



**PCIEERD Administrative Order No.** 2021-008  
Series of 2021

## **GUIDELINES ON PROJECT PROPOSAL EVALUATION**

### **I. Rationale**

The Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) undertakes Science and Technology (S&T) initiatives to uphold its mandate enshrined in the Rationalization Plan in accordance with Executive Order No. 366, s. 2004 entitled, "Directing a Strategic Review of the Operations and Organizations of the Executive Branch and Providing Options and Incentives for Government Employees who may be Affected by the Rationalization of the Functions and Agencies of the Executive Branch."

The Council accepts proposals for Grants in-Aid (GIA) funding on Science and Technology (S&T) through "Call for Proposals" on the Council's sectoral concerns aligned with priority areas of the Harmonized National R&D Agenda (HNRDA). The GIA program's primary purpose is to advance scientific innovation through programs/projects that will promote economic, social, and environmental progress. It also encourages and provides opportunity for S&T collaboration among Higher Education Institutes (HEIs), government Research and Development Institutes (RDIs), and non-profit S&T organizations seeking funding for their S&T initiatives.

### **II. Purpose**

This document aims to standardize the conduct of proposal evaluation through guidelines directed to officers and personnel of DOST, PCIEERD, proponent and implementing agencies, and other concerned institutions (see Annex A: Process Flow and Timeline for Proposal Evaluation). The project proposal shall undergo a rigorous process of evaluation to determine its eligibility, viability, and potential benefits that impact or effect the economy, society, and environment.

### **III. Acronym**

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

**A. DC - Division Chief**

**B. DOST - Department of Science and Technology**

- C. DOST-ExeCom - DOST Executive Committee
- D. ConExion -Contacts and Experts Information System
- E. DPMIS - DOST Project Management Information System
- F. ETDD - Emerging Technology Development Division
- G. EUSTDD - Energy, Utilities and System Technology Development Division
- H. GC - Governing Council
- I. GIA - Grants-in-aid
- J. HRIDD – Human Resources and Institutional Development Division
- K. ITDD - Industrial Technology Development Division
- L. PCMD - Policy Coordination and Monitoring Division
- M. PES - PCIEERD Evaluation System
- N. PL - Program/Project Leader
- O. PM - Project Manager
- P. PMIS - Project Management Information System
- Q. PMT - PCIEERD Management Team
- R. RITDD – Research Information and Technology Transfer Division
- S. TP - Technical Panel
- T. TPEC - Technical Panel Evaluation Conference
- U. SPD - Special Projects Division

#### **IV. Definition of Terms**

- A. Concurrence – means agreement among the members of the PMT, TP, GC, or DOST-ExeCom.
- B. Cross-cutting – means the project proposal could belong to more than one sector or division of the Council.



- C. Evaluation – means the determination of the proposal's viability and conformity to criteria set by the Council.
- D. Grants-in-Aid – funds allocated to programs/projects by the DOST and its particular grant-giving agencies, including Regional Offices and Sectoral Councils.
- E. Line-item-budget - is the detailed breakdown of a research project's expenses to be funded by the funding, implementing, and cooperating agencies. It should contain all the direct and indirect costs of all activities of the research project.
- F. Rejoinder – it is a document that addresses the critical and non-critical comments of evaluators (members of PMT, TP, GC, EXECOM) of the proposal.
- G. Research proposal – it is a document consisting of details of the research project to be funded under the Council or DOST GIA.
- H. Revision – it is the act of changing or redirecting certain parts of the proposal.

## **V. Coverage**

These guidelines shall cover the following levels of proposal evaluation: Division, PCIEERD Management Team (PMT), Technical Panel (TP), Governing Council (GC) and DOST Executive Committee (DOST-ExeCom). These are promulgated in reference to issuances and guidelines related to proposals and projects, including, among others, DOST A.O. No. 011 series of 2020, "Revised Guidelines for the Grants-in-Aid Funds of the Department of Science and Technology and Its Agencies," DOST A.O. No. 014 series of 2019, "Project Monitoring and Evaluation (M&E) Protocol of the Department of Science and Technology," PCIEERD A.O. No. 2017-125, "Guidelines for Participatory Project Proposal Evaluation," and PCIEERD A.O. No. 2021-007, "PCIEERD Guidelines on Technical Review and Evaluation."

## **VI. Assigning of Proposals to Concerned Divisions and Project Managers**

The assigning of proposals to concerned Divisions shall be conducted within two (2) days after the closing of each Call for Proposals. The PMT shall meet to initially discuss and determine to which Division each proposal shall be assigned. After which, the PCMD Planning Unit shall tag the assigned Division for each proposal in the PMIS. The concerned Division Chiefs shall in turn assign and tag the proposals in the PMIS to their respective PMs.



A timetable for the evaluation process shall be prepared by the PCMD Planning Unit for reference of the evaluators.

## **VII. 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 deal with the succeeding subsections.

### **A. Division Level:**

1. The duration of evaluation of project proposal on the Division level shall be within seven (7) days upon receipt of the proposal by the Technical Division namely, Emerging Technology Development Division (ETDD), Industrial Technology Development Division (ITDD) and Energy, Utilities and Systems Technology Development Division (EUSTDD), RITDD, and HRIDD 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. Division Chiefs shall ensure that Sectors with history (e.g. last 3 Call period) of exceeding the threshold number of proposals shall increase the number of Project Managers. The prescribed ratio for PM to proposals shall be 1 PM to 6 proposals per Call period.
4. If 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 or within the 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) within one (1) day on top of the seven (7)-day evaluation period in the Division level.
5. The Project Manager shall conduct eligibility check on the proposal using the PM Checklist (see Annex B: PM Checklist). If the proposal is eligible, the following shall be uploaded in the PES: (1) Executive Brief signed by the concerned DC (see Annex C: Executive Brief), (2) Line-Item-Budget (LIB) (see Annex D: Line-Item-Budget), (3) PMT pre-scoring, (4) PM Checklist, and (5) PowerPoint presentation. The proponent shall be informed on the result of the division level evaluation including the initial



PM comments and the PMIS shall be updated. The proposal shall then proceed to the PMT level for deliberation. Conversely, if the proposal is not eligible, the PM shall prepare and send the disapproval letter within the evaluation period, specifying the reason/s for the disapproval. The date when the said letter is signed shall be the basis for the end of the evaluation at the division level. The PMIS shall be updated. (see Annex B: PM Checklist)

## **B. PCIEERD Management Team (PMT) Level**

1. The duration of evaluation of proposal on the PMT level shall be within four (4) days from the date of evaluation on the Division level, unless the proposal requires submission of rejoinder, in which case, it shall have an additional of five (5) days to submit the rejoinder.
2. 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. Sectors with the most number of proposals will be scheduled on the last day to give enough time for PM to conduct eligibility check and initial technical evaluation. The PMT shall only deliberate proposals included in the PMT agenda submitted to PCMD. For the proposals to be included in the PMT agenda, it must be uploaded in the PES.
3. 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, each proposal shall be given strictly five (5) minutes for presentation and ten (10) minutes for deliberation.
4. The PMT shall flag critical and non-critical comments and decide on the final score of the proposal based on the following criteria: (1) socio-economic impact (35%); (2) environmental impact (10%); (3) plans for research/project results utilization (30%); and (4) marketability (25%). (See Annex E: PMT Evaluation Criteria, Indicators, and Guide Questions)
5. The proposal needs a score of 3.0 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.
6. If the proposal obtains passing PMT scores, it shall be forwarded to the TP at once.
7. The PM shall inform the proponent of the PMT comments via email.
8. 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 within the evaluation period,



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)

### **C. Technical Panel (TP) Level**

1. A Special Order (S.O.) shall be issued designating the list of Technical Panel (TP) of Evaluators for PCIEERD and DOST-funded proposals and projects listed in the ConExion. The list shall be updated every January of each year or whenever necessary.
2. The duration of evaluation of proposal on the TP level shall be within four (4) days from the date of PMT evaluation, unless the proposal requires submission of rejoinder, in which case, it shall have an additional of five (5) days to submit the rejoinder. A duration of five (5) days shall also be allocated to the proposal for final decision of the PMT if it has critical comments from PMT and TP.
3. The Division/PM concerned will organize the TP meeting for the evaluation of the proposal. A minimum of three (3) members and maximum of seven (7) shall constitute the TP. The members shall elect a Chair to lead the evaluation process.
4. The proponent/s of the proposal and its industry partner/s may also be invited to the evaluation, if needed.
5. The PMT members or their representatives attending the presentation shall serve as resource persons and give advice on on-going programs/projects and administrative policies of the Council.
6. TP members shall be selected from the PCIEERD's pool of experts. They shall be invited through the Proposal Evaluation System (PES) email invite function. 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. After which, the full-blown proposal and the TP scoresheet shall be made accessible to the expert.
7. The Project Manager shall brief the TP on the priorities of the Council where the proposal should be aligned, the PMT results of evaluation, and the guidelines on the conduct of project proposal deliberation. The proposal shall also be presented by the Project Manager or Project Leader to the Technical Panel highlighting the merits of the proposal.



8. The TP Evaluation Criteria are the following: (1) scientific merit (30%); (2) methodology (30%); (3) financial soundness (15%); (4) timeframe; and (5) other issues. (See Annex F: Technical Panel Evaluation Criteria and Scoresheet).
9. After the presentation, the TP shall deliberate on the proposal and provide ratings and comments based on the prescribed TP Evaluation Criteria and scoresheet. The PM shall prepare the synthesis of the TP evaluation.
10. The high-scoring TP member/s shall discuss the merits of the proposal, while the lowest-scoring TP member/s shall make the rebuttal/interpellation.
11. The proposal needs a score of 3.0 and above to be elevated to the next level of evaluation.
12. 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.
13. The concurrence of the PMT to the decision of the TP shall entitle the proposal to be endorsed to the Governing Council for deliberation.
14. 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.
15. 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 during the PMT Review of Rejoinders for final deliberation and decision.
16. The Project Manager shall seek clearance of the rejoinder for critical comments from TP Chair prior to PMT deliberation.
17. Failure of the proposal to provide rejoinders for critical comments within the deadline shall automatically render it disapproved.
18. 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, this shall automatically be disapproved.
19. All PMT members are encouraged to attend the TP deliberations.

#### **D. Governing Council Level**



1. The period of endorsement/transmittal of proposals to the GC level shall be within five (5) days from the date of TP evaluation or PMT evaluation, if it had critical comments from the PMT and TP. Once endorsed/transmitted, the GC shall have a duration of three (3) days to evaluate the proposal.
2. 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.
3. The presentation of proposals to the GC shall be scheduled by sector.
4. Before the start of project presentations of each sector, the Project Manager shall present in 5 minutes the following: (1) roadmap of the sector and alignment of the different program/project proposals to the roadmap; (2) how proposals met the GC criteria; (3) details of the budget; and (4) workplan.
5. The presentation and deliberation shall be limited to fifteen (15) minutes per project: five (5) minutes recorded presentation by the Project Leader (PL) and ten (10) minutes for deliberation of the GC.
6. The GC shall consider the following criteria for deliberation and scoring of proposals: (1) soundness of proposal (20%); (2) suitability of output (30%); (3) significance of outcome (30%); and (4) competence of proponent (20%). (see Annex G: Governing Council Evaluation Criteria and Scoresheet)
7. The scoring of the proposal shall be done in the PES for purposes of ranking.
8. 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).
9. 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. The rejoinder for critical comments shall be reviewed by the Project Manager and Division Chief concerned prior to re-evaluation and recommendation of the PMT to the GC. The GC members shall conduct a deliberation for the final decision.
10. Failure to submit the rejoinder after two (2) consecutive GC evaluations shall result to disapproval of the proposal.



11. 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, the proponent shall be requested to submit a revised proposal (including LIB, workplan) incorporating all the responses to the comments (based on submitted rejoinders) from the Division level to the GC Level before it shall proceed to processing of memorandum of agreement. In cases where proposals are conditionally approved at the GC level, the proponent has to comply first with the GC requirements.
12. If the proposal is to be funded under PCIEERD-GIA, a memorandum of agreement shall be processed by PCIEERD. Nevertheless, if it is under DOST-GIA, an executive brief, line-item-budget, PowerPoint presentation, and endorsement letter shall be submitted to the Special Projects Division (SPD) for inclusion in the DOST-ExeCom agenda.
13. 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.

#### **E. DOST Executive Committee Level**

1. Only projects that are identified to be funded under the DOST-GIA will undergo this level of evaluation.
2. The period of endorsement/transmittal of proposals to the DOST ExeCom shall be five (5) days from the date of GC evaluation. Once endorsed/transmitted, the DOST ExeCom shall deliberate on the proposal within three (3) days.
3. The proposal shall be presented by the Project Manager, Division Chief, Executive Director, and/or Project Leader.
4. The DOST ExeCom shall conduct a deliberation on the proposal based on the following criteria: (1) soundness of proposal (20%); (2) suitability of output (30%); (3) significance of outcome (30%); and (4) competence of proponent (20%). (See Annex H: DOST Executive Committee Evaluation Criteria)
5. 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.
6. If the proposal is approved with comments, a rejoinder must be submitted to the DPMIS.



7. 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.
8. The DOST ExeCom shall deliberate on the rejoinder.
9. If the rejoinder is acceptable and the proposal is approved, the proponent shall be requested to submit a revised proposal (including LIB and workplan) incorporating all the responses to the comments (based on submitted rejoinders) from the Division level to the DOST-EXECOM Level before 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.

#### **VIII. Repealing Clause**

Any prior issuances of PCIEERD inconsistent with these Guidelines are hereby repealed, modified, or amended accordingly.

#### **IX. Effectivity Clause**

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-21-1123-20

Received on: 11.23.21/3:21:11 PM



## Annex A: Process Flow and Timeline for Proposal Evaluation

### Timeline of Evaluation

<u>Activities</u>	<u>No. of Working Days</u>	<u>Target Schedule for 2021</u>
<b>PMT final decision for proposals with revisions/review of rejoinders</b>	5	5 -9 July (Mon - Fri)
<b>Governing Council</b>	3	12-14 July (Mon – Wed)
Endorsement to EXECOM	5	14 – 20 July
<b>EXECOM</b>	3	22, 23,26 July
Announcement of Decision		29 July
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DEPARTMENT OF SCIENCE AND TECHNOLOGY  
PHILIPPINE COUNCIL  
FOR INDUSTRY, ENERGY,  
AND EMERGING TECHNOLOGY  
RESEARCH AND DEVELOPMENT  
(DOST-PCIEERD)

**INNOVATION COUNCIL**  
FOR INDUSTRY, ENERGY AND EMERGING TECHNOLOGIES (DOST-PCIEERD)

### Timeline of Evaluation for CFP 2023

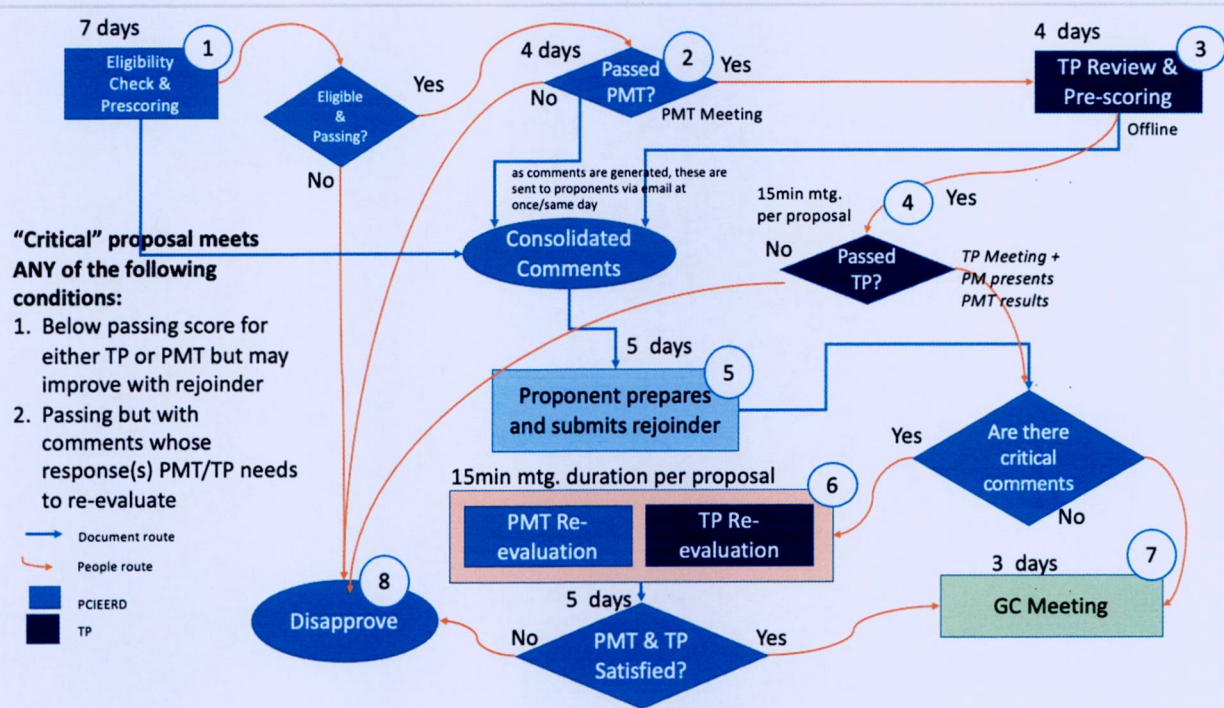
<u>Activities</u>	<u>No. of Working Days</u>	<u>Target Schedule for 2021</u>
<b>Call for Proposals</b>		03 May – 03 June
Receipt of proposals from DOST	1	04 June (Friday)
Distribution of Proposals to Division	1	07 June (Monday)
Checking of Eligibility of Proposals	7	07 – 15 June (Mon - Tues)
TP Invitation		
<b>PMT Evaluation</b>	4	16 - 21 June (Wed-Mon)
<b>TP Evaluation</b>	4	22 – 25 June (Tues – Fri)
Submission of Rejoinders	5	28 June – 02 July (Mon-Fri)



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**INNOVATION COUNCIL**  
FOR INDUSTRY, ENERGY AND EMERGING TECHNOLOGIES (DOST-PCIEERD)







## Annex B: Project Manager Checklist

### PROJECT MANAGER'S QUALITY CHECK OF PROPOSALS (Prior to PCIEERD Management Team (PMT) Deliberation)

Title of Proposal:  
Proponent/Project Leader:  
Agency:  
Address:  
Contact Nos.:  
Email Address:

	Yes	No
1. Is the proposal endorsed by the Head of the Agency? (Check for endorsement letter)	—	—
2. Is the proposal within the scope of the PCIEERD Call for Proposal?	—	—
3. Does the proposal have the following required components?		
a. Cooperating Agency/ies (Check for commitment letter)	—	—
b. Project Duration	—	—
c. Site/s of Implementation	—	—
d. Type of Research	—	—
e. R&D Priority Area/s	—	—
f. Sustainable Development Goal (SDG) addressed	—	—
g. Project Description	—	—
h. Significance	—	—
i. Review of Literature	—	—
j. Objectives (General and Specific)	—	—
k. Methodology	—	—
l. Technology Roadmap	—	—
m. Expected Outputs (6Ps)	—	—
n. Potential Outcomes	—	—
o. Potential Impacts	—	—
p. Target Beneficiaries	—	—
q. Sustainability Plan	—	—
r. Limitations of the Project	—	—
s. Risks and Assumptions	—	—
t. Literature Cited	—	—
u. Personnel Requirement	—	—
v. Line-Item-Budget (LIB)	—	—
4. Does the proposal have information about the Proponent/Project Team? (Check for Curriculum Vitae)	—	—
5. Does the institution have unliquidated funds? (Check for Institution's Track Record)	—	—
6. Did the proposal pass the GAD score?	—	—
7. Has the proposal been conducted before by other local researcher/s? (List down the apparent duplicated works)	—	—
8. Is/Are there commitment letter/s and/or counterpart funding?	—	—



**Requirements enumerated in the DOST Guidelines Section VII.H for the private sector/non-government organizations and startups proposals:**

<b>Requirements</b>	<b>Yes</b>	<b>No</b>
Up-to-date Securities and Exchange Commission (SEC) registration or Department of Trade and Industry (DTI) registration, or Cooperative Development Authority (CDA) registration certificate, or other authenticated copy of latest Articles of Cooperation and other related legal documents		
Co-signer Statement (if applicable)		
Copy of latest Income Tax Return		
Mayor's permit where the business is located		
Audited Financial Statements for the past three (3) years preceding the date of project implementation or in case of those with operations of less than 3 years, for the years in operation and proof of previous implementation of similar projects (or in the case of start ups, at least for one (1) year.		
Document showing that NGO/PO has equity to 20 percent of the total project cost, which shall be in the form of labor, land for the project site, facilities, equipment and the like, to be used in the project		
Disclosure of other related business, if any		
List and/or photographs of similar projects previously completed, if any, indicating the source of funds for implementation		
Sworn affidavit of secretary of the NGO/PO that none of its incorporators, organizers, directors or officers is an agent of or related by consanguinity or affinity up to fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds		
<b>For CSOs</b> , compliance to regulations as required by the General Appropriations Act (GAA) pertaining to fund transfers to Civil Society Organizations		
<b>For Foundations</b> , DOST certification as accredited by the Science and Technology Foundation Unit		

**Remarks:**

**PM Comment/s and Recommendation/s:**

**Prepared by:**

\_\_\_\_\_  
Project Manager

**Noted by:**

\_\_\_\_\_  
Division Chief

**Date of Evaluation:**



## Annex C: Executive Brief

### EXECUTIVE BRIEF

<b>Nature of Request</b>					
<b>Program Title</b>					
<b>Project Title</b>					
<b>Program Leader</b>					
<b>Project Leader</b>					
<b>Implementing Agency</b>					
<b>Collaborating Agencies</b>					
<b>Funding Agency</b>					
<b>Project Duration</b>	<i>(original approved duration)</i>				
<b>Extension, if any</b>	<i>(itemize duration per approved/proposed extension/s)</i>				
<b>Total Project Cost</b>	<b>Expense Class</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year n</b>	<b>Total</b>
	PS				
	MOOE				
	EO				
	<b>Total</b>				
<b>Project Description</b>					
<b>Project Objectives</b>					
<b>Target Beneficiaries</b>					
<b>Expected Output/s</b>					
<b>Justifications on the Request/s</b>					
<b>Highlights of Accomplishment/s</b>					
<b>Technical:</b>					



Target Accomplishment/s	Actual Accomplishments	Assigned Weight	% Completion (cumulative)	%Completion (weighted)
Objective 1:				
Target 1				
Target 2				
Objective n:				
Target n				
Target n				
<b>Total</b>		<b>1.00</b>		

(Note: Provide a brief narrative discussion of accomplishments vis-à-vis the objectives)

Target 6Ps	Actual Accomplishments	% Completion (cumulative)
Publications (in recognized journals)		
Patents (tangible measure of innovation)		
Products (commercial value of outputs)		
People services (increase in the scientific workforce)		
Places (facilities that enable increased 6Ps output)		
Policies (adopted science-based guidelines)		
<b>Total</b>		

#### Financial:

Expense Class	Approved Budget*	Released Budget*	Expenditures	Unexpended Budget	% Fund Utilization	Remarks
PS						
MOOE						
EO						
<b>TOTAL</b>						

\*Total budget (approved/released) including PCIEERD Indirect Cost (IC)

#### Problems Encountered:

#### Overall Assessment

#### Actions on Previous Request

Below is a summary of the chronology of actions taken related to the requests of the project:

Nature of Request	Date Received	Action Taken / Recommendation	Action Taken by (PCIEERD / DOST / Other Funding Agency)	Date of Action (completion of task)
SAMPLE				
Request for Change in Implementation Date (I-19-1016-48)	10 Oct 2019	Approval of Request for Change of Implementation (O-19-1114-28)	PCIEERD	14 Nov 2019



Request for 2 <sup>nd</sup> Extension and Use of UB (I-20-1210-25)	10 Dec 2020	Approval of 2 <sup>nd</sup> Extension and budget realignment without additional funding. (O-21-1223-27)	PCIEERD	22 Dec 202
		Endorsement of the Request for utilization of UB to DOST. (O-21-0119-04)		13 Jan 2021
		Approval of Request for utilization of UB	DOST	28 Jan 2021
Request for the grant of Gratuity Pay (I-21-0304-35)	04 Mar 2021	Approval of the request to use project funds for the grant of 2020 Gratuity Pay for contract of service personnel. (O-21-0310-24)	PCIEERD	10 Mar 2021
<b>Remarks</b>				

**Prepared by:**

**Date Prepared:** (DD-MMM-YYYY)

**Signature over Printed Name**  
Project Manager

**Endorsed by:**

**Date Endorsed:** (DD-MMM-YYYY)

**Signature over Printed Name**  
Division Chief

(if applicable)

**Approved by:**

**Date Approved:** (DD-MMM-YYYY)

**DR. ENRICO C. PARINGIT**  
Executive Director





Printing and Publication Expenses							
Rent Expenses							
Representation Expenses (e.g. food for meetings, etc.)							
Subscription Expenses							
Survey Expenses							
Professional Services							
Legal Services, Auditing Services, Consultancy Services,							
Other Professional Services etc.							
Taxes, Insurance Premiums and Other Fees							
Other Maintenance and Operating Expenses (Please itemize)							
Indirect Cost							
(Implementing Agency)							
Utilities							
Supplies and Materials Expenses (shall be itemized based on GAM)							
Office Supplies Expenses, Gasoline, Oil and Lubricants Expenses							
Agricultural Supplies Expenses, etc.							
Printing and Publication Expenses							
(Monitoring Agency)							
Communication Expenses							
Transportation and Delivery Services							
Traveling Expenses							
Utilities							
Supplies and Materials Expenses (shall be itemized based on GAM)							
Office Supplies Expenses, Gasoline, Oil and Lubricants Expenses							
Agricultural Supplies Expenses, etc.							
Representation Expenses							
Professional Services							
Legal Services, Auditing Services, Consultancy Services,							
Other Professional Services etc.							
Sub-Total for MOOE	P	-	P	P -			
II. Equipment Outlay	P		P	P			
Indirect Cost							
(Monitoring Agency)	P		P	P			
Sub-Total for EO	P	-	P -	P -			
GRAND TOTAL	P	-	P -	P -			
<hr/>							
To be filled-up by DOST							
		Implementing	Monitoring	TOTAL			
* Chargeable against the CY ____ DOST-GIA ____	P	P	P				
Certified Correct:		Approved By DOST-EXECOM:					
Position)		(Position)					
DOST-EXECOM Approval:							

**DOST Form 4**  
**PROJECT LINE-ITEM BUDGET**

**I. General Instruction:** Submit through the DOST Project Management Information System (DPMIS), <http://dpmis.dost.gov.ph>, the project line-item budget (LIB) for the component project. Also, submit four (4) copies of the LIB. Use Arial font, 11 font size.

**II. Specific Instructions:** 1. Itemize MOOE expense items above ₱100,000.00. Expense items under the GAM may be allowed.  
2. For Equipment, attach quotations and justification.

**III. Definitions of Major Expense Items**

1. **Personnel Services (PS)**- includes salaries and wages, honoraria, fees, and other compensation to consultants and specialists

2. **Maintenance and Other Operating Expenses (MOOE)**- shall be in accordance with the Government Accounting Manual (GAM) and shall be broken down/itemized as follows:

i. **Traveling Expenses**- costs of: (1) movement of persons locally and abroad, such as transportation, travel insurance for researchers exposed to hazard/risks, subsistence, lodging and travel allowances, fees for guides or patrol; (2) transportation of personal baggage or household effects; (3) bus, railroad, airline, and ship fares, trips, transfers, etc. of persons while traveling; (4) charter of boats, launches, automobiles, etc. non-commutable transportation allowances, road tolls; and (5) parking fees and similar reasonable expenses.

For foreign travel, include the name(s), designation of program/project personnel who will travel, possible country of destination, purpose and duration of the travel.

ii. **Communication Expenses**- include costs of telephone, telegraph, mobile/wireless and tolls, fax transmission, postage and delivery charges, data communication services, internet expenses, cable, satellite, radio and telegraph messenger services, among others;

iii. **Repair and Maintenance of Facilities**- include costs of repair and maintenance of office equipment, furniture and fixtures, machinery and equipment, IT equipment and software, building, office and laboratory facilities, and other S&T structures directly needed by the project;

iv. **Repair and Maintenance of Vehicles**- include costs of repair and maintenance of vehicles directly needed by the project except for cost of spare parts, gasoline and oil that shall fall under Supplies and Materials;

v. **Transportation and Delivery Services**- include the costs of commercial transportation of mail, hauling of equipment or materials, including portage, if any. Not included in this account are: costs of transportation of equipment, supplies and materials purchased for operation. Instead, these costs shall be included as part of the cost of the equipment/supplies and materials;

vi. **Supplies and Materials**- include costs of items to be used in specialized S&T work (e.g. office supplies, accountable forms, zoological supplies, food supplies, drugs and medicine, laboratory supplies, gasoline, oil and lubricants, agricultural supplies, textbooks/instructional materials, and other supplies). It also includes all expendable commodities (delivery cost included as needed/required) acquired or ordered for use in connection with project implementation such as spare parts, fuel, and oil;

vii. **Utilities**- include costs of water, electricity or cooking fuel consumed by the implementing agency directly related to the project;

viii. **Training and Scholarship Expenses**- include training fees and other expenses, and scholarship expenses such as tuition fees, stipends, book allowance, and other benefits;

ix. **Advertising Expenses**- include costs of authorized advertising and publication of notices in newspapers and magazines of general circulation, television, radio, and other forms of media necessary for the implementation of the project;

x. **Printing and Publication Expenses**- include costs of producing, printing, and binding materials such as books, reports, catalogues, documents, and other reading materials necessary for the implementation of the project;

xi. **Rent Expenses**- rental fees for the use of facilities, equipment, and vehicles directly used in the implementation of the project;

xii. **Representation Expenses**- include costs of meal/food for the conduct of workshops/meetings, conferences, and other official functions related to the project;

xiii. **Subscription Expenses**- include costs of subscription to library materials, such as magazines, periodicals, other reading materials and software (including online software) necessary for the implementation of the project;

xiv. **Survey Expenses**- include costs incurred in the conduct of survey related to the project;

xv. **Professional Services**- as defined in GAM, but only those items that are relevant and appropriate to the proposed program/project;

xvi. **Taxes, Insurance Premiums and other Fees**- include costs of accident insurance of the project personnel for the performance of duties that involve hazardous activities during project duration, taxes, duties and licenses, fidelity bond premiums, and insurance expenses of equipment acquired under the project; and

xvii. **Other Maintenance and Operating Expenses**- additional items not included above such as cost of submission of scientific paper for peer reviewed journals.

3. **Capital Outlay (CO)**- includes all equipment necessary for the implementation of the project, which shall be enumerated in the proposed LIB. This also includes infrastructure that are integral part of the R&D, which are crucial in the attainment of the project objectives.

**IV. Counterpart Funding**

1. A counterpart fund, in kind and/or in cash, shall be required from the Implementing Agency. Projects must have a minimum of 15% counterpart contribution (except for projects involving public good).

2. Indicate the detailed breakdown of the required fund assistance to indicate the counterpart of the Implementing Agency and other agencies cooperating in the project.



## Annex E: PMT Evaluation Criteria, Indicators, and Guide Questions

PCIEERD Management Team (PMT) Evaluation Criteria, Indicators and Guide Questions

CRITERIA	INDICATOR	GUIDE QUESTION	TRUE / YES / AGREE	FALSE / NO / DISAGREE	CRITERIA RAW SCORE	AVERAGE SCORE	WEIGHTED SCORE	REMARKS
1. Socio-Economic Impact (35%)	1.1 Potential of project to create/provide/generate employment.	1.1.1 Identifies the specific jobs/skillsets to be involved	x		5	5.00	1.75	
		1.1.2 Estimates the number of personnel needed in the new industry/sector	x					
		1.1.3 Directly generates new employment/jobs after its completion	x					
		1.1.4 Projects leads to new skills sets that will be deployable/in demand	x					
		1.1.5 Need for skillsets will persist long after project implementation period	x					
	1.2 Potential to increase income and productivity	1.2.1 Identifies the business or industry where the R&D results will be applied	x		5			
		1.2.2 Increases the level of productivity of beneficiary organization	x					
		1.2.3 The level of increase in productivity is quantified	x					
		1.2.4 Increase in income of firms or industries is shown	x					
		1.2.5 Level of increase of income is quantified and reasonable	x					
	1.3 Ability to address any current/pressing national problem, among others, are specified and quantified	1.3.1 Identifies and scopes the specific issue or problems	x		5			
		1.3.2 The scope of the problem is national	x					
		1.3.3 The nature of the problem is urgent	x					
		1.3.4 The extent or level of the problem addressed is properly quantified	x	x				
		1.3.5 The whole extent or scope of problem is addressed	x	x				
2. Environmental Impact (10%)	2.1 The project will not pose a significant adverse effect on the environment and/or public health	2.1.1 the place of implementation has no environment issue	x		5			
		2.1.2 ... will lead to new technologies that is environmentally-neutral (no net emission or pollution)	x					
		2.1.3 ... will not generate possible new environmental problems in the area	x					
		2.1.4 ... is acceptable to the community where it is going to be implemented	x					
		2.1.5 ... will sustainably utilise (natural) resources that could potentially be depleted in the long-term	x					

## PCIEERD Management Team (PMT) Evaluation Criteria, Indicators and Guide Questions

CRITERIA	INDICATOR	GUIDE QUESTION	TRUE / YES / AGREE	FALSE / NO / DISAGREE	CRITERIA RAW SCORE	AVERAGE SCORE	WEIGHTED SCORE	REMARKS
	2.2 Will improve environmental conditions using environment-friendly /clean process	2.2.1 Identifies environmental challenges in the technology/process current being used	x		5	5.00	7.50	
		2.2.2 Intends to develop technologies that directly improve environment conditions of specific areas or industries	x					
		2.2.3 Mitigates the environmental effects (wastes, emissions) where the processes is being applied	x					
		2.2.4 Quantifies the potential solution and effectiveness to the specific problem	x					
		2.2.5 Solution is applicable or robust enough to be applicable to other areas or situations	x					
3. Plans for Research / Project Results Utilization (30%)	3.1 Plans on how R&D results will be used by the prospective end user/s or adopters are defined	3.1.1 The resulting products and technologies clearly identified	x		5	5.00	1.50	
		3.1.2 Is/Are the prospective user/s clearly identified	x					
		3.1.3 There is a clear plan to turn over the result or technology	x					
		3.1.4 The need for the technology by the prospective user is clearly established	x					
		3.1.5 The resulting products and technology is suitable and acceptable to end-users	x					
	3.2 Addresses strategic needs/value	3.2.1 Beyond current target uses, are there other potential uses of the products	x		5			
		3.2.2 Beyond current target end-users, are there other prospective users?	x					
		3.2.3 Shows how the project results can be scaled up to be widely used or available	x					
		3.2.4 The results add value to the research organization and builds on previous research	x					
		3.2.5 Is the technology developed versatile enough to be applicable to address research needs of other fields or disciplines?	x					
	3.3.Sustainability plan for the resources generated and capacity built from the project	3.3.1 Builds research capacity through equipment & laboratory establishment	x		5			
		3.3.2 Builds research capacity thorough human resource & training	x					
		3.3.3 Indicates how research fills in the sector roadmap	x					
		3.3.4 Includes training activities for stakeholders	x					



PCIEERD Management Team (PMT) Evaluation Criteria, Indicators and Guide Questions

CRITERIA	INDICATOR	GUIDE QUESTION	TRUE / YES / AGREE	FALSE / NO / DISAGREE	CRITERIA RAW SCORE	AVERAGE SCORE	WEIGHTED SCORE	REMARKS
		3.3.5 Has ability to attract interest from other organizations to support future activities	x					
4. Marketability (25%)	4.1 Determine current and potential market demand	4.1.1 The volume of products to be generated is identified and quantified in the proposal	x		5	5.00	1.25	
		4.1.2 There is currently an unmet demand	x					
		4.1.3 The technology ensures that rate of production matches or exceeds the demand	x					
		4.1.4 The market is expected to increase even after the project is completed and beyond	x					
		4.1.5 There is a government policy to support generation of the demand	x					
	4.2 Has identified specific/potential end-users	4.2.1 The target current end-users/customers are identified	x		5			
		4.2.2 The target end-users are quantified	x					
		4.2.3 Other potential users are also identified and quantified	x					
		4.2.4 Current set of end-users may increase in the future	x					
		4.2.5 Interest from end-users will not go away anytime soon	x					
	4.3 Explore/Create new markets for the resulting product/process/service are specified	4.3.1 Is there a new market identified for the product	x		5			
		4.3.2 Given the existing market and competition, the product can still thrive or succeed	x					
		4.3.3 The product is unique enough to generate its own market	x					
		4.3.4 Does the proposed product match the new identified market	x					
		4.3.5 There will be no future competitors	x					
	4.4 Advantage over existing products/services in the market	4.4.1 The competing/comparable products are identified	x		5			
		4.4.2 The target product/technology price is indicated/determined	x					
		4.4.3 The product/technology price is competitive	x					
		4.4.4 The advantageous features of the resulting product are clearly outlined/highlighted	x					

PCIEERD Management Team (PMT) Evaluation Criteria, Indicators and Guide Questions

CRITERIA	INDICATOR	GUIDE QUESTION	TRUE / YES / AGREE	FALSE / NO / DISAGREE	CRITERIA RAW SCORE	AVERAGE SCORE	WEIGHTED SCORE	REMARKS
		4.4.5 The advantages could outweigh the higher price for the same product (Answer "Yes" if actually lower)	x					
	4.5 Potential adoption/use of the industry (manufacturer) and other partners	4.5.1 Beneficiaries and interested groups are clearly identified;	x		5			
		4.5.2 The particular company/firms to adopt/license the technology is identified	x					
		4.5.3 There is a letter of commitment from one or more organization to adopt the technology if found to be suitable	x					
		4.5.4 There will be counterpart contribution or funding from a company indicated in the proposal	x					
		4.5.5 The proposal has a definite target company to license agreements	x					
EQUIVALENT POINTS							5.00	



PCIEERD Management Team (PMT) Evaluation Criteria, Indicators and Guide Questions

CRITERIA	INDICATOR	GUIDE QUESTION	TRUE / YES / AGREE	FALSE / NO / DISAGREE	CRITERIA RAW SCORE	AVERAGE SCORE	WEIGHTED SCORE	REMARKS
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Disposition:

Points	Disposition
4.5 to 5.0	Highly Recommended
3.1 to 4.4	Recommended (subject to compliance from PMT Comments)
2.0 to 3.0	For Revision (subject for PMT Re-evaluation)
0.0 to 1.9	Not Recommended

Remarks (other comments):

## Annex F: Technical Panel Evaluation Criteria

### Technical Panel Evaluation Criteria and Indicators

Title of Project Proposal

Name of Project Leader

Institution

Criteria	Indicator	Rating	Ave. Score	Weighted Score	Justification
1. Scientific Merit (30%)	Contribution to the advancement of knowledge and understanding in the field of Science and Technology	5	5.00	1.50	
	The research is at par with the existing studies; cutting edge; world class research	5			
	Sound scientific basis to generate new knowledge / innovate technology	5			
	Will contribute to the	5			
2. Methodology (30%)	The procedures are clear, well-organized, well-described and based on a sound rationale.	5	5.00	1.50	
	The proposed methods and results are valid, replicable and reliable	5			
	The proposed activities are reasonable to attain its expected outputs	5			



3. Financial Soundness (15%)	The proposed budget is reasonable in the conduct of the research. Expense items sought are appropriate and necessary	5	5.00	0.75	
	There are adequate counterpart resources available (e.g. expertise, facilities) to carry out the research.	5			
4. Timeframe (15%)	The duration of the project and its activities are reasonable.	5	5.00	0.75	
	The workplan is doable in a given timeframe.	5			
	The risk management plan was established to avoid delays in the project implementation.	5			
5. Other Issues (10%)	Compliance to regulatory requirements necessary in the conduct of research	5	5.00	0.50	
	Ethical issues (i.e do not harm, informed consent, voluntary participation, privacy, anonymity, confidentiality) are properly addressed	5			
<b>Total Score</b>			<b>5.00</b>	<b>5.00</b>	

#### Disposition

Points	Disposition
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## Annex G: Governing Council Evaluation Criteria

Criteria	Indicators	Raw Score
A. Soundness of Proposal (20%)	R&D addresses relevant sectoral need (applicable to pressing concern)	5
	Solution provided is most effective (compared to other proposed solutions)	5
	Proposed budget is reasonable (project is not expensive vis-a-vis output)	5
	Work plan is doable in a given timeframe	5
B. Suitability of Output (30%)	R&D output is cost-effective (cost is competitive in relation to new or existing products or process)	5
	Has identified partners to adopt the technology (with letter of support from the head of the company)	5
	Output can be commercialized (through an existing manufacturer, spin-off or start-up company)	5
	R&D utilization is timely (output should not be overtaken by other solutions)	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (i.e., food, health, education); political, cultural, gender sensitivity and inclusivity	5
	Environment: enhanced environmental health standards, no adverse effect to the environment	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project)	5
D. Competence of Proponent (20%)	Proponent's expertise aligned with the proposal	5
	Collaboration with relevant agencies and/or industry partners	5
	Thorough understanding of the proposal's deliverables	5
	DOST has good experience with the proponent	5



## Annex H: DOST Executive Committee Evaluation Criteria

Criteria	Indicators	Raw Score
A. Soundness of Proposal (20%)	R&D addresses relevant sectoral need (applicable to pressing concern)	5
	Solution provided is most effective (compared to other proposed solutions)	5
	Proposed budget is reasonable (project is not expensive vis-a-vis output)	5
	Work plan is doable in a given timeframe	5
B. Suitability of Output (30%)	R&D output is cost-effective (cost is competitive in relation to new or existing products or process)	5
	Has identified partners to adopt the technology (with letter of support from the head of the company)	5
	Output can be commercialized (through an existing manufacturer, spin-off or start-up company)	5
	R&D utilization is timely (output should not be overtaken by other solutions)	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (i.e., food, health, education); political, cultural, gender sensitivity and inclusivity	5
	Environment: enhanced environmental health standards, no adverse effect to the environment	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project)	5
D. Competence of Proponent (20%)	Proponent's expertise aligned with the proposal	5
	Collaboration with relevant agencies and/or industry partners	5
	Thorough understanding of the proposal's deliverables	5
	DOST has good experience with the proponent	5