**GUIDELINES ON PROJECT PROPOSAL EVALUATION**

1. **Rationale**

The Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) undertakes Science and Technology (S&T) and Research and Development (R&D) initiatives to uphold its mandate enshrined in Executive Order No. 366.

The Council accepts proposals on Research and Development (R&D) and Science and Technology (S&T) through “Call for Proposals” conducted every year. Proposals submitted to and accepted by the Call must conform to the specific priority areas identified in the Harmonized National R&D Agenda (HNRDA). The program is a funding opportunity that encourages S&T collaboration and applied research among Higher Education Institutes (HEIs), government Research and Development Institutes (RDIs), and non-profit S&T networks and organizations seeking funding for their R&D/S&T initiatives. Nevertheless, its primary purpose is to advance scientific innovation through programs that will promote economic, social, and environmental progress.

1. **Purpose**

This document aims to standardize the conduct of proposal evaluation through guidelines directed to DOST, PCIEERD, project personnel and other officers and institutions concerned. Project proposal shall undergo a rigorous process of evaluation to determine its eligibility, viability, and potential beneficial impact/s or effects to the economy, society, and environment.

1. **Acronym**

The following acronyms shall be applied and are defined as follow to ease the understanding of the guidelines.

1. DC - Division Chief
2. DOST - Department of Science and Technology
3. DOST-ExeCom - DOST Executive Committee
4. DPMIS - DOST Project Management Information System
5. ETDD - Emerging Technology Development Division
6. EUSTDD - Energy, Utilities and System Technology Development Division
7. GC - Governing Council
8. GIA - Grants-in-aid
9. ITDD - Industrial Technology Development Division
10. PCMD - Policy Coordination and Monitoring Division
11. PES - PCIEERD Evaluation System
12. PL - Program/Project Leader
13. PM - Project Manager
14. PMIS - Project Management Information System
15. PMT - PCIEERD Management Team
16. TP - Technical Panel
17. TPEC - Technical Panel Evaluation Conference
18. SPD - Special Projects Division
19. **Definition of Terms**
20. Concurrence – means agreement among the members of the PMT, TP, GC, or DOST-ExeCom.
21. Cross-cutting – means the project proposal could belong to more than one division of the Council.

1. Evaluation – means the determination of the proposal’s viability and conformity to criteria set up by the Council.
2. Grants-in-Aid – funds allocated to programs/projects by the DOST and its particular grant-giving agencies, including Regional Offices and Sectoral Councils.
3. Line-item-budget - is the detailed breakdown of a research project’s expenses to be funded by the study sponsor. It should contain all the direct and indirect costs of all activities of the research project.
4. Rejoinder – it is a document that addresses the critical and non-critical comments to the proposal.
5. Research proposal – it is a document consisting of details of the research project to be funded by the Council.
6. Revision – it is the act of changing or redirecting certain parts of the proposal.
7. **Coverage**

These guidelines shall cover the levels of proposal evaluation i.e. Division level, Project Management Team (PMT) level, Technical Panel (TP) level, Governing Council (GC) level to DOST Executive Committee (DOST-ExeCom) level.

1. **Levels of Evaluation Process**

The PCIEERD standard process for project proposal evaluation has five (5) levels, namely: (1) Division level; (2) PCIEERD Management Team (PMT) level; (3) Technical Panel (TP) level; (4) Governing Council (GC) level, and (5) DOST Executive Committee (DOST ExeCom) level. Each level has underlying guidelines which will be categorically dealt with in the succeeding subsections.

* 1. **Division Level:**
		1. The evaluation of project proposal starts upon receipt of proposal by the Technical Division namely, Emerging Technology Development Division (ETDD), Industrial Technology Development Division (ITDD) and Energy, Utilities and System Technology Development Division (EUSTDD) from the Policy Coordination and Monitoring Division (PCMD) thru the PMIS.
		2. The proposal shall be tagged to the division related to its Sector and the Division Chief of the assigned division shall tag/assign sector to evaluate the proposal. Corollary, the Sectoral Lead will assign the Project Manager.
		3. Sectors with history of exceeding the threshold number of proposals shall increase the number of Project Managers.
		4. In the event that there is a cross-cutting and/or multi-disciplinary proposal, the assigned Project Manager shall spearhead the evaluation process in coordination with other Project Manager/s from other division. For proposal that needs re-assignment to other division, all proposal documents shall be tagged/transferred to the newly assigned division. A copy of the transmittal reflecting the recent action taken shall be forwarded to the PCMD, which will then update the Project Management Information System (PMIS).
		5. The Project Manager shall conduct eligibility check on the proposal using the PM Checklist
		6. If the proposal is eligible, it will proceed to PMT level for deliberation. Conversely, it will not be presented to PMT if it did not meet the required Project Manager pre-score. A letter of disapproval with detailed explanation of the comments shall be issued to the Proponent. The date when the said letter is signed shall be the basis for the end of the evaluation at the division level.
	2. **PCIEERD Management Team (PMT) Level**
		1. The PCMD shall assign the schedule of each sector for PMT evaluation to avoid influx of proposals on the last day of the evaluation period. The PMT shall only deliberate proposals included in the PMT agenda submitted by PCMD. In order for the proposals to be tabled for PMT agenda, it must be uploaded in the PES.
		2. The Project Manager shall present the proposal in the PMT. The presentation shall be limited to five (5) slides primarily comprising of NSDB, Gantt chart, budget, and PMT pre-score. Further, the presentation and deliberation time shall last for five (5) to ten (10) minutes.
		3. The PMT shall flag critical and non-critical comments, and decide on the final score of the proposal. The proposal needs a score of 3.1 and above to be elevated to the next level. Should the PMT fail to wrap up the deliberation within the stipulated time, the proposed Project Manager pre-score shall be adopted.
		4. The Proponent shall submit a rejoinder through the DOST Project Management Information System (DPMIS) should the proposal require major revision. The Project Manager shall review the rejoinder to ascertain whether the proposed revisions are addressed.
		5. If the proposal obtains passing PMT scores, it shall be forwarded to the TP at once.
		6. If the proposal is disapproved at the PMT level, it shall be removed from the list of proposals for TP evaluation during the TP Conference. A letter of disapproval shall be sent to the Proponent and the date when the said letter is signed shall be the basis for the end date of the evaluation at the PMT level. The date of proposal deliberation shall be the basis for the status updating in PES and PMIS at the PCIEERD Management Team (PMT)
	3. **Technical Panel (TP) Level**
		1. The proposal shall be presented by the Project Manager or Project Leader to the Technical Panel in accordance to the Guidelines in the conduct of TP evaluation.
		2. The TP shall conduct evaluation of the proposal and provide ratings and comments based on the prescribed TP Evaluation Criteria. The PMT and GC members may opt to join the TP meetings. The proposal needs a score of 3.1 and above to be elevated to the next level.
		3. If the proposal passed the TP deliberation without critical comments, the consolidated result of TP evaluation shall not be required to be presented to the PMT for concurrence.
		4. The concurrence of the PMT to the decision of the TP shall entitle the proposal to be endorsed to the Governing Council for deliberation.
		5. If the proposal requires submission of rejoinder based on the critical and non-critical comments of the PMT and TP, the rejoinder shall be submitted through DPMIS.
		6. Rejoinder for non-critical comments shall be reviewed by the Project Manager and Division Chief concerned, while the rejoinder for critical comments shall be presented by the TP Chair to the PMT Review of Rejoinders for final deliberation and decision.
		7. The PMT may opt to instruct the Project Manager to seek clearance of the rejoinder from TP Chair prior to PMT deliberation.
		8. Failure of the proposal to provide rejoinders for critical comments shall automatically render it disapproved.
		9. If the rejoinder is acceptable and the proposal is endorsed by the PMT, the proposal shall proceed to GC for deliberation. Nonetheless, if the rejoinder is not acceptable, a revision of the proposal shall be done.
		10. All PMT members are encouraged to attend the TP deliberations.
	4. **Governing Council Level**
		1. Prior to GC Proposal Evaluation Conference, the GC members are provided access in the PES to proposals that initially passed the PMT and TP evaluation to ensure that they are knowledgeable of all the necessary information of the proposals.

* + 1. The presentation of proposals to the GC shall be scheduled by sector.
		2. The presentation and deliberation shall be limited to fifteen (15) minutes: five (5) minute recorded presentation by the Project Leader (PL) and ten (10) minutes for deliberation of the GC. The presentation by the Project Manager shall contain the following: (1) facts about the proposal, i.e., title/duration/impact assessment/budget; (2) GC criteria i.e., soundness of the proposal (20%), suitability of output (30%), significance of outcome (30%), and competence of component (20%); (3) details of the budget; and (4) workplan.
		3. The scoring of the proposal shall be done in the PES for purposes of ranking.
		4. If the proposal obtains a passing score of seventy (70) and above, and is approved without comments, it shall proceed to designation of funding which may either be under PCIEERD Grants-in-Aid (DOST-GIA) or DOST Grants-in-Aid (DOST-GIA).
		5. If the proposal obtains a passing score of seventy (70) and above, and is approved with comments, a rejoinder must be submitted to the DPMIS.
		6. If the proposal is to be funded under PCIEERD-GIA, a memorandum of agreement shall be processed. Nevertheless, if it is under DOST-GIA, an executive brief, line-item-budget, PowerPoint presentation, and endorsement letter shall be submitted to Special Projects Division (SPD) for inclusion in the DOST-ExeCom agenda.
		7. The rejoinder shall be reviewed by the Project Manager and Division Chief concerned prior to re-evaluation and recommendation of the PMT/GC members.
		8. The GC members shall conduct a deliberation for the final decision.
		9. If the rejoinder is acceptable and endorsed, it shall proceed to designation of funding which may either be under PCIEERD-GIA or DOST-GIA. If the proposal is to be funded under PCIEERD-GIA, a memorandum of agreement shall be processed. Nevertheless, if it is under DOST-GIA, an executive brief, line-item-budget, PowerPoint presentation, and endorsement letter shall be submitted to SPD for inclusion in the DOST-ExeCom agenda. Nonetheless, if the rejoinder is not acceptable, the proposal is disapproved.
		10. The evaluation process ends upon approval/disapproval of the proposal at the GC level for projects proposed for funding under PCIEERD-GIA and at the DOST-ExeCom Level for projects proposed for funding under DOST-GIA.
	1. **DOST Executive Committee Level**
		1. The proposal shall be presented by the Project Manager, Division Chief, Executive Director, and/or Project Leader.
		2. The DOST ExeCom shall conduct a deliberate on the proposal.
		3. If the proposal is approved without comments, it shall proceed to designation of funding under DOST-GIA and a memorandum of agreement shall be prepared by the SPD.
		4. If the proposal is approved with comments, a rejoinder must be submitted to the DPMIS.
		5. The rejoinder shall be reviewed by the Project Manager and Division Chief concerned prior to its inclusion in the DOST ExeCom agenda for deliberation and final decision.
		6. The DOST ExeCom shall deliberate on the rejoinder.
		7. If the rejoinder is acceptable and the proposal is approved, it shall proceed to processing of memorandum of agreement. The SPD prepares the MOA while PCIEERD facilitates signing with the Proponent. Nonetheless, if the rejoinder is not acceptable, the proposal is considered disapproved.

These Guidelines shall take effect 15 days after filing at the UP-Law Center and remain in force unless revoked in writing. Done this \_\_\_\_\_\_\_\_\_\_\_\_\_, 2021.

Approved by:

 **DR. ENRICO C. PARINGIT**

 Executive Director