Republic of the Philippines
Department of Science and Technology
PHILIPPINE COUNCIL FOR INDUSTRY, ENERGY AND EMERGING TECHNOLOGY RESEARCH AND DEVELOPMENT (DOST-PCIEERD)

MEMORANDUM

FOR: **_ENGR. NINALIZA H. ESCORIAL_**, Chief SRS, ITDD
MS. EDNA C. NACIANCENO, R.Ch., Chief SRS, ETDD
ENGR. NONILO A. PENA, Chief SRS, EUSTDD
MS. RUSSELL M. PILI, Chief SRS, RITTD
MS. GLENDA DORCAS T. SACBIBIT, Spvg.SRS and OIC, HRIDD
MS. GRACE F. ESTILLORE, Chief SRS, PCMD

FROM: **_DR. ENRICO C. PARINGIT_**
Executive Director

SUBJECT: **Alternative Monitoring Scheme for DOST-PCIEERD Assisted and Monitored Projects during State of Public Health Emergency**

DATE: January 5, 2021

This refers to the implementation of the _Alternative Monitoring Scheme for DOST-PCIEERD Assisted and Monitored Projects during State of Public Health Emergency_ in 2021. This is to ensure continuous monitoring of all projects assisted and monitored by PCIEERD through remote and on-site means despite the pandemic and travel restrictions.

Please find the following Annexes as part of the scheme:
Annex A: Protocol for the Conduct of Remote or Online Monitoring
Annex B: Protocol for the Conduct of On-site/Field Monitoring

For the pilot test of the Alternative Monitoring Scheme, the following regions are to be engaged:

- Region X
- Region VI

For the divisions that ha e ongoing projects on said regions, please coordinate with ITDD for the details. Your cooperation on the matter is enjoined.

Thank you.

/ITDD

Alternative Monitoring Scheme for DOST-PCIEERD Assisted and Monitored Projects during the State of Public Health Emergency

I. Definition of Terms

For purposes of these guidelines and unless otherwise indicated, the following terms shall refer to:

- Council – the Philippine Council for Industry, Energy and Emerging Technology Research & Development (PCIEERD)

- On-site Monitoring – engagement done in the region of project implementation

- Remote Monitoring – engagement done through online or virtual means

- State of Public Health Emergency – a declaration in the event of an epidemic of national and/or international concern which threatens national security to mobilize governmental and non-governmental agencies to respond to threat

- Travel Restriction – rule that provides a limiting condition for someone travelling to and from the Philippines and/or across the regions and provinces following the declaration of a state of public health emergency

II. Introduction

The Research and Development (R&D) Support Program of DOST-PCIEERD provides financial support to research projects consistent with the priorities identified in the national research agenda for industry, energy, and emerging technology sectors. Research grants may be availed of by government research and academic institutions as well as companies. The DOST also provides funding support to R&D projects for monitoring of DOST-PCIEERD. These projects are managed and monitored to ensure their smooth and successful implementation.

These guidelines are hereby issued amidst the pressing conditions brought by the COVID-19 pandemic and upon declaration of the country under State of Public Health Emergency through adoption of alternative mode of engagement in compliance with the Inter-Agency Task Force on Emerging Infectious Diseases (IATF-EID), to ensure the safety and wellness of project leaders and proponents, project managers and personnel from DOST-PCIEERD, and other stakeholders.

III. Scope/ Coverage

These guidelines shall cover all new and on-going projects assisted and monitored by the DOST-PCIEERD for 2021.

IV. Alternative Work Arrangement

Despite the pandemic and travel restrictions, the DOST-PCIEERD continues to monitor all projects funded under its Grants-In-Aid (GIA) program and those assigned for monitoring by the DOST through *remote and on-site* means. Remote monitoring of projects would be done through online or virtual meetings. **Annex A** describes the protocol for the conduct of remote monitoring of on-going projects including post-monitoring.

To validate the activities and outputs of the projects, the Council conducts field visits or on-site monitoring of the projects at least once in a semester for multi-year projects or quarterly for those with only one (1) year duration. However, due to travel restrictions, on-site monitoring of selected projects especially those implemented in the MIMAROPA, Bicol Region, Visayas and Mindanao would be done through the help of the DOST Regional Offices, the consortia or through the DOST-PCIEERD employees that are in the regions.

Annex B describes the modes of cooperation and protocols for on-site monitoring. An agreement stipulating the responsibilities and deliverables of the parties will be executed with the DOST Regional Offices or the consortia, where they will be asked to sign a *conforme* letter. To ensure Intellectual Property Rights protection, a Non-Disclosure Agreement (NDA) shall likewise be executed with the assigned monitors from the regional offices or the consortia.

This alternative on-site monitoring will be conducted initially within CY 2021 until travel restrictions are lifted. Project monitoring shall be conducted at least twice a year during the duration of the project - *quarterly for projects with one (1) year duration and semi-annually for multi-year projects*.

To ensure the effectiveness of the alternative work arrangement, especially the on-site monitoring or field validation by the DOST Regional Offices or consortia, the framework and risk management plan of all the projects shall be thoroughly reviewed by the Council's Project Managers. The verifiable outputs for each quarter shall be properly identified as this would be the subject of the field validation.

A training or a levelling-off activity shall likewise be conducted for those who will be assigned by the DOST Regional Offices or the consortia as on-site monitors to discuss the expectations of the Council.

V. Work Activities

No.	Task	Onsite	Remote
DOST-PCIEERD Project Managers			
	Conduct of the following:		
1	Coordination activities for the virtual/online monitoring to include sending of notice of monitoring (schedule and program application for video conferencing) to attendees (Project Team, Project Cooperator/s, On-site Monitor, PMT, Accounting Section, Property Section and Representative/s from the Funding Agency, if externally funded).		/
2	Checking or examination of accomplished DOST Form G submitted by the Project Team		/
3	Virtual/online monitoring to check the following: a. accomplishments, b. financial status, c. status of procurement for equipment outlay, d. other related concerns such as actions on requests, problems encountered, and, e. future plans /way forward		/
4	Recording of online monitoring activity and dissemination to attendees, if needed		/
5	Finalization of DOST Form G with comments/ recommendations from DOST-PCIEERD and facilitation of signing of the document among attendees		/
	Facilitation of the following:		
6	Meeting with on-site monitor/s to highlight points/aspects to check during the field monitoring		/
7	Transfer of copies of important/pertinent project documents for reference of the on-site monitor/s (proposal, latest technical and financial reports, project framework, risk management plan, equipment documents, etc.)		/

On-Site Monitors (DOST Regional Offices/Consortia)			
	Actively participate in:		
8	Conduct of online/virtual project monitoring		/
	Conduct of the following:		
9	Coordination and planning of activities for the field/on-site monitoring	/	
10	Field/on-site monitoring to validate accomplishments as reported in the progress reports	/	
11	Equipment inventory *(when necessary)*	/	
	Prepare and submit:		
16	Validated report for the completed field/on-site monitoring, noted by the Regional Director		/
17	Signed Non-Disclosure Agreement		/
18	Reimbursement reports		/
	Others:_____		

VI. Provisions and Incentives

On-site monitors assigned by the DOST Regional Offices or the consortia shall be given honoraria. Payment of which will be based on the provisions under the DOST-Guidelines. Reimbursement of travel (transportation and incidental expenses), communication and supplies expenses will also be allowed when applicable, subject to existing accounting and auditing rules and regulations. Accident/travel and health/medical (including COVID-19 and other emerging infections) insurance in the Philippines shall be provided.

Consortium member/s who will be tapped/designated as on-site monitor/s shall be entitled to honorarium due them apart from the honorarium they are receiving as member. Moreover, the monitoring expenses shall be charged under the operational funds provided by the DOST-PCIEERD.

VII. Effectivity

These guidelines shall take effect upon the approval by the DOST-PCIEERD Executive Director, with the concurrence of the DOST Regional Directors, for implementation in January – December 2021 and shall remain in force while the country is still under the State of Public Health Emergency unless earlier revoked by the DOST-PCIEERD Executive Director through a written order.

ANNEX "A"
PROTOCOL FOR THE CONDUCT OF REMOTE OR
ONLINE MONITORING

Before the conduct of virtual/online monitoring

1. The Project Manager (PM) shall send the Notice of Monitoring through email to the Head of the Agency, attention to the Project Leader (PL) and staff. This will include the schedule (date, time) and program application for video conferencing. The notice duly signed by the Division Chief must be sent two (2) weeks or 15 working days before the target date of monitoring. The date shall be based on the monitoring schedule given by the PM considering the critical outputs/milestones.

   The PM may also invite the Project Cooperator/s, PCIEERD Management Team (PMT), Accounting Section, Property Section, and representative/s from the Funding Agency (if externally funded) during the meeting.

   Types of Projects for Monitoring (based on funding source)
      1. DOST-GIA funded
      2. PCIEERD-GIA funded
      3. Other external fund source

2. The PL on behalf of the Head of the Agency shall acknowledge receipt of the notice and prepare response detailing the preferred schedule and program application to use.

3. When a date and time has been agreed upon, either the PM or the PL/staff shall send the link for the meeting via the determined video conferencing platform. The PM shall provide the Project Team with DOST Form G (Project Monitoring and Field Evaluation Report) which they have to accomplish prior the meeting. Attendees shall be required to read all important documents prior to the meeting (project profile, project team members profile, line item budget (LIB), risk management plan, last project report, DOST guidelines, etc.).

   For projects that involve setting up of facilities, a live video tour may be arranged as part of the monitoring. A pre-recorded video of the facilities while in operations and the procured equipment may also be played. Other activities conducted and pictures/brochures may also be shared by the PL to support the submitted progress report.

4. The PL/staff, Project Cooperator/s, and DOST-PCIEERD monitoring team shall confirm attendance to the meeting and receipt of the link. The PL/staff will send the accomplished DOST Form G at least one (1) day before the meeting.

During conduct of online/virtual monitoring

5. The PL and staff, Project Cooperator/s, DOST-PCIEERD monitoring team, and other participants shall be in the virtual meeting room 5-10 minutes before the meeting starts. The attendees may perform sound check, practice sharing of PowerPoint presentation/documents and may inquire on the difficulties encountered in using the video conferencing application to ensure smooth facilitation of the meeting.

6. The PM shall remind the participants of the House Rules during the activity.

7. The PM shall welcome the attendees and seek permission to record the meeting. Upon concurrence of the attendees, the recording will be started. The PM will give a short outline of the topics to be discussed in the meeting.

8. The PL shall present the following:
   a. Technical progress/accomplishments of the project

      For projects that involve setting up of facilities, the live video tour may be done at this part of the presentation. Other option would be to play the pre-recorded video of the facilities while in operations and the procured equipment.

   b. Financial status

   c. Status of procurement for equipment outlay

   d. Other related concerns such as actions on requests and problems encountered

   e. Future plans/way forward

9. The PM and PCIEERD monitoring team may ask questions/clarifications with regards to the presentation of the PL/staff. The team will provide appropriate responses on these.

10. The PM should refer to the Risk Management Plan submitted aside from the proposed workplan/project framework to assess the accomplishments of the project.

11. After the presentation and Q&A, the DOST Form G will be discussed by the PM. If there will be corrections/clarifications, these shall be raised during the meeting. The **Problems/Concerns Observed by the Monitoring Agency** and **Recommendations by the Monitoring Agency** will be accomplished and presented by the monitoring team during the meeting. The Project Team may comment and/or concur on the details.

After the online/virtual monitoring

12. The PM will send the accomplished/validated DOST Form G to all attendees through email for signing. Draft monitoring report should be ready within 3-5 working days for confirmation by the concerned parties.

13. Once the DOST Form G is fully signed, the PM shall prepare the transmittal letter relaying the results of the monitoring conducted within fifteen (15) days after the online monitoring. The transmittal must be signed by the Division Chief.

14. The signed transmittal letter shall be submitted for barcoding of DOST-PCIEERD's Records Section for dissemination through email or courier.

POST MONITORING: *Before the conduct of Post Monitoring*

1. The PM shall send the Notice of Monitoring through email to the PL and staff. This will include the schedule (date, time) and program application for video conferencing. The notice duly signed by the Division Chief must be sent two (2) weeks or 15 working days before the target date of monitoring.

   The PM may also invite the Project Cooperator/s, PCIEERD Management Team (PMT), Accounting Section, Property Section, and representative/s from the Funding Agency (if externally funded) during the meeting.

   Types of Projects for Monitoring (based on funding source)
   1. DOST-GIA funded
   2. PCIEERD-GIA funded
   3. Other external fund source

2. The PL shall acknowledge receipt of the notice and prepare response detailing the preferred schedule and program application to use.

3. When a date and time has been agreed upon, either the PM or the PL/staff shall send the link for the meeting via the determined video conferencing platform. The PM will provide the Project Team with a report template which they have to accomplish prior the meeting. Attendees shall be required to read all important documents prior to the meeting (project profile, project team members profile, LIB, risk management plan, last project report, DOST guidelines, etc.).

   For projects that involve setting up of facilities, a live video tour may be arranged as part of the monitoring. A pre-recorded video of the facilities while in operations and the procured equipment may also be played. Other activities conducted and pictures/brochures may also be shared by the PL to support the submitted progress report.

4. The PL/staff and DOST-PCIEERD monitoring team shall confirm attendance to the meeting and receipt of the link. The PL/staff must send the accomplished report template at least one (1) day before the meeting.

BEFORE

STEP 1

The PM shall send the Notice of Meeting 15D before the set date

One (1) Day

STEP 2

The PL shall acknowledge the Notice of Meeting signed by Division Chief

STEP 3.2

Yes

STEP 3
Agreement

No

STEP 3.1

The PM/PL shall send the link for the meeting using the agreed program app

Re-schedule the Project Monitoring

STEP 4

The PM shall send the DOST Form G (FER) to be filled out by the PL. All attendees will be instructed to read project documents before the meeting

One (1) Day

STEP 5.1

The PL will prepare the powerpoint presentation

STEP 5

The PL will send back the filled-out DOST Form G as reference during the virtual monitoring a day prior to the meeting

STEP 5.2

For projects with established facilities, the PL will also prepare a live video tour of the facility

STEP 6

The PL/staff and PCIEERD monitoring team shall confirm attendance to the meeting

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                    │    DURING      │
                    ╰───────────────╯

                    ┌──────────────────┐
                    │     STEP 1        │
                    ├──────────────────┤
                    │ The PM shall admit│      One (1) Day
                    │ the participants 5-10│
                    │ minutes before the│
                    │ start of the meeting│
                    └──────────────────┘

┌──────────────┐   ┌──────────────────┐   ┌──────────────────┐
│  STEP 2.1    │   │     STEP 2.2      │   │    STEP 2.3       │
├──────────────┤   ├──────────────────┤   ├──────────────────┤
│ The attendees│   │ The PM may        │   │ The PM will remind│
│ may perform  │   │ practice screen   │   │ the participants of│
│ sound check  │   │ sharing of ppt    │   │ the House Rules   │
│              │   │ presentations     │   │                   │
└──────────────┘   └──────────────────┘   └──────────────────┘

                   ┌──────────────────┐
                   │     STEP 3        │
                   ├──────────────────┤
                   │ The PM will welcome│
                   │ the attendees and │      5-10 minutes
                   │ seeks permission to│
                   │ record the meeting│
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                                          │    STEP 4.1       │
                   ┌──────────────────┐   ├──────────────────┤
                   │     STEP 4        │   │ For projects with │
                   ├──────────────────┤   │ established       │
                   │ The PL will present│  │ facilities, the PL│
                   │ the               │   │ will also prepare │
                   │ accomplishments   │   │ a live video tour │
                   │ of the project    │   │ of the facility   │
                   │ (technical,       │   └──────────────────┘
                   │ financial, others │
                   └──────────────────┘

┌──────────────┐   ┌──────────────────┐   ┌──────────────────┐
│  STEP 5.1    │   │     STEP 5        │   │    STEP 5.2       │
├──────────────┤   ├──────────────────┤   ├──────────────────┤
│ The PCIEERD   │   │ The PCIEERD       │   │ The PCIEERD       │
│ monitoring team│  │ monitoring team   │   │ monitoring/project│
│ will ask      │   │ will assess the   │   │ team will discuss │
│ questions/clarific│ accomplishments  │   │ the submitted     │
│ ations        │   │ and provide       │   │ DOST Form G       │
│               │   │ observations/     │   │                   │
│               │   │ recommendations   │   │                   │
│               │   │ to be agreed with │   │                   │
│               │   │ the project team  │   │                   │
└──────────────┘   └──────────────────┘   └──────────────────┘
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AFTER

STEP 1

The FM shall send the accomplished DOST Form G to the attendees for signature. Draft monitoring report should be ready within 3-5 working days for confirmation by the concerned parties.

One (1) Day

STEP 2

The FM will prepare the transmittal letter relaying the results of the virtual project monitoring of the

STEP 2

The transmittal letter will be cleared by the immediate Supervisor/Senior SRS

STEP 2

The transmittal letter will be signed by the concerned Division Chief

STEP 3.1

Barcoded transmittal letter will delivered to the PL

STEP 3.1

The signed transmittal letter will be forwarded to the Records Section for barcoding

One (1) Day

END

ANNEX "B"
PROTOCOL FOR THE CONDUCT OF ON-SITE/FIELD MONITORING

With DOST Regional Offices as the On-Site Monitors

1. The DOST-PCIEERD shall identify the regions with at least two (2) or more new/ongoing projects.

2. The concerned DOST Regional Office/s will be tapped for the on-site monitoring.

3. The DOST-PCIEERD shall coordinate with the Office of the Regional Director to arrange the schedule of the onsite monitoring.

4. The DOST Regional Office shall then assign/designate the on-site monitor/s either from the Regional Office or the nearest Provincial Science and Technology Center (PSTC) to assist the DOST-PCIEERD Monitoring Team (refer to Annex A).

5. The designated on-site monitor/s will validate/check/verify the reported accomplishments of the Project Team. A report shall be submitted to DOST-PCIEERD through the DOST Regional Office.

6. The PM shall acknowledge the report and relay the results of the validation/verification to the PL.

7. The PL shall acknowledge/review and concur with the validation report submitted by the on-site monitor/s.

8. The DOST-PCIEERD Executive Director shall issue a Special Order (SO) to facilitate the payment of honoraria of concerned on-site monitor/s.

With Regional Consortium as On-Site Monitors

1. The DOST-PCIEERD shall identify the projects to be monitored by the consortium. Priority will be given to projects endorsed by the consortium.

2. The consortium shall form a team to serve as the on-site monitors of DOST-PCIEERD assisted and monitored projects.

3. The assigned team shall validate/check/verify the reported accomplishments of the Project Team. A report shall be submitted to DOST-PCIEERD through the consortium Chair.

4. The DOST-PCIEERD shall acknowledge the report and relay the results of the validation/verification to the PL.

5. The PL will acknowledge / review and concur with the validation report submitted by the on-site monitoring team.

TERMS OF REFERENCE (TOR)

Project / Activity Title

Field/On-site Monitoring of DOST-PCIEERD Assisted and Monitored Projects

Options for On-Site Monitoring

1. Provincial Science and Technology Center
2. DOST Regional Office (RO)
3. DOST-PCIEERD Project Managers in the regions, if applicable, in coordination with the DOST RO or Provincial Science and Technology Center
4. Regional Consortium

Requirements

o Knowledgeable in project monitoring
o Affiliated with DOST Regional Office or with consortium
o Attended DOST-PCIEERD training on project monitoring

Timeframe

The alternative on-site monitoring will be conducted initially within CY 2021 until travel restrictions are lifted.   Project monitoring should be conducted at least twice a year during the duration of the project - *quarterly for projects with one (1) year duration and semi-annually for multi-year projects*.

Scope of Work

o Attend virtual monitoring of the project
o Validate the accomplishments as reported in the output/progress report
o Plan and coordinate the conduct of on-site project monitoring
o Conduct equipment inventory, if needed
o Submit to DOST-PCIEERD the duly signed validated report noted by the Regional Director or the Consortium Chair

Expected Outputs

Monitoring report (technical/financial)

Sample of Conforme Letter

Date

Name
Designation
Office
Business Address

Dear _____:

This has reference to the conduct of project monitoring of PCIEERD/DOST-GIA funded project entitled, _____. With the current travel restrictions due to the pandemic, we would like to request for your technical assistance in the conduct of on-site project monitoring to validate/verify the actual accomplishments of the above-mentioned project.

The following are the duties and responsibilities of both parties:

DOST-PCIEERD's Responsibilities:
1. Provide project documents (latest progress and financial reports, proposal, workplan and framework – with verifiable indicators)
2. Process the following documents, subject to submission of reports and existing accounting and auditing rules and regulations:
   a. Payment of honoraria;
   b. Reimbursement of travel, communication, and supplies expenses when applicable; and,
   c. Accident/travel and health/medical (including dental, COVID-19 and other emerging infections) insurance in the Philippines.
3. Execute Non-Disclosure agreement (NDA)
4. Prepare monitoring agreements

DOST Regional Office's Responsibilities:
1. Assign the on-site monitor/s from the DOST Regional Office; and
2. Oversee the documents to be prepared and submitted to DOST-PCIEERD by the designated on-site monitor/s.

Assigned On-Site Monitor/s' Responsibilities:
1. Perform on-site monitoring of at least two (2) projects;
2. Validate/verify the accomplishments as reported during the virtual monitoring conducted; and
3. Submit to DOST-PCIEERD a written report duly signed by the Regional Director.

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Thank you.

Very truly yours,

ENRICO C. PARINGIT, PhD
Executive Director

Conforme:

_____
Regional Director, DOST