

**OVPAА-RES Form 4.0**  
**INSTRUCTIONS FOR PROGRESS REPORTS and FINAL REPORTS<sup>1</sup>**  
(For Research Projects funded by the OVPAА, UP System)

**General Notes:**

The purpose of the progress report is to provide the Office of the Vice-President for Academic Affairs (OVPAА), with information on the status of your project. Toward this end, reports should address significant accomplishments, progress towards program goals, local and national impact of activities, as well as current and projected changes to the original proposal and related management issues. The reporting format outlined below includes a narrative component and a series of tables requesting specific information. This format should be used for both semi-annual and annual reports.

The tables will be used to track important quantitative and qualitative data about the progress and accomplishments of OVPAА projects in such a way that it will be of use to both investigators and the OVPAА. The information contained in the tables will be updated twice a year as part of the progress reporting procedure.

The text (narrative) portion of the report should highlight and integrate information from the tables, outline other important project developments not covered by the tables, describe the significance of reported events, detail discoveries, innovations, creations and describe any management concerns.

Please submit a paper copy and an electronic copy of the OVPAА-RES Form 4 with cover letter addressed to the Vice-President for Academic Affairs. Each page of the report must be marked confidential. All documents must be in PDF format. The forms must be submitted electronically at the following addresses and the paper copy to the Office of the Vice- President for Academic Affairs:

For Emerging Inter-disciplinary Research (EIDR): [eidr.monitoring@up.edu.ph](mailto:eidr.monitoring@up.edu.ph)

For Balik-PhD Research Grant: [balikphd.ovpaa@up.edu.ph](mailto:balikphd.ovpaa@up.edu.ph)

For Enhanced Creative Work and Research Grant: [ecwrg.ovpaa@up.edu.ph](mailto:ecwrg.ovpaa@up.edu.ph)

**Guidelines for the organization and content of the report**

Note that between 2-3 different OVPAА program officers will review each report. The reports must be well-organized, concise and clearly written. Use subheadings or nested outlines. One paragraph should not exceed 15 lines. Use the passive voice and only in certain selected sections, for emphasis, the active voice.

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<sup>1</sup>This document is based on the ICBG Progress Report Guidelines 2004 provided by Dr. Margo Haygood of Oregon Health & Science University.

In general, the text portion of the report should be single space, font size Arial 11 and should not exceed 10 pages per project (tables, maps, charts, publications not included) and ~30 pages per program, e.g., for one consisting of 3 projects. A program report must include an executive summary not to exceed 6 pages. The Program or Project Leader, with the help of the Operations Manager, is responsible for assimilating data and text from the constituent projects into a coherent easy-to-read document.

Redundant or poorly written reports will be returned to the Program/Project Leader for revision and resubmission.

Annual reports should describe work that has taken place since the last semi-annual report, rather than restating accomplishments reported in the first half-year report, except as summary data.

Cumulative data, including publication lists are requested in several tables but these must clearly distinguish between previous and current progress. Clearly indicate accomplishments and publications from previous periods and the current period.

**I. Project Overview.** Introduce the project and the people directly involved in it, from the project/program leader to the students who have contributed to the progress and completion of the project. The duration of the project must also be indicated.

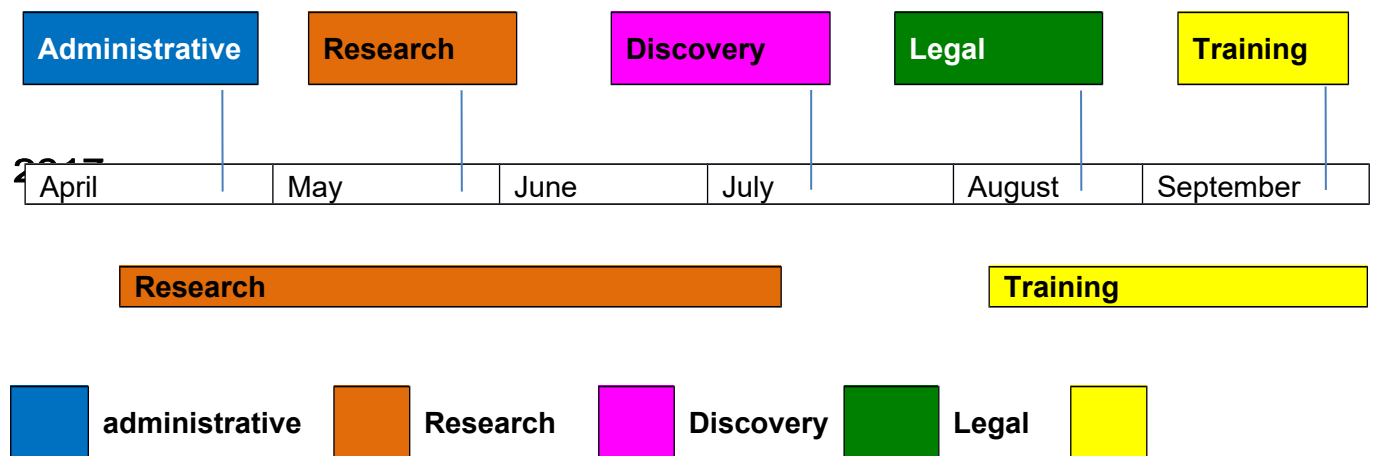
**II. Executive Summary.** Briefly summarize the overall content of the report, including current aims, significant results, management concerns, and future plans. This should be a brief and broad overview (2-3 pages) for program, 1 page per project.

Include the Milestones for the period in the form of a scheme (see sample Figure 1).

A copy of your approved Gantt Chart must also be included.

The period covered by this report is (period xxxx to yyyy). Please refer to the XXX, YYY, ZZZ semi-annual and annual reports for previous activities.

Figure 1: xxxx – yyyy Milestones



**III. Specific Aims.** Outline the present aims of the project. Specify, in particular, where these aims may have changed from original plans. If the aims have not been modified, state this. This could be presented as a two-column table.

**IV. Research, Training, and Other Accomplishments.** Discuss significant results and accomplishments *since the last reporting period*, referring to supporting data from tables where relevant. Please do not repeat information in the tables except as necessary to highlight or explain an advancement, objective or problem.

The discussion should be organized according to the objectives of your program/project. Organization by projects in a program is acceptable as long as the synthesis of their complementary efforts (e.g. discovery, inventory, database development, trainee progress, etc.) does not create confusion and unnecessary redundancies. Discoveries, innovations, creations, etc. should be described in detail and their significance outlined. Similarly, for important developments, such as the establishment of a new technology, enhanced laboratory capacity, a change in conservation or development status of a locality, or a major publication, please integrate the discussion with any relevant data that appears in the tables, and provide us with sufficient background information to help us appreciate its significance. In particular, devote a section for participation and contributions of foreign collaborators and foreign institutions.

Maps, schemes and charts are welcome to the extent that they present or elucidate important or summary accomplishments. Detailed methodology charts should only be included if they present a particularly interesting or important problem. Please include a pdf of any highly significant new publication.

**V. Mentoring.** Indicate if any research assistants involved in the project are enrolled in the graduate program and specify how many masteral/doctoral students are able to work directly or indirectly on the project. In addition to generating research results for publication, the project should be an avenue for mentoring masteral/doctoral students who should be able to obtain their degrees after being involved in the project.

**VI. Success Story.** Please draft at least one success story on any aspect of your program/project from this last year period for the OVPAA to use in newsletters or other reports regarding the program/project. Topics could include an exciting scientific finding or innovation, ideally citing a publication or patent, a new creative work, the accomplishments of a star trainee, the development of a significant conservation or policy event or other. The story should be between one half and one page of text and, where possible, include citation of a journal article, news report. An accompanying photo is welcome if relevant.

#### **VII. Management Issues.**

Comment on the factors that administratively affect the conduct of research and project operations. In particular, identify those activities that have helped facilitate or hamper project productivity, such as communication advances, permit and contract status, organizational support. Where significant concerns have arisen, describe plans to address them. The following

questions should be addressed in the report and should only be mentioned in the semi-annual report if there is a change:

1. Has there been a change in the other support of key personnel since the last reporting period?
2. Will there be in the next budget period, a change in the level of effort of key personnel from what was approved for this project?
3. Will there be, in the next budget period, significant re-budgeting of funds from what was approved for this period?
4. Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25 percent of the current year's total budget?
5. Are the necessary auxiliary research agreements and permits required to pursue the research complete and up-to-date?

Finally, if you need to revise the participation of key personnel or specific aims outlined in your proposal, or would like to request assistance from the OVPAA on one or more matters, please indicate it in this section.

**VIII. Workplan and timeline for next year.** Summarize plans to address the Specific Aims for your program during the next period of support. Include any important modifications to the original plans. Address any changes involving research using human subjects and vertebrate animals.

**IX. Research Dissemination.** Provide a comprehensive bibliography of your publications for this program/project, including those in press, with highlighting for those that are new to this report period. This should be cumulative, so that you are adding to each category each time you submit a report. All publications should carry an acknowledgement from the OVPAA. Indicate the OVPAA grant type, grant number, title and period.

Organize your bibliography entries according to the following categories:

1. Books
2. Chapters in books
3. Peer-reviewed articles
4. Conference proceedings
5. Presentations at meetings, conferences
6. Non-peer-reviewed articles (such as those in local media)

Arrange publications within each category from the earliest publications to the most recent. Number entries consecutively throughout the list with each number followed by an "ALL CAPS" phrase e.g., DRUG DISCOVERY, SUSTAINABLE DEVELOPMENT, etc., indicating the principal subject matter of the publication.

Please follow the bibliography format displayed below.

## **Books**

### **BIODIVERSITY CONSERVATION**

Lewis, W.H., Mutchler, D.J., Castro, N.R., Elvin-Lewis, M.P.F., and Farnsworth, N.R. (1998) *Ethnomedicine, Chemistry, and Biological Activity of South American Plants. Volumes 1-3*. Chapman and Hall, London.

## **Chapters in Books**

### **SUSTAINABLE DEVELOPMENT**

Cragg, G., Boyd, M., Grever, M. and Schepartz, S. (1994) Policies for international collaboration and compensation in drug discovery and development at the United States National Cancer Institute: The NCI Letter of Collection. In *Intellectual Property Rights for Indigenous Peoples*. (T. Greaves, Ed) pp 83-98. Society for Applied Anthropology, Oklahoma City.

## **Peer Reviewed Articles**

### **DRUG DISCOVERY**

Carlin L., Vaisberg, A.J., and Hammond G.B. (1996). Isolation of Sinoacutine from the leaves *Croton lechleri*. *Planta Medica* 62: 90-91.

## **Presentations at Meetings, Conferences**

### **BIODIVERSITY CONSERVATION**

Elvin-Lewis, M.P.F. (1996) Biodiversity prospecting: protecting intellectual property. Presented at the *Plants for Food and Medicine Symposium* of the Society for Economic Botany, Imperial College, London.

## **Conference Proceedings**

### **OTHERS**

Rigel, D.S. (1994) Environmental atmospheric issues and their effects on skin cancer. In *Proceedings of the National Conference on Environmental Hazards to the Skin*, American Academy of Dermatology.

## **Non-peer-reviewed Articles**

### **OTHERS**

Lamas G. (1996). Mariposas Batesianas: El surgimiento de la Lepidopterologia Evolucionista. *Alma Mater (Lima)* 11: 78-91.

**X. Archival Data Collection Tables.** Please update the fifteen archival data collection tables attached below. You may add or reduce tables as appropriate.

### **Instructions for Archival Data Collection Tables**

To maximize the ability of the OVPAA to support and assist your work, we will use the following set of tables for progress reporting. The Archival Table format is intended to minimize the time you need to spend assembling the information requested and updating it from one reporting period to the next. This system maximizes the uniformity of information received from different groups working on related projects. Although incorporating into this tabular format may seem tedious and inexpedient initially, once in place these tables should significantly reduce the reporting burden for submitting subsequent reports. We welcome any comments you have on the reporting process and/or the tables.

We are providing the tables in electronic form. We ask that you provide us with both electronic and paper versions, and suggest that you keep copies of both for your own subsequent use. For continuing programs/projects, you will have organized most of the information in very nearly the same formats previously. Please refer to the instructions below in completing the tables provided. Examples have been entered on some tables to suggest how they might be filled out. These examples should be deleted before you submit the tables for your progress report.

**Table 1: Agreements within the OVPAA Program/Projects and with external local and foreign collaborators.** Document all agreements to which OVPAA programs/projects are party to in the context of the OVPAA program, e.g., work and IP agreements among project leaders across CUs, and especially with foreign collaborators. The type of agreement, dates covered, purpose, participating organizations, and the legal representation of those involved should be entered in the appropriate cells. Comment on the content of the agreement, as well as any unusual circumstances surrounding the negotiation process or legal representation of involved parties. The current status of the agreement should be stated (e.g. draft, pending signatures, active, terminating).

**Table 2: Permits.** List the types of permits required to pursue your OVPAA program/project. Indicate where requested, what the permit allows, the applicant or applicant organization, the individual grantor or grantor organization, the dates the permit was applied for and granted, and the dates covered under the permit. Comments may include barriers encountered, how they were overcome, and/or other relevant information to the procurement of the permit.

**Table 3: Patent Coverage for Protection of Intellectual Property Related to OVPAA Grant.** List any grants, patents, including provisional patents undertaken to protect intellectual property rights in your program/project. For each provide patent number, title, filing organization, inventors, date of application/issue, its status, and a brief description of the invention, claims and/or conditions. Send copies of full patent applications to the OVPAA with copies furnished to the UP System Technology Transfer and Business Development Office. Any patent applications and issued patents should also be reported.

**Table 4: Trust Funds and Public/Private Linkages/Partnerships Established within the Context of the OVPAA Grant.** Document any Trust Fund or public/private linkages/partnerships established within the context of your program/project, e.g., for local conservation/development projects. Specify, where appropriate, the title of the Fund, committee members and their institutional and/or country affiliations, the level and source of funding, and the purpose and amount of all awards. Make relevant comments as to the conditions for allocation of funds and those involved in the decision process, including the site of incorporation of the Trust Fund.

**Table 5: Inventories of Collected Materials and Information.** List all inventories and/or databases of collections of materials or information by name. Indicate the purpose of each collection. Describe the content of the inventory/database, as well as where it is housed and the number of records. Be sure to distinguish the # of records to date from those added in this reporting period in the appropriate columns, e.g., specify the number of taxa and types of ecosystems represented, in addition to describing the GIS component of the inventory, if applicable, and information on the accessibility of the information to different groups. Include relevant comments or justifications where necessary. Since different databases may contain overlapping material, please indicate at the bottom of the page your best estimate of the number of unique data inventoried in the project to date. This number can be updated with each report.

**Table 6: Short-term Training Activities (less than four weeks).** List training activities less than four weeks long by month/year and title. Include workshops, symposia, short-term course work, etc. (include participation outside UP, e.g., from other institutions). Indicate the topic(s) covered and type of training activity. Specify the dates of training, the name and location of the sponsoring organization, and the number of trainees (by category), followed by the total number of trainees. Comments should include the program/project's role in the training activity and other relevant information such as specific topics or techniques covered.

**Table 7: Long-term Training Activities (Incoming-Outgoing) (four weeks or longer)** Training activities longer than four weeks should be recorded separately for UP and non-UP personnel inter-CU training, foreign training of UP personnel, contractual UP personnel, UP students and students from other institutions. Participants should be identified by name, institutional and country affiliation, and professional status at the start of training. Specify the training topic followed by a brief description of training activities. Indicate the dates covered by the training activity, the training site, and whether the training will be applied toward a scientific degree. If the training will count towards a degree, specify exactly what type. Where applicable, indicate the participant's position following training.

**Table 8: Scientific and Other Infrastructure Support.** List all infrastructure support provided by your OVPAA grant. Appropriate forms of support include, but are not limited to, technical assistance, supplies and equipment, assay or data management systems and *limited renovations* relevant to the research objectives of the program/project. Dates, descriptions, and

codes for the type of support and topic under which the support falls should be specified. The name and location of the recipient and donor institutions or groups should be recorded in the appropriate cells, followed by the

reason for the donation and the approximate cost/value of the support. The impact of the support at the local or national level or other relevant information should be addressed in the comments section.

**Table 9: Outreach Activities (to Policymakers, Schools, Communities, etc.).** Document significant outreach activities. The list is not expected to be exhaustive, nor should it include presentations at scientific meetings. Selected entries should be listed by date and include a brief description of the service rendered. Indicate the location, target audience(s), and purpose of each activity. Comments may include the size of the event or activity, potential impact, or other useful information.

**Table 10: Non-OVPAA Support Leveraged by the OVPAA Grant.** List financial, institutional, political, or collaborative support gained by the OVPAA grant *in addition* to that provided directly through this cooperative agreement, but for which benefits may accrue to OVPAA grant objectives and/or vice versa. Specify in the allocated cells the type of support leveraged, the recipient and provider, and the purpose of the support. Comments might include the implications of such support, how the support may affect the OVPAA grant-related objectives.



## Sample Format

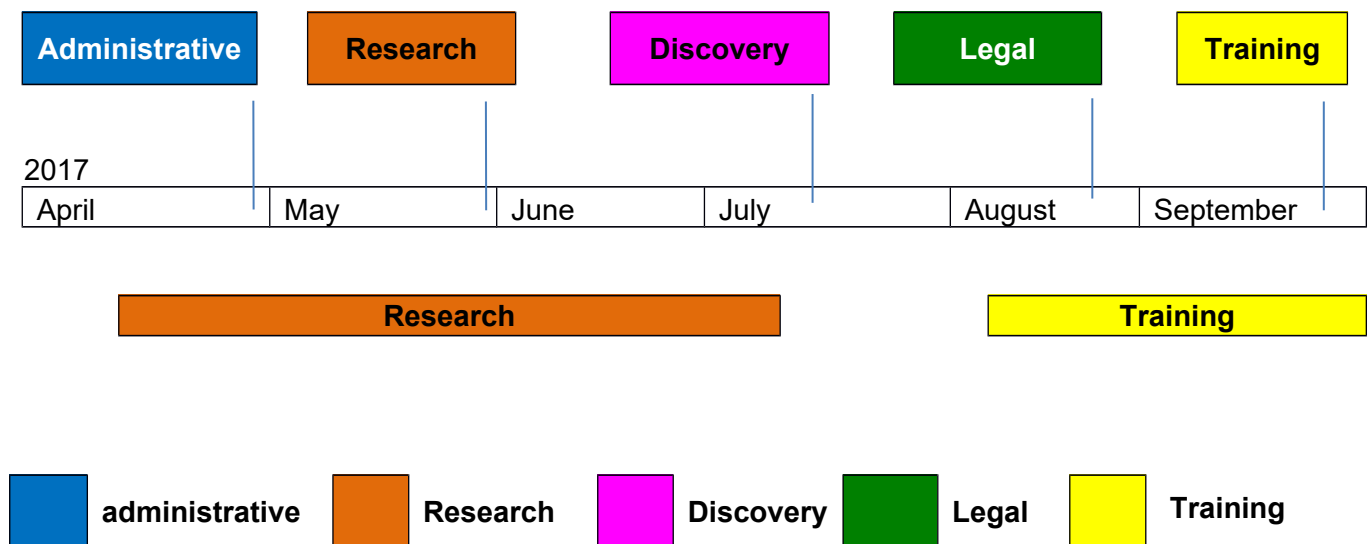
Project Title:	
Type of Submission: (e.g Year 2, 6th Month Progress Report)	
Period Covered by the report:	
Deadline of Submission:	Date of Submission:
Project Leader:	
OVPAA Identifier Number:	
Project Duration:	
Start Date:	
End Date:	

Project Title:
Project Leader:

**I. Project Overview**

**II. Executive Summary**

Figure 1: xxxx – yyyy Milestones



**III. Specific Aims**

**IV. Research, Training, and Other Accomplishments**

Project Title:
Project Leader:

**V. Mentoring****VI. Success Story****VII. Management Issues****VIII. Work plan and timeline for next year****IX. Research Dissemination.****a. Books**

## BIODIVERSITY CONSERVATION

Lewis, W.H., Mutchler, D.J., Castro, N.R., Elvin-Lewis, M.P.F., and Farnsworth, N.R. (1998) *Ethnomedicine, Chemistry, and Biological Activity of South American Plants. Volumes 1-3*. Chapman and Hall, London.

**b. Chapters in Books**

## SUSTAINABLE DEVELOPMENT

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**c. Peer Reviewed Articles**

## DRUG DISCOVERY

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Project Title:
Project Leader:

**d. Presentations at Meetings, Conferences**

**BIODIVERSITY CONSERVATION**

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**e. Conference Proceedings**

**OTHERS**

Rigel, D.S. (1994) Environmental atmospheric issues and their effects on skin cancer. In *Proceedings of the National Conference on Environmental Hazards to the Skin*, American Academy of Dermatology.

**f. Non-peer-reviewed Articles**

**OTHERS**

Lamas G. (1996). Mariposas Batesianas: El surgimiento de la Lepidopterologia Evolucionista. *Alma Mater (Lima) 11: 78-91.*







**Table 3. Provisional and Full Applications for Protection of Intellectual Property Related to the Project**

<b>Title</b>	<b>Patent # (indicate if provisional with *)</b>	<b>Date of Patent</b>	<b><i>Filing Organization</i></b>	<b><i>Inventors</i></b>	<b>Status of Patent **</b>	<b>Brief Description</b>
<i>Novel anticancer agent from Mexico (this is not a real example to protect confidentiality)</i>	<i>XX-00000-00000</i>	<i>19xx</i>			<i>Patent disclosure filed</i>	<i>Composition of matter patent for ....</i>

\*\* Send copies of full patent applications to OVPA and OVPD BD & TTO/IPO.





**Table 5. Inventories and Documentation of Collected Material and Information**

Name of Inventory/ Database	Purpose of Collection <sup>1</sup>	Description	Where Housed	# Records (total to date/ # added in this reporting period)		Represents # Taxa	Represents # and type of habitats	GIS Component (if any)	Info on Accessibility to partners and public	Comments
<i>BIOD Database</i>	<i>BO</i>	<i>Database of plants collected and returned for analysis</i>		<i>1500</i>	<i>500</i>	<i>750</i>	<i>Lowland dry tropical forest, tropical cloud forest</i>	<i>Capability to plot sample collection locations on maps of the source countries. Digital overlays of roads, rivers, railways, and topography for the Philippines to date.</i>	<i>Installation conducted for OVPAA projects</i>	<i>Training conducted by XX for OVPAA programs.</i>

**Table 6. Short-term Training Activities**

<sup>1</sup> DD = Drug Discovery Only, BI = Biological Inventory Only, BO = Both  
UN = Unknown

Cumulative # of unique taxa collected in program to date = x

(less than four weeks)

Mo <sup>2</sup> / Yr	Title of Training Activity or Symposium	Topic Code <sup>2</sup>	Type Code <sup>33</sup>	Duration of Training	Sponsoring Organization / Location	Number of Trainees (by category)								Comments (including OVPAA grant role in training activity)	
						Bachelors	Post Grad.	Technician	Other	Bachelors	Post-Grad.	Technician	Community Member		TOTAL
03/9 6	Biodiversity conservation, sustainable development, and equitable distribution	BC, SD, IP	SY	1 day	DA  Philippines	3	2	1	2	25	12	10	15	70	OVPAA Collaborators were among the participants in the symposium, along with representatives of environmental and indigenous rights NGOs, academics, and government officials.

21 Write 00 if month not known or relevant

22 DD = Drug Discovery/Biomedicine, BC = Biodiversity Conservation, SD = Sustainable Development, IP = Intellectual Property Rights/Benefits Sharing/Valuation

3

3 FL = field work, CR = course work, SY = symposium, WS = workshop


**Table 7. Long-term Training Activities (four weeks or longer)**

Name of Trainee	Affiliation (institution and country)	Professional Status at Start of Training <sup>4</sup>	Training Topic <sup>5</sup>	Training Description	Start and Duration of Training Period	Training Site	Applied Toward Degree / Certificate? (BS, MS, Ph.D, other)	Position Following Training
Outgoing								
Inter-CU:								
Foreign:								
Incoming (foreign)								

4 B = Bachelors, PG = Post-Graduate/Indicate Degree, SS= Senior Scientist, T = Technician, CM= Community Member, O = Other

5 DD = Drug Discovery/Biomedicine, BC = Biodiversity Conservation, SD = Sustainable Development, IP = Intellectual Property Rights/Benefit Sharing/Valuation


**Table 8. Scientific and Other Infrastructure Development**

Mo <sup>1</sup> /Yr	Description of Item or Infrastructure Improvement	Topic Code <sup>2</sup>	Type Code <sup>3</sup>	Name of Recipient/ Location	Name of Donor/ Location	Reason Needed	Approximate Cost or Value (Php)	Comments
00/96	van	DD	OE	Philippine Genome Center	U.S. Govt.	Dedicated to periodic collecting and exploration trips.	DK (=Don't know)	

<sup>1</sup> Write 00 if month not known.

<sup>2</sup> DD = Drug Discovery/Biomedicine, BC = Biodiversity Conservation, SD = Sustainable Development, IP = Intellectual Property Rights/Benefit Sharing/Valuation, OT = Other

<sup>3</sup> LE = Lab Equipment, AS = Assays, CS = Computer Software, CH = Computer Hardware, FE = Field Data Collection Equipment, OE = Other Equipment, BK = Books and Periodicals, II = Infrastructure Improvement, OT = Other Technology Transfer



