National Institutes of Health
University of the Phlippines Manila

Published on *National Institutes of Health* (http://nih.upm.edu.ph)

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Grants Policies

Outline:

A. Application for an NIH Research Grant

a. At the start of each academic year, NIH releases a call for research proposals. Application usually starts at the second week of June and ends one month after. Extension of application may occur , upon the discretion of the OVCR.

b. All faculty of the University of the Philippines-Manila is eligible to apply for a research grant. Priority will be given to the following proponents:

1. Tenured NIH Research Faculty
2. Non-tenured NIH research faculty
3. Tenured UP Manila and its units' faculty
4. Non-tenured UP Manila and its units' faculty
5. Non-UP Manila faculty

c. Priority will also be given to research proposals, which correspond to NIH's research agenda.

i. Top 10 Morbidities and Mortalities in the nation
ii. Biotechnology

d. The timetable of a research proposal should cover between six months to one year only.

e. Personnel

i. Only one full-time technical research staff shall be funded per project.
ii. Only one full time or part time administrative staff shall be funded per project.
iii. Students may be hired as student assistants and graduate assistants. (if the term used is

hired, does it mean they should be paid? Full time?)

iv. Part-time personnel with full time job elsewhere (including UPM employees) may be hired provided they obtain a written consent from their employer, and that they will work outside their official hours in their mother unit.

v. Consultants (at most 2) may be hired provided their services are crucial to the research. Approval of hiring a consultant in the study, will be given by the Technical Review Board. Hiring of foreign consultants shall not be allowed (Ask about this)

f. Three copies of the research proposal following the prescribed format (Chapter 6 Annex A) will be submitted to the OVCR research management staff prior to the deadline.

B. Initiation of an accepted research proposal

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a. All research proposals will be reviewed by the NIH technical review board and if necessary, the bioethics committee.

b. Notification of acceptance will be sent to the proponent by the OVCR 2-3 months after the deadline of application.

c. A mutually agreed-upon-line-item budget will likewise be approved by the OVCR.

d. A budget should include the administrative cost to be given to the NIH for handling the fees.

e. The OVCR research management team will be responsible for the execution of the memorandum of agreement between the proponent and the UPM Chancellor.

f. In any research activity involving human participation, the proponent and any research staff who deal with the participant, should complete a US- NIH on-line training on the Protection of the Human Participants (www.nih.gov.html [1]). A certificate of completion can be printed from the on-line program. A similar program will be developed by the NIH-Philippines in the near future.

g. The project shall only start after the date of the MOA signing as well as submission of the certificate of completion of the online training of the project leader and research staff to the OVCR.

h. Deferment of the approved grant for a maximum of six months may be allowed on meritorious cases to avoid disenfranchisement of new proposals. A written explanation shall be addressed to the UPM Chancellor duly noted by the Vice Chancellor for Research.

C. Research Personnel

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a. The names of the research staff shall be submitted to the OVCR-ORS for issuance of an official NIH Identification card.

b. Because of the nature of research work, which is output oriented, the working hours of the staff may be flexible depending on the needs of the project. The project leader and staff shall

decide on the working hours. No overtime pay will be given. A monthly certification of services shall be submitted to the OVCR as basis for payment of salaries.

c. Due to the contractual nature of the research work, no thirteenth month pay will be included in the budget.

d. Hiring and termination of the research staff will be on the discretion of the Project Leader. OVCR will likewise be notified of the termination of any research staff. NIH ID card should be surrendered to the OVCR on termination of services.

D. Release of Funds

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a. Upon approval of the research project, the Project Leader determines the quarterly financial requirement and the corresponding scheduled output of the project.

b. The OVCR-Ors staff prepares the line-item budget, which will be signed by the Vice Chancellor for Research and NIH Executive Director.

c. The Budget Office prepares the Notice of Sub-Allotment of Agreement.

d. The OVCR-ORS staff furnishes the Project Leader a copy of the NOSA, MOA and research guidelines .

e. The honorarium of the Project Leader will be released as follows:

i. 20% upon signing of all implementation papers
ii. 40% upon submission of midyear progress report
iii. 40% upon submission of acceptable final report

f. Salaries of full time and part-time staff will be released by the UP Manila cashier at the end of each month, upon submission of a certificate of services signed by the Project Leader and the Vice Chancellor for Research.

g. Payment of personnel on a straight-fee basis (project consultant) will be in accordance with terms of payment stated in the contract.

h. MOOE funds will be released as follows:

i. First release -50% upon signing of implementation papers

ii. Second release - 25% upon settlement of the first release

1. Submission of mid year report (See Chapter 6 Section B and Annex D)
2. Accounting of expenses

a. Summary of expenses
b. Official receipts pasted on clean sheets of paper. (Project Leader signs all the receipts with the signature starting at the side of the receipt extending to the sheet of paper).

iii. Third Release -25% upon settlement of the second release

1. Submission of status report of 75-80% data collection accomplishment
2. Accounting of expenses

i. Suspension of release of project fund shall be resorted to on the following grounds:

i. Unauthorized foreign travel by the Project leader
ii. Suspension of the Project Leader from UP Manila for any offense
iii. Failure to produce midterm report.
Proponents of suspended projects shall have to submit accomplishment report covering the
period from start of project up to the date of suspension.

j. Lifting of the suspension and subsequent resumption of the release of funds will be done once
the following are accomplished:

i. When requirements shall have been complied with but not beyond one year after the date of
suspension.
ii. Lifting of suspension from UPM, provided lifting is within one year after date of suspension

k. No release of MOOE fund shall be made during the last two weeks of project implementation

E. Implementation of the Research Project/Program

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a. In cases, when the Project Leader is also a faculty of the UP College of Medicine or College of
Public Health, the research proposal shall be submitted to RIDO for registration. There will be no
need for RIDO to review the research proposal as previously agreed upon. Project Leaders from
other colleges shall also register their approved research proposals to their respective college
research committee or board.

b. Two copies of a midterm report shall be required for each project to be submitted 15 days after
the end of the second quarter of project implementation. Evaluation of progress reports shall be
done by the TRB unless the Vice Chancellor for Research deems it necessary to refer the report
to an external referee within or outside UP Manila.

c. Any request for amendment in the project shall be made in writing and submitted to the TRB.
Any change in the project can only be done after a written approval from the TRB is received.

d. Amendment in the approved line-item budget shall be made in writing and submitted to the
OVCR. Revision is allowed provided it is necessary for efficient implementation of the research
and will not entail additional funds, Transfer of funds from personnel funds to MOOE funds may
be allowed but not conversely. Budget can only be changed after receiving a letter of approval
from the OVCR.

e. In no case shall a replacement of an approved project with another research project be
allowed.

f. All unexpected project related problems shall be reported directly to the Vice Chancellor for
Research. The VCR shall decide on all these problems and has the option to refer cases with

far-reaching implications to the research committees.

g. In any time during the implementation, for whatever reason, a project needs to be stopped temporarily , a written request and explanation shall be submitted to the Vice Chancellor for Research as soon as possible, to be able to halt payment of salaries of the staff. The study can only resume upon approval of the Vice Chancellor for Research.

h. If for any reason the Project Leader can no longer pursue the project, he shall inform the VCR as soon as possible and refund the amount released to him in full

i. Extension of program/projects/thesis/dissertation duration may be granted from one to six months, to complete the research, without additional funding. The project leader may be allowed to use the unexpended fund of the project upon request. The unexpended funds may be allocated to personnel and MOOE. A new line-item budget shall be prepared for the unexpended fund. Request for extension shall be made in writing not later than one month before the termination of the project. Extension of one to six months requires submission of a progress report halfway of the extension period.

F. Project Audit and On-Site Monitoring

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A project monitor (assigned by the TRB) shall conduct unannounced visits to research sites (on or off campus) to monitor the progress of the projects. He/She is provided with a per diem allowance chargeable against the AO of NIH if the visit is outside UP Manila (should be included in the budget of projects). The visits of the project monitor will be based on the scheduled activities/output of the project leader's research contract.

G. Responsibilities of the Project Leader

a. The Project Leader shall at all times ensure that he and his research staff adhere to the proper conduct of the research activity.

b. The Project Leader shall be responsible for the submission of all reports to the OVCR.

c. A project Leader going out of the country for 21 consecutive days or more shall notify the OVCR and shall recommend a competent officer-in-charge. Leave from the project shall not be allowed for more than two months. Otherwise, a suitable replacement shall be appointed by the Project Leader. The OIC shall receive honoraria commensurate to the length of service rendered, from the PS of the PL. As officer-in-charge, he shall assume the duties of the Project Leader including signing of vouchers. An appointment paper shall be prepared for the purpose. No OIC shall be allowed for thesis or dissertation grants

d. Sanctions to Project Leaders who have not submitted report/financial/property accountabilities to OVCR.

Withholding 40 percent of the honoraria that shall revert to the general research fund if report is submitted beyond six months after end of project date.
ii. Non-eligibility for another research grant until accountability is settled.
iii. No issuance of clearance upon resignation or retirement until accountability is settled.

H. Completion of the Research Project

a. The project leader is given 60 days after termination of the project within which to submit the final report . This is a grace period, not an extension of the project, given to enable the project leader to fulfill his obligations to OVCR.

b. The Project Leader shall settle all financial accountabilities within one month after the termination date of the project. Likewise, all equipment purchased out of project funds (covered by memorandum receipt) shall be returned to the OVCR within a month after the end of the project.

c. Salaries and fees not claimed within 60 days after the end of the project shall revert to the general research fund of OVCR

d. Equipment issued to the projects shall be returned to OVCR within one month from the end of the project. The equipment may be donated to the mother unit of the Project Leader upon approval by the Chancellor in meritorious cases.

e. At the end of the project, a project history form (2 hard copies and 1 diskette) containing the following information shall be accomplished by the project monitor.

i. Tile of project
ii. Name of Project Leader
iii. Project Number
iv. Budget
v. Duration (including extension)
vi. Report accountabilities (progress and final reports)
vii. Financial accountabilities (settlement of MOOE releases, record of release of honoraria)
viii. Property accountabilities (equipment and materials covered by Memorandum Receipt)
The project history form shall be updated as soon as accountabilities are settled. This shall be the basis for clearing Project Leaders of accountabilities. This form also contains the name and signature of the monitor, and the person in charge of managing project finances, and the date of preparation/date updated

f. Acceptance of final report is based on the following:

i. Favorable review of referee/s
ii. Submission of revised report incorporating the recommendation and comments of the referee/s or satisfactory response to the comments of the referee/s.

g. Issuance of clearance shall be made after the Project Leader shall have complied with the following.

i. Submission of acceptable report.
ii. Settlement of all financial accountabilities related to the project.
iii. Return of all materials and equipment issued to the project and covered by memorandum receipt

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Links:
[1] http://www.nih.gov.html