



REPUBLIKA NG PILIPINAS
Republic of the Philippines
PAMANTASANG NORMAL NG PILIPINAS
Philippine Normal University
ANG PAMBANSANG SENTRO SA EDUKASYONG PANGGURO
The National Center for Teacher Education
Maynila
Manila

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President

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UNIVERSITY CIRCULAR

No. 9
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TO : Vice-Presidents, Campus Executive Directors & Provosts, Deans, Associate/Deputy Deans, Directors of Institutes/Academic Centers/Administrative Services, Heads of Academic Units, and All Faculty Members

SUBJECT : Creation of the PNU Research Ethics Committee

1. Purpose

This Circular is issued to prescribe the guidelines governing the creation, purpose, framework, functions and composition of the PNU Research Ethics Committee in accordance with BOR Resolution No. U-2091 dated April 30, 2014.

2. Rationale

The PNU Research Ethics Committee (PNU-REC) serves as an arm of the University to promote high ethical standards in the conduct of educational researches by protecting the dignity, rights, safety and well being of all groups of individuals involved in researches while safeguarding the integrity of the research data throughout the lifetime of the research and into the dissemination process.

In addition, the existence of a PNU Research Ethics Committee would further amplify the research communities' and stakeholders' confidence in the research capability of the University, thus, further expanding its opportunities for research linkages.

3. Framework

The conduct of PNU-REC will be guided by PNU's core values, such as: Excellence, Truth and Service. The framework (Figure 1) depicts how these values are interconnected and translated into more specific principles in the conduct of all phases of research from planning, to implementation, and then to dissemination.

The PNU core value of **EXCELLENCE** serves as the base of the triangle indicating that excellence in conducting research shall be the primary goal of all PNU scholars. The PNU Community shall strive to ensure and maintain high standards of *integrity, competence, and quality* in the conduct, data safekeeping and reporting of any research work.

At the left of the triangle is **TRUTH**, which refers to the promotion of *honesty, justice, and objectivity* in the way the human beings are treated or involved from data gathering to dissemination of results.

The value of **SERVICE** promotes *accountability* for data collected and reported, *respect* to the rights and dignity of human beings served and involved, and *responsiveness* of research

(9)

when needed to inform individuals and guide decision-making that will lead to the improvement of the quality of life of the people involved.

In cognizance of the importance of declaring the standards of ethical behavior relevant to the research practice, these shall be defined in the PNU Research Code of Ethics (PNU-RCE), which will be crafted by the REC in consultation with the PNU Community.



Figure 1: Research Ethics Framework

4. Functions

The PNU Research Ethics Committee (PNU-REC) sets and ensures ethical conduct of research in and by the University to protect the dignity, right, and welfare of the participants and in consideration of the interest of the researcher/s. Specifically, the REC performs the following functions:

- 1) To review, approve or propose improvements to research involving human beings to meet ethical principles before their implementation or actual conduct, reporting and dissemination;
- 2) To protect the welfare of researchers and their right to carry out legitimate investigations;
- 3) To ensure quality assurance in all research investigations conducted to conform ethical principles;
- 4) To foster a research culture that is sensitive to ethical considerations especially in studies that involve people;
- 5) To aid and support staff and student researchers in upholding exemplary ethical standards in research; and
- 6) To develop ethical guidelines for conducting researches aligned with PNU values.

5. Composition and Terms of Reference

The PNU Research Ethics Committee an independent, interdisciplinary and pluralistic advisory group that branches out as an arm of the PNU Research & Extension Coordinating Committee (PNU-RECC). The leadership and a good number of the members should naturally be drawn from the PNU Community and stakeholders. A minimum of seven (7) personnel will comprise the group.

However, its composition must be both definite yet dynamic. Since the studies may all be education-related, fields and interests may be diverse, thus, requiring some modifications in the membership to truly address specific contexts. Hence, the basic organization of the group is as follows:

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Designation	Composition	Responsibilities
Chair	A Full Professor assigned by the VP for Research, Planning and Quality Assurance	<ul style="list-style-type: none"> • Reports directly to the PNU Vice President for Research, Planning and Quality Assurance all actions, recommendations and other concerns related to the REC functions • Convenes the REC to discuss and review the legality, propriety and ethicality of the research proposals endorsed by the Directors or Deans responsible for the initial review of the research proposals if aligned with University Agenda
Co-Chair	Another Full Professor assigned by the VP for Research, Planning and Quality Assurance	<ul style="list-style-type: none"> • Assists the REC Chair in all tasks related to the REC functions • Prepares written reports and communications pertinent to the activities of the REC
Regular Members	Dean of the College of Graduate Studies and Teacher Education Research (CGSTER) & Directors of Research Centers (i.e., EPRDC, RCTQ)	<ul style="list-style-type: none"> • Receive and review research proposals through its own review panel to ensure alignment to the University Research Agenda/appropriateness to the discipline and then recommend proposals for consideration of the PNU-REC • Determine and recommend composition of REC experts' pool for specific research proposals
Pool of Experts (At least 2 from the list identified by Chair, Co-Chair and Regular Members of REC)	1 Subject/Content Area Specialist	<ul style="list-style-type: none"> • Attends REC meetings by invitation • Reviews proposals in the light of ethical guidelines and standards acceptable in their specific fields, interests or concerns • Gives comments, suggestions and recommendations for the approval and/or issuance of guidance on research ethics
	1 Methods and Statistics Expert	
	1 Research Instrumentation Expert	
	1 Inclusive Education/Gender Development Representative	
	Other Representations as needed (i.e., other TEIs, education stakeholders parents, students, supervisors, etc.)	

The PNU-REC declares a quorum when 50% + 1 of the expected attendees (i.e. regular members and invited pool of experts) are present.

To assist the PNU-REC in conducting its meetings and safekeeping records related to the PNU-REC's functions, a PNU-REC Secretariat will be formed and composed as follows:

PNU-REC Secretariat Chair: OVPRPQA Appointed Faculty
Members: OVPRPQA, EPRDC, RCTQ Support Staff

6. Procedure

The PNU Research Ethics Committee meets to review proposals at least every second Wednesday of February, May, August and November or as frequent as the need arises. All research proposals conducted by PNU officials, faculty, staff and students including those done by non-PNU but would require participants from PNU community should be subjected to ethics evaluation following a process as depicted in the flowchart in Figure 2:

(a)

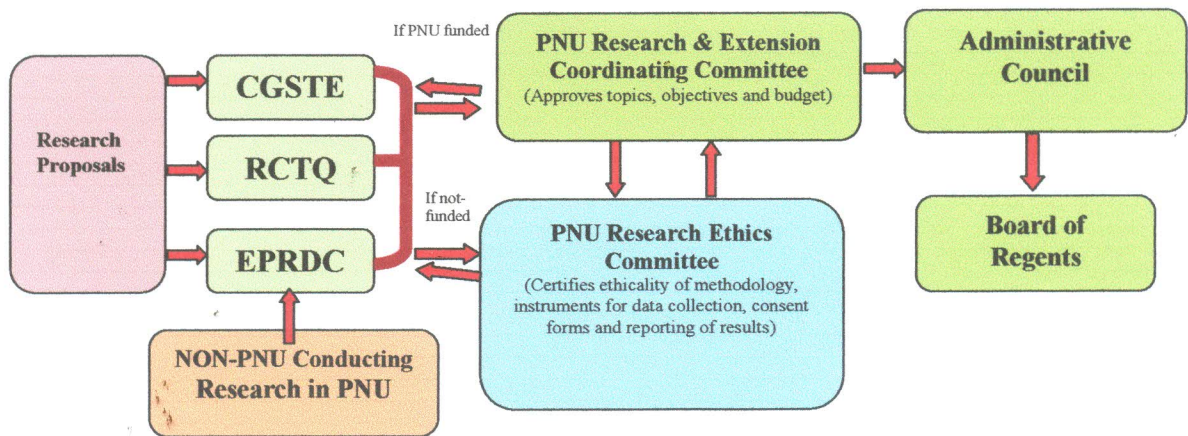


Figure 2: Process of Research Proposals/ Reports for Review

Process Before Submission of Proposals to REC

1. A research proponent submits a proposal to the Dean of CGSTER or Director of EPRDC or RCTQ.
2. For the research proposals of the PNU officials, faculty and staff that need funding from PNU, the proposal should be forwarded to the EPRDC Director for initial review then for endorsement to the PNU-RECC for the approval of the research topic, objectives and budget. Once topic and budget are approved by the PNU-RECC, then a more specific proposal including the instruments for data collection and consent forms should be prepared for submission to the REC.
3. For the research proposals of the PNU officials, faculty and staff that do not require funding from PNU, a more detailed proposal including the instruments for data collection and consent forms should be prepared for submission to the Director of the Research Center concerned (EPRDC or RCTQ) for initial review of the alignment of the topic to the University Research Agenda, who will in turn endorse the proposal for a more thorough review of the REC.
4. For the thesis and dissertation proposals, a title defense and colloquium should be done first by the panel organized and convened by the CGSTER Dean. Once the proposal is approved, then this should be subjected to the thorough review of the REC.
5. All research reports should also be subjected to REC before they are reported or disseminated to target audiences.

Process When Submitting Research Proposals or Reports to REC

1. The applicant should accomplish an application form issued by the REC with the research proposal endorsed by the Dean of CGSTER or Director of EPRDC and RCTQ attached to it including all the instruments for data collection involving human beings and the consent forms to be given to those who will be involved in the study. Another application form has to be accomplished when research report is completed that has to be reviewed by REC first before reporting, dissemination or publication.
2. There should be seven (7) copies of the research proposal/reports and all its attachments when submitted to the review of REC. The name of the proponent/s should not be reflected in the proposal or report. Codes will be assigned by the REC Secretariat to all papers to be reviewed.
3. The applicant should pay the review fee to the University Cashier based on the approved fee by the University Board of Regents.
4. The applicant should submit the application form at least 7 days before the REC meets every second Wednesday of the months of February, May, August and November.

5. All research proposals needing funding from PNU should be certified ethical first by REC before endorsement of its approval to the Administrative Council then to the Board of Regents.

Process When REC Reviews Research Proposals/ Reports

1. The PNU Vice President for Research, Planning and Quality Assurance serves as unit responsible in convening the PNU-REC and in appointing its Chair & Co-Chair being the Vice-chair of the Research and Extension Coordinating Committee. Then the REC Chair through its secretariat will then be responsible in receiving proposals and distributes the copies to the REC Members for preliminary examination at least 5 working days before a scheduled quarterly meeting.
2. The PNU REC Chair calls the members to a meeting to discuss ethical guidelines pertinent to the research proposal(s) or report.
3. The PNU REC Members carefully reviews the proposals/ reports based on the guidelines it has set. Review Forms will be prepared by REC for different instruments or data gathering procedure or reporting that would be needing review.
4. Only those research proposals with the certification of the REC that they have been planned in consideration of the ethical standards in the conduct of research could be conducted in and outside PNU.
5. Only those research reports with the certification of the REC that is written in consideration of the ethical standards in reporting could be disseminated or published.
6. Those proposals from non-PNU who would like to involve PNU internal stakeholders should also secure the approval of the REC only if endorsed by the EPRDC Director. They also have to be subjected to the same review needed to PNU research proposals. However, if research proposal has already been certified ethical by any Research Ethics Board/Committee by other universities, then the conduct of research need not undergo review again by the PNU-REC.
7. Certifications of REC shall be released within one month after its meeting.


7. Repealing Clause

All previous circulars and other provisions which are inconsistent with the provisions of this Circular are deemed amended, repealed and superseded accordingly.

8. Effectivity

This Circular takes effect upon approval of the Board of Regents on April 30, 2014.

Wide dissemination of this information to all concerned is desired.


ESTER B. OGENA
President



ALPHEUS E.V. FERRERAS
University and Board Secretary

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EXCERPTS FROM THE MINUTES OF THE 61st REGULAR MEETING OF THE PNU BOARD OF REGENTS HELD ON 30 APRIL 2014 AT THE CONFERENCE ROOM, 4TH FLOOR, HEDC BLDG., COMMISSION ON HIGHER EDUCATION, C.P. GARCIA AVE., U.P. DILIMAN, QUEZON CITY.

PRESENT:

Hon. PATRICIA B. LICUANAN	Chairperson
Hon. ESTER B. OGENA	Vice Chair
Hon. PIA S. CAYETANO	Member
<i>Represented by Mr. Emmanuel De Guia</i>	
Hon. ROMAN T. ROMULO	Member
<i>Represented by Atty. Michelle Diana P. Maniwang</i>	
Hon. ERLINDA M. CAPONES	Member
Hon. MARIO L. RAMIREZ	Member
<i>Represented by Dr. Teresita G. Domalanta</i>	
Hon. MICHAEL M. NAEL	Member
Hon. ANICETO M. SOBREPEÑA	Member
Hon. MELITO S. SALAZAR, JR.	Member

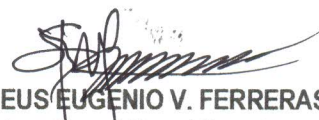
On motion duly seconded, the Board passed –

BOR RESOLUTION NO. U-2091, s. 2014

APPROVING THE CREATION OF THE PNU RESEARCH ETHICS COMMITTEE AS THE UNIVERSITY'S ARM IN THE PROMOTION OF HIGH ETHICAL STANDARDS IN THE CONDUCT OF EDUCATIONAL RESEARCHES, ITS PURPOSE, FRAMEWORK, FUNCTIONS AND COMPOSITION. THE PROPOSED SCHEDULE OF FEES, HOWEVER, IS SUBJECT TO STUDENT AND FACULTY CONSULTATION PRIOR TO BOARD APPROVAL.

APPROVED

Certified correct:


ALPHEUS EUGENIO V. FERRERAS
University and Board Secretary