



PCIEERD Administrative Order No. 2021-007
Series of 2021

PCIEERD GUIDELINES ON TECHNICAL REVIEW AND EVALUATION

I. Background

As a research planning and policy-making body, the Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) undertakes an aggressive application of science and technology aimed at harnessing the country's S&T capabilities in its delineated sectors. To help realize this objective, PCIEERD provides Grants-in-Aid (GIA) for approved research proposals to develop processes, products, equipment, utilities and services with practical and commercial applications. A research proposal passed several levels of evaluation: 1) Eligibility Check and PM evaluation; 2) PMT evaluation; 3) Technical Panel (TP) evaluation, 4) Governing Council (GC) evaluation; and for projects to be funded under DOST-GIA up to EXECOM level.

A technical evaluation is conducted prior to ascertain the technical soundness of the proposal prior to the PCIEERD Governing Council (GC) for final approval. In the evaluation process, the PCIEERD seeks the comments and recommendations of the Technical Panel (TP). A TP refers to a group of experts that provides expert advice, special assistance and/or services to an R&D or S&T program/activity outside the capability of the Council. A member of the TP may also act as evaluator of S&T proposals, documents, other reports; provide technical assistance, technical services and/or consultancy/advisory services. The TP evaluation adheres to the following principles: transparency, confidentiality and impartiality, that guide TP members in the conduct of said evaluation. This requires the members to have appropriate knowledge, expertise and good track record. Thus, the TP members must be selected according to the qualification criteria provided in these guidelines.

The evaluation must be transparent and is based on established rules, procedures, and assessment criteria that are provided by the Council. This also meansequal treatment of proposals and appropriate feedback. Confidentiality demands that TP members treat related data, intellectual property, and other documents in the proposal with security and protection from unauthorized access and use. Impartiality requires that proposals be assessed fairly and meritoriously. Thus, TP members must inform the Council and inhibit themselves from evaluating when a conflict of interest arise to avoid bias. Ultimately, the ethics and integrity are paramount to the evaluation since it is an essence of the scientific process and is intrinsic to society's trust in science.

II. Acronyms

A. DC – Division Chief

B. DOST – Department of Science and Technology

- C. **GC** – Governing Council
- D. **GIA** – Grants-In-Aid
- E. **NDA** – Non-Disclosure Agreement
- F. **PES** – PCIEERD Evaluation System
- G. **PCIEERD** – Philippine Council for Industry, Energy and Emerging Technology and Development
- H. **PM** – Project Manager
- I. **PMT** – PCIEERD Management Team
- J. **R&D** – Research and Development
- K. **S&T** – Science and Technology
- L. **TP** – Technical Panel
- M. **TPEC** – Technical Panel Evaluation Conference

III. **Definition of Terms**

- A. **Annex A** – refers to Expert’s Pool Evaluation Sheet
- B. **Annex B** – refers to PES User’s Manual
- C. **Annex C** – refers to Non-Disclosure Agreement
- D. **Annex D** – refers to Technical Panel Evaluation Criteria and Scoresheet
- E. **Annex E** – refers to Rules on the Conduct of Technical Panel Evaluation
- F. **Annex F** – refers to TP Performance Assessment
- G. **Annex G** – refers to Evaluation of PCIEERD R&D and Institutional Development for the Renewal of Multi-Year Projects
- H. **Annex H** – refers to TP Appraisal for Completed Projects
- I. **Annex I** – refers to PCIEERD Administrative Order No. 2020-002:Guideline in the Evaluation of Application for Registration on “Pioneer Status’ hereto attached

- J. **ConExion** – refers to PCIEERD Contacts and Experts Information System. It serves as a database for the contact information of TP experts and reference for the approval of the list of TP members.
- K. **Critical Comments** – shall refer to questions, issues and concerns about proposed projects or applications that may affect its implementation. It is characterized by any of the following (i) not directly found/contained in the proposal/application writeup; (ii) not satisfactorily answered or addressed during the course of PMT and TPEC Q&A session; (iii) response will change the items in the proposal and (iv) would require further review of TP members before proceeding to the next step of evaluation.
- L. **GIA** – grants-in-aid pertains to funds allocated to programs/projects by the DOST and its particular grant-giving agencies, including Regional Offices and Sectoral Councils.
- M. **NDA** – an agreement in writing with a degree of confidentiality between the parties.
- N. **PM** - a personnel assigned to handle one of the sectoral concerns of the Council with responsibilities such as but not limited to setting S&T directions and crafting call for proposals for priority programs areas, checking eligibility and initial technical evaluation of proposals, shepherding of evaluation of proposals in the different evaluation levels, and monitoring of ongoing and completed projects.
- O. **PMT** - refers to the PCIEERD Management Team who is responsible for the overall operation of the Council.
- P. **R&D** – stands for research and development. It comprises creative and systematic work undertaken to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge (Frascati Manual, 2015). The DOST PCIEERD has twenty-one sectoral coverage for R&D, encompassing industry, energy, emerging technology, and other special concerns.
- Q. **TP** – refers to acknowledged experts from government agencies, academe, and industry who are actively involved in research and development and practice of professions related to the industry, energy, and emerging technology sectors.
- R. **TPEC** – stands for Technical Panel Evaluation Conference (TPEC). It refers to the conference wherein members of the Technical Panel conduct review and evaluation of R&D proposals for possible funding under the PCIEERD's Grants-in-Aid Program

IV. **Composition**

The PCIEERD Technical Panel (TP) shall be composed of acknowledged experts from government agencies, academe, non-government institution and industry who are actively involved in research and development and practice of professions related to the industry, energy, and emerging technology sectors. It is recommended that a TP should

be composed of a mix of representation rather than a composition coming in just one sector.

The TP shall have a minimum of three (3) and a maximum of seven (7) members with no even number allowed. The evaluation shall be postponed if the number and composition are not met. However, in cases where the number of TP members is not met due to some instances such last minute cancellation of attendance of a TP member, the TP may be requested to send his/her evaluation in the PES and shall form part of the overall evaluation of the project proposal. Remuneration for the said TP shall be 50% of the allowable TP honoraria as stipulated in Section VIII.

To adhere to the principle of impartiality in the evaluation, a member who has conflict of interest arising from the project evaluation shall agree to the Conflict of Resolution Interest which form part of the NDA in Annex C. Conflict of interest could arise from:

- A. TP members who belong to the same institution as the proponent.
- B. TP members who have personal relationship with the proponent up to the third degree of consanguinity or affinity.
- C. TP members with businesses that compete directly with the output of the proposed project or with the proponent or who have personal interest in the research proposal.
- D. TP members who have competing interest (same proposal submitted previously, currently, or prospectively) with the outputs of the research proposal.
- E. Two or more proponents who will sit on same session of TP for which his/her proposal is also going to be evaluated is considered to be "in conflict". Therefore, TPs should be organized in such a way to avoid proponents evaluating each other's' work. In this instance, a quid-pro-quo situation may occur and as such, designating research proponents as TP members is highly discouraged and should be avoided.

V. Functions

A. As Technical Panel Proposal Evaluator

1. The PCIEERD TP shall provide technical experts' advice and conduct review and evaluation of R&D proposals on the supported sectors of the Council for possible funding under its Grants-in-Aid Program.
2. A TP shall be selected based on the criteria provided in Expert's Pool Evaluation Scoresheet hereto attached as Annex A. (Expert's Pool Evaluation Scoresheet)
3. A TP member must be included in the list of TP members provided in the Conexion.
4. Prior to the conduct of evaluation, refer to the PES User's Manual (Annex B) on the preparation/uploading of the documents, invitation of TPs, how to use the system prior to the TP Evaluation Conference (TPEC).

During the conduct of En banc/online meeting on the proposal evaluation/deliberation, the following procedure shall be observed:

1. *Document and Forms.* An Executive Brief of the proposal for evaluation shall be attached. Once the invitation is accepted, the expert shall sign up in the PES and input credentials in order to access and sign the Non-disclosure Agreement (NDA) and Conflict of Interest Resolution hereto attached as Annex C (Non-Disclosure Agreement). After which, the full-blown proposal and the TP scoresheet shall be made accessible to the expert.
2. *Evaluation Criteria.* The TP Evaluation Criteria are composed of the following: (1) scientific merit (30%); (2) methodology (30%); (3) financial soundness (15%); (4) timeframe; and (5) other issues. (See Annex D for Technical Panel Evaluation Criteria and Scoresheet).
3. *Preliminary Scoring.* Using the Evaluation Criteria, scores shall be entered by the TP member using scoresheets (see Annex D) sent to TP members through the PES *prior* to a TPEC. Preliminary scores shall be used for discussion purposes.
4. The PCIEERD shall conduct a TPEC for proposals received in accordance with the rules in Annex E (Rules on the Conduct of Technical Panel Evaluation).
5. The Panel shall elect a Chair from among the members to facilitate the deliberation ensuring equal airtime for members of the Panel.
6. The Project Manager (PM) shall brief the Panel on the priority areas of the Sector where the project proposal was submitted and aligned, the results of the PMT deliberation and the aggregated preliminary scores of the TP, uploaded project proposal files and of the guidelines on the conduct of project proposal deliberation using the PES.
7. The PM and/or the proponent shall present the project proposal highlighting its merits based on the criteria for evaluation of PCIEERD project proposals. A 5-minute pre-recorded video presentation is also recommended for time management to include facts about the proposal or project details, objectives, expected outputs, budget, and workplan.
8. After the presentation, the panel shall seek to clarify any items or concerns by allowing the Proponent or project team members answer the queries of the Technical Panel. A 10-minute Q&A session is allotted per project proposal.
9. The Panel shall then deliberate on the project proposal without the presence of the proponent. They shall elect a Chair to lead the discussion. The deliberation shall be guided and documented in accordance with the prescribed criteria and scoresheet.
10. As a guide to the deliberation, the high-scoring TP member/s shall be asked to discuss the merits of the proposal, while the lowest-scoring TP member/s shall make the

rebuttal/interpellation. The objective of the deliberation is to arrive at a consensus decision and score representing the collective evaluation and recommendation of the panel.

11. The PM shall prepare a synthesis documenting the comments, suggestions, recommendations and major decision and present it to the Panel for review and approval. The *critical comments* should be identified by the TP for rejoinder of the proponents.
12. The proposal with score a of 3.1 and above *and* without any critical comments shall not be required to be presented to the PMT for concurrence. Hence, the proposal shall be elevated to the next level of evaluation.
13. The consolidated comments and recommendations shall be sent to the proponent in order to address the comments especially those that are deemed critical. Responses to these comments shall be made through a rejoinder which shall be submitted in the DPMIS. The rejoinder for critical comments shall be presented by the TP Chair during the PMT Review of Rejoinders for final decision.
14. The agreements and highlights/minutes of meeting of the evaluation shall be uploaded in the PES for reference of the PMs in preparing the transmittal of TP comments. The comments of the TP shall be formally transmitted by the Division concerned to the proponent a day after the TP deliberation.
15. Failure of the proponent to provide rejoinders for critical comments after the set deadline of submission shall automatically render the proposal disapproved.
16. The concurrence of the PMT to the decision of the TP shall entitle the proposal to be endorsed to the Governing Council for deliberation/confirmation.
17. After the evaluation of project proposal, the TP's performance shall be assessed using the TP Assessment Form hereto attached as Annex F (TP Performance Assessment). The Project Manager shall fill out the form to be noted by the concerned Division Chief.

B. As Technical Panel Project Evaluator

1. For Monitoring of Projects

- a. The TP may be invited during the conduct of quarterly/semi-annual monitoring of ongoing projects to help assess accomplishments vis-à-vis target deliverables and provide comments and recommendations especially for highly technical projects. Their comments and recommendations shall form part of PCIEERD's observations and recommendations in the DOST Form 10: Project Monitoring and Field Evaluation Report.

2. For Renewal of Projects:

- a. The TP shall also be consulted to evaluate the accomplishments of the project following the criteria of evaluation hereto attached as Annex G (Evaluation of PCIEERD R&D and Institutional Development for the Renewal of Multi-Year Projects) during the deliberation of the renewal of multi-year projects.

3. For Oral Presentation:

- a. Likewise, they can be invited during the presentation of accomplishments of completed projects to provide comments and recommendations based on target deliverables and following the criteria of evaluation hereto attached as Annex H (TP Appraisal for Completed Projects). The same remuneration given to TP members shall be applied.

C. As Technical Panel for Pioneering Status Evaluation

A TP member may be consulted by the PCIEERD in the evaluation of application for Pioneering referred by Board of Investments and/or Philippine Economic Zone Authority (PEZA) to DOST to assist them in the determination of preferred areas to be included in the annual Investment Priorities Plan. The member may conduct evaluation and provide expert comments on an application in accordance with the terms and conditions set forth in PCIEERD Administrative Order No. 2020-002: Guideline in the Evaluation of Application for Registration on "Pioneer Status" hereto attached as Annex I.

D. As Technical Reviewer For Technical Documents

A TP member can also be tapped to serve as a Reviewer to provide comments, suggestions, recommendations or advise on a highly technical project/proposal that are not necessarily for GIA funding such as an application for certification for foreign investment in advanced technology in accordance with DOST Administrative Circular No. 002, Series of 1992 and its amendments, and for the valuation of a science-based policy recommendations of PCIEERD completed projects.

1. Upon receipt of the duly accomplished application form, the Project Manager (PM) shall evaluate the application according to the evaluation criteria within three (3) working days
2. The PM shall seek the comments from three (3) to five (5) experts through a TP meeting or electronic mail within ten (10) working days
3. After the provision of comments by the TP, the PM shall prepare an executive summary of the evaluation within two (2) working days. This serves as reference of the Executive Director in indicating final recommendations
4. For application of certification for foreign investment, the evaluation report shall be submitted to DOST.

VI. Tenure

The membership in the pool of TP is valid for a period of one (1) year, renewable after the end of each period upon the discretion of PCIEERD management. Members who wish to terminate their membership before the end of this period, should inform PCIEERD of such intention at least a month before the desired effectivity.

VII. TP Performance Assessment

The PCIEERD Technical Panel members will be assessed based on their performance using the prescribed criteria hereto attached as Annex F.

VIII. Remuneration

- A.** The rate of honoraria of the TP shall be in consonance with the DOST Memorandum Circular No. 001, Series of 2009 or subsequent amendments thereto. The TP Chair shall receive an honoraria rate of six thousand pesos (Php 6,000), while its members shall receive an honoraria rate of three thousand pesos (Php 3,000) for each session of evaluation of not more than three (3) project proposals. Succeeding evaluation on top of the maximum 3 proposals shall be considered another session. The duration covered by the honoraria rate shall be particular to project proposals initially evaluated by the TP.

Designation	Honorarium Rate
Chair	Php. 6,000/session
Member	Php. 3,000/session

- B.** The honoraria rates are subject to changes without prior notice subject to the issuance of relevant memoranda/circulars/administrative orders by appropriate offices. The rates are also subject to the availability of funds and the usual government accounting and auditing rules and regulations.
- a.** There shall be no additional remuneration in case the TP member is consulted as evaluator of the same program/project proposal.
- b.** Payment of TP honoraria shall be processed upon submission of the following documents:
- Evaluation Form duly signed
 - Special Order/Conexion screenshot
 - Signed Certificate of services rendered
- c.** The conduct of TP project proposal deliberation shall be in accordance with the PCIEERD guidelines on proposal evaluation.

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

Philippine Council for Industry, Energy and Emerging
Technology Research and Development



I-21-1117-32

Received on: 11.17.21/3:57:44 PM

Annex A: DOST Expert's Pool Evaluation Sheet

DOST EXPERT'S POOL EVALUATION SCORE SHEET	
SELECTION CRITERIA FOR EVALUATION	Score
Technical expertise (50%)	
The number of years of active involvement in the specified/relevant field or research area. Active involvement should consider relevant research/work experience and training/skills acquired.	
3-5 years – (30%)	
6-10 years – (40%)	
More than 10 years – (50%)	
Educational Attainment (20%)	
Degree of knowledge acquired from formal institution	
BS – 10%	
MS – 15%	
PhD – 20%	
Relevant experience as an evaluator (15%)	
Track record as an evaluator and puts emphasis on the expert's credibility to provide advice and recommendations on the specified field or research area.	
1-3 years – 10%	
4-6 years – 15%	
More than 6 years – 20%	
Current Position/Designation (5%)	
Availability of an accessibility to the services of the experts, e.g., experts holding higher management position in an institution can provide lesser time or is more difficult to tap as expert.	
Heads/President/CEOs/VPs – 2%	
Faculty – 3%	
Research and Extension Staff – 4%	
Consultant/Industry Practitioner – 5%	
DOST Agency Specific Preference (10%)	
To be identified by the evaluating agency (e.g., clearance from any accountability with DOST and its attached agency, and others)	
GRAND TOTAL	

Annex B: PES User's Manual



3.1 Accessing and Logging in

3.1.1 Signing-up to PCIEERD Evaluation System website from the email link

1. Project Manager creates proposal evaluation and assigns the technical panel.

For first time user, an email notification will be sent to technical panel or user's email account with the subject "Invitation to Evaluate Project Proposal".

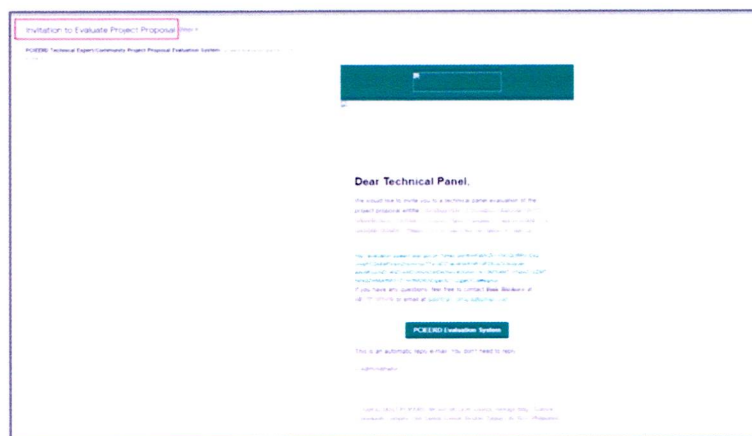


Figure 1: Email evaluation invitation

2. Click the [Link](#) from the email which will redirect the user to the **SIGN UP** page of PCIEERD Evaluation System.

Figure 2.1: PCIEERD Evaluation System - Sign-up Page

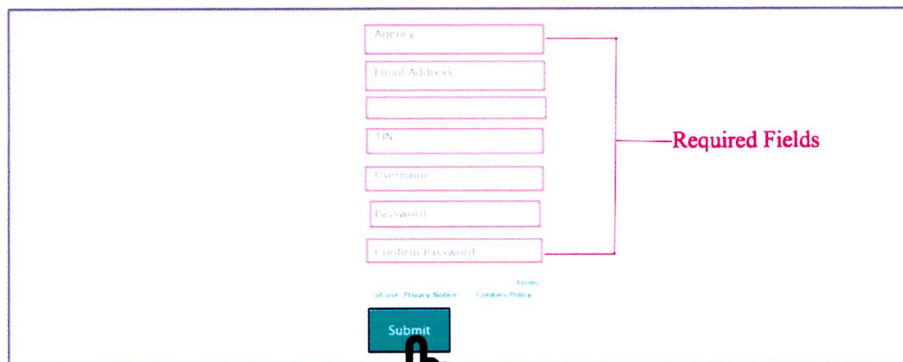


Figure 2.2: PCIEERD Evaluation System - Sign-up Page

3. User needs to input information in ALL **required fields**.
4. Once done, click the SUBMIT button.
5. User will receive another email with a subject **“PCIEERD Evaluation Signup”** and will need to wait for the Project Manager’s approval.

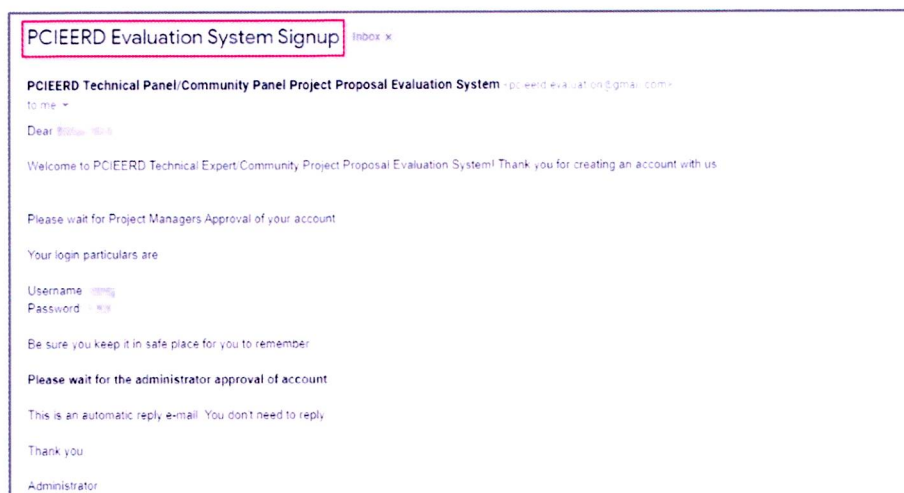


Figure 3: PCIEERD Evaluation System Sign-up email

6. Once approved, user will receive an email notification with a subject **“PCIEERD Evaluation System Account Request Notification”**

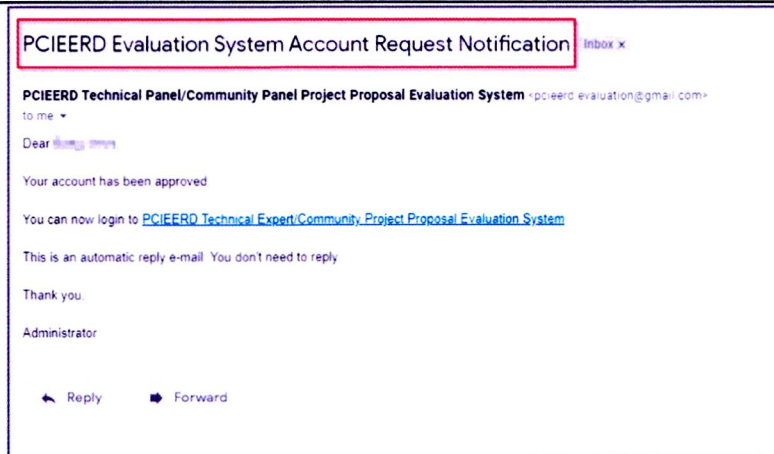
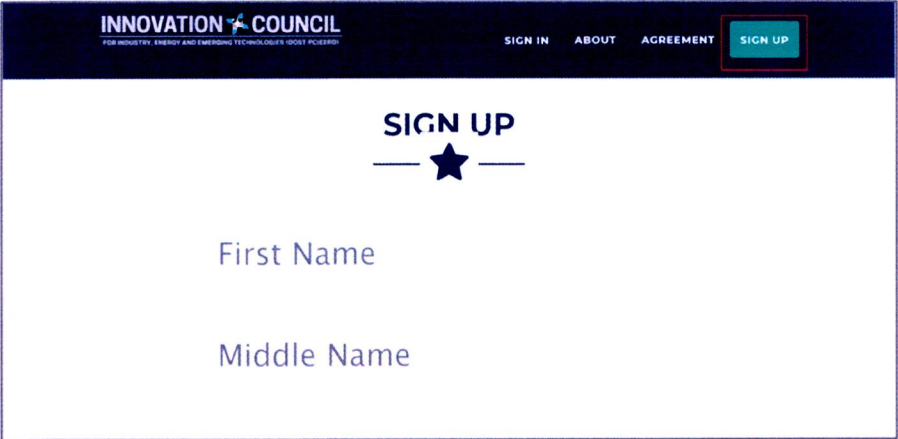


Figure 4: PCIEERD Evaluation System Account Request Notification

7. User may now sign-in to PCIEERD Evaluation System website using the registered and approved username and password.


3.1.2 Signing-up to PCIEERD Evaluation System website

1. Access PCIEERD Evaluation System: <http://evaluation.pcieerd.dost.gov.ph/>
2. Select **SIGN UP** from the navigation bar.



The screenshot shows the 'SIGN UP' page of the PCIEERD Evaluation System. At the top, there is a dark blue navigation bar with the 'INNOVATION COUNCIL' logo on the left and links for 'SIGN IN', 'ABOUT', 'AGREEMENT', and 'SIGN UP' on the right. The 'SIGN UP' link is highlighted with a red box. Below the navigation bar, the main content area has a white background. It features the text 'SIGN UP' in a large, bold, black font, centered, with a blue star icon below it. Underneath, there are two input fields labeled 'First Name' and 'Middle Name' in a light blue font. The entire form is enclosed in a thin blue border.

Figure 5: Sign-up Page

3. User needs to input information in ALL **required fields**. (Please see *Figure 2.1* and *Figure 2.2*)
4. Once done, click  button.
5. User will receive another email with a subject “**PCIEERD Evaluation Signup**” and will need to wait for the Project Manager’s approval. (Please see *Figure 3*)
6. Once approved, user will receive an email notification with a subject “**PCIEERD Evaluation System Account Request Notification**”. (Please see *Figure 4*).
7. User may log-in to PCIEERD Evaluation System website using the registered and approved username and password.

3.1.3 Logging-in to PCIEERD Evaluation System website

1. Access PCIEERD Evaluation System website: <http://evaluation.pcierd.dost.gov.ph/>



Figure 6: PCIEERD Evaluation System Landing page

2. Click  button.
3. Input **Username** and **Password**

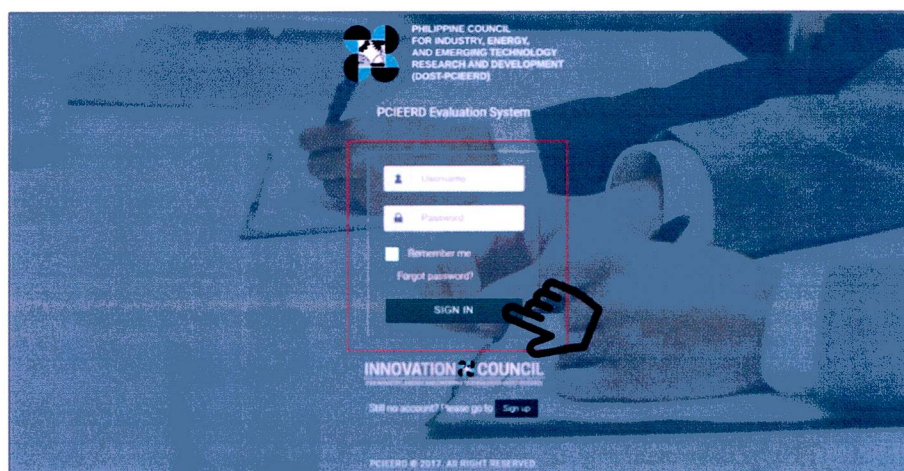


Figure 7: PCIEERD Evaluation System Log-in page

4. Click  button to log-in.

3.2 System menu

PCIEERD Evaluation System (TP account) is composed of 4 Main Menus:

- **Dashboard** (Figure 9)
- **Process** (Figure 13 & 13.1)
- **About** (Figure 12)
- **Evaluation Type** with three (3) sub-menus:
 - **Technical Expert Evaluation** (Figure 10)
 - **Community Evaluation**
 - **DOST-JSPS Evaluation.**

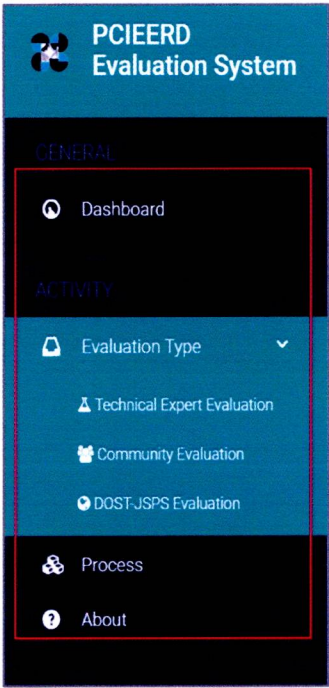


Figure 8: Technical Panel Account Menus



3.2.1 Dashboard

Dashboard menu contains Key Performance Indicator (KPI) for Technical Expert Project Proposal Evaluation, Community Project Proposal Evaluation and DOST-JSPS Project Proposal Evaluation.

This shows how many proposals in the following status: 'For Acceptance', 'Waiting for Approval', 'For Evaluation', and 'Evaluated'.

User can also view 'To do List' section which displays all open proposals.

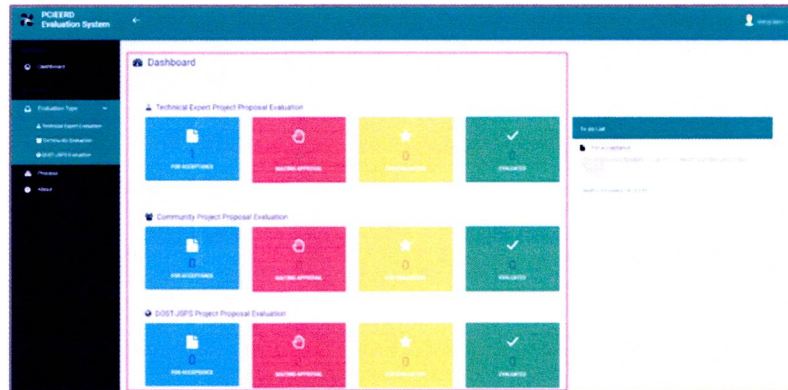


Figure 9: PCIEERD Evaluation System - Dashboard

3.2.2 Evaluation Type > Technical Expert Evaluation

Evaluation Type contains three (3) sub-menus: Technical Expert Evaluation, Community Evaluation and DOST-JSPS Evaluation.

Technical Expert Evaluation sub-menu is where user can view list of all proposals with status either 'For Approval', 'NDA Waiting Approval', 'Re-send NDA', 'For Evaluation', 'Evaluated', 'Denied', and 'View All'

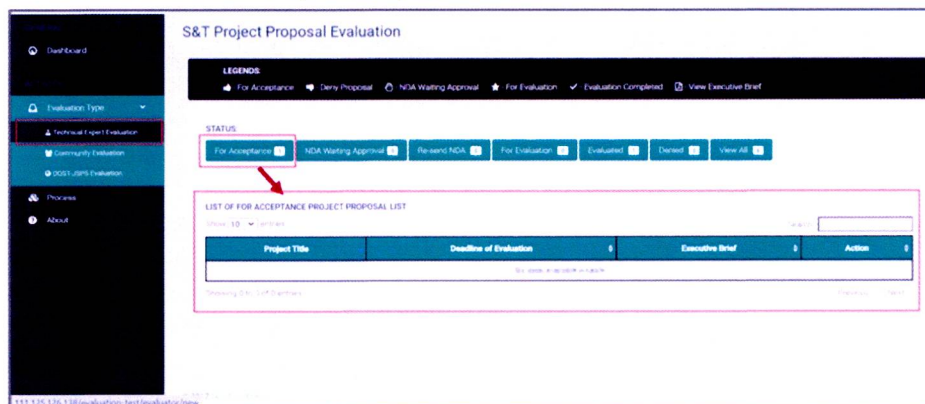


Figure 9: Technical Expert Evaluation page

3.2.3 Process

Process menu contains guides for Accepting of proposal for evaluation

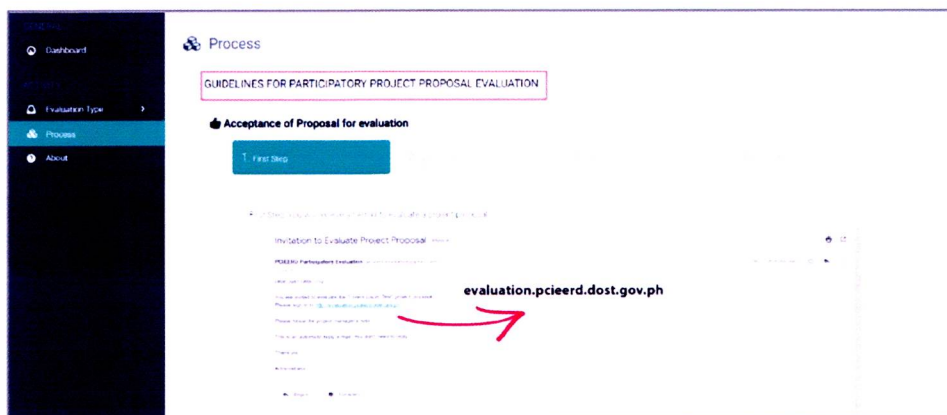


Figure 10: Acceptance of Proposal for Evaluation Process

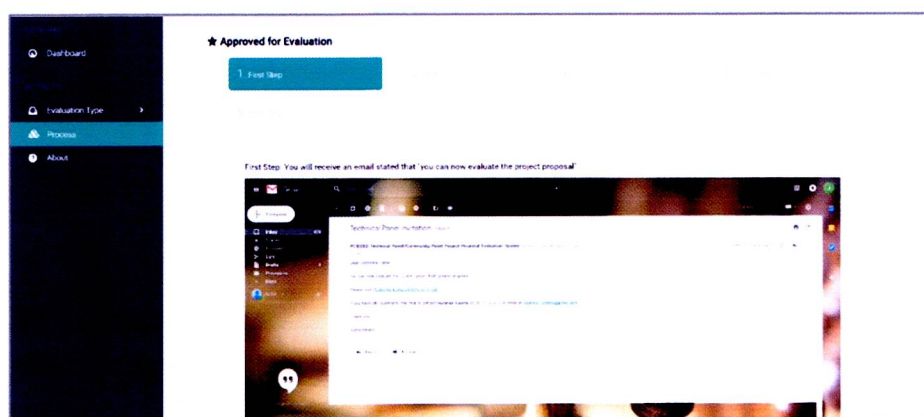


Figure 11.1: Approved for Evaluation Process



3.2.4 About

About menu contains the Rationale, Scope, Qualifications of Evaluators/Participants, Remuneration, and the Process of PCIEERD Evaluation System.

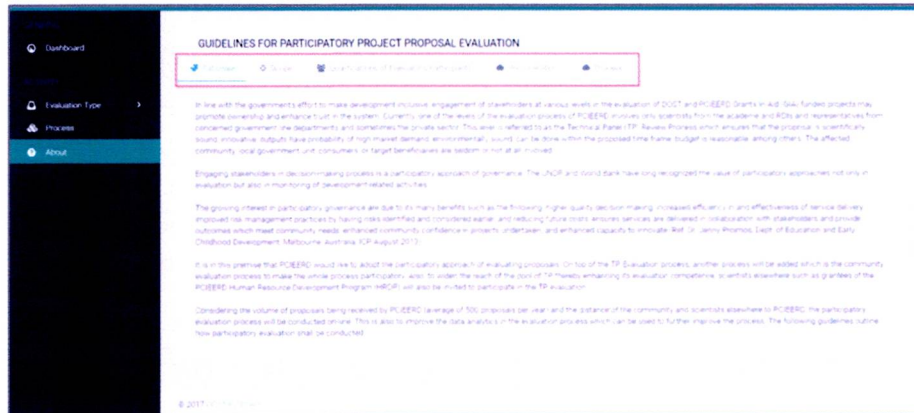


Figure 12: About menu

4. USING THE SYSTEM



4.1 Accepting Evaluation Proposal

1. Once assigned as Technical Panel, user will receive an email with a subject **“Invitation to Evaluate Project Proposal”**

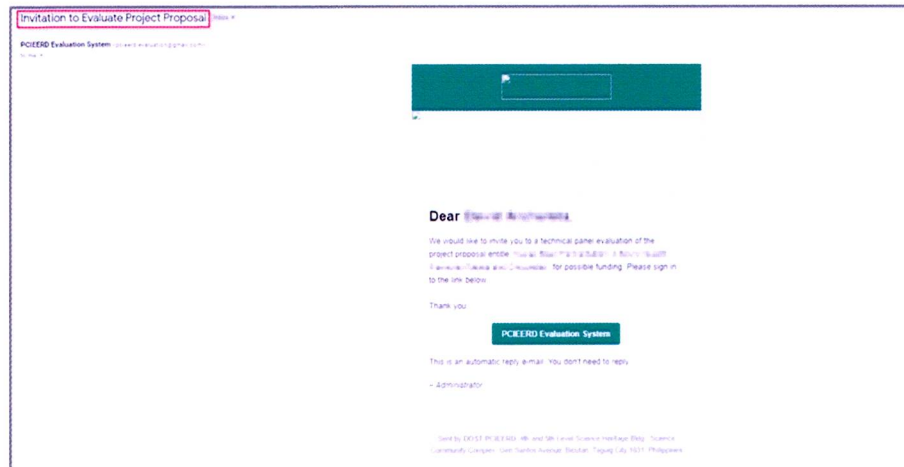


Figure 13: Invitation to Evaluation Proposal email

2. User may click the **PCIEERD Evaluation System** button or may access the PCIEERD Evaluation System website: <http://evaluation.pcieerd.dost.gov.ph/>

From the Dashboard Menu, user can view the list of Evaluation proposals subject **‘for Acceptance’** under **‘To Do List’**

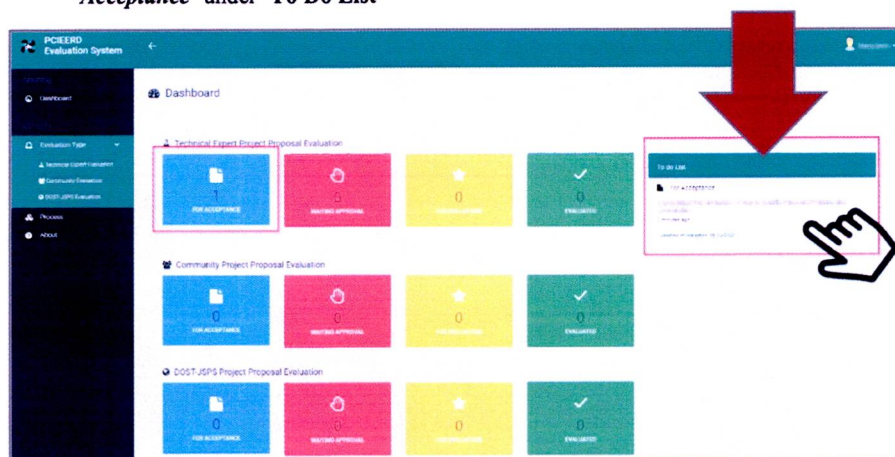


Figure 114: Dashboard - Accept Evaluation Proposal

- To accept the proposal, click the proposal directly from the list.
- System will redirect the user to **“Non-Disclosure Agreement”** page

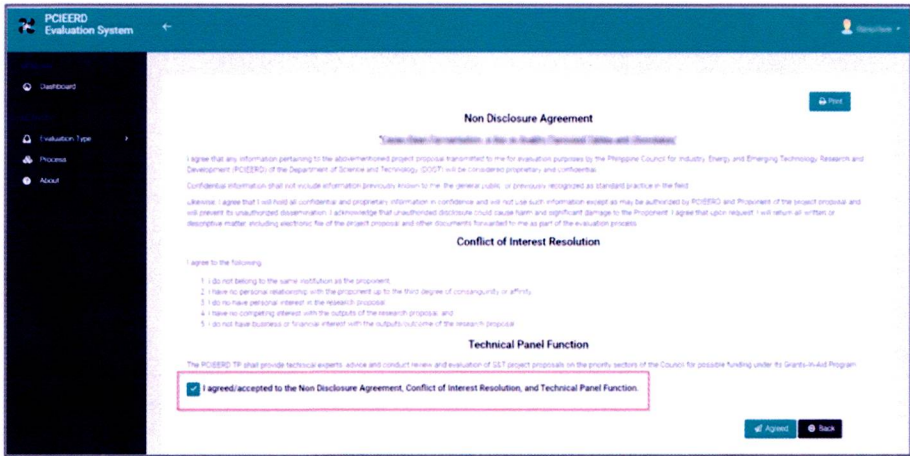



Figure 15: Non-Disclosure Agreement

- Tick the box beside **“I agreed/accepted to the Non Disclosure Agreement, Conflict of Interest Resolution, and Technical Panel Function.”**
- Click  button.
- System will redirect user to **“Evaluation Project Proposal”** page.

Non-Disclosure Agreement

(Title of Project) _____

I agree that any information pertaining to the abovementioned project proposal transmitted to me for evaluation purposes by the Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) of the Department of Science and Technology (DOST) will be considered proprietary and confidential.

Confidential information shall not include information previously known to me, the general public, or previously recognized as standard practice in the field.

Likewise, I agree that I will hold all confidential and proprietary information in confidence and will not use such information except as may be authorized by PCIEERD and Proponent of the project proposal and will prevent its unauthorized dissemination. I acknowledge that unauthorized disclosure could cause harm and significant damage to the Proponent. I agree that upon request, I will return all written or descriptive matter, including electronic file of the project proposal and other documents forwarded to me as part of the evaluation process.

A member who has conflict of interest arising from the project evaluation shall agree to the Conflict of Interest Resolution which form part of the NDA in Annex C. Conflict of interest could arise from:

1. TP members who belong to the same institution as the proponent.
2. TP members who have personal relationship with the proponent up to the third degree of consanguinity or affinity.
3. TP members with businesses that compete directly with the output of the proposed project or with the proponent or who have personal interest in the research proposal.
4. TP members who have competing interest (same proposal submitted previously, currently, or prospectively) with the outputs of the research proposal.
5. Two or more proponents who will sit on same session of TP for which his/her proposal is also going to be evaluated is considered to be "in conflict". Therefore, TPs should be organized in such a way to avoid proponents evaluating each other's work. In this instance, a quid-pro-quo situation may occur and as such, designating research proponents as TP members is highly discouraged and should be avoided.

Technical Panel Function

The PCIEERD TP shall provide technical experts' advice and conduct review and evaluation of S&T project proposals on the priority sectors of the Council for possible funding under its Grants-In-Aid Program.

Accepted and agreed to by:

SIGNATURE: _____

PRINTED NAME: _____

POSITION/DESIGNATION: Technical Panel

AGENCY/INSTITUTION: PCIEERD

DATE: _____

Annex D: Technical Panel Evaluation Criteria

Technical Panel Evaluation Criteria

Proposal Title:
Implementing Agency:

CRITERIA	INDICATORS	SCORE (Please see scoring below)	AVERAGE	REMARKS
1. Scientific Merit (30%)	Contribution to the advancement of knowledge and understanding in the field of Science & Technology.			
	The research is at par with the existing studies; cutting edge; world class research.			
	Sound scientific basis to generate new knowledge/innovative technology			
	Will contribute to the enhancement/development of skills and expertise in the field/discipline.			
2. Methodology (30%)	The procedures are clear, well-organized, well-described and based on a sound rationale.			
	The proposed methods and results are valid, replicable and reliable.			
	The proposed activities are reasonable to attain its expected outputs.			
3. Financial Soundness (15%)	The proposed budget is reasonable in the conduct of the research. Expense items			

	sought are appropriate and necessary.			
	There are adequate counterpart resources available (e.g. expertise, facilities) to carry out the research.			
4. Timeframe (15%)	The duration of the project and its activities are reasonable			
	The workplan is doable in a given timeframe.			
	The risk management plan was established to avoid delays in the project implementation.			
5. Other Issues (10%)	Compliance to regulatory requirements necessary in the conduct of research			
	Ethical issues (i.e do not harm, informed consent, voluntary participation, privacy, anonymity, confidentiality) are properly addressed.			
		GENERAL AVERAGE:		

Scoring: 0.00 - Does not meet criteria
2.00 - Meets criteria with major revisions needed
3.00 - Meets criteria with minor revisions needed
4.00 - Meets criteria with clarifications needed
5.00 - Meets criteria fully and completely

Legend: If the score is above (3) – Recommended for Funding
If the score is below (3) – Not Recommended

If the score is (3) – Recommended for Funding (with minor revision)

Recommendation:

☐ Recommended ☐ Not Recommended ☐ For Revision

Remarks:

Technical Panel:

Chairperson

Member 01

Member 02

Member 03

Member 04

MEMORANDUM

TO : All Concerned PCIEERD Personnel

FROM :  **DR. ENRICO C. PARINGIT**
Executive Director, DOST-PCIEERD



SUBJECT : RULES ON THE CONDUCT OF TECHNICAL PANEL EVALUATION
CONFERENCE (TPEC)

DATE : November 11, 2019

The PCIEERD, as a Policy and Planning institution of the DOST provides solutions through Scientific and Technological interventions. These interventions come in the form of programs and projects conceived out of the policy directions of the government to address societal problems. Considering the volume of proposals being received by PCIEERD (average of 500 proposals per year), the conduct of a Technical Panel Evaluation Conference (TPEC), is necessary to expedite the evaluation of project proposals. This initiative is done to comply with the 40-day evaluation period requirement, which is the Council's response to Republic Act (11032): Ease of Doing Business.

All project proposals submitted for DOST or PCIEERD GIA funding shall be subjected to Technical Panel (TP) evaluation process. Said process shall ensure that proposals are of scientific merit, innovative, environmentally sound, can be accomplished within the proposed time frame and reasonable budget, among others. (*see attached criteria*).

In addition, the following rules on the conduct of the TPEC must be observed:

1. The Policy Coordination and Monitoring Division (PCMD) of the Council, shall be the lead convener of the TPEC. As such, the division shall oversee the preparations in the conduct of the same such as the schedule, program, venue, presentations and other logistical requirements of the TPEC.
2. The concerned Program Managers (PMs) shall identify, invite and ensure the attendance of Technical Panel (TP) members who will participate on the scheduled TPEC.
3. The PCMD-Information Technology Management Unit (ITMU) shall conduct training for both the TP members and the PMs on the use of the online evaluation scoring system of PCIEERD. The PCMD-ITMU, shall at all times ensure the seamless and proper use of the said system.

4. The TP members shall make an individual evaluation and scoring of the proposals through the online evaluation scoring system of PCIEERD prior to the TPEC.
5. During the conference, the concerned PMs shall initially discuss with the TP members the results of the PCIEERD Management Team (PMT) proposal evaluation. Also, the PMs shall emphasize that PMT evaluation criteria dwells mainly on the socio-economic aspects of the proposals, while the TP shall tackle on the technical merits of the proposal.
6. During the conference, presentations of the proponents are not necessary. Only upon the expressed need of the TP can a proponent be sought to answer important questions for clarifications. The proponent can either answer questions through phone patch, video call or be present when it is deemed necessary, for the sole purpose of answering specific questions regarding the proposal.
7. The assigned TP Chairperson shall facilitate the deliberations of the proposal. The TP members who provided the highest and lowest score shall initially justify their respective scores given to a proposal.
8. There shall be a consensus among TP members regarding the final score given to a proposal. All TP members shall affix their signatures on the final rating of the proposal.

This order takes effect immediately and shall continue to be enforced until revoked in writing.

Please be guided accordingly.

Annex F: TP Performance Assessment

**PHILIPPINE COUNCIL FOR INDUSTRY, ENERGY, AND EMERGING TECHNOLOGY RESEARCH AND DEVELOPMENT
(PCIEERD)**

TP PERFORMANCE ASSESSMENT

Name of Evaluator	Agency/Affiliation
Title of Proposal Evaluated	
Date Forwarded to Evaluator	Date Due
	Date of Submission
Please encircle the number that corresponds to your assessment of the Evaluator's performance using the following scale:	
Timeliness (20%) - For ad ref proposals only 5 – Submitted TP scores and comments on the prescribed time 3 – Submitted TP scores and comments 1 day after the prescribed time 1 – Submitted TP scores and comments more than 1 day	
Objectivity (Unbiased) / Value of Expert's Opinion - Provide comments that are factual and unbiased 5 – Always provide comments that are factual and unbiased; Always contribute valuable assessment, opinion during TP Evaluation that more often becomes the basis for the final recommendation of the proposal 3 – Sometimes provide comments that are factual and unbiased; Provide general comments, observations and opinion that are acceptable to other TP members 1 – Provide comments with some biases; Comments, observations and opinions are most often only similar with other TP	
Insightful and Comprehensive Evaluation (50%) 5 – Provided sound innovations and constructive recommendations to all applicable criteria 3 – Provided recommendations and comments to most of the criteria 1 – Provided comments to some of the criteria	
Ability to work with others (10%) 5 – demonstrates exceptional work ethic and actively advocates and influences others; Has exceptional work ethic, maintains professionalism, composure, and demonstrates good attitude towards his/her co-panel and the proponents 3 – Maintained professionalism, good attitude and composure during the evaluation; is generally good-natured during the evaluation period 1 – sometimes demonstrate a good attitude towards the proponents; occasional display of disrespectful and impolite behavior towards his/her co-panel and/or the proponents	
Items for Evaluation	RATING
Timeliness (For ad ref proposals only)	5 3 1 0
Objectivity (Unbiased)	5 3 1 0
Insightful and Comprehensive Evaluation	5 3 1 0
Ability to work with others	5 3 1 0
Comments/Suggestions:	
RATED BY: <div style="text-align: center;">_____</div> <div style="text-align: center;">Technical Staff/PM</div> <div style="text-align: center;">_____</div> <div style="text-align: center;">Date</div>	NOTED BY: <div style="text-align: center;">_____</div> <div style="text-align: center;">Division Head</div> <div style="text-align: center;">_____</div> <div style="text-align: center;">Date</div>

Annex G: Evaluation of PCIEERD R&D and Institutional Development for the Renewal of Multi-Year Projects

**Evaluation of PCIEERD R&D and Institutional Development for the Renewal of
Multi-year Projects**

Year 2 Renewal Evaluation Sheet

Project Title	
Date of Evaluation	



CRITERIA	INDICATORS	EVALUATION
1. Objectives	Deliverables are reasonable, within the approved original project scope	
2. Actual Accomplishments in previous year	Target/Milestone, Percentage Accomplishment	
3. Reasonable time frame for succeeding renewal period	Carry over, new, continuing, replicate, activities vis-à-vis proposed timeframe	
4. Reasonable proposed budget for succeeding renewal period	Savings, unexpended balance, realignment, reprogramming, creation of new items, within the approved original LIB, etc.	

Recommendation:

☐ Recommended

☐ Not Recommended

Remarks:

1. .

Evaluation of PCIEERD R&D and Institutional Development for the Renewal of
Multi-year Projects

Year 2 Renewal Evaluation Sheet

Project Title	:	
Date of Evaluation	:	

Technical Panel:

Presentation of Accomplishments
Date:

Project Title:

Appraisal of Completed Projects

1. Objective Attainment and Expected Outputs Achieved
- 4 - The project exceeded the set goals and objectives
 - 3 - The project satisfied the set goals and objectives
 - 2 - The project partially satisfied
 - 1 - The project did not meet its set goals
2. Timeliness
- 4 - The project finished ahead or on schedule with terminal report
 - 3 - The project was completed on schedule w/ delayed terminal report
 - 2 - The project was extended once
 - 1 - The project was extended more than once

Remark/s:

3. Checklist for 6Ps evaluation

Expected Outputs / 6Ps	Actual Accomplishments	Remarks
Publication:		
Product:		
Places & Partnership:		
People Services:		
Patent:		
Policy:		

4+ Next Steps

Criteria	Remarks
Project is recommended for Technology Transfer (Licensing, deployment, training, outright sale, spin-off, co-produce) <ul style="list-style-type: none">o As iso With improvemento Not recommended	
For further research <ul style="list-style-type: none">o For further funding by DOSTo For further funding by cooperatoro Not recommended for further research	
For policy studies/recommendations <ul style="list-style-type: none">o Will result to policy recommendationo Will not result to policy recommendation	

5. Are there innovations presented by the project? If yes, are these innovations significant for adoption of the outputs?

6. Other Comments

TECHNICAL PANEL:

NAME	AGENCY	ROLE	SIGNATURE

Annex I: A.O. No. 2020-002: “Guidelines in the Evaluation of Application for Registration on Pioneering Status.



04 March 2020

PCIEERD Administrative Order No. 2020-002
Series of 2020

**Subject: Guideline in the Evaluation of Application for Registration on
"Pioneer Status"**

- I. **Background.** The Executive Order No. 226 otherwise known as The Omnibus Investments Code of 1987, which is implemented by the Board of Investments (BOI) under the Department of Trade and Industry (DTI), provides a comprehensive set of incentives for local and foreign enterprises engaged in activities considered by the government as high priority for national development. It mandates the BOI to submit to the Office of the President an Investments Priorities Plan (IPP), which lists the preferred area for investment. These preferred areas are classified as either pioneer or non-pioneer. Persons or entities, also known as Applicant Enterprise, that engage in the priority areas of investment under the IPP may avail of the incentives provided under the Code upon approval of the certification of registration as "Pioneer Status".

Likewise, the Philippine Economic Zone Authority (PEZA) also provides incentives to an enterprise that has a project granted with a "Pioneer Status" for manufacturing upon satisfaction of the criteria based on PEZA rules and regulations. The PEZA is also an attached agency under DTI which was created through Republic Act No. 7916, as amended by Republic Act No. 8748 known and cited as "The Special Economic Zone Act of 1995.

Both the BOI and PEZA conducts independent evaluation prior to granting of registration on a Pioneer Status. Part of their evaluation process is to seek comments/opinion and recommendation from the Department of Science and Technology (DOST). In coming up with a recommendation, the DOST refers the application to the appropriate Councils and Agencies including Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) for evaluation.

- II. **Purpose.** This Administrative Order is being issued as guiding principle for PCIEERD in evaluating application for registration on Pioneer Status submitted by BOI and PEZA upon referred by the DOST.
- III. **Definition of Terms.** For the purpose of this issuance, the following terms and definitions shall apply based on Executive Order No. 226; Republic Act No. 8748, an Act Amending Republic Act No. 7916; and DOST Memorandum Circular No. 001, Series of 2003:
- a. Pioneer Enterprise shall mean a registered enterprise (1) engaged in the manufacture, processing or production, and not merely in the assembly or packaging of goods, products, commodities or raw materials that have not

been or are not being produced in the Philippines on a commercial scale; or (2) which uses a design, formula, scheme, method, process or system of production or transformation of any element, substance or raw materials into another raw material or finished goods which is new and untried in the Philippines; or (3) engaged in the pursuit of agricultural, forestry and mining activities and/or services including the industrial aspects of food processing whenever appropriate, pre-determined by the Board, in consultation with the appropriate Department, to be feasible and highly essential to the attainment of the national goal, in relation to a declared specific national food and agricultural program for self-sufficiency and other social benefits of the project; or (4) which produces non-conventional fuels or manufactures equipment which utilize non-conventional sources of energy or uses or converts to coal or other non-conventional fuels or sources of energy in its production, manufacturing or processing operations.

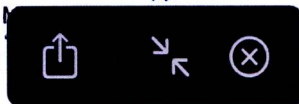
- b. Non-pioneer Enterprise shall include all registered producer enterprises other than pioneer enterprises
- c. Manufacturing/Processing/Manipulation shall mean the process by which raw or semi-finished materials are converted into a new product through a change in their physical, mechanical or electro-magnetic characteristics and/or chemical properties.
- d. Applicant Enterprise refers to an entity applying for Pioneer Status.
- e. Expert refers to an individual who has a special expertise in the area of science and technology (S&T) wherein this expertise is not within the capability of PCIEERD.
- f. Technical Panel (TP) refers to a group of experts called to aid PCIEERD in the evaluation of applications.

IV. **Objective.** The objective of this guideline is to ensure that all applications referred to PCIEERD shall undergo systematic evaluation according to the established criteria within the prescribed period.

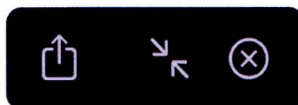
V. **Scope.** This guideline shall apply to all applications for Pioneer Status referred by the DOST to PCIEERD for evaluation. The Applicant Enterprise through its Head or its Representative and the Panel of Experts are also covered by this guideline.

VI. **Guidelines.** To ensure orderly and systematic evaluation of applications, the attached Annex A. Process Flow in the Evaluation of Application for Registration on "Pioneer Status" with the following corresponding guidelines shall apply:

1. The Project Manager (PM) shall evaluate the application within three (3) working days according to the evaluation criteria based on Article 17 of Executive Order No. 226 for application under BOI and PEZA Rules and Regulations for MIP and MIP-PEZA, hereto attached as Annexes "A" and



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2. In order to support the evaluation, the PM shall seek comments from three (3) to five (5) experts through a TP meeting or electronic mail. A Non-disclosure Agreement and Non-conflict of Interest Resolution/Non-competition Clause shall be signed by the experts prior to evaluation. The proforma of Non-disclosure Agreement and Non-conflict of Interest Resolution/Non-competition Clause is hereto attached as Annex "C".
 3. Technical Panel Meeting. The PM shall convene a Technical Panel meeting within ten (10) working days after the conduct of initial evaluation by the PM.
 - 3.1. The PM shall brief the TP on the evaluation guidelines and the criteria.
 - 3.2. The Head of Applicant Enterprise or its Representative shall present to the TP the details of application highlighting its merits vis-à-vis the criteria for evaluation.
 - 3.3. After the presentation, the TP may ask the Head of Applicant Enterprise or its Representative impartial questions to clarify any concerns related to the application. The TP and PM shall refrain from making any comments or hints on their recommendation. Further, the PM shall inform the Applicant Enterprise or its Representative that the DOST evaluation shall be sent to PEZA or BOI, who shall issue the final decision on the application.
 - 3.4. The TP shall deliberate on the application without the presence of the Head of Applicant Enterprise or its Representative. The deliberation shall be guided and documented in accordance with the prescribed Evaluation Sheet, hereto attached as Annex "D".
 - 3.5. After deliberation, the prescribed Evaluation Sheet indicating the recommendation shall be signed by the TP. The recommendation shall be confidential and not disclosed by any PCIEERD personnel or experts to the Applicant Enterprise or its Representative.
 4. Electronic Mail
 - 4.1. The PM shall send the application to the expert together with the evaluation guidelines, the criteria and the evaluation sheet for evaluation.
 - 4.2. The expert shall send the filled-in evaluation sheet to the PM indicating the recommendation. The said sheet must affix the signature of expert.
 5. The PM and experts may opt to conduct an ocular inspection of the Applicant Enterprise's facilities, if necessary. In such cases, final deliberation by the PM and TP shall be made after the conduct of the ocular inspection.
 6. The PM shall prepare an executive summary of the evaluation within two (2) working days using the prescribed Executive Summary Formats for BOI and/or PEZA, hereto attached as Annexes "E" and "F", respectively. This shall serve as reference of the Executive Director in indicating final recommendations to the DOST.



VII. Remuneration. The TP shall receive honoraria in consonance with the existing DOST Memorandum Circular No. 001, Series of 2009, subject to the availability of funds and the usual government accounting and auditing rules and regulations. Any changes in the honoraria rate shall be applied as appropriate, without prior notice, upon issuance of relevant Memoranda, Circulars or Administrative Orders by the appropriate offices.

VIII. Effectivity. This guideline shall take effect immediately and shall remain in force until revoked in writing.


DR. ENRICO C. PARINGIT
Executive Director

Annexes:

- A. Process Flow in the Evaluation of Application for Registration on "Pioneer Status"
- B. Criteria for Evaluation of Application for Registration on "Pioneer Status" under BOI
- C. Criteria for Evaluation of Application for Registration on "Pioneer Status" under PEZA
- D. Non-Disclosure Agreement (NDA)
- E. Evaluation Sheet
- F. Executive Summary Format for Application under BOI
- G. Executive Summary Format for Application under PEZA

References:

- Executive Order No. 226 otherwise known as "The Omnibus Investments Code of 1987"
- Republic Act No. 8748, an Act Amending Republic Act No. 7916, Otherwise Known as "The Special Economic Zone Act of 1995"
- DOST Memorandum Circular No. 001, Series of 2003 – Revised Implementing Guidelines on the Grant of Honoraria to Personnel Whose Services are Engaged by the National Science and Technology System
- DOST Memorandum Circular No. 001, Series of 2009 – Amendment to DOST Memorandum Circular No. 001, Series of 2003

Philippine Council for Industry, Energy and Emerging
Technology Research and Development



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