

**DOST Form 3**

**NON-R&D PROJECT PROPOSAL**

**(Technology Transfer, S&T Promotion and Linkages, Policy Advocacy,**

**Provision of S&T Services, Human Resource Development and Capacity-Building)**

**I. PROJECT PROFILE**

| **(1) Program Title:**  **Project Title:** Project 1-B. Establishment of Intellectual Property and Technology Business Management (IP-  TBM) Operations in J.H. Cerilles State College though the RAISE Program | | | | |
| --- | --- | --- | --- | --- |
| **(2) Project Staff/Sex:** Moises Glenn G. Tangalin  **Agency** (smallest unit)**:** J.H. Cerilles State College  **Address/Telephone/Fax/Email:** JHCSC, Caridad, Dumingag, Zambooanga del Sur / 09988856100 /  mggttangalin@gmail.com | | | | |
| **(3) Cooperating Agency/ies** (Name/s and Address/es)**:**  Jose Rizal Memorial State university (JRMSU) – Dapitan, Zamboanga del Norte  Philippine Rubber Research Institute (PRRI) – Ipil Zamboanga Sibugay  Western Mindanao State University (WMSU) – Baliwasan, Zamboanga City  Zamboanga State College of Marine Sciences and Technology (ZSCMST) – Rio Hondo, Zamboanga City | | | | |
| **(4) Implementing Agency** (Municipality / District / Province / Region)  **Base Station:** JHCSC – Caridad, Dumingag, Zamboanga del Sur  **Other Implementation Site (s):** Zamboanga City, Zamboanga Sibugay, Zamboanga del Norte | | | | |
| **(5) Project Duration** (number of months): 24  **Project Start Date:** July 1, 2023  **Project End Date:** June 30, 2025 | | | | |
| **(6) Total Project Cost:** Php3,041,600.00 (indicate Counterpart Funds; use Form 4 for the Line-Item Budget) | | | | |
| **Implementing Agency/ies** | **PS** | **MOOE** | **EO** | **Total** |
| 1. Requested Fund | 1,161,600.00 | 1,800,000.00 | 80,000.00 | 3,041,600.00 |
| 1. Counterpart Fund | 439,898.40 | 65,000.00 | - | 504,898.40 |
| **TOTAL** | **1,601,498.40** | **1,865,000.00** | **80,000.00** | **3,546,498.40** |

**II. PROJECT SUMMARY**

| **(7) Executive Summary** (not to exceed 200 words)  Establishment of an IP-TBM center that will facilitate the commercialization of technologies generated in the AANR sectors in Zamboanga del Sur and in Region IX. It will be established at the College Research and Innovation Center that would provide Institutional arrangement orientation and collaboration to faculty and staff and other stakeholders in the service area; conduct of Policy review and IP audit; Training, mentorship, IP protection; Branding, technology promotion and advocacies, and manage in business network, partnership, and institutionalization. The implementation of the project is expected to impact the institution researchers in terms of technologies commercialized, jobs and income generated, products available at lower cost and the facilitation of R.A.10055. |
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| **(8) Introduction** (Not to exceed 15 pages)  Recognizing the wide array of Intellectual Property (IP) and the great innovative potentials confined in an academic institution, more funding institutions are gaining interests in supporting research and development in the academe. As more and more R&Ds are conducted, the need for intellectual property protection and commercialization must also be promoted and transacted to fully maximize and safeguard the R&D outputs.  Republic Act (RA) 10055, also known as the Technology Transfer Act of 2009, is a Philippine law that promotes and facilitates the transfer, dissemination, and commercialization of technology and intellectual property (IP) from research and development (R&D) institutions to industry for the benefit of society. The technology transfer Act helps CMIs and HEIs help establish the promotion of the innovation ecosystem. The Act provides a framework for promoting innovation by encouraging the transfer of technology and IP from R&D institutions, CMIs and HEIs in the region to strengthen the linkages and partnership with the industry. This can lead to the development of new products, services, and technologies that can benefit society and drive economic growth.  Intellectual property (IP) management and technology transfer offices (TTOs) in the context of universities in order to understand how TTOs manage IP. IP management is an important issue, as it both enables and restricts the utilization of research results and impacts the competitiveness of technology-based businesses. The literature review shows that previous studies of IP management in TTOs tend to adopt a simplistic view of IP management, recommending that all valuable inventions should be patented. Moreover, academic research into TTOs and actual TTO practices both appear to focus on improving efficiency and outputs measured in terms of numbers of patents, licenses and spin-offs. We call this established view the *appropriation mode of TTOs* and question it based on the logics of publicly funded research and modern IP management. It is suggested the *utilization mode of TTOs*, in which TTOs manage IP from publicly funded research in order to govern innovation processes and enable utilization of research results in a broader sense (Holgerson, 2019).  **Rationale/Significance** (Not to exceed 300 words)  The JH Cerilles State College as a new institution and research as one of the core functions, faculty members are doing research with outputs published and presented without proper IP protection. Most of the research outputs were not even copyrighted and patent protection applications were not given emphasis and importance due to the following: at present there is no faculty personnel that are capable and adequately equipped to conduct Patent Search, Patent Drafting, and Technology Licensing engagements; lack of IP awareness campaigns within the institution due to limited funds for IP Seminars and Trainings; lack of Infrastructure support (e.g., computers and strong internet connection) to serve as work stations for patent search and patent drafting purposes.  Mindful of the role of intellectual property in driving the overall economic state of the country, the proponent asserts the implementation of a project in capacitating Intellectual Property and Technology Business Management for enhancing technology commercialization in Zamboanga del Sur and in the entire region.  **Objectives** (General and Specific):  General Objective:  To implement Intellectual Property and Technology Business Management (IP-TBM) program of the institution in order to enhance their technology commercialization activities.  Specific Objectives:   1. Establish and operationalize the IP-TBMs of the College; 2. Capacitate the Technology Transfer Personnel & enhance the technology promotion and commercialization activities of institution and in the region; and 3. Identify and intensify linkages with various agencies to enhance activities on intellectual property protection & management and technology transfer & commercialization.   **Methodology**:  **Institutional arrangement and collaborations**  ***Pre-Implementation Phase***  The pre-implementation phase involves the following activities:   1. Kick-off and commitment meeting among PCAARRD and the heads of College involved in the program; 2. Meeting with training providers as potential partner for the training component; 3. Discussion with TAPI regarding technology commercialization issues and concerns; and 4. MOA preparation, signing.  ***Implementation Phase****Assessment of JHCSC’s present set up of IP-TBM* Field visits will be conducted by a program implementing team to observe JHCSC’s operations. The number of research projects completed and IPR (filed and registered) will be gathered.  Establishment and Operationalization of IP-TBMs  Letters of Commitment will be prepared by the agency of the institution indicating assignment of regular staff to man the provision of office space, commitment to allow the IP-TBM’s staff to attend the long duration training planned for this project and institutionalizing the IP-TBMs within the agency.  The ITSOs will be organized to form the IP-TBM Team and should at least have the following staff:  1 – IP-TBM Manager  1 – Technical Staff (to be hired by the Program/Projects)  1 – Administrative Staff (SUC/RDI Counterpart Fund)  JHCSC will be responsible for hiring or designating the IP-TBM’s team for their institution. The program will provide for the honorarium of the IP-TBM’s Manager and the salary of one technical staff member. The agency, on the other hand, should provide a counterpart for the salary of one administrative staff member.  The existing facility of JHCSC will be assessed based on the need of the IP-TBM. The following equipment (if needed) will be provided to continuously provide the needed service to the researchers/inventors of the institution:  a. 1 unit laptop with accessories, or  b. 1 unit desktop with accessories.  Likewise, MOOE such as supplies and materials, communication, representation, training expense, subscription expense for the Thomson Innovation (needed for prior art searches), travel, repair and maintenance, professional services and other MOOE (filing fees) will be provided to the Institution’s IP-TBM.  **Policy Review and IP Audit**  Review of institutional IP policies will be done to ensure conformance to RA 10055.  Technology Transfer Protocols (TTP) will be established to serve as general guidelines for technology transfer. JHCSC will develop protocol or policy in commercializing technologies. The Philippine Technology Transfer Act of 2009, together with the DOST IP Policy, will also serve as their reference in preparing the TTP. The College will advocate for the approval and implementation of the institutional IP policies and TTPs.  **IP Audit**  The IP audit will be conducted to determine the types and number of IPs generated that can be included in IP protection and commercialization activities. The College will submit an Inventory of IP assets.    **Training/Mentorship and IP Protection**  The IP-TBM team will be capacitated on IP management and business development/technology commercialization through the conduct of the 12-module training workshop (Figure 1) for selected technology transfer officers (2 per agency) which will consist of 2 sets of training – 1) the Intellectual Property Master Class, and 2) the Technology Commercialization Mentorship Series. Both sets of training will consist of 6 modules that will be conducted for 18 days spread over 6 months (3 days/month). The IP Master Class will demonstrate the whole patent application flow through hands-on prior art searches, actual claim drafting, filing application, substantive examination request, responding to Formality Examination Reports (FER) up to the administration of a mock exam for patent agent aspirants. The Technology Commercialization Mentorship Series will equip the trainees with the different pre-commercialization business processes, technology pitching, negotiation, and commercialization strategies. The trainees are expected to file patent or utility model applications during the training, while prosecution of these applications will be done through mentorship by the trainers.  A training provider that will match the expertise needed will be approached to handle the IP Management training through a government-to-government contract of service. If this is not workable, public bidding will be conducted. For the business development/technology commercialization training qualified training providers/a pool of experts will be tapped to conduct the mentorship series. Contracting will be through public bidding. The series of training will be conducted at the DPITC, PCAARRD, Los Baños, Laguna.  In the second year of implementation, the IP-TBM’s team will also be exposed to IP/Technology Commercialization training/conferences outside the country. PCAARRD, in coordination with FPRDI and IPOPHL, will look for possible training providers preferably in a country where IP management and technology commercialization activities are well entrenched and practiced.    **Figure 1. 12-module Training Workshop on Intellectual Property Management and Technology Business Management**  **Branding / Technology Promotion /Advocacies**  To promote the technologies developed by the College, networking cum product promotion activities will be conducted or participated by the institution. Attendance to the NSTW, PCAARRD SiPAG FIESTA, DOST Technology Transfer Day etc. will also be encouraged. Potential technology adopters as well as other collaborators and stakeholders will be invited to attend the said activity. It is expected that the technologies developed would be able to reach the target adopters. Investment primers and flyers/leaflets of the commerciable technologies will be made to serve as the promotional materials.  Also in the second year, IP-TBM’s will conduct an echo seminar/training for at least 20 researchers to further disseminate the learnings generated from this project. The IP-TBM staff will serve as resource persons to these echo-seminars.  **Manage Business Network / Partnerships and Institutionalization**  i. ***Manage Business Network / Partnerships***  Exploratory meetings with potential business partners such as but not limited to business groups, marketing and traders’ groups will be conducted.  Since the IP-TBM will be targeting the private sector as potential takers of the technologies that they will promote, partnership will be fully explored to fast-track commercialization of PCAARRD-supported technologies in the College. Linkages and partnership with the industries, private sector, and other stakeholders. Collaboration with the private sectors, industries, local government units and associations will be made as partners and or prospective adopters of the commerciable technologies generated by the participating agencies. Inter-personal visit and dialogue to the target partners and prospective adopters will be conducted.  ii. ***IP-TBMs’ Institutionalization***  To sustain its operation, it is expected that after the two-year assistance to IP-TBMs, the management of the participating agencies should allocate funds for the operation of the office. The activities of IP-TBM should be continuously conducted even after the completion of the project. The program team will spearhead the conduct of a Commitment Meeting on Year 2 to discuss the sustainability plans of participating agencies. Prior to the commitment meeting, each participating agencies will craft their sustainability plans, The commitment meeting among agency heads will discuss the sustainability of the IP-TBM operations through the internal support of the agencies which can be through but not limited to regular funding, staff designation and policy support, and in the long run, influx of external grants through Public-Private-Partnerships.  **Expected Outputs (6Ps)**:   | ***Y1 Output*** | ***Y2 Output*** | ***TOTAL*** | | --- | --- | --- | | PRODUCTS |  |  | | 1 inventory of IP assets | At least 1 Technology Commercialized | 1 inventory of IP assets  At least 1 Technology Commercialized | | PEOPLE & SERVICES |  |  | | At least 1 IP-TBM staff extensively trained under the IP Master Class and Technology Commercialization Mentorship Series  At least 1 IP-TBM staff attended a local IP workshop/fora | At least 1 IP-TBM staff attended a foreign IP workshop/fora  At least 20 faculty researchers trained (short duration/echo seminar) on IP Management and Technology Commercialization with IP-TBM staff as trainor/speaker  At least 2 networking events and technology promotion conducted by the College  At least 1 technology taker/adapter | At least 1 IP-TBM staff extensively trained under the IP Master Class and Technology Commercialization Mentorship Series  At least 1 IP-TBM staff attended a local/foreign IP workshop/fora  At least 20 faculty researchers trained (short duration/echo seminar) on IP Management and Technology Commercialization with IP-TBM staff as trainor/speaker  At least 2 networking events and technology promotion conducted by the College  At least 1 technology taker/adoptor | | PUBLICATIONS |  |  | | At least 2 promotional IEC for SUC/RDI technologies | At least 2 promotional IEC for College technologies | At least 5 promotional IECs for College technologies | | PATENTS |  |  | | At least 2 IP (patent and utility model only) applications | At least 3 IP (patent and utility model only) applications | At least 5 IP (patent and utility model only) applications | | PLACES & PARTNERSHIPS |  |  | | 1 IP-TBM established/enhanced  1 Letter of Commitment from the College President  1 Memoranda of Agreement signed  At least 1 partnership agreement with the Philippine Chamber of Commerce Inc./Business Groups/Marketing or Trade Institutions | 1 IP-TBM institutionalized  At least 1 commercialization agreement executed | 1 IP-TBM enhanced/established and institutionalized  1 Letter of Commitment from the College President  1 Memoranda of Agreement signed  At least 1 partnership agreement with the Philippine Chamber of Commerce Inc./Business  Groups/Marketing or Trade Institutions  At least 1 commercialization agreement executed | | **POLICIES** |  |  | | 1 Institutional IP Policies reviewed/ crafted  1 Technology Transfer Protocols reviewed/ crafted |  | 1 Institutional IP Policies reviewed/ crafted  1 Technology Transfer Protocols reviewed/ crafted |   **Potential Outcomes:**  The establishment of the IP-TBM in JHCSC will position the JHCSC as the innovation center and commercial hub for technologies related to agriculture in the province of Zamboanga del Sur.  **Potential Impacts (2Is):**  **Social Impact**  Establish a strong partnership and collaboration among adopters, stakeholders, technology adaptors and business enterprise industry in the country.  **Economic Impact**  Improve the economic situation of ZamPen native chicken through increased production and income and product development, commercialization, and adoption.  **Discussion** on the results of related project handled by the same proponent (if any):  **Target Beneficiaries**: Faculty and Staff researchers and clients in the service area  **Sustainability Plan** (if applicable)**:**  The IP-TBM office will be institutionalized and maintained through the facilitation of the Office of the Research Director.  **Gender and Development (GAD) Score** (refer to the attached GAD checklist): **15**  **Literature Cited:**  Holgerson, M. 2019. A Literature Review of Intellectual Property Management in Technology Transfer Offices: From Appropriation to Utilization. Retrieved at <https://www.sciencedirect.com/science/article/pii/S0160791X18301593> |
| **(9) Workplan** (See Form 5) |
| **(10) Project Management** (not to exceed one page) |

**III. OTHER SUPPORTING DOCUMENTS REQUIRED** (Please refer to page 2 for the additional necessary documents.)