

DOST Administrative Order No. 007
Series of 2022

MAY 3 1 2022

Subject: **Revised Policy Framework and Implementing Guidelines for the Technology Innovation for Commercialization (TECHNiCOM) Program**

I. PURPOSE OF GRANT

The Department of Science and Technology (DOST), through the Technology Application and Promotion Institute (TAPI), implements the Technology Innovation for Commercialization (TECHNiCOM) Program to provide development support to commercially viable innovations. Through financial and technical assistance to the pre-commercialization stage of technology development, the program aims to fast track the market readiness of innovations for their eventual transfer and commercialization.

II. COVERAGE

The Program shall fund pre-commercialization activities enhancement and optimization of innovations which may include, but are not limited to, commercial prototyping, pilot-scale or scaled-up testing, technology validation, market research, field or market testing, business model validations, pre-investment, and other analogous activities subject to availability of funds and other usual accounting and auditing rules.

III. ELIGIBILITY OF PROPONENTS

- A. Any of the local Research and Development Institutions (RDIs), Private Higher Education Institutions (HEIs), State Universities and Colleges (SUCs), may submit a proposal to support the pre-commercialization of its developed research products or services given that its Research and Development (R&D) phase were either funded by the proponent institution itself, DOST Regional Offices (ROs), DOST RDIs, DOST Service Institutes, or DOST Collegial Bodies; RDIs, HEIs, SUCs, with developed research products or services whose R&D phase were funded, managed, or monitored by the DOST Councils are not eligible and should be forwarded to the appropriate Councils for funding consideration; or
- B. Qualified startups that received funding from and duly endorsed by a DOST Sectoral Council.

IV. DOCUMENTARY REQUIREMENTS

- A. Proponent's Letter of Interest to avail financial assistance addressed to the Program Director
- B. Endorsement Letter from concerned DOST Regional Office or Council in the case of startups
- C. Full-blown proposal following the TECHNiCOM Format
- D. Endorsement Letter from the Proponent's Agency Head
- E. Work Plan of the Project/Gantt Chart (DOST Form No. 2B-1)
- F. Line-Item Budget (DOST Form No. 2B-3)

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4

- G. Letter of Interest from the Private Sector to participate in the project as collaborator or adoptor of the technology if applicable
- H. For startup projects, copy of business permit/licenses/certificate of registration of business name with DTI, SEC, or CDA (if applicable)
- I. Cash Program (monthly breakdown of the project budget)

V. GENERAL CRITERIA FOR EVALUATION

The TECHNiCOM Program shall provide priority funding to projects aligned to the national S&T priorities and shall evaluate proposals based on the Program's review mechanism and criteria which may include Technical Readiness Level (TRL), Technical and Commercial Viability, Social and Environmental Relevance, and Management Capability (Please refer to Annex "B" and "C")

VI. PROGRAM PROCESS FLOW

The following procedure is summarized in Annex "A".

- A. Proposals from HEIs/SUCs should be submitted to the respective ROs for preliminary evaluation and endorsement to TECHNiCOM. For startups, proposals must be endorsed by a DOST Sectoral Council for follow-up funding by TECHNiCOM. Upon securing proper endorsement, the Proponent shall submit a complete proposal via the appropriate web portal before it could be tabled for technical review and evaluation. A counterpart fund, in kind and/or in cash, shall be required from the Proponent.
- B. Upon submission of a complete proposal, it shall be subjected to an eligibility check. If eligible, DOST-TAPI will convene experts to conduct the evaluation of the same.
- C. Proposals whose budget request is less than three million pesos (Php3,000,000.00) shall be presented by the TECHNiCOM Program Manager to the TAPI Executive Committee (EXECOM) for final approval of the TAPI Director.
- D. Proposals whose budget request is three million pesos (Php3,000,000.00) and above shall be presented by the TECHNiCOM Project Leader to the TECHNiCOM Program Advisory Committee (PAC) for approval.
- E. Any proposal recommended for revision by the DOST-TAPI EXECOM or TECHNiCOM PAC shall be returned to the Proponent. The proponent has only one chance to revise the proposal for resubmission.
- F. Upon approval, DOST-TAPI shall prepare the Memorandum of Agreement (MOA), facilitate the project inception conference, and process the release of funds to the Proponent.

DOST-TAPI shall serve as the evaluation and monitoring agency of all TECHNiCOM proposals and approved projects.

VII. OTHER PROVISIONS

This TECHNiCOM Policy Framework and Implementing Guidelines shall be supplemented by the existing policies, guidelines, circulars, and memoranda set primarily by DOST and DOST-TAPI, as well as by other relevant government agencies, if necessary, provided said policies, guidelines, circulars and memoranda are consistent with the stipulated provisions herein. These include but are not limited to:

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5

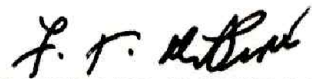
- A. DOST Administrative Order (AO) No. 011, Series of 2020 on the Revised Guidelines for the Grants-In-Aid Funds of Department of Science and Technology and its Agencies, and succeeding amendments thereto.
- B. Philippine Technology Transfer Act of 2009 (Republic Act No. 10055) and Innovative Startup Act (Republic Act No. 11337) and their related issuances, administrative orders and circulars that defines, specify and sets the rules, regulations and protocols for the effective enforcement of the provisions of these laws.
- C. COA Memorandum Circular (MC) 2012-001, Series of 2012 on "Prescribing the Revised Guidelines and Documentary Requirements for Common Government Transactions" DBM-DOST Joint Circular No. 1, Series of 2013, on the "Rules and Regulations on the Grant of Compensation-Related Magna Carta Benefits to Scientists, Engineers, Researchers, and other Science and Technology (S&T) Personnel."
- D. DOST MC No. 001 Series of 2009 on the Amendment to Memorandum Circular No. 001, Series of 2003, otherwise known as "Revised Implementing Guidelines on the Grant of Honoraria to Personnel whose Services are engaged by the National Science and Technology System."
- E. DOST Administrative Order No. 005 Series of 2021 on the Implementing Guidelines for the Startup Grant Fund of the Department of Science and Technology

VIII. REPEALING CLAUSE

DOST AO No. 12, s. 2018, other orders, rules and regulations, issuances, or any part thereof that are inconsistent with the provisions of this A.O are hereby repealed, amended or modified accordingly.

IX. EFFECTIVITY

This Order shall take effect 15 days after publication in the Official Gazette or newspaper of general circulation.


FORTUNATO T. DE LA PEÑA
Secretary

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ANNEX "A"

FLOWCHART OF TECHNICAL PROGRAM PROCESS

FLOWCHART	RESPONSIBLE AGENCY	REMARKS	ESTIMATED TIMEFRAME
DOST ROs and DOST Sectoral Councils	DOST ROs and DOST Sectoral Councils	Upon receipt of a complete proposal, DOST ROs and DOST Sectoral Councils shall conduct preliminary evaluation and endorsement to TECHNICAL.	Pre-call for proposal
TECHNICAL Program Unit conducts eligibility check	DOST-TAPI	Upon receipt of a complete proposal, TECHNICAL Program Unit shall conduct an eligibility check on completeness and compliance.	3 days
TAPI-LU checks veracity of documents	DOST-TAPI	TAPI Legal Unit shall likewise countercheck for the veracity of documents submitted.	2 days
DOST-TAPI evaluates the proposal	DOST TAPI	DOST-TAPI shall evaluate (technical and commercial viability) the proposal (see Annexes "B" and "C").	15 days
Below P3 Million TAPI approves/ disapproves proposal P3 Million and Above TECHNICAL PAC approves/ disapproves proposal	TAPI Executive Committee (EXECOM) TECHNICAL PAC	Depending on the requested amount, DOST-TAPI EXECOM / TECHNICAL PAC shall evaluate and approve / disapprove the proposal based on the set criteria and recommendations from the technical panel.	5 days
DOST-TAPI prepares documents for release of funds	DOST-TAPI	TECHNICAL Program Unit shall: • Send a letter of approval to the Proponent • Draft MOA/ Conforme and transmit the same for signatures of parties involved • Facilitate release of funds • Conduct inception meeting with Proponents	5 days
Total			30 days

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**Department of Science and Technology
Technology Application and Promotion Institute
Technology Innovation for Commercialization (TECHNICOM)**

Technical Viability Assessment Form

Proposal Title:

Date:

Directions: Evaluate the proposal based on following criteria by encircling your rating/score. Please note that proposal with an average rating of **less than 3.0 is deemed disapproved** (Kindly provide justification). On the other hand, proposal with an average rating of **3.0 and above may be considered approved** for the next level of evaluation.

Criteria	Rating Scale	Remarks
A. The Innovation (Technical)		
1. Technology readiness level (TRL)		
2. Efficiency of the product/technology or potential for development/improvement.		
3. Appropriateness of the technology (in terms of solving the problem / gap)		
4. Scientific Merit of the Technology (Does the technology have potential contribution to the advancement of the S&T sector?)		
5. Scientific Merit of the Technology (Is there a sound scientific basis to generate new knowledge? Does it apply existing knowledge in an innovative manner?)		
6. Methodology/ Strategies for Implementation (1. Are the procedures clear? 2. Are the materials used, sampling methods, statistical analysis, scopes and limitations, and place of study specified?)		
7. Environmental Impact (Does the project have a significant adverse effect on the environment and/or public health?)		

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Criteria	Rating Scale	Remarks
8. Technical, Financial (1. Is the proposal technically and financially reasonable?)		
9. Timeframe (Are the duration of the project and activities are reasonable and consistent with the nature and complexity to achieve the proposed objective?)		
Average		
Remarks		APPROVED DISAPPROVED

** Technical claim(s) made by inventor / innovator during evaluation process/presentation is/are initially assumed accurate based on the representations made by the proponent. Separate technical assessment will be done by the DOST Sectoral Council during the technical evaluation process.*

Other Remarks:

Printed Name and Signature of Evaluator: _____

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**Department of Science and Technology
Technology Application and Promotion Institute
Technology Innovation for Commercialization (TECHNICOM)**

Commercial-Viability Assessment Form

Proposal Title:

Date:

Directions: Evaluate the proposal based on following criteria by encircling your rating/score. Please note that proposal with an average rating of **less than 3.0 is deemed disapproved** (Kindly provide justification). On the other hand, proposal with an average rating of **3.0 and above may be considered approved** for the next level of evaluation.

Criteria	Rating Scale	Remarks
A. The Opportunity		
1. Significance of the problem that the technology wants to address	1 Very Insignificant 2 Insignificant 3 Somewhat Insignificant / Fair 4 Significant 5 Very Significant	
2. Size of potential market or number of possible users of the technology	1 Very Small 2 Small 3 Enough 4 Large 5 Very Large	
3. Level of market saturation (Is there a room for additional player in any of the possible market?)	1 Highly Saturated 2 Saturated 3 Somewhat Unsaturated / Fair 4 Unsaturated 5 Highly Unsaturated	
4. Level of market reach (How wide is the potential market of the technology?)	1 Strategic to Municipal 2 Municipal to Provincial 3 Provincial to Regional 4 Regional to National 5 National to International	
5. Availability of key partners/linkages?	1 No Partners At all 2 Search for Potential Partners 3 In Talks with Potential Partners 4 With at least 1 Existing Partner 5 With More than 1 Existing Partners	
6. Socio-Economic Impact. (Will the technology create/provide employment, increase income, and address any current national problems)	1 No Impact At all 2 Little to No Impact 3 Somewhat Impactful 4 Impactful 5 Highly Impactful	
Sub-average:		

Criteria	Rating Scale	Remarks
B. The Innovation		
1. Appropriateness of the technology (in terms of solving the problem / gap)	1 Very Inappropriate 2 Inappropriate 3 Somewhat Appropriate / Fair 4 Appropriate 5 Very Appropriate	
2. Competitive advantage / unique/value proposition over comparable technologies (in terms of cost/price, investment, etc.)	1 Not Very Cost Competitive 2 Not Cost Competitive 3 Somewhat Cost Competitive / Fair 4 Cost Competitive 5 Very Cost Competitive	

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3. Competitive advantage unique/value proposition over comparable technologies (in terms of features, value, impact, etc.)	1 2 3 4 5 ----- ----- ----- ----- Not Very Not Somewhat Technically Very Technically Technically Technically Competitive Technically Competitive Competitive Competitive / Fair Competitive 	
Sub-average:		
Criteria	Rating Scale	Remarks
C. The Business Model		
1. Probability of technology transfer or commercialization (1. Will there be ready takers or sales channels? 2. Is the technology transfer or commercialization strategies appropriate?)	1 2 3 4 5 ----- ----- ----- ----- Very Low Low Good High Very High Probability Probability 	
2. Ease of marketing (Could the technology be easily marketed to potential technology takers/adoptors/investors or sales channels?)	1 2 3 4 5 ----- ----- ----- ----- Very Difficult Difficult Fair Easy Very Easy 	
3. Ease of production (Will there be enough available resources should the technology pursue technology transfer and/or commercialization?)	1 2 3 4 5 ----- ----- ----- ----- Very Difficult Difficult Fair Easy Very Easy 	
4. Possible return of investment to the government (Will the project/technology have significant impact to the community / society / industry, which could be considered as ROI of the given investment?)	1 2 3 4 5 ----- ----- ----- ----- Very Low Low Enough High Very High 	
Sub-average:		
Average Rating:		

* Technical claim(s) made by inventor / innovator during evaluation process/presentation is/are initially assumed accurate based on the representations made by the proponent. Separate technical assessment will be done by the DOST Sectoral Council during the technical evaluation process.

Other Remarks:

Printed Name and Signature of Evaluator: _____


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RECORDS OFFICER
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