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Department of Social Welfare and Development

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Administrative Order No. 09  
Series of 2011

**SUBJECT: GUIDELINES IN THE PROVISION OF RESEARCH GRANT  
FOR THE IMPLEMENTATION OF THE DSWD FIVE (5)-YEAR  
(2010-2014) RESEARCH AGENDA**

**I. RATIONALE**

Recognizing the need to have an accurate information on the social welfare and development (SWD) sector based on research, the Department has crafted a Five (5)- Year Research Agenda that is comprehensive, holistic and responsive to the needs of the SWD sector. The research agenda is anchored on the Social Protection framework and the Department's Reform Agenda.

In order to promote the full implementation of the Five (5)-Year Research Agenda, the Department of Social Welfare and Development (DSWD) is installing a mechanism in support of this effort through the provision of a research grant that will be provided to interested proponents who shall conduct researches along the DSWD Research Agenda. The funding source will be on cost-sharing terms by Offices/Bureaus/Services (OBS) to set aside funds for research in their respective annual budget. It is also seen as a strategy to strengthen collaboration among partners and stakeholders as participants in the implementation of the DSWD Five (5)- Year Research Agenda.

**II. LEGAL BASIS**

- A. Memorandum Circular No. 1, series of 2010, DSWD Research Agenda CY 2010-2014 indicates the priority research areas and topics of the DSWD for CY 2010 to 2014.
- B. Memorandum Circular No. 11, series of 2009, Guidelines for the Formulation of DSWD's Five (5)-Year Research Agenda indicates research themes that intend to address the current and emerging concerns of the vulnerable and disadvantaged sector.
- C. Memorandum Circular No. 14, series of 2009, Revised Terms of Reference (TOR) for the Research and Development Technical Working Group (RD-TWG) enhances the functions and structure of the Research and Development-Technical Working Group (TWG) to oversee all priority researches of the DSWD.

**III. OBJECTIVES**

**General:**

To establish a mechanism for the full implementation of the Department's CY 2010-2014 Research Agenda with cost-sharing budget of the concerned Offices/Bureaus and Services.

**Specific Objectives:**

1. Initiate research efforts to identify needs and concerns confronting SWD sector resulting to policy reform, program development and implementation; and
2. Strengthen linkages and participation of prospective researchers, particularly the academe and learning networks, by generating researches and evaluation studies taken from the DSWD Research Agenda.

#### **IV. IMPLEMENTING PROCEDURES**

To implement the DSWD Five (5)-Year Research Agenda, the Research Grant Program was designed to provide grant funds in undertaking the DSWD Research Agenda.

##### **A. Description**

The research grant program is a mechanism to encourage participation of concerned OBS, our partners and stakeholders such as researchers, academicians, and other NGOs in the overall implementation of DSWD Five (5)-Year Research Agenda.

The stakeholders may submit a research proposal taken from the menu of the DSWD Research Agenda to Policy Development and Planning Bureau (PDPB) for research grant funding. The research paper shall be submitted to PDPB as the lead unit in the implementation of the Research Agenda. The endorsement of research topics to OBS will be based on their functions and the nature of the research that may be utilized for policy and program enhancement of the respective OBS.

##### **B. General Policies**

1. The research proponent/s must abide by the DSWD Research Protocol. (AO 10, series of 2006 as amended by AO 4, series of 2007). The research paper should have not been previously published in any medium
2. Grantee/s shall execute a contract with the DSWD that contains the terms, provisions and responsibilities regarding the implementation of approved research. The research study must be completed within six (6) months.
3. Ownership of the research report, material and software prepared by the proponent shall belong to and remain the property of the DSWD. However, the proponent may retain a copy of such documents for their lawful use, subject to approval of the Department.
4. Upon completion of the research project, the grantee shall submit a final report using Department research template for this purpose, and all required original supporting documents for the liquidation of research fund released within 30 days
5. The grantee shall present the research report during the SWD forum and agree to have it published in the DSWD SWD Journal

##### **C. Eligibility Requirements**

1. Open to all interested partners, individual researchers, institutions, universities and colleges and schools including those with research extension offices, non-government organizations, national and local government agencies and other research institutions. Individuals or group researchers in the post and graduate studies including DSWD staff presently enrolled with any Philippine university, school or college are qualified
2. In case of a graduate student, he or she must be under the supervision of a faculty member who will do technical review and endorse the research proposal to DSWD for funding
3. One (1) or two (2) external researchers may conduct the study and author the research paper/report
4. Proposed study should have not been undertaken or submitted to other organization
5. Topics of the proposed research should be on the menu of the DSWD research agenda

#### **D. Application Procedures**

1. Interested participants should submit a journal length paper in electronic format following the research outline found on the DSWD web site or **Annex A**
2. Applicants should submit a one page abstract to the DSWD's PDPB. For students, a letter of recommendation from the faculty adviser shall be an additional requirement to be submitted to the PDPB. A period of ten (10) working days shall be given to applicants after submission of these documents to endorse their proposal
3. Length of paper is A4-sized: font 12, Arial, minimum of 15 pages double-spaced to a maximum of 50 pages long double-spaced including tables, charts and annexes
4. Submission must be original, unpublished and have not been submitted to another conference or journal for publication or have no pending application with other institution for funding

#### **E. Terms of Research Grant**

1. Grantee/s will receive only one (1) time research grant
2. The amount of the grant depends on the type, scope and geographical area to be covered by the study. The cost of each research grant without local site visits shall not exceed P50,000.00 and P200,000.00 for research done with local site visits. Any amount in excess of the research contract shall be to the account of the researcher/grantee
3. Release of funds for any approved grant shall be according to the approved Work and Financial Plan submitted by the researcher
4. Release and liquidation of grant shall be subject to existing budgeting, accounting and auditing rules and regulations in the following schedule:
  - 4.1 30% upon approval of the research proposal and detailed Work and Financial Plan by the DSWD.
  - 4.2 50% upon conduct of data gathering including the submission of liquidation report on the 30% or first tranche of the grant. Liquidation report includes notice, agenda and minutes of meetings conducted, approved work schedule of data gathering and submission of original copies of receipted invoices, receipts and acknowledgement receipts and other related documents.
  - 4.3 20% upon approval of the Secretary of the final research report, presentation during the SWD Forum and publication in the SWD Journal. Submission of liquidation report of the 50% or second tranche of the grant such as statement of disbursements/expenses incurred, original copies of receipted invoices, receipts and acknowledgement receipts and other related documents.
5. Grantees shall assume all expenses in excess of the research grant amount provided by the DSWD
6. Funds disbursed for unfinished research projects shall be refunded by the researcher to the DSWD within thirty (30) working days. Further, non-compliance with any of the agreements/commitments within this guideline would result in the blacklisting of the researcher
7. Grantees shall submit the liquidation report of the 20% or last tranche of the grant such as copy of the final report for printing and certificate of appreciation as resource person within thirty (30) days after research paper presentation to the SWD Forum.

## **F. Selection Board**

### **1. National Research and Development-Technical Working Group (NRD-TWG)**

The PDPB through the National Research and Development-Technical Working Group (NRD-TWG) and two (2) research experts will undertake technical review of the papers submitted by the RD-TWG. The TWG shall select the research grantees to be approved by the concerned OBS. A maximum of six (6) best research papers will be chosen. Decision of the selection committee shall be final and executory, not subject to appeal. The PDPB shall convene the NRD-TWG Selection Board. The review will be according to a set of criteria detailed under **Annex B**.

### **2. Regional Research Development-Technical Working Group (RRD-TWG)**

The Field Office, through its Regional RD-TWG shall advocate, review and endorse to the PDPB the research proposal from the researchers at the regional level. The review of proposal shall be within five (5) working days upon receipt of the research proposal.

## **G. Evaluation Committee**

The OBS concerned including Project Management Offices (PMOs) shall serve as evaluators of the papers submitted to them by the PDPB for research grants/funding within a period of five (5) working days upon receipt of endorsement from PDPB. Review and selection of grantee/s will be based on the selection criteria used by the selection board listed on **Annex B**.

## **H. Approval of Research Report**

The PDPB shall be responsible for the initial review of the research report prior to its deliberation by the NRD-TWG within seven (7) working days upon receipt of the research report. Research reports shall be endorsed to concerned OBS for its approval.

## **V. INSTITUTIONAL ARRANGEMENTS**

The following are the duties/responsibilities of each Office/Bureau/Service:

### **A. PDPB**

The PDPB through the Policy and Research Division shall spearhead the implementation of the DSWD Five (5)-Year Research Agenda. The Division shall:

1. Establish linkage with researchers for the promotion of the DSWD Research Agenda
2. Convene PDPB and screening panel, together with the representative of the concerned OBS for the review and approval of the research proposals
3. Endorse research paper to NRD-TWG for technical review and approval of OBS for funding
4. Prepare a template contract with the proponent/researcher
5. Provide the concerned OBS with a copy of the contract for signature of the Director or concerned Head of Office
6. Inform the proponent of the approval of the research paper
7. Monitor the progress of the grantees ongoing research activity and prepare the corresponding accomplishment report, copy furnished the concerned OBS
8. Evaluate the objectives of the provision of research grants in relation to supporting the DSWD Research Agenda

9. Endorse copy of the final research report reviewed by the NRD-TWG to the concerned OBS for approval
10. Be responsible for the management of the research for publication in the SWD Journal and dissemination through the SWD Forum.
11. Maintain a copy and a data bank of all completed researches conducted by external or internal researchers

#### **B. Offices/Bureaus/Services Concerned**

1. Evaluate and approve the research paper for funding
2. Ensure funds for the research paper/s endorsed by the PDPB in a given year
3. Coordinate with the PDPB for the approval of research reports

#### **C. Field Office**

1. Conduct advocacy activities to intermediaries, academe, NGOs and learning networks regarding implementation of the DSWD research agenda
2. Review and assess the research proposal by RD-TWG and provide the necessary technical assistance to the researchers.
3. Recommend and endorse the approval of the research proposal to the PDPB
4. Monitor the progress of the local grantees' ongoing research activity on a quarterly basis and prepare the corresponding accomplishment report, copy furnished the PDPB

Attached is the flow chart of the review and approval process of research grant. **(Annex C)**

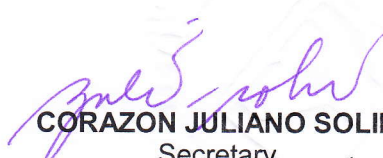
### **VI. FUNDING SUPPORT**

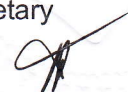
The Policy Development and Planning Bureau, as lead in the implementation of DSWD Research Agenda, shall allocate funds in its Work and Financial Plan to support research projects/studies and relevant activities. Other Offices/Bureaus/Services shall likewise allocate a certain amount in their respective Work and Financial Plan to fund the approved proposal endorsed by PDPB. The ceiling amount for fund allocation shall be Two Hundred Thousand Pesos (P200,000.00) per research.

### **VII. EFFECTIVITY**

This Administrative Order shall take effect immediately and rescind orders which may be contrary to it.

Issued in Quezon City, this 14th day of June, 2011

  
**CORAZON JULIANO SOLIMAN**  
Secretary



## ANNEX A

### RESEARCH PROPOSAL OUTLINE

The researcher shall observe this Research Proposal outline in the submission of their proposed research.

#### I. Title

#### II. The Problem and its Setting

Statement of the Problem (Background, current trends, unresolved issues, area/s of concern and perceived need)

General and Specific Objectives

Significance of the Study

- To the field of the study
- To the needs of the community, country or world
- Contribution to new knowledge
- Consistency with the DSWD Five (5)-Year Research Agenda

Scope and Delimitation of the study

- Narrowing of focus

Assumptions

Conceptual/Theoretical Framework

#### III. Review of Related Literature

#### IV. Research Design

Type/Approach

Sample Selection

Who? (definition of eligible population, inclusion/exclusion criteria)

How? (sampling technique/s)

How many? (sample size)

Variables to be Investigated

Identification of dependent, independent and control/ confounding variables and other indicators

Definitions, criteria to evaluate outcomes

Instrumentation

Data collection tools

Special equipment

Plans for Data Processing and Analysis

Computer facilities to be used (if any)

Software packages

Statistical tools/tests to be applied

Dummy tables

Limitations (weaknesses, uncontrollable biases)

Schedule of Activities

Dates of probable completion of different phases of research

Gantt Chart

V. Budgetary Requirements

Personnel

Supplies/materials/facilities

Transportation

Sundries/Miscellaneous

Printing cost

VI. Bibliography/References

**ANNEX B**

**REVIEW/SELECTION CRITERIA FOR RESEARCH GRANTS  
OF POSSIBLE PROPONENTS**

The DSWD through the NRD-TWG and OBS shall observe the following criteria in the review and selection of proponents for the research grants:

<b>CRITERIA</b>	<b>Rating</b>
1. Relevance and overall impact of research on social protection and development issues to address important policy or research related questions	25%
2. Accuracy and Content of data	25%
3. Clear presentation of objectives, significance of the study, methodology, definition of terms and appropriateness of the data collection	20%
4. Strength of the research design, methodology and tools for data analysis	10%
5. Feasibility of conducting the research under the proposed time frame with available manpower and resources	20%
<b>TOTAL</b>	<b>100%</b>



# ANNEX C

## REVIEW AND APPROVAL PROCESS OF RESEARCH GRANT

START END

