CARAGA STATE UNIVERSITY

RESEARCH AND DEVELOPMENT

MANUAL OF OPERATIONS

2011-2016
The Caraga State University (CSU) is an academic institution tasked by the government to provide quality service in professional and technological training particularly in the northeastern Mindanao area, the Caraga Region. As a state institution, its mandate is to support socio-economic development through the basic functions of instructions, research, extension and production. To attain this noble mission, a sound Research and Development (R&D) program should be formulated and implemented to answer the technological needs and problems of its service area. Moreover, R & D is an integral part of an academic institution upon which the basis of truth for both instruction and extension is formed.

The northeastern Mindanao Region (Caraga) is one of the regions in the Philippines with vast natural resources. It has the widest remaining dipterocarp forest, thus tagged as the 'Timber Corridor of the Philippines'. Likewise, it has rich mineral resources that lure a number of mining companies to do explorations and extractions. However, it has also the most delicate balance between natural resources and population since the rapidly expanding population in the region relies mainly on these resources, which may eventually cause the depletion of non-renewable resources. For the natural resources of the region to be utilized optimally for sustainable development, wise management of resources and education of the people are critical areas to focus in order to strike a balance between sustainable development and natural resources management.

As a University, committed to the transformation of the social well-being of the people, CSU, therefore, faces many challenges. The primary challenge is how it can effectively respond to the pressing needs of the region, particularly in poverty alleviation and sustainability of socio-economic development efforts. Through its four-fold function of instruction, research, extension and production, it develops curricula and programs that could bring development in the region. However, in research and development, so much still needs to be given attention because research provides the foundation of information and knowledge. Research in the University, therefore, needs to be up-to-date to respond to changing situations particularly with the harsh impacts of Climate Change and the ensuing global food crisis.

R & D efforts in the University, guided by the R&D Agenda 2011-2016, have to be implemented adopting certain rules and regulations. The set of rules and regulations shall facilitate the smooth operation in coming up with research outputs. Thus this Operation Manual for R&D in the University shall serve as the beacon in the overall conduct of R&D with the end view of addressing information and technological needs of the region.

JOANNA B. CUENCA, Ph.D. CEO III
University President
VISION

A premier institution of higher Learning in Caraga Region committed to global excellence in science and technology, and humanities towards sustainable development.

MISSION

Caraga State University is committed to the four-fold functions (quality instruction, research, extension, and production) of higher education by:

- providing quality and relevant education in science and technology, and humanities;
- developing competent individuals who are scientifically trained, technologically skilled, and morally upright;
- contributing in the creation of an eco-friendly and healthy environment;
- participating actively in transnational collaboration, industry linkages and global networks.

GOALS

Poverty Alleviation, Sustainable Economic Self-sufficiency and Moral Recovery through:

OBJECTIVES

- To establish database for baseline information on the scientific and technological needs of the region to effectively address them;
- To provide practical and appropriate solutions to regional problems related to agri-forest productivity, natural resources management, people's capability enhancement through engineering and the application of information and communication technology (ICT), and socio-cultural aspects of development by conducting scientific and technical investigations;
- To continuously monitor the S & T needs of Caraga and its populace to serve as basis for strategic planning.

CSU RESEARCH AND DEVELOPMENT PHILOSOPHY

The guiding philosophy of CSU Research and Development Program is portrayed in the theme ‘CSU CARES’, herein stated as follows:

C – Complementary with the Caraga Region’s agenda on wise use and development of the natural resources towards sustainable development

S – Search for truth that leads to the advancement of knowledge and socio-economic development

U – Unified and harmonized programs for the betterment of the lives of people

C – Candid and humane implementation of RDE programs, with consideration of the end-users of knowledge and technologies
A - Aligned to global, national and regional development goals in addressing pressing issues and coming up with well-thought of development strategies

R – Reliable and ethical conduct of results-oriented researches toward knowledge development

E - Enhanced human and physical resources backstopping towards building a strong research community

S - Supplementary to the RDE programs of other agencies/institutions at the global, national and regional levels and support national programs on countryside development and poverty reduction

RESEARCH FUNCTIONS

Research is one of the basic functions of a higher education institution (HEIs). It is basically conducted to search for knowledge. It is defined as any systematic investigation, with an open mind, to establish novel facts usually adopting the scientific method. The primary purpose for basic research is to discover, interpret, and develop techniques and systems for the advancement of human knowledge on a wide variety of scientific matters, while applied research is intended to provide solutions to everyday existence of humans and society. Some basic realities in identifying research as one of the pillars of HEIs are as follows:

- Research generates new knowledge essential to teaching. Without research, teaching would be sterile;
- Research is a tool that keeps the faculty abreast on the trends of science and technology.
- Strong and quality research program is vital to the growth and development of the University. Research improves the competence of the faculty;
- Research is an essential basis for a workable and successful extension program. Extension derives its technology from research.
- Research propels income-generating projects through the generation of appropriate technologies that maximizes profit

ORGANIZATIONAL STRUCTURE

The CSU Research and Extension Programs are implemented as a system. Adopting a system approach in management basically follows a structure. In the CSU R&D System, the organization is as follows:

CSU Board of Regents

The highest policy making body of CSU is the Board of Regents (BOR) as shown in Fig.1. All policies,
rules and regulations pertaining to research and extension (R&E) in the University formulated by the University Research Council (URC) and University Extension Council (UEC) shall be recommended by the President to the Board of Regents for approval.

**University President**

The President exercise general powers of administration, supervision and control of the entire research system and program of the University. He/She administers the system through the Vice President for Research and Extension (VPRE).

**The University Research Council (URC)**

The Council is a university-wide body tasked to formulate and review policies, rules and regulations necessary for the operation and improvement of the research system in the University for the approval of the Board of Regents.

Its specific functions are:

- To review existing policies, rules and regulations pertaining to research in the University.
- To formulate and recommend to the University President new policies, rules and regulations necessary for the operation and improvement of the research system. Policies, rules and regulations can emanate from the Vice President for Research and Extension, college deans or from individual researchers, submitted to the Research Council for consideration and presented to the Board of Regents for final approval, through the University President.

The University Research Council (URC) shall be composed of the following:

- University President (Chairperson)
- Vice President of Research and Extension (Vice Chairperson)
- Vice President of Academic Affairs
- Dean, College of Arts and Sciences
- Dean, College of Agricultural Sciences and Natural Resources
- Dean, College of Engineering and Information Technology
- Dean, College of Science Education
- Campus Dean, CSU-Cabadbaran
- Director, Income Generating Project
- Director, Planning and Development
- Director, Administration and Finance

The Council shall meet regularly every quarter to discuss matters concerning policies in R&D operations, without prejudice to special meetings when the need arises.

**Vice President for Research and Extension**

The Vice President for Research and Extension administers the entire research system of the University. He/she is responsible in planning, integrating, directing, coordinating and supervising the research programs/activities of the various units of the University, relating these activities to the goals and priorities of the University subject to the rules, policies and guidelines approved by the BOR.

His/her specific functions are:

- Consolidates the research programs in the University into a composite, concrete and
interdisciplinary work, which is geared towards solving technical problems in the community, region, and country as a whole.

- Accepts research proposals from researchers/faculties through their respective deans for the incoming year; prepares an overall estimate of the budgetary requirements for submission to proper authorities.
- Advises the distribution of available funds to researchers/faculty members based on the approved proposals.
- Sources out funds and grants from governmental, non-governmental and international funding institutions.
- Coordinates and/or collaborates research activities of the University with other agencies in the province, region or in the country to have working and relevant researches.
- Coordinates with the Extension Center of the University for the dissemination of the mature research outputs.
- Appoints committees, when need arises, to discuss specific problems concerning research.
- Keep records of research activities of individual researchers, departments and faculties.
- Encourages the individual researcher/faculty to publish relevant research results in the local, national or international journals.
- Consolidates and prepares annual and periodic research reports which should include progress reports of on-going researches, relevant results of completed studies, technologies packaged for extension, research papers published, etc.

The R&D Core Group

The R&D Core Group (RDCG) is a group of researchers who have manifested research leadership in their fields of specialization. The primary responsibility of the group is to assist the VPRE in making research plans, proposals, budget preparations, and progress and financial reports necessary in the conduct of a sound research program.

- The members of the RDCG shall be appointed by the University President upon the recommendation of the Vice President for Research and Extension.
- Vacancies in the RDCG shall be filled up through the appointment of new member/s by the University President upon recommendation by the Vice President for Research and Extension.
- All research proposals of the faculty and student seeking research funding from the University shall be evaluated by a group of at least 2 specialist-members of the RDCG. The RDCG evaluation shall also be conducted for progress and terminal reports of research programs/projects with University funding.
- In evaluating a research proposal or research report, 3 (or at least 2) members from the RDCG who have the required expertise in the research topic shall discuss en banc. The RDCG shall submit the evaluation report together with the research proposal or research report 3 days after.

The College Research Committee (CRC)

The College Dean shall head the College Research Committee (CRC). The CRC shall have at least (3) members.

- The Committee implements the rules and guidelines for the evaluation of research proposals and/or reports of faculty members in the college.
- Members of this committee shall have a 3-unit credit as a workload equivalent per semester.
- The Committee shall work with the R&D Core Group member who is in charge of the RDE program as defined in the CSU RDE Implementation Framework (Appendix A).
• The Committee shall evaluate proposals and R&D reports based on the University standards of quality prior to endorsement to the OVPRE

The Researchers

Every faculty and research-based personnel in the various colleges shall be considered part of the research system being the originator of ideas and implementer of projects.
Fig. 1. Organizational Structure of the Research and Extension System of the Caraga State University
I. Research proposals, progress, annual, and terminal report evaluation

A. Research Proposal (Fig.2)

All research proposals of faculty and students seeking funding from local research funds (CSU) or from external sources (external funding institutions) that require institutional pre-evaluation as a ‘clearing house’ shall adopt the following flow:

1. Proponent shall prepare the proposal and submits the same to College Research Committee (CRC) for evaluation.

2. CRC shall evaluate and endorse proposal to the VPRE, otherwise, return the proposal to the proponent together with the comments/suggestions/recommendations.

3. VPRE shall endorse the proposal to the appropriate specialist-members of the RDCG.

4. The RDCG shall conduct en banc evaluation of the proposals.

5. If the proposal has merit but needs improvement, the RDCG shall endorse the proposal back to the VPRE with comments/suggestions. If the proposal has no promise, the RDCG returns the proposal to the VPRE with its recommendation for disapproval.

6. The VPRE shall, in turn, return the proposal to the proponent with the comments/suggestions for improvement from the RDCG for proposals with merit, and disapproval for those without any promise.

7. After all the comments/suggestions of the RDCG have been addressed, the proponent shall submit the proposal back to the VPRE.

8. The VPRE shall endorse proposal to the University President for approval and return proposal to the proponent once approved through to the college deans for implementation if funding is available locally. If the proposal meets the eligibility requirement of any external source, the proposal shall be funded initially by local funds but endorsed for external fund sources.

9. For research proposals submitted for funding to external funding institutions, specific policies of the funding institution shall be adopted. Nonetheless, copies of the proposal/s and the corresponding budget and Memorandum of Agreement/Understanding/Cooperation or Contract of Service shall be submitted to the CRC and OVPRE for recording purposes.
Fig. 2. Route in Research Proposal Evaluation
All researches funded by CSU R&D Funds and by external funding sources shall submit progress, annual and terminal reports following this route:

1. Researcher/s shall prepare the progress, annual and terminal reports and submit the same to VPRE through the CRC.

2. Progress and annual reports shall include the target and actual activities for the period under review, financial status and the problems and constraints met.

3. Progress reports shall be submitted every semester to the CRC for pre-evaluation not later than 2 weeks after the end of each semester, the annual reports shall be submitted 2 weeks after the end of the year, and the terminal report shall be submitted a month after the completion of the project.

4. The CRC shall conduct a pre-evaluation of the reports and endorse the same to the VPRE if the reports meet the University standard of quality, otherwise, return the reports to the researcher/s for revision.

5. The VPRE shall endorse the reports to specialist-members of the RDCG for evaluation.

6. The specialist-members of the RDCG shall evaluate the progress, annual and terminal reports. Reports shall be returned to the VPRE with comments/suggestions.

7. The VPRE shall endorse the reports to the President for approval if these meet the University standard of quality, otherwise, return the reports to the CRC which in turn, return the reports to the researcher/s if reports need revision, emphasizing the comments/suggestions/recommendations from the RDCG.

8. The Semestral and Year-End progress reports of on-going locally-funded researches shall follow the format in Appendix 1.

9. Terminal reports of locally-funded research/es shall follow the format in Appendix 2 and the cover page as shown in Appendix 3.

10. For externally-funded researches, the progress reports and terminal report shall adhere to the format set by the funding agency/ies.

11. The researcher/s shall publish findings in refereed journals and/or disseminate the findings of research to target clients in coordination with the R&D Publication Unit or Extension Office of the University.

12. For externally-funded researches governed by specific policies of the funding institution, submission of report/s shall adhere to the policy of the funding institution. Nonetheless, copies of reports shall be submitted to the CRC and OVPRE for record purposes.
Fig. 3. Route in Progress, Annual and Terminal Report Submission
II. Criteria for prioritization of researches

1. The R&D program/project shall be within the priority areas as listed in the CSU RDE Agenda and RDE Implementation Plan.
2. The R&D program/project shall exhibit technical feasibility.
3. The proponent/s shall manifest capability to carry out the program/project.
4. The program/project shall exhibit the urgency and importance of the information/technology that shall be disseminated to the target area.
5. The program/project shall show practicability of timetable and budget.

III. Conduct of In-House and Other Research Reviews

Annual CSU-wide in-house review shall be conducted every 1st week of July. The purpose of the University-wide research review shall be to present accomplishments and findings of on-going and completed researches from every college. This forum shall also be the venue to determine possible complementation and integration of research findings of related studies.

The mechanics of the conduct of in-house research review shall be as follows:

1. The VPRE shall announce the schedule of the annual in-house review a month before the schedule to all colleges of CSU through the CRC. Forms and other requirements shall be disseminated together with the announcement.
2. The CRC in each college shall determine the entries to the in-house review and notify the researcher/s concerning the inclusion of their research/es in the review.
3. The researcher/s shall prepare the papers in accordance to the forms provided for compilation in the OVPRE. The papers shall be submitted a week before the schedule of the in-house review.
4. The OVPRE staff shall categorize the entries and prepare the In-House Review program.
5. The program shall be disseminated at least 3 days before the in-house review schedule.
6. The presentation of the researches shall adopt the standard procedures of paper presentation in scientific gatherings.
7. Resource persons with expertise in the areas/disciplines to be reviewed shall be invited for technical evaluation and critiquing.
8. Winning research/es and researcher/s during the review shall be properly recognized through giving of certificates/awards.

IV. Monitoring and Evaluation

The CSU QUAMS Team shall conduct the periodic Monitoring and Evaluation (M&E) of ongoing projects. The criteria and Terms of Reference (TOR) for the evaluation shall be based on the standards as adopted by the QUAMS for quality assurance. Among the major functions of the team shall be as follows:
1. The team shall conduct monitoring and evaluation of the project’s activity implementation, fund utilization as well as resource generation (if applicable).

2. The team shall review semestral and annual reports (if applicable) which have been evaluated by the RDCG and the VPRE.

3. The team shall focus on the project’s targets and accomplishments, including the financial equivalents of the target activities and the accomplishments.

4. Project visits shall also be done every quarter to actually see how the project runs.

5. The team shall conduct M&E on the basis of the M&E parameters anchored on the project objectives, activities and the targets submitted at the start of each calendar year. This is to ensure that the goals of the project are met.

Compliance with the RDE M&E Requirements:

1. The Project Leader and the project team members shall be recommended to continue leading the project implementation.

2. The Project Leader and the project team members shall be recommended to continue receiving honorarium (if applicable).

3. The project leader shall be endorsed to head another newly approved and funded project.

4. The Project Leader and the project team members shall be awarded with favorable evaluation on R&D under the University Performance Evaluation System (PES).

V. Ethical Standards in R&D

For CSU R&D to be recognized in the science community, basic ethical standards shall be adopted in the conduct of R&D programs and activities. The following areas shall be given emphasis:

A. Research outputs protected by Intellectual Property Rights (IPR) laws

1. The university shall establish its own IP Policies to provide protection to any R&D output of the faculty-researchers.

2. The university IP Policies shall be known to all the faculty-researchers and other staff such that transactions related to IP applications shall be facilitated.

3. The R&D IPR Unit shall facilitate the application of IPR of the faculty-researchers utilizing the forms provided by the Department of Trade and Industry-Bureau of Patents (DTI-BP)

4. Research outputs such as technical papers, products, technology and similar outputs from R&D activities shall be credited to the researcher/s, to CSU or to the funding institution depending on the agreements made under the duly signed Memorandum of Agreement/Understanding/Cooperation.

5. Patents and other protection of research outputs shall be worked out jointly by the researcher/s and the R&D IPR Unit to prevent piracy.

B. Mechanism to prevent plagiarism and other R&D malpractices
1. Periodic seminar-workshops shall be conducted to educate researchers (both faculty and students) on research ethics.

2. Researchers shall be made aware on plagiarism and other common malpractices such as fabrication of data and the corresponding penalty for persons committing these malpractices.

3. Regular M&E shall also be conducted to ensure that ethical standards in the conduct of research are observed.

INCENTIVES

A. Locally-Funded Researches

Incentives shall be given to those who are directly involved in the University research system. This is to motivate and encourage faculty members to conduct researches. The incentives are as follows:

1. The VPRE shall be given 18 hours credit load per semester.

2. The member of the R&D Core Group (RDCG) shall have 12-credit de loading.

3. Honorarium shall be given to the researcher(s) if a provision for honorarium is stipulated in the approved budgetary requirements. However, for researches without provision for honorarium, the researchers shall be credited with the following:

   3.1. Research Study:
   3 units credit – for Study Leader

   3.2. Research Project:
   6 units credit – for the Research Project Leader
   3 units credit - for Project Team Members (at most 2 per project)

   3.3. Research Program:
   9 units credit - for the Research Program Leader
   6 units credit – for the Research Project Leader
   3 units credit - for Project Team Members (at most 2 per project)

4. Incentives shall only be granted upon submission of required documents or evidences to the President passing through the channel as stipulated in the route for submission of reports (Fig 2).

B. Externally–Funded Researches
1. For projects with provision for honoraria, the researcher/s shall be given honoraria based on the approved rates. In addition, the principal researcher shall be given credit units adopting the credits awarded to researcher/s conducting locally-funded researches.

2. However, for those externally-funded researches where honoraria for researchers are not provided by the funding institution/s, only the credit units given to researchers under the locally-funded researches shall be given as incentive.

3. Incentives shall only be granted upon submission of required reports to the President passing through the channel as stipulated in the route for submission of reports (Fig 2).

**FISCAL MANAGEMENT**

**A. For Locally-Funded Researches**

1. The project leader or study leader of the approved research shall request for materials and equipment in accordance with the procedures of the University.

2. All fund disbursements shall be in accordance with the approved line item budget (LIB) for research project/s unless budget re-alignment had been approved.

3. To keep track of the project expenses, the project leader shall keep a copy of all financial transactions of the project.

4. To hasten the implementation of the research project, the requests for supplies, materials and equipment shall follow the flow presented in Fig. 4.

**B. For Externally Funded Researches**

1. The funds shall be transferred to CSU or to a fund management body duly recognized by CSU as a research partner, or directly to the researcher/s, in accordance to the procedures set by the funding agency/ies.

2. CSU or the fund management body or the researcher/s directly receiving research funds shall administer the funds in accordance with government accounting and auditing rules and regulations.

3. All fund disbursement shall be in accordance with the approved budget for the research project(s).

4. All research expenses shall be accounted for in accordance with the procedures set by the funding agency.

5. To keep track of the project expenses, the project leader shall keep a copy of all financial transactions of the project.

6. All other externally-funded researches where funds are directly awarded to the researcher/s, the researcher/s shall report to the CRC and OVPRE the Line Item Budget and the total budget for purposes of record keeping.
Fig 4. The Flow of Requests for Supplies/Materials/Equipment
PERSONNEL HIRING

Hiring of Research Assistants, Aides and Laborers

1. The University President shall have the authority to hire Research Assistants, Aides and Laborers based on the procedures set by the University.

2. Hiring of Research Assistants, Aides and Laborers shall adhere to the minimum requirements set by the University and based on the needs of the project.

3. Research Assistants, Aides and Laborers needed in the implementation of the project shall be appointed by the President upon the recommendation of the Research Leader.

4. The appointment of the Research Assistants, Aides and Laborers shall be on contractual basis and co-terminus with the project.

5. Student Research Assistants shall be hired following the guidelines for hiring student research assistants.

Hiring of Consultant

1. When the need arises, the President shall have the authority to hire Consultants on honorarium basis upon the recommendation of the Research Leader and the VPRE.

2. For externally-funded research project(s), hiring of consultant/s shall be based on the agreement between the funding agency and CSU.
DETAILED RESEARCH PROPOSAL

I. Basic Background

Program Title: __________________________________________________________
Project Title: __________________________________________________________
Leader/ Gender: _________________________________________________________
Lead Agency ____________________________________________________________
Complete Address: _________________________________________________________
Tel/ Fax/ Email: ___________________________________________________________
Project Staff _____________________________________________________________
Project Duration __________________________________________________________
Site of Implementation (Municipality/ District/Province/Region)

Actual Start Date: _________________________________________________________
Expected Completion Date: _________________________________________________

II. NATURE AND SIGNIFICANCE OF THE PROJECT

- Basic information about the subject of the research
- Issues that the project wishes to address
- Concept of the research being proposed
- Significance of the study
- Objectives of the study

III. REVIEW OF LITERATURE

IV. METHODOLOGY

V. LITERATURE CITED
# LIST OF PERSONNEL INVOLVED in RDE

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<th>(1) Title</th>
<th>(2) Coordinator/Leader/Gender</th>
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Certified Correct: ____________________________  Attested: ____________________________  Received: ____________________________

__________________________________________  ______________________________________  ____________________________
Coordinator/Leader  College Research/Extension Committee Chair  VPRE
Narrative Progress Report

(Period Covered in the Report)

A. Highlights of Accomplishments:

1) Brief Introduction
2) Highlights of activities, procedures/methodologies used to accomplish the tasks
3) Enumerate major accomplishments (citing the data gathered and other findings)
4) Specify how previous comments are integrated to achieve results based on the objectives

B. Problems/Constraints Met

1) List all the problems/difficulties and other constraints encountered in accomplishing the activities set within the period under review.

C. Running Budget

1) Provide information on the status of the project's budget as of the period under review
**PROGRESS REPORT***

*(Period Covered)*

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*To be accomplished in addition to the narrative semi-annual progress report*

Certified Correct: ___________________________  Attested: ___________________________  Received: ___________________________

__________________________  ___________________________  ___________________________
Coordinator/Leader          College Research Committee Chair  VPRE
**FINANCIAL REPORT**

(Period Covered)

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<td>3. Communications</td>
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<td>B. Indirect Cost</td>
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<td>1. Travel</td>
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<td>2. Supplies &amp; Materials</td>
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<td>III. Equipment/Capital Outlay</td>
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<td>Sub-Total</td>
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Certified Correct: ________________________________ Attested: ________________________________

Coordinator/Leader ________________________________
College Research/Extension Committee Chair ________________________________
VPRE ________________________________
CSU Study No._____ 

TERMINAL REPORT 

TITLE 

AUTHORS 

FUNDING AGENCY/INSTITUTION 

Month & Year Completed
I. Basic Background

Program Title: ____________________________________________________________
Project Title: ____________________________________________________________
Leader/ Gender: __________________________________________________________
Lead Agency: ______________________________________________________________
Complete Address: __________________________________________________________
Tel/ Fax/ Email: _____________________________________________________________
Project Staff: ______________________________________________________________
Project Duration: ____________________________________________________________
Period Under Review: _______________________________________________________
Site of Implementation (Municipality/ District/Province/Region):_________________________
Actual Start Date: ____________________________________________________________
Expected Completion Date: ____________________________________________________

II. NATURE AND SIGNIFICANCE OF THE PROJECT

- Background information about the research project
- Issues that the project wishes to address
- Conceptual Framework
- Significance of the study
- Objectives of the study

III. REVIEW OF LITERATURE

IV. METHODOLOGY

V. RESULTS AND DISCUSSION

VI. LITERATURE CITED