2022

UP College of Pharmacy Research Policies and Guidelines

College of Pharmacy
Research Committee

09/05/2022

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LIST OF APPENDICES

1. Research Agenda

The UP College of Pharmacy's mission-vision of serving through transformative education and translational research while achieving excellence in pharmacy from science to practice can be achieved through the conduct of studies that: a) address the evolving needs of the pharmacy profession and the pharmaceutical industry, b) contribute new knowledge to the pharmaceutical sciences and related disciplines, and c) improve the quality of lives of the Filipino people.

1.1. Research Topics

Any faculty member and students may conduct research in the College with topics that fall under the following but not limited to:

1.1.1. Pharmacy Practice and Education

1.1.1.1. Clinical Pharmacy
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1.1.2. Pharmaceutical Sciences

1.1.2.1. Drug Policy Review and Formulation
1.1.2.2. Good Manufacturing Practice Compliance
1.1.2.3. Quality Assurance of Pharmaceutical and Cosmetic Products, and Food Supplements
1.1.2.4. Characterization of Excipients
1.1.2.5. Quality by Design

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1.1.2.5.2. Process Optimization
1.1.2.6. Preformulation and Formulation Studies
1.1.2.7. Development of Drug Delivery Systems
1.1.2.8. Drug Discovery and Design
1.1.2.9. Drug Interactions
1.1.2.10. Standardization of Pharmaceutical Products
1.1.2.10.1. Processes
1.1.2.10.2. Analytical Methods
1.1.2.11. Trace analysis of residues, impurities, or degradants
1.1.2.12. Pharmacology and Toxicology Studies
1.1.2.13. Pharmacogenomics
1.1.2.14. Natural Products Chemistry
1.1.2.15. Antimicrobial resistance
1.1.2.16. Regulatory Sciences

1.1.3. Pharmaceutical Marketing and Management
1.1.3.1. Pharmaceutical Marketing
1.1.3.2. Pharmaceutical Operations Management
1.1.3.3. Pharmaceutical Entrepreneurship

1.2. Statement of Alignment with the United Nations Sustainable Development Goals (UN-SDG)

The Research Agenda of UP College of Pharmacy is aligned with the following UN-SDG:

1.2.1. *3: Good Health and Well-being* - Ensure healthy lives and promote well-being for all at all ages
1.2.2. *4: Quality Education* - Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
1.2.3. *5: Gender Equality* - Achieve gender equality and empower all women and girls
1.2.4. *8: Decent Work and Economic Growth* - Promote sustained, inclusive and sustainable economic growth, full and productive and decent work for all.
1.2.5. *9: Industry, Innovation and Infrastructure* - Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation
1.2.6. *17: Partnership for the Goals* - Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development

1.3. Laboratories and Research Facilities

The following laboratories and facilities maybe used for research purposes:

1.3.1. Industrial Pharmacy Manufacturing Laboratory
1.3.2. Faculty/Graduate Research Laboratory
1.3.3. Organic Chemistry Laboratory
1.3.4. Toxicology Laboratory
1.3.5. Natural Products Chemistry Laboratory
1.3.6. Undergraduate Research Laboratory
1.3.7. Biopharmaceutics Laboratory
1.3.8. Jose Y. Campos Quality Control Laboratory
1.3.9. Assay Laboratory
1.3.10. Inorganic Chemistry Laboratory
1.3.11. Microbiology Laboratory
1.3.12. Drugs of Abuse Research Laboratory (DARL)

1.3.13. High Performance Liquid Chromatography (HPLC) Room
1.3.14. Dissolution Testing Room
1.3.15. Freeze-drying Room
1.3.16. Spectroscopy and Chromatography Room
1.3.17. Lansigan Pharmacy Practice Room
1.3.18. Dr. Siopin Lim-Co Pharmaceutical Care Learning Center
1.3.19. Computer Room
1.3.20. Animal Room

2. The UP College of Pharmacy Research Committee

2.1. Composition

The UP Manila College of Pharmacy Research Committee shall be composed of the following:

2.1.1. Chair, selected by the Dean of the College of Pharmacy
2.1.2. A representative from the Industrial Pharmacy Department
2.1.3. A representative from the Pharmaceutical Chemistry Department
2.1.4. A representative from the Pharmacy Department
2.1.5. A student representative from UPPhA Student Council
2.1.6. Another member of the faculty as the Dean sees fit
2.1.7. The Laboratory Manager

2.2. Function and Tasks

The UP Manila College of Pharmacy Research Committee has the following functions:

2.2.1. The research committee chair functions as the research coordinator.
2.2.2. Recommends the research agenda and research priorities of UPCP
2.2.3. Formulates and recommends Research Policies and Guidelines for the College
2.2.4. Implements the approved Research Policies and Guidelines
2.2.5. Provides information on funding agencies and venues for dissemination of research outputs
2.2.6. Provides information on seminars and workshops on topics related to research
2.2.7. Approves and monitors all research being done in UPCP by both UPCP constituents and non-UPCP researchers.
2.2.8. Functions as a signatory body for the technical review board/committee of the college.
2.2.9. Maintains the registry of on-going and completed researches by the faculty members and the students of the College which are implemented in or outside the College.
2.2.10. The chair of the research committee shall collect all thesis approval forms and upload a scanned copy on the database. A physical copy shall also be filed.
2.2.11. The chair of the research committee signs on the following documents with the thesis proposal certificate of approval attached, prior to submission to the Dean:
2.2.11.1. IACUC Application Form (see Section 3.4.8).
2.2.11.2. Scientific/Technical Review Approval Endorsement of UPM Research Ethics Board (UPMREB) FORM 2(B): Registration and Application Form SECTION II (see Section 3.4.9)

3. Policies and Guidelines

3.1. Applicability

The policies and guidelines shall apply to all studies being done at the UPCP by the following:

3.1.1. UPCP Constituents

3.1.1.1. Undergraduate Students
3.1.1.2. Graduate Students
3.1.1.3. Research Associates/Research Assistants
3.1.1.4. Faculty Members, UPCP/non-UPCP-initiated studies, provided:
3.1.1.4.1. The research is within the College's Research Agenda
3.1.1.4.2. The faculty member is either the principal or co-investigator
3.1.1.4.3. The research or study is registered with the Research Grants Administration Office, RGAO (see Section 3.3) and information about the study has been entered into the UPCP Research Database (see Section 5)
3.1.1.4.4. The faculty member is representing UP Manila in the study undertaken.

3.1.2. Non-UPCP Constituents

3.1.2.1. Undergraduate and graduate students from other UP Manila/ UP System units enrolled in their corresponding thesis courses, residency, special problems, research methods, or graduate laboratory courses.
3.1.2.2. UPCP faculty-supervised graduate students from other institutions enrolled in Thesis or Special Problems.
3.1.2.3. Non-UP constituents who wished to conduct a part of their thesis in the College should submit a letter to the Dean regarding the conduct of the study. Attached to this study should be the necessary ethics clearance and copy of the protocol to be executed in the College. Granting of permission to conduct shall no longer require RGAO or UPCP Research Database registration, but it will be subject to approval by the College Research Committee.

3.2. Obligations, Rights, and Responsibilities of the Researchers

3.2.1. *Undergraduate and Graduate Students*

The undergraduate and graduate student should:

3.2.1.1. Be enrolled in any of the subjects:
3.2.1.1.1. Research Methods/Special Problems
3.2.1.1.2. Thesis or has applied for Residency during Thesis
3.2.1.1.3. Other subjects offered to undergraduate or graduate students that include a laboratory component in their course descriptions
3.2.1.2. Have research topics aligned with the College Research Agenda
3.2.1.3. Propose topics of minimal risk
3.2.1.3.1. For studies with human subjects, approval from the UPMREB must be secured prior to study implementation (see Section 3.4).
3.2.1.3.2. Does not put the researcher into life-threatening situations such as:
3.2.1.3.2.1. Handling of and exposure to highly infectious agents
3.2.1.3.2.2. Data collection in hazard prone areas
3.2.1.4. With the approval of the instructor/thesis adviser, register the proposed research protocol to RGAO (see Section 3.4). The Certificate of Registration will be provided by RGAO via e-mail to the principal investigator. This certificate shall be uploaded to the UPCP Research Database by the instructor/thesis adviser (see Section 5).

3.2.1.5. Be familiarized with the flow for processing of research protocols in UPCP (see Section 3.4.5) and the requirements and guidelines of the following offices involved:

3.2.1.5.1. ***Institutional Biosafety Committee (IBBC)*** – for studies that involve the use of human organs, human tissues, human body fluids, human blood, blood components, blood products, and human cells (see Section 3.4.7)

3.2.1.5.2. ***Institutional Animal Care and Use Committee (IACUC)*** – All protocols involving live vertebrae animals such as fishes, amphibians, reptiles, birds and mammals (including egg/ embryo assay), and mammals, and domesticated or wild animals (see Section 3.4.8)

3.2.1.5.3. ***University of the Philippines Manila Research Ethics Board (UPMREB)*** – for studies involving human subjects, and human organs, human tissues, human body fluids, human blood, blood components, blood products, and human cells (see Section 3.4.9)

3.2.1.6. For NIH Grant applications, submit hard copies of the following documents to RGAO (Room 109, 1st Floor, NIH Building).The full information about application: https://rgao.upm.edu.ph/funding-opportunities/nih/nih-upm-student-researcher-grant/

3.2.1.6.1. One (1) hard copy of the full thesis/research proposal (Appendix A)

3.2.1.6.2. Electronic copy (Word file) of the full thesis/research proposal

3.2.1.6.3. Endorsement letter from the Thesis/Research Adviser, Department Chair and College Dean (Appendix B)

3.2.1.6.4. Thesis panel certificate of approval:

3.2.1.6.4.1. *Undergraduate:* UP College of Pharmacy Undergraduate Research/Thesis Proposal Certificate of Approval (Appendix C)

3.2.1.6.4.2. *Graduate:* National Graduate Office for the Health Sciences (NGOHS) Result Proposal Form (Appendix D)

3.2.1.6.5. RGAO Certificate of Registration (Appendix E)

3.2.1.6.6. Certificate of approval or proof of submission of the research proposal to the appropriate review panel (UPMREB, IACUC, IBBC, etc.). (note: review panel approval is expected within 2 months of the grant approval)

3.2.1.7. Hold responsibility for the conduct of the research together with the research adviser

3.2.1.8. Properly document budget allocation of the research expenses, funded by either UPM NIH or any funding agency.

3.2.1.9. Discuss matters regarding authorship as early as the conception of the project (see Section 3.3)

3.2.1.10. Be honest in the conduct of all aspects of the research project

3.2.1.11. Be aware that they will be prevented from continuing the project at any point from its approval, should any activities that can be considered as research misconduct be observed by their adviser (see Section 3.13). In this case, their adviser would notify the research committee that the study has been discontinued.

3.2.1.12. Submit a progress report to their adviser/instructor (see Section 3.6).

3.2.1.13. Notify their advisers/instructors and RGAO for any changes in the approved proposal during implementation of the project

3.2.1.13.1. If the changes will not involve the part of the proposal previously reviewed by IACUC, IBC, or UPMREB, the students may proceed with the changes with the approval of their adviser/instructor; otherwise, it should be submitted again to the above-mentioned review bodies.

3.2.1.13.2. In communicating changes in the research protocol to RGAO, the researchers must mention the RGAO Registration Number for ease of reference.

3.2.1.14. Present to a panel of critic, reviewers, and advisers the completed research/thesis project.

3.2.1.15. Notify the College Research Committee of the completion of the thesis through submission of a scanned or electronic, completely signed copy of the UP College of Pharmacy Undergraduate Thesis Approval Sheet (Appendix F), notice of completion of research (Appendix H) for non-thesis undergraduate research, or form for UPM-NGOHS Approval for Thesis (Appendix G), a copy of the abstract at upm-cp-research@up.edu.ph using their UP webmail address, with the subject heading: **<Subject>_<Semester/Year>_ <Surname and first letter of first listed name of Listed Principal Investigator>**. For example, for an undergraduate thesis submitted by Juan Maria dela Cruz in the second semester of AY 2018-2019, the subject heading will be: Phar 200_SS/1819_dela Cruz J.

3.2.1.16. As much as possible, present in relevant scientific conferences or publish in journals prescribed by the university, a part or the entire completed research.

3.2.1.17. Understand that the policies and guidelines for conduct of research at UPCP are applicable to all researches registered with RGAO and in the UPCP Research database.

3.2.2. *Members of the Faculty.*

The Faculty member should:

3.2.2.1. Be regular, full-time, or is a research faculty.

3.2.2.1.1. Member of the faculty on special detail or on sabbatical leave is considered as a regular, full-time member, and may serve as project/program leader or principal investigator. However, the faculty member on sabbatical leave cannot serve as a thesis adviser.

3.2.2.1.2. Part-time member of the faculty, including adjunct Professor cannot serve as adviser, but may serve as (as applicable) co-adviser, critic, or panel member of the student

3.2.2.2. Choose research topics aligned with the College Research Agenda

3.2.2.3. Not conduct studies as an independent researcher if the topic will touch quality management issues (see Section 1.1.1.17). In such cases, the study should be credited to all faculty members of the College.

3.2.2.4. As much as possible, propose topics of minimal risk, the study:

3.2.2.4.1. Does not involve contact with human subjects or data mining of any health information that might lead to breach of privacy.

3.2.2.4.2. Does not put the researcher into life-threatening situations.

3.2.2.5. Be cognizant of the ethics requirements of their study (see Sections 3.2.1.5.1–3).

3.2.2.6. Know that if their study would involve human subjects, they must have a certificate of basic training in Health Research Ethics and Good Clinical Practice (GCP), the validity of which should cover the duration of the study. They should also know the time frame for review for such proposals as it is guaranteed that their studies might be subjected to full board review by UPMREB.

3.2.2.7. Be informed that studies that do not involve any human subjects, parts thereof, or private information within the boundary of data privacy, need not to undergo UPMREB review.

3.2.2.8. Fulfill the required documents for registration in UPM RGAO or UPM REB (see Section 3.4.9)

3.2.2.9. Secure the copy of the RGAO, other relevant review boards clearance, and send to upm-cp-research@up.edu.ph using their UP webmail address with the subject heading **<Initials>_<Year>_RGAO Certificate**. For example, if Prof. Juan Maria J. dela Cruz registers his research on year 2018, the subject heading will be **JMJC_2018_RGAO Certificate**

3.2.2.10. Register their study in the UPCP Research Database (see Section 5) in the following instances:

3.2.2.10.1. Researches done in collaboration in with other institutions or UPM units, where the researcher, as a co-investigator, carries the name of UPCP, provided the topic is still within the College Research Agenda

3.2.2.10.2. Thesis advising to other institutions is considered an extension service, and is not declared under research, but under extension, both in the Merit Promotion Form and in PBB. However, outputs arising from such research, as long as the adviser carries the name of UPCP, and provided that the topic is within the College Research Agenda, may be counted towards research in the Merit Promotion Form and in PBB, and should be registered with RGAO and the UPCP Research Database.

3.2.2.10.3. Research performed by non-regular members of the faculty of the college, as long as the faculty member carries the name of UPCP, may be counted towards the research of the college, and should be registered.

3.2.2.11. Be aware that the research, in whatever phase, can be registered as long as it is within the College Research Agenda of the College. However, retrospective registration is highly discouraged.

3.2.2.12. Ensure that the registered research proposal has undergone a technical review at the university level prior to its implementation.

3.2.2.13. For researches in consideration for funding, the researcher must submit the following documents to the RGAO office:

3.2.2.13.1. Copy of research proposal

3.2.2.13.2. Letter of Approval by the College Technical Review Board (Appendix I-1) together with the Letter of Endorsement from the College Technical Review Board (Appendix I-2)

3.2.2.14. Be familiar with the flow for processing of research protocols in UP Manila (see Section 3.4.6) and the requirements and guidelines of IACUC, IBBC, and UPMREB (Sections 3.4.7–9).

3.2.2.15. Be reminded that his/her research assistants are required to apply for registration as self-employed individuals with the Bureau of Internal Revenue, and to remind them duly (Appendix J).

3.2.2.16. Discuss matters regarding authorship as early as the conception of the project (see Section 3.3)

3.2.2.17. Be honest in conducting all aspects of the research project.

3.2.2.18. Be aware that they will be asked to terminate the project at any point from its approval, should any activities tantamount to research misconduct is observed by the College Research Committee (see Section 3.13)

3.2.2.19. Update their record in the UPCP Research Database with every milestone achieved in their research (see Section 5).

3.2.2.20. Notify the RGAO (through e-mail) with any changes in the approved proposal during the implementation of the project.

3.2.2.20.1. If the changes will not involve the part of the proposal previously reviewed by IACUC, IBBC or UPMREB, the researchers may proceed with the changes as long as these are approved by the Research Committee; otherwise, it should be submitted again for review. The proponents will be asked to submit amendment form to the UPMREB regardless of the coverage of the part of the proposal that will involve the changes.

3.2.2.20.2. In communicating changes in the research protocol to RGAO, the researchers must mention the RGAO Registration Number for ease of reference.

3.2.2.21. Notify RGAO of the completion of the research through e-mail with the formal notice of completion attached (Appendix H). A copy of the abstract should also be submitted to the College Research Committee to upm-cp-research@up.edu.ph using their UP-webmail

address with the subject heading **<Initials>_<Year>_ Project Completion/Termination** *(as applicable)*. For example, if Prof. Juan Maria J. dela Cruz finishes his research in 2018, the subject heading will be **JMJC_2018_Project Completion**. They should also update their entry in the database to indicate the completion of the study.

3.2.2.22. Present the completed research project to the annual UPCP Faculty Research Forum.

3.2.2.23. Understand that the policies and guidelines for conduct of research at UPCP are applicable to all researches registered with the College Research Committee.

3.3. Authorship

3.3.1. The definition of and guidelines pertaining to authorship in this section are directly lifted from the International Committee of Medical Journals (ICMJE, 2017):

3.3.1.1. An author is a contributor who has made substantive intellectual contributions to the published study. Authorship confers credit and has important academic, social, and financial implications. Authorship also implies responsibility and accountability for published work.

3.3.1.2. Authorship to a published work will be based on the following criteria, as per recommendations of ICMJE:

3.3.1.2.1. Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work;

3.3.1.2.2. Drafting the work or revising it critically for important intellectual content;

3.3.1.2.3. Final approval of the version to be published;

3.3.1.2.4. Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

3.3.1.3. When a large multi-author group has conducted the work, the group ideally should decide who will be an author before the work is started and confirm who is an author before submitting the manuscript for publication. All members of the group named as authors should meet all four criteria for authorship, including approval of the final manuscript, and they should be able to take public responsibility for the work and should have full confidence in the accuracy and integrity of the work of other group authors. They will also be expected as individuals to complete conflict-of-interest disclosure forms.

3.3.1.4. When submitting a manuscript authored by a group, the corresponding author should specify the group name if one exists, and clearly identify the group members who can take credit and responsibility for the work as authors. The byline of the article identifies who is directly responsible for the manuscript, and MEDLINE lists as authors whichever names appear on the byline. If the byline includes a group name, MEDLINE will list the names of individual group members who are authors or who are collaborators, sometimes called non-author contributors, if there is a note associated with the byline clearly stating that the individual names are elsewhere in the paper and whether those names are authors or collaborators.

3.3.1.5. All persons designated as authors should qualify for authorship, and all those who qualify should be listed.

3.3.1.6. Contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, but should be acknowledged. Examples of activities that alone (without other contributions) do not qualify a contributor for authorship are acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading. Those whose contributions do not justify authorship may be acknowledged individually or together as a group under a single heading (e.g., “Clinical Investigators” or “Participating Investigators”), and their

contributions should be specified (e.g., “served as scientific advisors,” “critically reviewed the study proposal,” “collected data,” “provided and cared for study patients”, “participated in writing or technical editing of the manuscript”).

3.3.2. Many publishers are now adopting CRediT (Contributor Roles Taxonomy) as a way to indicate author contributorship. This was introduced with the intention of recognizing individual author contributions, reducing authorship disputes and facilitating collaboration. The idea came about following a 2012 collaborative workshop led by Harvard University and the Wellcome Trust, with input from researchers, the International Committee of Medical Journal Editors (ICMJE) and publishers, including Elsevier, represented by Cell Press.[1]

3.3.2.1. CRediT offers authors the opportunity to share an accurate and detailed description of their diverse contributions to the published work.

3.3.2.1.1. The corresponding author is responsible for ensuring that the descriptions are accurate and agreed by all authors.

3.3.2.1.2. The role(s) of all authors should be listed, using the relevant above categories.

3.3.2.1.3. Authors may have contributed in multiple roles.

3.3.2.1.4. CRediT in no way changes the journal’s criteria to qualify for authorship.

3.3.2.2. CRediT statements should be provided during the submission process and will appear above the “Acknowledgement” section of the published paper as shown below:

Zhang San: Conceptualization, Methodology, Software Priya Singh.: Data curation, Writing-Original draft preparation. Wang Wu: Visualization, Investigation. *Jan Jansen:* Supervision.: Ajay Kumar: Software, Validation.: Sun Qi: Writing- Reviewing and Editing

3.3.3. CRediT (Contributor Roles Taxonomy)[2]

Term	Definition
Conceptualization	Ideas; formulation or evolution of overarching research goals and aims
Methodology	Development or design of methodology; creation of models
Software	Programming, software development; designing computer programs; implementation of the computer code and supporting algorithms; testing of existing code components
Validation	Verification, whether as a part of the activity or separate, of the overall replication/ reproducibility of results/experiments and other research outputs
Formal analysis	Application of statistical, mathematical, computational, or other formal techniques to analyze or synthesize study data
Investigation	Conducting a research and investigation process, specifically performing the experiments, or data/evidence collection
Resources	Provision of study materials, reagents, materials, patients, laboratory samples, animals, instrumentation, computing resources, or other analysis tools

[1]CRediT Author Statement of Elsevier available at https://www.elsevier.com/authors/policies-and-guidelines/credit-author-statement
[2] Brand et al. (2015), Learned Publishing 28(2)

Data Curation	Management activities to annotate (produce metadata), scrub data and maintain research data (including software code, where it is necessary for interpreting the data itself) for initial use and later reuse
Writing - Original Draft	Preparation, creation and/or presentation of the published work, specifically writing the initial draft (including substantive translation)
Writing - Review & Editing	Preparation, creation and/or presentation of the published work by those from the original research group, specifically critical review, commentary or revision – including pre-or post publication stages
Visualization	Preparation, creation and/or presentation of the published work, specifically visualization/ data presentation
Supervision	Oversight and leadership responsibility for the research activity planning and execution, including mentorship external to the core team
Project administration	Management and coordination responsibility for the research activity planning and execution
Funding acquisition	Acquisition of the financial support for the project leading to this publication

3.3.4. It is highly recommended that an authorship agreement should be signed by those involved in the study, preferably, before the start of project implementation (Appendix K).

3.3.5. Should there be any changes in weight of the tasks by the undersigned, another authorship agreement should be signed again submitted together with the complete research paper.

3.3.6. Authorship would also be the basis for designation of research load credits (see Section 3.10).

3.3.7. In case of undergraduate and/or graduate theses, the student proponents should be the principal authors, except in cases such as application for NIH Grant, where the UPM NIH stipulates the thesis adviser as the principal investigator.[3] In cases when such a thesis is done under a bigger project by a faculty member, the student/s may only claim principal authorship for the specific part of the project they performed, but the credit for the whole project will still go to the faculty proponent. In any case, the thesis student should include the adviser as one of the co-authors of the study.

3.4. Registration of Projects/Researches

3.4.1. The proponents of the study must register their study to RGAO online: https://rgao.upm.edu.ph/registration/ and to the UPCP Research Database (see Section 5).

3.4.2. Upon registration, it is also the responsibility of the proponent to make further communications with RGAO

3.4.3. Only research projects registered with RGAO will be considered for the following:

3.4.3.1. *For undergraduate and graduate students:*

3.4.3.1.1. Fulfillment of requirement for the course taken

3.4.3.1.2. Funding

3.4.3.1.3. Awards/Grants

[3] https://rgao.upm.edu.ph/funding-opportunities/nih/nih-upm-student-researcher-grant/

3.4.3.2. *For Faculty Members*

3.4.3.2.1. Research load credit designation (see *Section 3.10*)
3.4.3.2.2. Tenure
3.4.3.2.3. Promotion
3.4.3.2.4. Funding
3.4.3.2.5. Publication Award
3.4.3.2.6. Performance Based Bonus (PBB)
3.4.3.2.7. Faculty grants and professorial chair awards

3.4.4. Mandatory Registration

Based on the UPMREB General Policies and Guidelines, mandatory registration of research within the university is an expression of the University's right to:

3.4.4.1. Monitor and regulate utilization of its facilities;
3.4.4.2. Monitor and regulate uses of its name; and,
3.4.4.3. Protect its intellectual property

3.4.5. Registration of Research (for Students)

Indicated is the flow of registration of any research conducted by the students, from protocol approval by the instructors/thesis adviser & panel to the completion of the study.

Specific Steps	Required Documents	Time Frame	Person/s Responsible
1. Secure Notice of Approval of Thesis/ Research Proposal	Protocol proposal Presentation to Adviser and Panel	Right after presentation	Proponent
2. Register online to RGAO	Online registration to RGAO: http://www.rgao.upm.edu.ph	Right after securing Approval of Thesis/ Research Proposal	Proponent
3. Confirmation of Registration		Sent by RGAO thru e-mail 1-2 days after online registration	RGAO personnel
4. Application for IBBC/ IACUC/ UPMREB (when necessary)	Refer to 3.4.7. IBBC Registration 3.4.8. IACUC Registration 3.4.9. UPM-REB Registration	Upon receipt of advice from RGAO	Proponent
5. Submit IBBC/ IACUC/ UPMREB form to designated signatories from the College (when necessary)	*IBBC forms 1 & 2* (Appendix L-1 & 2): Laboratory Manager (College's Biosafety Officer), Department Chairman, & Dean *IACUC Application Form* (Appendix M-1–4): Research Committee Chairman (Technical Review Board), Dean *UPMREB Form 2B* (Appendix N-1–3): Research Committee Chairman (Technical Review Board), Dean	Accomplishment of the required forms	Proponent

Specific Steps	Required Documents	Time Frame	Person/s Responsible
6. Application of NIH Grant (optional)	Approved Thesis Proposal (1 printed and an electronic copy) Endorsement letter from the adviser, department chair, and dean Certificate of Thesis Proposal Approval RGAO Certificate Certificate of Approval or Submission for Review by appropriate review board (UPMREB, IACUC, IBBC)	upon receipt of RGAO certificate and after sending the protocol for review by UPMREB, IACUC, or IBBC	Proponent
7. Application of grants from other grant-giving agencies (optional)	Refer to the requirements set by the grant-giving agency.	upon receipt of RGAO certificate and after sending the protocol for review by UPMREB, IACUC, or IBBC	Proponent
8. Registration with the UPCP Research Database (Section 5)	RGAO Certificate Certificate of Approval or Submission for Review by appropriate review board (UPMREB, IACUC, IBBC)	upon receipt of RGAO certificate and after sending the protocol for review by UPMREB, IACUC, or IBBC	Instructor/ Thesis Adviser
9. Protocol Revision (if applicable)	Revised Protocol	Consult RGAO for advice	Proponent
10. Implementation of the study	Certificate of approval from appropriate review board (if applicable)	upon receipt of appropriate certificate until the proposed date of completion	Proponent and Adviser
11. Monitoring of Project	Progress Report	As deemed necessary by the adviser	Proponent and Adviser
12. Completion/ Termination of Project	Accomplishment/Termination Report/Bound Copies/Paper in publishable format For graduate students, consult NGOHS for the other requirements regarding graduate thesis completion and graduation	Upon completion/ termination of the project	Proponent
13. Submit notice of Completion/ Termination of the Project to the Research Committee	Notice of Completion/ Termination of Project or Abstract of Terminal Report (Section 3.2.1.15) Update the entry in the UPCP research database with the actual completion date of the project/research.	After completion of the project	Proponent Adviser

3.4.6. Registration of Research (for Faculty Members)

Indicated is the flow of registration of any research conducted by the faculty members, from protocol proposal to the completion of the study.

Specific Steps	Required Documents	Time Frame	Person/s Responsible
1. Register online to RGAO	Online registration to RGAO: http://www.rgao.upm.edu.ph	Upon accomplishment of the Protocol Proposal	Proponent
2. Confirmation of Registration		Sent by RGAO thru e-mail 1-2 days after online registration	RGAO personnel
3. Application for IBBC/ IACUC/ UPMREB (when necessary)	Refer to 3.4.7. IBBC Registration 3.4.8. IACUC Registration 3.4.9. UPM-REB Registration	Upon receipt of advice from RGAO	Proponent
4. Submit IBBC/ IACUC/ UPMREB form to designated signatories from the College (when necessary)	*IBBC forms 1 & 2* (Appendix L-1 & 2): Laboratory Manager (College's Biosafety Officer) Department Chairman, & Dean *IACUC Application Form* (Appendix M-1–4): Research Committee Chairman (Technical Review Board), Dean *UPMREB Form 2B* (Appendix N-1–3): Research Committee Chairman (Technical Review Board), Dean	Accomplishment of the required forms	Proponent
5. Application of NIH Grant (optional)	Full proposal (.doc or .pdf) Research Proposal Form using the prescribed form (Form 3.1 (A) 2010 Research Project Proposal Format) (Appendix O), which may be requested from Grants Application and Protocol Development Unit (GAPDU) of RGAO Proposal (1 printed and an electronic copy) Endorsement letter from the adviser, department chair, and Dean RGAO Certificate Certificate of Approval or Submission for Review by appropriate review board (UPMREB, IACUC, IBBC) One-page curriculum vitae of the proponents.	upon receipt of RGAO certificate and after sending the protocol for review by UPMREB, IACUC, or IBBC	Proponent

Specific Steps	Required Documents	Time Frame	Person/s Responsible
6. Application of grants from other grant-giving agencies (optional)	Refer to the requirements set by the grant-giving agency. If endorsement by the Chancellor is required, the protocol must be endorsed by the following after RGAO Registration: ● Dean ● Vice Chancellor for Research	upon receipt of RGAO certificate and after sending the protocol for review by UPMREB, IACUC, or IBBC	Proponent
7. Registration with the UPCP Research Database (Section 5)	RGAO Certificate Certificate of Approval or Submission for Review by appropriate review board (UPMREB, IACUC, IBBC)	upon receipt of RGAO certificate and after sending the protocol for review by UPMREB, IACUC, or IBBC	UPCP Faculty proponent/ co-investigator
8. Protocol Revision (if applicable)	Revised Protocol	Consult RGAO for advice	Proponent
9. Implementation of the study	Certificate of approval from appropriate review board (if applicable)	upon receipt of appropriate certificate until the proposed date of completion	Proponent
10. Monitoring of Project	Progress Report	Quarterly Update or as indicated by the funding agency	Proponent
11. Completion/ Termination of Project	Accomplishment/Termination Report/Bound Copies/Paper in publishable format	Upon completion/ termination of the project	Proponent
12. Submit notice of Completion/ Termination of the Project to the Research Committee	Notice of Completion/ Termination of Project or Abstract of Terminal Report (Section 3.2.2.20) Update the entry in the UPCP research database with the actual completion date of the project/research.	After completion of the project	UPCP Faculty proponent/ co-investigator

3.4.7. Institutional Biosafety and Biosecurity Committee (IBBC) Registration

3.4.7.1. The College Health and Safety Committee also acts as the College IBBC and its chair concurrently chairs the College IBBC. The Chairman shall be the *de facto* Biosafety Officer.

3.4.7.2. The proponents should know the process of application. Information and necessary forms are available: https://rgao.upm.edu.ph/award-set-up-2/sample-page/submission-to-ibbc/

3.4.7.3. Prior to applying for an IBBC Clearance/Certification, submit the protocol together with IBBC Form 1 to the Biosafety Officer of the College (Appendix B). The Biosafety Officer will review the protocol involving potentially biohazardous materials and will decide if the study will require IBBC clearance.

3.4.7.4. If deemed for IBBC review, the College Biosafety Officer shall affix his/her signature in accomplished IBBC Forms 1 and 2 (Appendix L-1 & L-2).

3.4.7.5. This shall be forwarded to the Laboratory Manager, the Department Chairman, then Dean prior to submission to the office of the IBBC at NIH-IMBB Central Laboratory for issuance of the certificate/clearance.

3.4.7.6. Inquire the UPM NIH IBBC for their preferred mode of submission. They can be contacted through telephone: +63285264349.

3.4.7.7. The investigator may already start with the implementation of the study, except with the portion of the research involving potentially biohazardous materials, which can only commence upon approval by IBBC.

3.4.8. Institutional Animal Care and Use Committee (IACUC) Registration

3.4.8.1. The College Research Committee may designate technical reviewers for a submitted protocol to assessment of the ethics aspect of the study.

3.4.8.2. The proponents should know the application process for IACUC approval (Appendix M-1). They can access the information and download the necessary forms: https://rgao.upm.edu.ph/award-set-up-2/sample-page/submission-to-iacuc/.

3.4.8.3. After filling up the necessary form (Appendix M-2–4), the proponent should submit the completed form to the designated signatories in the College: Research Committee Chairman (Technical Review Board) and the Dean.

3.4.8.4. The proponent should inquire the IACUC for the preferred mode of submission. They can be contacted through the UPM IACUC Secretariat at 218-2659 or email them at upm.iacuc.nih@gmail.com.

3.4.8.5. The investigator may already start with the implementation of the study, except with the portion of the research that requires approval by IACUC, which can only commence upon receipt of the certificate of approval.

3.4.9. UPM-REB Registration

3.4.9.1. The process of UPMREB registration (Appendix N-1), complete information, and the forms required can be accessed: https://reb.upm.edu.ph/node/124.

3.4.9.2. After filling up the necessary forms indicated in the Review Checklist (Appendix N-2), the proponent should submit the completed application to the Chairman of the College Research Committee, then to the Dean, for signature of the UPMREB Form 2(B) (Appendix N-3). Updated versions of UPMREB forms can be downloaded from their website at http://reb.upm.edu.ph/sops-and-forms.

3.4.9.3. The proponent should inquire the UPMREB for the preferred mode of submission. They can be contacted through telephone: +632-85264346 or e-mail: upmreb@post.upm.edu.ph.

3.4.9.4. Undergraduate students are not charged with the review of the UPMREB submission. Instead, these are charged against the College's Research Utilization Fund (RUF). Due to the limitation of funds, a maximum of only 10 undergraduate research groups per year can send applications to UPMREB.

3.4.9.5. The proponents cannot start with the data collection unless the certificate of approval from UPMREB has been granted.

3.5. Project/Research Implementation

3.5.1. Only researches registered with RGAO and have been granted with necessary certificates of approval shall be allowed to proceed for implementation.

3.5.2. Studies may be allowed to start only with the part that does not require ethical clearance while waiting for ethical clearance from UPMREB, IACUC, or IBBC, whichever is applicable.

3.5.3. The investigators/advisers of the project are held responsible for the whole duration of conduct of the study.

3.5.4. Changes in the Approved Protocol should be reported if it involves the procedures with ethical consideration. Notification of Changes in Protocol should be submitted to the Research Committee through faculty advisers.

3.5.5. The UPMREB/IACUC/IBBC also has to be notified of the changes regardless of involvement of ethical issues. The forms and procedure are available for UPMREB on their website, while you can contact NIH IBBC and NIH IACUC for their process of notification of change or modification in protocol.

3.5.6. Completion or termination of the project also has to be reported to the College Research Committee through updating the entry for the research in the UPCP Research Database (see Section 5) and to UPMREB/IACUC/IBBC by submission of the Completion/Termination of Project Form (Appendix H).

3.6. Graduate/Undergraduate Thesis Implementation in Cases of Truncated Semester or Indefinite Suspension of Classes

3.6.1. With an unexpectedly shortened time frame for the execution of graduate/undergraduate theses of Pharmacy students, it may be necessary to truncate the scope of work, regardless of the nature of the study. However, the extent of truncation should not compromise the quality of the study, hence the following will serve as a guide for thesis advisers on revising the study protocols with their students.

3.6.2. For graduate students, when a total change in protocol has been agreed upon by the thesis adviser, review panel and the student, the NGOHS shall be informed in writing.

3.6.3. For undergraduate students, in cases of indefinite suspension of classes, they shall submit a technical report of whatever they have accomplished in their thesis in lieu of the thesis manuscript.

***3.6.4. General guideline*:** Let the main objective serve as reference for any planned revision on the protocol.

3.6.5. Specific guidelines

3.6.5.1. For Studies Involving Assay Method Development/In silico Analysis

3.6.5.1.1. Proceed with what can be done with the time remaining for data gathering and analysis.

3.6.5.1.2. Consider revising specific objectives to reflect the breadth and depth of analyses made.

3.6.5.2. For Studies Involving Bioassays and Natural Products

3.6.5.2.1. If in the study, more than one crude fraction or extract has to be prepared, you may consider any of the following, depending on the phase of the study:

3.6.5.2.1.1. *Finished drying the plant part to be used but intend to prepare different crude extracts:* reduce the amount of the plant part as well as the maceration time (e.g. 1kg→100 g, 48 h→24 h, etc). If you will test more than one crude extract (MeOH, DCM, etc), prioritize the extracts to be tested and limit it to how much you can prepare for only a week.

3.6.5.2.1.2. *Finished drying the plant part but intends to prepare different crude fractions by liquid-liquid partitioning.* Prioritize the crude fractions that you have to test. If you will start with crude extraction with MeOH, after maceration with MeOH, get a small portion (~250mL) to be subjected to rotavap for crude MeOH extract, then the rest can be partitioned against hexane, then DCM an so on. Limit the amount of each solvent to only about 500 mL to shorten the evaporation time.

3.6.5.2.1.3. *Finished maceration only in different solvents but solvents are yet to be evaporated.* If you would still want to test the different solvent extracts (other than water), subject to rotavap only a reduced amount of the liquid extract (e.g. 4L→ 500mL). If based on literature, the previously reported active compounds are not found in the aqueous extract, you may no longer have to prepare the aqueous extract. If you really need to test the aqueous extract, freeze dry only a small amount (about 500 mL) and do this with other users of the freeze dryer to save time.

3.6.5.2.1.4. *Finished crude (methanolic) extract preparation but intends to do liquid-liquid partitioning*. Resuspend in MeOH-H_2O proceed as is instructed in *Section 3.6.5.2.1.2.*

3.6.5.2.1.5. *Crude extracts/fractions are already dried and weighed.* If the extract/fraction should be further subjected to column chromatography or preparative TLC, limit this to either DCM or EtAc extract. Due to time constraints, you may only have to perform this to only one crude extract/fraction. If there is no existing data about the activity of the crude extract or fraction, you may opt to no longer perform column chromatography and subject the crude fractions/ extract to bioassay.

3.6.5.2.2. If the bioassays are yet to be performed

3.6.5.2.2.1. *If the reagents are yet to be delivered within the week or week after resumption of classes.* Proceed with the proposed bioassay. If not, look for alternative bioassays with reagents/kits that are already available in the College or those that can be prepared/delivered within the week of resumption of classes.

3.6.5.2.2.2. *The bioassay can be readily executed*. Based on the amount of extract/fraction available, reduce the number of concentrations to be used to at least three but make sure to perform each concentration of each extract in triplicates.

3.6.5.2.2.3. *If bioassay is in vivo.* It is highly recommended to switch to any corresponding *in vitro* assay.

3.6.5.3. For Studies Involving Formulation

3.6.5.3.1. If formulation is done but evaluation of quality attributes and bioassay are still on-going or not performed or tested

3.6.5.3.1.1. Consider revising specific objectives to reflect the breadth and depth of the formulation study.

3.6.5.3.1.2. Select at least one attribute to be evaluated that may highly affect the quality of the formulated product

3.6.5.3.1.3. For formulation studies with bioassay, see *Section 3.6.5.2.2,* or proponents may opt not to perform the test provided, specific objectives will be revised accordingly.

3.6.5.3.1.4. Reduce batch size as possible. A minimum of 50 - 100 g is acceptable or provided there is enough sample for testing.

3.6.5.3.2. If trial formulation is still on-going and quality attributes and bioassay are on-going or still not performed or tested

3.6.5.3.2.1. Consider revising specific objectives to reflect the breadth and depth of the formulation study.

3.6.5.3.2.2. Limit the number of trials if possible. Proponents may opt to select or assess which among the trial formulations met most of the standards provided in the test specifications.

3.6.5.3.2.3. If no test is performed in the formulated product, select at least one attribute to be evaluated that may highly affect the quality of the formulated product

3.6.5.3.2.4. For formulation studies with bioassay, see *Section 3.6.5.2.2,* or proponents may opt not to perform the test provided, specific objectives will be revised accordingly.

3.6.5.3.2.5. Reduce batch size as possible. A minimum of 50 - 100 g is acceptable or provided there is enough sample for testing.

3.6.5.3.3. If formulation is still not performed but preformulation stage is already completed or still on-going

3.6.5.3.3.1. Consider revising specific objectives to reflect the breadth and depth of the study.

3.6.5.3.3.2. *Characterization of physicochemical properties*. If characterization is still on-going, select at least 1 attribute to be evaluated provided it is according to the revised objectives of the study.

3.6.5.3.3.3. *Pharmacopeial Tests of Natural Products.* If pharmacopeial tests are not completed, choose at least 2 tests to be performed that support the objective of the study.

3.6.5.3.3.4. *Stability testing of crude extract.* If stability testing is still on-going and exceeds the prescribed time of storing under different working conditions, proponents can proceed with the test analysis. If the test is still not performed, proponents may limit the time of the test to 1 - 2 weeks, then proceed with the test analysis. Literature review may help reduce the number of working conditions to be used in this study (For example, if one or more constituents of the crude extract is heat sensitive, proponents can opt to remove this condition).

3.6.5.3.3.5. *Compatibility testing of crude extract with the excipients*.If compatibility testing is still on-going and exceeds the prescribed time of storing under different working conditions, proponents can proceed with the test analysis. If the test is still not performed, proponents may limit the time of the test to 1 - 2 weeks, then proceed with the test analysis. Literature review may help reduce the number of working conditions to be used in this study (For example, if one or more constituents of the crude extract is heat sensitive, proponents can opt to remove this condition).

3.6.5.3.3.6. If the extraction process is still on-going, see *Section 3.6.5.2.1*.

3.6.5.3.3.7. For studies with bioassay, see *Section 3.6.5.2.2.*

3.6.5.3.3.8. Proponents may compromise to simultaneously proceed with formulation while performing preformulation studies provided they follow *Section 3.6.5.2.1 and 3.6.5.2.2*.

3.6.5.3.3.9. Proponents may compromise to change the formulation design (e.g. from sustained-release tablet to a compressed tablet), provided it is still in accordance with the revised objectives of the study and within the timeframe given.

3.6.5.3.3.10. Proponents may choose not to proceed with formulation studies provided it is according to the revised objectives of the study.

3.6.5.4. For Studies Involving Drug Utilization Review (DUR)

3.6.5.4.1. If the semester's time is not enough and/or the study site will not allow student access to medical records, the method will be redesigned to rapid review of available but exhaustive evidences, similar to a systematic review. This will be discussed with the adviser.

3.6.5.4.2. If no revisions have been made, purposive sampling will be employed. Meaning the students will only review the medical charts that they can during the remaining period of the semester.

3.6.5.5. For Studies Involving Face-to-Face Survey

3.6.5.5.1. If the situation permits, switching to online surveys may be considered.

3.6.5.5.2. The data from other countries may be used as a basis for what will be developed (e.g. training program) in the context of the Philippines.

3.6.5.5.3. Purposive sampling will be employed instead of obtaining the required calculated sample size.

3.6.5.5.4. Rapid review of available evidence may be considered whenever applicable.

3.7. Progress Monitoring

3.7.1. It is the responsibility of the Instructor/Thesis Adviser to monitor the progress of the study.

3.7.2. The Instructor/Thesis Adviser shall regularly update the entry for the study in the UPCP Research Database.

3.7.3. The College Research Committee shall monitor the researchers done at UPCP. This can be done either through regular checking and validation of entries made into the UPCP Research Database or through check up of progress report made by the investigators.

3.8. Use of College Resources

3.8.1. Only approved and registered studies are allowed to proceed and use the facilities/equipment of the College.

3.8.2. These laboratories and facilities are primarily used for instructional purposes (except for DARL), hence the use for research purposes must be coordinated with the Dean through the Department Chairman in custody of the room/facility.

3.8.3. UPCP constituents and Non-UPCP constituents may use the facilities for research purposes.

3.8.4. Students and other Non-UPCP investigators with approval of use of facilities/laboratories should be supervised by the faculty members designated to coordinate with the users.

3.8.5. Anyone who intends to use any of the facilities/laboratories in the College during weekends and holidays should secure an authorization pass (Appendix

3.8.6. UPCP constituents may use the facilities free of charge if the study is funded personally by the investigator, provided the research is properly registered and necessary permits were acquired prior to implementation (see Section 3.4).

3.8.7. For UPCP constituents whose research is funded, they should pay the College for the use of the facility either directly or indirectly to the College, depending on the arrangement indicated in the document for project implementation.

3.8.8. Non-UP constituents should pay the College for the use of the laboratory/facilities. They should inquire with the College Laboratory Manager about the cost of use of each facility, laboratory, equipment, reagents, and consumables.

3.8.9. Use of reagents should be shouldered by investigators/researchers.

3.8.10. Equipment and/or supplies acquired and used upon completion of the research project shall be left in the college and can already be used for undergraduate training.

3.8.11. Only unused reagents and other consumables can be donated to the college; otherwise, these are wastes that have to be properly disposed of by the investigators.

3.8.12. Investigators should observe proper laboratory conduct, waste disposal, and health and safety protocols. These should be done in accordance with the College Good Laboratory Practices Guidelines and the College Health and Safety Guidelines.

3.9. Collaborations

The investigators and the collaborators are required to prepare and sign the following documents with the aid of the UP Manila Legal Office:

3.9.1. Memorandum of Agreement (MOA)

3.9.2. Material Transfer Agreement (MTA)

3.9.3. Letter of Commitment addressed to the Dean from the collaborator

3.9.4. Intellectual Property Agreement

3.10. Research Load Designation

This section is applicable only to UPCP faculty members.

3.10.1. Research load for a project should be allotted depending on the gravity of the work required.

3.10.1.1. For studies involving simple data collection and/or dry laboratory, and those that will not require field work, a maximum of 3 units may be allotted per study per semester.

3.10.1.2. For studies involving fieldwork for data collection and/or dry laboratory for analysis, a maximum of 6 units per semester may be allotted.

3.10.1.3. For all studies involving wet laboratories, regardless of the need for field work for data collection, a maximum of 6 units per semester may also be allotted.

3.10.2. Research load for one faculty member should only be kept to a maximum of 3 units per semester provided he/she is a regular/full-time member.

3.10.2.1. If the faculty member is the sole author of the project, he/she may be granted the maximum research load of 3 units per semester.

3.10.2.2. If the faculty member is not the only author of the project, the unit load credited to the research for a semester should be based on authorship (see Section 3.3)

3.10.3. Only registered studies with RGAO and the UPCP Research Database can be applied for research load credits.

3.10.4. The Department Chair assigns the research load units due to the faculty investigator.

3.10.5. Approval of research load credits is granted at the College level by the Dean with proper recommendation by the Department Chair. But for research loads greater than 3 units, approval from the Office of the Chancellor shall be sought.

3.11. Research Sources and Utilization of Fund

3.11.1. Research Fund Sources

3.11.1.1. The College Research Committee may post announcements of call for proposals by several funding agencies through e-mail blasts to the different Departments. A list of funding sources can be found through the RGAO website: https://rgao.upm.edu.ph/

3.11.1.2. The investigators may look for their own source of funding. A particular project can have more than one source of funding with permission from all the funding agencies.

3.11.1.3. Any forms of funding or change in source thereof should be declared by the investigators and they should notify RGAO and the College Research Committee via e-mail.

3.11.1.4. The investigators should, as courtesy, acknowledge the funding agency in their paper when they present or publish.

3.11.2. UP Manila Research Administrative Overhead Fund

3.11.2.1. This University Administrative fund comes from the administrative overhead cost (AOC) of research awarded with a grant. Hence, research proposals submitted for funding should include the AOC in its line-item budget, LIB (Appendix Q).

3.11.2.2. Based on the UP Manila Memorandum No. RLA-10-083 (September 17, 20210), the allocation in the LIB for AOC depends on the funding and the grant giving agency:

Source	Total Budget (PhP)	% AOC
Government/ Private	>100,000.00	min: 5%
Government/ Private	100,001.00–200,000.00	min: 5%
Government	>200,000.00	min 7.5%
Private	>200,000.00	min 15%

3.11.2.3. Upon receipt of the grant by the University, the allotted AOC is taken and distributed to RGAO and to the Research Unit Fund (RUF) of College. The breakdown is as follows:

Unit	Allocation
RGAO	**50%**
IACUC/UPMREB Review fee	
UPCP Research Unit Fund	**50%**
Department	40%
College of Pharmacy	10%

3.11.3. Research Unit Fund (RUF)

This is based on the "Guidelines on the Utilization of Research Unit Fund" approved during the 1037th meeting of the Board of Regents and amended in the 1147th meeting in December 2000.

3.11.3.1. The RUF can be used for the following purposes, subject to the approval of the Chancellor upon the recommendation of the Dean:

3.11.3.1.1. To help shoulder the utilities and maintenance bills, which can include:

3.11.3.1.1.1. Communication expenses to support research (e.g. cellphone load)

3.11.3.1.1.2. Internet expenses

3.11.3.1.1.3. Payment for maintenance of equipment used for research

3.11.3.1.2. To provide assistance to academic programs. This could include:

3.11.3.1.2.1. Expenses for research dissemination, including:

3.11.3.1.2.1.1. Travel grants for research presentation

3.11.3.1.2.1.2. Publication fees

3.11.3.1.2.1.3. Expenses related to conducting research forum

3.11.3.1.2.2. Expenses for research training, including:

3.11.3.1.2.2.1. Registration fees for the faculty to research training workshops

3.11.3.1.2.2.2. Expense related to conducting research training workshops within the unit

3.11.3.1.2.3. Purchase of equipment, with declaration on how the said equipment will support research and other academic programs

3.11.3.1.2.4. Purchase of supplies and materials to support research and other academic programs

3.11.3.1.3. To help upgrade the library collection of the University. This can include:

3.11.3.1.3.1. Purchase of books, manuals, etc.

3.11.3.1.3.2. Payment for subscription to journals, electronic libraries, etc.

3.11.3.1.4. To grant salaries/honoraria/incentive pay to deserving personnel and/or offices providing service to the research/project/program. This would include personnel who performs the following:

3.11.3.1.4.1. Technical review of protocols and research reports

3.11.3.1.4.2. Research administrative support, including research fund management

3.11.3.1.4.3. Data collection, data management, data analysis

3.11.3.1.4.4. Technical writing

3.11.3.2. The amount to be allocated as salaries/honoraria/incentive pay to deserving personnel shall:

3.11.3.2.1. not exceed fifty percent (50%) of the share of the administration for research/project/program

3.11.3.2.2. in no case, any part or portion of that honoraria be paid to any personnel of the University who is not involved in providing administrative support to the projects as approved by the appropriate University official

3.11.3.3. Requirements for the Utilization of RUF:

3.11.3.3.1. Letter requesting for the utilization of RUF addressed to the Chancellor endorsed by Dean/Institute Director (Appendix R) indicating the type of expenses and the amount

3.11.3.3.2. Internal Operating Budget (IOB) for the year (Appendix S), together with the Cash Program for Utilization of Research Unit Fund (Appendix T)signed and approved by the Unit Head (Chair or Director), recommended by OVCR and approved by the Chancellor

3.11.3.3.3. Latest status of RUF report from the UPM Accounting Office (Appendix U)

3.11.3.4. Steps in Requesting the Utilization of RUF

3.11.3.4.1. The Laboratory Manager must request for the RUF report from the UPM Accounting Office.

3.11.3.4.2. The Laboratory Manager should then provide the report, along with the Google Sheet template for IOB (Appendix V), to the three Department Chairs.

3.11.3.4.3. The Department Chairs should then meet with the investigators contributing to the RUF and draft the IOB proposal.

3.11.3.4.4. The Department Chairs should then submit the proposed IOB to the Laboratory Manager.

3.11.3.4.5. The Laboratory Manager shall then write the letter requesting for the utilization of RUF addressed to the Chancellor endorsed by Dean/Institute Director (Appendix R) and attach the IOB and RUF. This should be sent through proper channels.

3.12. Research Output and Utilization

3.12.1. Research Output

3.12.1.1. A paper that is the product of an investigator's research which may be

3.12.1.1.1. presented orally or as poster presentation in a conference/convention/congress or any similar venue that has a Conference Proceedings or Book of Abstracts

3.12.1.1.2. published in an indexed or non-indexed peer-reviewed journal

3.12.1.1.3. published as a patent or utility model in any Intellectual Property Office.

3.12.1.2. Upon completion of the study, the investigators are highly encouraged to disseminate the results of their study to the College and apply this for publication or research dissemination grant.

3.12.1.3. The investigators should follow the guidelines on authorship (see Section 3.3).

3.12.1.4. Should the investigators receive a dissemination or publication grant, the College Research Committee should be informed via e-mail.

3.12.2. Research Utilization

The application or usage of a research output by an intended recipient. Research utilization may include technology transfer, formulation of standards, protocols and policies enforced by government agencies and private institutions, provision of services resulting from research, practice and education models, and businesses.

3.12.2.1. For the purposes of PBB, the following evidences may be used for a specific type of research utility:

3.12.2.1.1. Technology transfer: Technology transfer document (TTD), documents that indicate the sale of TTD by a third party.

3.12.2.1.2. Standards, protocols, and policies enforced by government agencies: Cover page of the document, any portion of the document that indicates the authorship of a faculty

member, a copy of the policy with a sample meeting minutes that indicate the participation of the faculty member

3.12.2.1.3. Practice and education models: For private enterprises, certification or testimonials that the enterprise is using and has benefitted from the model; for government agencies, standard operating procedures, pictorial evidence for education models, curriculum, syllabus, or any instrument showing use of the model in instruction.

3.12.2.1.4. Businesses. MOA, business permit, evidence of ideation from the faculty member.

3.13. Research Misconduct

Definition (Adapted from UP Research Guidebook 2016). Also refer to the UP Manila Code for Responsible Conduct of Research (Appendix W)

3.13.1. Research misconduct is defined as “the violation of the standard codes of scholarly conduct and ethical behavior in professional scientific research”. It has three elements:

3.13.1.1. *Fabrication* - making up data or results

3.13.1.2. *Falsification* - manipulating research materials, equipment or processes or changing or omitting data or results such that the research is not accurately represented in the research record

3.13.1.3. *Plagiarism* - the appropriation of another person’s ideas, processes, results or words without giving appropriate credit or without proper permission.

3.13.2. The definition can also extend to include the following particular acts or instances:

3.13.2.1. Performance of unapproved research activities

3.13.2.2. Non-observance of the Good Laboratory Practice Guidelines of the College

3.13.2.3. Failure to appropriately confer authorship in scientific publications

3.13.2.4. Ghostwriting or the case where someone makes a substantial contribution to the research and is neither given the credit nor mentioned in the publication

3.13.2.5. Apportioning credit in a publication on those that have not made significant contributions to the research

3.13.2.6. Engaging human subjects in an experiment without their informed consent to the said experiment

3.13.2.7. Violation of existing animal rights as stipulated in Republic Act No. 8485

3.13.2.8. Withholding from publication of significant results because they are against personal or funder’s interests

3.13.2.9. Falsification and fabrication of data

3.13.2.10. Failure to report misconduct

3.13.2.11. Copying a work word for word, in whole or in part, without permission and acknowledgment of the original source

3.13.2.12. Plagiarism

3.13.3. The mentor should always advise the researcher against any unethical action.

3.13.4. The following are some practices that, although generally not illegal, are discouraged to maintain harmony within the UP community:

3.13.4.1. Leaving a research group to join a different research supervisor or group without first officially and clearly severing ties with the former group. If under a contract, the researcher is accountable to the terms of the contract.

3.13.4.2. Unethical recruitment practices by the research supervisor (e.g., the use of blackmail) as recruitment leverage

3.13.4.3. Abuse of confidentiality in peer review. This is of special concern since the UP scientific community is very small and research proposals or technical manuscripts submitted for peer review do not circulate far

3.13.5. ***Disciplinary Action***

Termination of any of the activities involved in the study will be implemented by the College Research Committee with prior approval of the Dean, should any report of misconduct be substantiated with credible evidence.

3.14. Retention, Transfer, and Accessibility to Research Data

3.14.1. Upon submission of the thesis manuscript to his/her thesis adviser, the student is required to submit the thesis approval sheet for undergraduate (Appendix F), for graduate (Appendix G) students, along with the copy of the abstract to the Research Committee (see section 3.2.1.15).

3.14.2. The faculty member investigators or students who completed a research other than thesis are only required to submit a completion/terminal report upon completion/termination of the project (Appendix H). In addition to the completion report, only the abstract copy and not the whole paper shall be submitted to the Research Committee (see section 3.2.2.20).

3.14.3. Terms of References, including ownership of intellectual property and responsibility of technology transfer, should be clearly stipulated in the Intellectual Property Agreement, should the study involve inter-institutional collaboration.

4. Manuscript

4.1. Graduate students

4.1.1. must follow the prescribed format of the National Graduate Office for the Health Sciences for their final thesis manuscripts. See Manual of Format and Style for Theses and Dissertations available at http://ngohs.upm.edu.ph/download/page/2/ (Appendix A)

4.1.2. Secure the certificate and forms necessary to be attached to the first few pages of the manuscript.

4.1.3. The student must also submit the manuscript for publication and obtain an acknowledgement of receipt from the publisher as proof that they have received the paper for initial review (if it is not yet accepted). This is one of the requirements for graduation.

4.1.4. Physical prints of the final thesis manuscript must be submitted to their adviser and the college library (hard bound with green cover and gold letterings).

4.1.5. Additionally, an e-copy of the final manuscript must also be submitted to the college library. Clearance for graduation will not be given to students who fail to submit the copies of their final manuscripts.

4.2. Undergraduate Students

4.2.1. Theses of undergraduate students should also follow the prescribed format of the National Graduate Office for the Health Sciences EXCEPT:

4.2.1.1. Title Page

4.2.1.2. Replace “A Master’s Thesis” with “An Undergraduate Thesis”

4.2.1.3. Replace “For the Degree of Master of (course)” with “For the Degree of Bachelor of Science in (course)”

4.2.2. Unlike graduate students, undergraduate students are not expected to produce a curriculum vitae hence, this part is omitted.

4.2.3. Physical prints of the final thesis manuscript must be submitted to their adviser and the college library (hard bound with green cover and gold letterings).

4.2.4. Additionally, an e-copy of the final manuscript must also be submitted to the college library. Clearance for graduation will not be given to students who fail to submit the copies of their final manuscripts.

4.3. Faculty Members

4.3.1. The faculty members are usually required by their funding agency to submit a terminal report. In such cases, they must follow the format prescribed by that agency.

4.3.2. They should submit their study for publication. If the study has an intellectual property component, they consult the Technology Transfer and Business Development Office (TTBDO) prior to publication.

5. Research Database

5.1. About the UPCP Research Database

This database contains all information about the researches conducted by the faculty members, graduate, and undergraduate students of the College of Pharmacy University of the Philippines (c 2016). This updated database is comprised of three files:

5.1.1. UPCP Research Database 01 (Research Info):This Google Sheet file is a pre-filled form (data until 2019 migrated from the existing UPCP research database) which can be updated individually by the faculty members. This contains general information about a particular research project registered with the Research Grants and Administration Office (RGAO). Research Database 01

5.1.2. UPCP Research Database 02 (Research Outputs): This is an editable Google Sheet Research Database 02, where the data about the verified and validated entry in Research Database 01 can be updated by the faculty members with the information about the presentation, publication, or application for patent of the research output.

5.1.3. UPCP Research Database 03 (Verified and Approved): This is a view only file where the faculty can look at the verified and approved database entry made. Research Database 03

5.2. Entering and Updating Research Data:

5.2.1. Only faculty members from the College of Pharmacy can fill up and update the entries in the UPCP Research Database 01, 02, and 03.

5.2.2. It is highly recommended to regularly update the entries made in the database.

5.2.3. Filling of entries on Research Database 01 (Research Info):

5.2.3.1. Click the link to this file: Research Database 01.

5.2.3.2. Once you open the file, click the tab labeled with your initials.

5.2.3.3. Before making any entry, check if it is your name that is written in cell A1.

5.2.3.4. Read the “NOTES” (cell A3) to guide you properly in making any data entry.

5.2.3.5. Some may find their sheets pre-filled while some are still bare. In the case of the former, you just have to update the pre written information. In the case of latter, you must provide all information.

5.2.3.6. Cells right under each column heading contains specific instructions on data entry specific to that column.

5.2.3.7. Always check if you are still online while filling up the database. Do not make any entries while offline.

5.2.3.8. Upload the necessary document to the link provided in the database: RGAO certificates.

5.2.3.9. Then, copy the link and paste it to the corresponding cell under “B.2. Uploaded File(RGAO Certificate)“ column. Do the same to other columns where the link to uploaded files are asked.

5.2.3.10. After completing the entry for a RGAO registered research, make sure to click on the timestamp. Do the same whenever you make any updates on your entries.

5.2.4. Filling of entries on Research Database 02 (Research Outputs):

5.2.4.1. Click the link to this file: Research Database 02

5.2.4.2. Once you open the file, click the tab labeled with your initials.

5.2.4.3. Instructions for filling up each column is also provided in the row following the header rows.

5.2.4.4. Only entries that have been approved by the Research Committee can appear in UPCP Research Database 02.

5.2.4.5. You can enter the RGAO Certificate Number more than once if the research has been presented in a conference, published, and/or a patent has been applied for.

5.2.4.6. The red field means either the cell is blank and must be filled or you have entered data outside the prescribed format. Some fields are automatically blacked out depending on your response to a preceding cell. This means you don't have to enter anything on those blacked out fields. If applicable, upload the files asked.

5.2.4.7. After finishing the data input, don't forget to click on the timestamp. Do the same whenever you make some updates on your entries.

5.2.4.8. The last columns shall be accomplished by the Research Committee.

5.2.4.9. Once the entries you made are verified and approved, these will appear on the sheets for Paper Presentation Database, Publication Database, or Patent Database, all of which are on separate tabs within the same Google Sheet file for UPCP Research Database 02.

APPENDIX A
Thesis Proposal Format for Graduate/Undergraduate Students
(Manual Format & Style of NGOHS UP Manila)

Visit http://ngohs.upm.edu.ph/download/page/2/ for the full copy of the Manual of Format and Style

I. Organization of Contents—before the body, the following preliminary pages should appear in the indicated order, consecutively paginated in lower case Roman numerals, except for the title page.
   a. Blank sheet (not included in counting)
   b. Title page (included in counting, but no page number)
   c. Acknowledgement of Intellectual Property
   d. Certificate of acceptance of thesis/dissertation (ii, for graduate students)
   e. Approval sheet (iii, for graduate students)
   f. Table of contents (iii, for undergraduate students; iv, for graduate students)
   g. List of tables
   h. List of figures
   i. List of appendices
   j. Acknowledgment
   k. Abstract
   l. Chapter 1: Introduction (paginated using Arabic numerals starting from this point forward)
   m. Chapter 2: Theoretical background
   n. Chapter: Methodology
   o. Chapter 4: Results
   p. Chapter 5: Discussion
   q. Chapter 6: Conclusion and recommendations
   r. Bibliography (or References)

II. Title Page

APPENDIX 1.1.1: TITLE PAGE FOR THESIS

Analysis and Evaluation of Policies Implementing

Advanced Practice Nursing in the Philippines

A Master's Thesis Submitted to the

Faculty of the Graduate Program in Health Policy and Administration

College of Public Health

University of the Philippines Manila

In Partial Fulfillment of the Requirements

For the Degree of

Master of Arts in Health Policy Studies

Replace with your degree program

By

Vanessa Manila

April 2010

Permission is given for the following people to have access to this thesis:

Available to the general public	Yes
Available only after consultation with author/thesis adviser	No
Available only to those bound by confidentiality agreement	No

Student's signature:

Signature of thesis adviser:

III. Table of Contents

TABLE OF CONTENTS

IV. List of Tables/Figures

LIST OF TABLES

Table

V. Certificate of Acceptance of Thesis/ Dissertation for Graduate Students

UPM-NGOHS Form # 04
Certificate of Acceptance

NATIONAL GRADUATE OFFICE FOR THE HEALTH SCIENCES

University of the Philippines Manila
5/F UP Manila Main (Old NEDA) Building
Padre Faura corner Maria Orosa Streets, Ermita, Manila 1000 Philippines
Tel nos: 526-5870, 525-1495; Telefax: 525-1498; E-mail: ngohs@post.upm.edu.ph

CERTIFICATE OF ACCEPTANCE OF THESIS/DISSERTATION

The thesis/dissertation attached hereto, entitled _____

_____

prepared and submitted by _____, in partial fulfillment of the
name of student

requirements for the degree of _____ is accepted.
program/track/major

_____
Thesis/Dissertation Adviser

Accepted as partial fulfillment of the requirements for the degree of

_____

_____
(Dean)
College of _____
University of the Philippines Manila
Date _____

_____
(Director)
National Graduate Office for the Health Sciences
University of the Philippines Manila
Date _____

VI. Approval Sheet for Graduate Students

UPM-NGOHS Form # 03
Completion/Approval Sheet

NATIONAL GRADUATE OFFICE FOR THE HEALTH SCIENCES

University of the Philippines Manila
5/F UP Manila Main (Old NEDA) Building
Padre Faura corner Maria Orosa Streets, Ermita, Manila 1000 Philippines
Tel nos: 526-5870, 523-1495; Telefax: 525-1498; E-mail: ngohs@post.upm.edu.ph

APPROVAL SHEET

We, the members of the oral examination panel for _____
name of student
unanimously approve the thesis/dissertation entitled _____

_____

The thesis/dissertation attached hereto which was defended on _____
date and time

at _____, College of _____ , University of the
venue *degree-granting unit*

Philippines Manila for the degree of _____ is hereby accepted.
program degree/track/major

PANEL MEMBERS	SIGNATURE
_____ *Chair/Adviser*	_____
_____ *Reader/Critic*	_____
_____ *Member*	_____
_____ *Member*	_____
_____ *Member*	_____

We therefore recommend that _____ be awarded the degree of
name of student

_____ from the College of _____.
program degree/track/major *degree-granting unit*

Very truly yours,

_____
Panel Chairman/Adviser

Endorsed:

_____ _____
Dept. Chair/ Chair Graduate Program Committee *Dean*
Date _____ College of _____
Date _____

VII. Format of the Spine of the Printed Manuscript

LAST NAME OF AUTHOR	Title	DEGREE	SCHOOL	Year
MAANO	The Development and Use of Modules in Teaching Post Graduate Students at the Philippine General Hospital Dermatology Section	MHPEd	UP	2005

APPENDIX B
Endorsement Letter from the Thesis/Research Adviser, Department Chair and College

College of Pharmacy
University of the Philippines Manila

<date>

EDWARD HM WANG, MD MSc
Vice Chancellor for Research
University of the Philippines Manila

Re: Endorsement of the Undergraduate Thesis Proposal of <principal author et al.>

Dear Vice Chancellor Wang,

I am respectfully endorsing the application for undergraduate thesis fund of the research project/thesis proposal entitled <**title of thesis**> proposed by <**proponents of the research/thesis>** from the College of Pharmacy.

Their research aims to <Objectives of the Study><Summary of the Study>

The proposal has already undergone technical review by the thesis panel from the College. We are hoping for your favorable response.

Respectfully,

<Signature of Adviser>
<**Name of Thesis Adviser>**
<*designation*>
<Department>
College of Pharmacy

Endorsed by:

<Signature of Department Chair>
<**Name of Department Chair>**
*Chair***,** <Name of Department>
College of Pharmacy

<Signature of Dean>
<**Name of Dean>**
Dean
College of Pharmacy

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX C
UPCP Undergraduate Research/Thesis Proposal Certificate of Approval

College of Pharmacy
University of the Philippines Manila

UNDERGRADUATE RESEARCH/ THESIS PROPOSAL
CERTIFICATE OF APPROVAL

Name of Student/s:_____

Degree:_____

Title of Research/ Thesis
Proposal:_____

_____

If not a thesis proposal, indicate subject:_____

Date of Presentation:_____

Venue:_____

The panel voted as follows (*Write the printed name in the blanks provided and write the signature as a sign of approval or disapproval.)*

	For Approval	*For Disapproval*
_____ *Adviser*		
_____ *Critic*		
_____ *Panel Member*		
Decision (please check):	_____Passed	_____Failed

Additional remarks:_____

_____

NOTE: Please accomplish this form in 3 copies for the College Research Committee, Adviser/Instructor/Student

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX D
UPM-NGOHS Result Proposal Form

UNIVERSITY OF THE PHILIPPINES MANILA
National Graduate Office for the Health Sciences
3/F Joaquin Gonzales Building, Padre Faura cor. Maria Orosa St., Ermita, Manila 1000 Philippines
Tel: (632) 88141248 ● Email: upm-ngohs@up.edu.ph ● Website: ngohs.upm.edu.ph

RESULT PROPOSAL

Date:_____

Leslie Michelle M. Dalmacio, PhD
OIC-Director, NGOHS
University of the Philippines Manila

Through PROPER CHANNELS

Dear **Dr. Dalmacio:**

We have the honor to inform you that the undersigned served in the oral examination of _____, a _____
name of student *program degree/track/major*
candidate who presented his/her dissertation/thesis proposal entitled "_____" **on** _____ at _____ College of **Pharmacy**
date and time *venue* *degree-granting unit*

University of the Philippines Manila, and voted as follows:

PANEL MEMBERS	FOR APPROVAL	FOR DISAPPROVAL
_____ *Chair/Adviser*	_____	_____
_____ *Reader/Critic*	_____	_____
_____ *Member*	_____	_____
_____ *Member*	_____	_____

Committee's Decision: **( ) PASSED** **( ) FAILED**

Additional Remarks: _____

Very truly yours,

_____
Panel Chairman/Adviser

Endorsed:

_____ _____
Dept. Chair/ Chair Graduate Program Committee *Dean,* College of Pharmacy
Date _____ Date _____

Please fill up in triplicate.

APPENDIX E
Sample RGAO Certificate

UNIVERSITY OF THE PHILIPPINES MANILA
Research Grants Administration Office
G/F Room 111 National Institutes of Health Building, UP Manila, 623 Pedro Gil St., Ermita, Manila 1000, Philippines
Tel: (632) 85672054 ● Email: rgao@post.upm.edu.ph

CERTIFICATE OF REGISTRATION

Research Title	A Systematic Review of the Influence of Social Media on COVID-19 Vaccine Perception and Acceptance
Principal Investigator	Katrina Elisa S. Oberio
Co-investigator(s)	Franchesca Marie S. Parfan, Yves Lance Daniel F. Reyes, Sean Aldridge G. Solis, Shiela May J. Nacabu-an RPh MHPEd (Adviser)
Status at Time of Registration	Proposal
Date of Registration	June 2, 2022
RGAO Reference No.	RGAO-2022-0569 Note: For ease of identification, please use this assigned RGAO Reference Number for all communications with RGAO that is related to this research.

This is to certify that the abovementioned research is registered with the Research Grants Administration Office for records purposes. However, this does not equal to nor guarantee technical and/or ethics review approval.

MARK ANTHONY S. SANDOVAL, MD
Head, Research Grants Administration Office
Office of the Vice Chancellor for Research, UP Manila

APPENDIX F
UPCP Undergraduate Thesis Approval Sheet

College of Pharmacy
University of the Philippines Manila

UNDERGRADUATE THESIS APPROVAL SHEET

We, the members of the oral examination panel for **<name of student/s>**, unanimously approve the thesis entitled <**Title of Thesis>.** This thesis/research which was defended on **<date of presentation>** at the **<venue>**, College of Pharmacy University of the Philippines Manila for the degree <**name of degree>** is hereby accepted.

PANEL MEMBERS	SIGNATURE
_____ *Chair/Adviser*	_____
_____ *Critic*	_____
_____ *Member*	_____

We therefore recommend that **<name of student/s** be awarded the degree of **<name of degree>** from the College of Pharmacy.

Very truly yours,

_____
Panel Chair/Adviser

Endorsed:

_____
Chair,<Department>
Date: _____

_____
Dean, UP College of Pharmacy
Date: _____

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX G
UPM-NGOHS Approval Sheet for Thesis

UNIVERSITY OF THE PHILIPPINES MANILA
National Graduate Office for the Health Sciences
3/F Joaquin Gonzales Building, Padre Faura cor. Maria Orosa St., Ermita, Manila 1000 Philippines
Tel: (632) 88141248 ● Email: upm-ngohs@up.edu.ph ● Website: ngohs.upm.edu.ph

APPROVAL SHEET

We, the members of the oral examination panel for _____
name of student
unanimously approve the thesis/dissertation entitled _____

_____

The thesis/dissertation attached hereto which was defended on _____ at _____
date and time *venue*
College of _____ , University of the Philippines Manila for the degree of
degree-granting unit
_____ is hereby accepted.
program degree/track/major

PANEL MEMBERS	SIGNATURE
_____ *Chair/Adviser*	_____
_____ *Reader/Critic*	_____
_____ *Member*	_____
_____ *Member*	_____
_____ *Member*	_____

We therefore recommend that _____ be awarded the degree of
name of student
_____ from the College of _____.
program degree/track/major *degree-granting unit*

Very truly yours,

_____
Panel Chairman/Adviser

Endorsed:

_____ _____
Dept. Chair/ Chair Graduate Program Committee *Dean,* College of _____
Date _____ Date _____

APPENDIX H
Notice of Completion/Termination of Study

College of Pharmacy
University of the Philippines Manila

NOTICE OF COMPLETION/TERMINATION OF STUDY

<date>

<NAME OF COLLEGE RESEARCH COMMITTEE CHAIR>
Chairman
Research Committee
UP College of Pharmacy

Dear <Name>,

This is to inform you that the study entitled <**title of research**> by <**name of investigators>** has been <accomplished/terminated> last <date of completion/termination>. (If terminated prior prematurely, state the reason for termination. If completed, indicate any plans of utilization such as presentation, publication or application for patent).

Respectfully,

<Signature of Principal Investigator>
<**Name of Principal Investigator>**
<*designation*>
<Department>
College of Pharmacy

(*If applicable)*

Noted by:

<Signature of Thesis Adviser>
<**Name of Thesis Adviser>**
<*designation*>
<Department>
College of Pharmacy

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX I-1
Letter of Approval by the College Technical Review Board

College of Pharmacy
University of the Philippines Manila

Approval by the College Technical Review Board

<date>

<Name of Principal Investigator>
Principal Investigator
<Department>
College of Pharmacy

Dear **<name>**

We are pleased to inform you that your project proposal entitled <**Title of Protocol Proposal**> has been reviewed by the College Technical Review Board. Your revised project proposal satisfied the comments and recommendations made by the Board.

Furthermore, we are happy to endorse your project proposal to the <designated office for the funding agency>.

_____
Member
Technical Review Board
UP College of Pharmacy

_____
Member
Technical Review Board
UP College of Pharmacy

_____
Chair
Technical Review Board
UP College of Pharmacy

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX I-2
Letter of Endorsement from the College Technical Review Board

College of Pharmacy
University of the Philippines Manila

<date>

EDWARD HM WANG, MD MSc
Vice Chancellor for Research
University of the Philippines Manila

Re: Endorsement of the Research Proposal of <principal author et al.>

Dear Vice Chancellor Wang,

This is to respectfully endorse the project proposal by **<name of principal author>** entitled <**title of the proposal>** This project proposal has undergone the following:

1. Review by the College Technical Review Board with comments and recommendations forwarded to the proponent; and
2. Revision of the proposals done by the proponent based on the comments and recommendations by the Board.

Thank you very much.

Very truly yours,

_____
<Name of Chairman of Technical Review Board>
Chair, College Technical Review Board
College of Pharmacy

Endorsed by:

_____
<Name of Department Chair>
Chair, <Name of Department>
College of Pharmacy

_____
<Name of Dean>
Dean
College of Pharmacy

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX J

Procedure for Application for Registration for Self-Employed and Mixed Income Individuals

Directly lifted (August 30, 2022) from the Bureau of Internal Revenue (BIR) website:
https://www.bir.gov.ph/index.php/registration-requirements/primary-registration/application-for-tin.html

DESCRIPTION

Any person, whether natural or juridical, required under the authority of the Internal Revenue Code to make, render or file a return, statement or other documents, shall be supplied with or assigned a Taxpayer Identification Number (TIN) to be indicated in the return, statement or document to be filed with the Bureau of Internal Revenue, for his proper identification for tax purposes (Sec. 236 (i) of the Tax Code

FOR SELF-EMPLOYED AND MIXED INCOME INDIVIDUALS

Tax Form
BIR Form 1901- Application for Registration for Self-Employed and Mixed Income Individuals, Non-Resident Alien Engaged in Trade/Business, Estates/Trusts

Documentary Requirements

- BIR Form No. 1901 version 2018;
- Any identification issued by an authorized government body (e.g. Birth Certificate, passport, driver's license, Community Tax Certificate) that shows the name, address and birthdate of the applicant;
- Payment of P500.00 for Registration Fee and P30.00 for loose DST or Proof of Payment of Annual Registration Fee (ARF) (if with existing TIN or applicable after TIN issuance);
- BIR Printed Receipts/Invoices or Final & clear sample of Principal Receipts/ Invoices;

Other documents for submission only if applicable:

- Special Power of Attorney (SPA) and ID of authorized person, in case of authorized representative who will transact with the Bureau;
- DTI Certificate (if with business name);
- Franchise Documents (e.g. Certificate of Public Convenience) (for Common Carrier);
- Photocopy of the Trust Agreement (for Trusts);
- Photocopy of the Death Certificate of the deceased (for Estate under judicial settlement);
- Certificate of Authority, if Barangay Micro Business Enterprises (BMBE) registered entity;
- Proof of Registration/Permit to Operate BOI/BOI-ARMM, PEZA, BCDA and SBMA

Procedures

1. Accomplish BIR Form 1901 version 2018 and submit the same together with the documentary requirements with the New Business Registrant Counter of the RDO having jurisdiction over the place where the head office and branch, respectively.

2. Pay the Annual Registration Fee (P500.00), loose DST (P30.00) and/or payment for the BIR Printed Receipt/Invoice (if taxpayer opted to buy for use) at the New Business Registrant Counter in the BIR Office.

3. The RDO shall then issue the Certificate of Registration (Form 2303) together with the "Notice to Issue Receipt/Invoice", Authority to Print, BIR Printed Receipts/Invoices (if applicable) and eReceipt as proof of payment.

Note: Taxpayer may attend the scheduled initial briefing for new business registrants to be conducted by the concerned RDO in order to apprise them of their rights and duties/responsibilities.

Individual business taxpayer may also submit application via electronic mail through BIR New Business Registration (NewBizReg) Portal.

Deadline

› All Individuals engaged in trade or business shall accomplish and file the application on or before the commencement of business, it shall be reckoned from the day when the first sale transaction occurred or within thirty (30) calendar days from the issuance of Mayor's Permit/Professional Tax Receipt (PTR) by LGU, whichever comes earlier

APPENDIX K
Authorship Agreement Form

College of Pharmacy
University of the Philippines Manila

Authorship Agreement Form

The criteria for authorship attribution is defined by the Research Manual of UP Manila College of Pharmacy, under Section 4.3 on Authorship, to wit:

1. Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
2. Drafting the work or revising it critically for important intellectual content; AND
3. Final approval of the version to be published; AND
4. Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

By this definition, the author(s) of the research output entitled:

(Title of Research Output)

is/are the undersigned, and there are no other qualified authors, unless written permission has been obtained from a qualified author to be excluded from the authorship list. The contribution of the undersigned are as follows:

(List the contribution of the authors here)

and thereby agree to the order of authorship as will appear in the said research output:

(Enumerate the authors in order of appearance in the authorship billing)

All authors agree that they have met the above criteria for authorship and are satisfied with the order in which the authors' names appear in the research output. Furthermore, all authors agree to be accountable for the content of the research output and approve of the version that will be submitted for publication.

(This statement appears if there are contributors who do not qualify as authors to the work) The names of all contributors who have expressed their willingness to be named affixes their signature on the space provided below.

Declaration of Authorship

Name of Author	Author Affiliation	Signature of Author	Date Signed

(Add rows if necessary)

Consent of Acknowledgement by Name *(if applicable)*

I consent to have my name listed in the acknowledgements section of the above research output

Name of Person being Acknowledged	Signature	Date Signed

(Add rows if necessary)

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 525-4434
Telefax: (+632) 526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX L-1
UPM IBBC Form 1

	University of the Philippines Manila **NATIONAL INSTITUTES OF HEALTH** **INSTITUTIONAL BIOSAFETY AND BIOSECURITY COMMITTEE** G/F NIH Bldg. 623 Pedro Gil St., Ermita, Manila 1000 Philippines Tel Nos: (632) 5264266; (632) 5264349 Telefax No: (632) 5250395 Web-site:http://nih.upm.edu.ph/nihrdms	UPM-IBBC Guidelines in Biosafety and Biosecurity FORM 1

OFFICE OF THE VICE-CHANCELLOR FOR RESEARCH

INSTITUTIONAL BIOSAFETY COMMITTEE
BIOHAZARD DECLARATION AND RISK ASSESSMENT FOR RESEARCH WORK

INSTRUCTIONS: The **principal investigator** is responsible for completing this form and must be submitted to the Biosafety Officer for comments and review.

A. RESEARCH PROJECT TITLE

B. PRINCIPAL INVESTIGATOR AND CO-INVESTIGATORS

Name of Principal Proponent/ Co-investigators	Designation / Title	Institution/ (Affiliation)	Email address and phone number (mobile and landline)	Qualification (degree(s) training experience)

C. BRIEF DESCRIPTION OF RESEARCH AND OBJECTIVES -Attach a brief capsule proposal (not more than 600 words) containing the significance of the study, objectives and methodology.

D. DECLARATION OF POTENTIALLY HAZARDOUS BIOLOGICAL AGENTS

D1. Type of potentially hazardous biological materials and agents to be used in the study, list the following that is applicable: *(bacteria, fungus, parasite, virus, rickettsia, prion, toxin of biological origin, human blood/tissue/body fluids/cells, non-human blood/tissue/body fluids/cells, rDNA, vectors, and others*), add rows if necessary.	D2. Source	D3.Genus/species/strain (if applicable)	D4. Quantity	D5. Risk Group (if applicable)

F. PATHOGENIC AGENT INFORMATION (In a separate sheet, indicate the following for each pathogenic agent):

F1. Route of Transmission: (airborne, ingestion, parenteral, vector-borne (specify), fomites, others
F2. Pathogenicity: (potential pathogen, opportunistic pathogen, non-pathogenic, unknown
F3. Disease(s) caused by agent(s):
F4. Host range: (humans, animals (specify), plants (specify), unknown
F5. Infectious Dose: for humans, for animals, unknown
F6. Incubation Period:
F7. Natural Reservoir:
F8. Survival Outside Host:
F9. Communicability:
F10. Recommended decontamination procedure/disinfectant:
F11. Recommended Biosafety Level:

G.DESCRIPTION OF LABORATORY

G1. Name and Location of Laboratory	
G2. Biosafety level of laboratory (BSL1 to 3, ABSL1 to 3, not determined) _____	
G3. Administrative controls present in the laboratory	(available/not available)
G3.1 access doors posted with biohazard information	
G3.2 training of all personnel with potential exposure	
G3.3 medical surveillance	
G3.4 standard operating procedures	

H. DECLARATION OF LABORATORY AND PROCEDURAL HAZARDS

Identify primary laboratory hazard *(inhalation, ingestion, penetration thru skin, contact with mucous membranes of eyes, nose and mouth, allergens, etc.)*	Indicate specific procedures/activity corresponding to potential hazard (i.e. pipetting, flaming of loop, vortex mixing, centrifugation, disposal of animal bedding, etc.)	Describe the procedures/equipment that will be used to minimize risk. (i.e standard and special microbiological practices, primary containment, personal protective equipment, biosafety cabinet type and certification, etc.)

Other special precautions:

I. DECLARATION OF POTENTIALLY INFECTIOUS WASTES AND DESCRIPTION OF METHODS FOR THE DECONTAMINATION AND DISPOSAL PROCEDURES

(Enumerate all potentially infectious wastes generated and described decontamination method and disposal for each).

J. RESEARCH BIOSECURITY

J1. Does the research has the potential for dual-use?

____ yes ___ no ___ not determined

J2. Describe the mechanisms in place to prevent unauthorized access to research materials (i.e. lab locked when no one is present, entry log/card key access, locked incubators/refrigerators/freezers etc., security alarm system, inventory log, logging of visitors, escorting of visitors, etc.)

Prepared by:

PRINCIPAL INVESTIGATOR	SIGNATURE	DATE

Noted by:

BIOSAFETY OFFICER	SIGNATURE	DATE
DEPARTMENT CHAIR	SIGNATURE	DATE
DEAN	SIGNATURE	DATE

APPENDIX L-2
UPM IBBC Form 2

	University of the Philippines Manila **NATIONAL INSTITUTES OF HEALTH** **INSTITUTIONAL BIOSAFETY AND BIOSECURITY COMMITTEE** G/F NIH Bldg. 623 Pedro Gil St., Ermita, Manila 1000 Philippines Tel Nos: (632) 5264266; (632) 5264349 Telefax No: (632) 5250395 Web-site:http://nih.upm.edu.ph/nihrdms	UPM-IBBC Guidelines in Biosafety and Biosecurity FORM 2

OFFICE OF THE VICE-CHANCELLOR FOR RESEARCH

INSTITUTIONAL BIOSAFETY COMMITTEE

BIOHAZARD DECLARATION AND RISK ASSESSMENT FOR LABORATORY WORK

INSTRUCTIONS: The **laboratory manager/supervisor** is responsible for completing this form and must be submitted to the Biosafety Officer for comments and review.

A. NAME AND LOCATION OF LABORATORY (indicate room number, building, department and unit)

B. LABORATORY PERSONNEL

Name	Highest Educational Attainment	Brief Description of Tasks	years of service	relevant training and experience in lab work and biosafety practices	immunization record

C. BRIEF DESCRIPTION OF LABORATORY AND ACTIVITIES

D. DECLARATION OF POTENTIALLY HAZARDOUS BIOLOGICAL MATERIALS

D1. Enumerate the potentially hazardous biological materials manipulated/stored *human and non-human blood,tissue, body fluids/cells, rDNA, vectors, and others*), add rows if necessary.	D2. Source/s	D3. Tests conducted	D4. potential pathogen/s present

E. DECLARATION OF POTENTIALLY HAZARDOUS BIOLOGICAL AGENTS

E1. list the pathogens manipulated/stored in the lab *(name of bacteria, fungus, parasite, virus, rickettsia, prion, toxin of biological origin)* add row if necessary	E2. Source/s	E3. Genus/species/strain

F. DECLARATION OF BIOBANKED AGENTS

F1. Enumerate and specify what materials/agents are stored	F2. source/s	F3. quantity stored	F4. purpose of storing material	F5. Are there any records available for reference of stored materials?

G. DECLARATION OF LABORATORY AND PROCEDURAL HAZARDS

G1. Identify primary laboratory hazard *(inhalation, ingestion, penetration thru skin, contact with mucous membranes of eyes, nose and mouth, allergens, etc.)*	G2. Indicate specific procedures/activity corresponding to potential hazard (i.e. pipetting, flaming of loop, vortex mixing, centrifugation, disposal of animal bedding, etc.)	G3. Describe the procedures/equipment that you use to minimize risk. (i.e standard and special microbiological practices, primary containment, personal protective equipment, biosafety cabinet, etc.)

H. LIST OF EQUIPMENT IN THE LABORATORY

H1. Enumerate and specify name of equipment	H2. describe purpose or use	H3. Indicate if used with potentially infectious material/s, specify what material

I. DECLARATION OF WASTES GENERATED AND DESCRIPTION OF PROCEDURES FOR DECONTAMINATION AND DISPOSAL PROCEDURES
(Describe the method of disposal of all cultured materials and other potentially hazardous biological agents).

I1. Specify and enumerate wastes generated	I2. indicate of infectious or non-infectious	I3. procedure for decontamination	I4. procedure for disposal

J. TRANSPORT OF BIOLOGICAL MATERIALS

J1. Enumerate and specify what potentially material/s are transported out of the laboratory	J2. Location/s to where material are transported	J3. Describe briefly procedure/s for packing

Prepared by:

LABORATORY MANAGER/SUPERVISOR _____ SIGNATURE _____ DATE _____

Noted by:

BIOSAFETY OFFICER _____ SIGNATURE _____ DATE _____

DEPARTMENT CHAIR _____ SIGNATURE _____ DATE _____

DEAN _____ SIGNATURE _____ DATE _____

APPENDIX M-1
UPM IACUC Application Process

UNIVERSITY OF THE PHILIPPINES MANILA
OFFICE OF THE VICE-CHANCELLOR FOR RESEARCH
NATIONAL INSTITUTES OF HEALTH
G/F National Institutes of Health Bldg., 623 Pedro Gil St. Ermita, Manila 1000 Philippines
Tel Nos: (632) 5264266; (632) 5264349 Telefax No: (632) 5250395 Website: http://nih.upm.edu.ph

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

Revised IACUC Protocol Review Workflow

STEP 1. Register online to RGAO at http://rgao.upm.edu.ph/registration
STEP 2. Accomplish IACUC Appendix D Form.
STEP 3. Accomplish BAI Annex B Form and the required documents.

↓

STEP 4. Submit two (2) hard copies of the accomplished IACUC Appendix D together with a copy of the RGAO certificate of registration enclosed in brown envelope to the IACUC Secretariat.
STEP 5. Submit one (1) hard copy of the accomplished BAI Annex B and Appendix 1 Forms and the required documents enclosed in separate brown envelope to IACUC. Php. 100.00 will be collected and an acknowledgement receipt will be issued. The official receipt will be provided by the Bureau of Animal Industry.
STEP 6. Email all documents to upm.iacuc.nih@gmail.com.

↓

STEP 7. IACUC Chair assigns the reviewer of the protocol. Summarized comments and recommendations will be emailed to the proponent(s).

↓

STEP 8. Proponent(s) must revise the protocol based on minor/major comments and recommendations. Submit one (1) hard copy to the IACUC Secretariat and email soft copy to upm.iacuc.nih@gmail.com.

↑

REVISION SATISFACTION

← NO

↑ YES

STEP 9. Letter will be sent to the proponents notifying them that the protocol has been granted approval for implementation. IACUC will submit forms to BAI.

↑

STEP 10. The proponent must submit a final report signed by the adviser, technical review board and the attending Veterinarian to the IACUC Secretariat for issuance of the Certificate of Approval signed by the Vice-Chancellor for Research.

APPENDIX M-2
UPM IACUC Application Form

To be filled by IACUC ADMIN OFFICER
Date: _____
Received By: _____
Purpose: _____

UNIVERSITY OF THE PHILIPPINES MANILA
OFFICE OF THE VICE-CHANCELLOR FOR RESEARCH

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE
ANIMAL USE PROTOCOL

REMINDERS TO PROPONENTS:

1. Draft of the animal protocol **must be submitted for pre-review not less than 2 weeks prior to the IACUC monthly meeting** (every 2nd Monday of the month). This is to allow ample time for the Chair to pre-review the protocol and the proponent to make satisfactory updates and revisions. A soft copy of the draft should also be e-mailed to the secretariat at upm.iacuc.nih@gmail.com.

2. As the pre-review will also serve as a form of consultation, it will be conducted simultaneous to the processing of papers with RGAO (Proponent may attach the draft of the protocol when submitting papers to RGAO).

3. The Chair, thru the secretariat, will advise the proponent if the protocol is approved for committee review. Only then will the proponent make 9 copies of the protocol for submission to the secretariat.

4. Copies of the protocol for committe review should be submitted to the IACUC secretariat the last Friday prior to monthly meeting, otherwise it will be scheduled on the next montlhy meeting.

5. Protocols should satisfy all the following requirements before being included in the list of protocols for review by the committee:
   a. Endorsement for review from the REB/RGAO indicating proposal is registered with RGAO.
   b. Protocols should have undergone pre-review with the required revisions accepted and approved by the Chair
   c. 9 copies submitted to the secretariat the last friday prior to the monthly meeting

A. RESEARCH PROJECT TITLE

B. PRINCIPAL INVESTIGATOR AND CO-INVESTIGATORS
(Name of principal proponent and co-investigators, designation/ title and affiliate institution)

Name of Principal Proponent/ Co-investigators	Designation / Title	Institution/ (Affiliation)	Email address and phone number (mobile and landline)	Qualification (degree(s) training experience)

C. PURPOSE OF STUDY

☐ **For research,** (select type/s) ☐ Basic ☐ Applied ☐ Epidemiological ☐ Wildlife ☐ Others

☐ **For teaching**

D. STUDY OBJECTIVES

E. RESEARCH PROJECT DURATION *specify start and end of study (month/year)*

F. BACKGROUND AND SIGNIFICANCE OF THE PROCEDURE OR RESEARCH

G. DESCRIPTION OF METHODOLOGIES/ EXPERIMENTAL DESIGN

1. Animals species and strain/breed

2. Source of animals

3. Location where animals will be housed and scientific procedures will be conducted

4. Reason/basis for selecting animal species

5. Sex, age and number of animals

6. Quarantine and/or acclimatization or conditioning process

7. Animal housing and animal care procedures

7.1 *describe primary enclosure (caging) to include cage dimensions and material, number of animals per cage, type of beddings used*

7.2 *describe cleaning method and frequency of cleaning of primary enclosure*

7.3 *describe provisions for maintenance of room temperature, humidity, ventilation and lighting*

7.4 *describe provisions for feeds and water*

8. Experimental or animal manipulation methods - *list down and describe all methods that will be done in a live animal and attach schematic diagram of study design*

8.1 list of animal manipulation methods in the study to include detailed description of procedure

8.2 list of materials (drugs, extracts,bacteria, etc.) that will be given/introduced to the animal to include description of route of administration, frequency, volume, and method of restraint

8.3 list of hazardous materials (chemical, biological, radioactive, etc.) that will be used in the study. For each indicate the potential hazards and threats to human, animal, and environmental health, routes of exposure and specify plans and procedures to mitigate the risks posed by the hazard identified.

8.4 list of specimen or biological agent (blood, urine, etc.) to be collected from a living animal to include description of collection method, frequency, volume, site of collection and method of restraint

8.5 description of use of anesthetics to include name of drug, dosage, and route of administration

8.6 Surgical procedures (type and purpose)

9. Plans on what to do with the animals after the study/scientific procedure.

H. Is there a non-animal model applicable for the procedure/study? If so, please provide the reasons for not using it.
I. Indicate the names and qualifications of all personnel who will be responsible for conducting the procedures *-specify who will conduct/supervise for every procedure indicated in the protocol*
J. REFERENCES - *include literature used as guide for animal care and use*

DECLARATION BY THE RESPONSIBLE PERSON:

I ACCEPT RESPONSIBILITY FOR ASSURING THAT THE PROCEDURES/ STUDY WILL BE CONDUCTED IN ACCORDANCE WITH THE APPROVED PROTOCOL.

I ASSURE THAT ALL PERSONNEL WHO USE THIS PROTOCOL AND WORK WITH ANIMALS HAVE RECEIVED APPROPRIATE TRAINING/ INSTRUCTIONS IN PROCEDURAL AND HANDLING TECHNIQUES, AND ON ANIMAL WELFARE CONSIDERATIONS.

I AGREE TO OBTAIN WRITTEN APPROVAL FROM THE INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE PRIOR TO MAKING ANY CHANGES AFFECTING MY PROTOCOL. I ALSO AGREE TO PROMPTLY NOTIFY THE IACUC IN WRITING OF ANY EMERGENT PROBLEMS THAT MAY ARISE IN THE COURSE OF THIS STUDY, INCLUDING THE OCCURRENCE OF ADVERSE SIDE EFFECTS.

Signature of Investigator

_____ Date _____

Noted by Technical Review Board/Committee of College/Department/Unit

_____ Date _____

Noted by the IACUC Chair

_____ Date _____

APPENDIX M-3
BAI Application for Authorization

BAI Annex B

APPLICATION FOR AUTHORIZATION

(For the Conduct of Scientific Procedures Using Animals)

1. Name of Entity: _____
2. Address: _____
_____
3. Telephone Nos.: _____ Fax Nos.: _____
4. Name and Position of Representative Person:

_____
Last Name First Name Middle Name

Position: _____

Entity is the laboratory or school. If the study will be conducted outside UP Manila, specify that it is a collaboration with the lab/school.
Address is the address of UP Manila.

Representative Person(s):
Principal Investigator and Thesis adviser or co-investigator
NOTE: Please remove this box.

5. Purpose of the Conduct of Scientific Procedures (encircle one or more):
    a. Biomedical research, experiment, studies, investigation (including pre-clinical research)
    b. Teaching and instruction
    c. Product testing
    d. Production of antisera or other biological

6. Identify the Key Institutional Representatives (including the ACUC Chairperson, veterinarians, and researchers):
    a. Dean of the College:
    b. Department Head:
    c. IACUC Chair:

Institutional Representatives include:
Dean
Department Head
IACUC Chair: DR. ROHANI B. CENA
NOTE: Please remove this box

I certify that the statements made herein are correct and true.

_____ _____
Signature of representative Signature of head of Institution

Date: _____ Date: _____

Your signature. The Dean is the head of Institution.
NOTE: Please remove this box.

Note: This application should be accompanied by the requirements stipulated in Section 4 of the Administrative Order.

APPENDIX M-4
BAI Animal Care and Use Statement

BAI Appendix 1

ANIMAL CARE AND USE STATEMENT
(Protocol Review Form)

I. PROCEDURE(S) OR TITLE OF RESEARCH/STUDY:

II. PURPOSE/OBJECTIVES:

III. DURATION OR TIME FRAME:

IV. RESPONSIBLE PERSON OR PRINCIPAL INVESTIGATOR:

a. NAME
b. QUILIFICATION (degree(s) or training experience)

V. BACKGROUND AND SIGNIFICANCE OF THE PROCEDURE OR RESEARCH:
(Include a description of the biomedical characteristics of the animals which are essential to the proposed procedure/research and indicate evidence of experiences with the proposed animal model)

VI. DESCRIPTION OF METHODOLOGIES/EXPERIMENTAL DESIGN:
This section should establish that the proposed procedures/research is well designed scientifically and ethically. The following should be indicated or described:

A. Type of animal to be used (species)
B. Source of the animals
C. Reason/basis for selecting the animal species
D. Sex and number of animals (justify the number of animals)
E. Quarantine and/or acclimation or conditioning process
F. Animal care procedures
    1. Cage type
    2. Number of animals per cage
    3. Cage cleaning method
    4. Room temperature, humidity, ventilation and lighting
    5. Animal diet and feeding and watering method

G. Experimental or animal manipulation methods

1. General description of animal manipulation methods *(including method of conditioning)*
2. Dosing method *(including frequency, volume, route, method of restraint and expected outcome or effects)*
3. Specimen or biological agent (blood, urine, etc.) collection method *(including frequency, volume, route and method of restraint)*
4. Animal examination procedures and frequency of examinations *(including restraining method)*
5. Use of anesthetics *(including drug, dosage, frequency)*
6. Surgical procedures *(types and purpose)*
    a. Where will surgery be performed

    b. Description of supportive care and monitoring procedures during and after surgery

    c. Description of measures for possible post-surgical complications

    d. Name(s) of surgeons and their qualifications and relevant experiences

7. If euthanasia of animals will be done, indicate/describe the method selected

H. Is there a non-animal model applicable for the procedure/study? If so, please provide the reasons for not using it.

I. Indicate the names and qualification of all personnel who will be responsible for conducting the procedures.

VII. DECLARATION BY THE RESPONSIBLE PERSON:

I ACCEPT RESPONSIBILITY FOR ASSURING THAT THE PROCEDURES/ STUDY WILL BE CONDUCTED IN ACCORDANCE WITH THE APPROVED PROTOCOL.

I ASSURE THAT ALL PERSONNEL WHO USE THIS PROTOCOL AND WORK WITH ANIMALS HAS RECEIVED APPROPRIATE TRAINING/ INSTRUCTIONS IN PROCEDURAL AND HANDLING TECHNIQUES, AND ON ANIMAL WELFARE CONSIDERATIONS.

I AGREE TO OBTAIN WRITTEN APPROVAL FROM THE INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE PRIOR TO MAKING ANY

CHANGES AFFECTING MY PROTOCOL. I ALSO AGREE TO PROMPTLY NOTIFY THE IACUC IN WRITING OF ANY EMERGENT PROBLEMS THAT MAY ARISE IN THE COURSE OF THIS STUDY, INCLUDING THE OCCURRENCE OF ADVERSE SIDE EFFECTS.

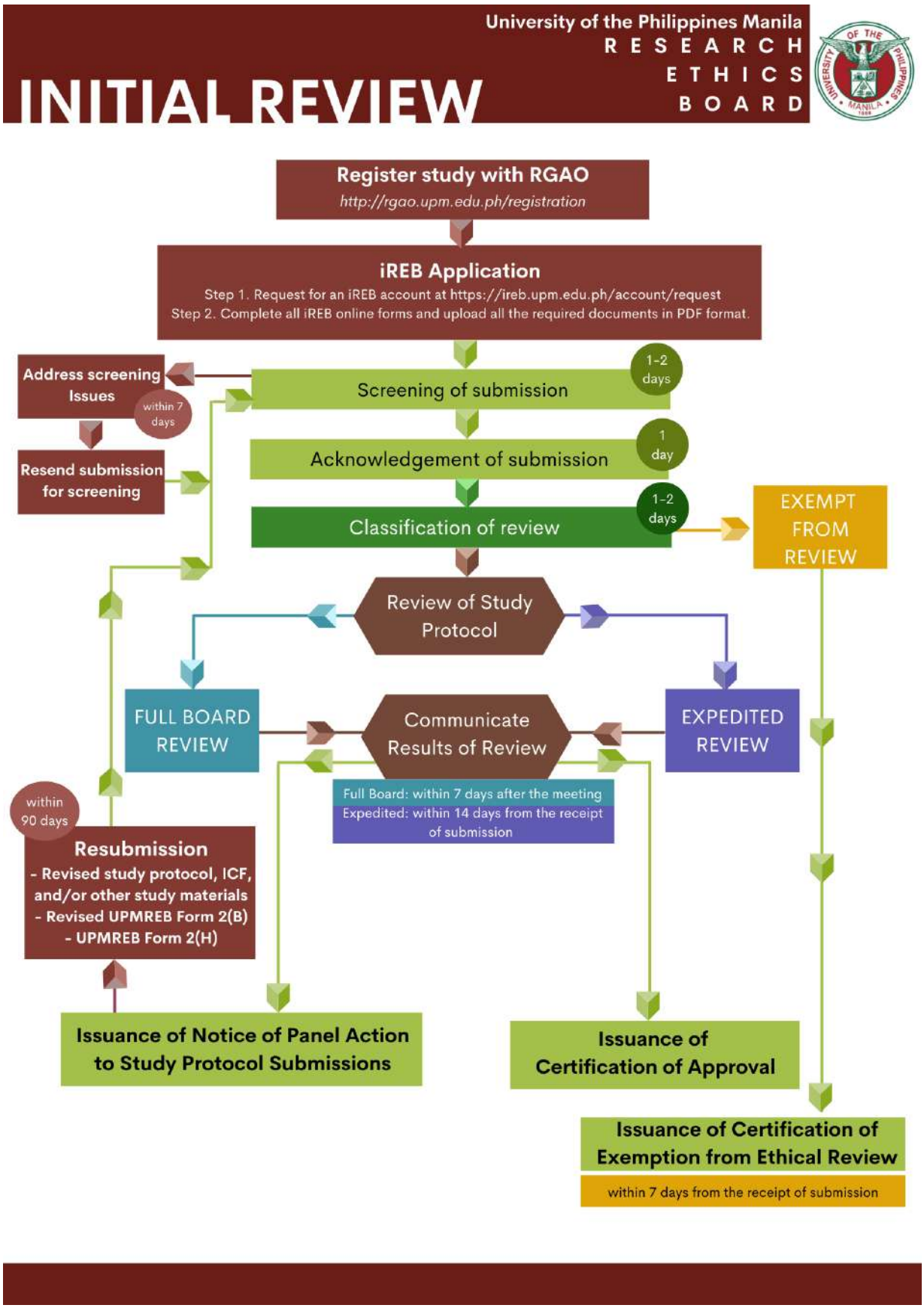
Signature of the Responsible Person:

_____ Date_____

Noted by the IACUC Chairman

_____ Date _____

APPENDIX N-1
Process Flow of Registration to UPMREB



APPENDIX N-2
UPMREB Review Checklist

Review Checklist

STUDY PROTOCOL INFORMATION

Reference Number:[1]	
UPMREB Code:[2]	
Study Protocol Title:	
Principal Investigator:	<Title, Name, Surname>
Study Protocol Submission Date: *(to be accomplished by UPMREB Staff)*	<dd/mm/yyyy>
Verified Complete by: *(to be accomplished by UPMREB Staff)*	<Signature over Printed Name>
Classification of Review: *(to be accomplished by UPMREB)*	☐ **EXPEDITED** ☐ **FULL BOARD**
Classified by the: ☐ **UPMREB CHAIR** ☐ **UPMREB COORDINATOR**	<Signature over Printed Name>

Basic Documents (must submit)

- ☐ Review Checklist **[UPMREB FORM 2(A)2012]**
- ☐ Printed Registration and Application Form**[UPMREB FORM 2(B)2012]**
- ☐ Study Protocol Assessment Form **[UPMREB FORM 2(C)2012]**
- ☐ Research Grants Administration Office (RGAO) Endorsement (refer to UPMREB General Policies and Guidelines for description of RGAO)
- ☐ Study Protocol
- ☐ Data collection forms (including CRFs)
- ☐ Diagrammatic workflow
- ☐ CV of PI and study team members
- ☐ Electronic copy of study protocol, **UPMREB FORM 2(A)2012, UPMREB FORM 2(B)2012, UPMREB FORM 2(C)2012,** and **UPMREB FORM 2(D)2012**
- ☐ Proof of payment of ethics review fee (as applicable)

Study-specific Documents (submit as needed)

- ☐ Investigator's Brochure (for clinical trials phase I, II, III) or Basic Product Information Document (for clinical trials phase IV)
- ☐ Informed Consent Assessment Form (for studies with human participants) **[UPMREB FORM 2(D)2012]**
- ☐ Informed consent form in English (for studies with human participants)
- ☐ Informed consent form in local language (for studies with human participants)
- ☐ Assent form in English (for studies involving minors and relevant populations deemed incompetent to sign an informed consent form)
- ☐ Assent form in local language (for studies involving minors and relevant populations deemed incompetent to sign an informed consent form)
- ☐ Good Clinical Practice (GCP) Training Certificate of PI, Co-I and the rest of the study team (for clinical trials)
- ☐ Recruitment advertisements (as needed by the study protocol)
- ☐ Other information or documents for participants (such as diaries, etc.)
- ☐ Material Transfer Agreement (for any research involving transfer of biological specimens)
- ☐ Memorandum of Agreement (for collaborative studies)

---

[1] To be issued upon RGAO registration

[2] To be issued upon initial processing by UPMREB

- ☐ RGAO-endorsed Clinical Trial Agreement (for clinical trials done in UP-PGH; processed separately by the UPM Legal Office and to be submitted to RGAO upon receipt of notification of ethical approval from UPMREB)
- ☐ Site Resources Checklist for Clinical Trial Outside UP-PGH By UPM Personnel **[UPMREB FORM 2(E)2012]**
- ☐ Site Resources Checklist for Clinical Trial Outside UP-PGH By non-UPM Personnel **[UPMREB FORM 2(F)2012]**
- ☐ Previous ethical review approvals/clearances (for students/personnel of foreign universities researching in the Philippines or those with prior ethical review)
- ☐ National Commission for Indigenous People (NCIP) Clearance (for studies with indigenous populations; can be processed while UPMREB review is ongoing)
- ☐ Clearance or permit from respective regulatory authorities (such as FDA approval for clinical trials and DENR local transport permit, as applicable)

APPENDIX N-3
UPM REB Form 2(B)

SECTION II: SCIENTIFIC/TECHNICAL REVIEW APPROVAL ENDORSEMENT *This section should be signed by the Chair/Head of the Scientific/Technical Review committee/office that reviewed the scientific soundness of the study and issued the appropriate approval. Alternatively, results of Scientific/Technical Review disposition may be appended to this application, instead of completing this section, provided that the information required below had been appropriately addressed.*		
STUDY PROTOCOL TITLE:		
Principal Investigator:		
I confirm that the(NAME OF SCIENTIFIC/TECHNICAL REVIEW COMMITTEE/OFFICE) has reviewed and approved the following study protocol-related information: Objectives/Expected output supported by literature review; overall research design; sampling design, sample size, Inclusion/exclusion/ withdrawal criteria; data collection plan and specimen collection, processing, and storage as applicable; data analysis plan including statistical design/framework, as applicable.		
Issuing committee/office:		
Head of committee/office:		
Signature:		Date of Signature: <dd/mm/yyyy>
SECTION III: INSTITUTIONAL ENDORSEMENT *This section should be signed by the head of unit (administrative authority legally empowered to sign on behalf the unit such as Dean, Director, and the like) of the Principal Investigator. This section is required only for initial submission,* ***provided there are no changes in study protocol information below.***		
STUDY PROTOCOL TITLE:		
Principal Investigator:		
I confirm that I have read this Application and that the research will be implemented under the oversight of this Department/Institution in accordance with the conditions of approval by the University of the Philippines Manila Research Ethics Board. I also confirm that the Principal Investigator has a regular appointment in this institution.		
Issuing unit/college:		
Head of unit:		
Signature:		Date of Signature: <dd/mm/yyyy>
SECTION IV: AUTHORIZATION AND ACKNOWLEDGEMENT OF REVIEW *This section should be completed by the signatory official who can sign on behalf of the institution that has oversight on the research site,* ***IF the research site is OUTSIDE the scope of authority of UPM and the PI is non UPM personnel****. If not applicable, put N/A in all fields. This section is required only for initial submission,* ***provided there are no changes in study protocol information below.*** *In case regional IRB will opt not to review, attach letter of endorsement.*		
STUDY PROTOCOL TITLE:		
Principal Investigator:	<Title, Name, Surname>	
This is to certify that the **<NAME OF RESEARCH SITE>:** 1) Has no local Institutional Review Board/ Ethics Review Committee; and 2) Authorizes and acknowledges the University of the Philippines-Manila Research Ethics Board (UPMREB), located at the 2nd Floor Paz Mendoza Building, UP Manila, Pedro Gil St, Ermita, Manila, to perform the ethical review of the abovementioned study protocol in accordance with international ethical standards and national regulatory requirements, and oversee the conduct of the research study which includes progress monitoring, adverse event monitoring, and site visits.		
Name of Research Site		
Address of Research Site		
Signatory Official	<Title, Name, Surname>	
Position of Official		
Signature		Date of Signature: <dd/mm/yyyy>

APPENDIX O
Form 3.1 (A) 2010 Research Project Proposal Format

Form 3.1 (A) 2010
Research Project Proposal Form

NATIONAL INSTITUTES OF HEALTH
UNIVERSITY OF THE PHILIPPINES MANILA

RESEARCH PROJECT PROPOSAL FORM

ATTENTION:
1. The original form (with original signatures) should be submitted to the National Institutes of Health Ethics Review Committee with 15 additional copies.
2. All items must be filled-out (printed or typed) properly, otherwise it will not be accepted.

PART I. ADMINISTRATIVE INFORMATION

<table>
<tr><td>A. Research Project Title
(The distinctive name given to the project describing the work scope in specific, clear and concise terms)</td><td colspan="3"></td></tr>
<tr><td rowspan="2">B. Principal Investigator and Co-investigators
(Name of principal proponent and co-investigators, designation/ title and affiliate institution)</td><td>Name of Principal Proponent/ Co-investigators</td><td>Designation / Title</td><td>Institution Affiliation (if applicable)</td></tr>
<tr><td></td><td></td><td></td></tr>
<tr><td rowspan="2">C. Proponent Institute / College
(Declaration of institutional endorsement)</td><td colspan="3">I confirm that I have read this application and that, if support is granted, the work will be accommodated and administered in the Department/Institution in accordance with the general conditions. I also confirm that the Principal Investigator has a full-time appointment in this institution.</td></tr>
<tr><td colspan="3">Institute/College /Unit

Institute Director/Dean /Director
(Signature over printed Name)</td></tr>
<tr><td>D. Authorization and Acknowledgment of Review
(Administrative certification from the study site when the PI is not from UP Manila and the study site is outside UP Manila)</td><td colspan="3">This is to certify that the research site has no local Institutional Review Board/ Independent Ethics Committee (IRB/IEC) and that the research site authorizes and acknowledges the University of the Philippines-Manila National Institutes of Health – Institutional Review Board (UPM NIH-IRB), located in the National Capital Region (NCR) with address at the Ground Floor, NIH Building, 623 P.Gil St. Ermita, Manila, to perform the ethical review of the study entitled, “TITLE OF PROTOCOL”, in accordance with international ethical standards and national regulatory requirements, and oversee the conduct of the research study which includes progress monitoring, adverse even monitoring, and site visits.

On-site Administrative Authority
(Signature over printed name, indicate position)</td></tr>
</table>

E. Research Project Duration *(The length of time in which the specific project activities shall be accomplished)*		
F. Cooperating Agencies/ Research Links *(The agency/ies which is/are expected to cooperate/contribute to the research work. Collaboration with other scientist/s and research institutions or links with other research projects)*		
G. Research Classifications 1. Type of Scientific and Technological Activities	***(Please put appropriate letter)*** _____	*(Note: If applying for ethical clearance **ONLY**, that is, without an application for NIH Grant, you may skip this section and move on to G.2)* a. RED – Research and Experimental Development b. STS - Scientific and Technological Services c. STET – Scientific and Technical Education and Training
2. Category of Research or Project	_____	*a.* Basic Research *(Acquiring new knowledge through experimental and theoretical work)* b. Applied Research (*Acquiring new knowledge with a specific application in mind, determining possible uses for basic research findings or determining new ways of achieving objectives*) c. Experimental Development Research *(Using existing knowledge to produce new materials, products, or devices; installing new processes, systems, and services; or improving current production of installation substantially)*
3. Purpose of Research	_____	a. Thesis b. Ph.D. Dissertation c. Postdoctoral work d. Independent work e. Others, please specify _____
4. Area of Interest	_____	a. Clinical b. Social Science c. Public Health d. Molecular Biology and Biotechnology e. Others, please specify _____
H. Summary of the Research Project	*Please write a summary of the research project in the space provided below based on the components itemized on the left, and indicate where such components may be found in the full protocol. Attach the full protocol to this form.*	

1. Objectives 2. Study Population 3. Inclusion/ Exclusion Criteria 4. Study Design 5. Sample Size 6. Diagram of procedures 7. Data Collection Tools 8. Data Analysis	
I. Ethical Considerations *(Required if the proposal involves research on human subjects, including collection of human blood or other human tissue samples. If data is to be stored in electronic databases, ensure that all steps to protect confidential data are properly followed; eg: Anonymization of patient data, removal of personal identifiers, security of databases ensured, etc.)*	(Please provide the following information) 1. Subject Profile: a. Who are the human subjects? b. How will they be recruited? c. What information will be given to them? d. What intervention will they be subjected to? 2. Include a consent form containing all prerequisites of informed consent written in the language of the subject using the informed consent checklist provided.
J. Declaration of Conflict of Interest *(Formal disclosure from investigator of information regarding funding, sponsors, institutional affiliations, etc)*	*Enumerate individual and institutional conflicts of interest such as funding in various forms and institutional affiliations relevant to this application*

PART II. RESEARCH PROJECT WORKPLAN SCHEDULE (Project year _____)

ACTIVITIES	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER

PART III. RESEARCH PROJECT WORKPLAN OUTPUT (Project year _____)

FIRST QUARTER	SECOND QUARTER
THIRD QUARTER	**FOURTH QUARTER**

PART IV. BUDGET BREAKDOWN *(NOTE: This section should be filled out if applying for funding under the NIH Research Grant. Please indicate other source/s of funding, if applicable)*

(For projects of 1-year duration or less AND 1st/ _____ year of multi-year duration)

Program/Project	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	TOTAL
Personal Services					
Salaries					
Honoraria					
MOOE					
Travel Expenses					
Supplies and Materials					
Sundry					
Laboratory Exams					
Equipment Outlay					
TOTAL					

Other sources					
TOTAL					
GRAND TOTAL					

(For projects of more than 1-year duration)

Program/Project	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	TOTAL
Personal Services					
Salaries					
Honoraria					
MOOE					
Travel Expenses					
Supplies and Materials					
Sundry					
Laboratory Exams					
Equipment Outlay					
TOTAL					

Other sources					
TOTAL					
GRAND TOTAL					

DETAILED FINANCIAL REQUIREMENTS:

ITEM	BASIS	QUANTITY	UNIT	RATE/UNIT PRICE	AMOUNT
Personal Services	PI				
	Co-I				
	RAs				
	Sub-total				
MOOE	1st release				
	2nd release				
	3rd release				
	Sub-total				
	TOTAL				

PART V. APPENDICES (If applicable please include the following)

1. Informed Consent Form
2. Patient / Case Report Forms

3. Flow Chart of Activities
4. Questionnaires

PART VI. BIBLIOGRAPHY (this section may be expanded as needed)

1.
2.
3.
4.

PART VII. CURRICULUM VITAE OF PRINCIPAL INVESTIGATOR AND CO-INVESTIGATORS
(*1 page maximum for each)*

1. Name **College/Institute** **Contact Numbers** **Email Address**
2. Degree(s) *Subjects, university or school, year*
3. Training *Certifications of successful completion of protocol-related training, research ethics training, and Good Clinical Practice (GCP) training, as applicable*
4. Present Posts / Positions held *Type of post, institution/faculty/ department, dates*
5. Recent Publications *List only the five (5) most important publications or papers most relevant to this proposal over the last 5 years (papers in press or submitted or publication are also acceptable). Please give full bibliographic references (author/s, title, journal, volume, page numbers, years). If applicable, please attach copies of papers in press or submitted if these contain background material relevant to this proposal.*
6. Concurrent Projects *Enumerate all on-going projects and projects that will commence within the next three months. Indicate project involvement (PI, Co-I, Sub-I, Consultant, etc.), start dates, and expected completion dates.*

Signature: _____ **Date:** _____

APPENDIX P
Authorization Pass

University of the Philippine Manila

AUTHORIZATION PASS

VALID ONLY ON THE AUTHORIZED DATE

Authorization is granted to:

_____

Surname First Name M.I.

to enter the premises of:

Office:_____

On ____/____/_____ from _____a.m./p.m. to _____ a.m./p.m.
(Date) (Time)

Purpose of entry:

_____

_____

_____

Endorsed by: *Approved by:*

_____ _____

Dean *Vice Chancellor for Administration*
College of Pharmacy UP Manila

_____ _____
Date Date

Please accomplish in duplicate: for office file and for guard on duty

Administrative Overhead Cost

MEMORANDUM RLA 10-083 UP MANILA RESEARCH ADMINISTRATIVE OVERHEAD FUND

MEMORANDUM NO. **RLA-10-083**

TO : All concerned

THROUGH : Deans
Director, Philippine General Hospital
Executive Director, National Institutes of Health

SUBJECT : UP Manila Research Administrative Overhead Fund

Pertinent to the Policies and Guidelines on the Use of University Administrative Overhead Funds (as amended by the Board of Regents in its 1147th meeting of 21 December 2000) and the Creation of the UP Manila Research Administrative Overhead Fund (BOR 1245th meeting of 25 June 2009), please be advised that each research proposal should include in its line-item an administrative overhead cost in accordance with the following schedule (BOR 1147th meeting):

Funding	Administrative Overhead Cost
Less than P100,000	Minimum of 5%
P100,000- P200,000	Minimum of 7%

Research proposals with funding of P200,000 and above shall be charged 15% administrative overhead cost, except when funding is from the Department of Science and Technology and other government agencies which only give 7.0 to 7.5% administrative overhead cost.

Preparation of Line Item Budget (LIB)

Institutional Oversight Committee Review Fees	Source of Funding	Review Fees
IACUC Review Fee*	Externally-funded/Non-UPM	5,000.00
	UP Manila-funded	500.00
	Self-funded	Waived
UPMREB Ethics Review Fee		
Initial Review Fee	Externally-funded (Industry, NGO, private companies)	50,000.00
Continuing Review Fee		10,000.00
Initial Review Fee	Government-funded	30,000.00
Continuing Review Fee		5,000.00
Initial Review Fee	Faculty-initiated, minimal to no funding	5,000.00
	Student-initiated, minimal to no funding	3,000.00

Administrative Overhead Cost

Source	Total Budget (Peso)	Percentage
Gov't/Private	> 100,000	Min 5%
Gov't/Private	100,001-200,000	Min 7%
Gov't*	>200,000	Min 7.5%
Private**	>200,000	Min 15%

Administrative Overhead Cost

Unit	Breakdown
RGAO	**50%**
UPMREB/IACUC Review Fee	
Research Unit Fund	**50%**
Department/Institute	80%
College/NIH	10%
PGH (If PGH is not a site, this is included in the RUF of the College/NIH)	10%

Guidelines on the Utilization of Research Unit Fund

APPROVED DURING THE 1037TH MEETING OF THE BOARD OF REGENTS AND AMENDED IN THE 1147TH MEETING IN DECEMBER 2000

Utilization of Research Unit Fund

As per Article IV of the BOR ruling on the utilization of the RUF, the RUF can be used for the following purposes, subject to the approval of the Chancellor upon the recommendation of the college dean/unit head:

A. To help shoulder the utilities and maintenance bills, which can include:

- Communication expenses to support research (e.g. cellphone load)
- Internet expenses
- Payment for maintenance of equipment used for research

B. To provide assistance to academic programs. This could include:

- Expenses for research dissemination, including:
  - Travel grants for research presentation
  - Publication fees
  - Expenses related to conducting research forum
- Expenses for research training, including:
  - Registration fees for the faculty to research training workshops
  - Expense related to conducting research training workshops within the unit
- Purchase of equipment, with declaration on how the said equipment will support research and other academic programs
- Purchase of supplies and materials to support research and other academic programs

Utilization of Research Unit Fund

C. To help upgrade the library collection of the University. This can include:

- Purchase of books, manuals, etc.
- Payment for subscription to journals, electronic libraries, etc.

D. To grant salaries/honoraria/incentive pay to deserving personnel and/or offices providing service to the research/project/program. This would include personnel who performs the following:

- Technical review of protocols and research reports
- Research administrative support, including research fund management
- Data collection, data management, data analysis
- Technical writing

The amount to be allocated as salaries/honoraria/incentive pay to deserving personnel shall in not case exceed fifty percent (50%) of the share of the administration for research/project/ program and in no case shall any part or portion of that honoraria be paid to any personnel of the University who is not involved in providing administrative support to the projects as approved by the appropriate University official.

Utilization of Research Unit Fund

REQUIREMENTS FOR THE UTILIZATION OF RUF:

1. Letter requesting for the utilization of RUF addressed to the Chancellor endorsed by Dean/Institute Director, indicating the type of expenses and the amount;
2. Internal Operating Budget (IOB) for the year, signed and approved by the Unit Head (Chair or Director), recommended by OVCR and approved by the Chancellor; and
3. Latest status of RUF report from the UPM Accounting Office.

RESTRICTIONS:

For the research unit, any expenses related to the research activities and improvement of the research unit can be charged to the RUF as long as it is allocated in the approved IOB with complete documentary requirements as per Accounting and COA rules (see attached checklist).

For the research/project itself, no more than 50% of the AOC RUF share collected from the research/project may be used. Reimbursements may be done by the research/project but the receipts should be within the duration of the research/project as stated in the MOA/CTA.

APPENDIX R
Sample Letter Requesting for the Utilization of RUF

College of Pharmacy
University of the Philippines Manila

April 22, 2022

CARMENCITA D. PADILLA, MD MAHPS
Chancellor
University of the Philippines Manila

Dear **Dr. Padilla**,

Good day! We are respectfully requesting for approval to utilize **one million seven hundred and sixty-one thousand pesos** (Php1,761,000.00) from the research unit fund (RUF) of the College accrued from different projects conducted.

We will use the asked amount for the improvement of facilities and equipment which are currently being used in ongoing research projects and academic programs. This will also benefit the incoming faculty- and student-initiated research projects. We will also allot a portion for other research-related activities such as assessment of undergraduate research proposal by UPMREB.

Please find the attached document for your perusal.

1. Line-item Budget
2. Cash Program for Utilization of Research Unit Fund (2022)
3. Financial Status (as of December 31, 2022)

We are looking forward to your favorable response
Thank you.

Sincerely yours,

BIENVENIDO S. BALOTRO, RPh, MS, DBA
Dean
College of Pharmacy

Recommending Approval:

ARMANDO C. CRISOSTOMO, M.D.
Vice Chancellor for Research

Approved by:

ARLENE A. SAMANIEGO, MD
Vice Chancellor for Administration

CARMENCITA D. PADILLA, MD, MAHPS
Chancellor

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 8525-4434
Telefax: (+632) 8526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

APPENDIX S
Internal Operating Budget for the Year

College of Pharmacy
University of the Philippines Manila

INTERNAL OPERATING BUDGET 2022

I. Beginning Balance as of December 31, 2021	**₱ 1,774,261.41**
II. Estimated Expenses	
PERSONNEL SERVICES (PS)	
University Research Associate II @ 33,306.00 (SG-14) for 8 months	266,448.00
TOTAL PS	**₱ 266,448.00**
MAINTENANCE AND OTHER OPERATING EXPENSES (MOOE)	
Preventive Maintenance and Calibration of Equipment	35,000.00
Repair of Equipment, Purchase of Equipment Parts	974,552.00
Repair of Laboratory Facilities	75,000.00
Technological Servicing, Visits. And Assessment of Equipment	30,000.00
Payment for Assessment of Research to UPMREB	30,000.00
Reagents and Supplies	100,000.00
TOTAL MOOE	**₱ 1,244,552.00**
EQUIPMENT OUTLAY (EO)	
split-type inverter air conditioner 2hp (1 unit)	100,000.00
2-stage rotary vane vacuum pump (3 units)	150,000.00
TOTAL EO	**₱ 250,000.00**
TOTAL EXPENSES	**₱ 1,761,000.00**
III. Ending Balance	**₱ 13,261.41**

Prepared by:

BIENVENIDO S. BALOTRO, DBA
Dean, College of Pharmacy

Funds available for:_____

Chargeable against:_____

ERWIN A. DANDO, CPA
Chief Accountant, UPM

Recommending Approval:

ARMANDO C. CRISOSTOMO, MD
Vice Chancellor for Research

Approved by:

CARMENCITA D. PADILLA, MD, MAHPS
Chancellor

FAIRNESS INTEGRITY RESPECT SERVICE TRANSFORMATIVE LEADERSHIP

Valenzuela Hall
Taft Avenue cor. Pedro Gil St., Ermita Manila 1000
Phone Number: (+632) 8525-4434
Telefax: (+632) 8526-6118
Email: cp@post.upm.edu.ph
Website: http://cp.upm.edu.ph/

Cash Program for Utilization of Research Unit Fund (2022)

ITEMS	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL
PERSONNEL SERVICES (PS)								**TOTAL PS**	**266,448.00**
University Research Associate II @ 33,306.00 (SG-14) for 8 months	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	266,448.00
MAINTENANCE AND OTHER OPERATING EXPENSES (MOOE)								**TOTAL MOOE**	**1,244,552.00**
Preventive Maintenance and Calibration of Equipment									***35,000.00***
Air conditioner and Ultralow freezer checkup and cleaning	5,000.00			20,000.00			10,000.00		
Repair of Equipment, Purchase of Equipment Parts									***974,552.00***
oil-less vacuum pump	10,000.00								
tableting machine	50,000.00								
LC-MS battery pack (1 set)	130,000.00								
LC-MS flow cell	190,000.00								
Miscellaneous repair of equipment	200,000.00	50,000.00		100,000.00	144,552.00	50,000.00		50,000.00	
Repair of Laboratory Facilities									***75,000.00***
Furniture/fixture			15,000.00		10,000.00				
Electrical and Plumbing Works		20,000.00		10,000.00		10,000.00		10,000.00	
Technological Servicing, Visits. And Assessment of Equipment		10,000.00		10,000.00		10,000.00			***30,000.00***
Payment for Assessment of Research to UPMREB								30,000.00	***30,000.00***
Reagents and Supplies									***100,000.00***
For Research and academic purpose				100,000.00					
EQUIPMENT OUTLAY								**TOTAL EO**	**250,000.00**
split-type inverter air conditioner 2hp (1 unit)	100,000.00								
2-stage rotary vane vacuum pump (3 units)	150,000.00								
Total budget per month	**868,306.00**	**113,306.00**	**48,306.00**	**273,306.00**	**187,858.00**	**103,306.00**	**43,306.00**	**123,306.00**	
								OVERALL BUDGET	**1,761,000.00**

Valenzuela Hall
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APPENDIX T
Cash Program for Utilization of Research Unit Fund

College of Pharmacy
University of the Philippines Manila

Cash Program for Utilization of Research Unit Fund (2022)

ITEMS	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL
PERSONNEL SERVICES (PS)								**TOTAL PS**	**266,448.00**
University Research Associate II @ 33,306.00 (SG-14) for 8 months	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	266,448.00
MAINTENANCE AND OTHER OPERATING EXPENSES (MOOE)								**TOTAL MOOE**	**1,244,552.00**
Preventive Maintenance and Calibration of Equipment									***35,000.00***
Air conditioner and Ultralow freezer checkup and cleaning	5,000.00			20,000.00			10,000.00		
Repair of Equipment, Purchase of Equipment Parts									***974,552.00***
oil-less vacuum pump	10,000.00								
tableting machine	50,000.00								
LC-MS battery pack (1 set)	130,000.00								
LC-MS flow cell	190,000.00								
Miscellaneous repair of equipment	200,000.00	50,000.00		100,000.00	144,552.00	50,000.00		50,000.00	
Repair of Laboratory Facilities									***75,000.00***
Furniture/fixture			15,000.00		10,000.00				
Electrical and Plumbing Works		20,000.00		10,000.00		10,000.00		10,000.00	
Technological Servicing, Visits. And Assessment of Equipment		10,000.00		10,000.00		10,000.00			***30,000.00***
Payment for Assessment of Research to UPMREB								30,000.00	***30,000.00***
Reagents and Supplies									***100,000.00***
For Research and academic purpose				100,000.00					
EQUIPMENT OUTLAY								**TOTAL EO**	**250,000.00**
split-type inverter air conditioner 2hp (1 unit)	100,000.00								
2-stage rotary vane vacuum pump (3 units)	150,000.00								
Total budget per month	**868,306.00**	**113,306.00**	**48,306.00**	**273,306.00**	**187,858.00**	**103,306.00**	**43,306.00**	**123,306.00**	
								OVERALL BUDGET	**1,761,000.00**

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APPENDIX U
Latest Status of RUF Report from the UPM Accounting Office

UNIVERSITY OF THE PHILIPPINES MANILA
ACCOUNTING OFFICE

COLLEGE of PHARMACY (CP)
439-167 G1
FINANCIAL STATUS
as of DECEMBER 31, 2019

Beginning Balance from 2018		**Php945,636.19**
ADD :		
Collection 2019		933,545.00
quipment		
Total		**Php1,879,181.19**
LESS :		
Disbursements:		
Preventive Maintenance of Appliance/E	Php75,508.16	
quipment		**75,508.16**
		Php1,803,673.03
Commitments:		
Preventive Maintenance of Appliance/E	Php0.00	
		.00
BALANCE		**Php1,803,673.03**

Prepared by:

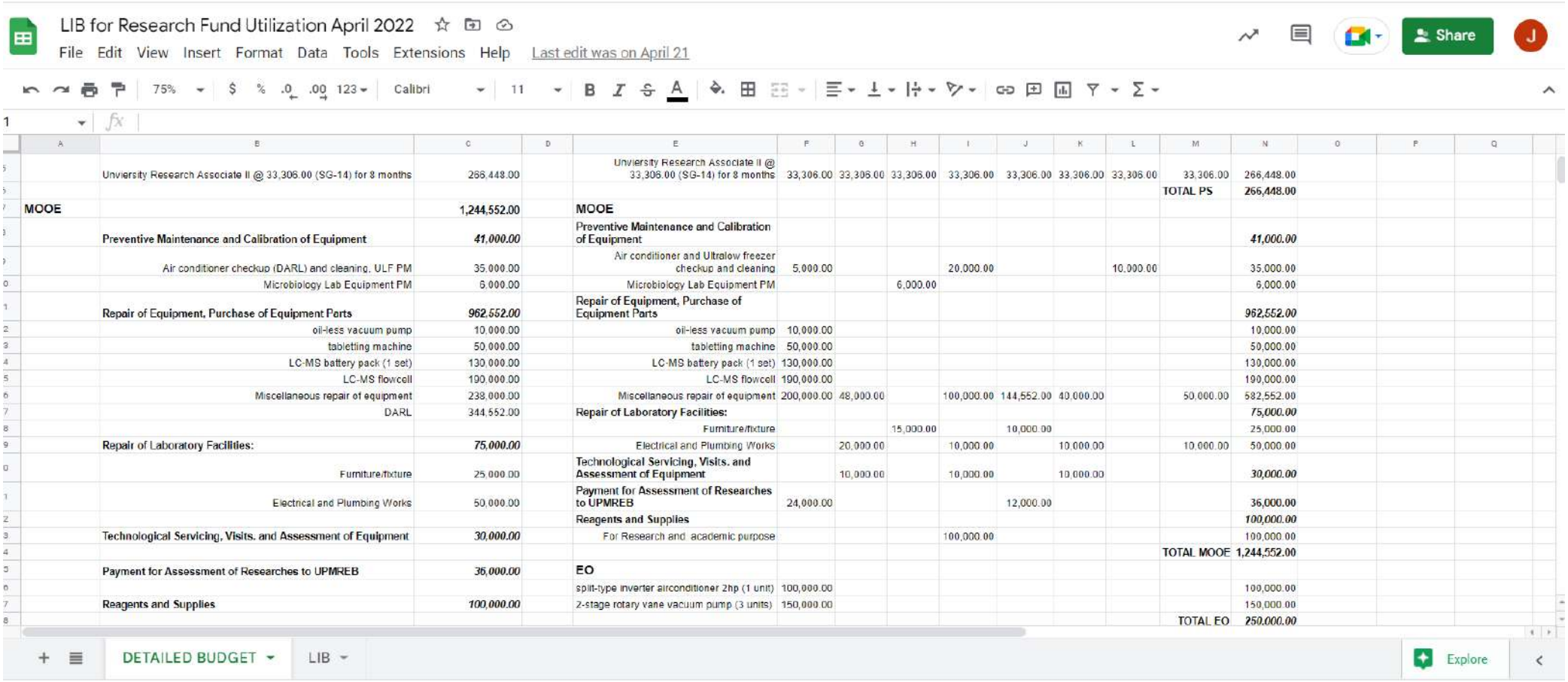
Robert Sierra

Certified correct by:

ERWIN A. DANDO
Chief Accountant

02.06.20

APPENDIX V
Google Sheet template for IOB



LIB for Research Fund Utilization April 2022

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Share

	Unviersity Research Associate II @ 33,306.00 (SG-14) for 8 months	266,448.00		Unviersity Research Associate II @ 33,306.00 (SG-14) for 8 months	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	33,306.00	TOTAL PS	266,448.00		
MOOE		**1,244,552.00**		**MOOE**												
	Preventive Maintenance and Calibration of Equipment	***41,000.00***		**Preventive Maintenance and Calibration of Equipment**										***41,000.00***		
	Air conditioner checkup (DARL) and cleaning, ULF PM	35,000.00		Air conditioner and Ultralow freezer checkup and cleaning	5,000.00			20,000.00			10,000.00			35,000.00		
	Microbiology Lab Equipment PM	6,000.00		Microbiology Lab Equipment PM			6,000.00							6,000.00		
	Repair of Equipment, Purchase of Equipment Parts	***962,552.00***		**Repair of Equipment, Purchase of Equipment Parts**										***962,552.00***		
	oil-less vacuum pump	10,000.00		oil-less vacuum pump	10,000.00									10,000.00		
	tabletting machine	50,000.00		tabletting machine	50,000.00									50,000.00		
	LC-MS battery pack (1 set)	130,000.00		LC-MS battery pack (1 set)	130,000.00									130,000.00		
	LC-MS flowcell	190,000.00		LC-MS flowcell	190,000.00									190,000.00		
	Miscellaneous repair of equipment	238,000.00		Miscellaneous repair of equipment	200,000.00	48,000.00		100,000.00	144,552.00	40,000.00		50,000.00		582,552.00		
	DARL	344,552.00		**Repair of Laboratory Facilities:**										***75,000.00***		
				Furniture/fixture			15,000.00		10,000.00					25,000.00		
	Repair of Laboratory Facilities:	***75,000.00***		Electrical and Plumbing Works		20,000.00		10,000.00		10,000.00		10,000.00		50,000.00		
	Furniture/fixture	25,000.00		**Technological Servicing, Visits, and Assessment of Equipment**		10,000.00		10,000.00		10,000.00				***30,000.00***		
	Electrical and Plumbing Works	50,000.00		**Payment for Assessment of Researches to UPMREB**	24,000.00				12,000.00					**36,000.00**		
				Reagents and Supplies										***100,000.00***		
	Technological Servicing, Visits, and Assessment of Equipment	***30,000.00***		For Research and academic purpose				100,000.00						100,000.00		
													TOTAL MOOE	**1,244,552.00**		
	Payment for Assessment of Researches to UPMREB	***36,000.00***		**EO**												
				split-type inverter airconditioner 2hp (1 unit)	100,000.00									100,000.00		
	Reagents and Supplies	***100,000.00***		2-stage rotary vane vacuum pump (3 units)	150,000.00									150,000.00		
													TOTAL EO	***250,000.00***		

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APPENDIX W
UP Manila Code for Responsible Conduct of Research

University of the Philippines Manila Code for Responsible Conduct of Research

Preamble

Research is a mandate of the University of the Philippines, the National University, and is integral to its vision and mission of national relevance and global competitiveness. Its value and benefit are vitally dependent on the integrity of the entire research process (beginning from inception of ideas to research methodology to output and dissemination) and the trust it generates among both the academic institution and the lay community which it serves. The Philippine and the international community expect research from the University to always be conducted responsibly, ethically and with integrity.

While it is recognized that there are disciplinary and sectoral differences within the University in research organization and procedures; while the primary responsibility of research integrity lies on the individual researcher and institutions; while research includes multidisciplinary and transdisciplinary dimensions, there are universal principles and responsibilities for both researcher and institution that are fundamental to the integrity of research.

This Code enumerates these basic principles and responsibilities and provides a guide for the creation and maintenance of (1) an ethical research culture and (2) a framework for the responsible conduct of research; both of which are necessary foundations for quality research, credibility and trust in the research process. Furthermore, the spirit of the Code is a reflection of the moral leadership of the University of the Philippines and of its time-honored values of honor and excellence.

The code embodies core behaviors of responsible and ethical research across all disciplines. It does not include specific rules and regulations on the conduct of research—these are available in University and Institution Guides. Compliance with this Code is a requirement for all University research and is a prerequisite for the receipt of funding by and through the University of the Philippines. Failure to adhere to these principles and guidelines represents a breach of the Code.

Principles

These are the fundamental principles of research integrity; they are the hallmark of a responsible conduct of research which guide researchers in their work (from proposal, development to conduct and reporting of research) as well as in their approach to the different challenges inherent to research.

- Honesty
    - all information and data are always presented truthfully and accurately from presentation of idea and proposal to eventual publication and dissemination of results

- Rigor
    - the research process is underlined by attention to detail, a robust methodology and the avoidance of but the acknowledgement of bias when it is present

- Transparency
    - Researchers and everyone involved in the research process should remain transparent in reporting research methodology, data and findings; and in disclosing and managing conflicts of interest. Sharing research methodology, data and findings should be done openly, responsibly and accurately.

- Professional courtesy and fairness
    - This is practiced consistently in the treatment of fellow researchers, most especially in recognizing the work of co-researchers, giving due recognition (citations) and appropriate credit to contributors, including authorship when warranted

- Respect
    - for colleagues, research participants, wider community, animals, environment, cultural heritage
    - making sure to keep adverse effects on the environment to a minimum

- Recognition of the rights of ethnic and religious minorities to be engaged in research that is of significance to them

- Accountability
    - All researchers must be accountable throughout the research process, from idea to publication and dissemination, for management and organization, for training, supervision and mentoring
    - All research activities must be in compliance with relevant legislation, policies and guidelines
    - Consequences and outcomes of research must be considered prior to their dissemination

- Good research stewardship and management
    - This includes the judicious use of public resources including funds and research grants

- Promotion of responsible research culture
    - This is a collaborative effort of both institution and researcher achieved through both the conduct of research and the training, supervision and mentoring of students and research mentees

<u>Responsibilities</u>

Both institutions and researchers have responsibilities that must be carried out consistently and conscientiously in order to achieve and maintain a culture of "responsible conduct of research".

The institution must be able to

- create an environment conducive to research integrity
  - establish an Office of Research Integrity or similar office in the constituent unit (CU)
  - provide appropriate guides and policies readily available in the CU
  - provide adequate and safe facilities to store and archive data and reports
  - pursue honor and excellence in all its undertakings
- provide training to research staff and personnel
  - conduct regular training of officers and staff of Offices of Research Integrity
  - conduct regular updates for all faculty and REPS (research and extension professional staff)
- implement appropriate monitoring and response to allegations of research misconduct
  - institute a monitoring and evaluation plan
  - regularly collect information needed to implement monitoring and evaluation
- assure transparent, just and fair decisions
- adopt the principles of a learning organization
  - share regular updates with stakeholders on the status of implementing policies on Research Integrity
  - conduct research responsive to the agenda of research integrity
  - participate in international collaborative efforts

The researchers, on the other hand, must

- undertake the entire research process appropriately and responsibly, from conception of the research idea to its final publication and dissemination, maintaining the principles as stated in the previous section
- support the responsible conduct of research, in both their own and their colleagues' research activities
- promote education and activities in responsible research practice and research integrity for themselves, for peer and for staff and mentees
- report observed misconduct in research through appropriate channels

<u>Breaches or violations of Research Integrity and the principles underlying investigation</u>

Violations of research integrity can be categorized into

- a more serious misconduct which includes what is known as FFP or fabrication, falsification and plagiarism

Fabrication – making up any of the following: data, results, documentation, participant consent; and recording or reporting them as if they were real
Falsification – manipulating research materials, equipment or processes or altering data or results such that actual research is not reflected in the records
Plagiarism – appropriating other people's work and ideas without assigning to them due credit

- other forms of misconduct which refer in general to the disregard for responsible conduct of research include:

  - misrepresentation
    - misrepresentation or improper assignment of authorship, credit or role
    - misrepresentation of data e.g. suppression of relevant findings, withholding of research results or presentation of flawed interpretation of data
    - undisclosed duplication of publication or submission of manuscripts
    - misrepresentation of interests of and/or by researcher, funder, sponsor or other third parties
    - false accusation of misconduct against other researchers
    - misrepresentation of qualifications and/or research achievements
  - misappropriation of funds
  - misuse of seniority to encourage violations of research integrity
  - delaying work of other researchers
  - breach of duty of care deliberately, recklessly or by gross negligence
    - improperly disclosing identity of individuals or groups involved in the research without their consent, or other breach of confidentiality
    - placing any of those involved in research in danger without prior consent and without appropriate safeguards even with consent
    - not taking reasonable care that risks are known to participants to ensure appropriate informed consent is obtained properly, explicitly, and transparently
    - not observing ethical requirements or obligations of care for animal subjects, human organs or tissue used in research, or for the protection of the environment
    - improper conduct in peer review of research proposals
  - support for predatory journals
  - ignoring, covering up, or improper dealing with allegations or violations of research misconduct
  - deliberate violation of research regulations

Details of investigation and corresponding sanctions are left to the Unit or Institution Specific procedures must be in place to handle allegations of research misconduct. All allegations must be promptly and carefully reviewed. Ultimately, all of these will be forwarded to the Office of Research Integrity for their oversight. The principles (see ENRIO Handbook 2019) underlying these procedures are

- integrity
  - Investigations are fair, comprehensive and conducted expediently
  - Conflicts of interest are declared and addressed appropriately
  - Records of all proceedings are complete and confidential
- Consistency
  - Investigations should remain transparent and uniform, whatever the discipline or whichever the Unit involved
- Fairness
  - Persons accused of misconduct must be given due process and presumed innocent unless proven otherwise
  - Whistleblowers and witnesses must be provided adequate protection and assistance
  - All people involved must be treated in accordance with University rules and regulations
  - While appropriate action must be taken against those found guilty of research misconduct, consideration must be given to the restoration of reputation of those wrongly charged or accused
- Confidentiality
  - Investigations are conducted in confidentiality to protect all involved
  - Revealing information or data to third parties must be done at appropriate times and through correct channels, in as confidential a manner as possible
- Balance
  - A balance must be struck between disclosure of identities and results of the investigation and confidentiality, keeping in mind that the primary goal of the investigations is to seek the truth of the allegation

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