

General Guidelines

# Technology Transfer Grants: Prototyping and Scale-up Grant

## 1. Purpose

The University of the Philippines is mandated to serve as a research university not only by conducting research, but also promoting, disseminating and applying the knowledge created through research. To this end, UP Diliman is committed to providing support to its researchers and creative workers towards successful knowledge transfer.

The Technology Transfer Grant provides funding to support researchers and creative workers of UP Diliman who will engage in further development of their research or creative work outputs to increase Technology Readiness Level, Market Readiness Level and/or Investment Readiness Level of their Intellectual Property, towards successful technology transfer.

In particular, the Prototyping and Scale-up Grant provides funding to support researchers and creative workers of UP Diliman to optimize their technologies and Intellectual Properties for mass commercialization.

## 2. Eligibility

- 2.1. The proponent shall be a regular Faculty Member or Research, Extension, and Professional Staff (REPS) in active service in the University of the Philippines Diliman, regardless of the status of employment whether permanent or temporary (but excluding Lecturer, Professor Emeritus, Faculty members on sabbatical leave).
- 2.2. The proponent must have an active Intellectual Property (IP) Disclosure at the Technology Transfer and Business Development Office (TTBDO) of the UPD-OVCRD.
- 2.3. Applicants with ongoing IP Protection or Technology Transfer Grants or with accountability for previous OVCRD grants will not be given priority.

## 3. Objectives and Expected Output

- 3.1. Proposals submitted under this category must aim to develop a pre-commercial or commercial prototype for the IP or technology.
- 3.2. The expected output is a prototype which has been optimized for scaled-up pre-commercial or commercial operations.

## 4. Grant Amount

- 4.1. The maximum Prototyping and Scale-up Grant is PhP 1,000,000.
- 4.2. In no case shall additional funding be granted to the same grantee for the same project.

## **5. Scope of Grant**

- 5.1. The grant shall be for a maximum duration of twelve (12) months.
- 5.2. The grant may be utilized for the following Maintenance and Other Operating Expenses (MOOE) and Capital Outlay (CO):
  - (a) Other services under MOOE such as Project Leader honoraria and other project staff salaries (honoraria/salaries shall follow UP rates and COA guidelines; these shall be taxable);
  - (b) MOOE such as supplies and materials, meals, transportation and travel expenses, equipment rental, sundry (reproduction, communication, internet services), and honoraria for non-UP personnel to be hired for the project; and
  - (c) CO such as small laboratory machine, audio-visual equipment, and office machine necessary in fulfilling the projects under said categories.
- 5.3. Co-funding may be allowed. Relevant information shall be cited in the appropriate section in the Technology Transfer Grant proposal form.

## **6. Release Of Funds**

The approved grant amount for the applied grant shall be released following the schedule below:

- 6.1. 70% upon signing of the Memorandum of Agreement;
- 6.2. 20% upon submission of the mid-project progress report; and
- 6.3. 10% balance upon submission of the final output/s described in the Obligations of Grantee, provided that all the obligations are complied with not later than two (2) months after the end date of the grant; otherwise, the final release is forfeited.

## **7. Obligations Of The Grantee**

- 7.1. The grantee shall submit a mid-project progress report using the UPD-TTBDO Technology Transfer Grants Progress Report Template;
- 7.2. The grantee shall settle all obligations at the end of the grant in accordance with University policies;
- 7.3. The grantee shall submit a confidential report at the end of the grant period but not later than two (2) months after the end date of the grant, which shall include the following output/s:
  - (a) Terminal Report
  - (b) Fund Utilization Report
- 7.4. In addition, s/he shall submit any of the following proofs of output, whichever is applicable:
  - (a) Raw data of tests conducted;
  - (b) Reports on tests conducted;
  - (c) Samples, if the IP is a product;
  - (d) Photographs of the prototype.
- 7.5. All submitted outputs must be duly endorsed by the head of the unit where the grantee belongs.
- 7.6. All submitted proofs of output shall be subjected to verification by OVCRD.

## **8. Intellectual Property Ownership Of New Improvements**

- 8.1. When the IP, which is the subject of the Grant, has undergone improvement to constitute a new disclosure, the grantee should seek advice regarding intellectual property protection policies of the University, in accordance with the Revised Intellectual Property Rights Policy of the University of the Philippines System (03 June 2011), through the TTBD0 of the OVCRD.
- 8.2. Should the result of the project be published or publicly presented or exhibited, UP Diliman shall be acknowledged as the source of the grant. The grantee shall provide a copy of any publications or program of exhibitions to the OVCRD.

## **9. Sanctions For Failure To Fulfill Obligations Of Grantee**

- 9.1. For failure to fulfill all obligations of the grant, the grantee shall be required to return all the released funds. For purposes of this section, removal from his/her employment with the University or resignation from the University shall be considered failure to fulfill all obligations of the grant.
- 9.2. Endorsement of any application for external funding of research/creative work shall be withheld until all grant obligations are fulfilled.
- 9.3. The grantee who fails to fulfill his/her obligations shall be ineligible for all UP grants.
- 9.4. The faculty member grantee who fails to fulfill his/her obligations shall be ineligible to apply for Research Load Credit or Creative Work Load Credit.
- 9.5. University clearance of the grantee who fails to fulfill his/her obligations shall be withheld should s/he apply for leave, resign or retire from UP Diliman.

## **10. Application Process**

- 10.1. Within the announced deadline, duly endorsed applications shall be accepted by the OVCRD through the TTBD0 and evaluated by the Reviewers according to merit.
- 10.2. Applicants shall submit a printed and signed copy of their full application to the UPD-TTBD0.
- 10.3. The OVCRD shall approve proposals based on the recommendation of the Reviewers and on the availability of funds.
- 10.4. The OVCRD shall inform applicants whose applications for funding could not be granted during the particular round of proposals. The comments, suggestions, and other relevant points raised by the Reviewers shall be relayed to the proponents. They shall be allowed to reapply in the next call for proposals.
- 10.5. The OVCRD shall notify successful applicants and advise them regarding arrangements with the OVCRD for the Memorandum of Agreement and the release of funds.
- 10.6. Each proponent shall keep a complete copy of his/her proposal and other documents submitted to the OVCRD in connection with his/her application for grant. After the evaluation, the OVCRD shall keep one copy only for its file, regardless of whether the application was approved for funding or not.