

**Subject: GUIDELINES FOR THE IMPLEMENTATION OF THE SINAG: S&T INNOVATIONS IN AGRI-AQUA AWARD**

**I. PURPOSE**

The SINAG Award aims to recognize the effort of an individual, group of individuals, or organization instrumental in the successful adoption and commercialization of a component technology or package of technologies.

Technology commercialization refers to the technology transfer pathway of deriving income or profit from a technology, such as through the creation of a spin-off company, licensing, or the sale of the technology and/or IPRs (amended IRR of RA10055 and QMSP-TTPD-08-01) in the agriculture, aquatic, and natural resources (AANR) sectors. SINAG Award will recognize three entities involved in the commercialization of a technology such as: the **innovator**, commercialization **facilitator or enabler** of a technology, and the **adopter/entity** that successfully commercialized a technology. Hence, the award will have three categories, which are as follows:

1. **Innovator.** *This category aims to recognize the **merit of the technology** being commercialized. Award will be given jointly to the original technology owner and the inventor/author.*

The original owner of the technology refers to the Research and Development Institutions (RDIs) or State Universities and Colleges (SUCs) that implemented the research activity that generated a given technology. As stipulated in the Amended IRR of RA10055, “the ownership of IP and IPRs derived and generated from research funded by the Government Funding Agency (GFA) whether such funding is in whole or in part, shall, in general, be vested in the RDI/SUC that actually performed the research....” On the other hand, inventor/ author refers to the natural person (project leader/project team) who has created the works. The owner and the inventor/author of the technology will have one/shared award but will have separate cash awards at a 60:40 ratio.

For example, if an SUC-owned technology will be the awardee of the SINAG Award under the Innovator Category, the award will be given to the SUC, as the owner, and the inventor/s.

2. **Facilitator/Enabler.** *This category aims to recognize the **contribution of the facilitators/enablers** based on the merits of how the technology/ies was moved from research up to commercialization stage.*

The SINAG Award – Facilitator/Enabler Category will be given to the Intellectual Property and Technology Business Management (IPTBM), Technology Transfer Office (TTO) or similar entity/ies, and Technology

Business Incubators (TBIs) or any group facilitating/enabling commercialization of technologies (not limited to PCAARRD/DOST-assisted). Enabler or Start-up Enabler refers to any person or entity in the Philippines that provides goods, services, or capital identified to be critical in supporting the operation and growth of start-ups. Start-up enablers shall include start-up accelerators, incubators, co-working spaces, investors, funders, event or meet-up organizers catered to start-ups, and other support organizations (IRR of RA113377 or the Innovative Start-up Act).

For example, a TBI or TTO of an institution may be awarded for the successful facilitation of the commercialization of a technology/ies.

3. **Adopter.** *This category aims to recognize the **entity** that successfully commercialized a technology.*

The SINAG Award – Adopter Category will be given to a public or private entity, startup or spinoff that commercialized a licensed technology and has secured a stable operation and market of products produced using the technology.

For example, the inventor of a technology and also the licensee of the owner institution as a spinoff company may receive the award for the successful commercialization of the said technology.

## II. SCOPE/COVERAGE

The PCAARRD guidelines for the SINAG Awards covers the composition of the selection committee and Secretariat, nomination, selection and conferment processes, and awards and prizes.

## III. DEFINITION OF TERMS

**Intellectual Property (IP)** – term used to describe intangible assets resulting from the creative work of an individual or organization. IP also refers to creations of the mind, such as inventions, literary and artistic works, and symbols, names, images, and designs used in commerce. IP can also refer to future tangible and/or intangible assets that may be recognized as intellectual property.

**Technology commercialization** – the process of deriving income or profit from a technology, such as, but not limited to, the operation of a spin-off company or business establishment from a licensed or sale of technology and/or IPRs.

**Spinoff** - refers to a juridical entity that is an independent business technology taker with a separate legal personality from the GFA, RDI and researcher created through the initiative of the researcher-employee who generated the technology.

**Startup** – Any person or entity registered in the Philippines which aims to develop an innovative product, process, or business model. A person refers to a natural person who is a Filipino citizen or foreign national. An entity refers to a juridical person registered in the Philippines, including but not limited to, sole proprietorship, company, partnership, joint venture, cooperative, or association.

#### **IV. FREQUENCY OF CONFERMENT**

Conferment of the SINAG Award will be once every two years during the celebration of PCAARRD Anniversary.

#### **V. QUALIFICATION/ELIGIBILITY**

The award is open to:

- All Filipino individuals/ group of individuals/institutions who have shown outstanding performance on technology generation, facilitation and enablement, and commercialization of a locally generated technology.
- Individuals/ groups/ institutions shall only be qualified if they showcase technology that has been commercialized already for at least two years preceding the award.
- The featured technology should not have been previously conferred with a technology commercialization award by PCAARRD on the same category.
- As applicable, nominees must have been cleared of their obligations for administrative and reportorial requirements (e.g., audited financial, terminal reports) after having engaged in DOST-PCAARRD projects.

#### **VI. SUBMISSION OF ENTRIES**

Nominations/entries should be submitted/endorsed to the Executive Director of PCAARRD on or before **May 31** in the year that the SINAG Award will be given. Each entry shall be accompanied by the following documents:

- **Nomination Letter.** Nomination shall be endorsed by: (1) the head/ authorized representative of an agency/organization; and (2) the regional consortium or DOST regional director.
- **Nomination form using the template for the award**
  - *For the Innovator Category*, the report shall include, among others, the title and details of the technology, project team and implementing agency/institution, intellectual property protection (i.e., patent, utility model), and technology commercialization performance. (see form: <https://bit.ly/SINAGAwardInnovator>)
  - *For the Facilitator/Enabler Category*, the report shall include, among others, at least one (1) success story of facilitation/enabling,

description of the technology featured in the success story, facilitation/enabling strategies, and organization profile. (see form: <https://bit.ly/SINAGAwardFacilitatorEnabler>)

- *For the Adopter Category*, the report shall include, among others, the title and details of the technology, company profile, SEC/DTI/BIR/CDA Registration, Income Tax Return, licensing agreement and financial statements. (see form: <https://bit.ly/SINAGAwardAdopter>)

All documents must be submitted in **six (6) copies** certified original either dry seal or notarized through registered mail, or through a courier, or personally if permissible. Only complete nomination documents and submitted in order will be processed. The screening for the completeness of the submission will be done by the secretariat.

## **VII. COMPOSITION OF EVALUATION AND SELECTION COMMITTEES, AWARD SECRETARIAT, AND CRITERIA FOR EVALUATION**

1. PCAARRD shall create an Internal Screening Committee (ISC) and an External Screening Committee with composition and functions as follows:

### *A. Internal Screening Committee (ISC)*

#### Composition:

Chair: Director, Technology Transfer and Promotion Division

Members: selected PCAARRD Directors

#### Functions:

- a) Receive the complete documents of pre-screened submissions from the secretariat.
- b) Level off on the evaluation and scoring process.
- c) Evaluate the accomplishments of the nominees based on criteria. Record all relevant observations to improve the evaluation and selection process including the criteria indicated in the scoresheet.
- d) Endorse to the DC the potential ESC members for confirmation.
- e) Endorse to the ESC the Top 3 qualifiers and ISC evaluation report.

### *B. External Screening Committee (ESC)*

#### Composition:

Four (4) Technology Transfer Experts

One (1) Director, Technology Transfer and Promotion Division

Functions:

- a) Conduct onsite/field validation and face-to-face interview of the shortlisted nominees.
- b) Verify the information submitted. Resource persons along the field of expertise of the nominees and from focal person from the PCAARRD Divisions may be engaged. They will be consulted by the ESC to verify the nominees' accomplishment, clarify salient points that are highly technical, and confirm the claimed impact of the nominees' accomplishments.

2. Recommend the winner based on their final evaluation.

*C. Award Secretariat*

The Technology Transfer and Promotion Division (TTPD) shall serve as the Secretariat of both the ISC and ESC, and shall be in-charge of the administration, monitoring, and implementation of SINAG Awards under the supervision of the Office of the Executive Director.

The TTPD shall also conduct the preliminary screening of entries. It shall ensure the completeness of the entry requirements. Only entries with complete requirements shall be subjected to the internal and external evaluation.

*Top 3 entries for each category* shall be endorsed to the External Screening Committee (ESC). The weight of the evaluation would be 50% for the ISC and 50% for the ESC. The decision made from the combined evaluation of ISC and ESC shall be presented to the PCAARRD Directors' Council (DC) and Governing Council (GC) for concurrence.

**CRITERIA FOR EVALUATION**

The following criteria will be used for the evaluation of each category:

**CRITERIA FOR INNOVATOR CATEGORY**

<b>CRITERIA</b>	<b>POINTS/PERCENTAGE</b>
<b>Importance of the technology</b>	<b>40%</b>
<ul style="list-style-type: none"><li>● Importance of technical problem being addressed by the technology</li><li>● Strength of intellectual property protection</li><li>● Awards received related to the technology</li><li>● Compliance with/certification from applicable government and other regulatory bodies (e.g. FPA, FDA, AMTEC, etc)</li><li>● Potential of technology to be used in other fields</li></ul>	

<b>Commercialization performance of the technology</b>	<b>40%</b>
<ul style="list-style-type: none"> <li>• Income generated (actual and projected) from signed commercialization agreements (i.e., licensing fees, royalty and upfront fee payments)</li> <li>• Potential for more licensees</li> <li>• Market potential</li> </ul>	
<b>Impact to the Society/Community</b>	<b>20%</b>
<ul style="list-style-type: none"> <li>• Number of actual adopters</li> <li>• Number of beneficiaries</li> <li>• Increased benefits to the community</li> <li>• Change in the level of productivity of adopters</li> <li>• Sustainability of adoption</li> <li>• Benefit to society (with defined benefit of AANR technology/technical solution/s addressing social and economic problems)</li> </ul>	

#### **CRITERIA FOR FACILITATOR/ENABLER CATEGORY**

<b>CRITERIA</b>	<b>POINTS/PERCENTAGE</b>
<b>Breadth of portfolio being handled</b>	<b>20%</b>
<ul style="list-style-type: none"> <li>• Inventory of technologies</li> <li>• No. of technologies protected/assisted for protection</li> <li>• Pre-commercialization services prepared/assisted</li> <li>• Organizational structure (readiness in terms of structural form and organization engagement)</li> <li>• Innovation related policies crafted/implemented</li> </ul>	
<b>Activities conducted to facilitate commercialization of technologies</b>	<b>40%</b>
<ul style="list-style-type: none"> <li>• List of provided services</li> <li>• Feedback from the technology generators</li> <li>• Extent of strategic partnerships and linkages</li> <li>• Facilitation/enabling strategies (include list of services, or mentoring activities conducted)</li> <li>• No. of technology promotion (exhibits, fora, pitch days, bootcamps, etc.) and negotiation activities</li> </ul>	
<b>Impact of the activities conducted</b>	<b>40%</b>
<ul style="list-style-type: none"> <li>• No. of technologies commercialized through licensing agreements</li> <li>• Income generated (actual and projected) from commercialization agreements for the host institution (i.e., licensing fees, royalty and upfront fee payments)</li> <li>• Awards/recognitions received related to the facilitation and enabling</li> </ul>	

### CRITERIA FOR ADOPTER CATEGORY

CRITERIA	POINTS/PERCENTAGE
<p><b>Importance to the company of the technology adopted and commercialized</b></p> <ul style="list-style-type: none"> <li>● Amount of investment of the company to the technology adopted</li> <li>● Amount of investment generated from other sources in relation to the technology adopted</li> <li>● Advantages of the product resulting from the adoption of technologies compared to the competitors</li> <li>● Ability to create new sources of revenue through licensing (e.g. distributorship, use of trademark, etc.)</li> </ul>	<b>30%</b>
<p><b>Technology commercialization performance</b></p> <ul style="list-style-type: none"> <li>● Extent of the penetration of the target market resulting from the use of the technology</li> <li>● Income generated from the technology adopted by the company (actual)</li> <li>● Income payments made to the licensor (actual and projected) through licensing fees, royalty and upfront fee payments</li> <li>● Overall growth potential of the technology commercialization (potential for export, expansion, greater market reach, scalability, etc.)</li> </ul>	<b>30%</b>
<p><b>Impact of the technology commercialization/adoption</b></p> <ul style="list-style-type: none"> <li><b>a) Company</b> <ul style="list-style-type: none"> <li>● Productivity and market reach</li> <li>● Company Financial Statement and Cash Flow</li> <li>● Profitability</li> </ul> </li> <li><b>b) Society/Community</b> <ul style="list-style-type: none"> <li>● No. of jobs generated</li> <li>● Benefit to society (with defined benefit of technology/technical solution/s addressing social and economic problems)</li> <li>● Strategic partnership and linkages</li> <li>● Importance of technical problem being addressed by the technology to the industry</li> </ul> </li> </ul>	<b>40%</b>

## VIII. PRIZES

The prizes will include a plaque of recognition, cash prize and a one-year technology commercialization grant (proposal-based) for each of the category winners. Finalists for each category will be given a cash prize of **PhP 50,000 each**.

Category	Cash Prize	Tech Commercialization Grant (for one-year project, proposal-based)
<b>Innovator</b> <ul style="list-style-type: none"> <li>• Owner</li> <li>• Inventor</li> </ul>	PhP 300,000 (PhP 180,000) (PhP 120,000)	PhP 2,000,000 (inventor as the project leader)
<b>Facilitator/Enabler</b>	PhP 200,000	PhP 1,000,000
<b>Adopter</b>	PhP 200,000	PhP 3,000,000 (shall form part of Startup Grant Fund if winner is startup/spinoff)  PhP 3,000,000 (CRADLE-type project if winner is a private company licensee)

## IX. CONFERMENT

1. The SINAG award will be conferred once every two years during the celebration of PCAARRD Anniversary.
2. Congratulatory notice of award shall be sent to the awardee immediately after confirmation by the GC. Included in the letter is the date and venue of the awarding ceremony.
3. Awardee shall send confirmation of receipt of notice.

## X. TIMELINE OF ACTIVITIES

Activities	Date (in the year that the SINAG Award will be given)
Call for Nominations/Entries	April 1
Deadline for the submission of entries	May 31
Internal Evaluation	June - July
External Evaluation	July - August
DC Approval	September
GC Approval	October
Awarding	November



**XI. OTHER PROVISION**

All pertinent forms stated herein are hereby attached and made part of this Administrative Order.

**XII. EFFECTIVITY**

This Order shall take effect on the date of signing of this Administrative Order by the PCAARRD Executive Director.

**Approved by:**



**REYNALDO V. EBORA, PhD**  
Executive Director