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OFFICE OF THE SECRETARY
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MEMORANDUM CIRCULAR

No. 28

Series of 2023

SUBJECT: REVISED GRANTS MANUAL (GM) OF THE DA-BUREAU OF AGRICULTURAL RESEARCH

I. BACKGROUND AND RATIONALE

Executive Order 292, series of 1987, mandates the Department of Agriculture-Bureau of Agricultural Research (DA-BAR) to ensure that all agricultural research is coordinated and undertaken for maximum utility to agriculture. Pursuant to this, the bureau crafts and supports various commodity and thematic research for development (R4D) programs in response to the technological needs, gaps, and opportunities in the sector. Within these, DA-BAR formulates plans, priorities, and policies; and sets guidelines for the approval, implementation, monitoring, and evaluation. These are packaged as the bureau's Grants Manual (GM) provided and disseminated to its R4D partner institutions, agencies, and stakeholders.

The GM is an operational reference in packaging R4D projects aligned to DA's thrusts and priority areas identified in R4DE agenda and programs. Specifically, the manual contains the following: different programs being coordinated and supported by the bureau; implementing guidelines in the preparation, submission, screening, and evaluation of R4D proposals; monitoring and evaluation (M&E) system; and respective prescribed formats for the proposal and report documents.

In response to the new fiscal management policies, modifications in the organizational structure, and amendments in the technical profile of the current R4D thrusts and priorities, the manual was updated. These changes necessitate revisions and additions in the manual.

This updated manual incorporated new institutional directions and the reinvigorated organizational structure of DA-BAR. It includes the refocused grants supported by the bureau, namely Strategic R4D, Scaling R4D, and Institutional Development; the revised grant system processes; and modifications in the proposal preparation, and M&E system.

II. SCOPE AND COVERAGE

The Grants Manual covers the guidelines and formats on proposal preparation, screening/evaluation, approval and funding, and monitoring and evaluation of R4D projects under the different programs of the bureau



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III. ACRONYMS AND ABBREVIATIONS

AAMRO	-	Accounting and Auditing Manual for Research Operations
ACA	-	Accelerated Capital Allowance
ACS	-	Applied Communication Section
AFMA	-	Agriculture and Fisheries Modernization Act
AO	-	Administrative Order
A&F	-	Agriculture and Fisheries
BC	-	Budget Circular
BFAR	-	Bureau of Fisheries and Aquatic Resources
COA	-	Commission on Audit
DA	-	Department of Agriculture
DA-BAR	-	Department of Agriculture – Bureau of Agricultural Research
DBM	-	Department of Budget and Management
DOST	-	Department of Science and Technology
DV	-	Disbursement Voucher
EO	-	Equipment Outlay
EOPS	-	End of Project Status
FCAs	-	Fisherfolk Cooperatives and Associations
GAM	-	Government Accounting Manual
GIA	-	Grants-in-Aid
GM	-	Grants Manual
GSIS	-	Government Service Insurance System
IAU	-	Internal Audit Unit
ICT	-	Information Communication Technology
IDS	-	Institutional Development Section
IEC	-	Information, Education, and Communication
IT	-	Information Technology
JC	-	Joint Circular
KMISD	-	Knowledge Management and Information Systems Division
LGU	-	Local Government Unit
MC	-	Memorandum Circular
MOA	-	Memorandum of Agreement
MOOE	-	Maintenance and Other Operating Expenses
MOV	-	Means of Verification
M&E	-	Monitoring and Evaluation
NAREA	-	National Agriculture and Fisheries Research and Extension Agenda
NBM	-	National Budget Memorandum
NGA	-	National Government Agencies
NGO	-	Non-Government Organization
OP	-	Operating Procedure
ORS	-	Obligation Request and Status
OVI	-	Objectively Verifiable Indicators
PDD	-	Program Development Division
PEM	-	Public Expenditure Management
PERA	-	Personnel Economic Relief Allowance



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PFM	-	Public Financial Management
PMED	-	Program Monitoring, Evaluation, and Linkaging Division
POT	-	Package of Technology
PS	-	Personnel Services
QQT	-	Quantity, Quality, Time
RA	-	Research Assistant
RDEAP	-	Research, Development, and Extension Agenda and Program
RFD	-	Research Facilities Development
RFO	-	Regional Field Office
RIRDEAP	-	Regional Integrated Research and Development, Extension Agenda and Program
RO	-	Regional Office
RR4DEN	-	Regional Research for Development and Extension Network
RTD	-	Regional Technical Director
R4D	-	Research for Development
R4DE	-	Research for Development, and Extension
SO	-	Special Order
SRA	-	Senior Research Assistant
SSNM	-	Site Specific Nutrient Management
SRS	-	Science Research Specialist
SSS	-	Social Security System
SUCs	-	State Universities and Colleges
S&T	-	Science and Technology
PRiSM	-	Philippine Rice Information System
TBI	-	Technology Business Incubation
TEV	-	Travel Expense Voucher
URA	-	University Research Associate
VP	-	Vice President



IV. DEFINITION OF TERMS

“Agency Head” refers to the head of bureaus, attached agencies, attached corporations, and regional field offices under the Department of Agriculture

“Bureau” refers to the DA-Bureau of Agricultural Research

“Collaborative Projects” refers to research projects that are carried out by the DA and/or its bureaus, attached agencies and corporations, or regional field offices with any entity whether private or government, local or international

“*En Banc* Review” refers to in-depth evaluation of R4D proposals with invited external pool of experts

“End Users” are those who benefit from the R4D innovations and practices as enabled by the next users

“Farm Level Application” refers to the relevance and usability of R4D outputs at the farmers’ field level

“Inception meeting” refers to an initial meeting between the proponent and the bureau after issuing a notice to proceed and fund release to level off on the implementation and other requirements/deliverables of the project

“Incubatee” refers to an entrepreneur, researcher, and innovator who have been registered to the Technology Business Incubator

“Incubator” refers to a facility where start-ups are hosted and business development services are provided; funded TBIs offer office space, as well as technical services and facilities

“In-House Screening” refers to the first step of the evaluation activities of the bureau to initially screen the merit of a proposal

“Implementing Agency” refers to the primary institution that will lead the implementation of the project

“Mature Technologies” refers to technologies that are technically and financially viable

“National Agriculture and Fisheries Research for Development and Extension Agenda and Programs” refers to the set of R4D priority areas which serves as the bureau’s main criteria or reference in supporting programs/projects

“Next Users” are those who provide an enabling environment for the application of R4D innovations and practices (eg. policy and decision makers, DA/LGU officials, extension workers, input/machine suppliers and manufacturers) by end users



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“Partner R4D Institutions and Agencies” refers to eligible institutions who can apply for R4D grants of the bureau

“Pool of experts” refers to an external group created by the bureau to assist in various R4D programs, activities, and projects such as technical evaluation of proposals and monitoring and evaluation of R4D programs/projects

“Proponent” refers to partner R4D institutions and agencies who submit program/project proposals for possible funding of the bureau

“Project” refers to a sequence of activities to be undertaken within a specific period to address a particular researchable area identified and prioritized by the bureau

“Program” refers to a group of interrelated component R4D projects with same goal in providing solutions to identified R4D priority concerns

“Stakeholders” refers to any collaborators including farmers and fisherfolk

“Sustainability Plan” refers to a roadmap to achieve long-term goals

“Technology” refers to invention, design, improvement, and construction of new types of products, equipment, and machinery

“Technology Business Incubation” refers to the process of assisting and providing technology-based and business services to individuals and groups who are interested to start their technology-based enterprise

“Technology Transfer” refers to the process by which one party systematically transfers to another party the knowledge for the manufacture of a product, the application of the process, or rendering of service, which may involve the transfer, assignment or licensing of IPRs (Philippine Technology Transfer Act, 2009)

“Technology Commercialization” refers to the utilization, adoption, and promotion/marketing of mature technologies which were generated/developed and tested/verified by R4D institutions (government or private) with the potential to generate income through sustainable enterprise development



V. R4D GRANT SYSTEM AND IMPLEMENTING GUIDELINES

DA-BAR, by virtue of its mandate, institutionalized its grant system anchored and contributory to the thrusts of the Department of Agriculture. The grant system is operationalized to ensure effective and efficient management of R4D resources. An appropriate allocation of R4D funds is provided for programs and projects under Strategic R4D, Scaling R4D, and Institutional Development to address A&F sectoral needs.

A. Classification of R4D Grants

1. Strategic R4D (Applied Research and Policy Research)

Strategic R4D deals with the development of technologies and recommendations to address the gaps of the sector through the conduct of applied and policy research programs. It focuses on the use of accumulated knowledge, theories, methods, and techniques toward technology and information generation/development, verification/validation, and impact assessment and/or evaluation.

2. Scaling R4D (Support to Technology Transfer and Commercialization and Technology Business Incubation)

Scaling R4D deals with the processes of replicating and refining A&F technologies with validated effectiveness and efficiency through a program delivery structure to achieve the large scale of coverage and equitable access to agricultural innovations and realization of improved social, economic, and environmental benefits.

3. Institutional Development (Research Facilities and Human Resource Development)

Institutional Development deals with providing support, policies, and mechanisms for the R4D system to strengthen and upgrade the capabilities and capacities of the A&F R4D institutions and its workers through the establishment and/or upgrading of facilities/equipment and the continuing human and physical resources capability development.

B. Criteria and Eligibilities

1. Strategic R4D

a. Applied Research

Applied research is either midstream or downstream research. Midstream research deals with technology generation and is done in research stations (controlled environment) geared toward gaining knowledge and



understanding necessary to address a pressing problem or need. Technology generation in this context refers to the process of developing technologies that are for verification and are not yet ready for dissemination. Meanwhile, downstream research deals with technology verification and dissemination and is done on farmer's fields, sites, or locations. Downstream researches are usually directed toward fine tuning and verification of newly developed technologies to determine their feasibility on the ground level.

Criteria for Funding

Proposals for applied research shall conform to the following:

- aligned to the national and/or regional thrusts and priorities of the DA and the industry
- responsive to the thrusts and priorities of the issued call for proposals within the identified implementation year
- addressing the relevant gaps and opportunities through technology and innovation-based interventions
- duration should be within 6 months to 3 years depending on the scope and nature of the project
- outputs have immediate, usable, and tangible farm and/or industry level applications
- clearly defined utilization and impact pathway with next users and end users
- counterpart/in kind contribution of the proponent to the project need to be provided

Eligible Proponents

The following are the R4D partner institutions and agencies eligible for funding support:

- DA-National R4D Centers (attached agencies and staff bureaus)
- DA-RFOs
- DA-BFAR ROs
- National and regional SUCs for agriculture and fisheries
- DA accredited international and local NGOs (private sector and civil society organizations) implementing A&F R4D

b. Policy Research

Policy research deals with research and studies on the effects and/or impact of R4D activities on farming and fishing communities and other stakeholders. This also includes studies on the latest trends in A&F that would contribute to address poverty alleviation and overall increase in productivity for the achievement of the national food security goal. Policy Research also covers value chain and supply chain studies and analyses that will produce policy



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recommendations for submission and consideration of policy makers/implementers.

Criteria for Funding

Proposals for policy research shall conform to the following:

- aligned to the national and/or regional thrusts and priorities of the DA
- clearly defined utilization and impact pathway with next users and end users
- durations should be within 6 months to 3 years depending on the scope and nature of the project
- counterpart/in kind contribution of the proponent

Eligible Proponents

The following are the R4D institutions eligible for funding support;

- DA-National R4D Centers (Attached Agencies and Staff Bureaus)
- DA-RFOs
- DA-BFAR ROs
- National and Regional SUCs for agriculture and fisheries
- LGUs
- DA-accredited international and local NGOs (private sector, and civil society organizations) implementing A&F R4D

2. Scaling R4D

a. Support to Technology Transfer and Commercialization

Support to technology transfer and commercialization covers post-market research and refinement of A&F technologies; and development of enterprises through transfer and scaling up market-oriented technologies to identified farmer/fisherfolk groups, and compliance to business, health, and safety standards. The market-oriented technologies generated and developed by R4D institutions are strategically placed and transferred to areas and communities that need them the most. This will serve as a vital tool in the improvement of A&F-related industries from resource-based to technology-based industries.

Criteria for Funding

Evaluation of proposals is based on the following criteria:

- Has an identified project beneficiary/partner as end user
- Has stated gaps/needs/problems of the industry, and how the technology, when introduced, will address the problem
- Has established the proof of concept
- Has identified target market



Eligible Proponents

The following are the R4D institutions eligible for funding support:

- DA-National R4D Centers (Attached Agencies and Staff Bureaus)
- DA-RFOs
- DA-BFAR ROs
- National and Regional SUCs for agriculture and fisheries
- LGUs
- DA accredited international and local NGOs (private sector, and civil society organizations) implementing A&F R4D

b. Technology Business Incubation

The DA-BAR-Technology Business Incubation (TBI) primarily focuses on increasing the capacities of research-based business incubators to manage A&F technology-based enterprises. The incubators' key roles are recognized in catalyzing the overall incubation processes.

The DA-BAR-TBI Program aims to support R4D partner-institutions in providing a mechanism for a more effective transfer of mature technologies. The support may also result in the innovation and sustained development of start-ups, agri-entrepreneurs particularly the FCAs. Implementing guidelines of TBI is provided in *Annex W*.

Criteria for Funding

Evaluation of proposals is based on the following criteria:

- Has existing facilities that can be used by incubatees
- Has a pool of experts to serve as mentors for the incubatees
- Has a pool of technologies ready for transfer to incubatees

Eligible Proponents

The following are the R4D institutions eligible for funding support:

- DA-RFOs
- DA National R4D Centers

3. Institutional Development

a. Research Facilities Development

The Research Facilities Development covers the establishment and/or upgrading of R4D facilities of qualified agencies/institutions. It includes the establishment; and/or renovation of R4D facilities, postharvest/processing facilities, experimental farms and other basic facilities; and acquisition of scientific equipment and information technology wares.



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Criteria for Funding

Proposals for RFD shall conform to the following:

- DA thrusts and programs,
- Mandated R4D programs of the partner-agencies/institutions,
- R4D facility in support to the implementation of the agency's R4D program,
- Duly-approved agency master development plan (for DA National and Regional R4D Centers)
- Optimum utilization of existing equipment is a precondition for the purchase of additional items and the policy of sharing the equipment within and with partner-institutions must be observed.
- Proposed project should be 1 year at most.
- Have identified specific partner-beneficiaries
- Counterpart/in kind contribution from the implementing agency is mandatory.

Eligible Proponents

The following are the R4D institutions eligible for funding support;

- DA-National R4D Centers (Attached Agencies and Staff Bureaus)
- DA-RFOs
- DA-BFAR ROs
- National and Regional SUCs for agriculture and fisheries
- DA-accredited local NGOs (private sector, and civil society organizations) implementing A&F R4D)

The amount of grant is based on the priority needs of the agency that will complement/support the implementation of A&F R4D projects. Proposals submitted to DA-BAR should follow the prescribed RFD proposal format (*Annex H*) stating the details and list of the total requirements of the facility, status of the existing items, and gaps needing support (ie. upgrading of laboratory and research equipment and renovation of R4D facilities). Each of the items being proposed must have a corresponding justification of its uses and benefits.

b. Human Resource Development

The Human Resource Development Program of the bureau aims to increase the workforce capability of the A&F research system of the country. The program intends to increase the number of post-graduate degree holders for the improvement of efficiency in the conduct and delivery of A&F R4D.



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Degree Scholarship Program

The Degree Scholarship Program (DSP) is a provision for the pursuit of a graduate degree (Master's and Doctorate Degrees) in agriculture, fisheries, and other related fields. It aims to develop a cadre of highly competent researchers and research technical staff equipped with a graduate degree in agriculture, fisheries and other related fields. This is in support of the continuous personnel and institutional development of R4D centers/institutions leading to a more innovative and enabling R4D system. Implementing guidelines of DSP is provided in *Annex V*.

Scope and Program

The program supports Master's Degree scholarship for graduates of Bachelor of Science with good academic standing in undergraduate studies and has commendable performance in current R4D assignment. Moreover, it supports Doctorate Degree scholarship that is open to M.S. graduates with high leadership potentials and concrete achievements in their areas of specialization.

Selection and Evaluation Criteria

Evaluation of applicants is based on the following criteria:

- Relevance of the course to A&F modernization and industrialization;
- Usefulness of the course learnings in the applicant's institutions specifically to its R4D thrusts and priorities, programs, gaps and needs;
- Capability of applicant to pursue and successfully complete graduate studies;
- Relevance of the trainings attended to their R4D responsibilities; and
- Number of research projects/studies conducted

C. Proposal Submission

A detailed proposal, conforming to the format of the bureau, shall be submitted for evaluation and possible consideration. *Annexes B, C, H* show the detailed proposal formats for applied and policy research, support to technology transfer and commercialization, and research facilities, respectively, as well as the preparation guidelines. The proposals to be submitted shall also include an endorsement letter from the agency head addressed to the DA-BAR director. For proposals addressing gaps and opportunities on a local level and focusing on regional commodities, endorsement and certification of the RR4DEN is required to ensure harmonization and indicate alignment with the regional R4D thrusts and priorities.



D. Screening and Evaluation of Proposals

Submitted proposals for projects on Strategic R4D, Scaling R4D, and Institutional Development shall undergo the screening and evaluation activities conducted by DA-BAR In-House Screening and Review Committee, and the external pool of experts.

A step-by-step process flow of the screening, evaluation, approval, and funding for grant programs for applied research, policy research, support to technology transfer and commercialization, technology business incubation, and research facilities establishment/upgrading is outlined in *Figure 1*. For the human resource development program, the process flow is shown in *Figure 2*.

The proposals received shall be evaluated following the grant system of the bureau. Thus, only those aligned with the current priorities shall be considered for review and possible funding. Awarding of grants is always based on the merits of the approved proposals. Proponents of the project grants must possess the required academic qualifications and track record to successfully implement the R4D project. The proponent should be able to carry out the project with due diligence and efficiency, and in accordance with appropriate agricultural and fisheries practices that conform to sound environmental and social standards. There is no limit as to the number of proposals a particular proponent may submit, but prioritization shall be implemented subject to availability of funds or as deemed appropriate and necessary, or given that the proponent has no outstanding balance with the bureau in the form of uncompleted projects or unliquidated balances. Each proposal is treated separately and independently, in strict accordance with the established guidelines. Acceptance, approval, and implementation of projects shall conform to the Revised Documentary Requirements for Common Government Transactions as prescribed under COA Circular No. 2012-001 dated 14 June 2012.

1. In-House Screening

The in-house proposal screening is the first step of the evaluation activities of the bureau to initially screen the merit of the proposal. A table screening and review of the proposal/s is/are conducted to assess the relevance and alignment with the DA's thrusts and priorities, as well as the completeness of the documents. An In-House Screening and Review Committee is created by the bureau through a Special Order with the following functions:

- Set criteria and guidelines for the R4D proposal screening and review process of the bureau;
- Conduct the initial screening and evaluation of received R4D proposals for funding and support, based on the approved criteria and guidelines set by the bureau;
- Endorse the results of the initial screening and evaluation of received proposals to the bureau's director for reference and further instructions;



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- Identify initially approved R4D proposals to be subjected to further in-depth review and evaluation with the external pool of experts;
- Recommend in-depth reviewed R4D proposals to the bureau's director for approval and funding consideration;
- Establish and update (as needed) the monitoring and evaluation guidelines, to include outcomes towards impact, for ongoing and completed projects;
- Review evaluate the progress and completion reports submitted by the implementing agencies and recommend the next set of action plans, certify their acceptability to facilitate continuation or termination/completion of the projects;
- Conduct on-site/field visits to the DA-BAR funded R4D projects, as needed at any point, during implementation to monitor and validate the progress of the project;
- Evaluate DA-BAR-funded R4D project outputs in accordance with the approved work plan;
- Recommend and initiate the steps and processes for the sharing, transfer, and adoption of project outputs to the next and end user;
- Implement post M&E strategies and recommend programs to be subjected to impact assessment.

The Committee is composed of key officials and staff of the bureau listed as follows:

Chair	:	Assistant Director
Vice Chairs	:	Head, Program Development Division (PDD) Head, Program Monitoring, Evaluation, and Linkaging Division (PMED)
Members	:	Head, Knowledge Management Information System Division (KMISD) Assistant Heads, PDD, PMED, KMISD Section Heads, PDD and PMED Head, Planning and Monitoring Unit Technical Staff, PDD, PMED, KMISD and Office of the Assistant Director

The Committee may also request other DA-BAR officials and staff to serve as resource persons as deemed necessary.

2. *En Banc* Review and Evaluation

As a result of the in-house screening of proposals, the bureau may subject the proposal to *En Banc* Review and Evaluation, as necessary or recommended. The activity is spearheaded by the DA-BAR-PDD and the In House Committee with the



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assistance of the panel of external Pool of Experts to conduct the in-depth technical and financial evaluation of the proposal. Proponents are notified to present their proposal to DA-BAR and the invited experts to facilitate better screening and evaluation of the proposal and immediately provide the findings, comments, and recommendations.

The Pool of Experts is composed of scientists, researchers, and specialists from DA's national and regional Offices, SUCs, NGOs, and the private sector and other government institutions who are technically equipped, with relevant experience, and actively involved in R4D in the A&F sector. The pool is grouped according to R4D commodity disciplines and thematic areas. They shall assist and provide technical guidance on the following tasks and activities:

- Formulation and updating of the R4D agenda and program across the A&F sector;
- Recommending appropriate R4D policies and directions related to the development of the A&F sector;
- Screening and evaluation of proposals, review and/or assessment, monitoring and evaluation, and validation of ongoing and completed R4D projects; and,
- Perform other tasks as may be necessitated within their scope of work from time to time.

E. Approval and Funding of Proposals

Once the proposal is approved for funding by the bureau, the Notice of Approval signed by the bureau director and Memorandum of Agreement are issued to the implementing agency and proponent. Signing and notarization of the proposals and MOA are facilitated to serve as pertinent documents in processing fund transfer/release to the implementing agency's bank account through bank transfer or issuance of cheque. A Notice to Proceed and Fund Release is issued signifying the official fund transfer and start of implementation of the project. An inception meeting is also conducted to level off the expectations on the implementation, as well as other requirements and deliverables of the project.

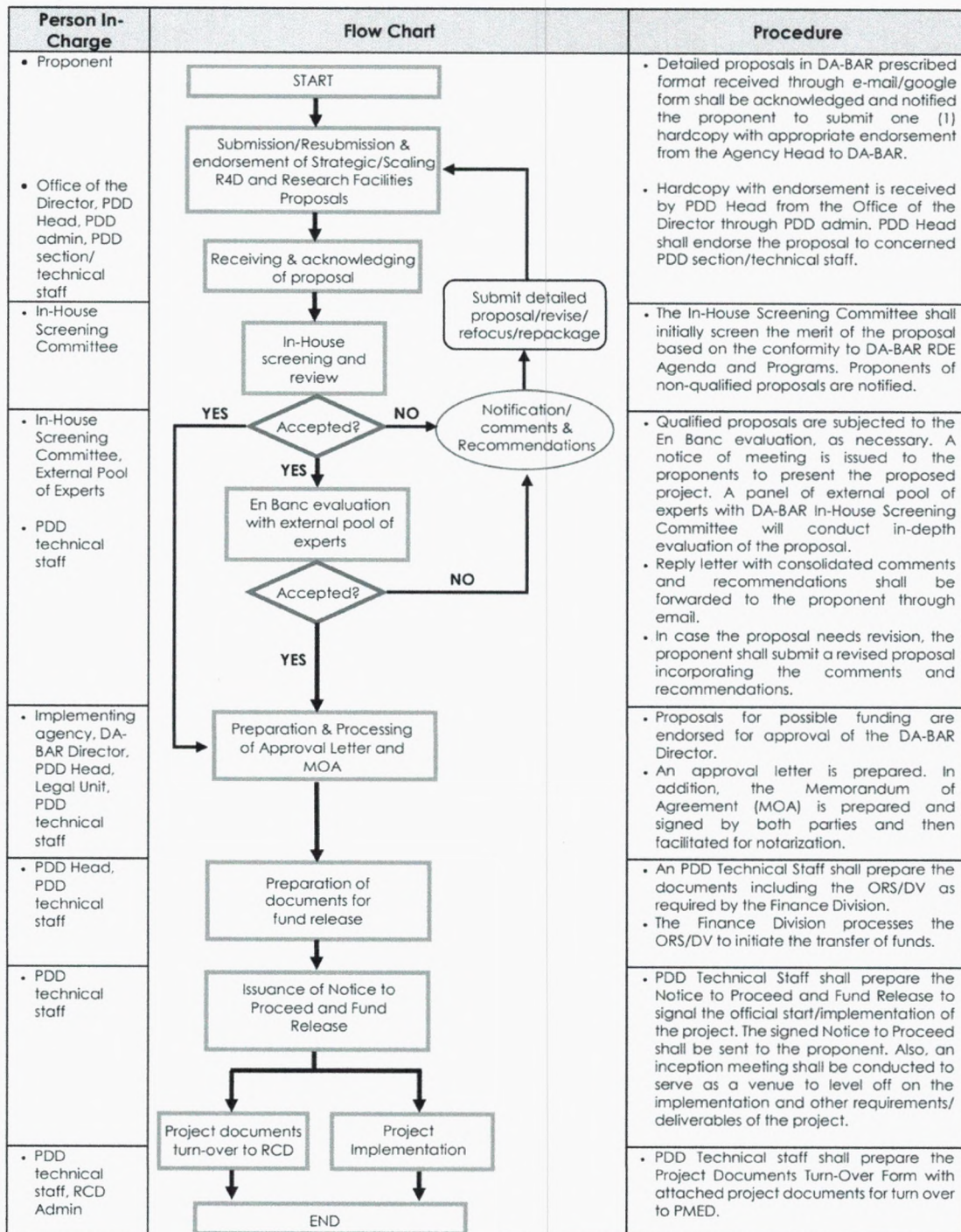


Figure 1. Process flow of the screening, evaluation and approval for applied research, policy research, support to technology transfer and commercialization, technology business incubation, and research facilities



Person In-charge	Process Flow	Procedure
<ul style="list-style-type: none"> Applicant 	START ↓ Submission of request to BAR	<ul style="list-style-type: none"> Applicants must submit a filled-up application form and other requirements
<ul style="list-style-type: none"> Director PDD Head IDS Section Head 	Receive, acknowledge and initially evaluate request ↓ Passed? (Decision) NO → Notify proponent YES ↓	<ul style="list-style-type: none"> Requests received PDD thru the Office of the Director are acknowledged and initially evaluated. Non-qualified applicants are notified thru a letter. Applicants with incomplete documents are also notified and advised to submit the lacking requirements.
<ul style="list-style-type: none"> Degree Scholarship Committee Director PDD Head IDS Section Head 	Evaluation of request ↓ Approved? (Decision) NO → Notify proponent YES ↓	<ul style="list-style-type: none"> Qualified applications/requests are being evaluated: Degree Scholarship Program application is evaluated by Degree Scholarship Committee regularly held on a semestral basis. However, documents are routed to the committee in cases that immediate action on the scholar's request is needed
<ul style="list-style-type: none"> Director Applicant IDS Staff 	Preparation of Contract/Notice of Approval ↓ Processing of payment and release of fund	<ul style="list-style-type: none"> Recommendations of the scholarship Committee are endorsed to the Office of the Director for final approval. IDD notifies the applicants regarding the status of their applications Approved applicants are given award letters and contracts. The contract shall be signed by both parties
<ul style="list-style-type: none"> IDS Staff Fund manager 	Awarding of Grant	<ul style="list-style-type: none"> The scholar/grantee receives the entitlements and submits progress reports, liquidation reports and other required documents during the period of the grant
<ul style="list-style-type: none"> IDS Head Fund manager 	Performance evaluation and monitoring	<ul style="list-style-type: none"> IDS and fund manager monitor and evaluate the submitted progress report of the scholar
<ul style="list-style-type: none"> Scholar Head of Agency 	Completion of degree/thesis/dissertation	<ul style="list-style-type: none"> The scholar/grantee notifies DA-BAR of his/her completion of the degree
<ul style="list-style-type: none"> Director IDS Staff Fund manager 	Acknowledgement/evaluation ↓ END	<ul style="list-style-type: none"> IDS and fund manager acknowledge and evaluate completion report submitted by the scholar

Figure 2. Process Flow of the Degree Scholarship Program



VI. PROJECT MONITORING AND EVALUATION

Monitoring and Evaluation (M&E) is a fundamental process to ensure smooth and effective implementation of DA-BAR R4D funded projects. It is a tool used to measure a project's progress, plan, and allocate resources; learn from past experiences, improve service delivery, and demonstrate results as part of accountability to key stakeholders.

PMED leads the M&E of Strategic R4D (Applied Research and Policy Research), Scaling R4D (Support to Technology Transfer and Commercialization and Technology Business Incubation), and Institutional Development (Research Facilities and Human Resource Development) projects. To ensure the alignment of the project's implementation based on the approved proposal, the PMED conducts progress and pre-completion, and completion reviews. Further, on-site/field monitoring is conducted to validate consistency of reported accomplishments with the actual outputs in the field. Conducting these M&E activities is necessary to determine if the project will be continued or terminated.

A. Monitoring and Evaluation Process

M&E activities are conducted at the start of implementation up to the completion of the project. In general, it looks into the three main aspects of project implementation:

Technical Aspects

In terms of technical aspects, the project is monitored and evaluated based on the approved Detailed Project Proposal and Logical Framework. The M&E Form (*Annex M*) submitted by the proponent shall also serve as one of the bases for reviewing the project.

Management Aspects

In terms of management aspects, the project is assessed based on its approved work plan schedule. Specifically, the project's actual implementation is monitored and evaluated based on the proposed activities in its proposal. The project's utilization of resources is also evaluated to ensure effectiveness and efficiency during the implementation process.

Financial Aspects

The financial management aspect is monitored based on the approved budget summary of the project. Further, the budget guidelines set by the bureau shall serve as reference for the project's fund utilization activities.



1. Project Review

The review is conducted in three stages, during project implementation and completion.

a. Progress Review

Progress review is conducted at mid-implementation depending on the project duration. For one-year projects, the progress review is conducted six months after the start of implementation. While for multi-year projects, the progress review is conducted every after one year of project implementation. The bureau may also schedule a review as deemed necessary during the period of project implementation. With the aid of external evaluators, the review evaluates the project's actual accomplishments vis-à-vis targets, the proposed work and financial plan for the succeeding period, and makes necessary recommendations on the project.

The progress review is guided by the Progress Report (*Annexes I and J*) submitted by project leaders to DA-BAR. The report shall contain the major accomplishments and/or findings for the period covered. All project leaders are required to submit three hard copies and one electronic copy of reports. The reports, complete with attachments, must be duly endorsed by the agency head. The Logical Framework, Work Plan Schedule, and Monitoring and Evaluation Form shall be attached to the progress report. The COA-received Audited Financial Report should also be attached.

Upon satisfaction of the requirements of the project based on the presentation and the reports submitted, PMED will recommend its continuation or termination. The results of the review serve as a basis for subsequent fund release/s.

During progress review, the project leader is also reminded to submit to DA-BAR a request for Deed of Donation for all the equipment and non-expendable properties purchased by the Implementing Agency using the funds from the project. This document will serve as a proof of the official turnover of these equipment and properties to the Implementing Agency.

b. Pre-completion Review

Pre-completion review is one of the bureau's M&E activities conducted at most four months prior to a project's expected completion. This activity aims to assess the overall progress and accomplishments of the project for the period covered and identify and recommend further improvements and/or



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modifications to be incorporated before the project is completed. In addition, it is during this review that the project will be recommended for extension.

The project leader will submit three hard copies and an electronic copy of the completion report to DA-BAR. This report, together with other documents such as Monitoring and Evaluation Form and COA-received Audited Financial Report, will guide the external evaluators, PMED, PDD, KMISD in the evaluation of the project.



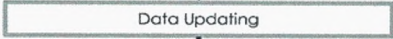
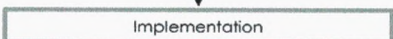
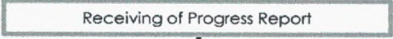
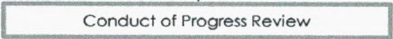

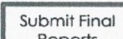

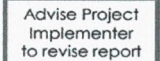
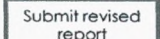
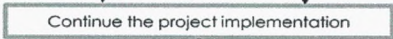

c. Completion Review

The completion review is scheduled upon receipt of the completion report. The review assesses the project outputs and outcomes for the intended beneficiaries, as well as identifies lessons and best practices for the design of future projects. Representatives from PDD and KMISD attend the meeting to assist PMED in the identification of intellectual property and assessment of the potential technology of the R4D project; and further dissemination of technologies to intended users. Further, the technical divisions shall identify technologies for verification, pilot testing, pre-commercialization and dissemination.

At the end of the project, the proponent shall submit to DA-BAR three hard copies and one electronic copy of the completion report (*Annexes K and L*) duly endorsed by the agency head. The report, complete with attachments, shall be submitted within 60 days after the project has been completed or terminated. The Financial Report reflecting the utilization of project funds should also be submitted. All outputs indicated in the Logical Framework shall be submitted to DA-BAR within the period specified. All unexpended funds shall be returned to DA-BAR and an official receipt shall be properly issued.

The proponent shall also submit a brief write-up of the project summarizing the accomplishments/significant results in publishable form.



Person In-charge	Process Flow	Procedure
<ul style="list-style-type: none"> PDD and PMED Admin. Staff PMED Head/Assistant Head PMED Program Focal 	 	<ul style="list-style-type: none"> PMED admin. staff receives approved project files from PDD admin. staff and encodes it in the Logbook of Incoming and Outgoing Documents (BAR-PMED-OP-01F1). Project files are forwarded to the PMED Head/Assistant Head for their instructions and information. PMED Head/Assistant Head routes project files to the PMED Program Focal. PMED Program Focal assess the completeness of the project files (hard and soft copy). If found incomplete, the project files will be returned to PDD admin. staff for their appropriate action.
<ul style="list-style-type: none"> PMED Program Focal 		<ul style="list-style-type: none"> PMED Program Focal updates the R&D Program Database at least every semester.
<ul style="list-style-type: none"> PMED Program Focal Project Implementer 		<ul style="list-style-type: none"> The project implementation starts on the date indicated in the Notice to Proceed. Note: Exact dates of project duration should be indicated in the Notice to Proceed and Schedule of Releases and Outputs. If the start of the project implementation will be delayed, an official communication stating the actual start of project implementation with corresponding justification should be sent to BAR as soon as possible.
<ul style="list-style-type: none"> Project Implementer PMED Program Focal Records Unit Office of the Director 		<ul style="list-style-type: none"> Project Implementer submits a progress report with corresponding IEC materials following the BAR-prescribed format (BAR-PMED-OP-01F3 Rev. 1), filled-out Monitoring and Evaluation (M&E) form (BAR-PMED-OP-01F5 Rev.1), and COA- received or BAR-IAU certified Financial Status Report duly endorsed by the head of the agency addressed to the BAR director to be submitted/forwarded to BAR's Records Unit. The Records Unit will forward these documents to the Office of the Director. Then, PMED will receive the progress report and other documents from the Office of the Director. In case of misrouting of progress reports, filled-out M&E form, and Financial Status Report, these documents should be returned to the Office of the Director.
<ul style="list-style-type: none"> External Experts PMED Head/Assistant Head PMED Program Focal PDD and ACS Representatives Records Unit Office of the Director Project Implementer 	       	<ul style="list-style-type: none"> PMED spearheads the conduct of virtual progress review and issues a Notice of Meeting for the activity. If necessary, a face-to-face progress review will be implemented. Upon satisfaction of the requirements of the project based on the presentation of accomplishments and the reports submitted, experts and the BAR team will recommend its continuation, or termination. PMED Program Focal will consolidate comments and recommendations given by the experts during the review. The evaluation results will serve as reference to recommend the continuation or termination of the project. Upon recommendation, project implementation will be continued incorporating the comments and recommendation of the evaluators. If terminated, project Implementer submits Completion Report (hard and electronic copies of the report with corresponding IEC materials, M&E form, and original signed Audited Financial Report) duly endorsed by the head of the agency addressed to BAR director to be submitted/forwarded to the Records Unit. The Records Unit will forward the reports to the Office of the Director. Then, PMED will receive the reports from the Office of the Director. If recommended for continuation, PMED Program Focal to advise Project Implementer to revise progress report based on actual accomplishment and incorporate the comments and recommendations given by the evaluators. Project Implementer should accomplish and submit Compliance Form (BAR-PMED-OP-01F10). Project implementer should submit the revised progress report to BAR duly endorsed by head of implementing agency.

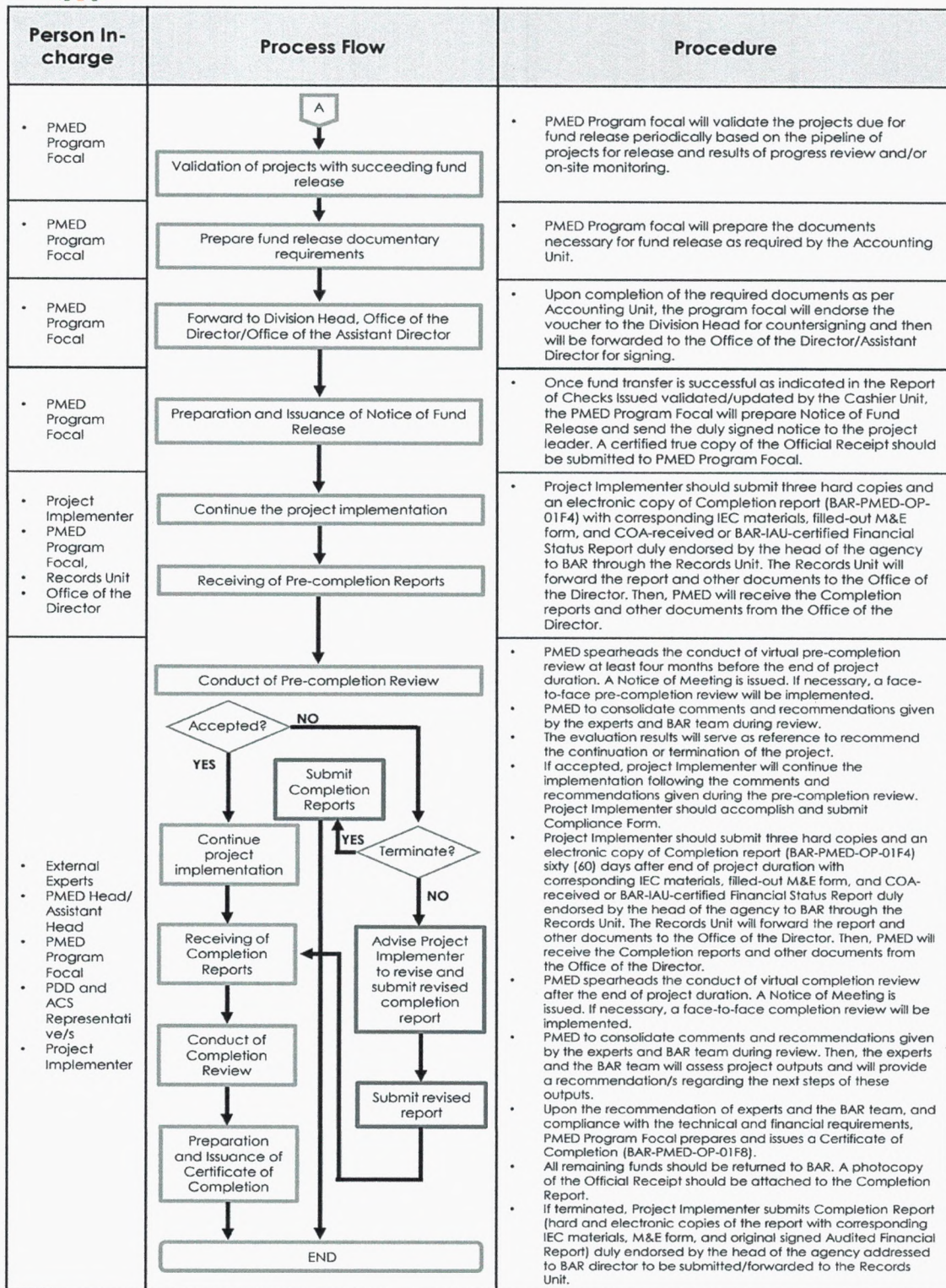


Figure 3. Process flow of progress and completion review of R4D projects



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2. On-site Monitoring

To ensure that the project has been implemented accordingly based on the approved proposal and to validate if the reported accomplishments are consistent with the actual outputs in the field, on-site/field monitoring is conducted.

The on-site/field monitoring shall be done unannounced or with prior notice. It will be conducted by a team which may be composed of key officials and staff from technical and financial divisions/units of the bureau.

For RFD projects, a scheduled site inspection and validation will be conducted on the location of the project, based on the submitted completion report. The form is used specifically for the procured items and other completed activities. The fund utilization is also validated during the field visit. Inspection of the equipment/items with affixed RFD stickers and permanent display commemorative markers (facility and building signage) (*Annex T*) for the renovated/constructed facilities is also being conducted.



Person In-charge	Process Flow	Procedure
<ul style="list-style-type: none"> • PDD/ PMED admin. Staff • PMED Head/ Assistant Head • PMED Program Focal 	<pre> graph TD START([START]) --> RAFP[Receiving of Approved Project Files] </pre>	<ul style="list-style-type: none"> • PMED admin. staff receives approved project files from PDD admin. staff and encodes it in the Logbook of Incoming and Outgoing Documents (BAR-PMED-OP-01F1). Project files are forwarded to the PMED Head/Assistant Head for their instructions and information. • PMED Head/Assistant Head routes project files to the PMED Program Focal. • PMED Program Focal assess the completeness of the project files (hard and soft copy). If found incomplete, the project files will be returned to PDD admin. staff for their appropriate action. • PMED Program Focal updates the R&D Program Database at least every semester.
<ul style="list-style-type: none"> • PMED Program Focal • PDD and ACS Representative /s • Project Implementer • Records Unit • Office of the Director 	<pre> graph TD RAFP[Receiving of Approved Project Files] --> COM[Conduct of On-site Monitoring / Field Validation] COM --> ACC{Accepted?} ACC -- YES --> CPI[Continue the project implementation] ACC -- NO --> NPI[Notify Project Implementer to Prepare and Submit Completion Report] CPI --> END([END]) NPI --> END </pre>	<ul style="list-style-type: none"> • PMED Program Focal spearheads the conduct of on-site monitoring. A letter of communication is issued to the project leaders/implementing agency. • Upon satisfaction of the requirements of the project based on the presented accomplishments and the reports submitted vis-à-vis actual accomplishments in the field, BAR monitoring team will recommend its continuation or termination. PMED Program Focal will prepare On-site Monitoring Form (BAR-PMED-OP-01F13). • In case of emergency and face-to-face on-site monitoring is not possible, a virtual monitoring will be implemented. • In addition, PMED Program Focal will inspect equipment vis-à-vis approved Equipment Outlay. Tags will be provided and placed on the equipment. PMED Program Focal will update the equipment inventory. • If accepted, the project implementer will continue the conduct of the project incorporating the comments and recommendation of the BAR monitoring team. • If not accepted, PMED Program Focal will send an official communication to project implementer regarding the termination of the project. The accomplished On-site Monitoring Form will be attached to the letter. • Project Implementer submits Completion Report (hard and electronic copies of the report with corresponding IEC materials, M&E form, and original signed Audited Financial Report) duly endorsed by the head of the agency addressed to BAR director to be submitted/forwarded to the Records Unit. The Records Unit will forward the reports to the Office of the Director. Then, PMED will receive the reports from the Office of the Director. • Note: If original signed Audited Financial Report is not yet available, the COA-received AFR should be submitted to BAR. • PMED Focal Person will update the R&D Program Database and project file.

Figure 4. Process flow in conducting on-site monitoring/field validation



B. Budget Realignment and Project Extension

1. Request for Budget Realignment

Requests for budget realignment shall only be considered by DA-BAR if the project is being implemented for at least six months from the start of implementation and the project leader has submitted or updated his or her project liquidations.

The official request for budget realignment shall indicate detailed reasons or valid justifications duly endorsed by the head of the implementing agency/institution. Progress report, latest financial report with COA "received" stamp, and revised budget realignment matrix signed by the Agency Accountant or Head of the Finance Division must also be attached.

Non-Allowable Realignments

- Salaries, Wages, Personal Services (PS). PS intended to be used in the augmentation of the salary increment of the regular and project personnel or increase in any other benefits such as but not limited to salary premium, hazard pay, and insurance
- Retroactive payment of salary increases for the regular and project staff throughout the period of project implementation
- Equipment, savings intended for the purchase of additional equipment, laptops, desktops, tablets, and mobile phones
- Foreign travels to present project outputs in International Conference, Symposia and the like
- Addition of Line Item Budgets which were not included in the original Budget Summary
- Purchase of Personal Protective Equipment (PPEs) and disinfection materials
- Charging of COVID-19 detection tests

Other Provision

- A revised worksheet of MOOE is required for request of fund transfers to Other MOOE
- Expenses beyond the approved budget of specific line items without requesting to and approval of DA-BAR cannot be charged in the project funds
- The rates for technical services, contract of services and labor fee shall be based on the existing and approved issuances on S&T personnel and shall be governed by the existing accounting and auditing rules
- Any change in the kind or type of equipment to be purchased for the project other than what is specified and approved in the original Budget Summary is subject to approval of DA-BAR



2. Request for Project Extension

Project extension requiring no additional cost may be granted once with a maximum period of six months only. If the cause is due to natural causes, the project can be extended until twelve months. Project implementer should send a request for an extension four months prior to the approved completion of the project. All remaining funds after the project extension should be returned to DA-BAR. The request, addressed to BAR director, shall be attached with progress report, latest financial report with COA "received stamp", proposed new work plan for the remaining activities to be conducted in the extension period and Certification from the Head of Research Division/Unit, RTD for Research/VP for Research and/or counterpart and endorsed by the Head of the Agency to signify that the project had undergone an assessment and merits a project extension.

Requests for extension requiring additional cost or grant renewals shall be submitted and considered as a new proposal and shall be evaluated accordingly.

C. Project Termination, Discontinuation, and Withholding of Fund Releases

Per DA-BAR Memorandum with Reference No. 2021-08-10 dated August 2, 2021, the bureau reserves the right to terminate, discontinue, or withhold its technical and financial assistance to projects within the project's implementation period should it violate Sections 8 and 9 as stipulated in the Memorandum of Agreement and any other relevant issuances as stipulated by the bureau or other concerned authorities.

A project may be terminated and the release of its succeeding funds may be discontinued or withheld based on the following:

- Accomplishments do not justify the continuation of project implementation and release of succeeding funds
- Continuing planned project activities are unnecessary based on the results of M&E activities conducted
- Deviation/s from approved methodology without prior notice and approval of DA-BAR
- Deviation/s from approved budget summary or realigning the budget without DA-BAR's approval
- Failure to acknowledge DA-BAR as the funding agency when project is presented at meetings/conferences/symposium
- Project has been dormant and no activities were conducted within a span of one year
- Disallowance by oversight based on findings
- Unavailability of funds from the national government
- Failure to submit liquidation report within 6 months and 12 months for one-year and multi-year projects, respectively
- Failure to submit accomplishment reports and other pertinent documents on time



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- Failure to have a prescribed signage (*Annex U*) in project sites
- Savings from previous fund releases can cover the cost of remaining activities to be conducted (*applicable to discontinuation and withholding of fund release/s only*)

Project leaders will be given Notice of the Observation/s through a letter signed by the DA-BAR director, addressed to the head of the agency/institution. The implementing agency and the project leader are given 30 days upon receipt of such notice to comply with the required documents and/or implement recommended courses of action to address the different issues and concerns identified. Failure to comply and continued violation will constitute immediate termination.

All orders, rules and regulations or parts thereof which are inconsistent with the provisions of this order are hereby repealed or amended accordingly.

This Memorandum Circular shall take effect immediately upon publication in the Official Gazette or in a newspaper of general circulation and its filing with the University of the Philippines Law Center – Office of the National Administrative Register (ONAR).

Done this 7th day of July 2023.

DOMINGO F. PANGANIBAN
Senior Undersecretary



DA-CO-OSEC-MC20230606-00016