9/27/2004 11:00 AM

**Instructions for FORM K**

**RESEARCH INPUTS AND OUTPUT**

**Between Jan 1, 2001 and Dec 31, 2003.**

**INTRODUCTION:**

**Form K is designed to tabulate some of the research inputs and outputs in the SUC.** The data are useful to the SUC itself and to CHED. If the total budget for an SUC is P100M and even if just 5% of it is allotted for research, the SUC will have to account for the research results from the P 5M. If the SUC is bigger, say with a budget of P200M and 10% of it is allotted for research, the SUC will have to account for P20M worth of research.

Under Normative Financing, if the SUC wants to compete for a share of the “research pot” in the P 16.8B budget for the SUCs, **Form K will allow the SUC**

* **to tabulate its inputs ( and therefore demonstrate its potential to do research)**
* **and tally its outputs (and therefore demonstrate its record of accomplishment).**

This effort to gather data on SUC research inputs and research outputs is the natural evolution from the “SUC leveling” efforts started in 1999-2000. As currently designed, Form K may be viewed as the summary tabulation of the raw data submitted by the SUCs in the “SUC leveling” Forms B1, B2, B3,B4,B5.

**RESEARCH INPUTS IN THE SUC**

**The following are considered as inputs to the research function in the SUC. Their number demonstrate the capability or the potential of the SUC to do research.** The data should be captured as of July 1, 2004, the designated national census day for CHED and the SUCs:

1. No. of full-time SENIOR research personnel, i.e. SSL salary grade 18 and above.
2. Other full-time research personnel, i.e. SSL salary grade 17 and below.
3. No. of PhD holders among the faculty with their own PS items or the full-time faculty (i.e. faculty in Groups A1, A3, C1, C2). It is presumed that the capability of an SUC to conduct research depends partly if not mainly on the no. of full-time faculty who have been trained to do research. The PhD being a research degree, it is a good measure of the SUC’s potential to do research. In measuring the potential for research in the SUC, do not include the lecturers and other part-time faculty.
4. No. of masters degree holders among the faculty with their own PS items or the full-time faculty (i.e. faculty in Groups A1, A2, C1, C2). Do not include lecturers and other part-time faculty.
5. No. of masters students who are enrolled in programs requiring a thesis or where thesis is an option. Do not include students enrolled in masters programs (e.g. MBA) where no thesis is required.
6. No. of PhD students.
7. No. of “research centers”, i.e. organizational units within the SUC organization which are at least 75% devoted to research. That is, at least 75% of PS and MOOE goes to research – as opposed to instruction or extension services.
8. No. of degree-granting units which also do research, i.e. organizational units within the SUC organization which devote at least 75% of their PS and MOOE resources to instruction but devote at least 20% of their PS and MOOE to research.
9. No. of “national research centers”, i.e. centers created by legislation but embedded in the SUC organization.
10. No. of CHED-designated Centers of Excellence (COE) in the SUC.
11. No. of CHED-designated Centers of Development (COD) in the SUC.
12. Total externally-funded PS and MOOE for research, e.g. research grants from DOST, Dept of Agriculture, National Science Foundation, private foundations, etc.

**RESEARCH OUTPUTS**

The following are considered as RESEARCH OUTPUTS. Since research has a long gestation period, it is not enough to tabulate research results for just one year. Besides, since this is the initial data gathering effort, the relevant data collection period is the 3-year period between Jan 1 2001 and Dec 31, 2003.

1. Articles published in international refereed journals.
2. Articles published in national refereed journals.
3. Internationally-published books.
4. Nationally-published books.
5. Chapters in internationally-published books.
6. Chapters in nationally-published books.
7. Publications in proceedings of international conferences.
8. Publications in the proceedings of national conferences.
9. Papers presented in international conferences.
10. Papers presented in national conferences.
11. Patents.
12. Copyrights.
13. Theses produced by masters graduate students enrolled in programs where the thesis is required or is an option.
14. Dissertations produced by PhD graduate students.
15. Results which have been translated into commercial or industrial processes.
16. others.

**POINTS SYSTEM FOR RESEARCH OUTPUTS**

**Eventually, CHED and the SUCs will have to agree on a** “research output index” based on a points system that could be attached to the different types of research outputs listed above.

Furthermore, in recognition of the fact that most research have long gestation periods, the research output index for any particular year should be based on the cumulative points earned in each of the previous 3 years. This will enable the rolling research index to reflect the 3-year research momentum instead of year-to-year fluctuations. To illustrate, suppose the table below depicts the research points from an SUC.

|  |  |
| --- | --- |
|  | ANNUAL RESEARCH POINTS |
| YEAR 1 | 500 |
| YEAR 2 | 300 |
| YEAR 3 | 100 |
| YEAR 4 | 600 |
| YEAR 5 | 200 |

* To determine the research allocations for Year 4, the research output ( 500+300+100) from Years 1,2,3 will be used as the index for that year.
* To determine the research allocations for Year 5, the research output ( 300+100+600) from Year 2,3,4 will be used. The research momentum from 3 years ago still plays a role but the research production from 4 years ago or earlier does not count anymore.

**INSTRUCTIONS**

In this form, the SUC is allowed to list all its “research centers”.

* The list will of course include centers or institutes which are primarily or exclusively research institutes.
* The list could also include some colleges and departments which do mostly teaching but perform some research functions too.

**IMPORTANT:** *if a college or department is listed among the research centers, only the appropriate fraction of its personnel complement and budget should be claimed for research. For example, if 90% of the college resources is for teaching and only 10% is for research and the college has a total of 100 full-time personnel and a P20M budget, then only 10 personnel and P 2M should be declared for research. The remaining 90 personnel and P18M are for instruction. It is the SUC which will declare what percentage of the college or department budget is for instruction and how much is for research.*

*In this connection, the SUC will have to exercise discretion. If the research budget is overstated, the SUC should have more research results to show for the big research budget. If the research budget is understated, the SUC will appear to have high instruction costs.*

* The list will surely include the big research centers (e.g. with 20 or more plantilla positions) but possibly the little centers too (e.g. only 3 full-time research personnel and the rest are part-time or contractuals)
* The list could include centers which are 100% dependent on the SUC for its operating costs or research centers which are partly or mainly externally-funded (e.g. by DOST, Department of Agriculture, some private foundation, etc.)
* A sample list is shown below:

|  |  |
| --- | --- |
|  |  |
| 1 | College of Agriculture |
| 2 | Department of Biology, College of Science |
| 3 | Marine Research Institute |
| 4 | National Goat Research Center |
| 5 | Natural Science Research Center |
| 6 | Carabao Research Institute |
| 7 | Research Institute on Overseas Foreign Workers |
| 8 | Center for Ethnic Cultural Studies |
| 9 | Others |
|  |  |
|  | SUC TOTAL |

|  |  |
| --- | --- |
| **COLUMN LABEL** | **INSTRUCTIONS/ COMMENTS** |
| A1 | SEQUENCE NUMBER OF EACH RESEARCH CENTER |
| A2 | NAME OF RESEARCH CENTER |
|  |  |

**How many persons with their own plantilla positions are based in the research center?** As of July 1, 2004, this is a headcount of people with their own PS items who are fully devoted to research.

|  |  |
| --- | --- |
| **B1** | HEADCOUNT: SENIOR FULL-TIME STAFF DEVOTED TO RESEARCH ( SSL SALARY GRADE 18 OR HIGHER)  These are personnel with position titles such as RESEARCHER, ASSOCIATE RESEARCHER, etc. Do not include research aides. |
| **B2** | **HEADCOUNT: PART-TIME SENIOR RESEARCH STAFF.**  These are persons who do research on a part-time basis. For instance, a faculty member does mostly instruction but may do research on a part-time basis. |
|  |  |

**For the fiscal year 2003 ( Jan 1 2003 to Dec 2003), how much was received or spent by the center/ institute for research?** Do not include amounts which could attributed to the other two functions: instruction and extension services. Express in thousand pesos.

Please recall the previous warning: The SUC must be as forthright as possible. If too much money is attributed to research, the SUC will be duty-bound to show more research output to justify the expense. If too little money is attributed to research, the SUC will appear to have an over-bloated budget for instruction.

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| --- | --- |
| **C2** | 000 PESOS: SUC-FUNDED PS FOR RESEARCH.  **Between Jan 1 2003 and Dec 2003:** How much PS from the SUC may be attributed to research in this center or institute? ( Do not include amount attributed to instruction or extension services). If the PS budget for an entire college might be P20M but if only 10% of that is for research, then declare only P2M for research. |
| **C2** | 000 PESOS: SUC-FUNDED MOOE FOR RESEARCH  **Between Jan 1 2003 and Dec 2003:** How much MOOE from the SUC my be attributed to research in this center or institute? ( Do not include the amount attributed to instruction or extension services). The MOOE for the entire college might be P2M but if only 25% of that is for research, then declare only P500,000. |
| **C3** | 000 PESOS: SUC-FUNDED PS + MOOE FOR RESEARCH  C3 = C1 + C2 |
|  |  |
| **D1** | 000 PESOS: EXTERNALLY-SOURCED PS FOR RESEARCH  **Between Jan 1 2003 and Dec 2003:** How much PS was received by the center from external sources (e.g. DOST, CCP, NCCA, private foundation, etc?) |
| **D2** | 000 PESOS: EXTERNALLY-SOURCED MOOE FOR RESEARCH  **Between Jan 1 2003 and Dec 2003:** How much MOOE was received by the center from external sources? |
| **D3** | 000 PESOS: EXTERNALLY-SOURCED PS + MOOE FOR RESEARCH  D3 = D1 + D2 |
|  |  |

**RESEARCH OUTPUTS:**

**For the 3-year period between Jan 1 2001 and Dec 31, 2003, what are the research outputs from the research center**? Each output should be claimed only once. For instance, a paper jointly-authored by researchers from 2 different research centers should be listed in only one research center**.**

|  |  |
| --- | --- |
| **E1** | ARTICLES PUBLISHED IN REFEREED INTERNATIONAL JOURNALS |
| **E2** | ARTICLES PUBLISHED IN REFEREED NATIONAL JOURNALS |
| **E3** | BOOKS PUBLISHED INTERNATIONALLY |
| **E4** | BOOKS PUBLISHED NATIONALLY |
| **E5** | CHAPTERS IN INTERNATIONALLY-PUBLISHED BOOKS |
| **E6** | CHAPTERS IN NATIONALLY-PUBLISHED BOOKS |
| **E7** | PAPERS PUBLISHED IN PROCEEDINGS OF INTERNATIONAL CONFERENCES |
| **E8** | PAPERS PUBLISHED IN PROCEEDINGS OF NATIONAL CONFERENCES |
| **E9** | PAPERS PRESENTED IN INTERNATIONAL CONFERENCES |
| **E10** | PAPERS PRESENTED IN NATIONAL CONFERENCES |
| **E11** | PATENTS |
| **E12** | COMMERCIALIZED RESEARCH RESULTS |
| **E13** | OTHER RESEARCH OUTPUTS |
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