

RESEARCH AND DEVELOPMENT CENTER

OFFICE OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS

**MANUAL OF
RESEARCH POLICIES
AND PROCEDURES
SILLIMAN UNIVERSITY**

DUMAGUETE CITY, NEGROS ORIENTAL, PHILIPPINES

MANUAL OF RESEARCH POLICIES AND PROCEDURES

**Research and Development Center
OFFICE OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS
SILLIMAN UNIVERSITY
Dumaguete City**

2014

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VISION, MISSION AND GOALS OF SILLIMAN UNIVERSITY

Vision

A leading Christian institution committed to total human development for the well-being of society and environment.

Mission

Silliman shall:

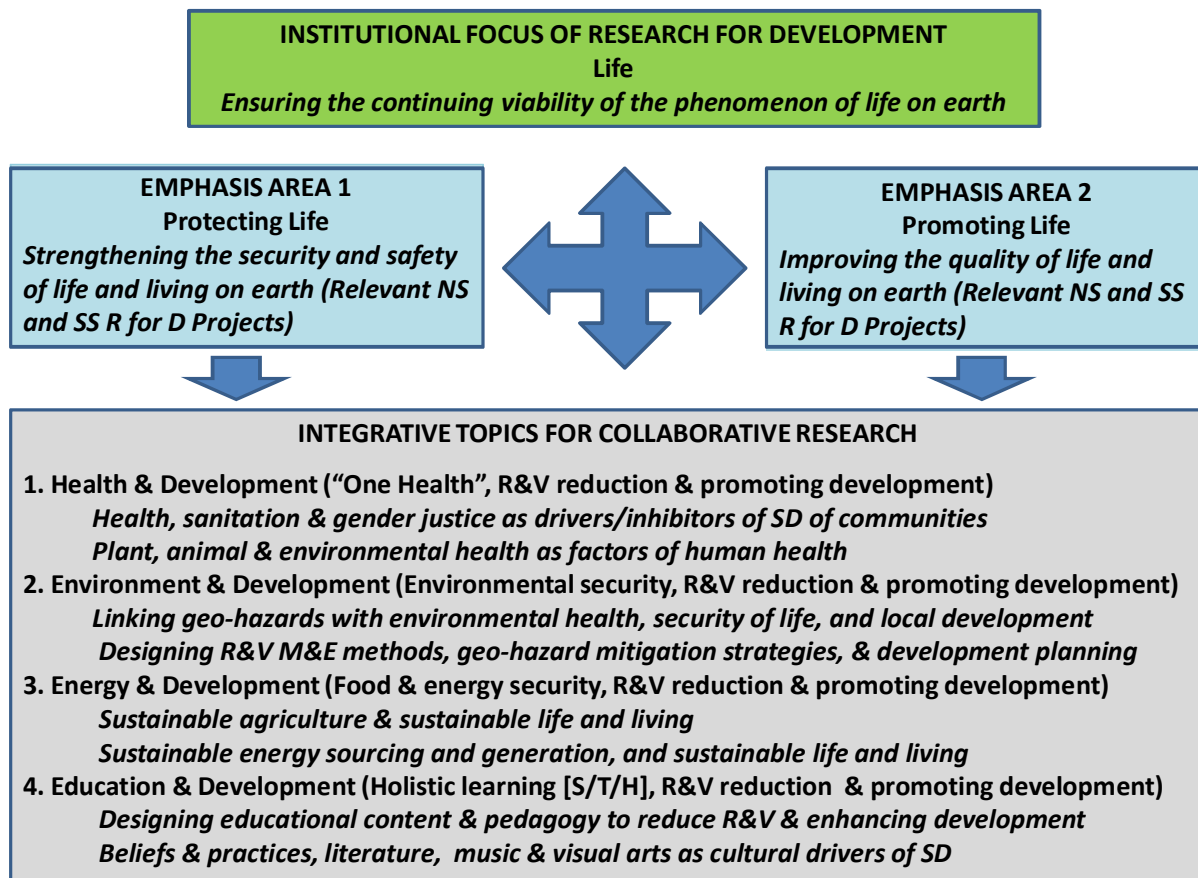
1. Infuse into the academic learning the Christian faith anchored on the gospel of Jesus Christ.
2. Provide an environment where Christian fellowship and relationship can be nurtured and promoted.
3. Provide opportunities for growth and excellence in every dimension of the University life in order to strengthen character, competence and faith.
4. Instill in all members of the University community an enlightened social consciousness and a deep sense of justice and compassion.
5. Promote unity among peoples and contribute to national development.

Goals

1. Quality and diverse body of students
2. Holistic and responsive educational program with a Christian orientation
3. Quality faculty comparative to Asian standards
4. Quality support staff
5. Adequate facilities and administrative system
6. Supportive and involved alumni
7. Long-term financial stability

VISION, MISSION AND FRAMEWORK OF THE RESEARCH AND DEVELOPMENT CENTER

The vision of the Research and Development Center, with its core inspired by the University’s vision, is committed to the development of the scholarships of faculty through research for the well-being of society and environment. This is reflected in the research framework of Silliman University which is focused on the investigation and pursuit of sustainable development with emphasis on the protection and promotion of life. Thus, the primary mission of the Research and Development Center is to mentor faculty across disciplines on the rigors of writing research proposals, collecting and processing data, writing of research report and publishable research articles in refereed journals from the research projects they undertake with financial support from within and outside of the University. The center is also mandated to offer opportunity and encourage faculty in all academic units to participate in collaborative and interdisciplinary research projects, locally and internationally.



Acronyms:

M&E- Monitoring and Evaluation
NS- Natural Sciences

R for D- Research for Development
R&V- Risk and Vulnerability
S/T/H- Science, Technology, Humanities

SD- Sustainable Development
SS- Social Sciences

UNIVERSITY RESEARCH AGENDA (2013-2016)

To guide the faculty members on what research projects to undertake, the 10 – point research agenda or themes were presented, reviewed, discussed and improved during the Coordination Meeting of designated Research Coordinators of academic units and some Deans on May 9, 2013 at Ang Lecture Hall, Uytengsu Foundation Computer Studies Hall. The research agenda were based on the following: the vision and mission of Silliman University, the current issues that are critical to human well-being and the quality of the natural environment as well as the research topics that easily get funding from external sources.

The coverage of the research agenda is also broad enough to provide opportunity for all academic units of the university to be involved. Moreover, the faculty members of different academic units are also encouraged to engage in an interdisciplinary or interdepartmental research project. This will promote productive crossing of disciplinary boundaries as well as maximize the use of human and financial resources from within or outside of Silliman University.

1. Ethics, religiosity, spirituality, and philosophical thinking across generations and spaces
2. Gender articulations, issues on children, the elderly, and persons with disabilities in different contexts
3. Perceptions of and human responses (adaptation and mitigation) to climate change, environmental threats and opportunities, costs and benefits of environmental protection and conservation
4. Governance, law, legal reform, peace, justice, and social equity
5. Evidence-based innovations, alternative and complementary methods in the practice and delivery of quality health care, including reproductive health services
6. Financial sustainability, resource management, food safety and security, and nutrition
7. Innovations and assessment in teaching, including language and communication studies
8. Tourism, heritage (cultural, historical and natural) management, and the development of contemporary arts
9. Issues in land use, rural and urban development, and sustainable agriculture initiatives
10. Human impacts of and innovations in engineering, business practice, entrepreneurship, and information technology

RESEARCH FUNDING AND INCENTIVES

A. Potential Sources of Research Funds

1. Internal
 - a. Faculty Development Grant for Research
 - b. Professorial Chair in Research
 - c. Three-unit load credit for research

2. External
 - a. Local government units
 - b. Government agencies (e.g. CHED, DOH, DOST)
 - c. Private organizations (national and international)
 - Non-government organizations
 - Corporations

B. Publications as Requirements for Promotion in Rank

Rank	Number of Publications and Conference Papers Required
Instructor	None
Assistant Professor	None
Associate Professor	Four publications + one conference paper presented
Full Professor	Six publications + one conference paper presented

C. Cash Incentives for Publication in Peer Reviewed Journals

Rationale

Cash incentive for publication in scholarly journals or peer reviewed and internationally recognized is another driver to promote the culture of research and publication in a university. This is in addition to the inherent value and drive of a faculty for engaging in research to satisfy his or her desire to discover and produce new knowledge. Professional growth and promotion in academic rank are also added drivers aside from the fact that research and publication can potentially increase the income level of faculty in any college or university.

Silliman University provides a total of Php 50,000.00 per published research article which includes the amount already extended to publications with international circulation under the Faculty Salary Administration Scheme (FSAS) categorized as University Journal (Php 7,000.00) and Professional Journal (Php 5,000.00). The incentives of Php 43,000.00 or Php 45,000.00 relative to the amount already awarded by FSAS will be given on a case to case basis so long as the University can afford it.

This policy was approved by the Deans Conference on 20 January 2014 pursuant to DC Action 2013-14:27.

Guidelines

To guide the process of securing the Php 50,000.00 incentive for scholarly publication, the following guidelines have to be observed:

1. The article must be a product of research defined as an investigation, both in the natural and social sciences, that intends to answer questions and test hypotheses to produce a theory or to provide the basis for the development of technologies that improve the quality of life and of living, both of society and the environment.
2. The research article must have been published in international peer reviewed journals that are CHED-accredited or indexed in SCOPUS or Thomson Reuters (ISI) pursuant to BOARD OF TRUSTEE ACTION 2014-04 effective June 2012. These could be academic or discipline/profession-based, including *Silliman Journal*, as indicated in the journals' publication guidelines or policies and the presence of overseas editorial board. The author or authors may be requested also to submit a photocopy of that page of a journal which contains the policies and list of its editorial board members.
3. The research article submitted for the cash incentive must have been published a year prior to the award which had commenced in 2012 when the improved cash incentive scheme (ICIS) was introduced. For example, if the granting year for ICIS is 2013, this covers those articles published in 2012.
4. A photocopy of the research article which also shows its year of publication must be submitted to the Office of the Human Resource Division (HRD) Manager that handles FSAS and decides on the merit of publications of faculty who are candidates for promotion in rank.
5. There is no limit on the number of faculty and number of published research articles per faculty that can qualify the ICIS per year. These articles have to be submitted up to the last day of office in December of the awarding year.
6. The review of the submitted research articles shall start with the FSAS Committee of the University convened by the HRD. Those qualified articles for ICIS will be sent to the Director of Research and Development Center (RDC) for review and endorsement to the Vice President for Academic Affairs (VPAA). The VPAA will then recommend these to the President for approval.
7. The ICIS is only for Silliman faculty; therefore, in the case of articles with multiple authors, the cash award shall be equally divided among the authors who are currently employed in the University. The article with non-Silliman faculty co-authors should be submitted only once for the ICIS by the principal or secondary author who is a Silliman faculty.
8. The author or authors will be notified in writing or by email about the status of their submitted published article if this had qualified or not of the cash incentive. The cash incentive for qualified articles shall be directly deposited to the account of the author or authors as part of the monthly payroll.
9. A report of the number of faculty and articles awarded every year will be submitted to the VPAA, Vice President for Finance and Administration (VPFA), University Treasurer (UT), and

Budget Officer (BO) as input to the incentive fund generation and allocation for the succeeding year.

10. The awarded articles are still qualified to apply or avail of cash awards from other institutions or organizations (e.g. CHED REPUBLICA Awards, DOST Awards).

POLICIES AND CONDITIONS FOR AWARDING FACULTY DEVELOPMENT GRANT FOR RESEARCH

The following policies and conditions have to be observed in the approval of research proposals submitted by faculty of Silliman University through the Faculty Development Grant for Research:

1. Silliman University through the Research and Development Center shall fund the approved research proposal which will be taken from the Faculty Development Grant (FDG) for Research but a researcher as a principal proponent can only avail of a grant once to give opportunity to other faculty.
2. The approved research project has not been conducted or funded by another source as indicated in the proposal when it was submitted for review.
3. The researcher is required to secure all necessary permissions for any part of the proposal (such as the research instrument, photos, secondary data sets) whose copyright is owned by someone else as well as to pay any fees that may be involved in the use of these materials.
4. The research has to be conducted according to the methods stated in the approved proposal and has to be completed within the designated period which starts upon the release of the 50 percent of the requested budget. The Research Director has to be notified in writing the reasons for any modifications in the method of conducting the study after the funds have been released.
5. The researcher is required to submit in writing to the Director of Research and Development a midterm report of the status of the project as a way of monitoring its progress. Extension of the project may be granted based on the reasons stated in the written request of the researcher.
6. Upon completion of the research project, the researcher is expected to make an oral public presentation which will be co-sponsored by the Research and Development Center. A panel of reviewers will be assigned to comment and offer suggestions to improve the paper.
7. The researcher should revise the paper according to the comments and suggestions during the oral presentation and submit the final paper in an article format according to the specifications or requirements of a chosen refereed journal. The researcher is free to decide to what refereed journal the article will be submitted for publication.
8. The researcher is required to acknowledge in the article the Faculty Development Grant for Research of Silliman University through the Research and Development Center as source of the research fund.

9. The remaining 50 percent of the budget will only be paid to the researcher after the final paper has been submitted to, reviewed by and recommended for payment by the Research Director.
10. In case of a failure to complete the research project, the researcher is obligated to pay back Silliman University the actual released budget in accordance with the policy of the university.

GUIDELINES FOR LOAD CREDITS OF PROJECTS OF FACULTY

As approved by the Board of Trustees (Board Action 2012-13:87), all faculty members of Silliman University are expected to conduct either research or creative projects during the school year following the Agenda and Research for Development Framework of the University. It is also to the faculty's professional growth when each one is involved either in curricular or in community development projects.

For the purpose of having a common understanding of the terms, research includes scholarly activities that answer questions, test hypotheses to produce a theory, or as bases for technology development; creative work refers to artwork, literature, music, painting and software; module writing covers products for classroom instruction; and community involvement is engagement in service-learning, extension projects, ministry and related activities.

These guidelines were revised on 9 May 2013 and approved by the Deans Conference on 16 May 2013 pursuant to DC Action 2012-2013: 40.

Silliman University faculty members are then expected to:

1. engage in a professional project of their choice which is covered by a 3-unit overload on top of their allowable 6-unit overload;
2. submit a project proposal of the identified project in the approved format;
3. observe these steps in project proposal submission: (a) review by the Department Head and College Research Coordinator, (b) approval by the Dean;
4. carry a 3-unit load credit for the approved project as part of or in addition to their regular loads within the semester;
5. submit 5 copies of the approved project proposals to the Vice President for Academic Affairs (VPAA) and the FIRE team (faith, instruction, research and extension heads) for monitoring;
6. complete the approved project within the semester where the 3 units are credited; or for two semesters for a total of 6 units, if justified and upon approval by the Dean;
7. formally present project output to colleagues within the College as a way of disseminating knowledge, improving quality of work, as well as in inspiring others toward similar project mindsets; and

8. pay back the University through salary deduction for actual load credits received should there be a failure to accomplish and complete the project within the approved period where the faculty is no longer entitled to overloads during the succeeding semester beyond the allowable 6-unit overload.

FORMAT OF A PROPOSAL FOR FACULTY DEVELOPMENT GRANT FOR RESEARCH

Title of the proposal

Proponents and contact information

Introduction (should describe how the research problem has evolved, the rationale for conducting the study and the relevance or significance of the results)

Research problem or objectives (include hypotheses, if necessary)

Review of related literature (should show what has been written about the topic and what need to validate or gaps to reconcile, be formatted in such a way that it presents theoretical perspective or argument of the study, also put conceptual framework, if necessary)

Methods (depending which is appropriate to the kind of study proposed: setting and respondents or materials, sampling procedure, research instrument, data collection procedure, data analysis procedure)

Expected outcomes (should demonstrate how this research project has contributions or relevance to faith enhancement, classroom instruction and extension works or service-learning)

Timetable of the study (use Gantt chart)

Activities	Months							

Budgetary requirement (itemized as to how the money will be spent; small grant has a ceiling of Php 50,000 per project; 50% is released after the proposal is approved, 50% after the public presentation of the results, submission and acceptance of the research manuscript that is ready for publication)

References cited (use the American Psychological Association format)

Appendix (instruments to be used for research)

SUGGESTED FORMAT OF MANUSCRIPT

Title

Author

Abstract (briefly presents the major or salient points of the paper; about 150 to 200 words)

Introduction (contains the background and rationale or significance of the study, objectives or research problems, hypotheses if applicable)

Theoretical considerations (discusses the theory or theories that guide the investigation and analysis of data; supported by related literature)

Methods (describes the setting and respondents or subjects, sampling procedure, data gathering tools and procedure, data analysis procedure)

Results (presents the findings according to the research problems arranged by subtopics)

Discussion (interprets the data as informed or guided by the theoretical considerations)

Summary and conclusion (briefly shows the salient findings that answer the research problems; contains also the recommendations)

Acknowledgement (aside from other persons or institutions to acknowledge, always recognize that the source of fund for the study).

References cited (use the American Psychological Association format)

Appendices (if necessary)

ETHICAL PRINCIPLES AND GUIDELINES FOR FILIPINO SCIENTISTS

Adapted from the National Academy of Science and Technology of the Philippines (<http://www.nast.ph>)

Preamble

Scientific Research as a Public Trust

Scientific research and innovation are important pillars for the development of any country and people. This basic point is recognized in the 1987 Philippine Constitution (Art XIV Sec 10), which affirms that “The State shall give priority to research and development, invention, innovation, and their utilization, and to science and technology education, training and services.”

This principle of prioritizing scientific research is premised on the State’s and society’s trust in the integrity of scientists and researchers, in the reliability of the results of their scientific work, and in the credibility of their scientific pronouncements.

Because the general public does not have the means and capacity to verify the outcomes and interpretations of the work of scientists and research, the public trusts that the scientific research community is composed of people of integrity and honesty, who would ensure that the work of all scientists and researchers abide by basic ethical principles that guide good scientific work.

These *Ethical Principles for Science Researchers* articulates the general principles of ethical conduct in scientific work and all its aspects; these basic ethical principles should guide all scientists in their various roles and functions in the scientific and academic community, and in Philippine society, including research, publication and other forms of public communication, teaching and mentoring, among others.

This articulation of principles represents the more specific ethical standards that the scientific community holds Filipino scientists, over and above the standards all Filipino scientists abide be as lawful citizens of the Republic of the Philippines, committed to its national and human development goals.

General Principles

1. Ethical Scientific Practices

All Filipino scientists recognize, abide by, and intentionally disseminate the basic ethical principles articulated in this document. They also require of all their colleagues conduct and behavior consistent with these principles. They do not defend, conceal or justify conduct that breaches these principles, not even on the basis of necessary obedience and loyalty. They refuse all forms of scientific dishonesty and infringement of the principles specified in this document.

2. Ethical Use of Science in Philippine Society

All Filipino scientists consider scientific research as an integral part of a culture of inquiry, and as the source of innovation, and thus, defend scientific work against inappropriate criticism. They stand

determinedly against the unethical and inappropriate use of scientific knowledge, and ensure that scientific knowledge is used in the service of national and human development goals.

3. Conflict of Interest

All Filipino scientists serve the scientific community and the general public by providing unbiased professional judgments and statements regarding various issues of public interest; these judgments and statements are based on careful scientific studies. They avoid all possible cases in which the provision of unbiased judgments is affected in any way that may favor self-interest and other conflicting interests.

4. Intellectual Honesty

Filipino scientists acknowledge the scientific contributions of predecessors and colleagues to the research question being studied in all written and oral reports of their research study. When citing findings and results obtained by other scientists, they provide clear references to the appropriate respective sources, whether published or unpublished. They do not plagiarize any part of the research reports of other scientists and researchers, whether published or unpublished; that is, they do not take other authors' findings, words, and writings, and pass them off as their own by not providing appropriate indications and citations of the original sources, whether published or unpublished.

5. Weighing the Benefits of Science vis-a-vis Potential Harm

All Filipino scientists undertake research in such a way that ensures that society and all its members, the environment, and other basic human and cultural values are not compromised. Thus, Filipino scientists must always consider the benefits of their scientific work vis-à-vis these potential harms. In cases when the benefits of science are deemed to outweigh the potential harm, Filipino scientists take all steps to minimize potential harm and take steps to mitigate their negative consequences.

6. Commitment to Professional Development as Scientists

All Filipino scientists broaden and deepen their scientific knowledge and strive to improve personal professional competency. They maintain a critically reflective attitude towards their own scientific findings and results as well as to results of colleagues, and are open to discussion and factual arguments.

7. Development of Students and other Stakeholders

All Filipino scientists are committed to mentoring future scientists and to developing the scientific knowledge of their students as well as other stakeholders and end-users of scientific knowledge. They model the proper knowledge, skills, and principles of good conduct in science to students and other stakeholders, as such they consider the consequences and act appropriately regarding the possible scientific misconduct or unethical behaviors of their students, collaborators, and partners in scientific work.

8. Advocacy for Scientific Approaches

All Filipino scientists defend the freedom of scientific thought, expression, exchanges of opinion and information. They refuse to use non-scientific approaches and expressions of ideological, religious, and political opinions in their work as scientists.

CREATION OF THE RESEARCH ETHICS REVIEW COMMITTEE

Rationale

An ethics review body has to be established in all institutions engaged or involved in research in order to help “safeguard the dignity, rights, safety, and well-being of all actual or potential research participants” either humans or animals (WHO 2000 cited in PHREB 2011, p. 23). It follows that the composition, procedures, and decision-making of the ethics review body shall be independent of political, institutional, professional, and market influences in order for it to function with greater objectivity (WHO 2000 cited in PHREB 2011, p. 23).

Guidelines for Creating the RERC Based on WHO Standards

Given this context, the ethics review body of Silliman University, which shall be called Research Ethics Review Committee (RERC), has to be created according to the standards of the World Health Organization (WHO 2000) which are also adopted in the *National Ethical Guidelines for Health Research* by the Philippine Health Research Ethics Board (PHREB 2011). The following guidelines, which were approved by the Deans Conference on 20 January 2014 pursuant to DC Action 2013-14: 26 and subsequently by Board of Trustees Action 2014-05, tell the composition and nature of the RERC and the policies and procedures that it will develop to guide its operation. The creation of the RERC is in progress with the appointment of interim members who are tasked to prepare the standard operating procedure (SOP).

1. **Adequate legal framework:** The Department of Health (DOH) and the Commission on Higher Education (CHED) require all organizations and higher education institutions (HEIs) engaged in research involving human and animal subjects to create their respective ethics review bodies. These have to be duly registered with and/or accredited by the PHERB.
2. **Multidisciplinary and multisectoral membership:** The composition of the RERC may range from five to nine with gender balance and represented by different disciplines such as medical and health, law, religion and philosophy, natural sciences, social sciences and related others as well as lay people in the community.
3. **Adequate staffing, facilities, and financial resources:** The RERC must have its own office with a Chairperson directly under the Office of the Vice President for Academic Affairs (VPAA). It must have sufficient resources to support its operation. The collection of reviewer fees from outside researchers must be part of the resource generation activity of the board.
4. **Independence of RERC operations:** The RERC is independent from the Research and Development Center and, therefore, the Research Director cannot supervise or become a member of the RERC

due to conflict of interest. Meanwhile, RERC members with research proposals under review must inhibit from the said process.

5. **Provision of training on ethical considerations:** The chairperson and members of the RERC must be knowledgeable of or trained about ethical considerations in reviewing different types of research proposals and involving different subjects, humans or animals.
6. **Transparency, accountability, consistency, and high quality operations:** The policies and procedures of the RERC must be known to all interested parties and must promote high quality review results that put great regard to objectivity.
7. **Coherence and consistency in the application of ethical principles:** The RERC must be aware of and consistent to international and national documents on ethics and human rights instruments in the formulation of its policies and procedures.
8. **Decisions based on thorough and inclusive processes:** The actions of the RERC to research proposals must have made according to its policies and standard operating procedures and the decisions made are carefully studied and voted upon by its members.
9. **Policies and procedures are written:** The policies and standard operating procedures of the RERC must be written specific to the condition of the institutions but based upon the guidelines of PHERB (2011) and must be accessible to interested parties. These guide the manners of accepting research proposals, reviewing them according to types, deciding on their merits, announcing of the results, and disposing of reviewed research proposals. The review policies and procedures for students must be different from faculty and outside researchers.
10. **Ensure only qualified persons will conduct research:** The RERC must ensure that the proposals submitted for review must be conducted or implemented by researchers with sufficient scientific, clinical, or other relevant qualifications.

TERMS OF ENGAGEMENT FOR INTERNALLY-FUNDED PROJECTS

This Terms of Engagement is made between the Research and Development Center through its Director, _____ and _____, Principal Investigator of the study entitled _____ with RDC-FDG Project No. _____.

The parties hereto hereby agree as follows:

1. Silliman University through the Research and Development Center shall fund the approved research proposal which will be taken from the Faculty Development Grant for Research.
2. The approved research project has not been conducted or funded by another source as indicated in the proposal when it was submitted for review.

3. The researchers are required to secure all necessary permissions for any parts of the proposal (such as the research instrument, photos, secondary data sets) whose copyright is owned by someone else as well as to pay any fees that may be involved in the use of these materials.
4. The research has to be conducted according to the methods stated in the approved proposal and has to be completed within the designated period which starts upon the release of the 50 percent of the requested budget.
5. The researchers are required to submit in writing to the Director of Research and Development a midterm report of the status of the project as a way of monitoring its progress. Extension of the project may be granted based on the reasons stated in the written request of the researcher.
6. Upon completion of the research project, the researchers are expected to make an oral public presentation which will be co-sponsored by the Research and Development Center. A panel of reviewers will be assigned to comment and offer suggestions to improve the paper.
7. The researchers should revise the paper according to the comments and suggestions during the oral presentation and submit the final paper in an article format according to the specifications or requirements of a chosen refereed journal. The researchers are free to decide to what refereed journal the article will be submitted for publication.
8. The researchers are required to acknowledge in the article the Faculty Development Grant for Research of Silliman University through the Research and Development Center as source of the research fund.
9. The remaining 50 percent of the budget will only be paid to the researchers after the final paper has been submitted to, reviewed by and recommended for payment by the Research Director.
10. In case of a failure to complete the research project within the stated period in the proposal, the researchers are obligated to pay back Silliman University the actual released budget.

The Parties hereto have caused this Terms of Engagement to be signed in their respective names.

Director
Date: _____

Principal Investigator
Date: _____

ADMINISTRATION

Ben S. Malayang III, Ph.D.

President

Betsy Joy. B. Tan, Ph.D.

Vice President for Academic Affairs

Cleonico Y. Fontelo, CPA, MMPM

Vice President for Finance and Administration

Jane Annette L. Belarmino, CPA, MBA

Vice President for Development

Enrique G. Oracion, Ph.D.

Director

Research and Development Center

2007- present