



ATENEODE DAVAO UNIVERSITY

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In Consortium with Ateneo de Zamboanga University and Xavier University

University Research Council

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MEMORANDUM TO: UNIVERSITY COMMUNITY

**FROM: LOURDESITA S. CHAN
CHAIR
UNIVERSITY RESEARCH COUNCIL (URC)**

**RE: Guidelines for Execution of Research Contracts,
Creation and Closure of DCB and Withdrawal and
Liquidation of Research Funds**

Guidelines for Execution of Research Contracts, Creation and Closure of DCB

1. Institutional research projects engaged in by any personnel of the Ateneo de Davao University and funded by the University or by any external legitimate source must be covered by a contract signed by the University President in behalf of the Ateneo de Davao University and the duly authorized representative of the contracting party (in the case of externally-initiated projects).
2. For externally initiated projects,
 - a. the Head of Office from where the proposed project emanates initiates the submission of the proposed contract to the University Research Council (URC) for review;
 - b. the URC reviews the proposed contract. The decision may come in the form of approval, conditional approval or disapproval. Specifically,
 - i. A decision of approval merits an immediate transmittal of the proposed contract to the University Lawyer for review, the initiating office will be informed of the result of this review;
 - ii. A decision of conditional approval implies that there is a need for certain matters to be clarified; hence, the document will be returned to the initiating office. Once questions are

adequately addressed, the initiating office may re-submit the proposed contract to the URC for submission and subsequent review of the University Lawyer. The URC informs the initiating office that the contract was transmitted to the University Lawyer. The initiating office will follow up the contract with the University Lawyer and in case of some required clarifications, it will act on what is required to ensure that the document is free of possible cause/s of impairment;

iii. A decision of disapproval will be communicated in writing to the initiating office.

c. the URC will inform the initiating office of the outcome of the review made by the University Lawyer. If the contract was cleared, the initiating office will be asked to reproduce the proposed contract in six separate copies or in as many copies as the University Lawyer requires. The URC will subsequently recommend in writing to the University President the signing of the proposed contract.

d. the URC transmits to the initiating office the outcome of the President's action. The URC and the Finance Office shall be furnished a copy of the signed contract;

e. all fees for whatever tranche it represents must be paid directly to the University Finance Office. The mentioned office subsequently acknowledges receipt of the payment made.

f. after the University Finance Office has received the first tranche of the grant from the contracting party, the office where the project is lodged must accomplish the request form for the opening of the DCB;

g. upon termination of the project contract, the project director shall notify the Finance Office of the project completion and thereby request that its corresponding DCB be closed.

3. For University-funded projects,

a. the URC arranges for the contract signing of approved proposals. Prior the scheduled contract signing, grantees will be required to submit to the Office of the University Research Services (OURS) the following: a) details of any valid government ID issued (Voter's ID, Driver's License, TIN ID & SSS ID)/its equivalent, and b) data required by insurance;

- b. after contracts are signed by parties concerned, the OURS a) prepares for the accomplishment by grantees of the request forms for the opening of DCB and the transfer of payment to respective DCBs; and, b) settles insurance payments;
- c. a week after all the documents and/or procedures in **letter b** are completed the grantees may effect the first withdrawal from their research funds;
- d. upon submission of all the research deliverables, the URC will issue a certificate of completion to the project director/group leader and thereafter, notify the University Finance Office for the closure of the concerned DCB.

Guidelines for Withdrawal and Liquidation of Research Funds

- 1.** Research funds are restricted funds and therefore have to be utilized for purposes so indicated in the approved proposal and budget.
- 2.** Request for withdrawal can only be filed after the necessary funds have been transferred to the designated DCB and subsequent withdrawal can only be granted to projects whose preceding withdrawal was already liquidated.
- 3.** Withdrawal of research funds is initiated by the person whose signature is specified in the request for DCB form. The request for withdrawal must be endorsed by the head of office where the project is located, and for projects funded by the University, also by the Chair of the URC.
 - a.** The request for withdrawal if applicable must specify the item/s, activities for which the withdrawn funds are intended, and the names of recipient, venue and date;
 - b.** Request for payment of honorarium and other fee-related expenses must be guided by the following conditions:
 - i.** For payment of Ateneo de Davao personnel and/or residents of Davao City, the “request for payment scheme” applies. The project director shall indicate in the request for payment form the complete name of the payees. For payees who are non-Ateneo personnel the complete names indicating the middle name, TIN and complete addresses must be included. The following must be attached in instances where the payee has no TIN as in the case of
 - 1.** students– a back to back photocopy of valid school ID;
 - 2.** irregular/ contractual workers - a back to back photocopy of any valid government ID, (e.g. Voter’s ID)
 - ii.** For payment of non-Ateneo personnel and/or non-residents of Davao City, the “request for payment scheme” applies. However, if the circumstances render the observance of this scheme difficult, if not nearly impossible, an on-site payment may be allowed. In this case, a voucher may be used to evidence the transaction. The following must be written and/or attached in the voucher:
 - 1.** full name of the payee, complete address and contact number/s;

2. TIN (for payee who have)

3. any valid government ID (for payee who do not have TIN) and a back to back photocopy of the ID must be attached ;

4. back to back photocopy of valid school ID for students;

iii. Research fees and/or honoraria are subject to withholding tax. This shall be withheld by the University Finance Office. However, in cases of on-site payment (Sec. 3.b.ii), the researcher is authorized to withhold the 10% withholding tax. The amount corresponding to the withheld tax shall be deposited to the University Finance Office immediately upon return to the University. The researcher must attach in the liquidation report the voucher or acknowledgement receipt used in the transaction.

4. Liquidation of the withdrawn fund must be guided by the rules of the Finance Office and of the University Research Council as follows:

a. Project Directors are responsible for the liquidation of withdrawn funds;

b. Liquidation documents must include:

i. Accomplished form of the Finance Office

ii. Support Documents such as Official Receipts, Vouchers (when applicable) and/or explanatory notes (when necessary), and,

iii. Summary of Expenses

c. Expenses incurred must be covered by official receipt/s (OR). As much as practicable, researchers must strive to secure the services of those who can issue an OR. Use of vouchers is only a recourse for items with no available OR and for transaction whose total cost does not exceed One Thousand Pesos Only (P1,000.00). When vouchers are used, complete name of payee with his/her corresponding signature, name of establishment (if applicable) and complete address must be indicated;

d. Payments that use “the request for payment form” are not subject for liquidation.