may file a written complaint against any personnel of Saint Mary's University for an unacceptable behavior listed above. The complaint shall be filed in the office of the immediate superior of the subject personnel. Complaints that are filed to any school personnel~~)~~ shall be referred to the immediate superior of the personnel being complained about (hereinafter to be referred to as "the respondent" and to the Vice President for Administration. When reports or

complaints are conveyed in oral, phone, text, chat messages, or through social media platform to any school personnel, the receiver shall require the complainant to reduce the same into writing and file with the University. The University reserves the right to refuse to proceed with administrative inquiry until the complainant complies with this condition. For violation of University rules and regulations, the immediate superior should initiate the administrative process against the respondent.

b. Anonymous complaints that are received by any school personnel shall be forwarded to the HRDO who shall furnish the immediate superior and the Vice President for Administration the copy of the complaint. If the complaint contains verifiable information, the immediate superior shall conduct proper investigation to determine if there is sufficient basis to initiate an administrative proceeding against the personnel concerned.

Upon receipt of the complaint, or when a personnel violates University rules and regulations, the immediate superior shall prepare a written directive addressed to the respondent requiring him/her to explain within a period not exceeding 48 hours from receipt why he/she should not be administratively sanctioned for a specified violation of the Code of Proper Conduct for SMU Personnel. Relevant documents, if any, evidencing the infraction committed by the respondent shall be attached in the written directive. The written directive, as well as the attachments, must be personally served upon the respondent.

6.2 Upon receipt of the complaint, or when a personnel violates University rules and regulations, the immediate superior shall prepare a written directive addressed to the respondent

requiring him/her to explain within a period not less than 48 hours why he/she should not be administratively sanctioned. Relevant documents evidencing the infraction committed by the respondent shall be attached in the written directive. The written directive, as well as the attachments, must be personally served upon the respondent.

6.3 Upon receipt of the written explanation/answer of the respondent, or if the respondent failed to file his/her written explanation/answer, the immediate superior shall endorse the records relative to the complaint to the Vice President for Administration. If no written explanation/answer is filed by the respondent, the Vice President for Administration shall prepare and personally serve to the respondent a written directive to file his/her written explanation/answer within the period of 24 hours from receipt thereof.

6.4 The Vice President for Administration shall elevate the case to the Advisory Board who decides if there is a need to form the Committee on Investigation within 24 hours from the receipt of the responsive pleading or expiration of the period as above indicated. The Vice President for Administration will recommend the composition of the Committee on Investigation for appointment by the University President.

6.5 Within three days from receipt of the directive from the University President to conduct fact-finding investigation, the Committee on Investigation shall schedule an initial conference with the complainant/s and the respondent/s to apprise them of the basic procedural rules for the conduct of the investigation.

On the same occasion, the Committee shall inform in writing the complainant and the respondent of the time, date and venue of the formal investigation. The interval between the initial conference and the formal investigation should not be less than

nor exceed five days to enable the complainant and respondent to prepare.

6.6 During the formal investigation of the Committee on Investigation, the following procedural rules shall be observed:

a. The possibility of amicable settlement, mediation, conciliation or submission to alternative modes of dispute resolution is explored.

b. The factual issues to be resolved by the Committee shall only be limited to those which were alleged in the Complaint. For this reason, the complainant cannot present evidence on issues that are not tackled in the Complaint. In the same manner, the respondent can present evidence to support the allegations in the Answer but not on matters which are not mentioned therein. The Committee may stop the presentation of evidence which were not tackled in the Complaint and in the Answer. For this purpose, either party has the right to demand for a copy of the Complaint and/or Answer;

c. The complainant has the burden of proving the veracity of his/her allegations. His/Her failure to establish the liability or culpability of the respondent, through substantial evidence, will result to the dismissal of the case. On the other hand, the respondent has the right to rebut the allegations of the complainant by presenting his/her own evidence;

d. Since the proceedings being undertaken is administrative in nature, no direct confrontation or cross-examination of witnesses will be allowed. The parties, however, may be allowed to submit suggested written clarificatory questions that the Committee may propound to the party/witnesses;

e. The failure or refusal of either or both parties to appear before the Committee to present their respective

evidence constitutes a waiver, unless there is justifiable cause in writing;

f. The parties should refrain from communicating with any of the witnesses before, during and immediately after they have deposed their testimony before the Committee. The parties and the witnesses are bound to keep the confidentiality of the proceedings;

g. It is the duty of the parties to submit the list of witnesses to the Committee. Thereafter, it becomes the duty of the Committee to notify the witnesses on the date of the reception/deposition of their statement. However, because it is important that every effort be made to keep the incident confidential, the Committee shall exercise its sound discretion in determining which witnesses are indeed necessary to the investigation;

h. The Committee, on its own, may call on other resource persons for additional information or verify information from files available in different offices of the University;

i. The parties shall bind themselves to respect the decision/s of the Committee pertaining to the conduct of the investigation. Any objection on the manner by which the Committee is handling the investigation must be reduced into writing and submitted to the Office of the University President for its consideration;

j. The parties understand that members of the Committee are bound by the rules on confidentiality and are expected to be impartial. The parties, therefore, should refrain from communicating with any of its members on matters related to the case during the pendency of the investigation; and

k. At any stage of the proceedings, the respondent may seek the assistance or advise of a counsel. His/Her counsel, however, is not allowed to directly participate in the proceedings.

6.7 The Committee on Investigation shall complete the investigation within five days.

6.8 Within 20 days from the termination of the investigation, the Committee shall render its written recommendation to be submitted to the Committee on Arbitration.

6.9 Based on the attached findings of the Committee on Investigation, the Committee on Arbitration deliberates and decides on the final action to be relayed to the complainant and respondent/s. If warranted by the circumstances, the Committee on Arbitration may conduct further hearing.

6.10 The decision of the Committee on Arbitration, whether for or against the respondent is final and executory unless appealed by either party to the Office of the University President within five (5) days from receipt thereof.

6.11 Upon appeal, the University President shall issue an order confirming, amending or reversing the decision within 48 hours from receipt of the appeal. The order of the University President is final and executory.

6.12 The University President directs the Legal Counsel to prepare the notice of sanction or acquittal to be personally served by the Director of HRDO to the respondent/s. The notice must be acknowledged by the parties. The date of receipt shall be indicated in the notice.

6.13 In the event that the respondent is absent or refuses to accept the notice, the same shall be sent to his/her last known address by registered mail with return card. The registry return card of the post office where it was mailed and the return card must be secured by the HRDO Director and made available for evidentiary purposes.

6.14 The HRDO shall submit the required report/notices to the Department of Labor and Employment (DOLE).

Section 7. Preventive Suspension. If the Investigation Committee finds a strong probability that the respondent might exert undue influence or pressure upon the complainant and/or the witnesses, or tamper on documents or evidence which are accessible to him through his office, it shall recommend to the University President that the respondent be placed under preventive suspension. If the respondent is placed under preventive suspension, it shall be for a period not exceeding 30 days.

During the period of preventive suspension, the salary and other benefits of the respondent-personnel shall be withheld and he shall be barred from performing his duties and responsibilities. The period of preventive suspension may be extended beyond 30 days but in which case, the respondent shall be paid his salary and other benefits. If the respondent is a student, he shall be barred from entering the campus during the period of preventive suspension.

If, after investigation, it is established that the respondent-personnel is not guilty of the charge/s, he shall forthwith be paid his salaries and other benefits withheld during the time he was placed under preventive suspension. He shall also be allowed to perform his duties and responsibilities. In the case of students, if he is absolved of the charge/s, he shall be allowed admittance in the University campus, and shall be given sufficient opportunity to make up for quizzes, tests and other requirements missed during his preventive suspension.

Section 8. Criminal/Civil Prosecution. The meting out of corrective action to the respondent does not bar the University from filing the corresponding criminal and/or civil action/s in the proper court/s, if warranted under the circumstances.

Section 9. Repealing Clause. This Code supersedes all policies, circulars and memoranda earlier issued and which are inconsistent with the above provisions. In the event that a provision/s of this Code is/are amended or revised by subsequent policies, circulars or memoranda, or repealed by provisions of law, the remaining provisions shall not be affected and remain valid and enforceable.

Section 10. Reservation Clause. The University, in the exercise of its sole and exclusive prerogative, reserves the right to amend, revise or all together set aside this Code. Subsequent amendments or revision, however, shall not take effect until after reasonable dissemination to all affected and concerned sectors is undertaken.

Section 11. Effectivity Clause. This Code shall take effect on the first day of June 2023. To ensure its maximum dissemination to the University community, a copy of this Code must be posted in the different bulletin boards in the University and annexed in the Manuals for Academic and Non-Academic Personnel.

SMU ANTI-SEXUAL HARASSMENT POLICY AND IMPLEMENTING GUIDELINES

SECTION 1. STATEMENT OF POLICY.

The University strongly condemns any form of sexual harassment, exploitation and intimidation. In keeping with this declaration, any act or conduct constituting work-, education- or training-related sexual harassment or Gender–based sexual harassment ('GBSH') shall render the perpetrator liable for administrative sanctions to be enforced in a manner as herein provided.

These updated Guidelines are based on Republic Act No. 7877 or the *Anti-Sexual Harassment Act of 1995*, Republic Act No. 9262 or the *Anti- Violence Against Women and Their Children Act of 2004*, Republic Act No. 11313 or the *Safe Spaces Act of 2019* and most recently, CHED Memorandum Order No. 3, Series of 2022 or the *Guidelines on Gender-based Sexual Harassment in Higher Education Institutions* and other relevant laws and guidelines.
Pursuant to the above policy, the process for reporting and responding to complaints of sexual harassment shall be posted in conspicuous bulletin boards in the University. In the same manner, the Committee on Decorum and Investigation (CODI), the Human Resource Development Office (HRDO), the Office of the Dean of Student Affairs and Services (DSAS), and Prefects of Discipline (POD) shall undertake regular and continuing awareness campaign program in order to effectively prevent, to promptly correct, and if necessary, to impartially deal on violation of this policy by any member of the University community.

SECTION 2. PERSONS LIABLE FOR GENDER-BASED SEXUAL HARASSMENT

Gender-based sexual harassment may be committed by the following:

a. Persons of the same or opposite sex who have authority,

influence or moral ascendancy over the offended party in any aspect of academic or administrative work, such as an officer, faculty member, employee, coach or trainer (e.g., faculty to students, administrator to faculty/employees, administrator to students, and coach/trainer to students);

b. Persons in a peer relationship with the offended party (e.g., faculty to faculty, students to students, administrator to administrator, coach/trainer to coach/trainer);
c. C. Students/student interns, faculty, administrators or employees of SMU committing acts that constitute sexual harassment against faculty members, administrators, employees, third-party service providers or visitors of its institution;
d. Third-party service providers engaged by SMU such as sanitation, janitorial, canteen, security and maintenance personnel;
e. Personnel of other partner institutions which SMU has contracted to undertake school-related activities; or
f. Visitors or third- parties who are within the premises, or around the vicinity of the University.

SECTION 3. PLACES WHERE GBSH IS COMMITTED

Gender-based sexual harassment may be committed in the following:

a. Within the territory of SMU where SMU has direct administration or jurisdiction;
b. Within or outside the host training institutions, local or foreign, during or beyond the conduct of school-related activities so long as the complainant or the respondent in the GBSH case is under their supervision, instruction or custody;
c. In public spaces and/or online platforms which are used

by stakeholders of the education and training institutions for their school-related activities; and/or

d. Within any of the above areas where the gender-based sexual harassment is committed by a faculty, employee, personnel or student of SMU even if the activity is not school-related and/or sanctioned by the institution.

SECTION 4. HOW GENDER-BASED SEXUAL HARASSMENT IS COMMITTED

Gender-based sexual harassment in SMU, other education and training institutions and partner host establishments and/or organizations may be committed as follows:

a. In a higher education institution, other education and training institutions and partner host establishments and/or organizations, as a place of work and as a place of learning, when any unwelcome act or series of acts of a sexual nature is employed in the following:
    1. As basis for any employment decision (including, but not limited to, hiring, promotion, raise in salary, job security, benefits and any other personnel action) affecting the complainant;
    2. As requirement for a grade rating, the granting of honors or a scholarship, the payment of a stipend or allowance, or the giving of any benefit, privilege or consideration to the complainant;
    3. As interference with the complainant's performance, which creates an intimidating, hostile or offensive work or academic environment; or
    4. As instrument that might reasonably be expected to cause discrimination, insecurity, discomfort, offense or humiliation to the complainant.

b. In a higher education institution, as a public space, when any unwelcome act or series of acts of a sexual nature constitutive of street-level and public-spaces sexual harassment arecommitted.

The different forms of Street-Level and Public-Space GBSH include but are not limited to:

1. catcalling and/or wolf-whistling;
2. unwanted invitations;
3. misogynistic, trans-phobic, homophobic and sexist slurs;
4. persistent uninvited comments or gestures on a person's appearance;
5. statements, comments and suggestions with sexual innuendoes;
6. persistent telling of sexual jokes; use of sexual names;
7. public masturbation or dashing of private parts;
8. groping, or any advances, whether verbal or physical, that are unwanted and threaten one's sense of personal space and physical safety, and committed in public spaces; or
9. stalking.

c. In the digital world, online gender-based sexual harassment includes:
    1. acts of a sexual nature that use information and communications technology in terrorizing and intimidating victims through physical, psychological, and/or emotional threats;
    2. unwanted sexual misogynistic, trans-phobic, homophobic and sexist remarks and/or comments online, whether publicly or through direct and

private messages;

3. invasion of victim's privacy through cyber-stalking and/or incessant messaging;
4. uploading and/or sharing without the consent of the victim any form of media that contains photos, audio, or video with sexual content;
5. any unauthorized recording and/or sharing of any of the victim's photos, videos, or any information online;
6. impersonating identities of victims online or posting lies about victims to harm their reputation; or
7. filing false abuse reports to online platforms to silence victims.

SECTION 5. TYPES OF OFFENSES AND CORRESPONDING AMINISTRATIVE PENALTIES

The following is the matrix of offenses and the corresponding penalties.

GRAVE OFFENSES
1. unwanted touching of private parts of the body (genitalia, buttocks and breast) 2. rape or sexual assault 3. malicious touching 4. requests for sexual favor in exchange for employment, promotion, local or foreign travels, favorable working conditions or assignments, a passing or higher grade, the granting of honors or scholarship, or the grant of benefits or payment of a stipend or allowance 5. public masturbation or flashing of private parts 6. groping, or any advances, whether verbal or physical, that are unwanted and threaten one's sense of personal space and physical safety, and committed in public spaces

7. uploading and/or sharing without the consent of the victim, any form of media that contains photos, audio, or video with sexual content
8. any unauthorized recording and/or sharing of any of the victim's photos, videos, or any information online
9. impersonating identities of victims online or posting lies of a sexual nature about the victims to harm their reputation
10. filing false abuse reports to online platforms to silence victims of sexual harassment
11. stalking
12. other analogous cases

A. Person in a peer relationship with the offended party, e.g., student vs. student, employee vs. employee.

B. Students/student interns harassing (with sexual undertone) faculty members, administrators, personnel, or employees

C. Students/student interns harassing (with sexual undertone)faculty members, administrators, personnel, or employees

OFFENDER	PENALTY FOR FIRST GRAVE OFFENSE	REMARKS
Employee	Dismissal from service	Follow DOLE requirements
Students	Expulsion	Subject to confirmation by CHED

Penalty when a Grave Offense is committed under conditions D, E, F.

OFFENDER	PENALTY FOR FIRST GRAVE OFFENSE	REMARKS
D. Third-party	Permanent ban in	

	service providers such as sanitation and maintenance personnel	SMU; Termination of contract	
E.	Personnel of Partner Institutions where school-related activities are conducted	Permanent ban in SMU; Termination of contract *For international partners, permanent ban from entering into contract with any PHEI	Report to CHED Regional Office
F.	Guest/Visitors	Permanent ban in SMU	

LESS GRAVE OFFENSES
1. unwanted touching or brushing against a victim's body 2. pinching not falling under major offenses 3. derogatory or degrading remarks or innuendoes directed toward the members of one sex, or one's sexual orientation or used to describe a person 4. verbal abuse with sexual overtones 5. unwanted invitations with sexual undertone 6. misogynistic, trans-phobic, homophobic and sexist slurs 7. persistent uninvited comments or gestures on a person's appearance 8. relentless requests for personal details 9. incessant messaging 10. making statements, comments and suggestions with sexual

innuendoes

11. the use of information and communications technology in terrorizing and intimidating victims through physical, psychological,and/or emotional threats with sexual overtones
12. other analogous cases

Penalty for less grave offense committed by:

A. persons who have authority, influence or moral ascendancy over the offended party in any aspect of academic or administrative work

OFFENDER	PENALTY FOR FIRST OFFENSE	PENALTY FOR SECOND OFFENSE
Employee	Suspension of one month and one day to six months	Dismissal from service
Students	Suspension of one month and one day to six months	exclusion or dismissal

Penalty for less grave offense committed by:

B. Person in a peer relationship with the offended party, e.g., student vs. student, employee vs. Employee

C. Students/student interns harassing (with sexual undertone) faculty members, administrators or employees

OFFENDER	PENALTY FOR FIRST OFFENSE	PENALTY FOR SECOND OFFENSE
Employee	Suspension of one month and one day to three months	Dismissal from service
Students	Probation for the entire semester	For students, exclusion or dismissal

Penalty for less grave offenses committed by:

D. Third-party service providers such as concessionaires, sanitation and maintenance personnel, etc.

E. Personnel of Partner Institutions where school-related activities are conducted

OFFENDER	PENALTY FOR FIRST OFFENSE	PENALTY FOR SECOND OFFENSE
Third-party service providers Personnel of Partner Institutions	Serious reprimand by SMU	Permanent ban in SMU *For international partners, permanent ban from entering into a contract with any PHEI

LIGHT OFFENSES
1. surreptitiously looking or staring at a person's private part or worn undergarments 2. making sexist statements and smutty jokes or sending these through text, electronic mail or other similar means, causing embarrassment or offense and carried out after the respondent has been advised that they are offensive or embarrassing or even without such advice, when they are by their nature clearly embarrassing, offensive or vulgar 3. malicious leering or ogling 4. the display of sexually offensive pictures, materials or graffiti 5. unwelcome inquiries or comments about a person's sex life or sexual orientation connoting one's sex life (ex. LGBTQ's

sexual relations).
6. unwelcome sexual flirtation, advances, propositions
7. making offensive hand or body gestures at the person
8. persistent unwanted attention with sexual overtones
9. unwelcome phone calls with sexual overtones causing discomfort, embarrassment, offense or insult to the receiver
10. catcalling and/or wolf-whistling
11. unwanted sexual misogynistic, transphobic and homophobic remarks and comments online, whether publicly or through direct and private messages
12. invasion of the victim's privacy through cyberstalking and incessant messaging with sexual overtones
13. other analogous cases

Penalty when committed by:

A. Persons who have authority, influence or moral ascendancy over the offended party in any aspect of academic or administrative work

OFFENDER	1ST OFFENSE	2ND OFFENSE	3RD OFFENSE
Employee	Reprimand	Suspension of one day to thirty days	Dismissal from service;
Student	Reprimand	Suspension of one day to thirty days	exclusion or dismissal

Penalty when committed by:

B. Person in a peer relationship with the offended party, e.g., student vs. student, employee vs. employee

C. Students/student interns harassing (with sexual undertone) faculty members, administrators or employees

RESPONDENT	1ST OFFENSE	2ND OFFENSE	3RD OFFENSE
Employee	Written warning	Written reprimand	Suspension

		and community	
Student	Written warning	Written reprimand and community	Suspension

Penalty when committed by:

D. Third-party service providers such as concessionaires, sanitation and maintenance personnel

E. Personnel of Partner Institutions where school-related activities are conducted

OFFENDER	1ST OFFENSE	2ND OFFENSE	3RD OFFENSE
Third Party Service Providers and Personnel of partner institutions	reprimand by SMU	severe reprimand by SMU	permanent ban in SMU "For international partners, permanent ban from entering into contract with any PHEI

Penalty when committed by:

F. Guests/ Visitors

	1st Offense	2nd offense	3rd offense
Guests/Visitors	Reprimand by SMU	Severe reprimand by SMU	Permanent ban in SMU

Note:

1. If the perpetrator committed the offense twice against the

same victim, the corresponding gravest penalty shall apply.
2. SMU may provide gender sensitivity training and counseling to offenders.

SECTION 6. IMPOSITION OF PENALTIES

a. Minor students who, at the time of the commission of the act of GBSH, are found guilty under these Guidelines by the disciplining authority, shall likewise undergo gender-sensitivity training and psychosocial counseling sanctioned by the Guidance and Testing Office.

b. If the penalty of expulsion or exclusion is imposed upon a student, the same shall be subject to the confirmatory authority of CHED pursuant to Section 21 of the Implementing Rules and Regulations of the Safe Spaces Act and Section 106 of the MORPHE.

c. If the penalty of dismissal is imposed upon an employee of the HEI, the same shall be in accordance with the Department of Labor and Employment (DOLE) issuances.

d. If the penalty imposed is other than those provided above, e.g., termination of contract or permanent ban from SMU, the same shall be final and immediately executory, and notice shall be furnished the Respondent or notice shall be posted around the premises of the institution as the case may be.

e. For termination of contract with a partner training organization, the institution shall report the same with the CHED Regional Office having jurisdiction over it.

SECTION 7. ACCESSORY PENALTY

a. A student shall not be allowed to graduate if he or she has a pending case of GBSH. The University reserves the right to revoke a student's diploma if it was inadvertently issued while a case for GBSH is pending against the student at the time of its conferment.

b. Any fees to be charged in the course of a victim's availment of psychosocial counseling and similar services shall be borne by the respondent proven guilty of the offense/s charges.

SECTION 8. COMPOSITION OF THE CODI

a. The University President, in consultation with the Advisory Board, shall appoint the chairperson and members of the Committee on Decorum and Investigation (CODI) for a term of two (2) years which may be renewed thereafter. This committee shall serve as an independent internal grievance mechanism and shall act as the main body in the investigation and resolution of cases involving Sexual Harassment in the University.

b. The members of the CODI shall be appointed by the University President from the following sectors, provided that women representation shall not be less than 50%:

Regular members	Alternate members
1. ADSAS Women as Chair	POD for Women in Basic Education level
2. Department Head	Coordinator in Basic Education
3. Non-supervisory faculty member	Non-supervisory teacher in basic education

4. Non Academic personnel	Non Academic personnel in Basic Education
5. SCC Officer in tertiary level	Student Officer in Senior High School
6. GAD Focal Person	Employee with GAD Training

c. Alternate members shall act on behalf of the regular members in their absence, temporary incapacity or voluntary or involuntary inhibition. The alternates shall have the authority to render decisions so as not to delay the proceedings being undertaken and to ensure continuity of deliberation.

d. Impartiality. Members of the CODI should have no prior record of involvement as a respondent, accused, or defendant in any case of whatever nature of sexual harassment, including those which are still pending.

e. When the complainant or the person complained of is a member of the Committee, he/she shall be disqualified from being a member thereof.

f. The complainant or the person complained of may request a member of the CODI to inhibit, or the CODI member may, on his/her initiative, cause the inhibition based on conflict of interest, manifest impartiality, relation with the respondent within the fourth degree of consanguinity or affinity, and other reasonable grounds. Upon such a grant of inhibition, the member shall immediately be replaced so as not to cause delay in the proceedings.

g. The Terms of Office of CODI members shall be two academic years which may be renewed at the option of the University President. Upon expiration of the term, the members may function on hold-over capacity until such time the University President has designated the new members of the CODI.

SECTION 9. RESPONSIBILITIES AND FUNCTIONS OF THE CODI

The CODI shall have and perform the following functions:

a. Receive complaints for offenses covered by these Guidelines;
b. Investigate complaints for offenses covered by these Guidelines including preliminary investigation in accordance with the prescribed procedure;
c. Observe, at all times, due process in the conduct of investigation;
d. Within ten (10) days from the receipt of the written complaint, investigate and decide on the case and, submit a report of its findings with the corresponding recommendation to the disciplining authority for decision;
e. Ensure the protection of a complainant from retaliation without causing her/him any disadvantage, diminution of benefits or displacement, and without compromising his/her security of tenure;
f. Guarantee gender-sensitive handling of cases, and confidentiality of the identity of the parties and the proceedings to the greatest extent possible;
g. Undergo continuing training on gender sensitivity, gender-based violence, sexual orientation, gender identity and expression, and other GAD topics as needed;

h. Lead in the conduct of discussions about sexual harassment and other related sexual offenses within the institution to increase the community's understanding of, and prevent incidents of, sexual harassment and other related forms of sexual offenses; and
i. Conduct such other activities that would engender a safe environment for all genders, especially women, in school campuses and training-related programs in HEIs.
j. In case of non-performance or inadequate performance of functions, the members of the CODI shall be replaced by the University President upon receipt of documentation that will substantiate such allegations.

SECTION 10. PRE-FILING STAGE

SMU shall provide assistance to an alleged victim of acts punishable by these guidelines which may include counseling, referral to an agency offering professional help, and advice on options available before the filing of the complaint.

SECTION 11. COMPLAINT

a. The complaint may be filed at any time with the University President, Vice Presidents, Academic Deans, Principals, the Office of the Immediate Supervisor of the Complainant or the alleged perpetrator, the Guidance and Testing Office, Office of the ADSAS Men or Women, Prefect of Discipline , Security Office, the CODI. Upon receipt of the complaint by any of the above offices, the same shall

be transmitted to the CODI without delay.

b. The complaint shall be in any form, provided that the following are indicated in the complaint:

    1. FULL NAME and CONTACT DETAILS of the Complainant. However, the filing of an anonymous complaint is not prohibited.

    2. FULL NAME, CONTACT DETAILS and/or POSITION of the Respondent, if known to the Complainant.

    3. STATEMENT OF RELEVANT FACTS.

    4. EVIDENCE TO SUPPORT THE ALLEGATION, provided that non-submission of evidence will not cause the dismissal of the complaint; and

    5. VERIFICATION and CERTIFICATION OR STATEMENT OF NON-FORUM SHOPPING.

    If the complaint is not under oath, the Complainant shall be summoned by the CODI to swear to the truth of the allegations in the complaint or require the Complainant to submit a sworn Complaint within 24 hours from receipt of notice of compliance.

c. The withdrawal of the complaint at any stage of the proceedings shall be without prejudice for the CODI to continue its investigation and make a report of

its findings and recommendation to the disciplining authority when the evidence warrants.

SECTION 12. ACTION ON THECOMPLAINT

After evaluating the complaint, the CODIshall:

a. *For complaints against an employee, faculty or student of SMU:* Proceed with the investigation if the complaint is sufficient in form and substance. A complaint is sufficient in form and substance if all the elements provided in the immediately preceding provision are present.

b. *For complaints against personnel of third-party service providers or partner institutions or guests or visitors of SMU:* Recommend the referral of the complaint to the service provider, partner institution or to the proper government authorities for proper investigation and action.

c. The CODI shall likewise recommend to the University President to provisionally disallow the personnel of third-party service provider or of partner institutions complained of, or guests or visitors from entering the premises of SMU or from transacting with SMU while investigation is pending before the service provider, partner institution or to the proper government authorities.

SECTION 13. INVESTIGATION OF CASES BEFORE THE CODI

The CODI shall, at all times, observe due process and investigate and decide on said complaint within ten (10)

working days or less upon receipt thereof, following the procedures, towit:

a. Within 24 hours of receipt of the written complaint, the CODI shall commence the investigation by notifying the Respondent of the Complaint filed against him / her with a directive to submit his / her Counter-Affidavit/Comment under oath and submit evidence in his/her defense within 72 hours from receipt of the notice and furnish a copy thereof to the Complainant. Motion to Dismiss is not allowed. Otherwise, the Counter-Affidavit/Comment shall be considered as not filed or that the Respondent shall be declared in default.
b. Upon receipt of the Counter-Affidavit/Comment under oath and evidence submitted by the Respondent, the CODI shall conduct an *ex-parte* examination of the documents submitted by the parties, including available records of the case.
c. With the agreement of both parties, the possibility of amicable settlement, mediation, conciliation or submission to alternative modes of dispute resolution is explored. In such case, a written agreement signed by both parties shall specify the conditions and penalty, which should be compliant with the penalties stated in Section 4.
d. The factual issues to be resolved by the Committee shall only be limited to those which were alleged in the Complaint. For this reason, the complainant cannot present evidence on issues that are not tackled in the Complaint. In the same manner, the respondent can present evidence to support the allegations in the Answer but not on matters which are not mentioned therein. The Committee may stop the presentation of evidence which were not

tackled in the Complaint and in the Answer. For this purpose, either party has the right to demand for a copy of the Complaint and/or Answer;

e. The complainant has the burden of proving the veracity of his/her allegations. His/Her failure to establish the liability or culpability of the respondent, through substantial evidence, will result to the dismissal of the case. On the other hand, the respondent has the right to rebut the allegations of the complainant by presenting his/her own evidence;

f. Since the proceedings being undertaken is administrative in nature, no direct confrontation or cross-examination of witnesses will be allowed. The parties, however, may be allowed to submit suggested written clarificatory questions that the Committee may propound to the party/witnesses;

g. The failure or refusal of either or both parties to appear before the Committee to present their respective evidence constitutes a waiver, unless there is justifiable cause in writing;

h. The parties should refrain from communicating with any of the witnesses before, during and immediately after they have deposed their testimony before the Committee. The parties and the witnesses are bound to keep the confidentiality of the proceedings;

i. It is the duty of the parties to submit the list of witnesses to the Committee. Thereafter, it becomes the duty of the Committee to notify the witnesses on the date of the reception/deposition of their statement. However, because it is important that every effort be made to keep the incident confidential, the Committee shall exercise its sound discretion in determining which witnesses are

indeed necessary to the investigation;

j. The Committee, on its own, may call on other resource persons for additional information or verify information from files available in different offices of the University;

k. The parties shall bind themselves to respect the decision/s of the Committee pertaining to the conduct of the investigation. Any objection on the manner by which the Committee is handling the investigation must be reduced into writing and submitted to the Office of the University President for its consideration;

l. The parties understand that members of the Committee are bound by the rules on confidentiality and are expected to be impartial. The parties, therefore, should refrain from communicating with any of its members on matters related to the case during the pendency of the investigation; and

m. At any stage of the proceedings, the respondent may seek the assistance or advise of a counsel. His /Her counsel, however, is not allowed to directly participate in the proceedings.

SECTION 14. PREVENTIVE SUSPENSION

a. Upon petition of the Complainant or *motu proprio* upon the recommendation of the CODI, the disciplining authority may order the preventive suspension of the Respondent during the conduct of investigation before the CODI and the period of deliberation of the recommendation of the CODI pursuant to Section 20 hereof, if there are reasons to believe that he / she is probably guilty of the charges which would warrant his / her removal from SMU.

b. An order of preventive suspension may be issued to temporarily remove the individual being accused of wrongdoing from their current position or environment. This measure aims to prevent the person from potentially exercising undue influence or applying pressure on witnesses who may testify against them. Additionally, it serves to safeguard the integrity of the evidence by ensuring that there is no tampering or interference with any relevant information or proof that could be crucial to the investigation or administrative proceedings.

c. During the period of preventive suspension, the salary and other benefits of the respondent-employee shall be withheld and shall be barred from performing his duties and responsibilities. The period of preventive suspension may be extended beyond 30 days but in which case, the respondent shall be paid his salary and other benefits.

d. If the respondent is a student, he shall be barred from entering the campus during the period of preventive suspension.

e. If, after investigation, it is established that the respondent-employee is not guilty of the charge/s, he/she shall forthwith be paid his/her salaries and other benefits withheld during the time he/she was placed under preventive suspension. He/she shall also be allowed to perform his/her duties and responsibilities.

f. In the case of students, if he/she is absolved of the charge/s, he/she shall be allowed admittance to the University campus, and shall be given sufficient opportunity to make up for quizzes, tests and other requirements missed during his/her preventive suspension.

SECTION 15. DISCIPLINING AUTHORITY

The disciplining authority consisting of the Committee on Arbitration (COA) composed of the Vice Presidents and the Legal Counsel shall decide the case within thirty (30) days of receipt of the CODI Investigation Report and Recommendation.

SECTION 16. FINALITY OF DECISIONS

a. A decision rendered by the disciplining authority where the penalty of reprimand, serious reprimand, suspension for not more than thirty (30) days, or a fine in the amount not exceeding thirty (30) days' salary is imposed, shall be final and executory and not appealable, unless a motion for reconsideration is seasonably filed. However, the Respondent may file an appeal within fifteen (15) days before the disciplining authority when the issue raised is a violation of due process.

b. If the penalty imposed is exclusion, dismissal, suspension exceeding thirty (30) days, or a fine in an amount exceeding thirty (30) days' salary, the same shall be final and executory after the lapse of the reglementary period for filing a motion for reconsideration or an appeal, and no such pleading has been filed.

c. A motion for reconsideration may be filed before the disciplining authority by the Respondent within fifteen (15) days of receipt of the decision of the disciplining authority. The disciplining authority shall act or decide on the motion for reconsideration within thirty (30) days of receipt thereof.

SECTION 17. MOTION FOR RECONSIDERATION OR APPEAL, AND SUBSEQUENT PROCEEDINGS, AND OTHER MATTERS NOT COVERED BY THESE GUIDELINES

The filing of a motion for reconsideration and appeal, and subsequent proceedings and other matters not covered by these Guidelines shall be governed by:

a. the Manual of Regulations of Private Higher Education ('MORPHE'), for students of the institution;
b. Labor laws and regulations for those employed by the HEI. He or she may file an original action before the National Labor Relations Commission questioning the decision of the disciplining authority.

SECTION 18. PARALLEL AND COMPLEMENTARY ACTIONS

Nothing in these Guidelines shall be construed to limit the rights of the victims of GBSH from pursuing civil, criminal and other legal actions as may be provided by law.

SECTION 19. MOTU PROPIO INVESTIGATION.

Even if an individual does not want to file a complaint or does not request that the school take any action on behalf of a student, staff, or faculty member and school authorities have knowledge or reasonably know about a possible or impending act of Gender Based Sexual Harassment (GBSH) or sexual violence, the school should promptly investigate to determine the veracity of such information or knowledge and the circumstances under which such act of GBSH or sexual violence were committed and take appropriate steps to resolve the situation. If a school knows or reasonably should know about acts of GBSH or sexual violence could have been committed that creates a hostile environment, the school must take immediate action to eliminate the same acts, prevent their recurrence, and

address their effects. This shall include the conduct of an investigation, on its own initiative, and referral of the offended party for appropriate psychosocial or medical services. (IRR-RA11313-Rule VII.2)

SECTION 20. ROMANTIC RELATIONSHIPS.

Romantic relationships between employees and students who are both single, especially when the former directly supervises the education or training of the latter, are strongly discouraged. On the other hand, romantic relationships involving married personnel with another personnel or student, married or not, shall be dealt with in accordance with the Code of Proper Conduct for SMU Employees or the SMU Student Handbook.

SECTION 21. PUBLIC DISPLAY OF AFFECTION

Public display of affection (PDA) within the campus, or during school activities done outside the campus, is prohibited. SMU recognizes that genuine feelings of affection may exist between two students or between two employees. However, students or employees shall refrain from all Public Displays of Affection (PDA) while on campus or while attending and/or participating in a school-related activity outside of the campus.

Being overly affectionate at school can be offensive and is generally in poor taste. The expression of feelings toward one another is a personal concern between the two individuals and thus should not be shared with others in the general vicinity. PDA includes any physical contact that may make others in close proximity uncomfortable or serves as a distraction for themselves as well as innocent onlookers. Some specific examples of PDA include but are not limited to kissing, embracing, hugging, holding hands, close body contact, and analogous cases.

If the PDI is committed outside of the campus by individuals who are in University uniform, they shall be dealt with in accordance with the Code of Proper Conduct for SMU Employees or the SMU Student Handbook.

SECTION 22. REPEALING CLAUSE.

This Implementing Rules supersedes all policies, circulars and memoranda earlier issued and which are inconsistent with the above provisions.

In the event that a provision/s of this Implementing Rules is/are amended or revised by subsequent policies, circulars or memoranda, or repealed by provisions of law, the remaining provisions shall not be affected and remain valid and enforceable.

SECTION 23. RESERVATION CLAUSE.

The University, in the exercise of its sole and exclusive prerogative, reserves the right to amend, revise or altogether set aside this policy. Subsequent amendments or revision, however, shall not take effect until after reasonable dissemination in campus by posting in the bulletin boards or university website.

SECTION 24. EFFECTIVITY CLAUSE.

This updated Guidelines shall take effect on the first day of July 2023. To ensure its dissemination to the University community, a copy of this Implementing Guidelines shall be posted in the SMU website, Employee FB Group, HRDO Bulletin Board, and if practicable, must be annexed in the Student's Handbook and Manuals for Academic and Non-Academic Personnel.

Annex D

SMU CONFIDENTIAL INFORMATION NON-DISCLOSURE POLICY

1. This policy shall be known as the **SMU Confidential Information Non-Disclosure Policy (SMU-CINDP)**. It shall apply to employees and workers in the University regardless of classification, rank, function, administrative level, tenure and status. The term employee as used in the succeeding provisions shall include all those rendering work for SMU such as SMU employees, SMU working students, contract of service, project staff, security, janitorial personnel, third-party contractors, etc.

2. **Definition of Confidential Information**. The term confidential information means all information obtained from personal data, analyses, computer files whether or not reduced to written form, compilations, memoranda, notes, reports, studies, data, drawings, films, CCTV footages, emails, audio/video recordings, social media messages, electronic attachments, processes, business strategies, information and documentation of all kinds including copies, extracts and summaries thereof and all other material containing or based in whole or in part on any such information, disclosed by or stored in the databases of the University in whatsoever form whether written, oral, electronic or otherwise, directly or indirectly to the employee or which comes into employee's possession or knowledge in connection with engagement and/or work for the University, with or without "Confidential" label, before or after the date of this Policy ("Confidential Information").

3. Obligations.

a. All employees shall take all necessary measures to prevent unauthorized access thereto, and to exercise the same level of security measures and degree of care as may be necessary to keep the confidentiality thereof.

b. Employees, with prior written approval of their SMU immediate superior, may share Confidential Information, only to authorized employees in the University who need the information in connection with their work with the University.

c. All employees shall not, without the prior written consent of the University President or Supervising Vice President, disclose or allow unauthorized access to any Confidential Information.

d. All employees shall not use or permit the use of the Confidential Information disclosed to him/her other than in connection with the engagement and/or work for the University.

e. All employees shall not copy, reproduce, or reduce into writing any material part of the Confidential Information except as may be reasonably necessary to his/her engagement and/or work for the University.

f. The employee shall not, without the prior written consent of the University, directly or indirectly initiate, solicit, negotiate, contract, or enter into any business transactions, agreements, or undertakings that will utilize the Confidential Information by exploiting or deriving any undue personal benefit therefrom.

g. Upon the written request of the University, the employee shall undertake to return and/or destroy all Confidential Information and certify in writing to the University that its request has been complied with. If an employee's relationship with the University is terminated for any reason, the employee must return all Confidential Information in any format to the University immediately and must not retain any copies or reproductions.

h. Employees must immediately report any unauthorized access, use, or disclosure of Confidential Information that they become aware of to their immediate superior or the designated data protection officer of the University.

i. All employees should partake in periodic training sessions provided by the University related to the handling of Confidential Information and adhere to the updated guidelines and policies mentioned in these trainings.

j. Employees must take necessary measures to safeguard any physical or electronic documents containing Confidential Information, including, but not limited to, locking files when unattended and securing them in a designated location after business hours, using strong passwords, and keeping passwords secure at all times.

k. In the event of a breach of this policy, employees are required to cooperate fully with any investigation conducted by the University.

4. **Penalty.** Any breach of any obligation/s on confidentiality shall be deemed to be a breach of the Code of Proper Conduct for SMU Employees with the corresponding corrective action/penalty ranging from Written Warning, Suspension or

Dismissal depending on the gravity of damage as determined by the University. Each case will be examined individually considering its circumstances, the employee's intent, the sensitivity of the disclosed information, and the damage caused to the University. Any breach of this policy by contract of service, project staff, working students, third-party contractors, security and janitorial staff may be sanctioned with written suspension, dismissal or termination of contract as determined by the Advisory Board.

5. **Warranties.** The University makes no representation or warranty as to the accuracy or completeness of the Confidential Information, which it has provided, and that the University shall not be liable for damages arising out of or in connection with employee's use of Confidential Information.

6. **Licenses and Property Rights**. The University reserves all rights relating to the Confidential Information and no rights or obligations other than those it has expressly provided are granted and that no license is granted to employee, directly or indirectly, under any patent, invention, copyright or other intellectual or industrial property of the University. In particular, nothing in this Policy shall be construed as granting, by implication, estoppel, or otherwise, any license or right of use, directly or indirectly, under any patent, invention, copyright, or other intellectual property of the University, unless explicitly stated in writing and signed by an authorized representative of the University. The Confidential Information remains the exclusive property of the University.

7. **Time Periods**. The confidentiality obligations in this Policy shall survive the tenure of the employee's employment with the University, unless otherwise provided in writing by the University.

8. **Remedies.** Without prejudice to any other rights or remedies that the University may have, the University shall be entitled to seek injunctive relief or temporary restraining order, its equivalent or similar remedy for any threatened or actual breach of this Policy. Furthermore, the University reserves the right to seek legal recourse, including the filing of appropriate cases in court for Damages or the prosecutorial arm of the government, for any violation of this Policy that also constitutes a violation of any applicable law.

9. **Condition of Engagement**. Strict compliance with this Policy is a continuing condition of employee's engagement/work and any breach of this Policy may be regarded as an infringement of the terms of engagement/work. It is the responsibility of each employee to familiarize themselves with this Policy, and ignorance of the Policy will not be considered a valid excuse for non-compliance.

10. **Severability**. If the court finds any provision of this Policy invalid or unenforceable, such court decision shall not affect the remainder of this Policy and shall be interpreted to the best interest of the University.

11. **Integration**. This Policy supersedes all prior proposals, agreements, representations, and understandings. This Policy may be amended in writing by Management with prior dissemination to employees before its effectivity.

12. **Waiver.** The University's failure to enforce or exercise any provision of this Policy at any given time does not constitute a waiver of such provision and does not affect its right to later enforce that or any other provision.

13. **Effectivity**. This Policy shall take effect on July 1, 2023 after issuance of the Circular by the Vice President for Administration disseminating this Policy.

FOREWORD

The crafting and revision of the University Research Center Manual of Operation and Guidelines (MOPG) is an essential aspect of any quality system. The MOPG must be able to align itself to the larger institution to ensure that all units are operating from a formalized and synchronized process not only to increase efficiency and effectiveness but to mitigate risks and difficulties.

While everyone may want to do the right thing, often, individual version of that right thing is likely to be somewhat different. This means that how a task is completed is likely to vary according to who is undertaking certain task. Thus, an MOPG provides direction, guidance and harmony. An MOPG is a documented process that a center or a unit has in place to ensure that services and products (or outcomes) are delivered consistently every time.

An MOPG is not static. It undergoes constant revisions to keep policies abreast with current trends and demands of the times. Standard Operating Procedures are often used to demonstrate compliance with the regulation or operational practices and to document how tasks must be completed at a unit or a center.

The URC MOPG has undergone revisions. Its last revision was in 2018. Due to paradigm shifts in research writing with emphasis on the new Four-Chapter IMRAD Format, the creation of the University Research Ethics Board (UREB) for ethical research and the Technology Transfer and Business Development Office (TTBDO) which was lodged at the School of Engineering, Architecture and Information Technology, and a more vigorous effort to produce applied researches with great possibilities for patenting, revisions must therefore be undertaken.

It is desired that through this MOPG, school administrators, faculty researchers, student-researchers and linkage partners shall have a readily-available manual of procedures and guidelines to guide the URC thrusts on research production, dissemination, publication and utilization.

The URC Director and Staff
August 2022

Table of Contents

		Pages
Foreword	----------	1
Table of Contents	----------	2
List of URC Forms	----------	7
Vision-Mission Statements of Saint Mary's University	----------	12
Vision-Mission Statements of SMU Research Center	----------	12
Chapter I. History of SMU Research Center	----------	14
Chapter II. Organizational Structure	----------	25
A. The University Research and Community Development Council (RCDC)	----------	26
B. The School Research Councils	----------	26
C. The Director of the Research Center	----------	27
D. The University Statistician	----------	28
E. The Research Center Staff-Researchers	----------	29
F. The Secretary of the Research Center	----------	29
G. The School Research Chairs	----------	30
Chapter III. Research Center Programs	----------	36
A. Multi-Disciplinary Research Program	----------	36
1. Basic Research	----------	36
2. Institutional Policy Research	----------	37
3. Externally-Commissioned Research	----------	38
B. Education and Training Program	----------	38
C. Research Dissemination Program	----------	39
D. Publication Program	----------	39
E. Research Utilization Program	----------	39
Chapter IV. Linkage and Collaboration of the Research Center with Other Units	----------	42
1. Areas / Programs of Collaboration	----------	42
1. Multi-Disciplinary Collaborative Research Program	----------	42
2. Research Publication and Dissemination Program	----------	42

Table of Contents

		Pages
3. Collaborative Empowerment (Education and Training) Program	----------	43
4. Faculty Research Assistantship Program (FRAP)	----------	43
2. Roles of the Research Center	----------	43
3. Roles of the Other Schools/ College Programs	----------	44
5. Faculty Research and Human Resource Development Program	----------	44
Chapter V. Sources of Funds	----------	48
Chapter VI. General Policies and Guidelines on Faculty Research-Related Work (Mechanisms A, B, C & D)	----------	49
● EOMS-URC-GL-001: Guidelines in Applying for Faculty Teaching and/or Research-Related Work (Mechanism A)	----------	49
● EOMS-URC-GL-002: Guidelines in Applying for Faculty Research Mechanisms (Mechanisms B, C & D)	----------	51
● EOMS-URC-GL-003: Guidelines in the Conduct of Faculty Research Assistantship Program (FRAP)	----------	62
● EOMS-URC-GL-004: Guidelines in the Conduct of the Expanded Faculty Research Assistance Program (EFRAP)	----------	66
Chapter VII. Specific Procedures, Guidelines and Work Instructions (WIs) on Research Production, Dissemination, Publication and Utilization	----------	74
A. Student Researches	----------	74
1. Standard Operating Procedures for Student Researches	----------	74
a. EOMS-URC-OP-001: Student Research Production	----------	74
b. EOMS-URC-OP-002: Student Research Dissemination	----------	79
c. EOMS-URC-OP-003: Student Research Publication	----------	83
2. Guidelines for Conduct of Student Researches	----------	86
● EOMS-URC-GL-005: Guidelines in Monitoring the School R&D Plan	----------	86
● EOMS-URC-GL-006: Guidelines in Monitoring and Evaluating the Institutional R&D Plan	----------	87

Table of Contents

		Pages
• EOMS-URC-GL-007: Guidelines in the Student Research Preparation, Evaluation and Consultation	----------	89
• EOMS-URC-GL-008: Guidelines in Convening Panel Member(s) for Student Proposal / Oral Defense Presentation	----------	90
• EOMS-URC-GL-009: Guidelines in Reviewing the Protocol Document	----------	91
• EOMS-URC-GL-010: Guidelines in Completing the Research Requirements (Student Researches)	----------	92
• EOMS-URC-GL-011: Guidelines in Conducting Defenses (Proposal / Oral)	----------	95
• EOMS-URC-GL-012: Guidelines in the Submission of Research Output of Students to the University Research Center and Library	----------	97
• EOMS-URC-GL-013: Guidelines in Selecting the *Likha* Awardees	----------	98
• EOMS-URC-GL-014: Guidelines in Reporting the External Research Dissemination Activities of Students	----------	100
• EOMS-URC-GL-015: Guidelines in Selecting Researches to be Published in the In-House Journal and Research Abstracts	----------	101
• EOMS-URC-GL-016: Guidelines in Reporting the External Publications of Student Researches	----------	102
• EOMS-URC-GL-018: Guidelines in Reporting Students' Achievement in Research	----------	103
3. Work Instructions for Student Researches	----------	104
A. WIs on Research Production	----------	104
• EOMS-URC-WI-001: Setting the School R&D Plan	----------	104
• EOMS-URC-WI-002: Setting the Institutional R&D Plan	----------	105
• EOMS-URC-WI-003: Monitoring and Evaluating the R&D Plan (A)	----------	105
• EOMS-URC-WI-004: Monitoring and Evaluating the R&D Plan (B)	----------	106
• EOMS-URC-WI-005: Monitoring the Requirements of the Research Courses	----------	106
• EOMS-URC-WI-006: Facilitating the Research Process (A)	----------	107
• EOMS-URC-WI-007: Facilitating the Research Process (B)	----------	107
• EOMS-URC-WI-008: Facilitating the Research Process (C)	----------	108

Table of Contents

		Pages
• EOMS-URC-WI-009: Facilitating the Research Process (D)	----------	109
• EOMS-URC-WI-0010: Facilitating the Research Process (E)	----------	109
• EOMS-URC-WI-011: Selecting the Likha Nominations (First Level)	----------	110
• EOMS-URC-WI-012: Selecting the Likha Nominations (Second Level)	----------	110
• EOMS-URC-WI-013: Selecting the Final Likha Awardees	----------	111
B. WIs on Research Dissemination • EOMS-URC-WI-014: Research Dissemination	----------	111
C. WIs on Research Publication • EOMS-URC-WI-015: Research Publication	----------	112
B. Faculty Researches	----------	176
1. Standard Operating Procedures for Faculty Research	----------	176
a. EOMS-URC-OP-004: Faculty Research Production	----------	176
b. EOMS-URC-OP-005: Faculty Research Dissemination	----------	180
c. EOMS-URC-OP-006: Faculty Research Publication	----------	183
d. EOMS-URC-OP-007: Faculty Research Utilization	----------	185
2. Guidelines for Conduct of Faculty Research	----------	188
• EOMS-URC-GL-019: Guidelines in Setting the Faculty Research Itinerary (Deliverables, Expected Date of Submission and Traches per Mechanism)	----------	188
• EOMS-URC-GL-020: Guidelines in the Creation of Research Teams and in Levelling Up of Faculty Research Mechanisms	----------	190
• EOMS-URC-GL-021: Guidelines in Writing Faculty Researches (Full Blown and Final IMRAD Manuscript)	----------	192
• EOMS-URC-GL-022: Guidelines in Assigning Faculty Research Points on Production	----------	198
• EOMS-URC-GL-023: Guidelines in Conducting Institutionally - based Externally Funded Research Project	----------	200
• EOMS-URC-GL-024: Guidelines in Conducting Research by External Researcher(s) in Saint Mary's University (Faculty and/or Students)	----------	206
• URC-GL-025: Guidelines in Reporting Faculty External Research Dissemination	----------	207

Table of Contents

		Pages
● EOMS-URC-GL-026: Guidelines in Assigning Faculty Research Points on External Dissemination (with Awards)	----------	208
● EOMS-URC-GL-027: Guidelines in Reporting Faculty External Publications and Assignation of Faculty Research Points in Publication	----------	209
● EOMS-URC-GL-028: Guidelines in Individual Reporting of Research Utilization of Faculty and Assignation of Research Points on Utilization	----------	210
● EOMS-URC-GL-029: Guidelines in Reporting Faculty Achievement in Research	----------	211
● EOMS-URC-GL-030: Guidelines in Reporting Faculty Remuneration of Student-Researches to the Accounting Office (Proposal and Oral Defense)	----------	212
● EOMS-URC-GL-031: Guidelines for Faculty Support to National and International Research Presentation	----------	214
3. Work Instructions for Faculty Researches	----------	216
a. WIs on Research Production	----------	216
● EOMS-URC-WI-016: Faculty Research Production (A)	----------	216
● EOMS-URC-WI-017: Faculty Research Production (B)	----------	216
b. WIs on Research Dissemination	----------	217
● EOMS-URC-WI-018: Research Dissemination (A)	----------	217
● EOMS-URC-WI-019: Research Dissemination (B)	----------	217
c. WIs on Research Publication	----------	218
● EOMS-URC-WI-020: Research Publication (A)	----------	218
● EOMS-URC-WI-021: Research Publication (B)	----------	218
d. WIs on Research Utilization	----------	219
● EOMS-URC-WI-022: Research Utilization (A)	----------	219
● EOMS-URC-WI-023: Research Utilization (B)	----------	219

List of URC Forms

		Pages
URC-FO-001: Appointment as Research Chair	----------	33

List of URC Forms		
		Pages
URC-FO-002: Application Form for Faculty Teaching and/or Research-Related Work (Mechanism A)	----------	55
URC-FO-003: Contract Form for Research Production (Mechanism A)	----------	58
URC-FO-004: Form on Faculty Research Production Contract for Mechanisms B, C & D (Revised: March, 2021 RCDC Meeting)	----------	60
URC-FO-005: Schedules of Release of Faculty Research Remuneration on top of the Basic 24-unit Load (Mechanisms B, C & D)	----------	113
URC-FO-006: Form for Evaluating Alignment of Students' Research Title and Topic Proposal to the School Research Agenda (Research Team / Per Student-Researcher)	----------	114
URC-FO-007: Summary List of Aligned Students' Research Titles / Topic proposals to the School Research agenda (Semester-End)	----------	115
URC-FO-008: Evaluation Form for R&D Activity Conducted	----------	116
URC-FO-009: Monitoring Report Form for Research and Development (R&D) Activities Conducted (Semester-End / Annual)	----------	118
URC-FO-010: Student-Researchers' Letter of Intent for Prospective Adviser-Promoter	----------	119
URC-FO-011: Adviser-Promoter Acceptance Form	----------	120
URC-FO-012: Agreement on Promotership	----------	121
URC-FO-013: Checklist for Technical Review of the Protocol Document	----------	123
URC-FO-014: Reliability Clearance	----------	126
URC-FO-015: Oral Defense Recommendation Sheet	----------	127
URC-FO-016: Consent of the Technical Panel of Evaluators for the Defense	----------	128
URC-FO-017: Research Evaluation Form for Proposal Defense (*Basic, Pure and Applied Research)*	----------	129
URC-FO-018: Research Evaluation Form for Oral Defense	----------	131
URC-FO-019: Research Evaluation Form for Developmental Studies (Engineering, Architecture, Information Technology)	----------	133
URC-FO-020: Consolidation of Recommendations / Suggestions of the Technical Panel After the Defense (Proposal / Oral Defense)	----------	135

List of URC Forms		
		Pages
URC-FO-021: Letter of Endorsement	----------	138
URC-FO-022: Qualitative Data Analysis Certification	----------	139
URC-FO-023: Quantitative Data Analysis Certification	----------	140
URC-FO-024: Plagiarism Certification	----------	141
URC-FO-025: Qualitative Data Analysis Clearance	----------	142
URC-FO-026: Quantitative Data Analysis Clearance	----------	143
URC-FO-027: Plagiarism Clearance	----------	144
URC-FO-028: Language Editing Clearance	----------	145
URC-FO-029: Certificate / Declaration of Originality	----------	146
URC-FO-030: Approval Sheet Form (Sample)	----------	148
URC-FO-031: Evaluation Form for Services Provided Adviser-Promoter	----------	149
URC-FO-032: Evaluation Form for Services Provided by the Quantitative Data Analyst	----------	151
URC-FO-033: Evaluation Form for Services Provided by the Qualitative Data Analyst	----------	153
URC-FO-034: Evaluation Form for Services Provided by the Technical Panel of Evaluators	----------	155
URC-FO-035: Evaluation Form for Services Provided by the Language Editor	----------	157
URC-FO-036: Evaluation Form for LIKHA Nominations (Level 1: Research Council)	----------	159
URC-FO-037: Evaluation Form for LIKHA Nominations (Level 2: University Research Center)	----------	160
URC-FO-038: Summary List of LIKHA Awardees (Level 3: Approved by Scholarship, Grants and Awards Committee)	----------	161
URC-FO-039: Evaluation Form in Rating the Research Coordinator	----------	162
URC-FO-040: Monitoring Checklist for Timely In-House Journal Publications	----------	164
URC-FO-041:In-House Journal Publication Quality Evaluation Form	----------	166
URC-FO-042: Form on Individual Report of External Research Dissemination of Students (Throughout the Year)	----------	167
URC-FO-043: Summary List of External Research Dissemination Activities by Students (Semester-End)	----------	168

List of URC Forms		
		Pages
URC-FO-044: Form on Individual Report of External Research Publication of Students (Throughout the Year)	----------	169
URC-FO-045: Summary List of External Research Publication by Students (Semester-End)	----------	170
URC-FO-046: Form on Monitoring the Percentage of Completion of Student Research Production	----------	171
URC-FO-047: Client Satisfaction Survey for In-House Journal Publications	----------	172
URC-FO-048: Form for Individual Report of Students' Achievement in Research (Throughout the Year)	----------	173
URC-FO-049: Summary List of Students' Achievement in Research (Semester-End)	----------	174
URC-FO-050: Template Form on Faculty Full-Blown Proposal and Final IMRAD Manuscript	----------	220
URC-FO-051: Plagiarism Clearance for Faculty Research	----------	221
URC-FO-052: Form for Assigning Faculty Research Points (Production / Review)	----------	222
URC-FO-053: Individual Report Form for Faculty External Research Dissemination with or without Awards (Throughout the Year)	----------	224
URC-FO-054: Summary List of Faculty External Research Dissemination (Semester-End)	----------	225
URC-FO-055: Individual Report Form for Faculty Research Points for External Research Dissemination with Awards (Throughout the Year)	----------	226
URC-FO-056: Summary List of Faculty Research Points for External Research Dissemination with Awards (Semester-End)	----------	227
URC-FO-057: Individual Report Form for Faculty Research Points for External Research Publication (Throughout the Year)	----------	228
URC-FO-058: Summary List of faculty External Publications (Semester-End)	----------	229
URC-FO-059: Contract Form on Faculty Research Utilization	----------	230
URC-FO-060: Form on Individual Report of Faculty Research Utilization (Throughout the Year)	----------	232
URC-FO-061: Summary List of Faculty Research Utilization (Semester-End)	----------	234
URC-FO-062: Individual Report Form for Faculty Scholarly Engagement (Throughout the Year)	----------	235

List of URC Forms		
		Pages
URC-FO-063: Summary List of Faculty Scholarly Engagement	----------	236
URC-FO-064: Faculty Remuneration of Student Researches Requested by the Research Chair to the URC (Proposal Defense)	----------	237
URC-FO-065: Faculty Remuneration of Student Researches Requested by the Research Chair to the URC (Oral Defense)	----------	238
URC-FO-066: Summary List of Faculty Honoraria from Student Researches (Proposal Defense)	----------	239
URC-FO-067: Summary List of Faculty Honoraria from Student Researches (Oral Defense)	----------	240
URC-FO-068: Summary List of Data Analyst Honoraria from Student Researches	----------	241
URC-FO-069: Research Honoraria for Publication of Faculty Researches	----------	242
URC-FO-070: Logbook of Incoming Documents	----------	
URC-FO-071: Logbook of Outgoing Documents	----------	
URC-FO-072: Visitors' Logbook	----------	
URC-FO-073: Minutes of Meeting	----------	
URC-FO-074: Evaluation Criteria for Faculty Research Proposal	----------	243
URC-FO-075: Borrowers' Logbook	----------	
URC-FO-076: Logbook of Submitted Researches in CD's	----------	
URC-FO-077: Summary List of Adviser-Promoters	----------	246
URC-FO-078: Summary List of Panel Members	----------	247
URC-FO-079: Consultation Logbook	----------	
URC-FO-080: Template for on IPOS	----------	248

VISION-MISSION STATEMENTS OF SAINT MARY'S UNIVERSITY

VISION:

Saint Mary's University is a premier CICM Catholic educational institution drawn into communion by the Wisdom of God, dedicated to forming persons exemplifying excellence, innovation, communion and Christ's mission.

MISSION STATEMENTS:

(a) Relentlessly pursue excellence in education for local and global relevance and responsiveness;
(b) Persistently challenge one another to explore and pursue relevant, innovative and breakthrough ideas through research and development;
(c) Steadfastly participate in the CICM advocacies of promoting multi-ethnicity, social justice, peace, and integrity of God's creation;
(d) Conscientiously strengthen good governance and concordance among stakeholders for the sustenance of best practice; and
(e) Joyfully animate and care for one another as a community inspired by Mother Mary to become faithful witnesses of Christ's Mission.

VISION-MISSION STATEMENTS OF SMU RESEARCH CENTER

We envision the SMU-RC as:

A service-oriented center for the continuing advancement of knowledge, development of scientific attitude, and the conservation, transmission and promotion of national heritage.

General Objectives

To realize its vision-mission, SMU-Research Center aims to:

3.1. promote the advancement of knowledge, and development of a scientific attitude among faculty, and students of the University, and among the intellectual leaders of the region;

3.2. conserve, transmit and promote the national cultural heritage, and satisfy the need for relevant researches as imperative to national and regional development, especially in relation to the Cagayan Valley Region and Cordillera Administrative Region (CAR); and

3.3. coordinate and assist on-going research activities of the University, plan for new researches and set agenda for research avenues and disseminate findings of completed studies for their proper consumption.

Specific Objectives/Functions

The SMU-Research Center specifically commits itself

4.1. to serve as a clearing-house for all institutional researches of the University;

4.2. to initiate the conduct of research activities within the framework of the University Research Agenda and the CHED-NHERA;

4.3. to provide technical support and staff undertaking researches and to recommend financial support for deserving researchers;

4.4 to coordinate all research publications of the University.

Chapter I

History, Vision-Mission and Objectives of the University Research Center

History of the Research Center

The present Saint Mary's Research Center had its beginning in 1970 when Rev. John van Bauwel, CICM, President of Saint Mary's College, created a committee[1] to put up a College research journal under the auspices of a Research Department. The maiden issue of the college research journal, the Journal of Northern Luzon, came out in July 1970.[2] In 1971-72, Dr. Demetrio N. Espino was appointed Chairman of the Research Department and Editor of the Journal of Northern Luzon. Dr. Crisanta R. Espino took over as Journal of Northern Luzon Editorial Board Chairman in 1971-1972 when D. Espino was on study leave at CEU. In 1973-1980, Dr. Espino resumed as Head of the Research Department and editor of the Journal of Northern Luzon (1973-1980). The Associate Editors were Dr. Virgilio Aguilar Sr. (1970-74); Norma R. dela Cruz (1970-74); Bonifacio V. Ramos (1973-1983); and Corazon G. Soberano (1970-85). The intent of the Journal of Northern Luzon was to publish researches about (a) the culture, history, and geography of Northern Luzon, and (b) the researches of graduate faculty and students (hence it also served as the research journal of the Graduate School).

In 1980, the College President established a Research and Science Information Center (RSIC) and designated Mr. Bonifacio V. Ramos, concurrent Academic Librarian, as Head. The RSIC, which was linked to the Library and Graduate School in 1980–1990 functioned as the Research Department. Since its inception, the Research Department has been connected with the Graduate School. From 1985-1990, it served as a dissemination center of theses, dissertations, and abstract bibliography and researches of the Graduate School.

In 1990, Fr. John van Bauwel revitalized the Research Department then alternately called Research Center by creating a committee [3] to formulate its vision-mission, objectives, structure, and programs. Meanwhile, he also created an initial research fund for the Center under the SMC Scholarship and Development Foundation.

In 1992, the President created an Ad-Hoc Committee[4] to review the Research Department's objectives, functions, programs and projects. By the same year it was officially

[1] The Editorial Board was composed of Juana V. Aluning, Demetrio N. Espino (Chairman), Robert M. Picart as Editors; the Associate Editors were Virgilio B. Aguilar, Jovena S. Aquino, Norma R. dela Cruz, Fausto A. Estrada, Ofelia L. Fontanilla, Felicidad G. Garingan, Arlyne L. Genato, Stephanie D. Quiban, Corazon G. Soberano, Marina R. Tiongson, and Dominador B. Valenciano. The Editorial Advisory Board was composed of Rev. John Van Bauwel (Chairman), Magdalena P. Castillo, Ma. Chantal F. Fernando, and Mateo M. Sanchez.
[2] This issue contained Rev. Godfrey Lambrecht's Survivals of the Ancient Gaddang Animistic Religion.
[3] This was composed of Rev. John Van Bauwel (as Chairman) and Dr. Ramos, Dr. Virgilio Aguilar (VP for Administration), Dr. Demetrio Espino (former Graduate School Dean), Dr. Corazon Soberano (Dean, College of Arts and Sciences), and Dr. Purita Yoshiy (Dean, College of Education).

renamed Saint Mary's College Research Department. It was housed at the second floor of the Tonus Gymnasium (which was concurrently the office of the Dean of the Graduate School). New Associate Editors of the Journal of Northern Luzon like Ms. Fe Yolanda Gatan (later del Rosario) (1992-2000) were appointed. In 1993 Mrs. Nena P. Valdez and Mrs. Fe Yolanda G. del Rosario became members of the Research Staff. In the same year a Research Center Manual was formulated.

In 1994, when the College received from CHED its grant of University Status, Dr. Bonifacio V. Ramos was appointed as Dean of the Graduate School. Eventually, the Research Department was weaned from the Graduate School with Dr. Efren Mateo officially designated as head of the Research Center. However, it still shared office with the Graduate School at the gymnasium. It was at this time too, that a separate research journal (Saint Mary's University Research Journal) was conceived to publish researches in the fields outside of the scope of the Journal of Northern Luzon.

In 1996, Mrs. Nena P. Valdez was appointed OIC of the Research Center when Dr. Mateo was on study leave in Australia. Meanwhile, the Center was moved to the newly erected College of Law Building in 1996 and stayed there up to May 1998.

In 1997, Rev. Jessie M. Hechanova, CICM, took over as second University President. Dr. Mateo, back from Australia, resumed headship of the Research Center[5] . Work also resumed on the SMU Research Journal. In June 1998, the RC office moved to the Library Building. The first Book Launching was held in August, during which the maiden issue of the SMU Research Journal was released. New staff members were also appointed. [6]

In his desire to uphold innovation, the President declared the school year 1999-2000 as the Year of Research for Saint Mary's University. During this year, the following were done: (a) publication of the maiden issue of his other brainchild, the Partuat: Undergraduate Students' Research Journal, (b) second Book Launching activity, and (c) release of the second issue of the

SMU Research Journal. He also pursued the submission of research outputs by graduate as well as undergraduate students. In November of the same year, Ms. Hedy M. Lumanlan was appointed as member of the staff, particularly to be a copy/proofreader of all manuscripts submitted to the Research Center.

[4] This was composed of Dr. Efren B. Mateo as Chairman, Dr. Moises Asuncion, Mr. Enrique Cayaban and Dr. Bonifacio Ramos.
[5] New staff members were appointed: Dr. Moises Asuncion (June 1997), Dr. Ella Tumaneng (November 1997), Dr. Henry C. Navarro (April 1998).
[6] Engr. Charles Querol, Mrs. Caroline Acosta (November), and Mr. Henry Navarro (April. 1999) to name a few. In the succeeding semester, Dr. Ruperto Rigor, Jr., Engr. Charles Querol, and Mrs. Caroline Acosta became members of the Research Staff.

During the school year 2000-2001, the Research Center was moved to the 2nd Floor of the A-Building. About this time, Dr. Ella B. Tumaneng was appointed Director. Intensive in-service trainings on research were conducted during this year while new staff members joined the Research Center.[7]

Dr. Bonifacio V. Ramos was appointed Director of the Research Center starting SY 2001-2002. Dr. Nena P. Valdez once again joined the staff. It was during this school year and the succeeding years that the Likha Day (and later made Likha Week[8]) – celebrated in February - was institutionalized as a yearly affair to showcase the creative outputs (researches, projects, inventions, and other innovative outputs). Activities included the public presentations and defenses of students' researches as the initial phase of the selection of the Likha Awardees who are honored during the annual graduation rites, as well as the Annual Book Launching. It was also during this year that the Institutional Policy Studies (series) and the Research Center Bulletin started.

In 2003-2004, the Research Center Staff was commissioned to conduct researches on the indigenous or vernacular architecture of selected ethnic groups in Northern Luzon which were presented in an International Seminar-Workshop on Indigenous Architecture held in Saint Mary's University under the sponsorship of the Japan Foundation.[9] The Research Center has also done researches commissioned by external bodies. [10] In June 2005, Saint Mary's University, through the Research Center, was one of the founding members of the Cagayan Valley Culture and Arts Research and Development Consortium (renamed in 2007 as Northern Luzon Culture and Arts Research and Development Consortium). It is also a member of the following research consortia: (a) Cagayan Valley Health Research and Development Consortium, (b) Cagayan Valley Higher Education Research and Development Consortium; (c) Cagayan Valley Industry, Energy and

Research Development Consortium. It is also a member of the Nueva Vizcaya Provincial Statistical Coordination Committee (PSSC), by virtue of Executive Order No. C-239, Series of 2006.

[7] Engr. Charles Querol, Mrs. Caroline Acosta, and Mr. John Palina for instance. Dr. Dominga Caluya following the completion of her doctoral studies at UP was also assigned research staff effective November 2000.
[8] To illustrate the convergence of units particularly of members of the RCDC, Fr. Renillo Sta. Ana, CICM mandated the change of Likha Week to Linggo ng Likha at Lingkod.
[9] The same papers were presented during a National Commission on Culture and the Arts-funded Regional Seminar-Workshop on Northern Luzon Vernacular Architecture in April 2004, submitted to CHED in January 2004 for the national search for outstanding researches, and presented at the MMSU-Batac, Ilocos Norte during the CHED Zonal Research Center (for Regions 1, 2, and CAR) research forum held in the same year.
[10] Population Commission Region 02 for which it had two commissioned researches; Program for Cultural Cooperation of the Government of Spain, for which it had also two commissioned researches; and other educational institutions in the form of feasibility studies.

Through the SMU Research Center, the University has established linkage with Nakem Conferences International (NCI) based at the University of Hawaii at Manoa, USA, and is founding member of the Nakem Conferences International-Philippines Chapter (NCI-PC) based at the Mariano Marcos State University, Batac City, Ilocos Norte, Philippines.[11] Several staff members have joined the Research Center in the ensuing years[12].

Starting SY 2006-2007, some Research Center Staff[13] and several other faculty members joined the roster of SMU faculty members presenting their research papers in international conferences, thereby contributing to the growing visibility of SMU academicians in research undertakings at the international level.

In SY 2007-2008, the position of School Research Coordinator was created with an equivalent load of 3 units per semester which was increased to 12 units in SY 2010-2011. The School Research Coordinator serves as the Chairman of the School's Research Council. Being the point person, he/she prepares and regularly updates the School's research agenda; formulates the School's research action plan; scrutinizes and reviews research proposal(s) prepared by his/her School's faculty members, scrutinizes individual faculty-initiated research proposals to be funded under a Professorial Research Chair prior to the submission of the same to the University Research Council; recommends to the University Research Council the holder of such Professorial Research Chair; is in charge of supervising and monitoring the research activities of holders of Professorial Research Chair; takes charge of Likha Week activities, submits to the Research Center soft and hard copies of faculty and students' researches for reference and possible publication in the University research journals; takes the leadership role in the preparation, printing, and publication

of the school's research journal; and, prepares the semestral and annual research accomplishment reports of the school.

In June 2009, Dr. Cesar T. Medula was appointed Assistant Research Director whose main function was to assist/team up with the Director of the Research Center.

In SY 2010-2011, the Research and Community Development Council was formed to bring together the formerly separate Research Council and Extension Services Council. The Council is

[11] Saint Mary's University was the host of the 3rd Nakem International Conference last May 28-30, 2008. The Research Center Director (Dr. Bonifacio V. Ramos) was one of the 3 conference conveners, the other two being Dr. Aurelio S. Agcaoili of the University of Hawaii at Manoa (NCI President) and Dr. Alegria T. Visaya of Mariano Marcos State University (NCI-PC President).
[12] Ma. Cristina Roxas (2003-2005), Jane B. Naui (1st Sem 2004-2005); Concepcion G.Quintua (Dec. 2004- 2007); Rhodora Uy (2005-2006) ; Felto Agpawa (2006-2007); Maricel P. Moreno (2005 to 2009); Lina S. Calucag (2nd Sem. 2007-2008); Ester P. Cantong and Efren B. Mateo (1st Sem 2008-2009 and 2009-2011 respectively). Caroline M. Acosta was assigned as GPH, School of Business while Lina S. Calucag was assigned head of the Center for Alternative and Continuing Education, 1st Sem. SY 2008-2009. 13Caroline M. Acosta, Bonifacio V. Ramos (SMU Research Staff), John Octavios S. Palina, and Cristina G. Gallato (School of Business), Edwin Gonzales (MIS), Melfei E. Bunghihan and Ma. Teresa B. Tayaban (School of Arts and Sciences).

composed of the following: President (as Chairman); VPs; Academic Deans; Directors of Research, CESP, IKAT Center, and the Center for Natural Sciences. Its functions are:

1. Initiate and deliberate on policies, frameworks, approaches, systems and procedures governing research and community development-oriented extension services;
2. Provide the strategic directions for the research and community development-oriented extension activities of the University and set the priorities in accordance with the overall collaborative research and community development framework of the University;
3. Animate faculty, personnel, and students to be involved in collaborative research and extension activities of the University; and,
4. Receive and evaluate semestral/annual reports from the heads of the different offices who are members of the RCDC.

A Research Development Program focusing on the development of research consciousness among faculty and students and research agenda was formulated and is being implemented by the Research Center. It has produced and is continuously producing institutional studies to address some pressing problems and concerns of the University. New research incentives and recognition schemes are put into effect and policies on the publication of articles/research works are also formulated. As a result, several institutional policy studies and commissioned researches have been conducted by the faculty and the different schools and by the University Research Center.

In a bid to strengthen the functionality of research outputs, the Research Center started in SY 2011-2012 the dissemination of titles and outputs to concerned schools and offices so that these can be utilized. It also accepted commissioned researches from various funding agencies like the Commission on Population, Region 02, the Canadian International Development Agency, and the CHED through its Grants in Aid Project. To further its commitment towards other units of the University, the Research Center conducts in-service trainings and research fora in collaboration with the Graduate School, Teachers' Center, Research Coordinators and the various schools to develop research awareness as well as research competencies among faculty and students. Lecture-workshops/writeshops focus on qualitative research, formulation of research agenda, problem conceptualization, R and D planning and priority, research design, instrumentation, data analysis and interpretation, and writing the research proposal and final manuscript report, journal publication, Online Journal System, and the launching of Marian e-journals.

Across the years the Research Center has established partnerships with various entities like the National Indigenous Peoples' Coalition in Higher Education (NiCHE), the Kalahan Educational Foundation based at Imugan, Sta. Fe, Nueva Vizcaya (through the School of Arts and Sciences in 2008), the Nakem Conferences International, Instituto Cervantes, Manila (Government of Spain), Northern Luzon Culture and Arts Research and Development Consortium (NLCARDC), Cagayan Valley Health Research and Development Consortium (CVHRD), Cagayan Valley Industry and Energy Research and Development Consortium (CVIERD, DOST), Asian Institute of Management Mirant Center-Jollibee Foundation, Provincial Statistical Coordination Committee, Nueva Vizcaya. The University, through the Research Center, has also been designated as Program Cluster Implementer (SMU-PCI) of the CHED-Isabela State University Zonal Research Center (CHED-ISU-ZRC) for Teacher Education, Engineering, and Information Technology of Region 02.

With the retirement of its Director, Dr. Bonifacio V. Ramos in May 31, 2011, Dr. Fe Yolanda Gatan-del Rosario was appointed Director effective June 1, 2011. Under the guidance of the fourth University President, Rev. Renillo H. Sta. Ana, CICM, the Center has encouraged its faculty to conduct significant researches not only for the generation of new knowledge but also for its practical utilization. By the implementation of policies earlier drawn to sustain production, it has annually involved several faculty members who are either remunerated financially or by merit through research points. Several faculty members continue to present their research papers in local,

national, and international conferences and have brought honor to the University with awards won. A number have consistently published in international refereed journals, and still a big number continue to manifest this spirit of innovation.

By 2012 a new Research Agenda has been formulated together with the Schools' respective coordinators, from which was drawn the domains and themes of research production both by the students and the faculty. It was also in this year that it sought to bring about quality control by ascertaining that data sets are analyzed and interpreted properly, with its acquisition of 45 licensed SPSS software. Plagiarism check and language editing have also been in place by the same year and aggressively implemented by the next. To ascertain that undergraduate thesis writers and researchers comply with safeguards to quality control, an Undergraduate Research Writing Guideline and Undergraduate Research Writing Format Manual were developed through the initiative of the former Director and of the Asst. Research Director, Dr. Cesar T. Medula. A new edition of the Research Center Manual was also printed in the same year.

Moreover, to provide venue for student and faculty research outputs to be disseminated, several other journals were launched in 2013. The year 2013 also saw an increase in the number of qualitative researches produced across disciplines.

Also, in 2012, The University Research Center envisioned the aggressive implementation of the research productivity incentives to motivate faculty members to become more active in research production. Four mechanisms approved by the University President and made effective in 2006 became the basis of said implementation. However, the incumbent President then gave instructions that the implementation would be "ad experimentum". Nonetheless, the succeeding years saw its continued implementation, though the more popular mechanisms were those of C and D.

The following years also saw the active involvement of faculty or students in local, national and international presentations. This was primarily because of the support given by the Administration particularly to faculty members. As a result, a number of presentations were done at Las Vegas Nevada, in South Korea, Thailand, Vietnam, Japan, and Malaysia.

Moreover, to provide a venue for faculty and graduate students to present the results of their research work, a number of conferences were organized by the Center in collaboration with the Indigenous and Traditions Center, Community Extension and Services Office, School of Graduate Studies and in recent years with the External Affairs Office and Office of the Vice

President for Mission and Identity. As such on August 7-8, 2013, the URC and the aforementioned organized a Regional Paper Conference enthemed, Oneness of Nature and Culture for Nourishing Ecosystem Conservation which was held at the Sacred Heart Center. In January 24-26, 2014, it hosted the First Interregional Conference (Luzon Cluster) also at the Sacred Heart Center. In January 23-24, 2015, it held the first National Paper Conference with the theme, Research in Society: Capturing Multisectoral Challenges also at the Sacred Heart Center. By 2016, the convergence of units went international with the holding of the First International Conference on Cultural Studies on May 19, 2016 at the Sacred Heart and at Banaue Hotel on May 20, 2016. Two years after, it hosted the Second International Conference on Cultural Studies on May 2- 4, 2018 at the Sacred Heart Center and at the Teng-ab Pastoral Center in Bontoc, Mountain Province respectively. As an offshoot of the first conference, the University Research Center after the approval of the RCDC came out with the first international reviewed journal called the International Forum for Cultural Studies which it launched during the Second International Conference in 2018.

Although publications in refereed journals started with modest beginnings, the constant prodding by the Research Director of faculty members has resulted in attempts to respond to this need. While some faculty members and students had their manuscripts published in in-house journals, there were those who tried their luck in international refereed journals. By 2016, about seven manuscripts were published in online publication outfits, followed by nine in 2017, and 12 in 2018, involving about nine faculty, 17 faculty and one staff, and 24 faculty and two staff respectively.

Also, in 2018, the University Research Center embarked on a Research Project called Project WEALTH (Wellness, Environment, Accountability, Advocacy, Life-long Learning for Transformative/Transformed Health) still in keeping with the Research Agenda of 2012-2018 and of the Ten Point Agenda of the National President.

Realizing the importance of research results for internal and community development, the Director mandated faculty and student researchers to embark on researches with utilization. By 2017, faculty proposals with promising utilization were given approval by the University President.

In keeping with changes in the educational landscape, the Undergraduate Research Writing Guideline and Undergraduate Research Writing Format Manual were revised in 2014 and in 2017

respectively. Following a directive from the President, the MOPG was also revised in 2014 and in 2018 respectively.

To strengthen and support the tri-focal functions of the University, the URC works hand in hand with the key members of the Research and Community Development Council, such as the Indigenous Knowledge and Traditions Center Director, and the Director for Community Extension and Services Office, as well as with the Academic Deans.

In 2019, the Indigenous Knowledge and Tradition Center (IKATC) was merged with the Community Extension Services Center, creating the Lingkod Maria Community Development and Advocacy Center (LMCDAC). In 2020, Dr. Darwin Don M. Dacles, former director of the IKAT (SY 2011-2018) and LMCDAC (SY2018-2019) was appointed to head the URC directorship under the university's first layman president, Dr. John Octavious S. Palina.

Year 2020 has been one of enormous turbulence and upheaval because of the impact of the 2019 novel coronavirus pandemic. Nobody has been left untouched by the global pandemic and great changes have been forced upon the Marian educators, faculty researchers and community extensionists. Amid the pain and uncertainties of the pandemic, the URC has continued to endure. It saw a lot of potential value in the positive and encouraging lessons that are emerging in the new normal. Webinars by zoom and google meet became platforms where faculty and student-researchers share the results of their researches. In Year 2 of project WEALTH, 58.8% out of 85 faculty members conducted researches on a collaborative basis. Overall, an average of 67.6% (not counting the year 2019) out of 104 full-time faculty members and those in the offices with faculty rank have been into research production from 2015-2020.

The original Project WEALTH was expanded in 2021 to encourage faculty researchers and students to conduct researches that relate to understanding the complexities of COVID-19 and to embrace international, national and local research agenda and thrusts. It came to be known as Project WEALTH VERSION 2.0. This Project is Saint Mary's University's 13-point agenda to address a six-year priority Research Agenda along various domains for 2021-2026. It is an extension project that was started in 2018. Version 2 of Project WEALTH aims to: (a) nurture a culture of excellence in research production, scholarship engagements and creative endeavors to support evidence-based policy making, as well as institutional and community needs; (b) promote greater alignment and partnerships between institutional research undertakings and local, national and international R and D programs / agenda (i.e. SDGs, the 4th Industrial Revolution, etc.); (c) enhance

social benefits and technologies derived through mobilization of research knowledge, creative endeavors and inventions from across the disciplines; and (d) revitalize community engagement and stakeholder involvement in CICM advocacies and flagship programs, as well as address local, national and international needs. Realizing the importance of research results for institutional and community development, the institution through the University Research Center (URC) mandates all faculty and student researchers to embark on researches with great utilization and in keeping with international, national, regional and institutional research mandates and thrusts. It is an acronym which stands for: (**W – Wellness; E – Environment; A – Accountability / Advocacy; L – Life-long Learning; T – Transformative; H – Health) and (V – Value-added; E – E-Learning; R – Risk Reduction and Mitigation; S – Student-Centered Learning; I – Impact studies (best practices); O – Opportunity Gaps (Mobility studies); and N – Network communication and information technologies).**

Meanwhile, despite the rigors of the pandemic, proposal and oral defenses of graduate and undergraduate students have been presented via online means. In the same vein, faculty members and students attended and participated in webinars hosted by governmental agencies and private institutions. In 2020-2021, some faculty members have been awarded best papers and best presenters in regional, national and international research convocations.

In Year 3 of Project WEALTH, the URC has pushed for an outcomes-based research project proposal with demonstrable local, national and international significance. Research results in Years 1 and 2 have been repackaged to show utilization dimension. This has led to the crafting of a Writing Guide to direct the research teams to propose creative ideas in research that are geared towards utilization for beneficiaries of community extension services, institutional use and faculty and students' use - that seem newly relevant given the constraints of 2020 and beyond. The proposals were then presented and defended during the celebration of the Linggo ng Likha at Lingkod 2020. The University has again allotted research honoraria for the research teams following research mechanism incentives.

Meanwhile, as early as in August of 2020, the URC has embarked on yet another significant milestone when it pushed for the creation of the University Research Ethics Board. The plan to establish the REC in the university was borne out of the following reasons: (a) demand of the times (a must for all sectors conducting researches and documentary works that directly and indirectly affect the well-being of human participants, communities, including the environment);(b) exigency

of need (the proliferation of researches and documentary works with sheer disregard on the well-being of human participants, communities, including the environment); and (c) legal constraints accompanying failure of researchers, institutions and organizations to follow provisions (came at a point when data privacy was enacted, when the NCIP called for a stronger protection of IP rights and IKSPs and others like experimentations on humans, plants, animals, etc.). In November of 2020, upon confirmation by the Board of Trustees, the University President together with the other members of the Advisory Board appointed Mr. Jayson L. Maslang to head the UREB. In January 12-13, 2021, departmental and institutional members of the UREB attended the Basic Research Ethics Training (BRET) sponsored by the DOST – Philippine Health Research Ethics Board (PHREB).

Moreover, another paradigm shift happened in November of 2020 when the URC pushed for the assignation of focal persons in the Applied Sciences for possible Patent Applications to help the DOST Project Einstein achieve its goal to produce 1K patents for Region 2. Engr. Andres Gualon, the Dean of the School of Engineering, Architecture and Information Technology was assigned for Engineering and Dr. Arlene L. Tabaquero, Dean of the School of Health and Natural Sciences was assigned for Biology, Pharmacy and Medical Technology courses. The assigned focal persons are tapped to attend trainings on patent application (drafting and filing) and screen projects that result from researches conducted with potentials for possible patenting.

Since the University is now working towards patenting of original works, a paradigm shift in the kind of researches conducted has also been instituted, that is, for schools labeled as Center of Development (esp., Engineering, Information Technology) and even for Bio, Pharma and MedTech, it has been strongly recommended that students and faculty members in these disciplines conduct applied researches geared towards patenting of products with demonstrable significance.

The foregoing initiative has led to the eventual establishment of the Technology Transfer and Business Development Office (TTBDO) at the School of Engineering, Architecture and Information Technology, which will be-in-charge in overseeing faculty and student projects for possible patenting and commercialization of capstone projects. It has started its operations with a Two Million Pesos (Php2,000,000) grant from the Shared Services Facilities (SSF) program of the Department of Trade and Industry, thus, the TTBDO shall work within the framework of government-academe-industry collaboration.

Another paradigm shift was the introduction of the Four-Chapter Format in February 2021, which many higher education institutions are now following. The four-chapter format follows the IMRAD publishable format to lessen the burden of writing on the part of thesis writers and to prepare the theses for their eventual international publication in refereed journals following the IMRAD format. Thus, the graduate and undergraduate research writing guide and formats, including the URC MOPG have been revised in 2022.

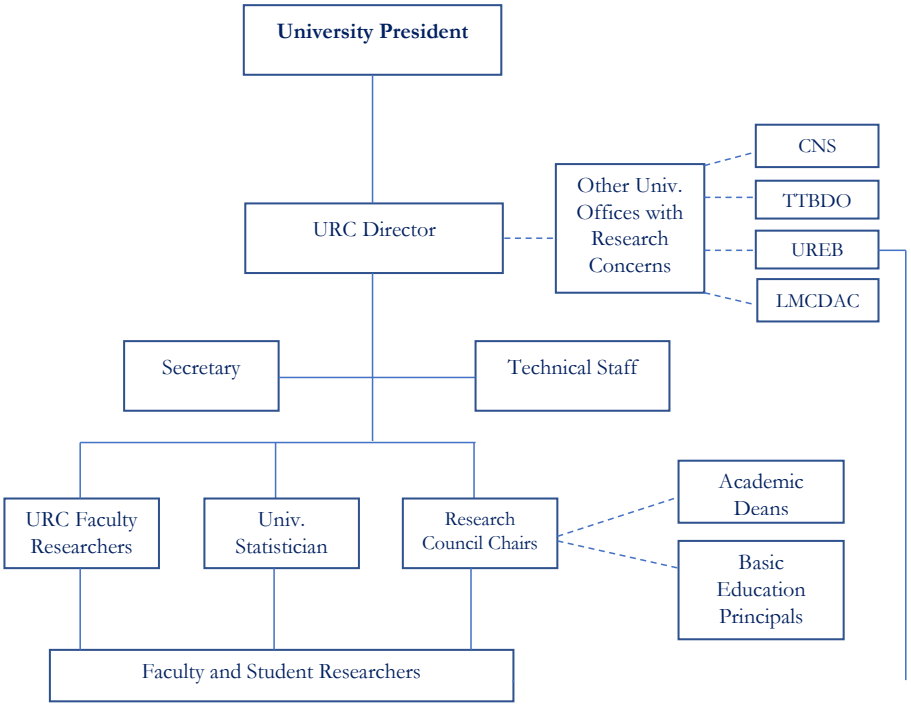
Today, the Research Center continues to play its role of providing effective support to academic instruction, conduct of collaborative researchers and perform other functions of the University, particularly in the university's quest for ISO 2009: 2015 accreditation in October 2022, the CHED Institutional Sustainability Assessment (ISA) in December 2022, and PAASCU re-accreditations in 2023.

Chapter II

Organizational Structure

The Saint Mary's University Research Center is governed directly by the Saint Mary's University Research and Community Development Council, which acts as the policy-making body, and is chaired by the University President. The Research Center is directly under the supervision of the University President. The Center is under the direct administration of the

Director of the Research Center.



1. The University Research and Community Development Council

The SMU Research and Community Development Council is composed of the President as the Chairman. The members are composed of the Vice Presidents, Academic Deans, Basic Education Principals, Directors of Research, LMCDAC and Center for Natural Sciences, the Heads of the TTBDO and UREB. The functions of the Research and Community

Development Council are to:

a. initiate and deliberate on policies, frameworks, approaches, systems and procedures governing research and community development-oriented extension services;
b. provide the strategic directions for the research and community development-oriented extension activities of the University and set the priorities in accordance with the overall collaborative research and community development framework of the University;
c. animate faculty, personnel, and students to be involved in the collaborative research and extension activities of the University; and
d. receive and evaluate semestral/annual reports from the heads of the different offices who are members of the RCDC.

2. The School Research Councils

The School Research Council is composed of the Research Coordinator as Chairman with the Department Heads as members. The functions of the School Research Council are to:

a. initiate and deliberate on policies relating to the School's research and development (R&D) activities and how these activities are linked and coordinated with URC;
b. provide the directions for the research activities of the School (research agenda or areas of concern) and to set the priorities in accordance with the overall research framework and requirements of the school as well as its financial capability;
c. evaluate research proposals submitted by the faculty in the school; and
d. encourage faculty members and students in the school to participate in research activities.

A. Director of the Research Center

Appointment: The Director of the Research Center is appointed by the President in

consultation with the Administrative board.

Term of Office: The term of office is one (1) year for the initial appointment, renewable for terms of two (2) years each, provided such appointment shall not go beyond the retirement age, unless the University extends the term.

Functions and Responsibilities:

a. Is responsible to the President for the general management, administration, and supervision of the Research Center;
b. Formulates and proposes for approval by higher authorities, development plans (including programs, projects, activities, and budgets), general policies, systems, procedures, rules and regulations regarding university research;
c. Implements approved development plans, general policies, systems, procedures, rules and regulations regarding university research activities;
d. Formulates, in consultation with all concerned academic offices, a general and comprehensive research agenda as basis for possible research projects of the University Research Center;
e. Initiates and oversees the conduct of all basic, institutional policy, and externally commissioned researches undertaken by the Research Center within its framework;
f. Animates and assists all the different schools/colleges of the university in the preparation of their respective research agenda, animates and encourages all the academic personnel to be involved in research, and coordinates all their research activities within the framework of their respective school/college research agenda.
g. Prepares and implements, in consultation with concerned academic offices, a research capability and development program for the faculty and academic personnel of the University, including graduate and undergraduate students;
h. Provides the faculty and student-researchers technical and consultative assistance in the preparation of their research proposals, actual conduct of their researches, and documentation of such researches;
i. Receives all important term papers, research papers prepared by students in the

undergraduate classes and eventually prepares them for publication in the University's research journals and other forms of research publications;

j. Keeps contact with funding agencies and with other research centers or organizations within and outside the country;
k. Assists the deans in the evaluation of faculty researches for purposes of performance evaluation;
l. Sits in the evaluation committees in the undergraduate and graduate theses/researches of students for purposes of determining Likha Awardees;
m. Prepares and submits an annual accomplishment report and other reports required by the President.

B. University Statistician

a. Prepares and regularly updates a needs list, in coordination with the heads of the different academic and administrative units/offices, of the statistical data and information relevant to the University and its different units/offices for purposes of information and decision making;
b. Coordinates with the different academic and administrative units/offices of the University about statistical data and information they are generating and consolidate the same for easy access and retrieval by requesting legitimate data and information for users of the University;
c. Proposes and implements approved plans, policies, and procedures in coordination and collaboration with the different academic and administrative units/offices, for the generation of up-to-date, valid, accurate and reliable statistical data and information for the use of the University in general and the different academic and administrative units/offices, in particular;
d. Renders advisory and technical assistance to faculty and students regarding appropriate research design;
e. Performs actual statistical analysis of data for researches of (a) faculty and students and (b) the Research Center;
f. Plans and implements in coordination with the School Research Coordinators

capability building seminars and short-term trainings on statistical analysis of data for faculty and students;

g. Takes part in the evaluation of (a) undergraduate and graduate researches, theses/researches of students, and (b) faculty researches;
h. Undertakes by himself/herself each school year at least one approved institutional research within the framework of the Research Center agenda, or any other basic/applied research until completion of the research output(s) and dissemination of the same by way of publication and/or research forum;
i. Undertakes professional development activities; and,
j. Performs other functions as may be assigned by the Director of the Research Center.

C. Research Center Staff-Researchers

a. Undertakes by himself/herself each school year at least one approved institutional research within the framework of the Research Center agenda until completion of the research output(s) and dissemination of the same by way of publication and/or research forum;
b. Participates in collaborative research of the Research Center Staff initiated by the Research Director;
c. Participates in the research capability and development program and activities conducted by the Research Center for the faculty and academic personnel of the University, including graduate and undergraduate students;
d. Provides the faculty and student-researchers technical and consultative assistance in the preparation of their research proposals, actual conduct of their researches, and documentation of such researches;
e. Takes part in the evaluation of (a) undergraduate and graduate researches, theses/researches of students, and (b) faculty researches; and
f. Performs other functions as may be assigned by the Director of the Research Center.

D. Secretary of the Research Center

D.1 Daily Routine Workload (Generic)

a) Maintains physical orderliness/neatness of the office;
b) Entertains and assists clients on their concerns and requests;
c) Coordinates and maintains effective office procedures and efficient work flow;
d) Receives and screens phone calls;
e) Provides information on and enforces office transaction procedures;
f) Records and routes incoming and outgoing communications;
g) Maintains the calendar of activities, meetings and various events of the office;
h) Organizes the materials for posting and maintains the bulletin board and display area of the office;
i) Documents, records and transcribes the proceedings of office meetings and other activities and prepares narrative accomplishment report of such;
j) Makes available data, information, and pertinent documents needed;
k) Prepares routine correspondence, memoranda and reports;
l) Organizes, maintains and acts as custodian of all files and ensures confidentiality and security of files and materials in her care;
m) Maintains an inventory of supplies and equipment issued to the office;
n) Operates and maintains office equipment such as computers and printers;
o) Arranges and coordinates the appointments of the head;
p) Provides staff support to offices and /or committees during institutional activities;
q) Assists in the conduct of trainings/ seminars/programs initiated by the office;
r) Assists in the upkeep and maintenance of the office facilities and report maintenance/repairs to the support office concerned (e.g. PPPDMO or CETSO) if needed; and
s) Performs other related duties that the head may assign.

D.2 Specific Tasks

a) Takes charge of the collection, compilation, and cataloguing of important research papers prepared by the students and faculty members (undergraduate

and graduate levels) and the Research Center;

E. School Research Coordinators

Assignment and Load: The School Research Coordinator is assigned by the corresponding School Dean, with the confirmation of the Chairman of the Research and Community Development Council and the Director of the Research Center.

Term of Office and Equivalent Load. The term of office shall be one (1) year, renewable each year, provided that such assignment does not go beyond the retirement age. The equivalent load each semester is 12 units.

Qualifications: He/She must be at least a Master's Degree (Thesis Program) holder and has had adequate research exposure such as any one or more of the following: doing research, serving as research adviser, research evaluator/panel member, or other similar activities.

Duties and Responsibilities

a. Is responsible to his/her Academic Dean for the planning, implementation, and monitoring of the research program and activities of his/her respective school;
b. Serves as the Chairman of the School's Research Council;
c. Prepares and regularly updates the School's research program including the research agenda in coordination with the department heads and faculty and submits a copy to the University Research Center to be incorporated in the University's Research Development Program;
d. Formulates the School's annual research action plan to implement the school's research agenda and other research-related objectives and submits a copy of the same to the Academic Dean, Vice-President for Academics, and the Research Center Director;
e. Scrutinizes and reviews research proposal(s) prepared by his/her School's faculty members along the School's research agenda prior to the submission of the same to the University Research Center for review and approval as a faculty research

load/grant; and monitors the conduct of these approved researches until their completion and the dissemination of the research reports by way of a research forum, publication in a journal, or other means;

f. Scrutinizes individual faculty-initiated research proposals to be funded under a Professorial Research Chair prior to the submission of the same to the University Research Center for review and endorsement to the University Research Council; recommends to the University Research Council (through the University Research Center Director) the holder of such Professorial Research chair;

g. Is in charge of supervising and monitoring the research activities of holders of Professorial Research Chair in his/her School;

h. Takes charge *of Linggo ng Likha at Lingkod* activities of the School;

i. Monitors the research activities and research outputs of undergraduate students in research courses and the evaluation of these, in coordination with the research professors / instructors. (Note: Research courses refer to courses in which the output is a thesis or a similar academic research as a requirement for graduation);

j. Collects and submits to the Research Center soft and hard copies of faculty and students' researches for reference and possible publication in the University research journals;

k. Is in charge of the preparation, printing, and publication of the school's research journal;

l. Prepares the semestral and annual research accomplishment reports of the school and provides the Academic Dean and Research Center Director each a copy of the report(s); and,

m. Conducts on his/her own at least one research during the school year, based on the School's Research Agenda.

EOMS-URC-FO-001

APPOINTMENT AS RESEARCH COORDINATOR

_____

Name of Appointee

Congratulations!

You are hereby designated as the Research Coordinator of the School for the _____ (Semester) of **SY** _____. Your corresponding load is **12** units.

The school is confident that you will fulfill your duties and responsibilities as **Research Coordinator** of the School as embodied in the 2022 edition of University Research Center

MOPG, thereby contributing to the vigorous efforts of the University to develop a research culture.

Attached is the list of expected duties and responsibilities as provided by the University Research Center.

_____

Academic Dean

CONFORME:

JOHN OCTAVIOUS S. PALINA, PhD **University President**	_____ **Director, URC**

_____

Name and Signature of Research Coordinator

c.f.: Dean, Director, HRDO

Duties and Responsibilities of the Research Coordinator

a. Is responsible to his/her Academic Dean for the planning, implementation, and monitoring of the Research R&D Plan of his/her respective school;
b. Serves as the Chairman of the School's Research Council;
c. Prepares and regularly updates the School's R&D Plan including the research agenda in coordination with the department heads and faculty and submits a copy to the University Research Center to be incorporated in the Institution's R&D Plan;
d. Implements the school's R&D Plan, research agenda and other research-related objectives and submits a copy of the same to the Academic Dean and the Research Center Director;
e. Scrutinizes and reviews research proposal(s) prepared by his/her School's faculty members along the School's research agenda prior to the submission of the same to the University Research Center for review and approval as a faculty research load/grant; and monitors the conduct of these approved researches until their completion and the dissemination of the research reports by way of a research forum, publication in a journal, or other means;
f. Scrutinizes individual faculty-initiated research proposals to be funded under a Professorial Chair relating to research prior to the submission of the same to the University Research Center for review and endorsement to the University Research Council;
g. Is in charge of supervising and monitoring the research activities of holders of Professorial Chair relating to research in his/her School;
h. Takes charge *of Linggo ng Likha at Lingkod* activities of the School;
i. Monitors the research activities and research outputs of undergraduate students in research courses and the evaluation of these, in coordination with the research professors / instructors. (Note: Research courses refer to courses in which the output is a thesis or a similar academic research as a requirement for graduation);
j. Collects and submits to the Research Center soft and hard copies of faculty and students' researches for reference and possible publication in the University research journals;
k. Is in charge of the preparation, printing, and publication of the school's research journal;
l. Prepares the semestral and annual research accomplishment reports of the school and provides the Academic Dean and Research Center Director each a copy of the report(s); and,
m. Conducts on his/her own at least one research during the school year, based on the School's Research Agenda.

Chapter III

Research Center Programs

Research activities and functions of the Research Center are organized into three programs, namely: (1) Research Program which covers basic research, institutional policy research, externally-commissioned research, and evaluation instrument development; (2) Publication Program; (3) Education and Training Program.

A. Multi-Disciplinary Research Program

1. Basic Research

Through basic and applied research, knowledge is unfolded, refined, nourished and systematically ordered and integrated to advance the frontiers of the different academic disciplines. Through publication, the products of scholarly and scientific pursuits enable man to understand his past and current cultural milieu. Man, can then apply knowledge emanating from research to improve the quality of human life and to make him respond effectively to changing societal needs and conditions.

Thus, the Saint Mary's University Research Center through its Basic Research Sub-Program shall:

a). promote and conduct basic research that contributes to the development and refinement of the theoretical and scientific foundations of the different academic disciplines in the social sciences, humanities, and pure as well as applied sciences;

b). conduct applied operational research that provides objective, accurate, and comprehensive information on the socio-cultural condition and problems in the Cagayan Valley and Cordillera provinces and, on this basis, propose solutions for such problems and identify opportunities and priorities for social development and progress;

c) promote, through participatory research, an understanding of the socio- cultural life of the varied ethno-linguistic groups of the Cagayan Valley and Cordillera provinces and their integration in the mainstream of regional and national economic development and social progress; and

d) transmit, through publication in the SMU Graduate Research Journal, International Forum for Cultural Studies, and the different School Journals the results of scientific studies to the varied intellectual leaders and workers in the regional and international communities so as to keep with the developments in varied disciplines, enhance intercultural understanding and arouse participation in efforts to promote social development and progress.

2. Institutional Policy Research

As an institution of higher learning, Saint Mary's University shall focus on continuing descriptive and analytical self-studies that will bring to the attention of the management and academic officials and personnel relevant feedback and data on the efficiency of its various programs, services, and operations, and on the effective utilization of its resources. Such institutional research and studies provide sound basis for future planning and decision-making.

In keeping with this imperative, the SMU Research Center, through its Institutional Policy Research Sub-Program, shall:

a. conduct descriptive and analytical studies that provide the administration with:
   (1) descriptive and evaluative data on the cost-effectiveness of the various programs, to identify and analyze the factors that influence costs and efficiency operations;
   (2) continuous and up-to-date data and trends about the university (such as profiles of undergraduate and graduate students, faculty and personnel, school's achievement and services in fulfillment of its mission, curriculum, space utilization);
   (3) analysis of problems and needs attendant to continuing improvement and development of the university, its operations and services (such as admission, academic personnel administration, library and instructional resources, counseling, student activities and services, health services and campus ministry); and
   (4) information useful in obtaining funding assistance of school projects and services.

b. conduct descriptive and evaluative studies that enable the faculty and academic personnel to:
   (1) learn the potentialities, outcomes, or limitations of their instructions and provide basis for critical examination of teaching procedures and practices;
   (2) develop an understanding of the factors that influence cost and effectiveness of instruction; and
   (3) have sound basis for the development of instructional materials (as prescribed under Instructional Materials Development Program).

3. Externally-Commissioned Research

To comply with its function of research and extension services, Saint Mary's University, through its Research Center, offers research-related services to the outside community within its service area, particularly to business and industry, the local church, and government and non-government organizations. Upon request, the Research Center shall assist these different units in their research activities that are intended to bring about socio-political and cultural transformation of the society or to

improve the quality of their services to their respective constituents.

Thus, the SMU Research Center, through its Externally-Commissioned Research Sub-Program, shall:

a. in coordination with the Research and Publication programs advertise the availability of research services to the outside community;
b. accept and conduct research upon request by these external institutions; and
c. extend assistance in the form of human and other resources to external organizations in the conduct of their own research;
d. assist the Community Extension and Services Center to undertake research that would serve as a basis for the development of programs that will serve the University's client communities.

B. Education and Training Program

The Education and Training Program of the Research Center aims at building research-related knowledge, competence, and skills of faculty members, students and other interested staff members of the university. The services shall also be offered to interested parties outside the institution.

Seminar-workshops on aspects of research shall be sponsored to animate the academic community with respect to research consciousness. The seminars and faculty development programs shall likewise be held to disseminate findings or development of projects under the different programs.

Accordingly, the Research Center, through its Education and Training Program, it shall:

a. orient and animate faculty members, students and other interested staff on the conduct of research;
b. build up the research consciousness and capability of faculty members, staff, students and other interested external bodies by providing regular training on areas related to the conduct of research; and
c. provide a forum/venue for disseminating research findings and project outputs.

C. Research Dissemination Program

Upon completion of any research project, the proponent(s) will present it in a research colloquium sponsored or organized either by the Research Council or Research Center.

During the celebration of the yearly Linggo ng Likha at Lingkod, scheduled during the last week of April, students and faculty members present their research outputs for possible research uptake by target groups and or communities.

For external research dissemination organized by other HEIs, governmental and non-governmental agencies, the research chairs document the participation of faculty and student-researchers individually throughout the year and accomplishes a summary list of all external dissemination activities using prepared URC forms for submission at the URC.

All received invitation from external agencies and HEIs as regard research dissemination participation by faculty and student-researchers shall be coursed through the Research Council Chairs for identification of participants in their respective schools and or departments.

Certificates of participation and or awards form part of evidence submitted to the URC for appropriate commendations during the AGAPE celebration and research points (for faculty) and commendations by the Research Council (for students) during school week celebration and the like.

D. Publication Program

As the volume of the outputs of the Research Center increases, there is a need to disseminate them to proper audiences, through publication, for information, reference and utilization. It is therefore the function of the Publication Program to publish all the research outputs of the university. Thus, it shall:

a. publish regularly, through the different school journals and in coordination with the SMU Publications Center completed researches for dissemination and utilization;
b. coordinate with the Graduate School regarding the publication through the Graduate School Journal researches completed by the graduate students or faculty that conform with the research themes acceptable by the journal;

c. publish regularly through the Journal of Northern Luzon and the Graduate School Journal researches completed by faculty remunerated under Research Mechanisms C or D; and

d. coordinate with other universities, research centers and other interested external bodies for possible subscription to the publications of the Research Center.

For externally-published researches in international, national and or regional conferences, the research chairs document the publication of faculty and student-researchers individually throughout the year and accomplishes a summary list of all externally-published researches using prepared URC forms for submission at the URC.

All received invitation for publication by external agencies and HEIs shall be coursed through the Research Council Chairs for announcements in their respective schools and or departments.

The published manuscript form part of evidence submitted to the URC for appropriate commendations during the AGAPE celebration and research points (for faculty) and commendations by the Research Council (for students) during school week celebration and the like.

E. Research Utilization Program

Commented [1]: For revision since Research Utilization for Students is removed

The institutionalization of the Adviser-Promotership Program has not only increased the opportunity for students to produce, disseminate and publish their researches but the utilization of their research projects as well.

A project proposal template is prepared for both faculty and students underscoring the following: (a) Research Utilization (Project) Title; (b) Title of Research; (c) Research Abstract (Findings); (d) Description of the Research Utilization Project (Scope); (e) Project Beneficiaries; (f) Rationale; (g) General and Specific Objectives; (h) Expected Results; (i) Strategic Activities (To achieve the goals); (j) Narrative of Utilization (based on strategic activities); (k) Documentation of Utilization (Implementation of Project); and (l) Feedback from clients/beneficiaries.

For community-based research utilization, a copy of the manuscript is provided to the LMCDAC for appropriate background augmenting. In tandem with the LMCDAC, the proponent(s) proceed to the implementation of the project.

The research chairs document the utilized project of faculty and student-researchers individually (or per group) throughout the year and accomplishes a summary list of all utilized projects using prepared URC forms for submission at the URC.

The narrative of utilization form part of evidence submitted to the URC for appropriate commendations and or research points (for faculty) and commendations by the Research Council (for students) during school week celebration and the like.

Chapter IV

Linkage and Collaboration of the Research Center with Other Units

A. Areas / Programs of Collaboration

Because of similarity of functions, there is a recognized need for a functional collaboration between the University Research Center and the other schools and colleges, especially their Graduate Programs, and other units like the LMCDAC, CNS, UREB, TTBDO and the Basic Education in the following areas:

1. Multi-Disciplinary Collaborative Research Program

The collaboration involves the graduate faculty, undergraduate faculty and students in the different schools/colleges conducting:

1a. Institutional Policy Studies – such as those that have policy implications and applications regarding the programs, services, and operations of the University. Such institutional research and studies provide sound basis for future planning and decision-making. The researches are the priority policy topics or themes listed in the Unified Research Agenda of the institution and the research agenda of the Basic Education;

1b. Academic Researches of faculty and students. The Research Staff provides the necessary technical and statistical analysis services for the researches of the graduate faculty, undergraduate faculty and students, including the Basic Education; and

1c. Assistance extended to LMCDAC, CNS, TTBDO, UREB and Basic Education and other units for researches relevant to their particular areas.

2. Research Publication and Dissemination Program

The Saint Mary's University Graduate School Journal (SMUGSJ) serves as the venue by which graduate faculty and students' researches are published and disseminated. The Research Center and the Graduate Programs also collaborate in the conduct of research dissemination I especially where the graduate faculty and students' researches are the ones presented before the public. It also spearheads through the RCs and the School Research Councils the dissemination of research results during the annual celebration of *Linggo ng Likha at Lingkod*. Undergraduate and student research outputs also find their way into the

School Journals.

3. Collaborative Empowerment (Education and Training) Program

The Research Center and the Graduate Programs collaborate in the conduct of seminars, workshops, and other trainings to building research-related knowledge and skills of faculty members, students and other academic employees of the university. Such capability trainings which are coursed through the RCs are also given undergraduate faculty, undergraduate students, including the Basic Education

Seminar-workshops on aspects of research are sponsored to animate the academic community with respect to research consciousness. The seminars and faculty development programs are likewise held to disseminate findings or development of projects under the different programs.

4. Faculty Research Assistantship Program (FRAP)

The FRAP is a response to the mission of the University "to create new knowledge that will help in the development of the individual and the nation". It is a realization of the objectives of the Education and Training Program of the Research Center (RC) which is to "build up research-related knowledge, competence, and skills of faculty members."

The FRAP was conceptualized to provide faculty members a one-semester experience of working with the staff of the Research Center so they (1) acquire more knowledge and skills pertaining to research; (2) conduct one research project each during their stay at the Research Center and do more research thereafter; (3) become partners of the RC in building up the research capabilities of other faculty members, students, and other interested bodies.

The Research Center through the FRAP aims to:

a) enhance the research capability of all faculty members;
b) provide guided research experiences for all faculty members;
c) help faculty members finish their theses/dissertations;
d) increase the research output of the faculty; and
e) institutionalize the culture of research in the University.

B. Roles of the Research Center

1. To provide consultancy and technical assistance to the graduate students and faculty in the formulation of research problems, research design development, instrumentation, and in the other stages of the research process.
2. To provide statistical analysis assistance, especially through the use of statistical software.
3. To serve as resource persons in the conduct of education and training activities for the development of research skills of the faculty and students.

C. Roles of the Other Schools/ College Programs

a. To provide the opportunities, advisory assistance, and motivation to the students in the conduct of academic researches and institutional policy researches in collaboration with the Research Center Staff so that they can also fulfill the research requirements of their respective undergraduate and graduate courses and at the same time get involved in the researches of the Research Center.
b. To coordinate with the Research Center Staff about technical and consultancy assistance that the Research Center may be able to give to the faculty and students doing research.
c. In collaboration with the Research Center Staff, to organize and implement education and training activities for the development of research skills of faculty and students.

5. Faculty Research and Human Resource Development Program

The Faculty Research and Human Resource Development Program is a scheme borne of the plans of the University Research Center (IDP Year 2013-14) to strengthen and enhance the research skills of faculty members so that eventually they will develop into home-grown full-time researchers in their fields of specialization. It is a series of trainings undertaken in a duration of four years, to which the faculty member is expected to evolve from apprenticeship to promotership. It is also a venue for the novice to learn and apply the basics of research, particularly for those whose only research experience is the writing of a masterate or doctorate thesis. It will also expose them to the challenges of production, dissemination, publication, and the implementation of research results. By the end of the

three-year period, it is expected that they would have imbibed the research culture and realize the importance of research not as additional but an integral function of a university faculty.

Rationale: For some time, there has been a rarity in research productivity, punctuated only by the outputs of a few faculty members across schools. In time with the aggressive implementation of Mechanisms C and D by the current administration, a big number of research outputs and faculty members got involved in the process. Yet, although a substantial number of faculty get involved either individually or collaboratively, the URC has to address this yearly, to assure a steady number of researchers and researches involved and produced respectively. Hence, this program to address the need.

Objectives:

a) To develop faculty members into full-time researchers through a series of capacitation following three graduated research program tracks;
b) To integrate these would-be researchers as advisers, panel members, or reviewers in their respective School Research Councils;
c) To empower them to become research proponents who will conduct research activities either individually or collaboratively within or across Schools;
d) To enable them to publish locally or in international refereed journals;
e) To qualify them to disseminate in local, regional, or international I;
f) To them to develop proposals for local, regional, or national funding.

Mechanics:

Track 1. Apprenticeship Program

This is open to faculty members of the rank of Instructor I, who are encouraged to join the program in their fourth or fifth year as faculty in the institution. Said faculty should also have a master's degree, is recommended by the Dean, and has portfolio of experiences (seminars attended; documents relevant to research endeavors).

The training program will run for two years which will include capacitation on **Seminar I**

a. The mechanics of Research
b. Conceptualization
c. Review of Related Literature including use of e-Journals
d. Research Methodology

Output: Chapters one to three of a paper

Bibliographic Essay on topic to be researched on Extensive listing of Bibliography

Seminar II

a. Data analysis
    1. SPSS for quantitative
    2. MaxQD for qualitative
b. Writing the paper/journal manuscript

Output: Chapters 4 to five

Full paper

Track 2. Assistantship Program

This is open to faculty members of the rank of Instructor II, who are admitted into the program after having accomplished the targeted outputs of the first track, duly evaluated, and passed.

The training program will run for one year whereupon the trainees will be asked to do the following: (1) become a research assistant to faculty proposing a research project; and (2) work with the latter's project until its completion.

Track 3. Promotership

This is open to faculty members of the rank of Senior Instructor, who are admitted into the program after having accomplished the targeted outputs of the second track, duly evaluated, and passed.

Output: conceptualize, propose, carry out research project individually or in

collaboration with full time faculty members; submit manuscript for evaluation by peer reviewers; accept advisership to undergraduate thesis writers; serve as panel member to defense procedures can be given a research subject as load.

Evaluation of the program at the end of three years; repeat process 1-3

Project Two: Integration of the certified trainees into the School's research programs. This is open to faculty members of assistant professor 1 ranking who have the following qualifications:

1. Has one research output published in local journals;
2. Has one local presentation

Teaching load: 18/ Research load: 6

Open to faculty members of Assistant professor 3 ranking who have the following qualifications:

1. Published in an indexed journal/regional/national journal
2. Has one presentation in regional paper conferences

Teaching load: 12

Research load: 12

Open to faculty members of Associate professor 1 ranking who have the following qualifications:

1. Published in international refereed journal
2. Has one presentation in national conference

Teaching load: 6

Research load: 18

Open to faculty members of Professor 1 ranking who have the following qualifications

1. Consistently published in international refereed journal
2. Has one presentation in international conferences

Teaching load: 0

Research load: 24

Chapter V
Sources of Funds

1. Internal Funding

The Saint Mary's University Research Center is funded internally through the following:

a. research fund;
b. journal fees paid by both graduate and undergraduate students for the publication of research journals;
c. fees paid by students enrolled in Research subjects where the output is a thesis.

2. Other Sources

a. The Saint Mary's University Research Center shall secure additional funds from

external bodies and/or funding institutions.

b. Externally-commissioned research activities shall be funded entirely from the funds provided by the commissioning agency.

Chapter VI

General Policies and Guidelines on Faculty Research-Related Work (Mechanisms A, B, C & D)

EOMS-URC-GL-001:

Guidelines in Applying for Faculty Teaching and/or Research-Related Work

(Mechanism A)

1. Faculty members who intend to get involved in research production must review the research productivity incentive guide which states what mechanisms can be applied for in the duration of the academic school year. These are Mechanisms A, B, C and D (For Mechanisms B, C and D, refer to URC Guidelines 02).

2. For **Mechanism A**, starting second semester of 2007 – 2008, the teaching and research loads may be any of the following:

2.1 Full time research
   a. Semester Term: 24 units. Required output = 2 researches (solo authorship). One full research during the First Semester and another full research for the Second Semester; and

   b. Summer Term: 10 units. Required Output = 1 research (single authorship), or, 5 units. Required Output =1 research (joint authorship)

2.2 Deloading for Research (Regular Semester only)
   a. 12 units Teaching + 12 units research = 24 units Required output = 1 research (solo authorship); and

   b. 18 units Teaching + 6 units research = 24 units Required output = 1 research (joint authorship)

Amendments to the above (effective September 2011)

2.3 Research load must be of different rate from the teaching load;

2.4 To dispel the impression that it is "in lieu" of available load, then the faculty can be given full time research load for the first or second semester as the case may be;

2.5 Rate may be computed at masterate or doctorate at 12 units;

2.6 Time frame (research is paid for five months, but output to be finished until 10).

2.7 Teacher to be assigned this mechanism must really have research capacity; and

2.8 If it is meant to be a load, then the proposal should be ready two months before the semester begins, since an approved proposal is also required.

3. The faculty applicant for Mechanism A (Teaching and/or Research Load), must fill up the **URC Form 02**: Application Form for Faculty Teaching and/or Research-Related Work), showing the name of proponent and or proponents (if it is a team effort), the school and college, type of project, description, rationale, objectives, methodology, content, project timetable and budget;

4. The Application should be signed by the applicant, his/her Academic Dean and the URC Director (Recommending Approval);

5. All applications will be presented by the URC Director to the members of the RCDC for deliberation;

6. After the deliberation and when the applications are approved, the University President and Chair of the RCDC signs the application for immediate implementation; and

7. The **URC-FO-03:** Contract Form for Research Load under Mechanism A is then forwarded to the grantee for his signature and the signatures of the Research Chair, Academic Dean, URC Director and the VP for Academic Affairs will be sought for safe keeping and monitoring.

EOMS-URC-GL-002

Guidelines in Applying for Faculty Research Mechanisms

(Mechanisms B, C & D)

1. Generally, permanent faculty members may apply for any of the mechanisms particularly Mechanism D; no research load will be allowed for probationary faculty under said scheme, but he/she may apply for research grants through other Mechanisms like A, B, C. Moreover, faculty members must meet other requirements as stated in the Mechanisms. A faculty member getting involved in the research project the first time will not be awarded an incentive but research points. This period will give him/her the exposure needed to make him/her familiar with the research process;

2. The research process starts with the Call for Papers which is usually announced during the second month of the Midyear Term (in the new academic set up, this would be around July). Said call for papers is disseminated in flyers distributed to the Deans of the five schools (SAB, SEAIT, SHNS, STEH and SoGS), who in turn post them in their respective bulletins. The announcement is also made through

transmittal letters to the Deans for proper dissemination. Corollary to this, the URC sends a Research Itinerary (for both faculty and students) to make stakeholders aware of deadlines they have to meet from production, data gathering, analysis, writing of reports, dissemination to submissions;

3. Research production begins with faculty members deciding which Mechanism to apply for. As soon as they have decided, research teams are created. The composition may be from the same school but across disciplines, or across different schools for multi-disciplinary collaboration. A lead researcher is identified based on the qualifications stated in the mechanisms, and the collaborators just as well. (At the outset, particularly for Mechanism D, the team was composed of five members: one lead and four collaborators. As the years progressed however, this was gradually reduced to four and then 3 to give a chance for members who could advance to being lead researchers). If the scope of the project is big, another collaborator may be included, but for research points.

4. In March 2021 RCDC Meeting, an amendment was done stipulating that only one (1) lead and one (1) primary collaborator this time will get paid and the rest of the secondary collaborators will receive research points (Mechanisms B, C and D). This is to entice the collaborators to take the lead now instead of merely collaborating for more than eight years since the program's inception;

5. Research teams will first craft a full-blown proposal which summarizes the key points of the topic chosen. This is submitted to the URC for evaluation. The URC staff of the Center does an evaluation of the proposals. Accordingly, the comments are summarized and forwarded to the lead researchers for consideration. When the proposal meets the basic requirements like introduction, methodology, statement of objectives, review of literature, deliverables, etc., the research teams submit the full-blown manuscripts to the URC once again;

6. The URC staff schedules a presentation forum and copies of the proposals are distributed to the Advisory Board who sits as evaluators (or reactors) during the forum. The comments and suggestions are intended for further improvement of the manuscript;

7. Depending on availability of slots for the year, the best research proposals are announced (i.e. if there are 15 slots, the best 15 proposals are approved), in consideration of quality, relevance, demonstrable international and national significance (i.e. its contribution to the attainment of SDGs, 4th Industrial Revolution) practical utilization (i.e. possibility for copyright and patenting of would-be products);

8. Once the papers are revised and approved by the president, the research teams are gathered to sign the research contracts (**URC-FO-04:** Form on Faculty

Research Production Contract (For Mechanisms B, C & D). The aforesaid form is accompanied by **URC-FO-05:** Schedules of Release of Faculty Research Remunerations on top of the basic 24-unit Load (Mechanisms B, C & D); Usually, the first tranche of the incentive (i.e. 30% of the entire package is given for Mechanism A; 50% for Mechanism B; and first four months for Mechanism D) is awarded during this period to serve as initial budget of the research team for purchase of needed materials and or printing and photocopying of research instruments for the research;

9. The research teams will then proceed to gather their data usually for a period of a month and a half. Once the data are gathered, these are analyzed according to the identified research design. They are then expected to submit their data set (SPSS format/transcripts) to the data analysts who in turn review them. When said data are in place, the data analysts will give the go signal for the release of the fifth month of their remuneration (if the Mechanism is D). For those who applied for Mechanism C, the incentives are awarded only after the research output has been submitted in full And for Mechanism B, 10% of the grant is released when data set are in place;

10. Once the data has been reviewed, the research teams will begin the write up of their results and discussions, including conclusions and recommendations. In a period of two months, they are expected to finalize all sections of their paper in time for the dissemination of their results during the celebration of *Linggo ng Likha at Lingkod (which falls during the last week of April);*

11. During the said occasion, the research teams chose a representative to present the research results before a panel composed of three members (reactors/evaluators) who are experts in the field. The panel evaluates the outputs based on a rubric given by the URC. Other than forwarding suggestions and comments to help the researchers improve their papers, they also judge the best oral presenter and the best paper. The recognition is presented during the awarding ceremony of the closing program of LLL celebration;

12. The researchers are given about two weeks to integrate the corrections forwarded by the panel members then required to submit the final copy in print and cd format to the URC in May of the academic year;

13. The URC staff in turn evaluates the research outputs during the Midyear Term in time for the submission of evaluation results to the PSRTC;

14. If and when the staff sees that the final paper still needs some improvement, the comments are summarized by the Director and forwarded to the lead researchers who are expected to act on them. It is this revised copy that is bound for office file;

15. The faculty members are assigned points on the following basis: 15 for Ph.D. degree holders and 10 for Masters and Baccalaureate degree holders;

16. For researchers that do not meet the deadline, they are given a chance to submit their output still within the Academic Year, but their papers will not be evaluated for points for the current year. Instead, their points will be assigned the next year. The penalty stipulated in the Mechanism guides will also apply;

17. The application for the next round of production will be put on hold for lead researchers unable to submit the final output within the grace period;

18. On their initiative, research teams are encouraged to publish their papers in international refereed journals; and

19. The following year is meant to be a research utilization year where research results are utilized based on the intention of the paper.

EOMS-URC-FO-002

APPLICATION FORM FOR FACULTY TEACHING AND/OR RESEARCH-RELATED WORK (Mechanism A)

Date of Application: _____

Proponent(s)' Identification:

Name	Signature
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Title:
_____
_____

_____
_____

Type of Project:

___ Basic/Pure Research: ___ Applied Research ___ Institutional Policy
___ Feasibility Study ___ Experimental

Project Description (Describe briefly):

_____
_____
_____
_____

Rationale (Justify the conduct of the study; how significant it is to the academic work, etc):

_____
_____
_____
_____

Objectives (State the general and specific objectives of the research, hypotheses (if any0 or other purposes to be achieved):

_____
_____
_____
_____

Methodology (briefly describe the design, locale, participants, instruments, data gathering procedures and treatment of data to be used to achieve the purposes, including integration of ethical research in this part (UREB requirements on ethics of research):

_____
_____
_____
_____

Content (Briefly describe the expected contents of this research):

_____
_____
_____
_____

Project Timetable (Indicate below the activities to be undertaken, duration and tentative dates that your team intends to spend on the work):

Activity	Duration	Start/Completion Dates

Project Budget (List the materials, equipment and other expense items and the estimate cost of each. Preferably, these materials should be available or obtained from appropriate university offices, e.g., Property Custodian, etc.):

List of Materials/Equipment	Estimate Cost	Budget Source

Recommending Approval

_____

Dean

(Signature Over Printed Name)

_____

Director, Research Center

(Signature Over Printed Name)

Approved

JOHN OCTAVIOUS S. PALINA PhD

University President /

Chair, Research and Community Development Council

EOMS-URC-FO-003

Revised Contract: May 2024 RCDC Meeting

CONTRACT FORM FOR FACULTY RESEARCH PRODUCTION

(Mechanism A)

Faculty Grantees: Date: _____

Lead: Researcher:

Primary Collaborator:

The Terms and Conditions of the Grant are as follows:

1. *A grant of **---**_____ is allocated to the research team, disbursed in three installments: __% a week after signing of contract (____); ____upon submission of data (_____); and the remaining ___% (_____) upon submission of the complete full manuscript;
2. The expected deliverable is a research report titled: "_____";
3. While a total of ____ incentive split between the lead researcher and primary collaborator is suggested, the team has the discretion to decide on the fund distribution;
4. The grantee is expected to provide regular updates to the Dean and the Director of the Research Center on the progress of the research;
5. The Dean and the Director of the Research Center are responsible for submitting a joint report on the grantee's progress as part of their semester-end monitoring and annual reports;
6. If the grantee fails to deliver the required output, a deduction of Php 500 per month will be made from the grantee's salary until the full grant amount is recovered. If the required output

is submitted during the payback period, deductions will cease, but previously deducted amounts will not be reimbursed;

7. If only partial output is submitted, the grantee will be required to repay a portion of the grant equivalent to the unfinished output, as determined by the VP for Finance. The repayment terms are consistent with provision 6;
8. *Lead or primary collaborators must complete prior research submissions before proposing new ones. Extensions are granted for a maximum of one year only. Any extension results in forfeiture of the grant, and partial incentives received will be deducted as per Item 6;
9. *If a lead or primary collaborator resigns during the grant period after receiving partial incentives, these amounts will be deducted from their final salary or eligible benefits before departure; and
10. Grantees will receive a copy of this contract as a reminder of their obligations and responsibilities.

We affix our signatures to signify agreement to the terms and conditions stated above.

_____ _____

Signature of Lead Signature of Primary Collaborator

Recommending Approval:

_____ _____

Academic Dean Director, University Research Center

Approved:

_____

_____

Mrs. Venica S. Acosta, CPA **Dr. John Octavious S. Palina**

Vice President for Finance University President

EOMS-URC-FO-004

FORM ON FACULTY RESEARCH PRODUCTION CONTRACT FOR MECHANISMS B, C & D

(Revised: March, 2021 RCDC Meeting)

Date: _____

Faculty Grantees:

A. Lead Researcher: _____

B. Primary Collaborator: _____

C. Secondary Collaborators: _____

The conditions of the grant are as follows:

1. The load is equivalent to 6 units for lead researcher / 3 units for collaboration considered as research load.

2. The final output expected is a research report entitled:

_____
_____
_____

3. The grantee shall regularly update the Dean, Director of the Research Center, and Research Coordinator on the progress of the expected output.

4. The Dean, Director of the Research Center, and the Research Chair shall submit a joint report on the grantee's accomplished output to the University President before the end of classes for the semester of the approved grant period.

5. In the event that the grantee fails to accomplish the output required, the amount of the research grant shall be deducted from the salary of the grantee at a rate of 500 pesos per month until such time the full amount of the study grant is fully paid. When the grantee submits the required output during the period of payback, the deductions shall stop but the deducted amount will not be reimbursed.

6. In the event that the grantee submits a partial output, he/she shall be required to pay back a partial amount of the study grant corresponding to the unfinished output as stipulated in the revised guide for research incentives. The terms of payback are the same as in provision 5.

7. The grantee shall provide a copy of this contract to all the signatories after the signatures are affixed.

We affix our signatures to signify agreement to the terms and conditions stated above.

_____	_____
Lead Researcher	Collaborators
_____	_____
Research Center Director	Academic Dean
_____	_____
HRDO Director	VP for Finance

_____

University President

EOMS-URC-GL-003

Guidelines in the Conduct of Faculty Research Assistantship Program (FRAP)

Rationale

The FRAP is a response to the mission of the University "to create new knowledge that will help in the development of the individual and the nation". It is a realization of the objectives of the Education and Training Program of the University Research Center (URC) which is to build up research-related knowledge, competence, and skills of faculty members."

The FRAP is conceptualized to provide faculty members a one-semester experience of working with the staff of the Research Center so they 1) acquire more knowledge and skills pertaining to research 2) conduct one research project each during their stay at the Research Center and do more research thereafter, 3) become partners of the RC in building up the research capabilities of other faculty members, students, and other interested bodies.

The project is scheduled every semester, until such time that all faculty members would have undergone the same research experience.

Specific Objectives

The URC through the FRAP aims to:

- Enhance the research capability of all faculty members;
- Provide guided research experiences for all faculty members;
- Help faculty members finish their theses/dissertations;
- Increase the research output of the faculty; and
- Institutionalize the culture of research in the University.

Mechanics / Policies

1. Qualifications
   - Each semester, one faculty member per college will be assigned as a research assistant by the VP for Academics, upon the recommendation of the dean/department head.
   - Faculty members who are permanent and on full -time status and who are not yet on thesis/dissertation writing are given priority for the project.

- The grantee must be computer-literate because part of the training is on the use of computer applications for data encoding and analyses.

2. Loading Schedule
   - The research assistant is given a load equivalent to a 3-unit teaching load
   - The grantee shall report to the RC for at least six hours a week.

3. Duties/Responsibilities

   A. The Research Assistant:
      - The grantee shall choose from among the list of institutional researches listed by each college as his/her study or work, or one designed by him/her upon the approval of the Director of the Research Center and/or the dean of the College.
      - The research assistant shall finish the research within the term and shall present/disseminate results/findings during a forum to be organized by the Research Center.
      - If the study is not completed within the term, the grantee shall finish it on his / her own time but with no additional remuneration.
      - The grantee shall prepare the written report in hard copy and in Microsoft Word.
      - The research assistant shall help the research center in the conduct of its research activities such as: 1) field work, 2) distribution/retrieval of questionnaire, 3) encoding of raw data, 4) encoding of the write up.
      - After the one semester research training, the research assistant will be a candidate to become the research Chair/staff of the college where he/she belongs and/or of the center/institute of the college. He/she is expected to continually produce research output.
      - An award shall be given to the best researcher among the research assistants during an appropriate ceremony.

   B. The Research Center Adviser:

- An adviser from the staff of the RC shall be assigned to the research assistant. The adviser acts as the guide, tutor, facilitator and /or consultant.

- The adviser shall work closely with his/her advisee and must always be available for consultation.

- The adviser shall help the grantee acquire basic research skills such as: 1) conceptualization, identification and formulation of problem, 2) formulation and /or validation of data-gathering instruments, 3) formulation of the research design, 4) processing of data, 5) analysis and interpretation of data and 6) preparation of the research output.

C. Privileges
- The research assistant is given a load equivalent to 3 units of teaching load.

- The 3-unit remuneration shall be converted to a cash sum and shall be given "lump sum " to the grantee only after the completion of the project, presentation of results, and submission of the hard and soft copy of the output.

- The research assistant shall avail of the facilities of the Research center for research-related project.

- Material expenses and other ordinary expenses directly related to the research project are shouldered by the Research Center after approval of the research council.

D. Research Publication and Dissemination
- The research assistant shall present the results of his/her output in a forum organized by the Research Center.

- The research center shall put up a research bulletin that will exclusively showcase the research output of the grantees. The copies will be limited and are intended for the library, the deans, vice presidents, and the university president.

- Researches conducted by the grantees that qualify for publication shall be published in the SMU Graduate Research Journal or Northern Luzon Journal and shall also be sent to national and international journals for possible

publication.

E. Other Matters

- The staff of the Research Center shall be available for consultation and assistance to all faculty members regarding the conduct of their research.

- The Research Center shall help faculty members finish their theses/dissertations. Assistance to theses/Dissertation writers shall be on:
  - Data Analyses and interpretation. This is with a minimal fee which shall depend upon the volume of data and/or extent of analyses.

  - Computer use for word/data processing, depending upon the availability of computers.

- Faculty members who are not currently under the FRAP and who have conducted researches shall submit to the Research Center, hard and soft copies of their output for evaluation and possible publication in the SMU journal, in national and international journals, and in the SMU web page.

- The research center shall give awards to the best research from among the faculty members who are currently not under the FRAP.

- Research outputs may be used for acceleration in rank. Together with the involvement in the extension services they make up 10 points in the regular faculty evaluation needed for promotion.

Initially, the Faculty Research Assistance Program (**FRAP**) is a response to the mission of the University "to create new knowledge that will help in the development of the individual and the nation". It is a realization of the objectives of the Education and Training Program of the URC which is to build up research-related knowledge, competence, and skills of faculty members." The FRAP is conceptualized to provide faculty members a one-semester experience of working with the staff of the Research Center so they 1) acquire more knowledge and skills pertaining to research, 2) conduct one research project each during their stay at the Research Center and do more research thereafter, 3) become partners of the URC in building up the research capabilities of other faculty members, students, and other interested bodies. The project is scheduled every semester, until such time that all faculty members would have undergone the same research experience.

Under the Expanded Faculty Research Assistance Program (**EFRAP**), faculty members may conduct non-collaborative research projects within a proposed span of time and may obtain funds for direct research expenses and at the same time be compensated either in terms of deloading or a research honorarium equivalent to the amount of research units awarded to the project.

Faculty Qualification

1. Research grants are awarded to full-time and permanent faculty members. Priority may be given to full-time and permanent faculty members.
2. Upon the recommendation of the School's Research Council but subject to the approval by the Research and Community Development Council (RCDC), probationary (i.e. part-time, half-time, full-time) faculty members may qualify as co- proponent of research projects. However, as the case applies, they may become principal proponents subject to the approval of the Research and Community Development Council (RCDC) and the proposed span of the research project not going beyond the period of probation. Moreover, part-time and half-time faculty members should have taught at the University for at least one school year and established a track record in research.
3. Visiting or exchange faculty members with a good track record in research may qualify as proponents but the duration of the grant should not go beyond the term of their appointment.

Type of Research Proposals

1. Basic or Applied Research

In reference to DOST guidelines, basic or fundamental research involves experimental or theoretical work undertaken to acquire new knowledge without particular or specific application in use. On the other hand, applied research involves an original investigation undertaken to acquire new knowledge toward a specific practical

aim or objective.

2. Experimental Development Project

In reference to DOST guidelines, experimental development projects refer to systematic work that draws from existing knowledge gained from research and/or practical experience that is directed to produce new materials, products and devices, install new processes, systems and services, and substantially improve those already produced or installed.

3. Submission of Proposals

At the beginning of each regular semester and summer term, the Research Center issues a call for research proposals. The submission deadline is communicated through a Circular to the different Research Councils of each of the Schools through the Academic Deans and Research Chairs and posted at the Research Center Bulletin Board, website and at Gates 1 and 2 (near the biometric scanners). Consequently, in accordance with the set deadline of submission by the Research Center, the submission deadline at the School level is at the domain of the School's Research Council through the academic dean and the Research Chair

The deadline for the submission of project proposals to the Research Center is strictly observed. Late project proposals are considered the following term.

Evaluation Criteria of Project Proposals.

A project may be approved if:

1. The project is a part of the research agenda/research thrust of the School;
2. The project will result in publishable/patentable research project;
3. The project will make an impact on and contribution to education in the University;
4. The project will make an impact and contribution to the betterment of quality of life of the people in the community.
5. Institutional Policy research project proposals may also be pursued as the need arises.
6. For proposals that involve collaboration with other institutions and/or companies, the main proponent will be required to show a proof of consent from said institutions and/or companies before approval.
7. The proponent should have the capability to undertake and complete a research project.
8. The proponent and/or co-proponents should have no on-going and/or unfinished research project/s which is/are remunerated by the University. On said cases, approval of new research proposals will be deferred until the completion of said projects.

9. For a term, a proponent is only awarded one research grant.

Research Unit Equivalence

The proponent/s is/are compensated in terms of a deloading or a research honorarium equivalent to the number of units awarded to the project.

A. Criteria for Awarding Research Unit Equivalence

The number of research units awarded to proponent/s depends on the recommendation by the School Research Council subject to the approval by the Research and Community Development Council (RCDC).

B. Number of Hours

Considering that a full teaching load of 24 units requires 24 hours of teaching in a week, in reference to existing mechanisms on research incentives, one hour (1 hr) of research work equals 0.5 research unit. However, the reasonable number of hours for research work rests upon the School Research Council subject to the approval by the Research and Community Development Council.

C. Number of Proponents

The distribution of research units among the proponents depends upon the number of hours devoted by and the work load of each proponent.

D. Research Units Deloading

The maximum number of research units for a single research project in a semester is 12 units. At most two projects can be awarded in a semester subject to the set evaluation criteria for project proposals (Part II).

Other existing mechanisms/schemes may be availed as to the preference of the proponent/s.

1. Research unit/s is/are not awarded if
   - the project is a degree requirement (i.e. thesis or dissertation).
   - the project is a course requirement.
   - the project is externally funded.

2. Research unit/s may or may not be within the 24-unit full time teaching load.

Monitoring of Research Budget

1. At the beginning of the School Year, the Research Center informs the School about its approved research budget.

2. As much as possible, budgets will be distributed equally across Schools. However, as the case may apply, a School can be granted a higher research budget compared with the other Schools depending on the approved research proposals.
3. The School through its Research Council informs the faculty about the available research budget for the School Year, Semester, or Term.
4. Mainly, faculty aligned in a particular School gets funding from the School's budget. However, as case applies, subject to the approval of the Research and Community Development Council (RCDC) through the Research Center, faculty can get direct funding from the University.

Disbursement of Project Funds

A. Disbursement Procedure

1. All requests of disbursements of funds should be made through the University's Accounting Office through a Payment Requisition Slip.
2. Disbursement requests should be supported by appropriate documents (e.g. computations).
3. The disbursement request should be endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Dean of the School, and Director of the Research Center. The Director of the Research Center forwards the disbursement request to the University's Accounting Office.

B. For Cash Advances

1. Cash advances for direct purchase of equipment, supplies, materials and the like should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.
2. Cash advances for accommodations should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of Research and be directly payable to the involved institution or entity. Supporting document should include details of the activity (i.e. duration, venue, participants, etc).
3. Cash advances for payment of resource persons, facilitators, and technical consultants should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center and be directly payable to the resource persons, facilitators, and technical consultants.
4. Liquidation of cash advances would involve a summary of expenses,

supporting documents, and with the needed signatures to whom the cash advance was paid and approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.

C. Requests for Reimbursements

1. Requests of reimbursements should also be made through a Payment Requisition Slip and approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.
2. Liquidation will be done in the same manner with that of cash advances.

D. Payment for Research Related Services

Payment for research related services should be made through a Payment Requisition Slip payable directly to the person concerned. The Payment Requisition Slip should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.

E. Purchase of Supplies/Equipment/Materials

1. Requests for the purchase of supplies/equipment/materials should be made through a Materials Requisition Slip and approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Dean of the School, and Director of the Research Center.
2. The Director of Research will be the one to endorse the request to the Accounting Office and to the Purchasing Officer.
3. Upon purchase, the Purchasing Officer informs the Director of the Research Center.
4. The Director of the Research Center informs the proponent(s) who will prepare a Payment Requisition Slip to be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Dean of the School, and by the Director of the Research Center.
5. The MRS and the PRS will be forwarded to the Accounting Office for the needed budget verification and for the release of the requested supplies/equipment/materials.

F. Hiring of Project Personnel

1. Hiring of project personnel should be made in consultation with the Director (if under a Center), Head (if under a Department), School's Research Chair, Dean of the School, and Director of Research.
2. Hiring and compensation of project personnel will follow University policies

and procedures.

G. Monitoring of Research Project

For a one-semester project, a monthly report will be submitted to the School Research Council and Research Center. For a one school year project, a quarterly progress report will be asked. Progress reports should contain pictures of necessary research activities. RC Form No. 5 will be used for the progress report

1. Research Output

a. Copies of the final research report should be submitted to the School Research Council and Research Center.
b. Proponents are highly encouraged to submit research outputs in publishable form (i.e. journal manuscript format).
c. The proponent/s is/are expected to complete the research project according to the stipulated terms as approved by the School Research Council and Research Center. However, though highly discouraged, extension of submission deadline and additional funds can be requested subject to the approval of the School Research Council and Research Center.
d. In the case that a research project is not submitted within the extended deadline, the School Research Council or Research Center can terminate the research project.
e. The proponent/s is/are expected to complete the research project. Transfer of research project/s to other faculty members will not be allowed.
f. For projects with more than one proponent, the role and output of each proponent should be clearly identified in the proposal stage. In cases where co-proponents go on study leave, resign, etc the lead proponent will take over left project responsibilities and eventually oversee the completion of the project. In cases where co-proponent has substantially done his part for the research project, he may be asked to submit a well-defined output subject to the evaluation of the School Research Council and Research Center. Though this may qualify him for another project, it does not mean releasing him from the legal and financial obligations of the initial project.
g. For terminated projects, proponent/s will be asked to pay back all the received funding for research project (deloading, honorarium, overload, incentive, etc). Also, purchased equipment/s will be turned over to the School Research Council.

2. Evaluation of Research Output

a. All final reports of research projects are evaluated by a panel of evaluators formed by the School and Research Center. Evaluators are selected from the list of faculty and their specialization/area of expertise.
b. Research projects accepted in refereed publication need not to undergo

internal and external evaluation.

c. The School and Research Center forwards duly signed evaluation report to the proponent. Comments and/or suggestions should be incorporated for the final report.

3. Completion of Research Project

A research project is considered complete upon compliance with the following:

a. Submission of copies of the final report in journal manuscript format (both printed and electronic) together with the master data (in Microsoft Excel) to the School Research Council and Research Center.
b. Submission of liquidation report.
c. Turnover of equipment and/or devices and other materials using the project funds to the School.

4. Dissemination of Research Output

Upon completion of the research project, the proponent/s will present it in a research colloquium sponsored or organized either by the School Research Council or the Research Center.

5. Publication

a. Research output may be published in book form and the proponent(s) will be entitled to royalties in accordance with the Saint Mary's University's Publishing House policies.
b. On the other hand, research output may be published in existing journals by the University or local or international refereed journals. However, priority will be given to refereed journals. Publication financial assistance, cash and one step promotion in rank will be given as incentives for refereed journal publication.

The cash incentives will be as follows:

Type of Publication		Amount (in PHP)
International Refereed Journal	Solo Authorship	10,000
	Joint Authorship	10,000*
Local Refereed Journal	Solo Authorship	5,000
	Joint Authorship	5,000*

*Divided equally amongst the authors

c. Copyright Ownership

The proponent(s) and the University will own the copyright of the output unless otherwise waived as in the case of refereed journal publication.

Chapter VII

Specific Procedures, Guidelines and Work Instructions (WIs) on Research Production, Dissemination, Publication and Utilization

I. Student Researches

1. Standard Operating Procedures for Student Researches

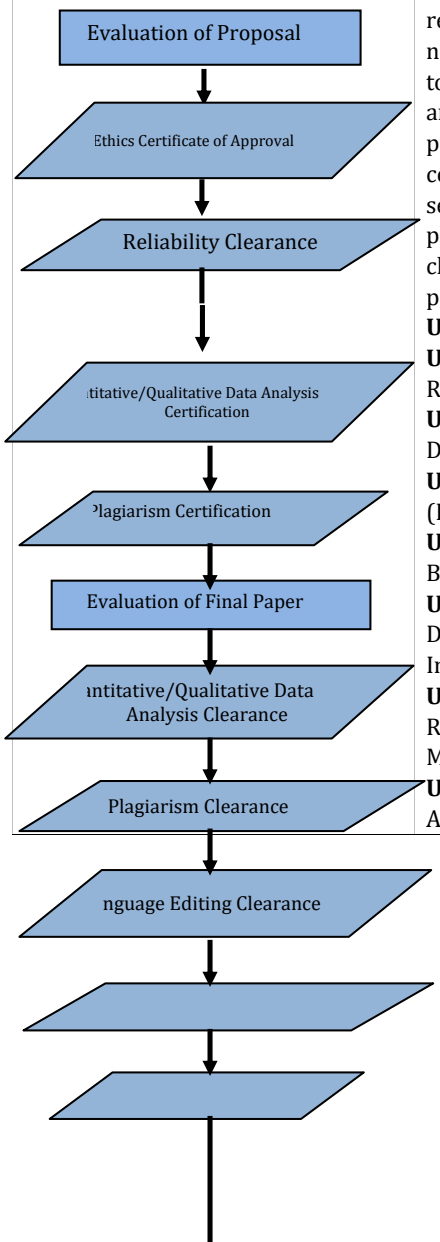
A. Student Research Production (EOMS-URC-OP-001)

TITLE	**Research Production**
SCOPE	This covers the process from the time the Research Councils and the URC set the school-based and Institutional R&D Plans where student-researches and capability trainings are in alignment to the time where *Likha* Awardees are chosen for best researches produced.
OBJECTIVE	To ensure timely and complete submission of relevant research with demonstrable institutional, local, national and global significance to further expand knowledge frontiers.
Definition	The CHED defines research production as the process of generating new knowledge through systematic investigation and experimentation. It involves

	conducting original research, analyzing data, and producing scholarly outputs such as research papers, articles, and reports. The goal is to contribute to the body of knowledge in a particular field and advance understanding.

Activity	*Description*
Setting the School-based (Disciplinal) R&D Plan	**URC-PR-01: Procedure on Student Research Production** In June of every year, the Research Chair convenes the School Research Council to set the School R&D Plan, giving impetus to global, national, local, and institutional mandates and thrusts. These are integrated in the Research Agenda, as well as the training needs of students in research to enhance their knowledge and skills. **URC-ED-001:** CHED Memo Order#46, s. 2012 **URC-RF-044:** School R&D Plan
Setting the Institutional R&D Plan	In July of every year, the University Research Center Director consolidates the School R&D Plans and sets a cohesive Institutional R&D Plan. Essential forms are provided to support the procedure and guidelines such as evaluating alignment of proposal topics and monitoring of students' participation in R&D activities to hone their knowledge and skills in research. **URC-RF-045:** Institutional R&D Plan
Monitoring and Evaluating the Implementation of the R&D Plans	Every end of the term for Research 1 and 2 courses, the protocol documents are evaluated based on their alignment to the prepared School R&D Plan. Likewise, the capability-building activities are scheduled and monitored in conformity to the prepared Institutional R&D Plan. An evaluation whether the activities are accomplished or not accomplished is also done, highlighting major contributing factors for its accomplishment and/or factors that impeded its non-accomplishment.

	URC-GL-05: Guidelines in Monitoring the School R&D Plan **URC-GL-06:** Guidelines in Monitoring and Evaluating the Institutional R&D Plan **URC-RF-043:** PROJECT WEALTH v.2.0, the Institution's 13-point Agenda **URC-QR-09:** Narrative Reports for Research and Development (R&D) Activities Conducted **URC-FO-06:** Form for Evaluating Alignment of Students' Research Titles / Topics to the School Research Agenda (Individual) **URC-FO-07:** Summary List of Evaluated (Aligned) Students' Research Titles / Topics to the School Research Agenda (Semester-End)
Monitoring the Requirements of the Research Courses	In monitoring the requirements of the research course, every end of the term, the students meet the requirements of Research 1 and 2 courses, including defense of their protocol documents until submission of the full manuscript. **URC-RF-046:** Undergraduate Research Writing Manual **URC-RF-047:** Graduate School Research Writing Manual **URC-FO-08**: Evaluation Form for R&D Activity Conducted **URC-FO-09:** Monitoring Report Form for Implemented R&D Activities (Semester-End and Annual)
Facilitating the Research Process (Thesis Writing 1 and 2 Courses)	In facilitating the research courses, before the end of the term for Research 1 Course, the research teams defend the protocol document as a requirement for Thesis Writing 1. After the defense, the revised protocol document undergoes ethics review by the University Research Ethics Office (UREO). After the ethics review, revisions are done and continued in Thesis Writing 2. Meanwhile, pertinent forms support research activities such as in identifying the students' adviser-promoter, acceptance of promoter, agreement on promotership and checklist to aid

	the technical panel of evaluators. After the proposal defense, the manuscript undertakes UREB review. **URC-FO-10:** Student Researchers' Letter of Intent for Prospective Adviser-Promoter **URC-FO-011:** Research Adviser – Promoter Acceptance Form **URC-FO-012:** Agreement on Promotership **URC-FO-013:** Checklist for Technical Review of the Protocol Document **URC-RF-005:** UREO Ethics Preliminary Certification to Gather Data (refer to UREO MOPG)
	Additional forms are needed to complete the research activity from pilot testing of tool(s) if needed, writing the defense recommendation form to seeking consent from the technical panel. There are also forms to evaluate the research for basic, pure, applied and development studies, to consolidating comments and suggestion of panel, seeking for quantitative and qualitative clearances, plagiarism certification, language editing clearance and ultimately rating the adviser-promoter by the student-research team. **URC-FO-014:** Reliability Clearance **URC-FO-015:** Proposal / Oral Defense Recommendation Sheet **URC-FO-016:** Consent of Panel Members for the Defense **URC-FO-017:** Research Evaluation Form (Proposal) for Basic, Pure and Applied **URC-FO-018:** Research Evaluation Form (Oral) for Basic, Pure and Applied **URC-FO-019:** Research Evaluation Form for Developmental Studies (Engineering, Architecture, Information Technology) **URC-FO-020:** Consolidation of Recommendations/Suggestions of the Panel Members after the Defense **URC-FO-021:** Letter of Endorsement to the Data Analyst

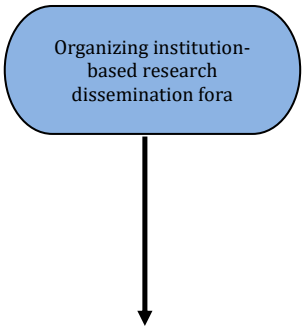
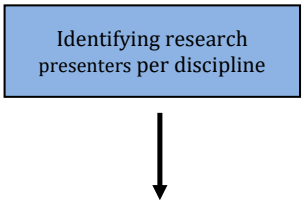
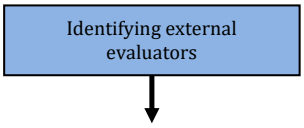
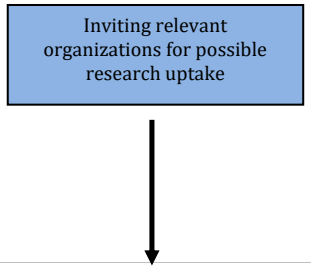
	URC-FO-022: Qualitative Data Analysis Certification **URC-FO-023:** Quantitative Data Analysis Certification **URC-FO-024:** Plagiarism Certification **URC-FO-025:** Qualitative Data Analysis Clearance **URC-FO-026:** Quantitative Data Analysis Clearance **URC-FO-027:** Plagiarism Clearance **URC-FO-028:** Language Editing Clearance **URC-RF-005:** URE0 Ethics Clearance Form (Refer to UREO MOPG) **URC-FO-029:** Certificate/ Declaration of Originality **URC-FO-030:** Approval Sheet Form **URC-FO-031:** Adviser's Criteria Rubric for Evaluating Student-Researchers
Selecting the *Likha* Awardees	A pinnacle of student research production is the selection of *LIKHA* nominees. The selection of *Likha* Awardees undergoes double-blind review. First, within the level of the school, which happens every last week of May. Then the second level is done by the URC every first week of June. The nominees are presented to the Committee on Graduation and Awards who decides and approves the final list of awardees. **URC-GL-013:** Guidelines in Selecting the *Likha* Awardees **URC-FO-033:** Form of the *Likha* Nominations (Level 1) **URC-QR-036:** Signed / Approved LIKHA Nomination (School-based / Level 1) **URC-FO-034:** Form of the *Likha* Nominations (Level 2) **URC-QR-037:** Signed / Approved LIKHA Nomination (School-based / Level 2) **URC-FO-035:** Summary List of Likha Awardees (Final) **URC-QR-038:** Approved List of LIKHA Awardees
Monitoring	In monitoring the services provided by the Center, evaluation forms are prepared and distributed for

	clients' use. The data culled from these evaluations become areas for improvement of various services. **URC-FO-031:** Evaluation Form for Services Provided by the Adviser-Promoter **URC-FO-032:** Evaluation Form for Services Provided Research Coordinator **URC-FO-033:** Evaluation Form for Services Provided by the Technical Panel of Evaluators **URC-FO-034:** Evaluation Form for Services Provided by the Data Analyst **URC-FO-035:** Evaluation Form for Services Provided by the Language Editor
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Student Research production.

B. Student Research Dissemination (EOMS-URC-OP-002)

TITLE	**Research Dissemination**
SCOPE	This covers the process from the time the URC organizes, schedules, and conducts school-based and institution-based dissemination fora to the time when research teams respond to other external invitations from academies and agencies, opening opportunities to disseminate research results in a wider forum.
OBJECTIVE	To ensure timely and complete dissemination of research findings for possible uptake and consumption by targeting audiences that can be benefited.
Definition	The Commission on Higher Education (CHED) in the Philippines defines research dissemination as the process of sharing research findings with a broader audience, including academic peers, industry stakeholders, and the general public. This can involve presenting research results at conferences, publishing in academic journals, and engaging in public outreach activities which are borne out of researches conducted.

Activity	***Description***

	**URC-PR-02: Procedure on Student Research Dissemination** Every second week of April, the different schools start organizing their research dissemination fora for the institutional celebration of the *Linggo ng Likha at Lingkod* (LLL), usually scheduled on the last week of April. **URC-ED-001:** CHED Memo Order#46, s. 2012 **URC-RF-013:** LLL Program of Activities (Yearly) **URC-RF-015:** Documentation of Students' Participation in Research Fora/Conferences
	The schools identify presenters from each department and start conceptualizing the research dissemination program. **URC-RF-013:** LLL Program of Activities (Yearly) **URC-RF-015:** Documentation of Students' Participation in Research Fora/Conferences
	As soon as the tentative program is done, external evaluators or reactors are invited to critic the full manuscript for further improvement of the paper. **URC-RF-013:** LLL Program of Activities (Yearly)
	The schools also invite pertinent organizations, associations, governmental agencies and NGOs and/or communities for possible research uptake. At this stage, the program for research dissemination is finalized. **URC-RF-013:** LLL Program of Activities (Yearly)

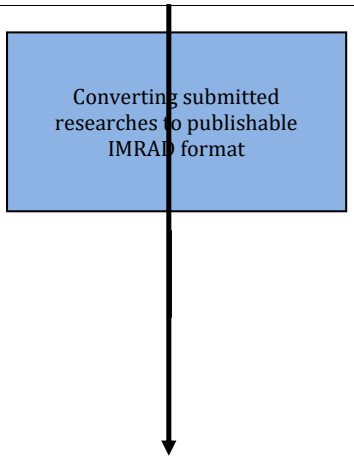
Conducting the research dissemination fora	Taking all considerations like time schedules, venue, presenters, multimedia presentations, and others, the schools proceed in conducting the research dissemination fora. An evaluation form is given to assess the overall conduct of the activity at the end of each forum. **URC-FO-008:** Evaluation Form for R&D Activity Conducted **URC-FO-009:** Monitoring Report Form for Research and Development (R&D) Activities Conducted (Semester-End / Annual)
Responding to External Invitations from Academes and Agencies	For external invitations received from academes and agencies, the URC identifies appropriate schools and colleges to participate based on the nature of the Invites received. The Research Coordinator submits a List of Presenters at the end of the semester. **URC-ED-002:** Department of Science and Technology (DOST) Communications/Call for Papers **URC-ED-003:** DOST-National Research Council of the Philippines Communications/Call for Papers **URC-ED-004:** DOST-National Research and Development Conference Communications/Call for Papers **URC-ED-005:** Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development (PCAARRD) Circulars **URC-ED-009:** Department of Trade and Industry (DTI) Communications/Call for Papers **URC-ED-012:** External Research Dissemination Invites from universities and agencies

Monitoring	In monitoring students' participation in external research dissemination activities, some guidelines are set and forms are used to document participation. **URC-GL-014:** Guidelines in Reporting the External Research Dissemination Activities of Students **URC-FO-042:** Form on Individual Report of External Research Dissemination (throughout the year) **URC-FO-043**: Summary List of External Research Dissemination Activity Participated in by Students (Semester-end)
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Student Research Dissemination.

C. Student Research Publication (EOMS-URC-OP-003)

TITLE	**Research Publication**
SCOPE	This covers the process from the time the URC organizes research publication trainings to the time where copies of the In-House Journals and Research Abstracts are distributed.
OBJECTIVE	To ensure timely publication of research findings to sustain connection with other scholars in the field.
Definitions	Research publication refers to the process of making research findings available to the academic community and the public through various channels, such as academic journals, conference proceedings, books, and digital repositories. The goal is to share knowledge, contribute to the body of scientific literature, and advance understanding in a particular field.

Activity	*Description*
Organizing research publication trainings	**URC-PR-03: Procedure on Student Research Publication**

	Scheduled any time during the Second Semester, publication trainings or seminar workshops are conducted by the URC and Research Councils to enhance the knowledge and skills of students in Manuscript Publication. **URC-RF-048:** Program on Publication Trainings **URC-RF-049:** Documentation of Publication Trainings
	The researches which passed the criteria of the selection of *Likha* Awards are included in the issue of the School In-house journal. The Research Chair converts the research manuscripts to publishable IMRAD format. He reserves the right to edit the submitted manuscripts of students for clarity, readability, and adherence to publication styles. The edited and formatted manuscripts are consolidated to constitute the School journal. Within the level of the Editor-in-Chief (the URC Director), same procedure is undertaken for the researches with *Likha* Awards to form the Research Abstracts. Those who opt to go for external publication usually follow publication requirements like style and format. **URC-GL-015:** Guidelines in Selecting Researches to be Published in the In-House Journal and Research Abstracts **URC-GL-016:** Guidelines in Reporting the External Publications of Student Researches **URC-FO-044:** Form on Individual Report of External Publications of Student Researches (throughout the year) **URC-FO-045:** Summary List of External Publications of Student Research Teams (Semester-end)

Producing in-house journals and research abstracts and submission to refereed, reputable journals	The drafts of the School Journals and the Research Abstracts are submitted to the SMU Publishing and Digital Printing Office for final formatting and production. **URC-QR-074:** Drafts of School Journals and Abstracts
Distributing copies of the In-House Journals	Copies of the Published In-House Journals and Research Abstracts are distributed to students and appropriate offices. **URC-RF-008:** In-House Journals **URC-RF-009:** Research Abstracts
Consolidating published researches of students in external journal publications with documentations	Students through their adviser-promoters also publish their studies in external publication outfits. The research coordinators then consolidate published researches of students in external publications for documentation purposes. **URC-QR-041:** Filled Up Individual Report of External Research Publication of Students
Monitoring	The URC Director monitors the preparation, up to distribution of the in-house journals, including collation of students' external publications for appropriate reporting to the research and community development council (RCDC).
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on student research publication.

2. **Guidelines for Student Researches**

EOMS-URC-GL-005

Guidelines in Monitoring the School R&D Plan

The School Research and Development Plan is the implementation plan of the individual school (or college) relative to research and development activities in Saint Mary's University that reflects institutional development plans (IDP). It focuses on school (departmental) needs that require both institutional and external support such as departmental priorities in research, research agenda, material and financial support, annual plan(s) for R&D activities, external agency support and resources that can be tapped, etc.

In June of every year, the Research Chair convenes the School Research Council to set the School R&D Plan, giving impetus to global, national, local, and institutional mandates and thrusts. These are integrated in the Research Agenda, as well as the training needs of students in research to enhance their knowledge and skills.

In carrying out the School R&D Plan, foremost, the Research Chair: conducts a meeting with the Research Council (RC) to develop or enhance existing School R&D Plan; identifies current international, national, and local mandates and thrusts for

integration in the School R&D Plan; spells out key core themes, specific areas and topics by program clusters in the School Research Agenda (RA); lists down needed research capability enhancement activities to enrich students' research knowledge and skills; seeks approval from the RC of the School R&D Plan; and submits the finalized R&D Plan to the University Research Center in both hard and soft copies.

In monitoring the alignment of the topic proposals to the School Research Agenda, the Research Chairs and the Technical Panel of Evaluators: critic the topic proposals of research teams and their alignment to the School Research Agenda; suggest topic proposals that are aligned to the School Research Agenda; and monitor participation of the research teams in various R&D activities.

Some forms are needed to be accomplished to evidence the aforesaid activities. For example, **URC Form 06:** Form for Evaluating Alignment of Students' Research Title and Topic Proposal to the School Research Agenda is accomplished by the Research Chair to keep a record of individual research alignment, with the signatures of the Technical Panel of Evaluators.

At the end of the semester, the Research Chair accomplishes **URC-FO-07:** Summary List of Aligned Students' Research Titles and Topic Proposals to the School Research Agenda to consolidate the aligned topic proposals.

EOMS-URC-GL-006

Guidelines in Monitoring and Evaluating the Institutional R&D Plan

As soon as the finalized R&D Plan of the Schools (or colleges) are submitted by the Research Chairs to the URC, the Director consolidates and writes the Institutional R&D Plan emphasizing current international, national and local mandates and thrusts. This usually happens in July of every year; the University Research Center Director consolidates the School R&D Plans and sets a cohesive Institutional R&D Plan.

In addition, the URC Director: conducts a meeting with the Research and Community Development Council (RCDC) for deliberation of Research Agenda and activities; integrates comments and suggestions and presents again to the members of the RCDC; seeks approval of the Institutional R&D Plan from the RCDC Chair; presents to the Research Chairs and provides copies of the approved Institutional R&D Plan; and disseminates the approved Institutional R&D Plan to wider audiences (i.e. research orientation programs).

In monitoring and evaluating the R&D Plan, the Research Chairs and the URC Director: spearhead R&D activities in conformity to the prepared Institutional R&D Plan; monitor the carrying out of R&D activities based on schedules; assess the R&D

activities if accomplished or not; identify major contributing factors that led to the accomplishment of R&D activities; provide evidence to show the accomplished R&D activities; classify major hindering factors that contributed to the non-accomplishment of R&D activities; and identify area(s) for future improvement.

To evaluate the carrying out of the R&D activity, **URC-FO-08:** Evaluation Form for R&D Activity is used, where some individual and organizational profile are identified, as well as the individual rating for attainment of objectives, relevance of the activity, ability of the resource person in general, in presenting content and in answering questions and answers is computed. The participants also evaluate the venue or platform of communications used, time management and overall management of the activity using a scale namely: Excellent (5), Very Satisfactory (4), Satisfactory (3), Fair (2) and Needs Improvement (1).

The evaluation results are used to improve the conduct of similar research activity(ies) in the future and to plan for other equally important activities to hone the knowledge and skills of both faculty and students.

Meanwhile, **URC-FO-09:** Monitoring Report Form for Implemented R&D Activities (Semester-End and Annual) is accomplished by the research chair to underscore contributing factors that led to its implementation, as well as hindering factors that led to the non-implementation of target R&D activities.

EOMS-URC-GL-007

Guidelines in the Student Research Preparation, Evaluation and Consultation

With reference to the bound duties and responsibilities of the research instructors, adviser-promoters, and research chairs, the following guidelines and/or procedures are taken into utmost consideration:

1. The initial preparation, evaluation and consultation of student research outputs should always be made first at the level of the **research instructors or adviser-promoter**; for example, these stages necessitate the identification of a prospective adviser-promoter by filling up **URC-FO-010:** Student-Researchers' Letter of Intent for Prospective Adviser-Promoter and **URC-FO-011:** Adviser-Promoter Acceptance Form by student-research teams and **URC-FO-012:** Agreement on Promotership by the adviser-promoter indicating his/her acceptance of the duties and functions of a promoter.

2. When and if necessary, for further enrichment of the study, referral of student

outputs can be made to the research chair by the research instructors or adviser-promoter;

3. Referral should be made through writing by the research instructor or adviser-promoter. The referral letter should include the comments or suggestions by the research instructor or adviser with the revised output as an attachment. Otherwise, the output will be returned to the research instructor or adviser-promoter for the appropriate actions;

4. Upon referral, the students should make appointments so as not to disrupt the research chair's work by unscheduled visits; and

5. If further or succeeding referral(s) to the Research Center is/are necessary for the enrichment of the study, the research instructor, adviser-promoter, or research chair should put the request in writing with the comments and suggestions and attached revised output. Otherwise, the output will also be returned to the research instructor, adviser-promoter or research chair for the needed actions.

EOMS-URC-GL-008

Guidelines in Convening Panel Member(s) for Student Proposal / Oral Defense Presentation

In requesting for members of the technical panel of evaluators for student oral research presentations, the following guidelines are used:

1. The research team prepares and submits oral research presentation to the adviser-promoter for checking, as well as the protocol document (if it is a proposal) and/or full manuscript (if it is already an oral defense). The same can be submitted to the research instructor to ascertain the readiness of the manuscript;

2. The adviser-promoter and/or instructor evaluates the prepared and submitted oral research presentation and the manuscript in terms of form, content, and substance;

3. If the paper is approved for oral research presentation, the research instructor organizes details of the oral research presentation (i.e. date, place, time, members of the oral research presentation committee). Otherwise, the paper is returned to the candidate for the needed enrichment until it meets set standards for the oral

research presentation;

4. During the proposal stage, the research instructor selects the members of the Technical Panel of Evaluators according to expertise, exposure and experience.

5. During the proposal stage, the research instructor informs the research team to approach the prospective Technical Panel of Evaluators to seek for their approval to sit as panel members. Same panel is convened during oral defense; and

6. When approved, the Technical Panel of Evaluators are informed as regards the planned details of the oral research presentation and convenes at the pre-selected date, place, time and given copies of the manuscript.

URC-GL-09

Guidelines in Reviewing the Protocol Document

In reviewing the protocol document of student-researchers by the technical panel of evaluators, some guidelines are needed to make the parts of the manuscript complete, in place and to minimize comments and suggestions coming from the evaluators. In turn, these guidelines enhance the quality of the protocol document.

Both the research chair and technical panel of evaluators can use **URC-FO-013:** Checklist for Technical Review of the Protocol Document as guide in reviewing the protocol document to wit:

The Table needs to be supplied with information relating to: date of submission, school, date of defense, venue, title of study and name of researchers for easy checking and verification in the future. This makes tracking of proposal defense easier before the final (oral) defense.

Also, the group can check the following vital parts of the protocol document by reviewing the inclusion of the following:

1. Is the study background adequate?
2. Is there a statement on the significance of the study?

3. Are the research questions/objectives Specific, Measurable, Attainable, Realistic and Time-bound?
4. Are the research questions supported by literature review?
5. Is the research design appropriate?
6. Is the study population identified and defined?
7. Is the selection of study participants described?
8. Is the sample size justified?
9. Is there a corresponding procedure for each problem/objective statement?
10. Is the plan for data analysis described?
11. Are all the cited literatures listed in the references?
12. Are all listed references cited in chapter 1 and chapter 2?
13. Other Findings (List down other findings on the technical aspects and scientific merit of the proposal manuscript. Attach extra page if needed)
14. Prepared questions for the Panel Defense (List down questions to be asked to the researchers during their proposal defense. Attach extra page if needed)
15. Overall assessment of the research proposal (Specify recommendations for the research proposal moving forward.)

EOMS-URC-GL-010

Guidelines in Completing the Research Requirements

(Student Researches)

The completion of research requirements goes through a rigorous process. It starts with the writing of a protocol document where all the essential parts following the IMRAD format is completed prior to the proposal stage. The various research activities are reflected in the tabular diagram below with accompanying URC Forms that need to be accomplished:

Student-Researches			
Proposal		**Oral**	
Before	**After**	**Before**	**After**
Completion of Protocol Document (from Chapter I: Introduction to Appendices)	Integrating comments and suggestions (based on Technical Panel Review) (**URC-FO-020)**	Conducting Initial Plagiarism Test (**URC-FO-024)**	Integrating comments and suggestions (based on Technical Panel Review) (**URC-FO-020)**

Student-Researches			
Proposal		**Oral**	
Before	**After**	**Before**	**After**
Seeking Proposal Defense Recommendation (**URC-FO-015)**	Endorsing the Manuscript to UREB Review	Seeking for Oral Defense Recommendation **(URC-FO-015)**	Seeking for Qualitative Data Analysis Clearance (**URC-FO-025)**
Seeking consent of the Panel Members for the Proposal Defense **(URC-FO-016)**	Integrating comments and suggestions (based on UREB Review)	Seeking for consent of Panel Members for the Oral Defense **(URC-FO-016)**	Seeking for Quantitative Data Analysis Clearance **(URC-FO-026)**
Preparing for the Proposal Defense Proper	*Conducting pilot testing if needed to test reliability of the instrument (**URC-FO-014)**	Preparing for the Oral Defense Proper	Seeking for Plagiarism Clearance (**URC-FO-027)**
	When all data are gathered and subjected to data treatment, Quantitative or Qualitative Data Analyses are done. The following URC Forms are accomplished (**URC-FO-021, (URC-FO-022, URC-FO-023)**		Seeking for Language Editing Clearance **(URC-FO-028)**
			Getting Certificate/ Declaration of Originality (**URC-FO-029)**

Student-Researches			
Proposal		**Oral**	
Before	**After**	**Before**	**After**
			Doing Final Review (Technical Panel)
			Seeking Approval from the Technical Panel **(URC-FO-030)**
			Submitting Hard Copy and CDs

*** (URC-FO-017:** Research Evaluation Form (Proposal) for Basic, Pure and Applied)

*** (URC-FO-018:** Research Evaluation Form (Oral) for Basic, Pure and Applied)

* **URC-FO-019:** Research Evaluation Form for Developmental Studies (Engineering, Architecture, Information Technology)

Before the proposal stage, the guidelines specify completion of the protocol document, seeking a proposal defense recommendation, getting consent from panel members and preparing for the proposal defense.

After the proposal, the research team integrates the comments and suggestions of the technical panel. The manuscript goes review of the University Research Ethics Board, then integration of comments and suggestions shall ensue. If reliability testing is needed, the team goes for pilot testing of the instrument and then seeks for quantitative and qualitative analysis immediately when all needed data are gathered. Accompanying forms are needed to be accomplished.

Before the oral defense, initial plagiarism test is conducted, and the team seeks for oral defense recommendation and consent from panel members. Then they prepare for the oral defense proper.

After the oral defense, integration of comments and suggestions by the panel members is done by the team. When the manuscript is complete, the team seeks for qualitative and quantitative data clearance, including plagiarism clearance. The team also asks help from a language editor to edit and proofread the full manuscript then a certificate or declaration of originality is done. The last stage requires an approval of the manuscript

by the technical panel and submission of hard bind copies, including CDs to the ULRC and URC.

EOMS-URC-GL-011

Guidelines in Conducting Defenses (Proposal / Oral)

Defense

Understandably, the determination of whether a manuscript is ready for defense (whether during the proposal or oral) is within the sound discretion of the adviser-promoter. Once s/he sees that the manuscript is ready, s/he can recommend it for oral examination.

Note:

1) No research candidate should go through the defense without the presence of the adviser, research instructor, and the research chair;

2) Research manuscripts should be given to the panel at least four days before the oral defense schedule to give them ample time to thoroughly review the research paper;

3) In situations where a panel member cannot appear during the defense, s/he should submit a written review of the paper prior to the schedule of defense not after. Moreover, paper review will be allowed only when the said member could not really make it for reasons beyond her/his control;

4) Scheduling will be processed by the Research Instructor in coordination with adviser and RC subject to the availability and approval (not the whim) of the members of the panel. This will be prepared a week before all scheduled defenses so that the list can be forwarded to the RCs who in turn will give the copy to the Dean for endorsement on remunerations.

Defense Proper

On the day of the defense, the following should be observed:

a) It should proceed promptly as scheduled. Everyone concerned should be at the venue at least 30 minutes before the time;

b) Presentations should be by way of multimedia devices (i.e. LCD); a 10 to 15-minute grace period should be enough for setting up of equipment;

c) The duration of the defense exercise is one hour: 15 minutes presentation and 45 minutes interpellation, question, and answer;

d) No expensive snacks should be served. Should snacks be served, this should be limited only to one liquid and one solid, and only after the defense is concluded (i.e. after the grades were given). **If it can be helped, no defenses should take place at lunch time**;

e) The giving of tokens is strongly **discouraged** (this must be mentioned to the students even at the outset so they do not get ideas about bringing in expensive gifts. Nobody among the reviewers should insinuate that a paper can be signed only after researchers have given tokens or expensive snacks);

f) For a defense to proceed, there must be a quorum of five members to include the research chair, adviser-promoter, and three panel members; and

g) After the defense (proposal / oral), the following forms are accomplished and collated:
(a) **URC-FO-017:** Research Evaluation Form (Proposal) for Basic, Pure and Applied; and
(b) **URC-FO-018:** Research Evaluation Form (Oral) for Basic, Pure and Applied.

URC-GL-012

Guidelines in the Submission of Research Output of Students to the University Research Center and Library

A. CD Submission to the URC

1. Files should be placed in a CD-RW with Hard case and appropriate Cover Contents of the CD as follows:

- Full-paper or the Extended IMRAD Format (Chapters 1-4) including References and Appendices, Clearances;
- Preliminaries (Title Page, Acknowledgement, Dedication, Abstract, Table of Contents, Table of Figures, Maps (if applicable); and
- IMRAD (shortened version of the paper or the Publishable Format). To include Title, Proponent, Adviser, Abstract, Introduction, Methodology, Results and Discussions, Conclusion, Recommendation and References.

2. Submit the CD to the URC staff for safe keeping.

B. CD and Hard bind Submission to the ULRC

1. A hard copy of the full manuscript (hard bind) is submitted to the ULRC for future digitization; and
2. A CD is also submitted, contents of which also follow those submitted to the URC.

EOMS-URC-GL-013

Guidelines in Selecting the *Likha* Awardees

As a noun, ***Likha*** (Fil.) in its broad sense is either a process or the product of a process. As a process, it means the act (a) of making or producing; (b) creating or being created; (c) inventing or being invented; and (d) making, producing, or manufacturing. As a product, it means: (a) a creation, like a man who is a product of God's creation; and (b) invention, as in the case of new knowledge and new technology. (Sources: *Panganiban's Diksiyunaryo-Tesauro Pilipino-Ingles* (1972) and *Vicassan's Pilipino-English Dictionary* (1978).

Also referred to as ***Creativity*** (one of the four pillars of Marian education, the others being Competence, Commitment, and Christian Discipleship), the process of *Paglikha* (vb.) involves the application of higher forms of cognitive, affective, and psychomotor competencies.

Research - a studious inquiry or examination, a critical and exhaustive investigation aimed at the discovery of new facts and knowledge and their correct interpretation, the revision of accepted conclusions, theories or laws, in the light of newly discovered facts, or the practical application of such new or revised conclusions, theories, or laws (*Webster's Third New International Dictionary of the English Language,* 1976) - is one of the high level manifestations of creativity.

First Stage: The selection of Likha Awardees is done at the school level during the research dissemination fora organized for such purposes. The researchers present and defend their studies before a before a panel of examiners (not less than 3, and excluding the adviser) who evaluate and give their individual ratings using the criteria set for the particular type of research (such as: descriptive survey, experimental, anthropological, historical researches, literary and philosophical studies, feasibility studies, Information Technology-Systems Analysis and Design (with Software and Hardware Development), and teaching portfolios. The average grade of each research is computed. Only researches that receive an average grade of **90 and above are recommended for the second stage.**

To accomplish the above guideline in the First Stage/Level, the Research Chairs consolidate all researches that obtained a grade of 90 and above per program cluster then present the list of nominees for the *Likha A*ward to the Research Council. They also facilitate the deliberation on the top-three best theses per program; submit the filled-up form of top-three best theses per program to the URC accompanied by an Endorsement Letter duly signed by the Academic Dean; and provide soft and hard copies of top-three best theses for deliberation at the URC level. The Research Chairs accomplish **URC-FO-032:** Evaluation Form for *LIKHA* Nominations for Level 1 (Research Council).

Second Stage. The respective school deans and research chairs endorse the nominated researches (**together with the final and bound copies of the research outputs**) to the Research Center Director for the second stage of evaluation by the Research Center Evaluation Committee (Director and University Statistician). Using the same criteria that (with additional criteria as it may deem necessary to determine the best research), the Committee members individually evaluate the nominated researches after which they come together to deliberate on the "best' research in a particular field or category (for example: Educational Planning, Microbiology, Electrical Engineering, Architecture, Literary Criticism, Instructional Technology, etc.). As a rule, only the best research in a distinct category is recommended for Likha Award.

To accomplish the foregoing guideline in the second stage, the URC Director receives the filled-up form of top-three best theses (*Likha* nominations) per program cluster; deliberates with the Statistician on the best thesis (Top One) per program cluster based on the criteria set for selecting *Likha* awardees; and prepares the final list of *Likha* Awardees per program cluster for presentation and approval by the Committee on Graduation and Awards (**URC-FO-033:** Evaluation Form for LIKHA Nomination (Level 2: URC List of Top-Three Nominations).

Third Stage (Final). The results of the second stage evaluation and the recommendations of the Research Center Evaluation Committee are presented by the Research Center Director to

the Committee on Graduation Awards for deliberation during which the best research for each category is deliberated and decided upon. The approved best researches are given *Likha Awards* during the graduation ceremonies (**URC-FO-034:** Summary List of LIKHA Awardees).

EOMS-URC-GL-014

Guidelines in Reporting the External Research Dissemination Activities of Students

The following guidelines are used in reporting the external research dissemination activities of students:

Any time during the year (after and/or before the oral presentation), the adviser-promoter can lead his or her team in disseminating research findings in any external research forum. This is to enrich further the quality of the research by subjecting it to

the scrutiny of forum participants. The URC also extends invitations to the research teams whenever research dissemination invites are available.

After the forum, the adviser-promoter asks the research chair for a copy of **URC-FO-036:** Form on Individual Report of External Research Dissemination (throughout the year) and accomplishes said report form and submits it to the research chair for safe keeping and monitoring of external research dissemination activities of students, especially those with awards like "best paper" and "best presenter."

The research chair consolidates all individual report form. At the end of the semester, the research chair accomplishes **URC-FO-037**: Summary List of External Research Dissemination Activity Participated in by Students (Semester-end) for submission to the University Research Center. Those with awards are highlighted and given recognition during the *AGAPE* (since the adviser-promoter is now a co-author of said paper) and also given research points for those who garnered awards in national and international research dissemination fora.

EOMS-URC-GL-015

Guidelines in Selecting Researches to be Published in the In-House Journal and Research Abstracts

As the volume of the outputs of the Research Center increases, there is a need to disseminate them to proper audiences, through publication, for information, reference and utilization. It is therefore the function of the URC to publish all the research outputs of the university.

To serve as guidelines, the URC shall, in coordination with the research chairs: organize needed publication seminar-workshops and/or trainings; identify and invite possible lecturer(s) who have excellent track record in publication; prepare a program to guide the seminar-workshop and trainings; present the plan to the RCDC for approval; and inform research teams about the activity once the program is approved.

Thereafter, the URC staff and research chairs shall: facilitate the conduct of the publication seminar-workshop or training; publish in the In-House Journals all researches that met the grade of 90 and above in a regular cycle (two consecutive terms); undertake reformatting, editing and proofreading of the IMRAD manuscripts; submit to the Publishing and Digital Printing Office all edited IMRAD manuscripts for final reformatting and distribute copies to students.

EOMS-URC-GL-016

Guidelines in Reporting the External Publications of Student Researches

To instill among students the value of generating new knowledge and information in the discipline, sustained connection to scholars in the field is

emphasized by encouraging them to publish their research works in external reputable and refereed journals.

In coordination with the research chairs, the URC shall: inform adviser – promoters and research teams of received external invitations from agencies and/or academes for training participation in publication; encourage adviser-promoters and research teams to publish their research works in reputable, refereed journals; and consolidate all external publications for ready reference at the URC.

In reporting the external publication of student researches, the research chairs shall provide the adviser-promoter with a copy of **URC-FO-038:** Form on Individual Report of External Publications of Student Researches (throughout the year). Thereafter, the filled-up form is submitted to the research chair.

To consolidate everything, the research chairs shall accomplish **URC-FO-039:** Summary List of External Publications of Student Research Teams (Semester-end) for safe keeping, monitoring and as basis or evidence in giving research points to adviser-promoters.

EOMS-URC-GL-018

Guidelines in Reporting Students' Achievement in Research

To promote excellence and innovation in research among students, they are encouraged not only to produce researches with demonstrable international, national and local significance. But through research dissemination, publication and utilization of said research findings.

The adviser-promoter is enthused to lead his/her research team to capture the essence of the research results for possible uptake by needy target communities and sectors. He/she is also encouraged to look for possible external dissemination and publication outfits to widen the base of knowledge sharing and knowledge capture.

In reporting the students' achievement in research to give appropriate institutional distinction, **URC-FO-042:** Form for Individual Report of Students' Achievement in Research (Throughout the Year) shall be provided by the research chair and to be filled up by the Adviser Promoter. The latter shall submit the filled-up form to the research chair.

Meanwhile, **URC-FO-043:** Summary List of Students' Achievement in Research (Semester-End) shall be filled-up by the research chair to summarize the list of students' achievements in research for submission to the University Research Center to extend proper tribute or honor for students and assignation of points for adviser-promoter.

3. Work Instructions for Student Researches

1. On Research Production

(EOMS-URC-WI-001)

A. On Research Production

Title	**Work Instructions on Setting the School R&D Plan**
Scope	This procedure applies to research coordinators who collaborate with their respective research councils to develop or enhance the existing School R&D Plan, which will form the basis of the Institutional R&D Plan.
Person/s Responsible	Research Coordinators
Instructions	

1. Convene with the Research Council (RC) to develop or enhance the existing School R&D Plan;
2. Integrate current international, national, and local mandates and thrusts into the School R&D Plan;
3. Specify key core themes, specific areas, and topics by program clusters in the School Research Agenda (RA);
4. Outline needed research capability enhancement activities to enrich students' research knowledge and skills;
5. Obtain approval from the RC for the School R&D Plan; and
6. Submit the finalized R&D Plan to the University Research Center in both hard and soft copies.

(URC-WI-002)

Title	**Work Instructions on Setting the Institutional R&D Plan**

Scope	This procedure applies to the URC Director who consolidates, writes, presents and disseminates the approved Institutional R&D Plan
Person/s Responsible	URC Director
Instructions	

1. Receives School R&D Plans from research coordinators;
2. Drafts Institutional R&D Plan, emphasizing current international, national, and local mandates and thrusts;
3. Participates in a meeting with the Research and Community Development Council (RCDC) and share the revised Research Agenda and activities;
4. Integrates comments and suggestions, then present the revised plan to the RCDC members'
5. Obtains approval of the Institutional R&D Plan from the RCDC Chair.
6. Provide copies of the approved plan to Research Coordinators; and
7. Share the approved Institutional R&D Plan with wider audiences through orientation and other means.

(EOMS-URC-WI-003)

Title	**Work Instructions on Monitoring and Evaluating the Implementation of the R&D Plan (A)**
Scope	This procedure applies to the members of the technical panel of evaluators whose one of the major tasks is to check the alignment of the proposal to the research agenda of the school.
Person/s Responsible	Members of the Technical Panel
Instructions	

1. Ensure that topic proposals are aligned with the School Research Agenda;
2. Help improve the topic proposals to align them with the School Research Agenda; and
3. Help motivate the research teams to participate in various R&D activities.

(EOMS-URC-WI-004)

Title	**Work Instructions on Monitoring and Evaluating the Implementation of the R&D Plan (B)**
Scope	This procedure applies to research coordinators and URC director to make sure that the R&D Plan is monitored and evaluated as to its implementation at the end of each semester
Person/s Responsible	Research Coordinators
Instructions	

1. Lead R&D activities in alignment with the prepared Institutional R&D Plan;
2. Track the execution of R&D activities according to schedules;
3. Evaluate whether R&D activities have been completed;
4. Determine major factors that led to the successful accomplishment of R&D activities;
5. Present evidence showcasing completed R&D activities;
6. Identify significant factors that hindered the completion of R&D activities; and
7. Highlight areas for future improvement.

(EOMS-URC-WI-005)

Title	**Work Instructions on Monitoring the Requirements of the Research Course**
Scope	This procedure applies to Research Instructors who monitor students' submission of requirements for Research 1 and 2 Courses.
Person/s Responsible	Research Instructors
Instructions	

1. Share detailed guidelines outlining the general requirements and expectations for both Research 1 and Research 2 courses. This includes timelines, deliverables, and evaluation criteria;
2. Hold an orientation session at the beginning of each course to ensure all team members understand the requirements and objectives;
3. Develop and distribute a calendar of important activities and deadlines, such as proposal submissions, data collection phases, and defense dates;
4. Send regular updates and reminders about upcoming activities and milestones through email, bulletin boards, or digital platforms to keep teams informed and on track;
5. Provide a breakdown of the grading criteria, specifying how each component of the research process (e.g., proposal, data collection, final manuscript, oral defense) contributes to the overall grade;
6. Offer regular feedback and progress reports to research teams, highlighting areas of strength and opportunities for improvement. This helps teams understand how their efforts translate into grades and allows them to make necessary adjustments; and
7. Conduct Q&A sessions to address any questions or concerns research teams may have about grading and other requirements.

(EOMS-URC-WI-006)

Title	Work Instructions on Facilitating the Research Process (A)
Scope	This procedure applies to Research Instructors who guide students through the research process, from enrollment in Research 1 Course to the submission of final requirements in the Research 2 Course.
Person/s Responsible	Research Instructors
Instructions	

1. Announce the roster of officially enrolled students in the research course;
2. Hold an orientation on the Research Agenda, itinerary, and writing guide and format;
3. Provide lectures on the mechanics of writing and conducting research;
4. Group students into research teams or pairs;
5. Oversee research teams as they write their topic proposals;
6. Encourage students to choose and seek approval from their prospective adviser-promoter;
7. Receive and review the readiness of manuscripts;
8. Choose the technical panel of evaluators based on expertise, exposure, and experience;
9. Assemble the Technical Panel of Evaluators for proposal and oral defenses;
10. Conduct the defenses and record the minutes; and
11. Provide the minutes to research teams within three days after the defenses.

(EOMS-URC-WI-007)

Title	Work Instructions on Facilitating the Research Process (B)
Scope	This procedure applies to the research coordinators from conduct of orientation programs to submission of final requirements in Research 1 and 2 courses.
Person/s Responsible	Research Coordinators
Instructions	

1. Hold an orientation on the Research Agenda, itinerary, writing guide, and format;
2. Provide Research Writing Manuals and Research Itinerary to participants;
3. Arrange capability trainings and seminar-workshops for students;
4. Oversee research teams as they develop their topic proposals;
5. Review papers and provide necessary suggestions and corrections;
6. Endorse manuscripts with the promoter to the instructor for review;
7. Direct research teams to obtain preliminary clearances;
8. Review plagiarism results to ensure originality during proposal and oral defenses;
9. Instruct research teams to seek UREB review post-proposal defense;
10. Ensure UREB suggestions are integrated into the protocol document;
11. Advise research teams on data analysis and interpretation;
12. Track the progress of research teams in consolidating the full paper;
13. Arrange honoraria for the Adviser-promoters, Technical Panel of Evaluators, analysts, and editors;
14. Verify the submission of required full manuscripts, IMRAD format papers, and CDs;

15. Provide the URC with a list of orally defended proposals and full papers' and Act as a liaison with the Technology Transfer and Business Development Office to identify potential patenting opportunities for utility models, designs, products, and materials for copyright.

(EOMS-URC-WI-008)

Title	**Work Instructions on Facilitating the Research Process (C)**
Scope	This procedure applies to adviser promoters, who play a crucial role in guiding and supporting research teams throughout the research process. Their responsibilities encompass a wide range of tasks, from the initial conceptualization of research problems to the final editing and proofreading of the manuscript.
Person/s Responsible	Adviser Promoters
Instructions	

1. Help the research team conceptualize and develop a research problem based on the Research Agenda, and monitor its progress;
2. Offer initial inputs on appropriate research design and techniques, and assist the team in crafting or adapting suitable tools;
3. Assist the research team in preparing for defenses and tutor them on effective presentation skills;
4. Ensure the integration of suggestions made by the technical panel and guide the team in enhancing the manuscript;
5. Advise the research team on the ethical review process and assist in integrating the feedback;
6. Recommend effective methods and techniques for data collection'
7. Hold blended mentoring sessions with advisees from conceptualization to submission;
8. Respond to inquiries from the research team for further manuscript development;
9. Oversee the performance of the research team from writing to conducting the research;
10. Assist the research teams in presenting, analyzing, and interpreting data; and
11. Perform initial editing and proofreading from the proposal stage to the final paper.

(EOMS-URC-WI-009)

Title	Work Instructions on Facilitating the Research Process (D)
Scope	This procedure applies to the members of the technical panel of evaluators from acceptance of protocol documents up to signing of the Approval Sheet (Research 1 and 2 Courses)
Person/s Responsible	Technical Panel of Evaluators
Instructions	

1. Accept the manuscript for review;
2. Critique the manuscript for its completeness and readiness for defense;
3. Share and present individual comments and suggestions;
4. Follow the established guidelines during defenses;
5. Verify the incorporation of suggestions in the manuscript during the defenses;
6. Ensure the UREB suggestions have been integrated (refer to UREB SOPs and WIs);
7. Review a printed full paper before it is reproduced for binding; and
8. Affix signatures on the Approval Sheets.

(EOMS-URC-WI-010)

Title	Work Instructions on Facilitating the Research Process (E)
Scope	This procedure applies to student research teams under the guidance of their promoters from grouping to submission of required outputs.
Person/s Responsible	Student Research Teams
Instructions	

1. Group into research teams, pairs, or work individually under the supervision of research instructors;
2. Write the topic proposal with guidance from the adviser-promoter;
3. Report regularly to the adviser-promoter to ensure manuscript development;
4. Complete research tasks as assigned by the adviser-promoter;
5. Adhere to technical writing standards;
6. Present the proposal paper in Research 1 and defend the final thesis in Research 2 with adviser-promoter guidance;
7. Incorporate comments from the technical panel and UREB reviewers;
8. Collect data and perform initial data coding in Excel with the adviser's assistance;
9. Write the full manuscript;
10. Present research results at a forum; and
11. Submit the required outputs, including the bound manuscript, IMRAD publishable format, and CDs.

(EOMS-URC-WI-011)

Title	**Work Instructions on Selecting the Likha Nominations (First Level)**
Scope	This procedure applies to all research coordinators, who will spearhead nominations of Likha Awardees in their respective research councils.
Person/s Responsible	Research Coordinators
Instructions	

1. Gather all researches that obtained a grade of 90 and above per program cluster;
2. Submit the list of nominees for the Likha Award to the Research Council;
3. Oversee the deliberation on the top three best theses per program;
4. Submit the completed forms of the top three best theses per program to the URC, accompanied by an Endorsement Letter duly signed by the Academic Dean; and
5. Supply both soft and hard copies of the top three best theses for deliberation at the URC level.

(EOMS-URC-WI-012)

Title	**Work Instructions on Selecting the Likha Nominations (Second Level)**
Scope	This procedure applies to the URC Director who directs the second level evaluation of the Likha nominees, together with the Research Center Statistician.
Person/s Responsible	URC Director
Instructions	

1. Collects the filled-up forms of the top three best theses (Likha nominations) per program cluster;
2. Collaborates with the Statistician to select the best thesis (Top One) per program cluster based on the established criteria for Likha awardees;
3. Compiles the final list of Likha Awardees per program cluster for presentation and approval by the Committee on Graduation and Awards;
4. Submits the approved Likha Awardees to the Registrar for inclusion in the Graduation Program; and
5. Checks the Certificates of Recognition for the conferring of the Likha Award.

(EOMS-URC-WI-013)

Title	Work Instructions on Selecting the Final Likha Awardees
Scope	This procedure applies to the members of the Committee on Grants and Awards in selecting the LIKHA Awardees to be announced during Graduation Ceremonies
Person/s Responsible	Members of the Committee on Grants and Awards
Instructions	

1. Deliberate on the results of the second level nominations for Likha Award;
2. Decide on the final list of Likha Awardees; and
3. Approve the final list of Likha Awardees by affixing their signatures

2. On Research Dissemination

(EOMS-URC-WI-014)

Title	Work Instructions on Research Dissemination
Scope	This procedure applies to all research coordinators of the various research councils, as well as the URC staff for the preparation of logistical requirements needed for research dissemination activities that usually culminate during the celebration of the Linggo ng Likha at Lingkod celebrated every last week of April for every academic year.
Person/s Responsible	URC Staff and Research Coordinators
Instructions	

1. Brainstorm on the institution-based research dissemination forum usually scheduled during the celebration of the *Linggo ng Likha at Lingkod* (LLL);
2. Prepare the tentative program after conceptualizing the important parts of the research dissemination forum;
3. Identify presenters per discipline and monitor research teams' preparation of presentations such as contents and relevant parts;
4. Identify external evaluators or reactors for further improvement of the manuscript;
5. Invite representatives from governmental organizations, associations, sectors or communities for possible research uptake;
6. Finalize the program for the Celebration of the LLL;
7. Prepare logistics like venue, list of presenters, multimedia presentations, and others;
8. Conduct the research dissemination forum;
9. Evaluate the overall conduct of the activity at the end of each forum and use the evaluation results as bases for the improvement of the activities in the future;
10. Identify appropriate schools and colleges to participate in external invitations received from academes and agencies based on the nature of the invites received.

11. Consolidate the List of Presenters at the end of the semester;
12. Report and recognize awards garnered in regional, national, and international research dissemination such as "best paper" and "best presenter"; and
13. Report the aforementioned List of Awardees to the RCDC.

3. On Research Publication

(EOMS-URC-WI-015)

Title	**Work Instructions on Research Publication**
Scope	This procedure applies to URC Staff and Research Coordinators for organizing a training workshop on publication, preparing in-house journals, and consolidating external publications annually. The process typically begins during the midyear term and extends through the first semester.
Person/s Responsible	URC Staff and Research Coordinators
Instructions	

1. Plan and organize necessary publication seminar-workshops or training sessions.
2. Select and invite lecturers with a proven track record in publication.
3. Develop a detailed program to guide the seminar-workshops and training sessions.
4. Present the plan to the RCDC for approval.
5. Notify research teams about the approved activity. Instruct them to prepare their studies in IMRAD format for revisions during the workshop.
6. Facilitate the publication seminar-workshop or training.
7. Publish research that scores 90 and above in the In-House Journals during the regular cycle (two consecutive terms).
8. Reformat, edit, and proofread the IMRAD manuscripts.
9. Submit all edited IMRAD manuscripts to the Publishing and Digital Printing Office for final formatting (Refer to SOPs and WIs of the Publishing and Digital Printing Office).
10. Distribute copies to students.
11. Notify adviser-promoters and research teams of external invitations for training participation from agencies and academic institutions.
12. Motivate adviser-promoters and research teams to publish their research in reputable, refereed journals.
13. Compile all external publications for easy reference at the URC.

4. Forms for Student Researches

EOMS-URC-FO-005

SCHEDULES OF RELEASE OF FACULTY RESEARCH REMUNERATION ON TOP OF THE BASIC 24-UNIT LOAD (MECHANISMS B, C & D)

Research Year (School Year): _____
Title of Research:
_____
Lead Researcher: _____
Collaborators: _____
Sponsoring School: _____
Mechanism: __ B __ C __ D

Mechanism B:

Tranche	Requirements	Amount
30 %	Approved full-blown research proposal (IMRAD)	
10%	Raw Data, transcription	
15%	First draft of research output	
20%	Presentation in forum	
25%	Final output	

Mechanism C:

Tranche	Requirements	Amount
50%	Presentation before a panel to determine number of units to be assigned	
50%	Final output in soft and hard copies	

Mechanism D:

Tranche	Requirements	Amount
First four months of remuneration	Chapters 1-2 and data gathering tool(s)	
Fifth month of remuneration	Raw data, transcription	
Second tranche (2.5. mos.)	Presentation before a panel	
Last Tranche (2.5 months)	Final output in soft and hard copies	

EOMS-URC-FO-006

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

FORM FOR EVALUATING ALIGNMENT OF STUDENTS' RESEARCH TITLE AND TOPIC PROPOSAL TO THE SCHOOL RESEARCH AGENDA
(Research Team / Per Student-Researcher)

Date of Title / Topic Defense: _____
Proponent(s):
_____
_____
_____
School (College): _____
Department: _____
Name of Adviser/Promoter: _____

Research Title	Alignment to the School Research Agenda		Remarks (Comments / Suggestions)
	Aligned	Not Aligned	

*Write the Title of the Investigation, and check and justify alignment to the School Research Agenda
(To be accomplished by the Research Coordinator)

Technical Panel of Evaluators:

_____ _____ _____
(Signature over Printed Name) (Signature over Printed Name) (Signature over Printed Name)
Content Specialist 1 Content Specialist 2 Content Specialist 3

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-007

SUMMARY LIST OF ALIGNED STUDENTS' RESEARCH TITLES / TOPIC PROPOSALS TO THE SCHOOL RESEARCH AGENDA (Semester-End)

School Year: _____

Semester: ___ First ___ Second ___ Midterm

School (College): _____

Department: _____

Proponent(s)	Research Titles	Remarks

(To be accomplished by the Research Coordinator, use additional sheet(s) if necessary)

_____

Research Coordinator

(Signature over Printed Name)

Date Submitted: _____

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

EOMS-URC-FO-008

EVALUATION FORM FOR R&D ACTIVITY CONDUCTED

Part I. Personal and Organizational Profile

Complete Name of Participant: _____

School/College/Department: _____

Email Address: _____

Title of R&D Activity:

_____
_____

Date: _____ **Venue:** _____

Sponsoring Unit: _____

Part II: R&D Activity Conducted: Direction. Use the following scale in evaluating the R&D Activity:

Excellent (5), Very Satisfactory (4), Satisfactory (3), Fair (2) and Needs Improvement (1).

Items	1	2	3	4	5
Attainment of Objectives					
Relevance of the Activity					
Ability of the Resource Person / Speaker in General					
Ability of the Resource Person / Speaker in presenting content					
Ability of the Resource Person / Speaker in answering questions and answers					
Venue / Platform					
Time Management					
Overall Management of the Activity					

III. Comments and Suggestions:

1. Which of the topics/activities do you think is the most important to you?
   _____
2. Which of the topics/activities do you think is the least important to you?
   _____
3. Suggestions:
   _____

*To be submitted by participants after the activity

EOMS-URC-FO-009

MONITORING REPORT FORM FOR RESEARCH AND DEVELOPMENT (R&D) ACTIVITIES (SEMESTER-END /ANNUAL)

School: _____

Department: _____

R&D Activity Title	Date	Accomplish-ment Status		Major Contributing Factors	Major Hindering Factors	Areas for Improvement	Evidence
		A	NA				

A – Accomplished; NA – Not Accomplished

(To be accomplished by the Research Coordinator)

_____

Research Coordinator

(Signature over Printed Name)

Date Submitted: _____

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

EOMS-URC-FO-010

STUDENT-RESEARCHERS' LETTER OF INTENT

FOR PROSPECTIVE ADVISER-PROMOTER

Date _____

Mr./Ms./ Mrs./Dr. _____

Designation i.e., Dean, Head of Office

School of _____

Dear Sir / Madam:

We, the undersigned, wish to avail of the services of Mr./ Ms./Mrs./ Dr. _____ as adviser to our research paper entitled _____
_____.

We promise to work closely with our adviser-promoter in the accomplishment of our project and to comply with the deadlines set by him / her, as well as make ourselves available for consultation to facilitate the research process.

Proponents (Names and Signatures):

_____

_____

_____

_____

_____

Recommending Approval:

_____

Research Instructor

(Signature over Printed Name)

EOMS-URC-FO-011

ADVISER-PROMOTER ACCEPTANCE FORM

Date: _____

○ I hereby accept the proponent/s:

1. _____
2. _____
3. _____
4. _____
5. _____

as research advisee/s for the study,

_____
_____

(Title of Study)

for the School Year _____.

I promise to abide by my duties and responsibilities and ascertain that my advisees finish their research output on schedule and according to the rules set by the University Research and Community Development Council.

Conforme:

_____
Printed Name and Signature of Prospective Adviser-promoter

○ I cannot accept the above thesis advisership due to the following reasons:

_____

_____

_____

_____
Adviser-promoter
(Signature over Printed Name)

EOMS-URC-FO-012

AGREEMENT ON PROMOTERSHIP

Date: _____

This agreement is made between:

_____

(Name of Adviser-Promoter /Signature over Printed Name)

As the promoter, I agree to dispense the duties and responsibilities as indicated:

1. Aid the research team conceptualize and develop a research problem based on Research Agenda and check its progress;
2. Write initial inputs on appropriate research design and techniques and assist the team to craft or adapt appropriate tool(s);
3. Assist the research team in preparing for the defenses and tutor them on how to make good in their presentations;
4. Check the integration of suggestions made by the technical panel and guide the research teams in the enrichment of the manuscript;
5. Advise the research team for the ethical review of the proposal manuscript and direct them in the integration of comments;
6. Suggest helpful methods and/or techniques in the collection of data;
7. Conduct blended mentoring sessions with advisees from conceptualization to submission;
8. Attend to the inquiries of the research team for further development of the manuscript;
9. Monitor the performance of the research team from the write-up to the conduct of the research;
10. Aid the research teams in presenting, analyzing and interpreting data; and
11. Make initial editing and proofreading works from proposal to full paper.

and

(name of student/s – affix signature)	(name of student/s – affix signature)
(name of student/s – affix signature)	(name of student/s – affix signature)
(name of student/s – affix signature)	(name of student/s – affix signature)

As researchers, we agree to conduct the research project under the supervision of our adviser-promoter; and expected to:

a) Write the topic proposal under the supervision of our adviser-promoter;
b) Report to our adviser-promoter on a regular basis to guarantee development of the manuscript;
c) Perform research tasks assigned by our adviser-promoter;
d) Follow the technical writing aspects of the paper;
e) Present proposal paper (during Research 1) and defend the final thesis (in Research 2) through the guidance of our adviser-promoter;
f) Integrate comments and suggestions made by the technical panel of evaluators and by the UREB reviewers;
g) Do data gathering and initial coding of data in excel format through the assistance of our adviser-promoter;
h) Write the full manuscript;
i) Disseminate research results in a forum; and
j) Submit required outputs (Bound full manuscript, IMRAD publishable format & CDs).

We do hereby abide and affix our signatures with the above-mentioned duties and responsibilities for the success of this research endeavor.

EOMS-URC-FO-013

Checklist for Technical Review of the Protocol Document

Instruction to Research Coordinator: *Accomplish the reference section and together with the copy of the research proposal, send the checklist to the assigned panelists at least three working days before the scheduled defense.*

I. REFERENCE SECTION (*To be filled by Research Coordinator*)	
1. Date of submission:	
2. School:	
3. Date of Panel Defense:	
4. Venue of Panel Defense:	
5. Title of Study	
6. Name/s of Researcher/s	

Instruction to Panelist: *Accomplish ALL the items b elow including the comment sections. If Unable to Assess, provide a brief explanatory statement. Do not ask questions in your comments. Your comments are your findings, which are reflected in declarative sentences. Forward accomplished checklist to the Research Coordinator at least one day before the scheduled defense.*

II. PANELIST INFORMATION (*To be filled by the Panelist*)	
1. Name of Panelist:	
2. Date Received:	
3. Contact Details:	

III. REVIEW CHECKLIST (*To be filled by the Panelist*)
1. Is the study background adequate? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Assess the rationale/Introduction if it is sufficient to establish the research problems.)*
2. Is there a statement on the significance of the study? ☐ Unable to Assess ☐ Yes ☐ No

Comment: *(Indicate the page/s where this can be found and assess the adequacy of the statement.)*
3. Are the research questions/objectives Specific, Measurable, Attainable, Realistic and Time-bound? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Assess the phrasing of the research questions/objectives if SMART.)*
4. Are the research questions supported by literature review? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Indicate the cited literature/s that support each problem/objective statement.)*
5. Is the research design appropriate? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Identify the proposed design and determine if it is coherent with the proposed research problems/objectives.)*
6. Is the study population identified and defined? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Ascertain that the study population is correctly identified and adequately described.)*
7. Is the selection of study participants described? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Ascertain if there is a procedure in recruitment/enrollment of research participants.)*
8. Is the sample size justified? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Ascertain if the proposed sample size is acceptable and the procedure for computation of sample size is correct.)*
9. Is there a corresponding procedure for each problem/objective statement? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Ascertain that the data gathering procedure are correct and complete, all the problem/objective statements are addressed.)*

10. Is the plan for data analysis described? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Ascertain that statistical tool to be used for treatment of data are correctly identified, as well as method of analysis for non-statistical data are properly described.)*
11. Are all the cited literatures listed in the references? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(List down cited literatures that are not listed in the reference.)*
12. Are all listed references cited in chapter 1 and chapter 2? ☐ Unable to Assess ☐ Yes ☐ No Comment: *(Identify the listed references that are not cited in the proposal manuscript.)*
13. Other Findings *(List down other findings on the technical aspects and scientific merit of the proposal manuscript. Attach extra page if needed.)*
14. Prepared questions for the Panel Defense. *(List down questions to be asked to the researchers during their proposal defense. Attach extra page if needed.*
15. Overall assessment of the research proposal. *(Specify recommendations for the research proposal moving forward.)*

_____ _____
Signature of Panelist Date

EOMS-URC-FO-014

RELIABILITY CLEARANCE

Research Proponents:

_____

_____

_____

_____

_____

Adviser-Promoter:

_____

Program:

_____

Title:

_____

This is to certify that the tool has undergone reliability analysis at the University Research Center of Saint Mary's University and by a duly accredited Quantitative Data Analyst.

_____ _____

Data Analyst ***Date***

EOMS-URC-FO-015

ORAL DEFENSE RECOMMENDATION SHEET

This research hereto entitled

_____

_____

{*Title of the research project*}

Prepared and submitted by {*names of researcher/s / proponent/s*} in partial fulfillment of the course requirements in Research ___,

is recommended for ___ proposal ___ final defense

_____

on {date} at {time*}* and at {venue}.

_____
{*Printed Name and Signature of Adviser-Promoter*}

_____
{*Printed Name and Signature of Instructor / Professor*}

_____
{*Printed Name and Signature of Research Coordinator*}

EOMS-URC-FO-016

CONSENT OF THE TECHNICAL PANEL OF EVALUATORS FOR THE DEFENSE

We, the Technical Panel of Evaluators namely:

_____ _____

(printed name and signature) *(printed name and signature)*

_____ _____

(printed name and signature) *(printed name and signature)*

are in consensus that the research entitled: _____
_____

is complete and ready for: ___ proposal ___ oral defense on: _____ (specify date and time), at _____ (specify venue / platform).

Noted:

_____
{*Printed Name and Signature of Adviser-Promoter*}

_____
{*Printed Name and Signature of Instructor / Professor*}

_____
{*Printed Name and Signature of Research Coordinator*}

EOMS-URC-FO-017

RESEARCH EVALUATION FORM FOR PROPOSAL DEFENSE

(Basic, Pure and Applied Research)

To be filled out by the Research Team

Name of Proponent(s):	1. 2. 3. 4. 5.		
Course and Year:			
Research Title:			
Adviser - Promoter:			
Date and Time:		Venue:	

CRITERIA	10	9	8	7	6
I. ORIGINALITY (20)					
1. The research topic is relatively new, **testable** and/or has not been studied before					
2. **The research topic** offers relatively complex **and/or** creative approach with **similar or better methods.**					
II. RELEVANCE (30)					
1. The research topic expands the frontier of knowledge in the field studied.					
2. The possible research results have practical usefulness and applicability (*e.g. provide solutions for existing problems and difficulties in the **general population**, improve quality of life; provide basis for **decision-and-policy-making**)*					
3. The research topic provides cogent evidences to support position clearly and appropriately based on literature and studies.					

CRITERIA	10	9	8	7	6
III. QUALITY (20)					
A. Scientific and Technical Merits					
1. The research problem and hypotheses are properly stated; and terms are **operationally** defined.					

CRITERIA	10	9	8	7	6
2. The research **methodology** (**design**, sampling, **instrument/s, procedures, statistical analyses**) is appropriate.					
B. Form and Style (10)					
1. The research **proposal manuscript is well written observing** proper form and style (**format, in-text citation**, presentation of tables **and/or** figures, references, etc.)					
IV. PUBLIC PRESENTATION (20)					
1. The researcher or group demonstrates mastery of the **research proposal** and ability to present it systematically, clearly and comprehensively.					
2. The researcher or group demonstrates ability to comprehend and answer questions from the panel members.					

COMMENTS and SUGGESTIONS:

1.
2.
3.

_____
Signature over Printed Name of the Evaluator

Date: _____

EOMS-URC-FO-018

RESEARCH EVALUATION FORM FOR ORAL DEFENSE

Name of Proponent(s):	1. 2. 3. 4. 5.		
Course and Year:			
Research Title:			
Adviser - Promoter:			
Date and Time:		Venue:	

CRITERIA		Points
I. ORIGINALITY (20 pts.)		
1. The topic is relatively new and/or has not been studied before.	10	
2. It offers a relatively complex and creative approach to the topic.	10	
II. RELEVANCE (20 pts.)		
1. It expands the frontier of knowledge in the field studied.	10	
2. It has practical usefulness and applicability, e.g., it provides solutions for existing problems and difficulties in the school, community and society; it improves quality of life; it provides basis for making decisions, policies and actions.	10	
III. QUALITY (40 pts.)		
1. Scientific and Technical Merits		
1.1. The research problem and hypotheses are properly stated; terms are operationally defined.	10	
1.2. The research design (i.e., research method, sampling, instruments, data gathering procedure, and treatment of data) is appropriate.	10	
1.3. The data are properly analyzed and interpreted; findings, conclusions, and recommendations are properly formulated.	10	
2. Form and Style. The research report observes proper form and style (e.g., documentation of sources, presentation of tables and illustrations, references)	10	
IV. PUBLIC PRESENTATION (20 pts.)		
1. The researcher demonstrates mastery of the study and ability to present it systematically, clearly, and comprehensively.	10	
2. The researcher demonstrates ability to comprehend and answer questions from the panel members.	10	
TOTAL	100	

NAME OF THE EVALUATOR: _____

SIGNATURE: _____ Date: _____

COMMENTS (Please write them below and/or at the back hereof):
_____
_____
_____
_____
_____

_____
Signature over Printed Name of the Evaluator

Date: _____

EOMS-URC-FO-019

RESEARCH EVALUATION FORM FOR DEVELOPMENTAL STUDIES

(ENGINEERING, ARCHITECTURE, INFORMATION TECHNOLOGY)

Name: _____ Course / Year: _____

Title: _____

_____

Adviser-Promoter: _____

CRITERIA	POINTS	
I. ORIGINALITY (10 points)	**10**	
1. The topic is relatively new and/or has not been studies before.	5	
2. It offers a relatively complex and creative approach to the topic	5	
II. RELEVANCE (10 points)	**10**	
1. It expands the frontier of knowledge in the field studied.	5	
2. It has practical usefulness and applicability, e.g. it provides solutions for existing problems and difficulties in the school, community and society; it improves quality of life; it provides basis for making decisions, policies and actions.	5	
III. QUALITY (70 points)	**70**	
1. Design Methodology		
1.1.The proposed system meets user's requirements as described in the Systems Analysis document	10	
1.2. CS/IT techniques, models, and methodologies used are correct and appropriate.	10	
1. Program Application	10	
1.1. All major as well as minor features of the software function properly	10	
1.2. It includes error and access / security handling methodology	10	
1.3. Program conforms with the technical standards of software development	10	
1.4. Documentation is complete, *i.e.* it includes user's and technical manual	10	
3. Form and Style. The system documentation follows proper form and style, *e.g.* acknowledgement of sources, diagrams, system models.	10	
IV. PUBLIC PRESENTATION (10 points)	**10**	
1. The researcher/s (proponent/s) demonstrate/s mastery of the study and ability to present it systematically, clearly, and comprehensively.	5	
2. The researcher/s (proponent/s) demonstrate/s ability to comprehend and answer questions from the panel members.	5	

TOTAL	**100**	

COMMENTS (Please write them below and/or at the back hereof**):**

1.

2.

3.

_____

Signature over Printed Name of the Evaluator

Date: _____

EOMS-URC-FO-020

CONSOLIDATION OF RECOMMENDATIONS/SUGGESTIONS OF THE TECHNICAL PANEL AFTER THE DEFENSE (Proposal / Oral Defense)

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Proponents:

_____ _____
_____ _____

_____

Adviser-Promoter: _____
Research Title:
_____
_____
Date of Proposal /Oral Defense: _____

Parts of the Manuscript	Recommendations / Suggestions		
	Technical Panel 1	**Technical Panel 2**	**Technical Panel 3**
Cover / Title Page			
Introduction (Gap in Knowledge, Significance of the Study, RRL and RS)			
Conceptual and Analytical Framework (Paradigm of the Study)			
Definition of Terms			
Statement of the Problem (Purpose of the Study)			
Hypotheses (if any)			
Methodology (Design)			
Locale (Environment)			
Research Participants			

Parts of the Manuscript	Recommendations / Suggestions		
	Technical Panel 1	**Technical Panel 2**	**Technical Panel 3**
Research Instruments			
Data Gathering Procedure			
Treatment of Data			
Ethical Research Considerations (To be integrated in the Methodology part whenever applicable) – Protection of privacy and confidentiality, management of vulnerability, risks and benefits, compensations or entitlements of participants, informed consent process and recruitment procedures, terms of reference of collaborative study (as applicable, such as intellectual property agreements and similar concerns), terms of available study-related insurance and Informed Consent Form			
Results and Discussions **(If Oral Defense)**			
Conclusions and Recommendations **(If Oral Defense)**			

Parts of the Manuscript	Recommendations / Suggestions		
	Technical Panel 1	Technical Panel 2	Technical Panel 3
References			
Appendices (ICF, Transmittal Letters, Matrix of RRL and RS, Interview Guide, etc			

_____
{*Printed Name and Signature of Instructor / Professor*}

Date: _____

EOMS-URC-FO-021

LETTER OF ENDORSEMENT

Date: _____

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Mr./ Ms./ Dr. _____
Statistician / Data Analyst / Language Editor/UREB Head

Dear Sir / Madam:
After thoroughly reviewing the manuscript / data sets / transcripts or scanned documents of the research proponents:
_____
_____
_____
_____
_____
Course: _____
Title: _____
I respectfully endorse the same to your office for:
☐Reliability Test
☐Ethics Review
☐Initial Qualitative / Quantitative Data Analysis
☐Initial Plagiarism Certification
☐Final Qualitative / Quantitative Data Analysis
☐Final Plagiarism Clearance
☐Language Editing

_____
Name and Signature of Research Coordinator

EOMS-URC-FO-022

QUALITATIVE DATA ANALYSIS CERTIFICATION
Research Proponent(s):

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

_____
_____
_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____

This is to certify that the qualitative data analysis data were checked at the University Research Center of Saint Mary's University and by a duly accredited qualitative data analyst.

_____ _____

Qualitative Data Analyst ***Date***

EOMS-URC-FO-023

QUANTITATIVE DATA ANALYSIS CERTIFICATION

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Research Proponent(s):

_____
_____
_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____

This is to certify that the quantitative data analysis data were done at the University Research Center of Saint Mary's University and by a duly accredited quantitative data analyst.

_____ _____

Quantitative Data Analyst ***Date***

EOMS-URC-FO-024

PLAGIARISM CERTIFICATION

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Research Proponent(s):

_____
_____
_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

This is to certify that the research paper entitled:

_____
_____
_____

has undergone the initial plagiarism check with an originality score / grade of ____.

○ This signifies that the manuscript failed the minimum threshold, and hence, cannot proceed to final defense.

○ This signifies that the researchers may proceed to final defense and that the official plagiarism clearance will be issued as soon as the integration of final suggestions by the panel is complied with.

_____ _____
Evaluator ***Date***

EOMS-URC-FO-025

QUALITATIVE DATA ANALYSIS CLEARANCE

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Research Proponent(s):

_____
_____
_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____

This is to certify that the qualitative data analyses were done at the University Research Center of Saint Mary's University and by a duly accredited qualitative data analyst.

_____ _____

Qualitative Data Analyst ***Date***

EOMS-URC-FO-026

QUANTITATIVE DATA ANALYSIS CLEARANCE

Research Proponent(s):

_____
_____
_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____

This is to certify that the quantitative data analyses were reviewed at the University Research Center of Saint Mary's University and by a duly accredited quantitative data analyst.

_____ _____
Quantitative Data Analyst ***Date***

EOMS-URC-FO-027

Plagiarism Clearance

Research Proponent(s):

_____
_____

_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____
_____

This is to certify that the above research manuscript passed the plagiarism evaluation and is ready for grammar and organization and APA format and style compliance evaluations.

_____ _____
Evaluator ***Date***

Note: *Result* ___**%**

EOMS-URC-FO-028

Language Editing Clearance

Research Proponent(s):
_____
_____

_____
_____
_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____

Date of Final Defense:

_____

This is to certify that I have thoroughly edited the final draft of the Research of the student/s listed above in terms of grammar and organization.

_____ _____
Editor ***Date***

This is to certify that I have thoroughly edited the final draft of the Research of the student/s listed above for compliance with the APA Format and Style.

_____ _____
Editor ***Date***

EOMS-URC-FO-029

Certificate / Declaration of Originality

Research Proponents:

_____
_____
_____
_____

_____

Adviser-Promoter:

_____

Program:

_____

Research Title:

_____
_____
_____
_____

We hereby submit our research paper and truthfully declare that the manuscript is a product of our original research investigation. To the best of our knowledge and belief, it contains no material previously published or written by another person or group nor does it include contents that are falsified or fabricated. We also sought the University Research Center for a preliminary and final reading of the paper to seek for Plagiarism Clearance.

We understand that should Saint Mary's University represented by its Administrators and Faculty eventually discover that our testimonies herein are not so, we accept the right of the University to impose appropriate sanctions due us.

Signed at Saint Mary's University on: _____ (Complete Date & Time).

Research Team	**Complete Name**	**Signature**	**Date of Final Plagiarism Check (Rating)**
Adviser-Promoter			

Student-Researchers			

EOMS-URC-FO-030

APPROVAL SHEET

This research paper hereto entitled:

_____
_____

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Prepared and submitted by _____, in partial fulfillment of the requirements for the degree _____ has been examined and recommended for acceptance and approval.

_____
Research Instructor

Approved by the Committee on Oral Examination on _____.

_____
Chairman

_____
Member

_____
Member

Accepted in partial fulfillment of the requirements for the degree _____.

_____
_____
Research Coordinator

Academic Dean

EOMS-URC-FO-031

EVALUATION FORM FOR ADVISER - PROMOTER

Proponents (Name)	**Signature**
_____	_____
_____	_____
_____	_____
_____	_____

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

Program:
_____

Research Title:
_____
_____
_____

Name of Adviser-Promoter: **Date Rated**
(Accomplished):
_____
_____

Indicators (The Adviser-Promoter….)	Max. Score (10)	Your Score
1. Aided the research team conceptualize and develop a research problem based on Research Agenda and checked its progress.		
2. Wrote initial inputs on appropriate research design and techniques and assisted the team to craft or adapt appropriate tool(s).		
3. Assisted the research team in preparing for the defenses and tutored them on how to make good in their presentations.		
4. Checked the integration of suggestions made by the technical panel and guided the research teams in the enrichment of the manuscript.		
5. Advised the research team for the ethical review of the proposal manuscript and directed them in the integration of comments.		
6. Suggested helpful methods and/or techniques in the collection of data.		
7. Conducted blended mentoring sessions with advisees from conceptualization to submission.		
8. Attended to the inquiries of the research team for further development of the manuscript.		
9. Monitored the performance of the research team from the write-up to the conduct of the research.		
10. Aided the research teams in presenting, analyzing and interpreting data.		
11. Made initial editing and proofreading works from proposal to full paper.		
Total Score		
Creditable Score		

Never - (0 point) - The promoter **never** exhibited desire to help the research team
Rarely - (2 points) - The promoter **seldom** exhibited assistance (Once a month)
Sometimes - (5 points) - The promoter **occasionally** exhibited assistance (at least twice a month)

Often - (8 points) - The promoter repeatedly extended assistance (at least once a week)
Always - (10 points) - The promoter continuously (at all times) exhibited assistance (Twice or more a week)

EOMS-URC-FO-032

Evaluation Form for the Services Provided by the Quantitative Data Analyst

Name of Service Provider being evaluated:

_____

Clients:

(Name)	Signature
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Research Title:
_____

Name & Signature of Adviser-Promoter (Accomplished): **Date Rated**

_____ _____

The Client Satisfaction Score (CSATS)

Direction: The Client Satisfaction Score (CSATS), as its name implies, is a measurement of how satisfied clients are with the services provided by the quantitative data analyst. It is a tool to measure how clients feel at the moment or upon the culmination of a service or services rendered. Thus, the CSATS is used to gauge client sentiment to improve services. Rate the extent of your satisfaction on the services provided by your quantitative data analyst using the scale below:
Poor: 1 Fair: 2 Good: 3 Very Satisfactory (VS): 4 Excellent (Ex): 5

Items (The Quantitative Data Analyst...)	Poor	Fair	Good	VS	Ex
1. Applies highest standards of ethics and competence in doing statistical treatment of data.					
2. Possesses technical proficiency by leveraging on computer systems, algorithms (SPSS), and other technologies.					
3. Critiques collected raw data and suggests ways to enhance data quality.					
4. Possesses a keen eye for detecting patterns and anomalies in data.					
5. Applies appropriate statistical tools based on goals or purposes of the study.					
6. Presents data in the most easy-to-understand, visual ways (tabular diagram).					
7. Provides sample analysis and interpretation of data.					
8. Exhibits strong and effective communication skills to effectively articulate the findings to guide researchers in the analysis and interpretation of data.					
9. Checks the analysis and interpretation of data and makes final comments on the manuscript.					
10. Ensures timely endorsement of the manuscript to the URC staff for the issuance of needed data analysis certification and/or clearance.					

Notes for Improvement:

_____
_____
_____
_____
_____

EOMS-URC-FO-033

Evaluation Form for the Services Provided by the Qualitative Data Analyst

Name of Service Provider being evaluated:

_____

Clients:

(Name)	Signature
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Research Title:

_____
_____
_____

Name & Signature of Adviser-Promoter: (Accomplished): **Date Rated**

_____ _____

The Client Satisfaction Score (CSATS)

Direction: The Client Satisfaction Score (CSATS), as its name implies, is a measurement of how satisfied clients are with the services provided by the quantitative data analyst. It is a tool to measure how clients feel at the moment or upon the culmination of a service or services rendered. Thus, the CSATS is used to gauge client sentiment to improve services. Rate the extent of your satisfaction on the services provided by your quantitative data analyst using the scale below:
Poor: 1 Fair: 2 Good: 3 Very Satisfactory (VS): 4 Excellent (Ex): 5

Items (The Qualitative Data Analyst...)	Poor	Fair	Good	VS	Ex
1. Applies highest standards of ethics and competence in doing qualitative treatment of data.					
2. Critiques collected qualitative raw data and suggests ways to enhance data quality.					
3. Possesses a keen eye for detecting patterns and anomalies in the qualitative data.					
4. Uses triangulation as a technique in treating qualitative data, that is, taking data and finding themes – coding them – and then comparing or triangulating them from different data sources and collection methods.					
5. Checks the clear link or relationship between the data and the findings (confirmability).					
6. Critiques the alignment between theory, research question, data collection, analysis and results, sampling strategy, the depth and volume of data, and the analytical steps taken.					
7. Provides sample analysis and interpretation of data for researchers to follow.					
8. Exhibits strong and effective communication skills to effectively articulate the findings to guide researchers in the analysis and interpretation of qualitative data.					
9. Checks the analysis and interpretation of data and makes final comments on the manuscript.					
10. Ensures timely endorsement of the manuscript to the URC staff for the issuance of needed certification and/or clearance.					

Notes for Improvement:

_____
_____
_____
_____
_____

EOMS-URC-FO-034

Evaluation Form for the Services Provided by the Technical Panel of Evaluators

Name of Service Provider being evaluated:

_____

Clients:

(Name)	Signature
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Research Title:

_____
_____
_____

Name & Signature of Adviser-Promoter: (Accomplished): **Date Rated**

_____ _____

The Client Satisfaction Score (CSATS)

Direction: The Client Satisfaction Score (CSATS), as its name implies, is a measurement of how satisfied clients are with the services provided by the quantitative data analyst. It is a tool to measure how clients feel at the moment or upon the culmination of a service or services rendered. Thus, the CSATS is used to gauge client sentiment to improve services. Rate the extent of your satisfaction on the services provided by your quantitative data analyst using the scale below:
Poor: 1 Fair: 2 Good: 3 Very Satisfactory (VS): 4 Excellent (Ex): 5

Items (The Evaluator…)	Poor	Fair	Good	VS	Ex
1. Applies highest standards of ethics and competence in critiquing research manuscripts.					
2. Exhibits professional, supportive and encouraging (not adversarial) qualities.					
3. Provides reasonable suggestions for the improvement of the manuscript, both oral and written.					
4. Helps the chair to arrive at decisions favorable to the accomplishment of research outputs.					
5. Thoroughly critiques the manuscript prior to proposal and oral defense schedules.					
6. Helps validate research tools or data gathering instruments;					
7. Gives the go-signal for research teams to gather data using validated data gathering instrument(s).					
8. Ascertains that suggestions and recommendations are integrated in the manuscript.					
9. Attends scheduled proposal and oral defenses and takes part actively.					
10. Assures timely issuance of the grade immediately after the deliberation.					

Notes for Improvement:
_____
_____
_____
_____
_____

EOMS-URC-FO-035

EVALUATION FORM FOR THE SERVICES PROVIDED BY THE LANGUAGE EDITOR

Name of Service Provider being evaluated:

_____

Clients:

Name	Signature
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Research Title:

_____
_____
_____

Name & Signature of Adviser-Promoter: (Accomplished):

_____

_____

Date Rated

The Client Satisfaction Score (CSATS)

Direction: The Client Satisfaction Score (CSATS), as its name implies, is a measurement of how satisfied clients are with the services provided by the language editor. It is a tool to measure how clients feel at the moment or upon the culmination of a service or services rendered. Thus, the CSATS is used to gauge client sentiment to improve services. Rate the extent of your satisfaction on the services provided by your language editor using the scale below:
Poor: 1 Fair: 2 Good: 3 Very Satisfactory (VS): 4 Excellent (Ex): 5

Items (The Language Editor...)	Poor	Fair	Good	VS	Ex
1. Applies highest standards of ethics and competence in language editing, proofreading, etc.					
2. Does systematic evaluation and suggests revisions to enhance the content quality of the manuscript.					
3. Shows consistency in using words or terms and punctuation.					
4. Checks grammar and proofreading works thoroughly.					
5. Applies excellent English rules and/or shows clarity of language style.					
6. Checks data and factual accuracy.					
7. Possesses complete understanding of conventions needed with regard in-text citation and reference entries following the latest APA format and style.					
8. Checks completeness of reference entries vis-à-vis in-text citations.					
9. Ensures timely endorsement of the manuscript at least seven (7) days upon receipt of the manuscript.					
10. Adheres to editorial best practices to maintain the highest standards of integrity, confidentiality, and impartiality.					

Notes for Improvement:

_____
_____
_____
_____
_____

EOMS-URC-FO-036

EVALUATION FORM FOR *LIKHA* NOMINATIONS
(LEVEL 1: RESEARCH COUNCIL)

Date Reviewed: _____

List of Likha Nominations – Top Five (First Level – Research Council)

Program	Name	Adviser	Thesis/ Dissertation Title	Evaluator 1	Evaluator 2	Total

Name and Signature of Evaluators:

_____ _____ _____

Member Member Member

_____
Research Coordinator

Note: Affix Signature over Printed Name

EOMS-URC-FO-037

EVALUATION FORM FOR *LIKHA* NOMINATION
(LEVEL 2: UNIVERSITY RESEARCH CENTER)

Date Reviewed: _____

List of Top-Three Likha Nominations (URC Second Level)

Program	Name	Adviser	Thesis/ Dissertation Title	Eval. 1	Eval. 2	Eval. 3	Total

**Top-Three Likha Nominations per Program*

Name and Signature of Evaluators:

_____
_____
University Statistician Director, University Research Center

---
c.f. Committee Members of Scholarships, Grants and Awards

EOMS-URC-FO-038

SUMMARY LIST OF *LIKHA* AWARDEES
(Level 3: Approved by Scholarship, Grants and Awards Committee)

Date Approved: _____

Final List of Likha Awardees

Program	Name	Adviser	Thesis/Dissertation Title

Committee on Scholarships, Grants and Awards

_____ _____
_____

Member Member Member

_____
Chair

Note: Affix Signature over Printed Name

EOMS-URC-FO-039

EVALUATION FORM IN RATING THE RESEARCH COORDINATOR
(To be Accomplished by Student-Clients)

Raters/Evaluators: Student-Research Teams

Direction. This form intends to gather feedback on the accomplishment of your Research Coordinator in relation to your research work.

Indicators (The Research Chair….)	Yes	No
12. Checks alignment of topic proposals to the School Research Agenda		
13. Suggests topic proposals that are aligned to the School Research Agenda		
14. Distributes the Research Writing Manuals and Research Itinerary;		
15. Monitors participation of the research teams in various R&D activities		
16. Informs research teams of the general requirements of Research 1 and 2 courses		
17. Notifies research teams about important activities to be undertaken;		
18. Keeps research teams posted about important research itinerary (schedules)		
19. Conduct an orientation on School Agenda, itinerary and the writing guide		
20. Mentors research teams on the mechanics of writing and doing research		
21. Monitors research teams on their topic proposal writing		
22. Receives manuscript and review its readiness for proposal and oral defenses		
23. Reviews the manuscript for needed certifications and clearances		
24. Organizes capability trainings and seminar-workshops for students		
25. Monitors research teams in developing their topic proposals		
26. Critics the paper and note necessary suggestions and corrections		
27. Endorses the manuscript together with the promoter to the instructor for review		
28. Directs the research teams to seek for preliminary clearances		

29. Instructs the research teams to seek for UREB review after the proposal defense		
30. Checks if the UREB suggestions are incorporated in the protocol document		
31. Instructs research teams about how to proceed to data analysis and interpretation		
32. Monitors research teams' progress in consolidating the full paper		
33. Checks submission of required full manuscripts, IMRAD and CDs		

Notes for Improvement:

_____
_____
_____

Signature Over Printed Name of Student-Proponents:

_____ _____
_____ _____
_____ _____
Date Rated:
_____

EOMS-URC-FO-040

MONITORING CHECKLIST FOR TIMELY IN-HOUSE JOURNAL PUBLICATIONS

Introduction: To ensure the timely publication of our in-house journal, the University Research Center has developed a comprehensive monitoring checklist. This checklist outlines the specific responsibilities of several staff, comprising the technical staff, research coordinators, the director of the research center, and the officer in publishing and digital printing office. By following these guidelines, we aim to streamline our publication process, maintain high standards of quality, and meet our publication deadlines consistently.

Activities	Schedule / Timeline	Status of Compliance	
		Not Complied	Complied
A. Pre-Publication Itineraries			
1. Director of the Research Center			
- Sets overall publication dates and timelines.	June		
- Approves the editorial calendar in conformity with the research coordinators			
- Oversees the assignment of responsibilities			
- Does initial editing	July		
- Submits draft to a language expert / editor			
- Provide final approval on edited content	August		
- Approves final design and layout			
2. Research Coordinators			
- Identify studies to be included in the journal	June		
- Coordinate with students to ensure complete submission			
- Ensure all references are accurate and properly cited	July		
- Conduct initial review, editing and proofreading of all submissions	August		
- Do preliminary digital lay outing			
- Submit draft to the URC Director for checking and submission to the language expert / editor			
3. Head, Publication and Digital Printing Office			
- Receives design briefs and deadlines	July		
- Creates layouts and designs for the journal			
- Review and provide feedback on designs.			
- Trains research coordinators and URC staff for the lay outing	August		

- Ensure timely approval of layouts.			
4. URC Staff (For Research Abstract and Passion for Mission Journals)			
- Assists in the initial editing process.	July		
- Assists in lay outing after the editing works of a language expert / editor	August		
- Ensures that all content meets publication standards.			
5. Language Expert / Main Editor			
- Perform a final language review to ensure clarity and correctness	August		
B. Publication Itineraries			
1. Head, Publication and Digital Printing Office			
- Coordinates with staff to ensure timely printing.	August		
- Prints dummy copies (sample journals) for checking of the Director and Research Coordinators			
- Begins reproduction of in-house journals in accordance with approved number of copies from the URC Director and research coordinators			
- Develops and coordinates the distribution plan	Sept.		
2. URC Director, Research Coordinators and URC Technical Staff			
- Check the dummy samples	August		
- Integrate corrections for final journal printing			
- Coordinate with the Head of the PDPO regarding corrections			
C. Post-Publication Itineraries			
1. URC Director, Research Coordinators, and URC Technical Staff			
- Assist in the distribution of printed copies	Sept.		
- Ensure that delivery deadlines are met			
- Collect feedback from readers and contributors.	Oct.		
- Assist in gathering and analyzing feedback			
- Help identify areas for improvement	Nov.		
- Update and refine processes based on feedback			
- Ensure continuous improvement in publication quality	For next publication cycle		

* - If an item is not complied with, the URC Head informs the appropriate member to ensure compliance as soon as possible. This prevents derailing publication timelines and maintains the quality of the publication.

Effective monitoring of the timely publication of in-house journals is crucial for maintaining the credibility and relevance of the content. Regular tracking of submission, review, and publication timelines ensures that the journals meet their publication schedules. Implementing a robust monitoring system helps identify bottlenecks and

streamline processes, ultimately enhancing the efficiency and reliability of the publication workflow.

EOMS-URC-FO-041

IN-HOUSE JOURNAL PUBLICATION QUALITY EVALUATION FORM

Introduction: This evaluation form is designed to ensure the quality of our in-house journal publications by assessing various aspects of its content, editorial standards, and timeliness.

Section 1. General Information:

Evaluator's Name: _____ Date: _____
Journal Title: _____ Issue (Vol. No.) _____

Section 2: Evaluation Proper.

Items	Poor	Fair	Good	Excellent
A. Content Quality				
1. Relevance - Relevance of the articles to the journal's scope and audience				
2. Originality / Innovation - The articles present original research or innovative ideas				
3. Depth and Rigor: - The content is thorough and well-researched				
B. On Editorial Quality				
4. Clarity and Coherence - The articles are clearly written and logically structured.				
5. Grammar and Style: - The language is free of grammatical errors and consistent in style.				
6. Adherence to Guidelines: - The articles follow the journal's submission guidelines.				
C. Timeliness				
7. Submission Timeliness - The articles were submitted on time				
8. Review and Publication Timelines				
- The review and publication process were completed within the scheduled time frame				
D. Overall Quality				
- The overall quality of this journal				
E. Suggestions for Improvement				

- What improvements would you recommend for future issues?	

Your feedback is invaluable in maintaining the high standards of our journal. Thank you for your thorough evaluation and suggestions for improvement.

EOMS-URC-FO-042

FORM ON INDIVIDUAL REPORT OF EXTERNAL RESEARCH DISSEMINATION OF STUDENTS (Throughout the Year)

School: _____

Department: _____

Date: _____

Proponents	Title of Research	Sponsoring Agency	Date

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-043

SUMMARY LIST OF EXTERNAL RESEARCH DISSEMINATION ACTIVITIES BY STUDENTS (Semester-End)

School: _____

Department: _____

____ First Semester ____ Second Semester ____ Midyear Term

Proponents	Title of Research	Sponsoring Agency	Date

(Use additional sheet if necessary)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-044

FORM ON INDIVIDUAL REPORT OF EXTERNAL PUBLICATIONS OF STUDENT
(Throughout the Year)

School: _____

Department: _____

Date: _____

Proponents	Title of Research	Name of Publication Outfit		Level (Nat'l and or Int'l)	Date of Publication
		Scopus, Clarivate and or ISI	Non-Scopus, Clarivate and or ISI		

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-045

SUMMARY LIST OF EXTERNAL PUBLICATIONS OF STUDENT
(Semester-End)

School: _____

Department: _____

____ First Semester _____ Second Semester _____ Midyear Term

Proponents	Title of Research	Name of Publication Outfit		Level (Nat'l and or Int'l)	Date of Publication
		Scopus, Clarivate and or ISI	Non-Scopus, Clarivate and or ISI		

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-046

FORM ON MONITORING THE PERCENTAGE OF COMPLETION OF STUDENT RESEARCH PRODUCTION

School: _____ Department: _____ AY: _____

Proposal Defense (First Semester)	**Oral Defense (Second Semester)**
1. i.e. (Indicate here the Title of Research, Research Team and Date of Proposal Defense)	i.e. (Indicate here the same Title of Research, Research Team and Date of Oral Defense)
2.	
3.	
4.	
5.	
6.	
7.	

(Note: This form is to be submitted at the URC at the end of the first semester for monitoring purposes and then again during the succeeding second semester to compute the percentage of completion)

Submitted by:

_____
Research Coordinator

Date: _____

EOMS-URC-FO-047

CLIENT SATISFACTION SURVEY FOR IN-HOUSE JOURNAL PUBLICATIONS

Introduction: The University Research Center and the Research Councils value your feedback and would appreciate your input on our in-house journal publications. Your responses will help us improve the quality and relevance of our contents and designs. This survey is intended for students, faculty, administrators, and other stakeholders.

Section 1: General Information

1. **Type of Client (Select One)**
   ___ Student ___ Faculty ___ Administrator ___ (Others: please specify. _____)

Section 2. Survey Proper: Direction. Rate the degree of your satisfaction with our In-house Journal using the scale: ___ Not Satisfied ___ Moderately Satisfied ___ Greatly Satisfied, & Very Greatly satisfied.

Items	Not Satisfied	Moderately satisfied	Greatly Satisfied	Very Greatly Satisfied
Physical Appearance and Form 1. How satisfied are you with the overall quality of the physical appearance of our journal				
2. How satisfied are you with the layout and design of the journal?				
Content Quality 3. How satisfied are you with the overall quality of the articles in our journal?				
4. How satisfied are you with the relevance of the topics covered in our journal to your interests or field of study or work?				
5. How satisfied are you with the depth and thoroughness of the articles?				
Design and Accessibility 6. How satisfied are you with the design and layout of our journal?				
7. How satisfied are you in navigating and accessing the journal?				
Overall Satisfaction 8. Overall, how satisfied are you with our in-house journal publications?				
Open-Ended Questions 9. What do you like most about our journal?				
10. What improvements would you suggest for our journal?				
11. Any additional comments or feedback?				

Thank you for taking the time to complete this survey. Your feedback is invaluable to us.

EOMS-URC-FO-048

FORM FOR INDIVIDUAL REPORT OF STUDENTS' ACHIEVEMENT IN RESEARCH
(Throughout the Year)

School: _____

Department: _____

Proponents	Title of Research	Sponsoring Agency	Date	Award		Level		
				Best Paper	Best Presenter	Regl	Natl	Intl
Evidence:								

To be filled up by the Adviser-Promoter

_____
Adviser-Promoter
(Signature over Printed Name)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-049

SUMMARY LIST OF STUDENTS' ACHIEVEMENT IN RESEARCH
(Semester-End)

School: _____

Department: _____

___ First Semester ___ Second Semester ___ Midyear Term

Proponents	Title of Research	Sponsoring Agency	Date	Award		Level		
				Best Paper	Best Presenter	Reg'l	Nat'l	Int'l

(Add additional sheet if necessary)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-076

LOGBOOK OF SUBMITTED RESEARCHES IN CD's

CD NO.	DATE RECEIVED	COURSE	AUTHORS	TITLE	REMARKS			ADVISER	SUBMITTED BY
					w/ IMRAD	FULL PAPER	CERTIFICATES /CLEARANCES		

Part II. Faculty Researches

1. **Standard Operating Procedures for Faculty Research**

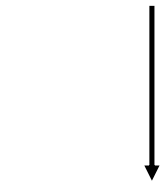
A. On Faculty Research Production (EOMS-URC-OP-004)

TITLE	**Faculty Research Production**
SCOPE	This covers the process from the time the University Research Center calls for research project proposals among faculty members under the Tertiary Faculty Research Grant to the time they submit the full IMRAD manuscript.
OBJECTIVE	To ensure timely and complete submission of relevant research with demonstrable institutional, local, national and global significance to further expand knowledge frontiers.
Definition	The CHED defines research production as the process of generating new knowledge through systematic investigation and experimentation. It involves conducting original research, analyzing data, and producing scholarly outputs such as research papers, articles, and reports. The goal is to contribute to the body of knowledge in a particular field and advance understanding.

Activity	***Description***
Posting of Call for Research Project Proposals	**URC-PR-05: Procedure on Faculty Research Production** In July of every year, the University Research Center (URC) and Research Coordinators (RCs) post a tertiary-wide Call for Research Project Proposals for the information of faculty researchers. Research Coordinators are appointed per school to oversee all research-related works in their respective schools. **URC-RF-012:** Call for Research Proposal (Faculty Research Grant) **URC-FO-01**: Appointment as Research coordinator
Crafting of Project Proposals	The faculty researchers organize themselves into research teams and craft topic proposals which are aligned to the School Research Agenda integrated in their own respective School R&D Plan.

	URC-GL-020: Guidelines in the Creation of Research Teams and in Levelling Up of Faculty Research Mechanisms **URC-RF-043:** PROJECT WEALTH v.2.0 **URC-RF-044:** School R&D Plan **URC-RF-045:** Institutional E&D Plan **URC-QR-076:** Final List of Research Teams and Titles Meanwhile, faculty members are also encouraged to apply for mechanism A if they wish to get part time teaching loads and part time research workload during a regular semester. **URC-GL-01:** Guidelines in Applying for Faculty Teaching and/or Research-Related Work (Mechanism A) **URC-GL-02:** Guidelines in Applying for Faculty Research Mechanisms (Mechanisms B, C & D) **URC-GL-021:** Guidelines in Writing Faculty Researches (Full Blown and Final Manuscript) **URC-GL-023:** Guidelines in Conducting Institutionally-based Externally Funded Research Project **URC-FO-02:** Application Form for Faculty Teaching and/or Research-Related Work (Mechanism A) **URC-FO-03:** Contract Form for Research Load under Mechanism A **URC-FO-04:** Form on Faculty Research Production Contract (For Mechanisms B, C & D) **URC-FO-05:** Schedules of Release of Faculty Research Remunerations on top of the basic 24-unit Load (Mechanisms B, C & D) **URC-FO-050:** Template Form on Faculty Full-blown Proposal and Final IMRAD Manuscript
Disseminating the Research Itinerary	In the same month, the URC and RCs disseminate research itinerary for the year to guide the research teams. **URC-GL-019:** Guidelines in Setting Faculty Research Itinerary

	URC-RF-011: Research Itinerary
Presenting the Project Proposals	In August, the topic proposals are presented to the Members of the Advisory Board. Comments and suggestions are incorporated and the AB approves the enriched/revised topic proposals. **URC-RF-053:** Program Documentations of Project Proposal Presentation The manuscripts are submitted to the University Research Ethic Office for Ethical Research Review. Thereafter, same office issues recommendations for ethical research which are integrated in the manuscript before the issuance of clearance to proceed to data gathering. **URC-RF-005: UREO MOPG**
Participating in Capability Building Program ↓ Conducting the research and submitting the raw data ↓ Submitting the full manuscript ↓ Monitoring ↓	Throughout the year, faculty members participate in research capability building programs to hone their knowledge and skills cognizant with the Institution's R&D Plan **URC-RF-054:** Capability Building Activities In Nov.-Dec., the complete data is submitted to the URC for verification and/or checking purposes before the faculty researchers even proceed to analysis and interpretation. **URC-QR-055:** Checked/Verified Data of Faculty Research Teams In March, the URC/RCs inform the faculty researchers about consolidating the full manuscript for presentation during the last week of April (LLL). The full manuscript undertakes Plagiarism Check for further revisions. **URC-FO-047:** Plagiarism Clearance for Faculty Research The URC Director monitors the submission of full manuscripts as stipulated in the Contract during the first week of May and assigns Faculty Research Points based on Rubric.

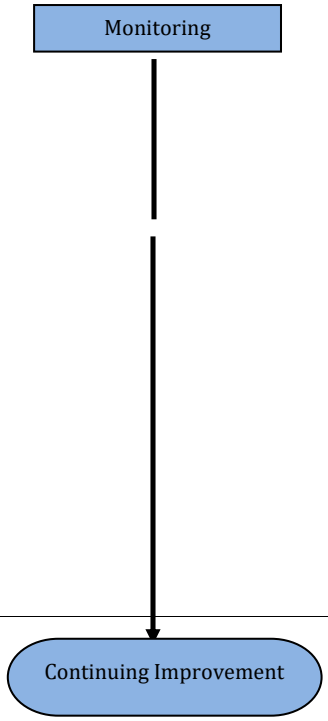
 	**URC-FO-051:** Compendium of Submitted Full Manuscripts **URC-GL-022:** Guidelines in Assigning Faculty Research Points on Production **URC-QR-049:** Approved Faculty Research Points (Production) The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on faculty research production. **URC-QR-077:** Closed Out CPAR dated August 25, 2022

B. On Faculty Research Dissemination (EOMS-URC-OP-005)

TITLE	**Faculty Research Dissemination**
SCOPE	This covers the process from the time the University Research Center organizes the in-house research dissemination forum to the time the list of faculty researches which were disseminated in external research conferences is submitted.
OBJECTIVE	To ensure timely and complete dissemination of research findings for possible uptake and consumption by targeting audiences that can be benefited.
Definition	The Commission on Higher Education (CHED) in the Philippines defines research dissemination as the process of sharing research findings with a broader audience, including academic peers, industry stakeholders, and the general public. This can involve presenting research results at conferences, publishing in academic journals, and engaging in public outreach activities.

Activity	*Description*
Organizing institution-based research dissemination fora (LLL);	**URC-PR-06: Procedure on Faculty Research Dissemination** Every third week of April, the URC and RCs organize the research dissemination forum during the institutional celebration of the Linggo ng Likha at Lingkod (LLL), usually scheduled in the last week of April. **URC-RF-056:** List of Faculty Research Presenters in LLL Fora
Identifying external evaluators or reactors	As soon as the tentative program is done, external evaluators or reactors are invited to critic the full manuscript for further improvement of the paper. **URC-RF-013:** LLL Program of Activities (Yearly) **URC-RF-057:** Transmittal Letters address to the External Reactors / Evaluators **URC-RF-058:** List of External Evaluators for Faculty research Presentation
Inviting relevant organizations, associations or communities	The URC/RCs also invite pertinent organizations, associations, governmental agencies and NGOs and/or communities for possible research uptake.

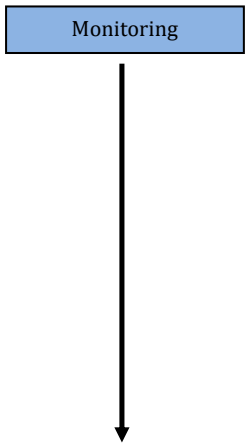
	At this stage, the program for research dissemination is finalized. **URC-RF-013:** Program of Activities during the LLL Celebration (Yearly)
Presenting the research findings and submitting the manuscript	During the last week of April (LLL), the research teams present their research findings and submit the revised full manuscript a week after. **URC-RF-014:** LLL Souvenir Book Proceedings (Yearly)
Disseminating research results in external conferences	The research teams are also encouraged to disseminate their research results in external conferences sponsored by academes and or agencies. **URC-ED-016:** External Research Presentation / Dissemination Invites URC-RF-059: Transmittal Letter of Faculty Researchers Asking Financial Assistance for National and international Research Presentations **URC-GL-031:** Guidelines for Faculty Support to National and International Research Presentation.
Submitting list of faculty researchers that disseminated in external conferences	The URC makes a list of all faculty researches externally disseminated, noting those with awards like "best paper" and "best presenter." **URC-RF-040:** List of Faculty Members' Presentations to International, National, and Regional and Local Conferences URC-RF-060: Faculty Narrative Report of External Research Dissemination Activities

	The URC Director monitors the submission of faculty research dissemination activities, whether internally and or externally and assigns faculty research points especially for those with awards received from external sponsors. **URC-GL-025:** Guidelines in Reporting Faculty External Research Dissemination **URC-GL-026:** Guidelines in Assigning Faculty Research Points on External Dissemination (with Awards) **URC-FO-053:** Individual Report Form for Faculty External Research Dissemination with or without Awards (Throughout the Year) **URC-FO-054:** Summary List of Faculty External Research Dissemination (Semester-End) **URC-FO-055:** Individual Report Form for Faculty Research Points for External Research Dissemination with Awards (Throughout the Year) **URC-FO-056:** Summary List of Faculty Research Points for External Research Dissemination with Awards (Semester-End)
	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Research Dissemination.

C. On Faculty Research Publication (EOMS-URC-OP-006)

TITLE	**Faculty Research Publication**
SCOPE	This covers the process from the time the University Research Center organizes research publication trainings to the time the published papers of faculty researches in external refereed journals is submitted.
OBJECTIVE	To ensure timely publication of research findings to sustain connection with other scholars in the field, at least within a period of five years after production
Definition	The CHED defines research publication as the process of making research findings available to the academic community and the public through various channels, such as academic journals, conference proceedings, books, and digital repositories. The goal is to share knowledge, contribute to the body of scientific literature, and advance understanding in a particular field.

Activity	***Description***
Organizing publication trainings	**URC-PR-07: Procedure on Faculty Research Publication** Anytime during the Second Term, the URC/RCs organize publication trainings to enhance faculty researchers' knowledge and skills on publication. **URC-RF-061:** Narrative and Documentation on Conducted Publication Trainings
Submitting publishable IMRAD format to external publication outfits	Throughout the year, faculty researchers submit publishable IMRAD format for publication in external refereed journals. **URC-RF-062:** Transmittal Letters of Faculty Researchers Informing the Center of their External Publications in reputable and refereed journals
Submitting proofs of published papers by faculty researchers in external refereed journals	The URC/RCs consolidate all published papers by faculty researches in external refereed journals and makes a report on this for faculty research points. **URC-RF-063:** List of Faculty Researches with External Publications (Yearly)

	The URC Director monitors the submission of faculty researches that are published in reputable and refereed journals and assigns research points based on set guidelines for the yearly Gawad Maria (Faculty Awards in Research). **URC-GL-027:** Guidelines in Reporting Faculty External Publications and Assignation of Faculty Research Points in Publication **URC-FO-057:** Individual Report Form for Faculty Research Points for External Research Publication (Throughout the Year) **URC-FO-058:** Summary List of faculty External Publications (Semester-End) **URC-RF-025:** Gawad Maria Program (Faculty Award/s in Research)
	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Research Publication.

D. On Faculty Research Utilization (EOMS-URC-OP-007)

TITLE	**Faculty Research Utilization**
SCOPE	This covers the process from the time the University Research Center capacitates research teams in crafting project proposals intended for utilization of research results to the time the Technology Transfer and Business Development Office (TTBDO) work on recognition of patents, utility models, copyright and designs.
OBJECTIVE	To ensure utilization of research findings to bridge the gap between scientific evidence and existing policy and practice which are imperative to local, national, and international development.
Definition	Research utilization refers to the process of applying research findings to practical use, ensuring that the knowledge generated from research is effectively implemented to address real-world problems and improve practices, policies, or products. This can involve translating research results into actionable recommendations, influencing policy decisions, developing new technologies or interventions, and disseminating findings to relevant stakeholders.

Activity	***Description***
Capacitating research teams in crafting project proposals intended for utilization of research results	**URC-PR-08: Procedure on Faculty Research Utilization** During the Midyear Term, empirical data obtained from basic researches and/or utility models and designs borne out of applied researches with practical usability for community extension are encouraged. The research teams are trained to craft project proposals for possible funding and or carry over extension works in target communities. This is done in tandem with LMCDAC. **URC-RF-004:** LMCDAC MOPG **URC-RF-064:** Research Project Proposals for Utilization **URC-FO-055:** Contract Form on Faculty Research Utilization
Forging linkages with internal units and external community partners	In forging linkages and partnerships relative to the usability of the research findings for community extension, the research teams work hand in hand

	with the LMCDAC and AERO for relevant agency and community partnership. URC-RF-065: Compendium of Approved Project Proposals for Utilization
Crafting an MOU/MOA to specify duties and responsibilities	To specify stakeholders' engagement in doing community extension works, an MOU and/or MOA is crafted specifying the list of parties involved, purpose, terms and conditions, roles and duties, bilateral agreements, duration and special provisions that are applicable in engagement. **URC-RF-052:** Sample MOA/MOU for Community Extension
Coordinating the utilization stage	The utilization aspect of research results at this stage now rests with the research teams, the LMCDAC, TTBDO and/or the CNS. The URC requests documentation(s) of utilization. **URC-RF-066:** Narrative of Research Utilization
Identifying patentable products, utility models, designs and materials for copyright	The head of the TTBDO identifies patentable products like utility models, designs, products and materials that can be copyrighted and which are borne out of researches conducted and/or prototype products **URC-RF-006:** TTBDO MOPG
Working on recognition of patents, utility models, design and copyright	The head of the TTBDO works for the recognition of patentable products, utility models, designs and materials for copyright if there are and submits a report to the URC. **URC-RF-006:** TTBDO MOPG
Monitoring	The URC Director monitors the implementation of the project proposals, sets schedule for presentation and perusal of the Advisory Board, works on the honoraria payments of the research teams and assigns points to the research teams. **URC-RF-066:** Transmittal Letter to the VP for Finance for Release of Tranches

	URC-GL-028: Guidelines in the Individual Reporting of Research Utilization of Faculty and Assignation of Research Points for Utilization **URC-FO-056:** Form on Individual Report of Faculty Research Utilization (Throughout the Year) **URC-FO-057:** Summary List of Faculty Research Utilization (Semester-End)
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on faculty research utilization.

2. **Guidelines for Conduct of Faculty Research**

EOMS-URC-GL-019

Guidelines in Setting the Faculty Research Itinerary
(Deliverables, Expected Date of Submission and Traches per Mechanism)

For some time, there has been a rarity in research productivity, punctuated only by the outputs of a few faculty members across schools. In time with the aggressive implementation of the Faculty Research Mechanisms (especially C and D), a big number of research outputs and faculty members got involved in the process.

It must be noted that applications for Mechanism A was rare throughout the years that followed as faculty members favored the other mechanisms since additional units were on top of the basic 24-unit load. Mechanism A intended to deload faculty members with teaching units so that they can concentrate on doing research. Still, faculty application under this mechanism was rare.

Yet, although a substantial number of faculty get involved either individually or collaboratively, the URC has to address this yearly, to assure a steady number of researchers and researches involved and produced respectively. Under Mechanisms B, C and D, faculty members are guided by research itinerary in order to accomplish the research at a given time as shown below:

Expected Outputs (deliverables)	**Expected Date of Submission**	**Tranches (Mechanisms)**		
		B	**C**	**D**
Full-blown Proposal (Title Page, Abstract, Introduction, Methodology, References and Data Gathering Tools)	July	30% of the grant	50% of the grant	First Four (4) months (August to November)
Presentation before a Panel (Advisory Board)	2nd Week August			
Revision	3rd Week			
Submission of Final Protocol Document	4th Week			

Submission of Raw Data	December	10% of the grant		Fifth Month (Dec.)
Presentation before a Panel	4th Week of April	30% of the grant		
Final Output in soft and hard copies	1st Week of May	30% of the grant	50% of the grant	Last Five (5) months (Jan. to May)

This research itinerary must be followed by faculty researchers in order to accomplish the expected deliverables. Meanwhile for **Mechanism A**, the remuneration is done on a monthly basis as the research units are considered to be a part of their regular teaching load for the semester to wit:

A. Full time research

a. Semester Term: 24 units. Required output = 2 researches (solo authorship). One full research during the First Semester and another full research for the Second Semester; and

b. Summer Term: 10 units. Required Output = 1 research (single authorship), or, 5 units. Required Output =1 research (joint authorship)

B. Deloading for Research (Regular Semester only)

a. 12 units Teaching + 12 units research = 24 units Required output = 1 research (solo authorship); and

b. 18 units Teaching + 6 units research = 24 units Required output = 1 research (joint authorship)

EOMS-URC-GL-020

Guidelines in the Creation of Research Teams and in Leveling Up of Faculty Research Mechanisms

On July 13, 2021, members of the Research and Community Development Council (RCDC) agreed that the existing guidelines for Faculty Research Mechanism Grants be revised and leveled up. This is to increase the number of lead researchers by encouraging collaborators to lead, while at the same time decreasing the number of collaborators to be remunerated so that others can also lead.

Consequently, changes in the original guidelines included the following:

New Guidelines	Justification
1. Mechanisms B, C and D shall be made more competitive with number of pre-agreed slots. Faculty members shall vie for the available slots	This is to encourage seasoned faculty researchers to look for externally funded projects or apply for grant projects outside.
2. A faculty researcher shall be allowed one grant under any of the mechanisms but can work on other institutional policy-oriented study or as an external collaborator with other HEIs.	This is to encourage faculty researchers to conduct needed institutional studies and to collaborate with other researchers in other HEIs.
3. A faculty researcher shall be allowed to have one research work only either as a lead or as a collaborator under the Faculty Research Mechanism Grant	This is to encourage perennial collaborators to lead
4. A research team shall only have one (1) faculty member with a doctorate degree.	This is to encourage those with PhDs to lead other research team and mentor other faculty researchers
5. A faculty researcher with an external grant shall not be allowed to apply for any Faculty Research Mechanism Grant	This is to give chance for others to take the slot
6. One lead and one primary collaborator shall be remunerated while the rest get research points	This is to further encourage perennial collaborators to lead

7. A research team shall be composed of a maximum of five (5) faculty researchers only under the grant	This is to encourage others to conduct additional disciplinal or institutional policy-oriented studies

EOMS-URC-GL-021

Guidelines in Writing Faculty Researches
(Full Blown and Final Manuscript)

The following guidelines will help faculty researchers in accomplishing, **URC-FO-044**: Template Form on Faculty Full-blown Proposal and Final IMRAD Manuscript.

Title

- The title page should include the following elements: a succinct title (working title when it is a full-blown proposal but turns to outcomes or product title when research is already done;
- Faculty grant mechanism applied for (most common is Mechanism D);
- Followed by school affiliation; then
- Proponents and Date (Indicate proposal date but turns to final date when submitted).

Proponents

- Specify name(s) of lead researcher and collaborators (lead and primary collaborator are remunerated; the rest are for research points)

Abstract

- This part is a brief summary of the paper allowing readers to quickly review the main points and purpose of the paper. It should include: one-line introduction, objectives, problems, methodology, findings, general conclusion / implication.
- It should be between 150 – 250 words, single-spaced. Abbreviations and acronyms used in the paper should be defined in the abstract;
- It should have at least 5 keywords listed alphabetically and italicized. The word Keywords is written as such and boldface with colon. (e.g. **Keywords**: *environment, forefront, green engineering, landscape, sustainability*) It should not repeat the words read from the title of the paper.

Introduction

- This part consists of five major parts: (a) Short introduction; (b) the major concepts as reflected in the title; (c) conceptual and analytical framework; (d) statement of the problem (interrogative form) / purpose of the study (declarative form); and (e) statement of the hypothesis (when a study requires an inferential question);

A. Short Introduction

- This part contains the general orientation about the study; a mood setting for readers providing them a bird's eye view of the study. It conveys to the reader the importance of the research project and that is likely to make a contribution to national development, or societal benefit, if not for the improvement of condition, situation, etc.

- This part also consists of statements on what led the investigator to launch the study.

- This is bringing into focus the justification for the conduct of the study. The justification gradually connects it to the world of ideas (a conversation with literature/theories), empirical data or observations from previously conducted studies.

B. Major Concepts

- This part is where the sub-headings for major concepts of the study are placed, including RRL and RS arranged according to specific problems (or purpose of the study);

- Gap in knowledge and significance of the study are subsumed in the major concepts;

- By introducing the concepts, in a way, the researcher is also presenting the scope and delimitations of the study.

C. Conceptual and Analytical Framework

- After showing the theoretical and empirical foundations on which, the study is premised (sub-headings), the author establishes the relationship between and among the variables of the study;
- The set of explicated concepts, constructs, variables and propositions of relationships between and among these concepts, constructs, and variables will be able to show the central theme, focus and or main thrusts of the study;

- It shows the researcher's own analytical position on the problem after his/her exposure to the various theories and empirical data that have bearing on the

problem. It is the researcher's new model which has its roots on the previous (or reviewed) framework, theories, and concepts;

- The **Research Paradigm** is integrated here. The paradigm is a diagrammatical representation of the conceptual framework, which has its origin on certain theories previously explained and is now being applied, thus, it is a ready-made map for the current study; and

- The conceptual and operational definitions can be integrated already in this sub-section. This part once again repeats the rationale for the investigation. The deductive approach of writing then gradually provides a link between the **Analysis of the Connection of Concepts** to the **Statement of the Problem**.

D. Statement of the Problem / Purpose of the Study

- This part describes the general aim of the study, which is a relatively brief introductory statement - usually a reiteration of the research title, followed by the specific questions or the sub-problems, which is the breakdown of the main problem of the study; and

- A good main problem spells out expected sub-problems that will further clarify it. Sub-questions could be in questions (Statement of the Problem) or statement form (Purpose of the Study). The specific problems or purposes show the descriptive dimension of the problems as well as the relational-analysis dimension (for quantitative) and or simply analysis (for qualitative).

E. Hypothesis of the Study (If applicable)

- This part serves the same purpose as objectives. It contains the general or default position on every inferential problem;

- They are stated in null or alternative hypothesis form, as they are either accepted or rejected. Those studies with inferential questions are the ones placed in this part; and

- A hypothesis is an educated guess that is formulated and provisionally adopted as answer to the relational dimension problem.

Methodology

- This part discusses in brief or concise manner the research approaches and methodologies used by the researcher in the conduct of the study which has the following important parts (no need to create sub-headings): (a) **design**, a description of the design to be utilized, including the techniques to gather data. It

is important that the design truly reflects the purposes of the study (or appropriateness). It explains how and why the design is used; (b) **locale**, this describes the setting of the study and justifies why the study is undertaken in this particular locale. (i.e. particular conditions relevant to or necessitate the conduct of the study); (c) **participants**, a description of the participants of the study; how and why they are selected. The term subjects or participants is used for experimental studies, respondents for survey type of researches, and key informants for qualitative researches. Also describe briefly the characteristics of the participants that qualify them to participate in the study. Describe also the characteristics of those not included as participants (This refers to the requirement on Inclusions/Exclusions Criteria); (d) **instruments**, a description of research tool(s) such as questionnaire, test, and interview guide. Herein, the researcher should discuss who developed the instrument, what it measures, how the instrument/s was developed, scored, and interpreted. Information on reliability validity and previous usage of the instrument should be included; (e) **procedure**, a narration of how the researcher will go along the research legwork. The author specifies the where, when and manner by which the data are to be gathered, encompassing all steps in gathering data; and (f) data treatment, a section describes fully the treatment of data - specifically the kind of statistical analysis that is applicable to the particular problem and to the nature of data gathered (for quantitative) and or treating data by open coding, classifying, and thematic clustering of themes (for qualitative); and

- In any of the parts under methodology, and whenever appropriate, discussion of ethical considerations like conflict of interest, confidentiality and data protection, management of vulnerability, risks and benefits, informed consent, and terms of reference are integrated (refer to UREB Requirements).

Results and Discussions

- In the results section, display the outcome of the analysis *without* any discussion or explanation of these results yet. Start with a description of the sample characteristics. If the research involves group comparisons, compare the sample characteristics across the groups.

- Results pertaining to the research questions or hypotheses are often presented after the sample characteristics. Keep the presentation of the results succinct and focused on findings that are specific to research questions or hypotheses that you outlined earlier. Reporting results that are not pertinent to the stated research questions or hypotheses distracts readers and compromises the focus and rigor of the paper.

- All tables and figures should be clearly labelled with proper captions, and all notations and statistical abbreviations should be explained in a legend;

- The discussion section is where one attaches *meanings* to the findings and deliver the take-home message from the research. Include a general discussion of the study findings within the context of previous work. Provide an overview of the implications of these findings and highlight the study limitations;

- Writing this subsection requires a deep understanding of the study findings, the research topic and the existing literature. This is your opportunity to explain your results and attach meaning to the findings within the context of the studies that came before your investigation. If the results differ from those of previous studies, consider providing some possible explanations for these differences; and

- No research study is free of limitations. Include a paragraph in the discussion section highlighting the limitations of the study. This will allow readers to make a sound judgment about the internal validity of the study. But also mention the strengths of the research, including its uniqueness.

Conclusions and Recommendations

- After summarizing the main findings of the study, outlining the take-home message from these findings is vital. Thus, conclusion section should be precise and to the point;

- All conclusions should be specific and directly related to the study findings. It is important to discuss the implications of the study findings for research and practice (and for education, administration and policy, if applicable); and

- Avoid sweeping generalizations.

- Meanwhile, the recommendation part envisions how results could be used for the betterment of situations and life;
- They are recommendatory or suggestive not something "imposed";

- Avoid over-reaching recommendations that are not supported by the study findings and note that the findings of a single study are rarely used to change practice.

- Thus, be cautious about what one recommends.

References

- Use APA seventh edition

Appendices

- Append necessary documents like tool(s), transmittal letters, UREB Certification, plagiarism clearance, etc.

Note that all faculty researchers also subject their full manuscript in plagiarism check and advice to seek plagiarism clearance / or certificate from the URC **(URC-FO-045** Plagiarism Clearance for Faculty Research).

EOMS-URC-GL-022

Guidelines in Assigning Faculty Research Points on Production

Faculty researchers are given points for conducting research or researches. In terms of production, there are five major sources. These are: (1) research collaboration as member of the technical panel; (2) institutional policy – oriented studies; (3) disciplinal researches; (4) faculty promotership (for undergraduate studies); and (5) capstone/faculty projects approved by IPOPhil (IPRight like patent / copyright / trademark / utility models).

Research points are assigned for each source. The research chair consolidates all sources of points for individual faculty member and makes initial assignation of points. The list is submitted to the University Research Center Director who double checks the assignation of points using **URC-FO-046:** Form for Assigning Faculty Research Points.

The rubric below is used for assigning faculty research points for production and as reviewer:

A. **Research Collaboration as Member of Examining Panel**
As Panel Member - .**5** per research; Maximum – **5** points only

B. **Institutional Policy – Oriented Studies**
For Individual Authorship – **15** points;
For 3 researchers – Lead (**13** points); Collaborators (**10** points);
For more than 3 researchers - Lead (**12** points); Collaborators (**9** points)

C. **For Disciplinal Researches**
For Individual Authorship – **15** points;
For 3 researchers – Lead (**13** points); Collaborators (**10** points);
For more than 3 researchers - Lead (**12** points); Members (**9** points)

D. **Faculty Promotership (For undergraduate studies) / Based on URC Manual**
Solo (with undergraduate collaborators) – **10** points

E. **Capstone/Faculty Projects Approved by IPOPhil (IPRight like Patent / Copyright / Trademark / Utility Models)**
Solo (Faculty Project) – **15** points
With undergraduate collaborators – **10** points

F. **For Peer Review** (On a semester basis and with documentation of reviewed articles) (Max: 5, per year or every peer-reviewed journal

For every peer-review work	**International**	**National**	**Regional**	**Institutional/Local**
	1.00	**0.75**	**0.5**	**0.25**

Guidelines in Conducting Institutionally - based Externally Funded Research Project

The Research Center, as the main arm of the University in terms of its research function, will monitor, coordinate, and disseminate information on research–related activities with regards to institutionally–based externally funded research projects. Institutionally–based externally funded research projects would include the following:

a. Researches (i.e. institutional) contracted by an external funding organization to Saint Mary's University, specifically through the School or Department.
b. Research projects which are officially endorsed by and awarded to Saint Mary's University.
c. Research projects for which the memoranda of agreement are made between Saint Mary's University and the funding organization.
d. Research projects for which funds are directly channelled through Saint Mary's University.

I. Proponent Qualification

a. Main research project proponents must be faculty members with permanent and full – time teaching status. However, part –time faculty members, can serve as main proponents upon the recommendation of the school's research council and approval by the Research and Community Development Council (RCDC).
b. Middle or junior administrators may also be main proponents provided that their research involvement would be equivalent to at most 6 units or be given a de-loading of at most 12 units.

II. Teaching Requirements (for Faculty)

A full–time faculty member involved in an externally funded research project must have at most 12 units teaching load in a regular semester and 4.5 units in a summer term (i.e. 28.5 units in a school year).

III. Project Development

a. The University will have preference for projects which are in line with its vision–mission statement and the University's and School's research thrusts (i.e. research agenda).
b. Proponents may not necessarily be compensated for the preparation of project proposals. However, when and if necessary, the Research and Community Development Council (RCDC), through the Research Center, may commission identified faculty member(s) to prepare a project proposal and who will be given a 12 – unit deloading for research purposes.
c. The University (through the Research Center), School, Other Centers, or

Department, as the case applies, will be responsible for establishing and maintaining linkages with external agencies, specifically for project development purposes. However, the Research Council, headed by the Research Chair, of the involved School will be responsible for the proper selection of funding agency (ies).

d. The proposed budget should include the following: personal expenses (i.e. professional fees, honoraria for researchers, etc), maintenance and other operating expenses (i.e. supplies, traveling expenses, communication expenses), special purposes (i.e. photocopying services, audio recording services, video recording services, etc), **other personnel compensation (SSS, MEDICARE, PAG – IBIG) and other provisions which may include hospitalization (especially for technicians, field personnel).**
e. The project will also include an overhead cost (a certain percentage) for the use of university services and facilities. However, this may be waived by the University for Special Reasons.
f. Rates for honorarium, professional fees, and technical fees will be based on standard existing rates according to the University's policies and procedures.
g. The Research Center may assist the proponents in the preparation of a memorandum of agreement, contracts and the like.
h. The Research Center may assist the proponents in the preparation of project proposals, when and if necessary.
i. The involved School, through its Research Council, should see to it that the project proposal is properly prepared and reviewed before submission to the funding agency concerned. However, when and if necessary, the School may ask the assistance of the Research Center for the needed evaluation before submission to the funding agency.
j. The School involved, through the proponent(s), will be responsible to initiate and handle negotiations for the eventual approval of the project proposal with the identified funding agency.
k. Upon approval of the project proposal by the funding agency, the Memorandum of Agreement (MOA) or contract will be prepared. The procedure for the signing of the Memorandum of Agreement (MOA) or contract will be as follows:

    1. The proponent submits the MOA or contract accompanied by the approved project proposal to the Institute's Director or Department's Head for endorsement to the School's Research Council headed by the Research Chair
    2. The School's Research Council, through the Research Chair, endorses the MOA or contract to the Academic Dean of the School.
    3. The Academic Dean returns the MOA or contract to the School's Research Council, through the Research Chair for endorsement to the Director of the Research Center.
    4. The Director of Research Center consults the University's Legal Counsel for needed legal considerations.
    5. If without any legal problems/impediments, the Director of the Research Center endorses the MOA or contract to the University Research Council,

headed by the University President for the final approval.

6. If approved, the MOA or contract signing between the University and the funding agency(ies) is arranged.

IV. Project Implementation

a. After the necessary MOA or contract has been signed by the parties concerned, the University's Research Council, through the Research Center will start monitoring the project. The Director of the Research Center will monitor through the School's Research Council headed by the Research Chair.
b. The proponent(s) who prepared and/or submitted the proposal project is obliged to personally implement, at all cost, the approved project.
c. The proponent(s) will be asked to advice the funding agency to make checks representing partial/full releases of financial grants to SAINT MARY'S UNIVERSITY (Attention: Name of Proponent(s) or just the Main Proponent).
d. The proponent(s) is/are advised to include in progress reports a financial report to be forwarded to the University's Accounting Office and the funding agency (ies).
e. The University's Accounting Office will be asked to open an account for the approved project. The account name will bear the title of the project, the school where the project will be based, the main proponent or proponent(s), and the funding agency (ies).
f. The proponent(s) should keep all necessary receipts and disbursements to monitor project fund balances as the need arises. A financial report form the University's Accounting Office may also be requested by the proponent(s) to check and validate personal financial report.
g. When and if necessary, through the Research Center as endorsed by the School's research Chair, proponent(s) will make arrangements with the University's Accounting Office for the transfer of funds to appropriate University account on identified overhead cost incurred.

V. Disbursement of Project Funds

A. Disbursement Procedure

1. All requests of disbursements of funds should be made through the University's Accounting Office through a Payment Requisition Slip.
2. Disbursement requests should be supported by appropriate documents (e.g. computations).
3. The disbursement request should be endorsed and signed by the Director (if under an Institute), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.
4. The Director of Research forwards the disbursement request to the University's Accounting Office.

B. For Cash Advances

1. Cash advances for direct purchase of equipment, supplies, materials and the like should be approved, endorsed and signed by the Director (if under an Institute), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.
2. Cash advances for accommodations should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of Research and be directly payable to the involved institution or entity. Supporting document should include details of the activity (i.e. duration, venue, participants, etc).
3. Cash advances for payment of resource persons, facilitators, and technical consultants should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center and be directly payable to the resource persons, facilitators, and technical consultants.
4. Liquidation of cash advances would involve a summary of expenses, supporting documents, and with the needed signatures to whom the cash advance was paid and approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.

C. Requests for Reimbursements

1. Requests of reimbursements should also be made through a Payment Requisition Slip and approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Dean of the School, and Director of the Research Center.
2. Liquidation will be done in the same manner with that of cash advances.

D. Payment for Research Related Services

Payment for research related services should be made through a Payment Requisition Slip payable directly to the person concerned. The Payment Requisition Slip should be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.

E. Purchase of Supplies/Equipment/Materials

1. Requests for the purchase of supplies/equipment/materials should be made through a Materials Requisition Slip and approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of the Research Center.

2. The Director of Research will be the one to endorse the request to the Accounting Office and to the Purchasing Officer.
3. Upon purchase, the Purchasing Officer informs the Director of the Research Center.
4. The Director of the Research Center informs the proponent(s) who will prepare a Payment Requisition Slip to be approved, endorsed and signed by the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and by the Director of the Research Center.
5. The MRS and the PRS will be forwarded to the Accounting Office for the needed budget verification and for the release of the requested supplies/equipments/materials.

F. Hiring of Project Personnel

1. Hiring of project personnel should be made in consultation with the Director (if under a Center), Head (if under a Department), School's Research Chair, Academic Dean of the School, and Director of Research.
2. Hiring and compensation of project personnel will follow University policies and procedures.

V. Project Completion

The proponent(s), attested by the School's Research Council and University Research council, will certify the completion of the project and furnish the Research and Community Development Council (RCDC), through the Research Center a copy of the report for documentation purposes.

EOMS-URC-GL-024

Guidelines in Conducting Research by External Researcher(s) in Saint Mary's University (Faculty and/or Students)

As a rule, the institution allows external researchers, whether faculty and or students to conduct researches in Saint Mary's University. This is for generation of new knowledge in various disciplines and or as a contribution to relevant institutional policy-oriented studies for private higher educational institutions, state universities, CICM advocacies and thrusts, teachers' instructional development and development in students' teaching and learning, as well as researches gearing toward community outreach and extension services.

The external faculty and or student researchers are advised to follow a set of guidelines namely:

1. A transmittal letter addressed to the university president articulating the purpose of the investigation, target participants, and schedule of research activities;
2. Submission of a capsule proposal (or a full-blown protocol document);
3. Data gathering tool(s); and

4. Other important appendices relative to the research.

As soon as the transmittal letter to the university president has been received, it is forwarded to the URC Director for appropriate action. The latter advises the external researchers to complete the requirement and should be submitted via email.

Upon receipt of the requirements, the URC Director approves the conduct of the research. The external researchers proceed informing appropriate persons (heads of offices), and or target participants (teachers and or students) about the research and the approval of the person(s) in charge.

The data gathering shall ensue. Meanwhile, the URC Director informs the RCDC members about the status of the on-going data gathering activity and the research per se for the information of the body.

EOMS-URC-GL-025

Guidelines in Reporting Faculty External Research Dissemination

The following guidelines are used in reporting the external research dissemination activities of faculty researchers:

Any time during the year (after and/or before the oral presentation), faculty researcher(s) are encouraged to disseminate their research findings in any external research forum. This is to contribute to the facilitation of research uptake by participating in research fora.

The URC can also extend invitations to the research team(s) whenever research dissemination invitations are received from academes and or organizations. After the forum, the lead faculty researcher asks from the research chair a copy of **URC-FO-047:** Individual Report Form for Faculty External Research Dissemination with / without Awards (Throughout the Year) and accomplishes said report form and submits it to the research chair for safe keeping and monitoring of external research dissemination activities of faculty, especially those with awards like "best paper" and "best presenter."

In turn, the research chair consolidates all individual report form. At the end of the semester, the research chair accomplishes **URC-FO-048:** Summary List of Faculty External Research Dissemination (Semester-End) for submission to the University Research Center.

Those with awards are highlighted and given recognition during the *AGAPE* and also given research points for those who garnered awards in national and international research dissemination fora.

EOMS-URC-GL-026

Guidelines in Assigning Faculty Research Points on External Dissemination (with Awards)

From 2011 to 2017, the institution gives recognition, as well as research points to faculty researchers who disseminate their research findings in external research forum. This is to contribute to the facilitation of research uptake by participating in research convocations. During these years, faculty researchers are recognized in the yearly celebration of *AGAPE* usually scheduled in December.

Albeit in 2018, to elevate further the culture of research along dissemination among faculty researchers, only those who garnered awards were given recognition in *AGAPE* such as those who got first, second and third place awards as "best presenter" and or "best paper" in national and international research convocations.

Still, those with or without awards are listed in **URC-FO-049:** Individual Report Form for Faculty Research Points for External Research Dissemination with or without Awards (Throughout the Year) which are accomplished by individual faculty researcher for accreditation purposes. The form is submitted to the research chair for

monitoring and safekeeping purposes. Meanwhile, the research chair accomplishes **URC-FO-050:** Summary List of Faculty Research Points for External Research Dissemination (Semester-End) for the same purpose.

In giving research points for those who garnered awards, the Table below serves as a rubric in assigning points:

Recognition from Reputable Award - Giving Bodies (Best Paper/Best Presenter)

Award Categories	International	National	Regional	Provincial	Municipal
First Place	15	12	9	6	3
Second Place	12	9	6	4	2
Third Place	9	7	5	3	1

EOMS-URC-GL-027

Guidelines in Reporting Faculty External Publications and Assignation of Faculty Research Points in Publication

To instill among faculty researchers the value of generating new knowledge and information in the discipline, sustained connection to scholars in the field is emphasized by encouraging them to publish their research works in external reputable and refereed journals.

In coordination with the research chairs, the URC informs faculty researchers of received external invitations from agencies and/or academes for training participation in publication and encourages faculty researchers to publish their research works in reputable, refereed journals. All external publications are consolidated at the URC for safekeeping and monitoring purposes.

In reporting the external publication of faculty researches, the research chairs provide them with a copy of **URC-FO-051:** Individual Report Form for Faculty External Research Publication (Throughout the Year) to be filled-up and submitted to their respective research chair. Meanwhile, the research chairs accomplish **URC-FO-**

052: Summary List of Faculty External Research Publication (Semester-End) for safe keeping, monitoring and as basis or evidence in giving research points to faculty researchers.

In assigning faculty research points in publication, the rubric below is used:

Research Publications

Categories	International		National		Regional
	Scopus, ISI, Clarivate Journals	Other reputable refereed journals	Scopus, ISI, Clarivate Journals	Other reputable refereed journals	
Individual Authorship	12	10	10	8	5
For 3 researchers	10 Lead 6 Collab	8 Lead 5 Collab	8 Lead 5 Collab	6 Lead 4 Collab	4 Lead 2 Collab
For more than 3 researchers	8 Lead 5 Collab	6 Lead 4 Collab	6 Lead 4 Collab	4 Lead 2 Collab	3 Lead 2 Collab

EOMS-URC-GL-028

Guidelines in Individual Reporting of Research Utilization of Faculty and Assignation of Research Points on Utilization

To ensure utilization of faculty research findings, a Research Contract is signed between the administration and faculty researchers as specified in **URC-FO-053:** Form on Faculty Research Utilization Contract. The team is remunerated for five (5) months immediately after the utilization and submission of Terminal Report either during the First Semester and/or Second Semester.

In addition, the URC in coordination with the research chairs and the Lingkod Maria Community Development and Advocacy (LMCDAC) Center shall:

1. Conduct capacitation activities of faculty researchers in crafting project proposals intended for community extension which are borne out of research results;
2. Forge linkages with internal units and external community partners if needed; and
3. Train them to craft needed MOU/MOA to specify duties and responsibilities of stakeholders as well as counterparts (if needed).

At this stage, the LMCDAC and the research team shall coordinate the utilization stage with community beneficiaries and/or clients.

Meanwhile, patentable products, utility models, designs and materials for copyright which are borne out of applied researches shall be identified by the Technology Transfer and Business Development Office. Said office is responsible for working on their recognition as stipulated in the provisions of the IP Right Policies of the School (refer to TTBDO Manual and IP Right Policies of the institution).

Likewise, research results of institutional policy-oriented studies shall be documented for utilization by the faculty researchers and research chair, as well as by their partner internal units. A project-proposal is also accomplished for this matter. For example, if the seminar-workshops and trainings are intended for employees, the research teams shall establish partnership with the Human Resource and Development Office (HRDO). If it were for students, the research team shall establish linkage with the Dean of Student Affairs and Services (DSAS).

In reporting the utilization of faculty researches, the research chair shall provide a copy of **URC-FO-054:** Form on Individual Report of Faculty Research Utilization (Throughout the Year), to be filled up by lead researcher. This should be submitted to the research chair for safe keeping. Meanwhile, the research chair accomplishes **URC-FO-055:** Summary List of Faculty Research Utilization Activities (Semester-End) for safe keeping and monitoring of faculty utilization activities for the semester.

EOMS-URC-GL-029

Guidelines in Reporting Faculty Achievement in Research

To promote excellence and innovation in research among faculty researchers, they are encouraged not only to produce researches with demonstrable international, national and local significance but actively participate in research dissemination and publication and in crafting relevant project proposal for utilization of said research findings.

The lead researcher is enthused to lead his/her research team to capture the essence of the research results for possible uptake by needy target communities and sectors. He/she is also encouraged to look for possible external dissemination and publication outfits to widen the base of knowledge sharing and knowledge capture.

In reporting the faculty researchers' achievement in research to give appropriate institutional distinction, **URC-FO-056:** Individual Report Form for Faculty Scholarly Engagement (Throughout the Year) shall be provided by the research chair and to be filled up by the lead researcher. The latter shall submit the filled-up form to the research chair.

Meanwhile, **URC-FO-057:** Summary List of Faculty Scholarly Engagement (Semester-End) shall be filled-up by the research chair to summarize the list of faculty achievements in research for submission to the University Research Center to extend proper tribute or honor to them and assignation of points for the faculty research team.

Apart from research production, dissemination, publication and utilization, scholarly engagement among faculty members also include: speakership engagement in national and

international convocations, book writing in national and international circulation, and peer reviewing works in national and international journal publication outfits.

EOMS-URC-GL-030

Guidelines in Reporting Faculty Remuneration of Student-Researches to the Accounting Office (Proposal and Oral Defense)

To ensure that members of the technical panel of evaluators in student defenses are get paid and on time, student-research teams are encouraged to pay the defense fees over the counter at the Accounting Office (for proposal – Php3, 900; for oral – Option A (statistician comes from URC) – Php 5, 400); Option B (statistician comes from the Pool – Php 6, 300).

Inasmuch as research teams usually flock to the URC for treatment of data, the students are given the option to wait for the university statistician's availability and or to avail of the services of the pool of statistician. In this case, the students are guided with the following approved fees:

Approved during the Second RCDC Meeting for AY 2021

Proposal Stage (Chapters 1, 2, References)		
Composition of the Examining Panel	**Gross**	**Estimate Fees for a Research Team consisting of 5 Members**
Content Specialist 1	750	
Content Specialist 2	750	

Content Specialist 3	750	**780** per student
Adviser-Promoter	1, 250	
Total	3, 500 plus overhead of 400 = **Php 3, 900**	

Note: Please encourage a Team Research rather than an Individual Research

Oral Defense Stage (Full Manuscript)		
Composition of the Examining Panel	**Gross**	**Estimate Fees for a Research Team consisting of 5 Members**
Content Specialist 1	875	**1, 080** per student if it falls under letter A **1, 260** per student if it falls under letter B
Content Specialist 2	875	
Content Specialist 3	875	
Adviser-Promoter	1,500	
*Data Analyst a. If the statistician comes from the URC, less -875; b. If he/she comes from the Pool	-875 (a) +875 (b)	
Editor	875	
Total	5, 000 plus overhead of 400 = **5, 400 (a)** 5, 875 plus overhead 425 = **6, 300 (b)**	

After the defense, the research chair reports from the URC the list of technical panel of evaluators who shall get paid by filling the template form(s): **URC-FO-058:** Faculty Remuneration of Student Researches (Proposal Defense) and **URC-FO-059:** Faculty Remuneration of Student Researches (Oral Defense).

These forms are submitted to the URC staff to double check the information. If the information is correct, she/he prepares the transmittal letter to the Accounting Office. This is signed by the URC Director. At this stage, the research chair waits for the confirmation of the URC if the honoraria payments are ready to be disbursed.

EOMS-URC-GL-031

Guidelines for Faculty Support to National and International Research Presentation

Under the Expanded Faculty Research Assistance Program (EFRAP), in line with the publication program of the Research Center, faculty members can be awarded financial assistance for local and international paper presentations.

I. Faculty Qualification

Financial assistance is **only** awarded to **full-time and permanent Faculty members.**

II. Grant

For Local Presentations, 100 % assistance will be awarded whilst for International Presentations only 50 % assistance will be given. The following will be covered by the grant:

- Registration fee
- Round-trip Fare (economy airfare only)
- Allowance (i.e. board and lodging)

III. Application and Processing

1. Applications must be submitted to the School Research Council. The application should include the following:
   a) the paper (full text) to be presented at the conference;
   b) photocopy of the Letter of Invitation and Acceptance;
   c) photocopy of the Brochure of the Conference;
   d) details of Financial Assistance (e.g. amount, coverage, proposed utilization).

2. The paper for presentation shall be jointly reviewed by experts of the discipline from the School Research Council and the Research Center.

3. Taking into consideration the comments and/or recommendations, the School Research Council and the Research Center shall recommend action on the application and forward the same to the University President for approval.

IV. Conditions

1. A School shall nominate only one application for a specific conference.

2. Yearly slots shall be allotted on a competitive basis depending on the allocated funds for such by the School. Since there are only limited slots per year, priority shall be given to first time applicants.

3. Applications must be submitted at least one month before the conference date. Late submissions will not be accommodated.

4. Immediately after getting approval of the financial assistance, the applicant shall sign a contract with the University through the School Research Council and the Research Center stipulating the terms and conditions of the grant.

5. It will be the applicant's responsibility to make his/her travel arrangements.

6. Upon return from the conference, within 5 working days, the grantee shall submit the following to the School Research Council and the Research Center:

   a. Organizer's Certification or proof that the beneficiary presented the accepted paper during the conference;
   b. A Travel Report containing highlights of the conference (includes also photocopy of travel documents);
   c. Liquidation Report

7. The grantee shall be asked to present the paper in a research forum organized either by the School Research Council or the Research Center.

3. **Work Instructions for Faculty Research**

1. **Faculty Research Production**

(EOMS-URC-WI-016)

Title	**Work Instructions on Research Production (A)**
Scope	This procedure applies to URC Staff and research coordinators from the time they post the call for research proposals to the time they gather soft and hard copies of the full manuscripts.
Person/s Responsible	URC Staff and Research Coordinators
Instructions	

1. Announce and post the call for research project proposals;
2. Collect faculty research proposals;
3. Share the research itinerary for the year;
4. Organize a forum for discussing research proposals;
5. Compile all research proposals;
6. Submit the proposals to the Advisory Board for approval;
7. Draft contracts for faculty research;
8. Ensure all research team members have signed the contracts;
9. Provide research capability training to enhance faculty knowledge and skills;
10. Verify that data gathered is complete as per the proposal;
11. Track the development and progress of the research; and
12. Gather soft and hard copies of the full manuscripts.

(EOMS-URC-WI-017)

Title	**Work Instructions on Research Production (B)**
Scope	This procedure applies to faculty researchers from the time they apply for a research grant through approval, conducting the research, and the submission of the full manuscript in both soft and hard copies.
Person/s Responsible	Faculty researchers
Instructions	

1. Draft the Research Project Proposal;
2. Ensure the proposal aligns with the School Research Agenda;
3. Submit the proposal by the designated deadline;
4. Adhere to the research itinerary provided;
5. Present the proposal during the scheduled forum;
6. Sign the Faculty Research Contract upon proposal approval;
7. Participate in scheduled research capability trainings or seminars;
8. Follow scientific and ethical research guidelines;
9. Check that the gathered data is complete according to the proposal; and
10. Submit both soft and hard copies of the full manuscript.

2. **Research Dissemination**

(EOMS-URC-WI-018)

Title	**Work Instructions on Research Dissemination (A)**
Scope	This procedure applies to the URC staff and Research Coordinators who plan, implement, monitor and evaluate the conduct of research dissemination activities, especially during the celebration of the LLL.
Person/s Responsible	URC Staff and Research Coordinators
Instructions	

1. Plan and organize the research dissemination forum during the LLL celebration;
2. Draft the LLL Program and seek approval from the RCDC;
3. Select external evaluators or reactors to provide feedback for manuscript improvement;
4. Invite representatives from governmental organizations, associations for potential uptake;
5. Execute the research dissemination forum;
6. Collect revised full manuscripts a week after the presentation;
7. Receive and respond to calls for research dissemination from external sponsors;
8. Notify research teams to present their work based on the nature of the invitations;
9. Monitor research teams that participate in external dissemination forums; and
10. Report the list of faculty research awardees (best presenter and best paper) to the RCDC for research points.

(EOMS-URC-WI-019)

Title	**Work Instructions on Research Dissemination (B)**
Scope	This procedure applies to faculty researchers from the time they are awarded grants and required to present at the LLL, through to the point when they inform the URC about other external dissemination activities.
Person/s Responsible	Faculty Researchers
Instructions	

1. Accept invitations to participate in research dissemination forums;
2. Share your research results at the forum;
3. Finalize the full manuscript based on suggestions received;
4. Submit the finalized manuscript to the URC within a week after the LLL;
5. Respond to invitations from the URC for external research dissemination forums;
6. Present your research results at external forums; and
7. Inform the URC about your external participation, including any awards received.

3. **Research Publication**

(EOMS-URC-WI-020)

Title	**Work Instructions on Research Publication (A)**
Scope	This procedure applies to URC Staff and Research Coordinators who sponsor publication seminar-workshops to hone the skills of faculty researchers for in-house and external publications.
Person/s Responsible	URC Staff and Research Coordinators
Instructions	

1. Plan and arrange necessary publication seminar-workshops or training sessions;
2. Identify and invite lecturers with a proven track record in publication;
3. Develop a program to guide the seminar-workshop and training sessions;
4. Present the program plan to the RCDC for approval;
5. Notify research teams about the approved activity;
6. Communicate with the faculty about the upcoming publication seminar-workshops and trainings;
7. Oversee and manage the execution of the seminar-workshop or training;
8. Motivate research teams to publish their work in reputable, refereed external journals; and
9. Collect and compile faculty external publications for research points.

(EOMS-URC-WI-021)

Title	**Work Instructions on Research Publication**
Scope	This procedure applies to faculty researchers who participate in URC-sponsored publication trainings for their studies to get publish in the in-house journals and or in Scopus-indexed, ISI and Web of Science journals
Person/s Responsible	Faculty Researches
Instructions	

1. Attend publication seminar-workshops and trainings sponsored by the URC/Research Councils;
2. Submit the publishable IMRAD format to the URC for in-house publication;
3. Submit the IMRAD format to external reputable, refereed journals; and
4. Provide the URC with all studies published in external reputable, refereed journals.

4. **Research Utilization**

(EOMS-URC-WI-022)

Title	**Work Instructions on Research Utilization (A)**
Scope	This procedure applies to research coordinators and TTBDO staff, covering the period from the approval of utilization proposals to the determination of potential patentable products or copyrights.
Person/s Responsible	Research Coordinators/TTBDO
Instructions	

1. Organize training-workshops for faculty research teams on research utilization proposals;
2. Provide training on drafting Memoranda of Understanding (MOUs) and Memoranda of Agreement (MOAs), specifying stakeholders' responsibilities, bilateral agreements, duration, and special provisions;
3. Implement the community extension project which were borne out of empirical research;
4. Determine potential patentable products, such as utility models, designs, products, and materials resulting from research or prototype developments; and
5. Collaborate with the TTBDO to achieve recognition of patentable products, utility models, designs, and materials for copyright (Refer to TTBDO-WIs on the Recognition of IPRs).

(EOMS-URC-WI-023)

Title	**Work Instructions on Research Utilization**
Scope	This procedure applies to faculty researchers whose utilization proposals have been approved by the Advisory Board. Utilization projects commence immediately after the research production cycle to ensure that empirical data are used to improve conditions.
Person/s Responsible	Faculty Researchers
Instructions	

1. Participate in workshops focused on research utilization proposals derived from research results;
2. Establish linkages and partnerships for community extension projects;
3. Attend training sessions on drafting Memoranda of Understanding (MOUs) and Memoranda of Agreement (MOAs); and
4. Submit potential patentable products, such as utility models, designs, and materials, to the TTBDO for copyright and patent processing, based on research or prototype developments.

G. Forms for Faculty Researches

EOMS-URC-FO-050

TEMPLATE FORM ON FACULTY FULL-BLOWN PROPOSAL AND FINAL IMRAD MANUSCRIPT

Title

Proponents

Abstract

Introduction

F. Short Introduction
G. RRL and RS of Major Concepts / Variables (Based on Problem)
H. Theoretical Framework
I. Conceptual and Analytical Framework
J. Statement of the Problem / Purpose of the Study
K. Hypothesis of the Study (If applicable)

Methodology

A. Design
B. Locale
C. Participants and Sample
D. Instrument(s)
E. Data Gathering Procedure
F. Treatment of Data

Results and Discussions

Conclusions and Recommendations

References

Appendices

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

EOMS-URC-FO-051

PLAGIARISM CLEARANCE FOR FACULTY RESEARCH

Proponent(s):

_____
_____
_____
_____
_____

Research Title:

_____
_____
_____

This is to certify that the above research manuscript passed the plagiarism evaluation and is ready for grammar and organization and APA format and style compliance evaluations.

_____ _____
Evaluator ***Date***

Note: *Result* ___ **%**

EOMS-URC-FO-052

FORM FOR ASSIGNING FACULTY RESEARCH POINTS
(Production / Review)

School: _____ Date: _____
Academic Year: _____

Name of Faculty	As a Panel	As a Promoter	Faculty Disciplinal Study (Faculty Research Mechanism)		Institutional Policy-Oriented		Capstone / Faculty Projects		As UREB Reviewer	As Peer Reviewer (Journals)	Total Score	Credited	Merit Points
			Lead	Collab	Lead	Collab	Lead	Collab					

_____
Research Coordinator

Guide for the Research Chair in Assigning Scores (Research Production/Research Reviewer):

A. **Research Collaboration as Member of Examining Panel (Old Rule)**
As Panel Member - .5 per research; Maximum – 5 points only
As Adviser - .5 per advisorship; Maximum - points only

B. **Institutional Policy – Oriented Studies**
For Individual Authorship – 15 points;
For 2-3 researchers – Lead (13 points); Collaborators (10 points);
For more than 3 researchers - Lead (12 points); Collaborators (9 points)

C. **For Disciplinal Researches**
For Individual Authorship – 15 points;
For 2-3 researchers – Lead (13 points); Collaborators (10 points);
For more than 3 researchers - Lead (12 points); Members (9 points)

D. **Faculty Promotership (For undergraduate studies) / Based on URC Manual**
Solo (with undergraduate collaborators) – 10 points

E. **Capstone/Faculty Projects Approved by IPOPhil (IPRight like Patent / Copyright / Trademark / Utility Models)**
Solo (Faculty Project) – 15 points
With undergraduate collaborators – 10 points

F. **As a UREB Reviewer**
0.5 point – for every review (maximum of 5 points)

G. **As Peer Reviewer** (Maximum of 5 points)

For every peer-review work	**International**	**National**	**Regional**	**Institutional/Local**
	1.00	0.75	0.5	0.25

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

INDIVIDUAL REPORT FORM FOR FACULTY EXTERNAL RESEARCH DISSEMINATION WITH OR WITHOUT AWARDS (Throughout the Year)

Lead Researcher: _____

Collaborators: _____
_____
_____
_____

School: _____

Department: _____

Title of Research	**Sponsoring Agency**	**Awards Received**			**Date**
		With Awards		Without Awards	
		Best Paper	Best Presenter		
Evidence:					

(To be accomplished by the Lead Researcher)

_____
_____

Lead Researcher
(Signature Over Printed Name)

Research Coordinator
(Signature Over Printed Name)

EOMS-URC-FO-054

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

SUMMARY LIST OF FACULTY EXTERNAL RESEARCH DISSEMINATION
(Semester-End)

School: _____

Department: _____

____ First Semester ____ Second Semester ____ Midyear Term

Proponents	Title of Research	Sponsoring Agency	Awards Received	Date

(Use additional sheet if necessary)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-055

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

INDIVIDUAL REPORT FORM FOR FACULTY RESEARCH POINTS FOR EXTERNAL RESEARCH DISSEMINATION WITH AWARDS (Throughout the Year)

Date: _____

Lead Researcher: _____

Collaborators: _____
_____
_____

School: _____

Department: _____

Title of Research	Sponsoring Agency	Rank	Best Paper		Best Presenter		Score	Total
			Nat'l	Int'l	Nat'l	Int'l		
		First						
		Second						
		Third						
	Evidence:							

(To be accomplished by the Lead Researcher)

_____
_____

Lead Researcher
(Signature Over Printed Name)

Research Coordinator
(Signature Over Printed Name)

Guide for Assigning Scores: Recognition from Reputable Award - Giving Bodies (Best Paper/Best Presenter)

Award Categories	International	National	Regional	Provincial	Municipal
First Place	15	10	8	6	3
Second Place	12	8	6	4	2
Third Place	9	5	5	3	1

EOMS-URC-FO-056

SUMMARY LIST OF FACULTY RESEARCH POINTS FOR EXTERNAL RESEARCH DISSEMINATION WITH AWARDS (Semester-End)

Date: _____
School: _____
Department: _____

Proponents	Research Title	Sponsoring Agency	Rank	Best Paper		Best Presenter		Score	Total
				Nat'l	Int'l	Nat'l	Int'l		

_____
Research Coordinator
(Signature Over Printed Name)

Guide for Assigning Scores: Recognition from Reputable Award - Giving Bodies (Best Paper/Best Presenter)

Award Categories	International	National	Regional	Provincial	Municipal
First Place	15	10	8	6	3
Second Place	12	8	6	4	2
Third Place	9	5	5	3	1

EOMS-URC-FO-057

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

INDIVIDUAL REPORT FORM FOR FACULTY RESEARCH POINTS FOR EXTERNAL RESEARCH PUBLICATION (Throughout the Year)

School: _____

Department: _____

Date: _____

Proponents	Title of Research	Name of Publication Outfit		Level (Nat'l and or Int'l)	Date of Publication
		Scopus, Clarivate and or ISI	Non-Scopus, Clarivate and or ISI		

(To be filled up by the Faculty Researcher)

_____
Faculty Researcher
(Signature over Printed Name)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-058

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

SUMMARY LIST OF FACULTY EXTERNAL PUBLICATIONS
(Semester-End)

School: _____

Department: _____

____ First Semester ____ Second Semester ____Midyear Term

Proponents	Title of Research	Name of Publication Outfit		Level (Nat'l and or Int'l)	Date of Publication
		Scopus, Clarivate and or ISI	Non-Scopus, Clarivate and or ISI		

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-059

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

CONTRACT FORM ON FACULTY RESEARCH UTILIZATION

Date: _____
Faculty Grantees:
Lead Researcher: _____
Primary Collaborator: _____
Secondary Collaborators: _____ (for research points)

The Conditions of the Grant are as follow:

1. The load is equivalent to **6 units** for lead researcher / **3 units** for the primary collaborator considered as research load for a semester (5 months). The rest of the team will get research points
2. The Final Output expected is:

_____

3. The project will commence on August _____ and expected to end by December _____ (for First Semester Project Target). For those who intend to start it during the second semester, the project is expected to start by January _____ and expected to end by May _____.
4. The grantee shall regularly update the Dean, Director of the Research Center, and Research Coordinator on the progress of the expected output;
5. The Dean, Director of the Research Center and Research Coordinator shall submit a joint report on the grantee's accomplished output to the University President, the Chair of the RCDC before the end of classes for the semester of the approved grant period;
6. The Research Grant shall only be paid upon completion of the required output indicated in the proposal paper and submission of the final paper in both soft and hard copies;
7. When fully signed and approved, the lead researcher shall provide a copy of this contract to all the members of the research team; and
8. Separate copies of the Contract will be provided to the VP for Finance and University President.

We affix our signatures to signify agreement to the terms and conditions stated above

_____
Lead proponent

_____ _____
Collaborator Collaborator

Recommending Approval

_____	_____
Academic Dean	URC Director
(Signature Over Printed Name)	(Signature Over Printed Name)

Approved:

_____	_____
Vice President for Finance	University President
(Signature Over Printed Name)	(Signature Over Printed Name)

EOMS-URC-FO-060

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

FORM ON RESEARCH UTILIZATION PROJECT TEMPLATE

Lead Researcher: _____ **Signature** _____

Collaborators:
_____ _____

_____ _____

Research Title:
_____
_____
_____
_____

Inclusive Date(s) of Utilization: _____

School: _____

Department: _____

Research Utilization (Project) Title:
Title of Research
Research Abstract (Findings)
Description of the Research Utilization Project (Scope)
Project Beneficiaries
Rationale
General and Specific Objectives

Expected Results
Strategic Activities (To achieve the goals)
Narrative of Utilization (based on strategic activities)
Documentation of Utilization (Implementation of Project)
Feedback from Clients/Beneficiaries

(To be filled up by the Faculty Researcher / Extensionist)

_____
Faculty Researcher /Extensionist
(Signature over Printed Name)

Noted:

_____
Research Coordinator
(Signature over Printed Name)

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

SUMMARY LIST OF FACULTY RESEARCH UTILIZATION
(Semester-End)

School: _____

Department: _____

Proponents	Title of Research Utilization (Project)	Clients / Beneficiaries	Date of Start and Culmination	Remarks (Completed / Not Completed

(Use additional sheet if necessary)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-062

Individual Report Form for Faculty Scholarly Engagement
(Throughout the Year)

Name of Faculty: _____
School: _____
Department: _____

A. Speakership Engagement

Title of Lecture	Sponsoring Agency	Date	Level (Please check)		
			International	National	Regional
Evidence:					

(Use additional sheet if necessary)

B. Book Writing

Title of Book	Publication	Date	Level (Please check)		
			International	National	Regional
Evidence:					

C. Peer-Reviewing

Title of Journal	Publication Outfit	Date	Level (Please check)		
			International	National	Regional
Evidence:					

(To be filled up by Faculty Researcher/Book Writer/Peer-Reviewer)
(Use additional sheet if necessary)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-063

SUMMARY LIST OF FACULTY SCHOLARLY ENGAGEMENT
(Semester-End)

School: _____

Department: _____

___ First Semester ___ Second Semester ___ Midyear Term

Name of Faculty	Type (Speakership, Book Writing, Peer Reviewing)	Sponsoring Agency / Publication Outfit	Date	Level (Pls. Check)		
				Int'l	Nat'l	Reg'l

(Use additional sheet if necessary)

_____
Research Coordinator
(Signature over Printed Name)

EOMS-URC-FO-064

FACULTY REMUNERATION OF STUDENT RESEARCHES REQUESTED BY THE RESEARCH CHAIR TO THE URC (PROPOSAL DEFENSE)

Date: _____
School: _____
Department: _____

Title	ID Number	Proponents	OR Number	Adviser	Panelists

Prepared by:

_____
Research Coordinator
(Signature Over Printed Name)

EOMS-URC-FO-065

FACULTY REMUNERATION OF STUDENT RESEARCHES REQUESTED BY THE RESEARCH CHAIR TO THE URC
(ORAL DEFENSE)

Date: _____
School: _____
Department: _____

Title	ID Number	Proponents	OR Number	Adviser	Panelists	Data Analyst	Language Editor

Prepared by:

_____
Research Coordinator
(Signature Over Printed Name)

c. f: Accounting Office

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

EOMS-URC-FO-066

SUMMARY LIST OF FACULTY HONORARIA FROM STUDENT RESEARCHES (PROPOSAL DEFENSE)

Date

_____
VP Finance/Treasurer
This Institution

Dearest Mam:

This is to respectfully endorse the honoraria payments of the following adviser and panel members for the **School of _____.**

As requested by the Accounting office, the URC is now preparing a summary of payments rather than individually.

NAME OF FACULTY	ADVISER	PANEL	DATA ANALYST	LANGUAGE EDITOR	TOTAL

Please see attached files for your reference.

Thank you and God Bless!

Sincerely yours,

_____
URC Director

EOMS-URC-FO-067

Summary List of Faculty Honoraria from Student Researches
(Oral Defense)

Date: _____

School: _____

NAME OF FACULTY	ADVISER (1,500)	PANEL (875)	DATA ANALYST (875)	LANGUAGE EDITOR (875)	TOTAL

Prepared by:

_____
URC Staff
(Signature Over Printed Name)

_____
Date

Noted:

_____
URC Director
(Signature Over Printed Name)

c. f: Accounting Office

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

EOMS-URC-FO-068

SUMMARY LIST OF DATA ANALYST HONORARIA FROM STUDENT RESEARCHES

Date

_____
VP Finance/Treasurer
This Institution

Madam:

This is to respectfully endorse the honoraria payments of the following pool of data analysts for the **School of Graduate Studies (SoGS).**

70% of the payments made by ___ students will be given to them, since they helped treat the data.

NAME	PAYMENTS	DATA ANALYSTS	70%

Attached is the official receipt paid by the student for the said service.

Thank you and God Bless!

Sincerely Yours,

_____
Director

c. f: Accounting Office

SAINT MARY'S UNIVERSITY
BAYOMBONG, NUEVA VIZCAYA, PHILIPPINES
UNIVERSITY RESEARCH CENTER

EOMS-URC-FO-069

RESEARCH HONORARIA FOR PUBLICATION OF FACULTY RESEARCHES

Date

_____
Vice President for Finance
Saint Mary's University
Bayombong, Nueva Vizcaya

Dear Madam,

Greeting of Peace and Joy!

I am happy to inform you that _____of our faculty researches conducted in _____passed the rigorous checking of peer reviewers. They are now published in _____ reputable journals.

As per guideline from the URC Manual, a joint authorship receives the amount of _____ to entice faculty researchers to publish their research in peer-reviewed journals. The publications are as follows:

Research Title	Research Team	Publication Outfit	Level
			☐ International ☐ National ☐ Regional

I am hoping that other publications will be done by other faculty researchers for the year _____. Thank you for your continued support.

Sincerely,

_____
URC Director

EOMS-URC-FO-074

EVALUATION CRITERIA FOR FACULTY RESEARCH PROPOSAL
(Faculty Research Grant)

Entry No. ___

Title:
_____
___
_____
__
Lead: _____
Primary Collab.: _____
Sec. Collab.: _____

Criteria (Rubric)	Given Points	Assigned Points
A. Novelty (Relatively new / has not been studied before (if it did, it is studied with new set of variables and assumptions, new methods and techniques / contributes to the advancement of the discipline)	**20**	
1. **RRL / RS** (Scope / comprehensiveness – taken from various sources like journals, books, indices, magazines, internet articles, etc)	(10)	
2. **Updatedness** (Timeliness – sources not more than five years ago)	(5)	
3. **Quality of Publication** (Reputability of the publication and level of publication such as regional, national, international)	(5)	
B. Framework (Validates and challenges theoretical assumptions to generalize the various aspects of an observed phenomenon apart from simply describing and identifying its limits)	**10**	
1. The study framework is RRL-based	(5)	
2. Reveals the novelty (uniqueness) of the problem	(2.5)	
3. Paradigm offers new creative approach	(2.5)	
C. Relevance (Expands the frontier of knowledge in the field studied; addresses international, regional and local agenda, as well as the institution's 13-point agenda and school agenda; has practical usefulness, applicability in the school, community and society; improves quality of life; provides basis for making decisions, policies and actions)	**20**	

Criteria (Rubric)	Given Points	Assigned Points
1. Background presents general problem (setting and context of the problem)	(2)	
2. Problem statements are clear	(2)	
3. There is practical or theoretical groundedness of the study	(2)	
4. Goals and conclusions disclose the importance of the study	(2)	
5. Significance identify the impact on discipline, quality of life, policy, and other fields	(2)	
6. Rationalized why the study was undertaken	(2)	
7. Findings help one understand the subject matter more thoroughly	(2)	
8. Body of information is adequate to understand the aims/objectives	(2)	
9. Opens a new field in the discipline	(2)	
10. In line with research agenda	(2)	
D. Quality (Possesses scientific merits and ethical soundness)	**50**	
1. **Integrity** (Honesty and truthfulness)	(10)	
- The study represents the genuine work of the authors (not plagiarized)	2	
- Limitations are acknowledged or reported	1	
- Weaknesses or faults are addressed	1	
- Objectives are doable / feasible	1	
- Ethical considerations (codes of conduct / UREB guidelines) are applied	4	
- Acknowledgment of contribution of others (literature cited in discussions; citations are properly done)	1	
2. **Rigor** (Thoroughness, consistency, precision, accuracy)	(5)	
- Design is appropriate and clearly explained	2	
- Adequate references are cited if standard methods are used	1	
- If methods are modified, modifications are described fully or completely	1	
- Authors have indicated why particular procedures are used, as well as the limitations of their methods	1	
3. **Sources of Data**	(5)	
- Type of data to collect is correctly identified (people, documents, observations, etc)	2	
- Technique of data collection match data type	2	
- Technique allows repetition (replicability character)	1	
4. **Environment** is properly described (relevant to understanding the problem and findings)	(4)	
5. **Appropriate / Correct Sampling**	(5)	
- A sampling technique is used and described fully (given the population)	2	
- There is enough data to answer the question	1	

Criteria (Rubric)	Given Points	Assigned Points
- Sampling reflects the characteristics of the population	2	
6. **Research Instrument(s)**	(6)	
- Variables are operationally defined, adequately described and researched	2	
- The validity of the instrument is fully described (its soundness according to purpose)	2	
- The reliability of the instrument is fully described (the extent to which when used would yield the same results over multiple trials)	2	
7. **Data Gathering Procedure** is reflective of internal validity.	(5)	
8. **Analysis Plan**	(5)	
- Statistical procedure is fully described based on problems	2	
- Treatment for qualitative data is fully described	1	
- Data treatment is appropriate and described in sufficient detail for others to repeat or extend the study	2	
9. **Format and Style**	(5)	
- Well-structured and organized texts	1	
- Grammatically correct statements and write-up	1	
- Elegance and wit in writing (beginning to end)	1	
- Provided relevant documents (instruments)	1	
- References done in APA	1	
Total	**100**	

EOMS-URC-FO-077

SUMMARY LIST OF ADVISER-PROMOTERS

School Year: _____
School: _____

ADVISER-PROMOTER	STUDENT RESEARCHERS	DATE OF FINAL DEFENSE

(To be accomplished by the Research Coordinator, use additional sheet(s) if necessary)

_____
Research Coordinator
(Signature over Printed Name)

Date Submitted: _____

EOMS-URC-FO-078

SUMMARY LIST OF PANEL MEMBERS

School Year: _____
School: _____

PANEL MEMBERS	STUDENT RESEARCHERS	DATE OF FINAL DEFENSE

(To be accomplished by the Research Coordinator, use additional sheet(s) if necessary)

_____

Research Coordinator
(Signature over Printed Name)

Date Submitted: _____

EOMS-URC-FO-080

TEMPLATE FORM FOR INSTITUTIONAL POLICY-ORIENTED STUDIES (IPOS) GRANT (FULL-BLOWN PROPOSAL AND FINAL IMRAD MANUSCRIPT)

Title

Proponents

Abstract

Introduction

L. Short Introduction (Justification for the conduct of the IPOS)
M. RRL and RS of Major Concepts / Variables (Based on Problem)
N. Theoretical Framework
O. Conceptual and Analytical Framework
P. Statement of the Problem / Purpose of the Study
Q. Hypothesis of the Study (If applicable)

Methodology

G. Design
H. Locale
I. Participants and Sample
J. Instrument(s)
K. Data Gathering Procedure
L. Treatment of Data

Estimate Budget (The estimate budget is important for the appraisal of the fund grant to be provided apart from the group's honoraria. In contrast to the Faculty Research Grant Mechanism, the amount is given after the conduct of the study on a one-time-basis, and after submission of the full manuscript and presentation of the same during the LLL).

References

Appendices

Note: This part is to be completed after approval of the proposal by the Advisory Board

Results and Discussions

Conclusions and Recommendations

Addendum: Incentivizing Institutional Policy-Oriented Studies: A Project Proposal Approved during the RCDC May 2023 Meeting.

Rationale

Research productivity plays a central role in higher education institution development (Dacles et al., 2016). Research productivity helps improve teaching quality as there exists a strong nexus between teaching and research effectiveness (Desselle, et al., 2018). At the same time, research productivity helps develop knowledge and shape the higher education institution's reputation and brand image. In fact, findings in the study of Porter and Toutkoushian (2006) revealed that faculty research productivity was positively related to a university's reputation or brand image.

Faculty researchers can indulge in many types of researches (pure, basic, applied and or whether disciplinal and or needed institutional policy-oriented studies - IPOS). In Saint Mary's University of Bayombong, Nueva Vizcaya, a Faculty Research Grant Mechanism for disciplinal studies is already in existence since 2013. However, a separate mechanism for needed institutional policy-oriented studies, especially those research aspects continually asked for by accrediting bodies is still non-existent. Henceforth, this project proposal is crafted.

The importance of conducting studies that enhance or improve systems and procedures in an internal unit within an institution leads to better and relevant services that support the institution as a whole. A policy-oriented research is defined as research aimed at identifying new or improved policies, regulations, or institutions (or their management) that enhance economic, social, and environmental welfare (Raitzer & Ryan, 2008).

Thus, conducting IPOS cannot be undervalued. Like disciplinal studies, they are of paramount importance inasmuch as evidence of effective policies and improvement of appropriate organizational characteristics helps in promoting university productivity, relevance to the changing signs of the times and effectiveness. In short, they help in development planning and inform policy making.

Scope

This proposal covers (but is not limited to) the following: conduct of tracer studies, employment and employability studies, client/customer satisfaction surveys, employer / industry feedback, feasibility studies, departmental / unit OJT appraisals, outcomes-based instructions, program evaluations, trend or longitudinal studies on results of licensure examinations, enrollment, student services, etc, impact evaluations and the like. Sources of relevant IPOS are usually taken from the recommendations of accrediting bodies such as PAASCU documents, ISA, ISO, etc.

Revision No.	Approval Date	Effectivity Date	Amendment
00	July 1, 2022	July 1, 2022	Initial Issue
01	August 30, 2022	August 30, 2022	QOP/SOP/WIs/Forms
02	Nov. 17, 2022	Nov. 17, 2022	SOP Descriptions / Evidence / Record
03	Sept. 29, 2023	Sept. 29, 2023	QOP/SOP

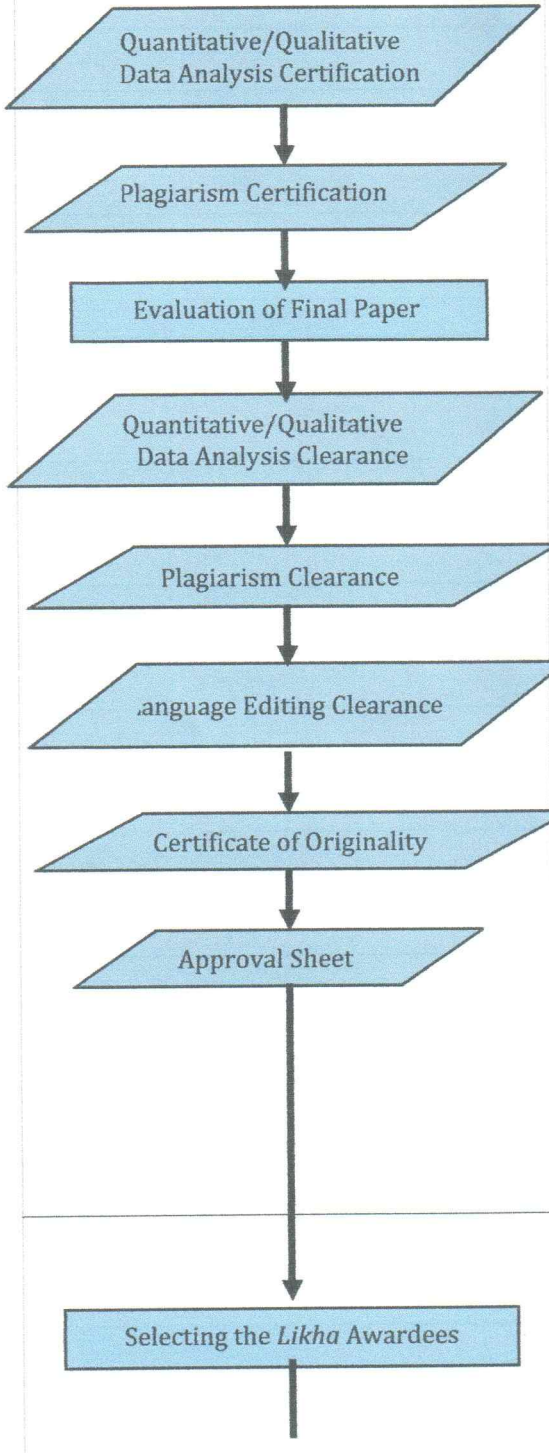
STANDARD OPERATING PROCEDURE – Student Research

TITLE	**Research Production**
SCOPE	This covers the process from the time the Research Councils and the URC set the school-based and Institutional R&D Plans where student-researches and capability trainings are in alignment to the time where *Likha* Awardees are chosen for best researches produced.
OBJECTIVE	To ensure timely and complete submission of relevant research with demonstrable institutional, local, national and global significance to further expand knowledge frontiers.

Activity	*Description*
Setting the School-based (Disciplinal) R&D Plan	**URC-PR-01: Procedure on Student Research Production** In June of every year, the Research Chair convenes the School Research Council to set the School R&D Plan, giving impetus to global, national, local, and institutional mandates and thrusts. These are integrated in the Research Agenda, as well as the training needs of students in research to enhance their knowledge and skills. **URC-ED-001:** CHED Memo Order#46, s. 2012 **URC-RF-044:** School R&D Plan
Setting the Institutional R&D Plan	In July of every year, the University Research Center Director consolidates the School R&D Plans and sets a cohesive Institutional R&D Plan. Essential forms are provided to support the procedure and guidelines such as evaluating alignment of proposal topics and monitoring of

	students' participation in R&D activities to hone their knowledge and skills in research. **URC-RF-045:** Institutional R&D Plan
Monitoring and Evaluating the Implementation of the R&D Plans	Every end of the term for Research 1 and 2 courses, the protocol documents are evaluated based on their alignment to the prepared School R&D Plan. Likewise, the capability-building activities are scheduled and monitored in conformity to the prepared Institutional R&D Plan. An evaluation whether the activities are accomplished or not accomplished is also done, highlighting major contributing factors for its accomplishment and/or factors that impeded its non-accomplishment. **URC-GL-05:** Guidelines in Monitoring the School R&D Plan **URC-GL-06:** Guidelines in Monitoring and Evaluating the Institutional R&D Plan **URC-RF-043:** PROJECT WEALTH v.2.0, the Institution's 13-point Agenda **URC-QR-09:** Narrative Reports for Research and Development (R&D) Activities Conducted **URC-FO-06:** Form for Evaluating Alignment of Students' Research Titles / Topics to the School Research Agenda (Individual) **URC-FO-07:** Summary List of Evaluated (Aligned) Students' Research Titles / Topics to the School Research Agenda (Semester-End)
Monitoring the Requirements of the Research Courses	In monitoring the requirements of the research course, every end of the term, the students meet the requirements of Research 1 and 2 courses, including defense of their protocol documents until submission of the full manuscript. **URC-RF-046:** Undergraduate Research Writing Manual **URC-RF-047:** Graduate School Research Writing Manual **URC-FO-08**: Evaluation Form for R&D Activity Conducted

	URC-FO-09: Monitoring Report Form for Implemented R&D Activities (Semester-End and Annual)
Facilitating the Research Process (Thesis Writing 1 and 2 Courses)	In facilitating the research courses, before the end of the term for Research 1 Course, the research teams defend the protocol document as a requirement for Thesis Writing 1. After the defense, the revised protocol document undergoes ethics review by the University Research Ethics Office (UREO). After the ethics review, revisions are done and continued in Thesis Writing 2. Meanwhile, pertinent forms support research activities such as in identifying the students' adviser-promoter, acceptance of promoter, agreement on promotership and checklist to aid the technical panel of evaluators. After the proposal defense, the manuscript undertakes UREB review. **URC-FO-10:** Student Researchers' Letter of Intent for Prospective Adviser-Promoter **URC-FO-011:** Research Adviser – Promoter Acceptance Form **URC-FO-012:** Agreement on Promotership **URC-FO-013:** Checklist for Technical Review of the Protocol Document **URC-RF-005:** UREO Ethics Preliminary Certification to Gather Data (refer to UREO MOPG)
Evaluation of Proposal Ethics Certificate of Approval Reliability Clearance	Additional forms are needed to complete the research activity from pilot testing of tool(s) if needed, writing the defense recommendation form to seeking consent from the technical panel. There are also forms to evaluate the research for basic, pure, applied and development studies, to consolidating comments and suggestion of panel, seeking for quantitative and qualitative clearances, plagiarism certification, language editing clearance and ultimately rating the adviser-promoter by the student-research team. **URC-FO-014:** Reliability Clearance



URC-FO-015: Proposal / Oral Defense Recommendation Sheet
URC-FO-016: Consent of Panel Members for the Defense
URC-FO-017: Research Evaluation Form (Proposal) for Basic, Pure and Applied
URC-FO-018: Research Evaluation Form (Oral) for Basic, Pure and Applied
URC-FO-019: Research Evaluation Form for Developmental Studies (Engineering, Architecture, Information Technology)
URC-FO-020: Consolidation of Recommendations/Suggestions of the Panel Members after the Defense
URC-FO-021: Letter of Endorsement to the Data Analyst
URC-FO-022: Qualitative Data Analysis Certification
URC-FO-023: Quantitative Data Analysis Certification
URC-FO-024: Plagiarism Certification
URC-FO-025: Qualitative Data Analysis Clearance
URC-FO-026: Quantitative Data Analysis Clearance
URC-FO-027: Plagiarism Clearance
URC-FO-028: Language Editing Clearance
URC-RF-005: URE0 Ethics Clearance Form (Refer to UREO MOPG)
URC-FO-029: Certificate/ Declaration of Originality
URC-FO-030: Approval Sheet Form
URC-FO-031: Adviser's Criteria Rubric for Evaluating Student-Researchers

A pinnacle of student research production is the selection of *LIKHA* nominees. The selection of *Likha* Awardees undergoes double-blind review. First, within the level of the school, which happens every last week of May. Then the second level is done by the URC every first week of June. The nominees are presented to the Committee on

	Graduation and Awards who decides and approves the final list of awardees. **URC-GL-013:** Guidelines in Selecting the *Likha* Awardees **URC-FO-033:** Form of the *Likha* Nominations (Level 1) **URC-QR-036:** Signed / Approved LIKHA Nomination (School-based / Level 1) **URC-FO-034:** Form of the *Likha* Nominations (Level 2) **URC-QR-037:** Signed / Approved LIKHA Nomination (School-based / Level 2) **URC-FO-035:** Summary List of Likha Awardees (Final) **URC-QR-038:** Approved List of LIKHA Awardees
Monitoring	In monitoring the services provided by the Center, evaluation forms are prepared and distributed for clients' use. The data culled from these evaluations become areas for improvement of various services. **URC-FO-031:** Evaluation Form for Services Provided by the Adviser-Promoter **URC-FO-032:** Evaluation Form for Services Provided Research Coordinator **URC-FO-033:** Evaluation Form for Services Provided by the Technical Panel of Evaluators **URC-FO-034:** Evaluation Form for Services Provided by the Data Analyst **URC-FO-035:** Evaluation Form for Services Provided by the Language Editor
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Student Research production.

Document Code	URC-OP-001
Revision	03
Effectivity Date	2023/9/29
Page/s	Page 6 of 6

Signature: _____ Date: 1/9/24

MASTER COPY

Prepared by:

Dr. Darwin Don M. Dacles — 12-20-23
Process Owner — Date Signed

Reviewed by:

Pearl Via S. Coballes — 12-20-23
Quality Management Representative — Date Signed

Approved by:

Dr. John Octavious S. Palina — 1-9-24
Supervising VP/President — Date Signed:

Revision No.	Approval Date	Effectivity Date	Amendment
00	July 1, 2022	July 1, 2022	Initial Issue
01	August 30, 2022	August 30, 2022	QOP/SOP/WIs/Forms
02	Nov. 17, 2022	Nov. 17, 2022	SOP Descriptions / Evidence / Record
03	Sept. 29, 2023	Sept. 29, 2023	SOP/QOP

STANDARD OPERATING PROCEDURE – Student Research

TITLE	**Research Dissemination**
SCOPE	This covers the process from the time the URC organizes, schedules, and conducts school-based and institution-based dissemination fora to the time when research teams respond to other external invitations from academies and agencies, opening opportunities to disseminate research results in a wider forum.
OBJECTIVE	To ensure timely and complete dissemination of research findings for possible uptake and consumption by targeting audiences that can be benefited.

Activity	*Description*
Organizing institution-based research dissemination fora	**URC-PR-02: Procedure on Student Research Dissemination** Every second week of April, the different schools start organizing their research dissemination fora for the institutional celebration of the *Linggo ng Likha at Lingkod* (LLL), usually scheduled on the last week of April. **URC-ED-001:** CHED Memo Order#46, s. 2012 **URC-RF-013:** LLL Program of Activities (Yearly) **URC-RF-015:** Documentation of Students' Participation in Research Fora/Conferences
Identifying research presenters per discipline	The schools identify presenters from each department and start conceptualizing the research dissemination program. **URC-RF-013:** LLL Program of Activities (Yearly) **URC-RF-015:** Documentation of Students' Participation in Research Fora/Conferences

Identifying external evaluators	As soon as the tentative program is done, external evaluators or reactors are invited to critic the full manuscript for further improvement of the paper. **URC-RF-013:** LLL Program of Activities (Yearly)
Inviting relevant organizations for possible research uptake	The schools also invite pertinent organizations, associations, governmental agencies and NGOs and/or communities for possible research uptake. At this stage, the program for research dissemination is finalized. **URC-RF-013:** LLL Program of Activities (Yearly)
Conducting the research dissemination fora	Taking all considerations like time schedules, venue, presenters, multimedia presentations, and others, the schools proceed in conducting the research dissemination fora. An evaluation form is given to assess the overall conduct of the activity at the end of each forum. **URC-FO-008:** Evaluation Form for R&D Activity Conducted **URC-FO-009:** Monitoring Report Form for Research and Development (R&D) Activities Conducted (Semester-End / Annual)
Responding to External Invitations from Academes and Agencies	For external invitations received from academes and agencies, the URC identifies appropriate schools and colleges to participate based on the nature of the Invites received. The Research Coordinator submits a List of Presenters at the end of the semester. **URC-ED-002:** Department of Science and Technology (DOST) Communications/Call for Papers **URC-ED-003:** DOST-National Research Council of the Philippines Communications/Call for Papers **URC-ED-004:** DOST-National Research and Development Conference Communications/Call for Papers **URC-ED-005:** Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development (PCAARRD) Circulars

	URC-ED-009: Department of Trade and Industry (DTI) Communications/Call for Papers **URC-ED-012:** External Research Dissemination Invites from universities and agencies
Monitoring	In monitoring students' participation in external research dissemination activities, some guidelines are set and forms are used to document participation. **URC-GL-014:** Guidelines in Reporting the External Research Dissemination Activities of Students **URC-FO-042:** Form on Individual Report of External Research Dissemination (throughout the year) **URC-FO-043**: Summary List of External Research Dissemination Activity Participated in by Students (Semester-end)
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Student Research Dissemination.

Prepared by:

Dr. Darwin Don M. Dacles — 12-20-23
Process Owner — Date Signed

Reviewed by:

Pearl Via S. Coballes — 12-20-23
Quality Management Representative — Date Signed

Approved by:

Dr. John Octavious S. Palina — 1/9/24
Supervising VP/President — Date Signed:

Revision No.	Approval Date	Effectivity Date	Amendment
00	July 1, 2022	July 1, 2022	Initial Issue
01	August 30, 2022	August 30, 2022	QOP/SOP/WIs/Forms
02	Nov. 17, 2022	Nov. 17, 2022	SOP Descriptions / Evidence / Record
03	Sept. 29, 2023	Sept. 29, 2023	QOP/SOP

STANDARD OPERATING PROCEDURE – Student Research

TITLE	**Research Publication**
SCOPE	This covers the process from the time the URC organizes research publication trainings to the time where copies of the In-House Journals and Research Abstracts are distributed.
OBJECTIVE	To ensure timely publication of research findings to sustain connection with other scholars in the field.

Activity	*Description*
Organizing research publication trainings	**URC-PR-03: Procedure on Student Research Publication** Scheduled any time during the Second Semester, publication trainings or seminar workshops are conducted by the URC and Research Councils to enhance the knowledge and skills of students in Manuscript Publication. **URC-RF-048:** Program on Publication Trainings **URC-RF-049:** Documentation of Publication Trainings
Converting submitted researches to publishable IMRAD format	The researches which passed the criteria of the selection of *Likha* Awards are included in the issue of the School In-house journal. The Research Chair converts the research manuscripts to publishable IMRAD format. He reserves the right to edit the submitted manuscripts of students for clarity, readability, and adherence to publication styles. The edited and formatted manuscripts are consolidated to constitute the School journal. Within the level of the Editor-in-Chief (the URC Director), same procedure is undertaken for the

	researches with *Likha* Awards to form the Research Abstracts. Those who opt to go for external publication usually follow publication requirements like style and format. **URC-GL-015:** Guidelines in Selecting Researches to be Published in the In-House Journal and Research Abstracts **URC-GL-016:** Guidelines in Reporting the External Publications of Student Researches **URC-FO-044:** Form on Individual Report of External Publications of Student Researches (throughout the year) **URC-FO-045:** Summary List of External Publications of Student Research Teams (Semester-end)
Producing in-house journals and research abstracts and submission to refereed, reputable journals	The drafts of the School Journals and the Research Abstracts are submitted to the SMU Publishing and Digital Printing Office for final formatting and production. **URC-QR-074:** Drafts of School Journals and Abstracts
Distributing copies of the In-House Journals	Copies of the Published In-House Journals and Research Abstracts are distributed to students and appropriate offices. **URC-RF-008:** In-House Journals **URC-RF-009:** Research Abstracts
Consolidating published researches of students in external journal publications with documentations	Students through their adviser-promoters also publish their studies in external publication outfits. The research coordinators then consolidate published researches of students in external publications for documentation purposes. **URC-QR-041:** Filled Up Individual Report of External Research Publication of Students
Monitoring	The URC Director monitors the preparation, up to distribution of the in-house journals, including collation of students' external publications for appropriate reporting to the research and community development council (RCDC).

Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on student research publication.

Prepared by:

Dr. Darwin Don M. Dacles
Process Owner

12-20-23
Date Signed

Reviewed by:

Pearl Via S. Coballes
Quality Management Representative

12-20-23
Date Signed

Approved by:

Dr. John Octavious S. Palina
Supervising VP/President

1/9/24
Date Signed:

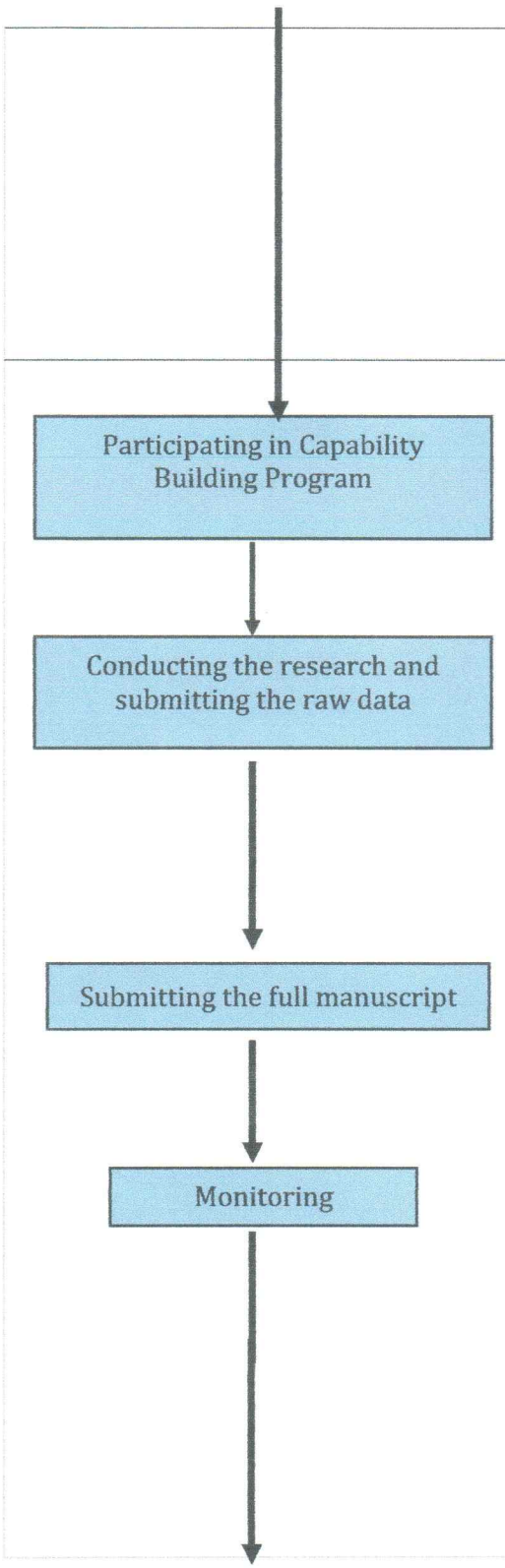
Revision No.	Approval Date	Effectivity Date	Amendment
00	July 1, 2022	July 1, 2022	Initial Issue
01	August 30, 2022	August 30, 2022	QOP/SOP/WIs/Forms
02	Nov. 17, 2022	Nov. 17, 2022	SOP Descriptions / Evidence / Record
03	Sept. 29, 2023	Sept. 29, 2023	QOP/SOP

STANDARD OPERATING PROCEDURE – Faculty Research

TITLE	**Faculty Research Production**
SCOPE	This covers the process from the time the University Research Center calls for research project proposals among faculty members under the Tertiary Faculty Research Grant to the time they submit the full IMRAD manuscript.
OBJECTIVE	To ensure timely and complete submission of relevant research with demonstrable institutional, local, national and global significance to further expand knowledge frontiers.

Activity	*Description*
Posting of Call for Research Project Proposals	**URC-PR-05: Procedure on Faculty Research Production** In July of every year, the University Research Center (URC) and Research Coordinators (RCs) post a tertiary-wide Call for Research Project Proposals for the information of faculty researchers. Research Coordinators are appointed per school to oversee all research-related works in their respective schools. **URC-RF-012:** Call for Research Proposal (Faculty Research Grant) **URC-FO-01**: Appointment as Research coordinator
Crafting of Project Proposals	The faculty researchers organize themselves into research teams and craft topic proposals which are aligned to the School Research Agenda integrated in their own respective School R&D Plan. **URC-GL-020:** Guidelines in the Creation of Research Teams and in Levelling Up of Faculty Research Mechanisms **URC-RF-043:** PROJECT WEALTH v.2.0 **URC-RF-044:** School R&D Plan

	URC-RF-045: Institutional E&D Plan **URC-QR-076:** Final List of Research Teams and Titles Meanwhile, faculty members are also encouraged to apply for mechanism A if they wish to get part time teaching loads and part time research workload during a regular semester. **URC-GL-01:** Guidelines in Applying for Faculty Teaching and/or Research-Related Work (Mechanism A) **URC-GL-02:** Guidelines in Applying for Faculty Research Mechanisms (Mechanisms B, C & D) **URC-GL-021:** Guidelines in Writing Faculty Researches (Full Blown and Final Manuscript) **URC-GL-023:** Guidelines in Conducting Institutionally-based Externally Funded Research Project **URC-FO-02:** Application Form for Faculty Teaching and/or Research-Related Work (Mechanism A) **URC-FO-03:** Contract Form for Research Load under Mechanism A **URC-FO-04:** Form on Faculty Research Production Contract (For Mechanisms B, C & D) **URC-FO-05:** Schedules of Release of Faculty Research Remunerations on top of the basic 24-unit Load (Mechanisms B, C & D) **URC-FO-050:** Template Form on Faculty Full-blown Proposal and Final IMRAD Manuscript
Disseminating the Research Itinerary	In the same month, the URC and RCs disseminate research itinerary for the year to guide the research teams. **URC-GL-019:** Guidelines in Setting Faculty Research Itinerary **URC-RF-011:** Research Itinerary
Presenting the Project Proposals	In August, the topic proposals are presented to the Members of the Advisory Board. Comments and suggestions are incorporated and the AB approves the enriched/revised topic proposals.



URC-RF-053: Program Documentations of Project Proposal Presentation
The manuscripts are submitted to the University Research Ethic Office for Ethical Research Review. Thereafter, same office issues recommendations for ethical research which are integrated in the manuscript before the issuance of clearance to proceed to data gathering.
URC-RF-005: UREO MOPG

Throughout the year, faculty members participate in research capability building programs to hone their knowledge and skills cognizant with the Institution's R&D Plan
URC-RF-054: Capability Building Activities

In Nov.-Dec., the complete data is submitted to the URC for verification and/or checking purposes before the faculty researchers even proceed to analysis and interpretation.
URC-QR-055: Checked/Verified Data of Faculty Research Teams

In March, the URC/RCs inform the faculty researchers about consolidating the full manuscript for presentation during the last week of April (LLL). The full manuscript undertakes Plagiarism Check for further revisions.
URC-FO-047: Plagiarism Clearance for Faculty Research

The URC Director monitors the submission of full manuscripts as stipulated in the Contract during the first week of May and assigns Faculty Research Points based on Rubric.
URC-FO-051: Compendium of Submitted Full Manuscripts
URC-GL-022: Guidelines in Assigning Faculty Research Points on Production
URC-QR-049: Approved Faculty Research Points (Production)

Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on faculty research production. **URC-QR-077:** Closed Out CPAR dated August 25, 2022

Prepared by:

Dr. Darwin Don M. Dacles — 12-20-23
Process Owner — Date Signed

Reviewed by:

Pearl Via S. Coballes — 12-20-23
Quality Management Representative — Date Signed

Approved by:

Dr. John Octavious S. Palina — 1/9/24
Supervising VP/President — Date Signed:

Revision No.	Approval Date	Effectivity Date	Amendment
00	July 1, 2022	July 1, 2022	Initial Issue
01	August 30, 2022	August 30, 2022	QOP/SOP/WIs/Forms
02	Nov. 17, 2022	Nov. 17, 2022	SOP Descriptions / Evidence / Record
03	Sept. 29, 2023	Sept. 29, 2023	QOP/SOP

STANDARD OPERATING PROCEDURE – Faculty Research

TITLE	**Faculty Research Publication**
SCOPE	This covers the process from the time the University Research Center organizes research publication trainings to the time the published papers of faculty researches in external refereed journals is submitted.
OBJECTIVE	To ensure timely publication of research findings to sustain connection with other scholars in the field, at least within a period of five years after production

Activity	*Description*
Organizing publication trainings	**URC-PR-07: Procedure on Faculty Research Publication** Anytime during the Second Term, the URC/RCs organize publication trainings to enhance faculty researchers' knowledge and skills on publication. **URC-RF-061:** Narrative and Documentation on Conducted Publication Trainings
Submitting publishable IMRAD format to external publication outfits	Throughout the year, faculty researchers submit publishable IMRAD format for publication in external refereed journals. **URC-RF-062:** Transmittal Letters of Faculty Researchers Informing the Center of their External Publications in reputable and refereed journals
Submitting proofs of published papers by faculty researchers in external refereed journals	The URC/RCs consolidate all published papers by faculty researches in external refereed journals and makes a report on this for faculty research points. **URC-RF-063:** List of Faculty Researches with External Publications (Yearly)

Monitoring	The URC Director monitors the submission of faculty researches that are published in reputable and refereed journals and assigns research points based on set guidelines for the yearly Gawad Maria (Faculty Awards in Research). **URC-GL-027:** Guidelines in Reporting Faculty External Publications and Assignation of Faculty Research Points in Publication **URC-FO-057:** Individual Report Form for Faculty Research Points for External Research Publication (Throughout the Year) **URC-FO-058:** Summary List of faculty External Publications (Semester-End) **URC-RF-025:** Gawad Maria Program (Faculty Award/s in Research)
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on Research Publication.

Prepared by:

Dr. Darwin Don M. Dacles — 12-20-23
Process Owner — Date Signed

Reviewed by:

Pearl Via S. Coballes — 12-20-23
Quality Management Representative — Date Signed

Approved by:

Dr. John Octavious S. Palina — 1/9/24
Supervising VP/President — Date Signed:

MASTER COPY
Signature: Date: 1/10/24

Revision No.	Approval Date	Effectivity Date	Amendment
00	July 1, 2022	July 1, 2022	Initial Issue
01	August 30, 2022	August 30, 2022	QOP/SOP/WIs/Forms
02	Nov. 17, 2022	Nov. 17, 2022	SOP Descriptions / Evidence / Record
03	Sept. 29, 2023	Sept. 29, 2023	QOP / SOP

STANDARD OPERATING PROCEDURE – Faculty Research

TITLE	**Faculty Research Utilization**
SCOPE	This covers the process from the time the University Research Center capacitates research teams in crafting project proposals intended for utilization of research results to the time the Technology Transfer and Business Development Office (TTBDO) work on recognition of patents, utility models, copyright and designs.
OBJECTIVE	To ensure utilization of research findings to bridge the gap between scientific evidence and existing policy and practice which are imperative to local, national, and international development.

Activity	*Description*
Capacitating research teams in crafting project proposals intended for utilization of research results	**URC-PR-08: Procedure on Faculty Research Utilization** During the Midyear Term, empirical data obtained from basic researches and/or utility models and designs borne out of applied researches with practical usability for community extension are encouraged. The research teams are trained to craft project proposals for possible funding and or carry over extension works in target communities. This is done in tandem with LMCDAC. **URC-RF-004:** LMCDAC MOPG **URC-RF-064:** Research Project Proposals for Utilization **URC-FO-055:** Contract Form on Faculty Research Utilization
Forging linkages with internal units and external community partners	In forging linkages and partnerships relative to the usability of the research findings for community

	extension, the research teams work hand in hand with the LMCDAC and AERO for relevant agency and community partnership. URC-RF-065: Compendium of Approved Project Proposals for Utilization
Crafting an MOU/MOA to specify duties and responsibilities	To specify stakeholders' engagement in doing community extension works, an MOU and/or MOA is crafted specifying the list of parties involved, purpose, terms and conditions, roles and duties, bilateral agreements, duration and special provisions that are applicable in engagement. **URC-RF-052:** Sample MOA/MOU for Community Extension
Coordinating the utilization stage	The utilization aspect of research results at this stage now rests with the research teams, the LMCDAC, TTBDO and/or the CNS. The URC requests documentation(s) of utilization. **URC-RF-066:** Narrative of Research Utilization
Identifying patentable products, utility models, designs and materials for copyright	The head of the TTBDO identifies patentable products like utility models, designs, products and materials that can be copyrighted and which are borne out of researches conducted and/or prototype products **URC-RF-006:** TTBDO MOPG
Working on recognition of patents, utility models, design and copyright	The head of the TTBDO works for the recognition of patentable products, utility models, designs and materials for copyright if there are and submits a report to the URC. **URC-RF-006:** TTBDO MOPG
Monitoring	The URC Director monitors the implementation of the project proposals, sets schedule for presentation and perusal of the Advisory Board, works on the honoraria payments of the research teams and assigns points to the research teams. **URC-RF-066:** Transmittal Letter to the VP for Finance for Release of Tranches

	URC-GL-028: Guidelines in the Individual Reporting of Research Utilization of Faculty and Assignation of Research Points for Utilization **URC-FO-056:** Form on Individual Report of Faculty Research Utilization (Throughout the Year) **URC-FO-057:** Summary List of Faculty Research Utilization (Semester-End)
Continuing Improvement	The URC Director does preventive/corrective actions when there is nonconformity and acts on unmet targets on faculty research utilization.

Prepared by:

Dr. Darwin Don M. Dacles
Process Owner

12-20-23
Date Signed

Reviewed by:

Pearl Via S. Coballes
Quality Management Representative

12-20-23
Date Signed

Approved by:

Dr. John Octavious S. Palina
Supervising VP/President

1/9/24
Date Signed:

MINUTES OF THE MEETING
3rd RCDC MEETING
Wednesday, December 13, 2023, 1:30 PM, Boardroom

I. ATTENDANCE

Present:

1. Dr. John Octavious S. Palina	University President
2. Rev. Fr. Philip Aquino Yu, CICM	VP for Mission & Identity
3. Dr. Moises Alexander T. Asuncion	VP for Academic Affairs
4. Dr. John G. Tayaban	VP for Administration
5. Mrs. Venica S. Acosta	VP for Finance
6. Dr. Darwin Don M. Dacles	Director, URC
9. Dr. Elsa Cajucom	Director, CNS
12. Dr. Regina D. Ramel	Dean, SAB
13. Dr. Joman Baliton	Dean, SHANS
14. Engr. Carina Mallillin	Dean, SEAIT
15. Engr. Angelino Pimentel	Head, TTBDO (represented by Chesleyann Quinsay)
16. Mr. Jason Arnold Maslang	Head, UREO
17. Dr. Cristeta Aduca	Principal, GSD
18. Dr. Zayda S. Asuncion	Principal, JHS
19. Mr. Melencio G. Bernardino, Jr.	Principal, SHS

Absent:

20. Atty. Epifanio Delbert G. Galima III	Dean, College of Law
21. Dr. Christopher Allen S. Marquez	Director, LMCDAC
22. Dr. Arlene L. Tabaquero	Dean, SoGS
23. Dr. Henry F. Gamboa	Dean, STEH

OPENING PRAYER: The University President, Dr. Palina led the opening prayer and presided over the meeting.

The 3rd RCDC Meeting included the following agenda:

a. Brief Review of the Minutes (October 10, 2023);
b. URC Updates;
c. LMCDAC Updates
d. CNS;
e. UREO;
f. TTBDO; and
g. Other Matters

II. PROCEEDINGS

	TOPIC	DISCUSSION/AGREEMENTS	RESOLVED ACTION
1	**Brief Review of the Minutes arising from the October 10, 2023 Meeting** a.) URC b.) LMCDAC c.) CNS d.) UREO e.) TTBDO	● Remarks were mostly carried as part of the updates of the various offices for December 13, 2023 Meeting	
2	**URC Updates (Dec. 13, 2023)** a.) Faculty Research Citation Generator (via Google Scholar)	● After the presentation of Dr. Dacles about the Faculty Research Citation Generator (Via Google Scholar), Dr. Asuncion shared that while the priority is to publish in Scopus-indexed journals, there are other reputable journals that faculty researchers can publish in to as long as they are not in the list of predatory journals. ● Dr. Dacles confirmed this and gave examples that most are indeed not Scopus-indexed, but classified as reputable journals not found in the Predatory List. ● Dr. Asuncion stated that some journals are delisted from Scopus. ● Dr. Dacles again affirmed this by citing that Library Philosophy and Practice has been delisted since 2021. So, it really pays that the URC when doing reports on	

		Faculty Publications mark Scopus-indexed publications for easy tracking of Scopus-indexed and Other Reputable Publications. ● Dr. Asuncion also shared the need to check the individual publications of faculty researcher listed in the Google Scholar to avoid what other researchers in some SUCs do like submitting researchers that come from one original manuscript. ● In addition, Dr. Dacles stated that for SMU Faculty Publication, it is easy to check it in the google scholar since most publications are the researches borne out of the Faculty Research Grant. The Citation Generator also classifies researches as: (1) Thesis/Dissertation; (2) Faculty Research; and (3) Collaborative Research with Other faculty in other HEIs (The last two are remunerated). ● Dr. Asuncion inquired about those with co-authorship. How do we treat the honoraria payment (citation) for those with co-authorship? ● According to Dr. Dacles, there are existing PHREB Guidelines for Co-Authorship. This was mentioned to him by Mr. Jason Maslang. It means therefore that as a promoter, the minimum percentage of	

		work should be 50% of the entire work to qualify as a promoter. This should be carried even in publication. ● Dr. Moises Asuncion shared that in SUCs there is a certification percentage of contribution for co-authorship. ● Dr. Palina inquired about who certifies the certificates in the SUCs. ● To this, Dr. Asuncion mentioned that it is the Research Director who certifies the percentage of contribution. ● Dr. Palina added that in the case of SMU, the percentage will be agreed upon by the authors. ● Dr. Cajucom asked about her faculty research in published in a Scopus Journal? ● Dr. Asuncion clarified that it won't be counted even if it is cited in a Scopus journal because the publication needs to be in a Scopus-indexed journal. ● According to Dr. Asuncion, only citations that are included in the hi index or appearing in any of the three indexes are eligible for citation credit (Scopus-indexed, Web of Science, etc). And he suggested that perhaps they might put it into practice next year. For now, we can use the citation generator.	● The body agreed that it will be the URC Director who will certify the percentage of contribution (for both production and publication). ● Everyone decided that, in the meantime, compensation would be determined using the Faculty Research Citation Generator data in Excel.

	b.) IFCS Journal 2023 Edition;	• Dr. Asuncion continued that they could look for further issuances on the CHED website. JC No. series 2022 • Dr. Dacles said that he can now prepare the transmittal (list of faculty researchers to be remunerated for baseline fee and citation per month from September to December) and submit this to Mam Venica. • Dr. Dacles shared that selected offices were already given copies of the IFCS Volume 3 (Pres., VPs, IDQAO, Directors, ULRC, PERIO, etc). Dr. Dacles asked if the basic education principals would also be given a copy of the journal. • In addition, Dr. Dacles shared that Volume 2 of the IFCS was not done (It's considered a vacuum volume of the IFCS). There were only few who submitted full manuscripts and the rest only submitted abstracts. • Dr. Palina asked what intervention can be done to resolve the problem. • Dr. Dacles, at hindsight, actually already instructed Mr. Kenneth Maslang to get in touch with the presenters and ask them for their manuscripts for consolidation and possible publication next year (2024).	• Transmittal letter to be submitted to Mrs. Acosta (for next update) • Dr. Palina agreed to give them copies of the IFCS Journal as a future reference for their separate publications.

		● Dr. Dacles inquired what if there would only be a handful of full manuscripts submitted and most would be Abstracts? ● Dr. Asuncion, proposed that the full-length articles would first appear in the journal, to be followed by the abstract and the remaining ones would be abstracts only to complete IFCS Journal Vol. 2. ● Dr. Dacles concurred to this and he will just make a justification of this in the foreword of volume 2. ● Dr. Palina inquired as to the target date of its possible publication so fill the gap or vacuum. ● Dr. Dacles promised to go for its publication by second semester of AY 2023-2024.	● To include an update of this in the next RCDC meeting.
3	**LMCDAC Updates:**		
	a.) Masoc Lease	● Masoc Lease Water impounding system	● To be discussed in the AB level
	b.) Museo de Maria Collection Management Plan	● Dr. Cajucom presented the LMCDAC report and inquired about the office's role in creating the 2024-2025 action plan and establishing the Museo de Maria's organizational structure.	● In response, Dr. Palina stated that the ULRC will serve as the head of the office, while Dr. Marquez will be the consultant.
	c.) Tree Planting	● Dr. Tayaban said that they should also focus on the sustainability of the planted tree. ● Mr. Bernardino informed the group that the Guyabano trees they had previously planted had already	

		produced fruit and were even served during their Pamaskong Handog. ● Dr. Moises Asuncion requested that they should get information on the quantity of guyabano that had been harvested as this would be a very good data which might be needed, say, in UI Green Metric, etc	● Dr. Cajucom said that she will inform Dr. Marquez about these concerns
	d.) CDA Coordinators' units	● Dr. Ramel asked about the effectivity of the 6-unit load of the CDA Coordinator's. ● Dr. Aduca inquired about the case of basic education.	● Dr. Palina said that they will reduce the expected teaching load, but the total fixed units will remain. ● Dr. Palina clarified that the reduction of unit loads cannot be done in elementary and high school. ● Dr. Tayaban suggested that the application for reducing loads will be in the next school year. ● Mrs. Acosta explained that if they can maintain their teaching load and not reduce it, they are qualified for the overload policy, and they will be paid 50%. ● According to Dr. Palina, there is optimism that the unit load will be reduced next year. For example, instead of having 18 units, the Directors will only have 15.
4	**CNS Updates** a.) BPI-DOST Innovation Awards 2023;	● Dr. Cajucom shared an update on their experienced as a finalist in the BPI-DOST Innovation Award.	
5	**UREO Updates**		

	a.) PHREB Protocol Submissions b.) Visit to PITAHC-Cagayan Valley c.) Proposed Policy for External Researchers who Intend to Conduct Their Study in SMU	● Dr. Palina inquired if the fees shown were the existing ones. ● Dacles said since UREO is now accredited, the schools they come from must also be accredited to meet the criteria. ● Moises Asuncion emphasized that the clearance must be accredited by UREB. ● Dr. Tayaban discussed the policy's potential impacts and suggested submitting an ethics review from the accredited UREB with the request form, or else it should undergo to our UREB. ● According to Mr. Jason Maslang, only deans or principals should authorize interruptions of classes, and participants can gather in a designated room with payment for electricity. ● Dr. Asuncion inquired about those who convinced other teachers to conduct or manage the respondents.	● Mr. Jason Maslang replied that these were the fees he had proposed at the previous meeting that had been approved. ● Mr. Jason Maslang clarified that they should be currently accredited. ● They all agreed. ● Mr. Jason Maslang explained that it was not approved in the proposals, but they may report it to them and have their clearance revoke. ● Dr. Palina suggested including minor modifications in the guidelines.
6	**TTBDO Updates** a.) Implementation of IPR Fees	● Ms. Quinsay shared the TTBDO report and inquired if the 2,000 pesos per hour of consultation would be implemented or adapted.	● For discussion by the AB members.

	b.) Implementation of Startup Contest	● Dr. Tayaban proposed to double the prizes: ● 1st: 15000 to 30000 ● 2nd:10000 to 20000 ● 3rd: 5000 to 10000 ● 4th–10th:1500–3000	● The body agreed to this.
		● Mr. Bernardino asked if Senior High could also participate in the contest. "Technopreneurship"	● Dr. Palina approved of it.
		● Dr. Ramel explained how they want to collaborate with Senior High to get students to enroll in SAB.	● The body mentioned it as a very good way of attracting students.
	c.) Financial Operation Aspects	● Mrs. Acosta recommended adding graphs that show quarterly revenues and the net, not just cumulative revenues.	
7	**Other Matters:**	Dr. Palina suggested the basic education to conduct needed action research that are in line with requirements of accreditations.	● The Basic Education Principals stated that it is part of their Action Plans.

III. ADJOURNMENT

The meeting was adjourned at 5:00 PM with a closing prayer.

Prepared by:

EDEN LYKA E. GIRON
Secretary, URC

Checked and Reviewed by:

DR. DARWIN DON M. DACLES

Director, URC

Month of May RCDC Meeting
(May 28, 2024)

A. Communications Received from External Agencies

1. CHED Regional Memo Order No. 138, s. 2024 (Submission of Research Proposals to the 3rd Cagayan Valley CMCI Research Conference, Sponsored by DTI) May 9, 2024
Theme: *Trailblazing Innovative and Competitive LGUs through Creative Research*

- Call for entries – May 8-31, 2024
- Orientation – May 15, 2024
- Submission of proposals - June 1-15, 2024
- Review of Entries – June 16-19, 2024
- Submission of Full Research papers - Oct. 15, 2024
- Review - Oct. 15-22, 2024
- Final Paper - Nov. 8, 2024
- Regional Conference - Nov. 22, 2024

2. **Regional Development Council (RDC) through its Regional Research and Development and Innovation Council Committee (RRDCC) is now accepting completed researches for presentation – June 20, 2024 – Tuguegarao City, Cagayan**
May 13, 2024 (Completed Researches from 2019 to 2024)

- Call for Submission - May 13, 2024
- Deadline - May 27, 2024
- Screening - My 27-31, 2024
- Final Deliberation - June 5, 2024
- Issuance of Notice of Presentation - June 10, 2024
- Submission of PPT - June 18, 2024
- Presentation - June 20, 2024

B. **National Conference on Environmental Education enthemed, "Sustainable Solutions for Climate Change: A Call to Action by CICM-PSN "on 28 June 2024, Friday, from 8am to 12noon**
Sponsor: CICM – PSN Research and innovation Cluster
May 15, 2024 (It was moved from April to June 28, 2024)

- Tentative Program

Time	Particulars	Responsible Person/s
8:00 – 8:30	Registration/ Holding Area	c/o Host Uni
8:31 – 8:45	Preliminaries	c/o Host Uni

	Prayers	
	National Anthem	
	CICM Hymn	
8:46 – 9:00	Introduction to the Program	c/o Host Uni/Emcee
	Welcome Remarks	Fr. Gilbert B. Sales, CICM, PhD
	Show of Hands	Emcee
9:01 – 9:30	Plenary Session on "Generative AI on Research"	**Cecilia A. Mercado, PhD** Saint Louis University Baguio - Director, Technology Management & Development Department - Faculty, School of Accountancy, Management & Computing & Information Studies - Faculty, School of Advanced Studies
9:31 – 10:00	Plenary Session on "Role of Bio-Circular Green Economy (BCG) Model in Climate Change Mitigation"	**Marcelino N. Lunag Jr., PhD** Saint Louis University Baguio - Faculty, School of Engineering & Architecture - Graduate Program Coordinator, School of Advanced Studies
10:01 – 10:30	Q&A	Emcee
10:31 - 11:30	Parallel Sessions	
	Business, Accountancy, Mgmt, IT	Moderator SLU Baguio
	Engineering & Architecture	Moderator SLU Tuguegarao
	Liberal Arts & Teaching Education	Moderator SLC
	Health Sciences	Moderator SMU
11:31- 11:45	Reactions & Q&A	
11:46 – 12:00	Plenary	
	Concluding Remarks	Research Director
	Closing Remarks	Research Director

C. Invitation to Co-host the 11th HCU International Research Conference (July 26, 2024)

Participants	Research Titles	
Dr. Harrison T. Villanueva	Green Business Practices, Challenges and Prospects of MSMEs of a Province in Cagayan Valley, Philippines: A DTI-SMU Engagement for Sustainability	Business
Dr. Melanie G. Gurat	Challenges and Prospects of e-Learning in the Graduate School Programs of a Private Catholic University	Education

Dr. Elsa L. Cajucom	Evaluating the Anticancer Potential of Biosynthesized Copper Nanoparticles from *acalypha hispida* Leaf Extract: A Green Chemistry Approach	Chemistry
Dr. Felipe V. Nantes Jr.	The Ecopedagogical Competence of Marian Educators: Basis for the Implementation of Project Green	Social Sciences
Melchora M. Bautista	Formulation and Evaluation of Antimicrobial Cream and Soap from Pikaw (alocasia navicularis) Leaf Extract	Indigenous Medicine

CB. Peer Reviewers

Final List of Peer Reviewers from Saint Mary's University
(For HCU Thailand Scientific Conference 2024)

At least (5) Five nominated members of the faculty, preferably with doctoral degrees and academic positions are invited to be part of the scientific committee:

Peer Review Areas of Specialization

8.1 Science and Technology (include but not limited to Physical Science, Biological Science, Biotechnology, Food Science, Food Technology, Industrial Microbiology, Computer Science)

1. ***Dr. Elsa L. Cajucom – Director, Center for Natural Sciences – Associate Professor 3**
2. **Dr. Arlene L. Tabaquero – Dean, School of Graduate Studies – Professor 6**

8.2 Health Sciences (includes but not limited to Medicine, Dentistry, Traditional Thai Medicine, Traditional Chinese Medicine, Physical Therapy, Occupational Therapy, Clinical Psychology, Optometry, Medical Technology, Heart and Chest Technology, Nursing, Pharmacy, Public Health, Medical Science, Radiology, Veterinary Medicine, Veterinary Technology, Medical Social Work)

3. **Dr. Joman J. Baliton – Dean, School of Health and Natural Sciences - Assoc. Prof. 3**
4. **Dr. John G, Tayaban – Vice President for Administration, Saint Mary's University – Professor 11**

8.3 Arts, Humanities, Social Sciences and Education (include but not limited to Linguistics and Literature, History, Law, Liberal Arts, Philosophy, Religion, Visual Arts, Sociology, Demography, Communication Arts, Educational Measurement and Evaluation, Educational Administration, Educational Technology, Guidance and Counseling)

5. ***Dr. Melanie G. Gurat – CBPSME Project Coordinator (SMU-DOST) – Assoc. Prof. 2**
6. **Dr. Liberty A. Rosario – Former Head, Professional Education Dept. – Professor 15**
7. **Dr. Clara M. Gonzales – Head, Promotions, External Relations and Internationalization Office – Professor 4**

    8.4 Business Administration and Economics (include but not limited to Business Administration, Economics, Commerce, Accounting)

8. ***Dr. Harrison T. Villanueva – Head, Business and Office Administration and Entrepreneurship – Professor 2**
9. **Dr. Mayvelyn S. Covita – Graduate Program Head (Business, Commerce) – Professor 2**
10. **Dr. Regina D. Ramel – Dean, School of Accountancy and Business – Professor 11**

    8.5 Chinese Studies, Traditional Chinese Medicine, Business Chinese and Chinese Language and Culture

11. **Rev. Fr. Earl Cura, CICM – Faculty Member, School of Graduate Studies**

D. **Status of the 2024 Cal for Research Proposals** (From 6-unit and 3-unit load research production incentives for lead and primary collaborator respectively to Php100, 000 per research team)

May 14, 2024

Dear Esteemed Researchers,

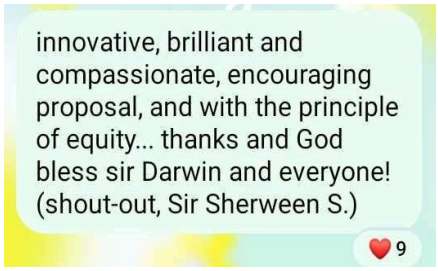
I write to you again with an urgent matter that requires your valuable insights. During our recent Budget Hearing on May 9, 2024, we found that our research budget of 3.6 million will only accommodate 28 out of the 35 total proposals, a mortality rate of 20%. This issue is further complicated by the fact that in level 1 evaluation by external panel, proposals ranked 25 to 30 have identical evaluation ratings of 43 out of 60 points. Ranks 1 to 24 have been identified prior. If we consider these results, the mortality rate is at 31.5%. We understand the effort you have put into these proposals and the importance of empirical data for our sustained accreditation and world university rankings. Yet, despite the quality of your proposals, our budget is limited. However, an innovative solution has been proposed: **What if we provide each research team with an equal incentive of Php 100,000?** This would allow all proposals to be approved within our budget of around Php 3.5 million. This idea (Thanks to Sir Sherween Jerry Paul), has kept me profoundly reflecting and has enthused me to share it during the budget hearing. I am proud to say that it has been met with optimism by the Advisory Board. It embodies the spirit of shared sacrifice for the greater good. The current incentive mechanism can be retained, with a 65-35 arrangement for the lead and primary collaborator, and the team can still decide how to distribute the amount. Just this morning, I have been asked by the university president to gather your feedback on this proposal.

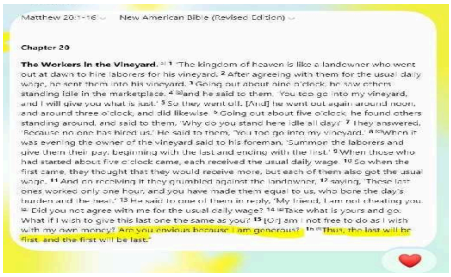
Your responses are eagerly awaited, and I intend to present them at the next RCDC meeting. Please share your thoughts on this matter.

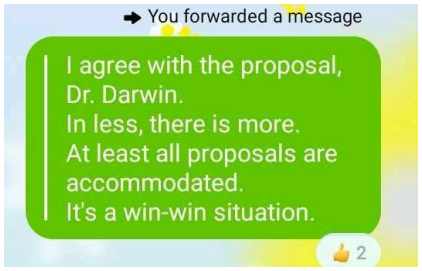
Together in the same research vineyard of the Lord,

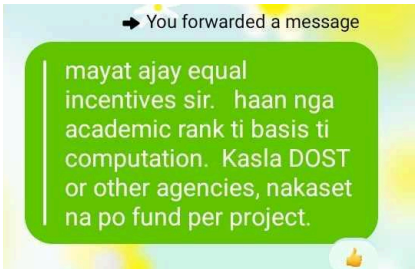
Sir Darwin Don

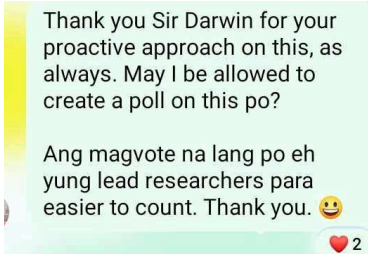
Faculty Researchers' Responses to the Call!

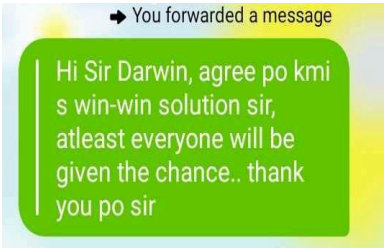


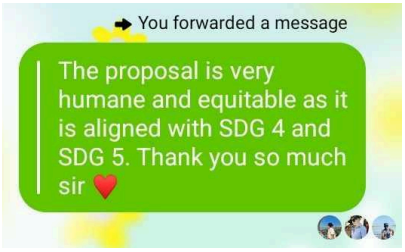


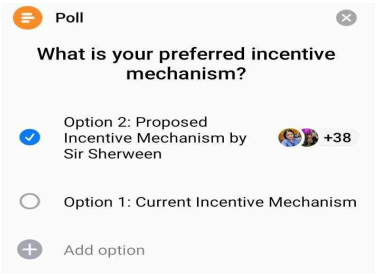


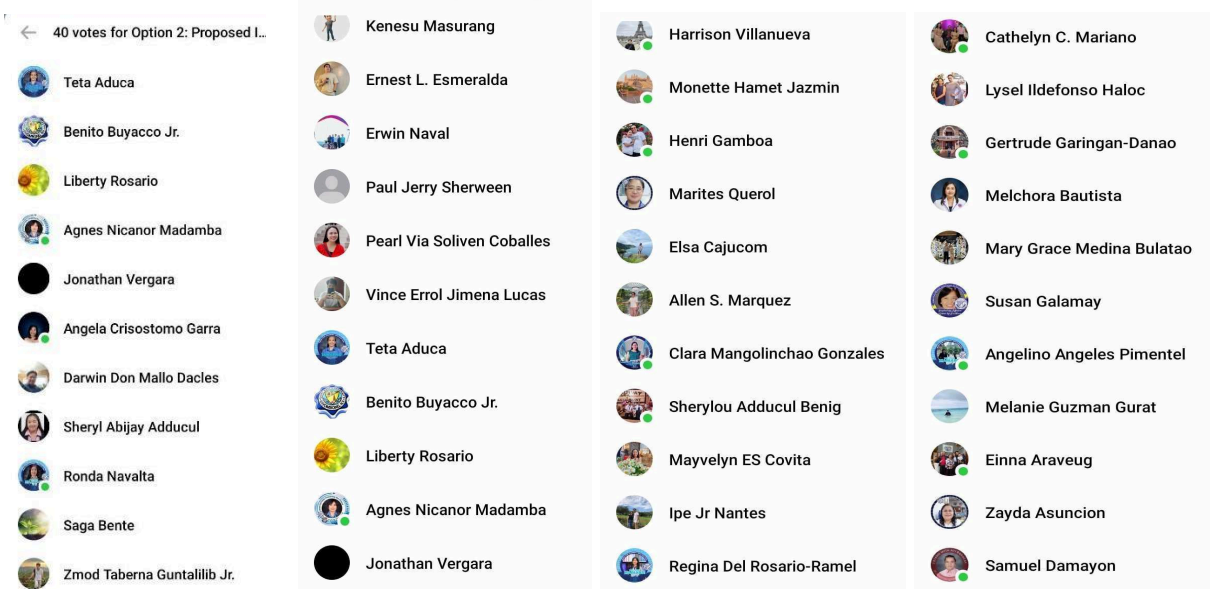












Feedback Letter to the President

May 16, 2024

Dr. John Octavious S. Palina
University President
This Institution

Sir:

Greetings of peace and bountiful blessings.

During the budget hearing on May 9, 2024, I proposed a change in our research grant fund distribution. The idea was to equalize the grant amount to Php 100,000 per research team,

regardless of rank or position, similar to the DOST's approach. This change could accommodate more research proposals, supporting our accreditation efforts and aspirations for world university rankings.

The Advisory Board suggested gathering feedback from our faculty researchers on this proposal. I'm pleased to report that a poll conducted among the lead researchers resulted in unanimous support for the new proposal. Attached to this letter are some affirmations.

May I kindly request the final decision of the Advisory Board on this matter? This will allow the University Research Council (URC) to prepare the necessary contracts.

Thank you for your continued support.

Sincerely,

Darwin Don M. Dacles, PhD
Director

The letter was approved by the University President on May 17, 2024

Summary List of Project Leaders and Primary Collaborators

No.	Lead	Primary Collab	Title	Target Beneficiaries
1	Dr. Felipe V. Nantes, Jr.	Alona C. Costales	Shades of Green: Unveiling Community Engagement in Barangay Greening Program	LGU Bayombong - Extension
2	Jonathan P. Vergara	Dr. Loreta V. Garlitos	Stewardship Implementation and Lay Faithful Engagement in a Local Church in Northern Philippines	Parish - Extension
3	Dr. Henry F. Gamboa	Atty. Epifanio Delbert G. Galima III	Navigating Secularization: A Fresh Approach to a New Phase of Evangelizing the Christian Youth in Veritatis Gaudium (The Joy of Truth)	Parish - Extension
4	Dr. Gertrude G. Danao	Mildios Meeds Ciriaco Blando	Appraising a Higher Education Institution's Waste from Electronic and Electrical Equipment (WEEE) Management Practices: Towards a Sustainable Plan for Mitigating Risks	Institutional

No.	Lead	Primary Collab	Title	Target Beneficiaries
5	Dr. Susan A. Galamay	Benyamin Messakaraeng	Harmony Within: Nurturing Marians' Lived Experiences on Belongingness and Peace	Institutional
6	Dr. Monaloufel Rosario F. Jasmin	Rocel Audrey J. Batara	Steering Digital Marketing in Philippine Higher Education: Benefits, Challenges, and Sustainable Strategies	HEIs in the Region - Extension
7	Dr. Liberty A. Rosario	Candido Joseph T. Rosario Jr.	Enhancing Regional Transformation: Recalibrated On-Site Diversified Planning and Design in Region 2	Regional - Extension
8	Kenneth L. Maslang	Dr. Darwin Don M. Dacles	Cultivating Purpose-Driven Leaders from Campus to Communities: Strategies for Advocacy Formation and Implementation	HEIs in Nueva Vizcaya - Extension
9	Dr. Sherylou A. Benig	Marissa lyn A. Labangcoc	Navigating Parenthood and Promoting Family Wellness: A Health Education Intervention for Parents of Exceptional Children (Children with Special Needs-Developmental Disabilities (DDs)	Parents with Exceptional Children - Extension
10	Dr. Regina D. Ramel	John Lindy R. Soriano	Sustainable Campuses via Bins to Behavior: Investigating Waste Management Actors in Higher Education by Decoding the Waste Chain	HEIs in Nueva Vizcaya
11	Dr. Analyn A. Guevara	Lorna C. Aban	Unlocking Sci-Math Minds: Exploring Classroom Culture with Manipulatives	DepEd - Extension
12	Angela C. Garra	Rodora P. Tipay	Suitability of the SMU's Demo Farm for the Production of Cacao: A PHEI-NGO- GO Initiative	Institutional
13	Dr. Mary Grace Medina-Bulatao	Jones K. Liwan	Promoting Active Transportation: Evaluating Campus Walking and Cycling Facilities for Student Wellbeing – Perspectives of Students in Higher Education	HEIs in Nueva Vizcaya
14	Dr. Melanie G. Gurat	Ivonny Lorvin M. Adducul	Harnessing Generative AI for Innovative Instruction, Research and Extension: Towards Crafting of Policies for Responsible Use	Institutional
15	Cathelyn C. Mariano	Ma. Shiela M. Ramos	Antimicrobial Ointment for Topical Application Derived from Leaf Extracts Found in the Indigenous Community of Sitio	Indigenous Community of Sitio Masina - Extension

No.	Lead	Primary Collab	Title	Target Beneficiaries
			Masina: Formulation and Efficacy Evaluation	
16	Dr. Ma. Cristeta M. Aduca	Lilibeth N. Cajimat	Enhancing Bayombong Daycare Teachers' Pedagogical Skills: Bridging Implications for a Relevant Extension Program	Bayombong Daycare Teachers - Extension
17	Ronda L. Navalta	Niño N. Baldonado	Dance Dynamics: Unraveling its Dual Role in Fitness and Social Interaction	Institutional
18	Dr. Harrison T. Villanueva	Sheryl A. Adducul-Baria	MSME's Contribution to Sustainable Development Goals Attainment and Challenges Encountered: Towards a Proposed Training Plan with DTI and PLGU	Provincial - Extension
19	Pearl Via S. Coballes	Kristine Ann L. Israel	Bridging the Gap: Student Accessibility, Willingness, and Preferences for Telemental Health Services in the School Setting	Institutional
20	Lysel I. Haloc	Maria Ines R. Minia	From Fear to Fluency (Empowering Voices): A Public Speaking Anxiety Reduction Among Students via Support Mechanism	DepEd - Extension
21	Dr. Elsa L. Cajucom	Elaine Joyce B. Afaga	Land and Groundwater Vulnerability to Leachate and Heavy Metals: HEI-MLGU Environmental Risk Assessment of a Landfill Site	LGU - Extension
22	Dr. Erwin Naval	Ernest L. Esmeralda	Legislative Competency of Sangguniang Kabataan Officials: A Catalyst for Youth Participation in Local Governance of a First-Class Municipality	Provincial SK Officials - Extension
23	Dr. Arlene L. Tabaquero	Hanson T. Villanueva	Bridging Technology and Taxonomy: An Interactive Dichotomous Key for Lichen Identification in Nueva Vizcaya	Provincial - Extension
24	Samuel B. Damayon	Dr. Edwin Edilberto N. Mania	Linking Environmental Education and Sustainable Development – The Green Mind: A Study on the Eco-consciousness of Students at Saint Mary's University (HEI)	Institutional
25	Dr. Mayvelyn S. Covita	John Michael C. Ibarra	Faithful Stewardship: A Community-Centric Pilgrimage Site Revitalization	LGU-Parish-Extension

No.	Lead	Primary Collab	Title	Target Beneficiaries
26	Jason Arnold L. Maslang	Leila A. Navarro	From Academic Scraps to Eco Snack Packs: Transforming Discarded Exam Papers into Sustainable and Profitable Portable Utensils	Institutional
27	Sherween Jerry Paul V. Saquing	Zemaia Sen M. Paulino	Evaluating Gender Sensitivity among Faculty Members in Higher Education: Strategies for Improvement	HEIs of Nueva Vizcaya - Extension
28	Vince Errol J. Lucas	Marites B. Querol	Pedagogical Planning and Practice for Indigenous Education: A Basis for an Integrated Framework for IP Education	Institutional
29	Dr. Clara M. Gonzales	Gerome H. Bautista	Bridging Cultures, Expanding Horizons: Evaluating the Impact of Inbound and Outbound Mobility on Learning - Onward to a Robust Institutional Plan	Institutional
30	Dr. Adonis V. Garces	Milagros S. Constantino	Empowering Barangays: Harnessing Data for Effective Decision Making through Enterprise Resource Planning Systems	Barangays of LGU Bayombong - Extension
31	Dr. Agnes N. Madamba	Judy Ann F. Sonday	Examining Self-Efficacy Sources, MATSI-Based Attitudes, and Performance: A Student-Centric Approach to Specialized Science Curriculum Redesign	Institutional
32	Dr. Christopher Allen S. Marquez	Domingo T. Guntalilib Jr.	Who Volunteers for What? Demystifying the Particularities of Volunteerism in Nueva Vizcaya in the Pursuit of the Sustainable Development Goals	Provincial - Extension
33	Melchora M. Bautista	Juliet S. Palina	Evaluation of Community-Based Programs for Senior Citizens: Conception of LIFE (Love Intervention for Filipino Elderly) Program	LGU-Bayombong - Extension
34	Teofilo M. Sagabaen	Angelino A. Pimentel	Collaborative robots' productivity effects in post-harvested citrus fruits of Nueva Vizcaya, Philippines	Provincial - Extension
35	Jefrie T. Alindayu	Michelle Kyra S. Bautista	Geotechnical Investigation of Quarry Sites Along the Magat River: Towards an Evidence-based Regulations and	Provincial - Extension

No.	Lead	Primary Collab	Title	Target Beneficiaries
			Guidelines Compliant to DPWH Standards	

- **24 Community-based Researches**
- **15 Institution-based Researches**
  A Total of 35 Researches

Sample Contract Form

CONTRACT FORM FOR FACULTY RESEARCH PRODUCTION
(Mechanism A)

Faculty Grantees: Date: May 23, 2024

Lead: Researcher: **Dr. Felipe V. Nantes, Jr**.
Primary Collaborator: **Alona C. Costales**

The conditions of the grant are as follows:

1. A grant of **Php 100,000** is allocated to the research team, disbursed in two installments: 50% a week after signing of contract for logistical needs and incentives, and the remaining 50% upon submission of the complete full manuscript;
2. The expected deliverable is a research report titled: **"Shades of Green: Unveiling Community Engagement in Barangay Greening Program";**
3. While a **65-35** incentive split between the lead researcher and primary collaborator is suggested, the team has the discretion to decide on the fund distribution;
4. The grantee is expected to provide regular updates to the Dean and the Director of the Research Center on the progress of the research;
5. The Dean and the Director of the Research Center are responsible for submitting a joint report on the grantee's progress as part of their semester-end monitoring and annual reports;
6. If the grantee fails to deliver the required output, a deduction of Php 500 per month will be made from the grantee's salary until the full grant amount is recovered. If the required output is submitted during the payback period, deductions will cease, but previously deducted amounts will not be reimbursed;
7. If only partial output is submitted, the grantee will be required to repay a portion of the grant equivalent to the unfinished output, as determined by the VP for Finance. The repayment terms are consistent with provision 6; and
8. Grantees will receive a copy of this contract as a reminder of their obligations and responsibilities.

We affix our signatures to signify agreement to the terms and conditions stated above.

_____	_____
Signature of Lead	Signature of Primary Collaborator

Recommending Approval:

_____	_____
Academic Dean	Director, University Research Center

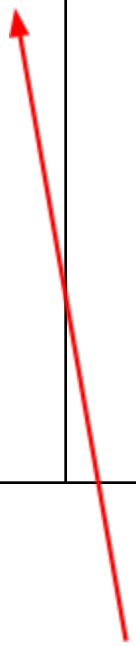
Approved:

_____	_____
Mrs. Venica S. Acosta, CPA	**Dr. John Octavious S. Palina**
Vice President for Finance	University President

E. Synching SMU Research Itinerary with Governmental Funding Agency Timelines

- **Why?**
- External funding agencies, especially governmental, often have specific timelines for grant applications, reporting, and administrative tasks
- Therefore, "synching" these two would involve coordinating the research activities here at SMU to ensure they align with the deadlines and requirements set by the governmental funding agencies. This could help maximize the chances of securing funding and meeting all necessary reporting requirements. This is a crucial aspect of research management and administration.

SMU Research Itinerary (Production)	External Funding Agencies (DOST/DTI)	Recommendation
1. Call for Proposal - June	February - March	Call - January



2. Approval (Contract) – August	April-May	February – March Writing Period
3. Data Gathering Phase – August – Oct.	June – August	Presentation – April (LLL)
4. Treatment of Data – Nov-Dec.	Sept-Oct.	May – Contract Signing
5. Writing – January – March	Nov.-Dec.	Data Gathering – June - August
6. Presentation – April (LLL)	January	Treatment – Sept.
7. Submission of Full Report - May	February	Writing – Oct. Nov.
		Presentation - January
		Writing of Proposal for External Grant – February - March
		Research Utilization (5 months incentive) Proposal – February-March
		Presentation – April LLL
		Approval - May
		Project Utilization – June - Oct
		Presentation – Nov.
		Submission - December
		Call for another cycle of Production - January

2024 Call for Papers
(Under the Tertiary Faculty Research Grant Mechanism (Production)

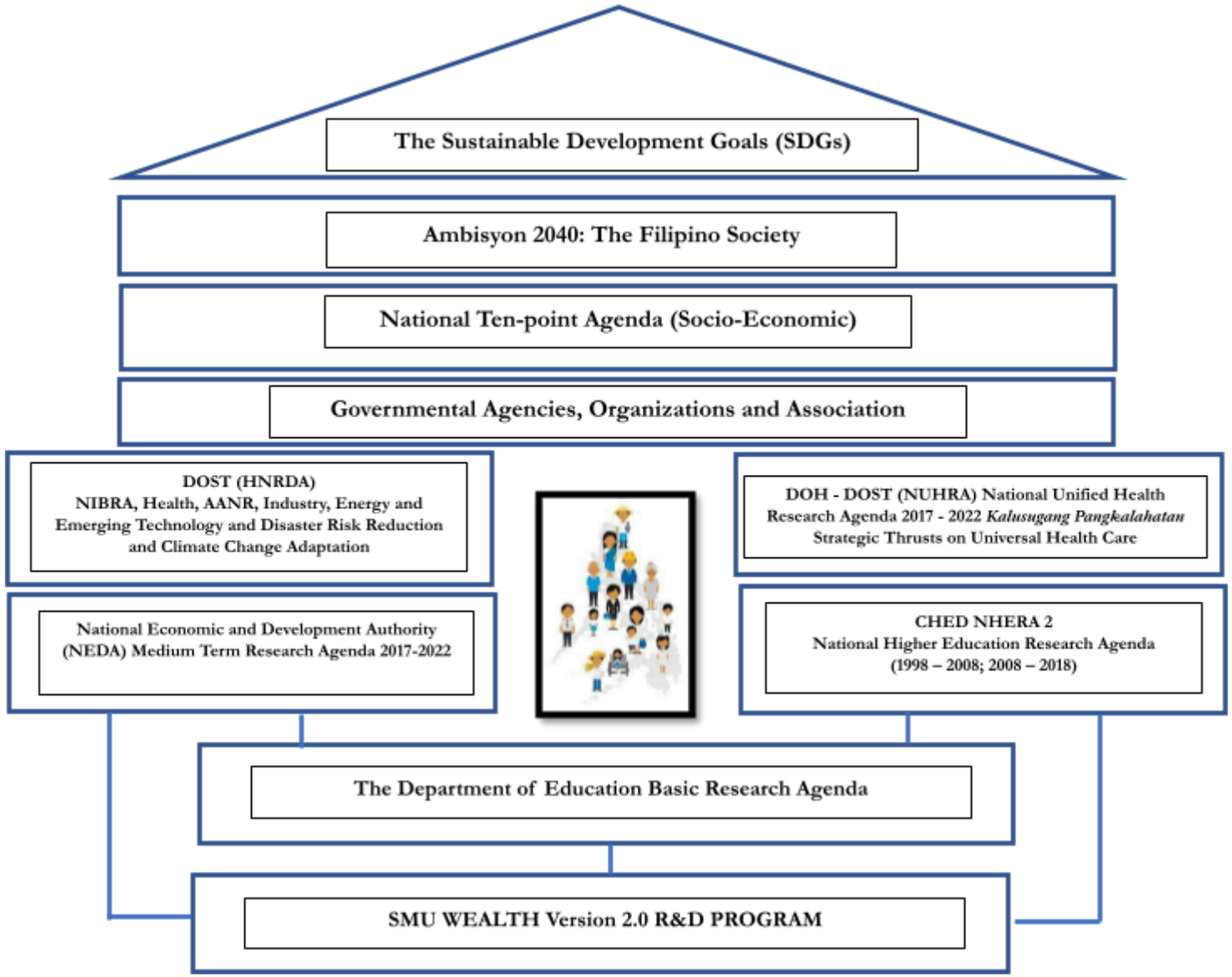


Figure 1. The Bahay Kubo Framework for SMU Research Agenda Setting

The setting of the institution's Research Agenda is illustrated by the symbolic *Bahay Kubo* (Nipa Hut) - emblematic of Philippine culture which depicts the most nurtured Filipino value called *bayanihan*, which is attributed to a spirit of collective unity or effort to accomplish an objective.

Setting the research agenda requires the collective effort of internal units of SMU to recognize that agenda are not set in concrete as they naturally change over time and grow as new needs and questions emerge. Hence, people from internal units provide richer grounds to refine ideas about setting the research agenda.

Moreover, while the purpose of the *Bahay Kubo* is to lift up sustainable and healthy Filipino knowledge, skills, practices and values that can ignite a culture shift towards wellbeing, accomplishing this takes into account relevant global perspectives (*awning and canopy*), national thrusts (wall frames), regional and local needs (base / groundwork).

Albeit, what beautifies and gives meaning to the *Bahay Kubo* is the people who live in it, a diverse and well-represented set of stakeholders is important in an agenda setting to appropriately identify priorities in research and to improve uptake of the research agenda. Stakeholder engagement, however, is not be limited to agenda setting, collaborative work must be sustained in all aspects of the research cycle.

Thus, in the crafting of the institutional research agenda, internal as well as external perspectives, global and national mandates and thrusts, as well as regional and local priority needs are put into consideration. This is basically where the Project WEALTH v. 2.0 is anchored.

PRIORITY RESEARCH AREAS

Wellness	Environment	Accountability / Advocacy	Life-long Learning	Transformative Studies	Health
W	E	A	L	T	H

Value-Added Studies	e-Learning	Risk-Reduction/ Mitigation	Student-Centered Learning	Impact Studies	Opportunity / Mobility Gaps	Network Communication / IT
V	E	R	S	I	O	N

2.0

The World Bank's Education for Global Development (2023) enunciates that university rankings have become a significant part of the tertiary education landscape, both globally and locally. In this landscape, rankings have risen in importance and flourished in unimaginable ways, and so is the sophistication of organizations that rank colleges and universities. Certainly, rankings now play such a big role in shaping the opinions of current and potential students, parents, employers, and government about the quality of tertiary education institutions. Despite the subjectivities and biases of university rankings, four essential reasons have emerged as vital indicators for higher education institutions' clamor for rankings (that is, in the absence of sound and comparable information among HEIs): (1) **enhancing institutional prestige** – Rankings have been proven to significantly help maintain and build institutional position and reputation. Having an institution rank as highly as possible only improves the chances of falling into a prospective student shortlisting process. To rank above a competitor in this context – and having the stronger 'brand image' would be advantageous in terms of student recruitment; (2) **improving the organization and management** - policymakers in universities have utilized rankings as a benchmark to work off in order to achieve institutional progression. Research has suggested that as many as 68% of key stakeholders at universities use rankings as a management tool to bring about strategic and academic change; (3) **serving as bases for making important decisions** – Rankings can be deemed as reliable sources to help encourage the collection and publication of reliable national data in higher education. Such reports and findings are even used to leverage making positive, internal policy changes; and (4) **influencing partnerships and collaborations** – University rankings can influence national and international partnerships and collaborations. This ties in with the positive branding that manifests from rankings, but for institutions with an advantageous rank, it will improve willingness of others to partner with them or support their membership of academic or professional associations.

Transcending the subjective aims of university rankings, research as a tool to drive and enrich instruction and community extension in SMU has made use of the various domains and indicators of university rankings as a way to measure the institution's contributions and real impact to society by valuing start-ups, entrepreneurship and industrial application; cultivation of social responsibility, ethics and integrity rather than on mere knowledge and skills; emphasizing future potentials by accepting on-going innovative efforts; promoting mutual learning and cooperation; and providing innovation targets via the enriched SMU priority areas in research (Project WEALTH VERSION 2.0).

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		**WURI (Sept – Nov)**		**UI Green Metric (May to October) Six Domains**		**The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)**	
Criterion	**Domains / Indicators / Research Themes**	**Criterion**	**Domains / Indicators / Research Themes**	**Criterion**	**Domains / Indicators / Research Themes**	**Criterion**	**Domains / Indicators / Research Themes**
THE Impact serves as the sole global performance table that evaluates universities based on their alignment with the United Nations' Sustainable Development Goals (SDGs). Through meticulously calibrated indicators, these rankings provide comprehensive and equitable comparisons across three		WURI assesses higher education institutions' real contributions to industry and society, highlighting innovative education, research, and engagement to society. Using 13 categories, it encompasses innovation targets and methods, offering a comprehensive measure of institutions'		The UI Green Metric is an annual international ranking of the sustainability performance of universities. Universities are given a score reflecting their efforts in reducing the ecological footprint of the university and sustainability education and research. The ranking was launched to promote sustainability in higher education institutions		Applied HE is a sophisticated higher education ranking system that considers different dimensions of an institutions' performance based on multiple sources of data. The AppliedHE Private University Ranking system measures what is important to students based on six categories	

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
fundamental areas: research, outreach, and stewardship		creative contributions to societal progress					
SDG 1 – no poverty	measures universities' research on poverty and their support for poor students and citizens in the local community.	**Poverty, Health and Food Security** (Subtheme of Ethical Value)	Focuses on addressing the multidimensional aspects of poverty and its impacts on health and food security in different contexts and areas	**School Spaces and Social Safety Nets** (Subtheme of Setting and Infrastructure)	Linking poverty reduction efforts and campus infrastructure. For instance, creating community spaces that empower economically disadvantaged students or creating social safety nets that provide support system like scholarships, or food banks for financially vulnerable students	**Role of HEI in Poverty Reduction** (Subtheme on Research Life)	Exploring the role of higher education in poverty reduction, including access, equity and quality and their impact on poverty alleviation.
SDG 2 – zero hunger	measures universities' research on hunger, their teaching on food sustainability and their commitment to tackle food waste and address hunger on campus and locally.	**Agro-Industrial Education** (Subtheme of Industrial Application)	Focuses on promoting sustainable agriculture and its linkages with industrial applications and environmental challenges	**Campus Food System and Food Recovery** (subtheme of Waste Management)	Investigating local sourcing, food security, and nutrition programs within the university and exploring ways to minimize food waste and redirect surplus food to those in need.	**Role of HEI in Food Security** (Subtheme on Research Life)	Determining the role of higher education in promoting sustainable food security, including studies on agricultural research and innovation.
SDG 3 – good health and well-being	measures universities' research on key diseases and conditions, their support for healthcare professions and the health of students and staff.	**Glocal Responses to Emerging Diseases** (Subtheme of Ethical Value)	Focuses on improving health systems and their ethical value in delivering universal health coverage and responding to emerging diseases and pandemics.	**Mental Health Support and Active Transportation** (Subtheme of Health and Wellbeing)	Investigating current mental health services available to students and their impact on well-being, as well as appraising walking / cycling infrastructure and its effects on physical health among students	**Role of HEI in Promoting Health and Wellbeing** (Subtheme on Research Life)	Identifying the role of higher education in promoting health and wellbeing, including studies on medical education, health research and innovations in health technologies.
SDG 4 – quality education	measures universities' contribution to early years and lifelong learning, their pedagogy research and their	**Student Support and Engagement**	Focuses on supporting students' academic and career success as well as student welfare, diversity, inclusions, and participation	**Education & Research**	• The ratio of sustainability courses to total courses/modules (300) • The ratio of sustainability research funding towards	**Research life**	Measuring whether an institution contributes to the creation of new knowledge that results in raising the

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
	commitment to inclusive education.	**Generative AI Application**	Focuses on how universities are reacting to and applying Generative AI (e.g., ChatGPT) in their education, research, and administration.		total research funding (200) • Number of scholarly publications on sustainability (200) • Number of events related to sustainability (200) • Number of student organizations related to sustainability (200) • University-run sustainability website (200) • Sustainability report (100) • Number of cultural activities on campus (100) • Number of university program(s) to cope with Covid-19 pandemic (100) • Number of sustainability community services project organized and/or involving students (100) • Number of sustainability-related startups (100)		quality of teaching. It also measures the scholarly output produced during the past five years
		Symbol (Promotion)	Leverages creative ways to promote innovative programs effectively by thinking outside the box			**Quality of Teaching and Learning**	Determining the institution's quality of teaching and learning
						Institutional Reputation	Determining the institution's brand value. It provides insight as to whether the institution is respected by other universities, so that the degree or diploma a student

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
							graduates with, carries some weight.
SDG 5 – gender equality	measures universities' research on the study of gender equality, their policies on gender equality and their commitment to recruiting and promoting women.	**Leadership**	Emphasizing whether the existing leadership relinquish its privilege and continually adapt and innovate to remain effective and influential in the ever-changing landscape of higher education	**Gender Equity Programs** (Subtheme of Education and Research)	Addressing gender-related challenges in sustainability programs and encouraging research and projects that advance gender equity.	**Gender Equality and Women Empowerment** (Subtheme on Research Life)	Investigating the role of higher education in promoting gender equality and empowerment along the domains of educational access and outcomes, women empowerment and changing societal norms and attitudes in favor of gender equality.
SDG 6 – clean water and sanitation	measures universities' research related to water, their water usage and their commitment to ensuring good water management in the wider community.	**Water Analysis for Consumption** (Subtheme of Industrial Application)	Focuses on improving water quality for industrial applications in various sectors such as agriculture, manufacturing, and energy.	**Water**	• Water conservation program & implementation (200) • Water recycling program implementation (200) • Water efficient appliances usage (200) • Consumption of treated water (200) • Percentage of additional handwashing and sanitation facilities during Covid-19 pandemic (200)	**Water Resource Management and Sanitation** (Subtheme on Research Life)	Exploring the role of higher education in promoting sustainable water resource management, sanitation technologies, and impact on water and sanitation practices.
SDG 7 – affordable and clean energy	measures universities' research related to energy, their energy use and policies, and their commitment to promoting energy efficiency in the wider community.	**Infrastructure / Technology**	Focuses on how well a university is adopting new technologies and new infrastructure to support their innovative efforts throughout the entire programs	**Sustainable Energy** (Subtheme of Energy and Climate Change)	Focuses on how universities can contribute to the development and implementation of sustainable energy solutions like paper wastes to paper cups, etc	**Renewable Energy and Technologies** (Subtheme on Research Life)	Appraising the role of higher education in promoting renewable energy, technologies, energy efficiency and conservation.

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
SDG 8 – decent work and economic growth	measures universities' economics research, their employment practices and the share of students taking work placements.	**Workers' Health and Safety** (Subtheme of Ethical Value)	Focuses on supporting workers' health and safety and their ethical value in different working environments and conditions.	**University Innovations / Patents** (Subtheme of Energy and Climate Change)	Focuses on how university innovations create decent jobs and economic growth to disadvantage students	**Employability**	Determining whether students are able to find a job after graduation. The data of this criteria include Alumni Tracer Study and full documentation submitted by the institution.
SDG 9 – industry, innovation and infrastructure	measures universities' research on industry and innovation, their number of patents and spin-off companies and their research income from industry.	**Industrial Application**	Emphasizes the application of industrial-related education and research to generate tangible impacts, diverging from the conventional focus on academia-driven research and education	**Setting & Infrastructure**	• The ratio of open space area to total area (200) • Total area on campus covered in forest vegetation (100) • Total area on campus covered in planted vegetation (200) • Total area on campus for water absorption besides the forest and planted vegetation (100) • The total open space area divided by total campus population (200) • Percentage of university budget for sustainability efforts (200) • Percentage of operation and maintenance activities of building during Covid-19 pandemic (100) • Campus facilities for disabled, special needs and or maternity care (100)	**Innovative Technologies and Industrial Development** (Subtheme on Research Life)	Determining the role of higher education in promoting research and development, particularly on innovative technologies and industrial development

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
					• Security and safety facilities (100) • Health infrastructure facilities for students, academics and administrative staff's wellbeing (100) • Conservation: plant, animal and wildlife, genetic resources for food and agriculture secured in either medium or long-term conservation facilities (100)		
SDG 10 – reduced inequalities	measures universities' research on social inequalities, their policies on discrimination and their commitment to recruiting staff and students from under-represented groups.	**Student Mobility and Openness**	Focuses on exchange and collaboration between schools and across national borders to promote openness and the sharing of knowledge and resources, rather than an independent yet closed system.	**Campus Involvement in Sustainable Practices** (Subtheme of Waste)	By implementing waste management practices like recycling and organic waste treatment, universities can educate and involve the entire campus community in sustainable practices, promoting equality in participation.	**Community Engagement**	Measuring the institution's contributions to the local community and to nation-building. It is based on particular indicators, including student involvement in community engagement and media coverage
						Internationa-li zation	Determining student and faculty mobility in international academic affairs
SDG 11 – sustainable cities and communities	measures universities' research on sustainability, their role as custodians of arts and heritage and their internal approaches to sustainability.	**Culture / Values**	Focuses on how universities create a Culture with industry / student-centered thinking (rather than university/professor-centered thinking), pursuit on social values	**Transportation Management**	• The total number of vehicles (cars and motorcycles) divided by total campus' population (200) • Shuttle services (300)	**Urban Planning and Development** (Subtheme on Research Life)	Exploring the role of higher education in promoting urban planning and development and the role of education in promoting

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
			(alongside the values of universities, establish innovative culture		• Zero Emission Vehicles (ZEV) policy on campus (200) • The total number of Zero Emission Vehicles (ZEV) divided by total campus population (200) • Ratio of ground parking area to total campus' area (200) • Program to limit or decrease the parking area on campus for the last 3 years (from 2018 to 2020) (200) • Number of initiatives to decrease private vehicles on campus (200) • Pedestrian path on campus (300)		community engagement.
SDG 12 – responsible consumption and production	measures universities' research on responsible consumption and their approach to the sustainable use of resources.	**Entrepreneurial Spirit**	Encompasses a range of elements and initiatives that collectively foster an environment conducive to entrepreneurship and innovation	**Waste**	• Recycling program for university's waste (300) • Program to reduce the use of paper and plastic on campus (300) • Organic waste treatment (300) • Inorganic waste treatment (300) • Toxic waste treatment (300) • Sewage disposal (300)	**Sustainable Supply Chains** (Subtheme on Research Life)	Investigating the role of higher education in promoting responsible consumption and production, and in promoting sustainable supply chains and impact of education on consumption and production behaviors.
		Funding	Focuses on how innovative approach a university took to raise				

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
			fund by exploring diversified funding streams and adopting new methods				
SDG 13 – climate action	measures universities' research on climate change, their use of energy and their preparations for dealing with the consequences of climate change.	**Crisis Management**	Focuses on managing environmental and economic crisis that universities face from the greater society, such as climate change, diseases like COVID-19, and other global and local crisis.	**Energy & Climate Change**	• Energy efficient appliances usage (200) • Smart building implementation (300) • Number of renewable energy sources on campus (300) • Total electricity usage divided by total campus' population (kWh per person) (300) • The ratio of renewable energy production divided by total energy usage per year (200) • Elements of green building implementation as reflected in all construction and renovation policies (200) • Greenhouse gas emission reduction program (200) • Total carbon footprint divided by total campus' population (metric tons per person) (200) • Number of innovative program(s) during covid-19 pandemic (100) • Impactful university program(s) on climate change (100)	**Climate Change Awareness and Action** (Subtheme on Research Life)	Identifying the role of higher education in mitigating climate change, and in the adoption of strategies, including impact of education on climate change awareness and action.
SDG 14 – life below water	measures universities' research on life below	**Marine Biodiversity**	Focuses on protecting marine biodiversity,	**Marine Ecosystem**	Determining the impact of human activities to marine	**Marine Conservation**	Determining the role of higher education

Times Higher Education's (THE) University Impact Rankings (May – Oct.)		WURI (Sept – Nov)		UI Green Metric (May to October) Six Domains		The AppliedHE Public and Private University Ranking: ASEAN (July-Nov)	
	water and their education on and support for aquatic ecosystems.	(Subdomain of Industrial Application)	and its industrial applications in sectors such as biotechnology, tourism, and fisheries.	(Subdomain of Environmental Sustainability)	ecosystem and what the university is doing to help protect and promote marine ecosystem	(Subtheme on Research Life)	in promoting marine conservation, and in minimizing or eradicating marine pollution practices
SDG 15 – life on land	measures universities' research on life on land and their education on and support for land ecosystems.	**Terrestial Biodiversity** (Subdomain of Industrial Application)	Focuses on protecting terrestrial biodiversity, and its industrial applications in sectors such as biotechnology, tourism, and fisheries.	**Terrestial Ecosystem** (Subdomain of Environmental Sustainability)	Determining the impact of human activities to terrestial ecosystem and what the university is doing to help protect and promote terrestial ecosystem	**Sustainable Land Use and Biodiversity** (Subtheme on Research Life)	Promoting the role of higher education in terrestrial conservation and sustainable land use and biodiversity conservation.
SDG 16 – peace, justice and strong institutions	measures universities' research on peace and justice, participation as advisers for government and policies on academic freedom.	**Social Responsibility**	Focuses on researching and educating ethics and integrity, rather than solely concentrating on knowledge and skills for academic success	**University Impact** (Subtheme of Education and Research)	Measuring the impact of the university to local, regional and national growth and development	**Peace and Conflict Studies for Peaceful and Inclusive Societies** (Subtheme on Research Life)	Identifying the role of higher education in promoting peace and conflict studies, governance and justice systems, and the role of education in promoting peaceful and inclusive societies.
SDG 17 – partnerships for the goals	looks at the broader ways in which universities support the SDGs through collaboration with other countries, promotion of best practices and publication of data.	**Support for Global Resilience**	Focuses on community engagement and outreach for global current issues such as the Russian-Ukraine War, etc	**Partnership for Sustainability** (Subtheme of Environmental Sustainability)	Given that universities are considered small cities, research could be conducted on how university policies align with SDG 17.	**Partnership for Global Education and Cooperation** (Subtheme on Research Life)	Determining the role of higher education in promoting partnerships for sustainable development, global education, and the impact of education on global cooperation.

SAINT MARY'S UNIVERSITY
Bayombong, Nueva Vizcaya

LINGGO NG LIKHA AT LINGKOD 2024 GENERAL PROGRAMME

April 24-30, 2024

Theme:

"Research for Innovation: Extension for Empowerment"

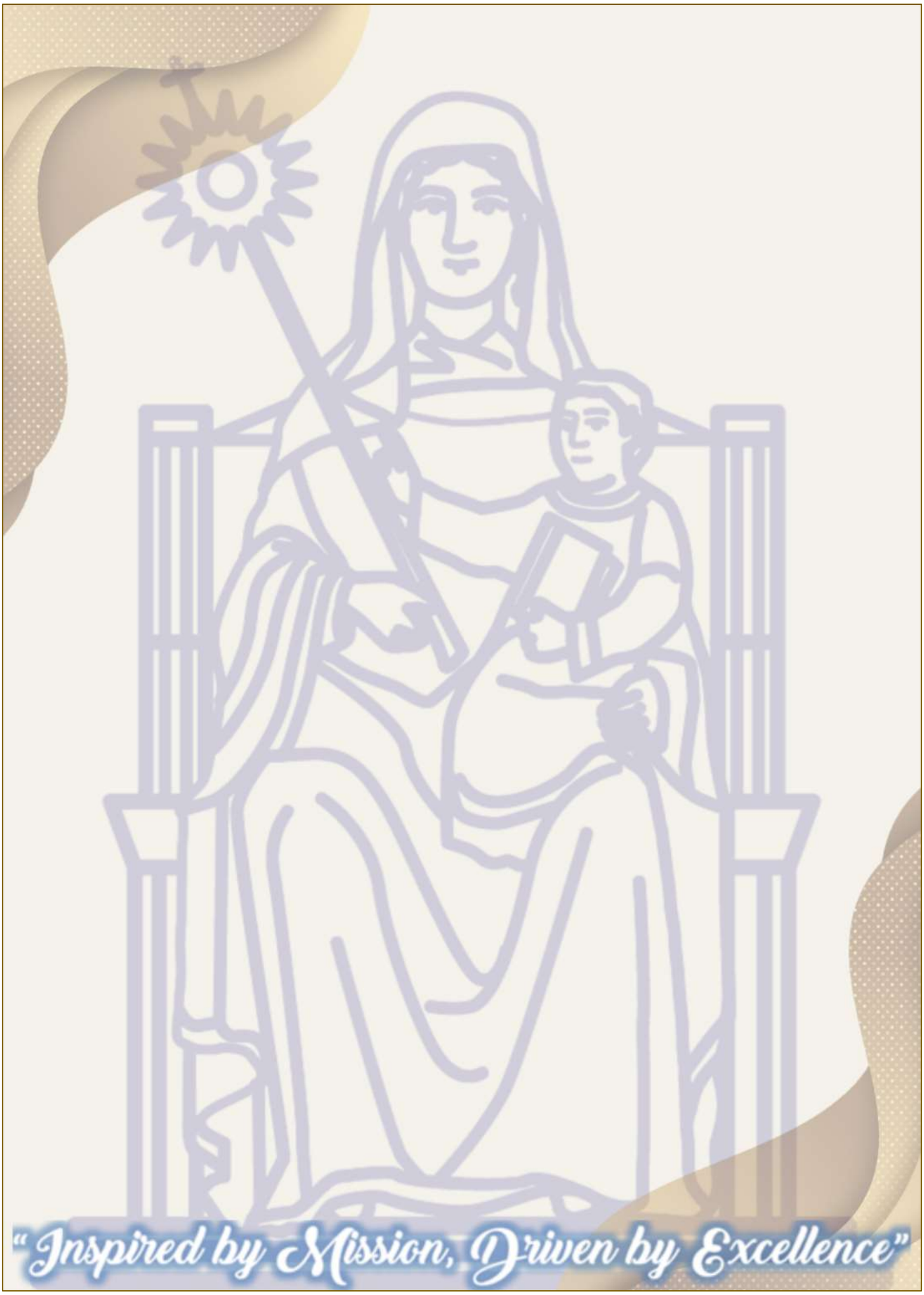
Date, Time, Venue	Title Of Activity	Target Participants	Sponsor(s)
April 24, 2024 (Wednesday)			
Day 1: 7:30 AM-8:30 AM Mary Seat of Wisdom Chapel	Thanksgiving Mass	Marian Community	Campus Ministry & Office of the VPMI
8:30 AM-8:40 AM Mary Seat of Wisdom Chapel	Opening Address (Before the Mass culminates)	Marian Community	Office of the University President/ Chair, Research and Community Development Council
9:00 AM-12:40 NN San Pedro Calungsod Hall	Faculty Research Proposal Forum	Faculty Researchers	University Research Center
1:30 PM-3:00 PM San Pedro Calungsod Hall	UREO General Assembly	Members, Research Ethics Board	University Research Ethics Office
3:00 PM-5:30 PM San Pedro Calungsod Hall	Re-echo Seminar on Good Research Practice (Institutional)	SAB, SHaNS, SEAIT, and STEH Faculty Members	UREO with Research Council Coordinators
7:30 AM-5:00 PM Sacred Heart Center	Project 1-TUDU: IP Education-Teacher Upskilling through Developments in Diversity and Understanding (PRC Accredited)	STEH Teachers, At least 5 teachers from all Schools, Learning Area Coordinators (Basic Education)	Indigenous Peoples Service Unit, CDA Coordinators
1:00 PM-5:00 PM University Boardroom	Panel Interview of Applicants for the Ten Outstanding Students of SMU (TOSSMU)	TOSSMU Applicants	Advisory Board and Office of the Dean of Student Affairs and Services
8:00 AM-9:00 AM 3:00 PM-5:00 PM	Open House – Research Forum	Faculty and Staff	Research Council, Junior High School
9:30 AM-11:00 AM SMUGS- Smart Laboratory	Showcasing Investigatory Projects	Presenters: Selected SMU-JHS Students and Grade 6 Pupils	JHS Research Council, Grade School Research Council and Science Department
1:00 PM-4:00 PM	Local Research Forum and Professional Conversation- Upskilling of Research Skills	SMUGS Faculty and Staff	Research Council, Grade School Department

Date, Time, Venue	Title Of Activity	Target Participants	Sponsor(s)
April 25, 2024 (Thursday)			
Day 2: 8:00 AM-12:00 NN	SHaNS B.E.S.T Research Forum	SHaNS Target Audience	Research Council, School of Health and Natural Sciences
1:00 PM-5:00 PM	SHaNS Creative Works Exhibit	SHaNS Target Audience	Research Council, School of Health and Natural Sciences
1:00 PM-5:00 PM	SAB Research Forum	SAB (Target Audience: Research Classes)	Research Council, School of Accountancy and Business
1:00 PM-5:00 PM	Echo Seminar in Literature (Revisiting Literature through Research)	Students of Literature Subjects and Other students of the Department of Languages	Languages Department of STEH and GHESQUIERE BOUCKAERT Institute for Literature Development (GILD)
1:00 PM-5:00 PM	Poster Presentation Showcasing Research-based products	JHS Students, Faculty, Staff and Parents	STaR Department and MST Club
April 26, 2024 (Friday)			
Day 3: 8:00 AM-12:00 NN San Pedro Calungsod	SHaNS Mobile Clinic: Eye Care for Seniors	Tumaliuan-Tiam Foundation	Research Council, School of Health and Natural Sciences
9:00 AM-12:00 NN Sacred Heart Center	"Legal Aid and Counseling for Persons with Disabilities"	Selected PWDs in Bayombong, Nueva Vizcaya	Commission On Human Rights Region 2 & PWD Unit MLGU Bayombong
1:30 onward	SEAIT Research Forum with Exhibit of Research Outputs	SEAIT Research Classes and 3rd Year Students	Research Council, School of Engineering and Architecture and Information Technology
1:30 PM onward	STEH Research Forum	STEH Research Classes	Research Council, School of Teacher Education and Humanities
8:00 AM-5:00 PM	Viewing of Exhibits	JHS Students	Different PLC's
3:00 PM-5:00 PM	MSL @ Partner School	Pupils and Teachers of Pawak Elementary School	Different JHS Clubs

Date, Time, Venue	Title Of Activity	Target Participants	Sponsor(s)
7:30 AM-5:00 PM	Research Congress	Invited Grade 10 and 11 Teachers and Students of Private Schools in Nueva Vizcaya	Research Council, Senior High School, SHS, Research Department, and IRIS Club
April 27, 2024 (Saturday)			
Day 4: 8:00 AM-12:00 NN	SoGS Students' Research Forum cum Extension	SoGS Faculty and Students	Research Council, School of Graduate Studies
8:00 AM-12:00 NN San Pedro Calungsod Hall	Feeding and Literacy Activities with Sitio Masina Learners	Sitio Masina Learners	Non-Academic and School of Teacher Education and Humanities
8:00 AM-12:00 NN Fr. Tonus Gymnasium	Medical Mission	Sitio Masina Residents	School of Health and Natural Sciences
8:00 AM-12:00 NN Masoc Reforestation Site	Tree Planting Activity	Faculty, Staff and Students	NSTP, SPCO, PPPDMO
8:00 AM-3:00 PM Fr. Tonus Gymnasium	Dugong Marian para sa Mamamayan: Save Life, Share your Blood	PRC-NV Chapter	NSTP
	Food Preparation and Cooking Demonstration "Gulay mo, Luto ko" Return Demonstration-Selected parents of Baguingey Elementary School	Teachers and Parents of Baguingey Elementary School	Research Council, Grade School, TLE Department and CDA
8:00 AM-12:00 NN	Emerging Trends in Laboratory Techniques and Operations	MedTech, Pharmacy, CNS, Basic Education Faculty, Researchers and Students	Center for Natural Sciences
1:00 PM-5:00 PM	The Write Tract: Guiding Researchers to Publication Success	SoGS Faculty and Students	DOST-SEI CBPSME and SoGS
April 29, 2024 (Monday)			
Day 5: 8:00 AM-5:00 PM	Book Fair	Marian Community	University Learning Resource Center
7:30 AM-10:30 AM Tonus Gymnasium	First Session- Helping Hands: Happy Hearts: The Power of Peer Support and Wellbeing	Selected Second Year Students	Guidance and Testing Office
1:30 PM-4:30 PM	Second Session- Helping Hands: Happy Hearts: The Power of Peer Support and Wellbeing	Selected Third Year Students	Guidance and Testing Office

Date, Time, Venue	Title Of Activity	Target Participants	Sponsor(s)
1:30 PM onward	Webinar on Fundamentals of Intellectual Property Rights: Patents, Utility Models, Industrial Designs, Trademarks, Copyrights and trade Secrets	Marian Community	Technology Transfer and Business Development Office
3:00 PM In-Campus	Fashion Runway	Marian Community	Cultural Affairs Office
8:00 AM-12:00 NN	JHS Science Research Congress	Grades 9 and 10 Students	STaR Department
April 30, 2024 (Tuesday)			
Day 6: 8:00 AM-5:00 PM Patios Alois and Francois	Book Fair: Pages of Passion – Celebrating the Love for Reading	Marian Community	University Learning Resource Center
8:00 AM-12:00 NN	Seminar-Workshop on Techniques in Ethical Animal Handling in Laboratory Settings	Selected Students in Pharmacy, MedTech, Biology Students and Junior HS and Senior HS Teachers and Laboratory Assistants and interested Researchers outside SMU ***(First Come, First Served Basis)***	Center for Natural Sciences
8:00 AM onward	Demonstration at the TTBDO Fabrication Laboratory	Interested SEAIT, SAB, and SHS Students	Technology Transfer and Business Development Office
9:00 AM-5:00 PM	Sharing of DIY Projects and Viewing of Exhibits	Invited Grade-Six pupils from nearby Elementary Schools in Bayombong	Promotions Officer Different PLC's
8:00 AM-12:00 NN Sacred Heart Center	E-CON (Environmental Convergence) 2024: Empowering Sustainability Dialogue & Environmental Strategy Overview	CFE Classes with JPIC, Student Leaders and the Marian Community	Student Central Council and Office of the Dean of Student Affairs
2:00 PM-3:30 PM TBD	Awarding Ceremony for the TOSSMU 2023-2024	TOSSMU Winners	Advisory Board
3:00-5:00 PM	Culmination Program	SHS Students, Faculty, Staff, and Parents	SHS Research Department and IRIS Club

Prelude Activities for Senior High School:
April 15, 2024 – Launching of MarianaLiksik 2024 (Classroom-based);
April 16, 2024 – Preparation for the Research Exhibit;
April 17, 2024 – Opening and Blessing of Research Exhibit;
April 19, 2024 – Oral Presentation of Research Outputs;
April 23, 2024 – Research Poster Presentation; and
April 17-24, 2024 – Viewing of Exhibits;


"Inspired by Mission, Driven by Excellence"