

I.A. Technology Transfer and Commercialization – SETUP UNIT

The Small Enterprise Technology Upgrading Program (SETUP) is a nationwide strategy to address the needs and requirements of enterprises through technology and equipment upgrading, strengthening of innovation capability, increasing productivity, and producing quality products to contribute in the attainment of sustainable and inclusive growth in the countryside.

The program continues to seek the improvement of existing products, services, and operations; increase productivity and competitiveness; and more importantly, enable MSMEs to develop new products and establish or sustain market niches.

Office or Division:	Provincial Science and Technology Centers/ Regional Office
Classification:	Highly Technical
Type of Transaction:	G2C - for services whose client is the transacting public G2B - for services whose client is a business entity G2G - for services whose client is another government agency, government employee or official
Who may avail:	1. Enterprise and Industry Association based in the Philippines and wholly owned by Filipino citizens; 2. Any government entity and Local Government Unit, Civil Society Organization; and 3. Academic Institutions with attached business-like operating units and other projects for entrepreneurs

CHECKLIST OF REQUIREMENTS	WHERE TO SECURE
1. Letter of Intent to avail SETUP assistance, stating commitment to refund the <i>iFund</i> support and cover the insurance cost for the acquired equipment;	
2. Fully accomplished DOST TNA Form 01, "Application for the Technology Needs Assessment";	Provincial Science and Technology Center
3. Proposal using "SETUP Project Proposal Format" ;	
4. Copy of business permit and licenses issued by LGUs and other government offices;	Local Government Unit
5. Certificate of registration of Business Name with DTI, SEC, or CDA, whichever is applicable and photocopy of the official receipt of the firm;	DTI, SEC, CDA, BIR
6. Articles of the Incorporation for cooperatives and associations as proponent;	CDA, SEC
7. Board/legislative council resolution authorizing the availment of the assistance and designating authorized signatory for the funding assistance for corporation or cooperatives, SUCs and LGUs;	SUC, LGU, Cooperative or Corporation
8. Financial statements for the past three (3) years for Small and Medium enterprises and at least one (1) year for micro-enterprises together with notarized sworn statement from the proponent that all information provided are correct and true;	Bookkeeper/ Accountant
9. Sworn affidavit that none of the incorporators / officials or applicant is related to the approving authority (Regional Director) up to the third degree of consanguinity and affinity and that the proponent has no bad debt;	Notary Public
10. Projected financial statements with the number of years depending on the proposed project duration;	Bookkeeper/ Accountant
11. Complete technical specifications and design/drawing/picture of	

equipment to be acquired, as determined in the TNA Report; and	
12. Three (3) quotations from suppliers/fabricators for each equipment to be acquired, as indicated in item #11. The conditions required in the DOST Purchase Order (i.e., warranty of equipment and after sales support, terms of payment, and retention of payment for applicable equipment) shall be followed. If the proponent cannot find the sufficient number of suppliers, the proponent should submit an affidavit stating unavailability of suppliers for the needed equipment in the area.	Suppliers/ Fabricators

A. Technology Needs Assessment				
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Submit letter of intent	1. Facilitate the filling up of Technology Needs Assessment (TNA) Form 01	None	4 hours	Provincial Science and Technology Director and Staff
	2. Conduct of onsite Technology Needs Assessment (TNA) Form 04 based on agreed schedule upon receipt of TNA Form 01 - Initial data gathering		1 day	
	3. Preparation of Technology Needs Assessment Form 04 Report -from draft to final		3 days	

B. SETUP Proposal				
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Submit Documentary requirements	1. Proposal Preparation with complete documentary requirements a. SETUP <ul style="list-style-type: none"> • Business Permits • Financial Statement • Sworn Affidavit of no Relationship with the Approving Authority • Photocopy of Official Receipt 	None	10 working days	Provincial Science and Technology Director and Staff
	2. Review and endorsement of project proposal		1 working day	
	3. Packaging of project proposal		2 hours	

	4. Submission to the Regional Office through courier/bus		2 working days	

C. SETUP Proposal Evaluation

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	1. RTEC Evaluation (Table/EnBanc)	None	3 working days	SETUP Coordinator, SETUP Project Staff and Review and Technical Evaluation Committee
	2. Compliance to comments of RTEC evaluators		3 working days	Provincial Science and Technology Director and Staff
	3. Endorsement and submission to SETUP Unit, RO		1 working day	Provincial Science and Technology Director
	4. Preparation and recommendation of Final RTEC Report		1 working day	SETUP Coordinator, SETUP Project Staff and Review and Technical Evaluation Committee
	5. RD's Appropriate Action (approval/disapproval)		1 working day	Regional Director
	6. Inform customer on the RD's final action		1 working day	PSTD and PSTC Staff