

NIPS Questionnaire for Universities

1. Does your university have a university IP policy? May we be provided a copy or an online link to a copy available on the internet?

- *Yes. Please refer to the attached Intellectual Property Rights (IPR) Handbook. In general, this IPR document is adopted the template on IP Policy for Higher Education Institutions (HEIs) and in reference to RA 8293.*

2. In your university, who owns university-generated inventions funded by the government?

- *The University. Please refer to the Handbook, Article 5 – Intellectual Property Ownership, Section 5.2.*

3. In your university, who owns university-generated inventions funded by the private sector?

- *Either joint ownership both shared by the University and the private sector (industry) or sole ownership by the latter. Please refer to the Handbook Article 8 – Research Collaborations with External Parties, Section 8.2.*

4. Is there a policy on benefit sharing between the researcher and the university? If so, what is the policy?

- *Yes, the university shall share with the inventor/s of the IP any net revenue received based on 40-60 ratio where 40% for the university and 60% to inventor/s. Refer to the Handbook, Article 7 – Disclosure, Evaluation and Commercialization of University IP, Section 7.4.*

5. Does your university have a technology transfer office (TTO)?

(Generally, a TTO is in charge of managing your agency's intellectual property assets and promoting transfer and commercialization of the agency's technologies. A TTO may also promote research and development that leads to the creation of intellectual property, aid in protecting researchers' right to their works and promoting the use of scientific insights.)

- *Yes. The Intellectual Property Unit (IPU) was officially created sometime mid of 2015.*

6. If yes, how is your TTO resourced, staffed, and operated? What is its reporting structure? If not, who or which agency services your commercialization and technology transfer activities?

- *The unit is currently headed by Engr. Reynaldo P Ramos, PhD – who also designated as the Director for Planning and Development of the university. It is directly reporting to the*

Office of the President of the university. The office is just started formalizing its functions. It initially does setting-up a database for all the undergraduate theses conducted by the students, including a few numbers of patents and copyrights individually filed by the faculty concerns. Part of this database management is to assess completed faculty-student research outputs in terms of their IP/commercialization benefits.

Technically, as stated in the Handbook, Article 6 – Administration, Section 6.2, the IPU or TLO (Technology Licensing Office) has personnel, not limited to the following: Technology Licensing Officer, Associate Technology Licensing Officer, Financial Operations Staff, Marketing Officer, Legal Officer, and Office Operations Staff.

7. If yes, is your TTO functioning well?

(a) How many employees have been assigned to work full-time on identifying licensing opportunities and implementing technology transfer or licensing deals? Do they have the training and competence to address the range of commercialization issues?

- At the moment, IPU is a one-man team as headed by Engr. Reynaldo P Ramos, PhD. Engr. Ramos has attended two seminars/conferences initiated by IPOPHL. Unfortunately, lack of opportunities to increase the current manpower's competencies and expertise to address IP concerns.*

(b) Does your TTO have strategic alliances with other organizations that offer informational benefits that extend its knowledge of potential technology applications to other industries?

- Partially yes. In 2016, a unified Regional Intellectual Property Unit was established, serving the governing and controlling body among researchers from SUCs in the MIMAROPA – constituting the Southern Tagalog Island Research and Development Consortium, commonly known as "STIRDC." This regional IPU is under the Knowledge Management Committee of the Consortium. Please refer to the attached document, entitled, Regional Intellectual Property Policy.*

(c) Does your TTO set up project teams to effect technology transfer to the licensee? If no, describe how it has affected technology transfer.

- No. The IP of the university is still in the infancy stage and in the process of streamlining its efforts towards facilitating university's outputs from research and development activities into practical and commercial applications.*

(d) Does your TTO have executive champions (high ranking employees such as the chief technology officer, the head of intellectual property, or similar) to promote licensing and commercialization? Can you identify these?

- As stated earlier, the university has its IPU headed by Engr. Reynaldo P Ramos, PhD. In addition, IPU closely coordinates with the university's Research, Extension and Trainings (RET) Office, including with Campus Directors of the satellite campuses and Deans of various colleges in matters related to research and development undertakings.*

(e) Does your university draw on the participation of a wide variety of employees, especially R&D and marketing staff, to identify licensing and other commercialization opportunities and implement such deals? If no, how does your TTO identify licensing/commercialization opportunities and implement such deals, (e.g. short-term project teams)

- *As a university policy, all faculty and staff are encourage to undertake research and development projects which will lead to licensing/commercialization. However, due to limited opportunities and technical capabilities to embark in R & D, only a handful of members of faculty/staff actively pursuing in IP. This is the reason why IPU is established to assist in promoting research works that lead to commercialization.*

8. The following are some of the issues and challenges confronting (your) TTO: (Check all that apply)

- There is relatively little concern for licensing/commercialization in my agency, management is not supportive.
- Lack of dedicated licensing/commercialization staff.
- Licensing deals are very rare, or if they do occur, they are managed as a unique event.
- The agency is aware of the benefits from licensing but do not actively pursue them.
- TTO lacks patent practice .
- There are few or no champions for TTOs.
- TTO employees are not trained and able to deliver technology transfer/commercialization services.
- Others — Please explain.

9. Does your institution/TTO keep statistics on Intellectual Property filings and commercialization of technologies? If yes, may we request the latest statistics for the years 2014, 2015, and 2016?

- *Yes. Only three (3) Inventions (Utility Model) and 17 Copyrights. Please refer to the attached document entitled, RSU IP List 2017. Note however that, these filings were done by the faculty/staff himself/herself, not thru IPU. Thus, IPU reminded them to provide copies of the applications.*

10. How are the R&D activities of your university/ institution currently funded?

- *The R&D activities at the university had been started to pick up. Since 2012, there are 16 projects conducted: eight (8) for developing prototype machine for agriculture and one (1) for industrial development, two (2) IT related program and application, two (2) on food processing, two (2) on environmental conservation and 1 on agriculture.*

11. Approximately how much of your research outputs is translated into useful good and services either as public good or commercialized goods and services.

- *About a million pesos combine of sales, goods, and services.*

12. Have you adopted metrics for measuring R & D performance of your agency, e.g. publications, patents, public good, partnerships, etc. Please specify.

- *Generally, SUCs oversight bodies (such as CHED and DBM) require these metrics as indicator of performance or to measure if the targets are met. Hence, the institution is complying and this is published in the General Appropriation Act (GAA) annually.*

13. What are your general guidelines/criteria for evaluating/approving research proposals?

- *The criteria for approving research proposals are the following: conformity to identified university agenda which is anchored on the national, regional, and local priorities and of the needs of stakeholders and beneficiaries; following the prescribe format of the university for institutional funding, or agency format/template for external funding; manned by at least one expert in line with the field of study; has point/s to Major Final Outputs (MFOs) and other performance indicators set by oversight governing bodies (CHED and DBM), feasible within the target period.*

14. To what extent do your university/ institution use technology and patent information systems for R&D?

- *At the moment, it only serves as a promotional tool for faculty/staff to pursue research and development projects that have funding potentials and with outputs for technology transfer or with wider benefits and community utilization/application.*

15. Section 18 of the Technology Transfer Act of 2009 vests public RDIs like your agency with the authority to use its share of revenues derived from commercialization of IP from R&D funded by GFAs. The law allows your agency to defray costs relating to intellectual property management and fund R&D, science and technology capability building expenses, technology transfer expenses, and operations expenses for the TTOs. Is the income derived from IP commercialization by your RDI / university deposited in a revolving fund for your institution's use as above-mentioned? If not, why?

- *To date, the university does not have income generated from IP commercialization.*

16. Have you had or do you have ongoing research collaboration with industry (contract research, joint research)? Are there any issues arising from such collaboration?

- *There is no ongoing research collaboration with industry but there are completed and ongoing research projects with other government (national and local) agencies and international funding agencies (DOST, DAR, DA).*

17. What incentives do you think will promote increased collaboration between the research community and industry?

- *Have shared ownership of IP rights in favor of the researcher(s). Better policy promoting open and fair competition, and no politicking. In addition, all the provisions set in the Handbook should be observed/followed particularly Articles 9 – Research Collaborations with External Parties, Article 9 – General Obligations, and Article 10 – Consultancies/Directorship in Companies.*

18. Does your university/institution has a business incubation program/center? Or a science/technology park?

- *Not yet, but we have R&D centers (under construction) in our newest site in Agpudlos, San Andres, Odiongan donated/funded by Department of Agriculture (DA)-Bureau of Agricultural Research (BAR) and DA-IVB. This 80-hectare land will be the future location of our College of Agriculture, Fisheries and Forestry (CAFF).*

19. What support exists for spin-off companies?

- *None*