



ADMINISTRATIVE ORDER NO. 002  
Series of 2021

**SUBJECT: GUIDELINES FOR THE IMPLEMENTATION OF CONCEPT  
PROTOTYPING PROGRAM**

**1.0 BACKGROUND**

The Technology Application and Promotion Institute (TAPI) is mandated to implement Republic Act No. 7459 otherwise known as "Inventors and Invention Incentives Act of the Philippines" which provides various forms of assistance to Filipino Inventors. In recognition of the indispensability and ingenuity of the Filipino Inventors in the development of the technology, TAPI implements a program for the development of the invention through prototype development. Prototypes are tested so that the design or working parameters can be changed to attain sustainability prior to commercial production.

Inventive ideas require considerable resources to transform into at least a working model. As such, Inventors should receive support through technical and financial assistance and avail government service facilities / laboratories to develop their ideas into a working model. Article IV of R.A. No. 7459 states that the Invention Development Assistance Fund (IDAF) was established to assist potential or actual inventors in the initial experiments, prototype development and other invention development related activities.

**2.0 PROGRAM DESCRIPTION**

The Program provides support for the development of an initial working prototype of a potential invention or innovation:

- 2.1 Provision of technical assistance in collaboration with experts from the industry, DOST-RDIs and SUCs / HEIs;
- 2.2 Provision of financial assistance for the development of an initial working prototype of the invention to cover raw materials, labor expenses and testing fees. This excludes clinical study / trial specifically on medical-related technologies;

- 2.3 Assistance by laboratories and other facilities of RDIs and SUCs/HEIs in the development of an initial working prototype.

### 3.0 PROGRAM OBJECTIVES

The Program aims to:

- 3.1 Encourage the development of new and working technologies by providing technical and financial assistance in the initial experiment and development of a potential or actual invention; and
- 3.2 Assist inventors in tapping the common service facilities of RDIs and SUCs/HEIs.

### 4.0 DEFINITION OF TERMS

- 4.1 **Co-implementor** refers to the person who will co-implement the project and have the same responsibility as the proponent/applicant in the concept of a co-maker, who shall not be more than fifty-five (55) years old at the time of the proposal/application, having sufficient capability to implement the project;
- 4.2 **Financial Grant** refers to the funds provided to the proponent on a particular project for a specified period that does not require repayment;
- 4.3 **Idea / Concept** refers to an intangible product of creative thinking which is novel and viable;
- 4.4 **Initial Working Prototype** refers to first unit(s) of a product / device / machine or preliminary version of the technology or innovative idea that can clearly demonstrate the value and functionality of the concept. Working prototypes are tested so that the design or working parameters can be changed, if necessary, prior to commercial production or fabrication.
- 4.5 **Inter-Agency Technical Evaluation Committee (IATEC)** composed of experts from the DOST, other departments such as the Department of Energy (DOE), Department of Health (DOH), Intellectual Property Office of the Philippines (IPOPHL), academe, industry or other organizations whose technical expertise and/or background is relevant to the request;
- 4.6 **Invention** refers to any patented machine, product, process including implements or tools and other related gadgets of invention that has a patent certificate or at least with pending application to the Intellectual Property Office of the Philippines;

- 4.7 **Inventor's Forum** is an avenue for inventors to present their ideas / concepts to a selected group of technical and economic panel of experts who could help provide directions for the revision and/or improvement of the concept, wherein the proponent/applicant may have requested for assistance on patenting of his idea/concept or for the fabrication of an initial working prototype;
- 4.8 **Proponent / Applicant** refers to an individual person, a juridical entity or a government Entity that prepares and submits proposals for technical or financial assistance for the development of an idea/concept or for the fabrication of an initial working prototype.
- 4.9 **Line-Item Budget** refers to the detailed breakdown of financial assistance requested and reflects counterpart of the proponent;
- 4.10 **Partner Institutions** composed of public or private fabricators, designers, laboratories who may be tapped or commissioned by TAPI to assist the proponent;
- 4.11 **Project Completion** refers to the completion of the fabrication of invention, submission of required documents as stipulated in the Memorandum of Agreement;
- 4.12 **Research and Development Institutes (RDIs)** refers to DOST and non-DOST RDIs which may be tapped as member of the IATEC or has facilities and laboratories that may be used by the inventor / proponent;
- 4.13 **Technical Evaluation Committee (TEC)** composed of TAPI experts who evaluate the request of the inventor/ maker / designer;
- 4.14 **Utility Model** may be a useful machine, implement, tools, product, composition, process, improvement or part of the same that is of practical utility, novelty and industrial applicability. A utility model is entitled to seven (7) years of protection from the date of filing with no possibility of renewal (source: [www.ipophil.gov.ph](http://www.ipophil.gov.ph));

## 5.0 PROGRAM COVERAGE

The Program shall provide technical and financial support to Filipino inventions, ingenuity, and creativity which include any or a combination of the following:

- 5.1 Technical assistance through the Inventor's Forum or through endorsement to other DOST Agencies or RDIs or other experts from the industry;
- 5.2 Financial assistance not exceeding P1,000,000.00 in the form of grant shall be released to SUCs for the purchase of equipment to be used by the

inventor for the development of an initial working prototype. The financial assistance shall also cover labor expenses including payment for the use of laboratories, facilities of SUCs and testing fees. The Proponent shall agree to offer its counterpart such as but not limited to personal expenses, raw materials, among others.

- 5.3 Financial assistance not exceeding ₱200,000.00 in the form of grant shall be released to the inventor for the purchase of raw materials to be used in the development of an initial working prototype.

## **6.0 ELIGIBILITY**

The following are the eligibility requirements for the assistance under this Program:

### *6.1 Private Individuals*

- 6.1.1 Must be a Filipino citizen permanently residing in the Philippines or at least willing to permanently reside in the Philippines for the next five (5) years;
- 6.1.2 Proponent/applicant aged 65 years old and above shall have a co-implementor;
- 6.1.3 Must have NO overdue obligation with TAPI, DOST and its attached agencies and other government institutions.

### *6.2 Private Juridical Entities*

- 6.2.1 Duly registered in the Philippines;
- 6.2.2 At least 60% owned by Filipino;
- 6.2.3 Assignee to a Deed of Assignment of a Filipino-owned Patent/UM registration, valid at the time of its application;
- 6.2.4 Must have NO overdue obligation with TAPI, DOST and its attached agencies and other government institutions;

### *6.3 Government Entities*

- 6.3.1 Any Philippine government office, agency or institutions, including, among others, SUCs;
- 6.3.2 Assignee to a Deed of Assignment of a Filipino-owned Patent/UM registration, valid at the time of its application, unless otherwise provided under RA No. 10055;

- 6.3.3 Must have NO overdue obligation with TAPI, DOST and its attached agencies and other government institutions.

## 7.0 Documentary Requirements

The proponent shall comply/submit the following documentary requirements:

- 7.1 Application letter addressed to TAPI Director;
- 7.2 Valid Government-issued ID with birth date;
- 7.3 Barangay Certificate of Residency;
- 7.4 Deed of undertaking of co-implementor, if applicable;
- 7.5 Article of Incorporation, Business registration, and similar documents, for Private Juridical Entities;
- 7.6 Deed of Assignment, if applicable;
- 7.7 Duly signed Data Privacy Consent Form;
- 7.8 Concept paper, such as:
  - 7.8.1 *If machine/device/apparatus* – a disclosure containing but not limited to concept paper, technical drawings or sketches, schematic diagrams, wiring diagrams including the basic components or parts and must show the manner and process of making and constructing;
  - 7.8.2 *If a chemical or food products or process* – a disclosure containing the description of the step by step procedure on how to formulate the product and the conditions being observed in each step (raw materials, preparation of the raw materials, temperature/pressure being observed during the process), chemical compositions in percent weight or volume and concentrations of the reagents used;
  - 7.8.3 *If IT or computer-related concepts comprising programs and/or application tools* – a disclosure containing graphical user interface and flowchart among a few

## 8.0 PROGRAM CRITERIA

The invention shall be evaluated based on the following criteria:

- 8.1 **Technical Viability**
  - 8.1.1 Technical soundness of the inventive idea or concept to be identified by external expert/s – workability and sustainability of materials to be validated by external pool of experts or Inter-Agency Technical Evaluation Committee (IATEC);
  - 8.1.2 Availability of technical description (refer to Item 7.8 above);
  - 8.1.3 Advanced features of the idea or concept over existing same product/invention;
  - 8.1.4 Compliance to environmental and/or any applicable laws and standards, *if applicable*;
  - 8.1.5 Social benefits, *if applicable*.

## **9.0 IMPLEMENTATION PROCEDURES**

- 9.1 Proponent submits proposal to the Office of the Director (OD). The OD forwards the request to the Invention Development Division (IDD) for action;
- 9.2 The Program Manager checks the completeness of the submitted documents based on Item 7.0 above;
- 9.3 If the submitted documents are not complete, the proponent is requested to submit the lacking requirements within forty-five (45) calendar days. If no written response is received within the period, the proposal is considered withdrawn without prejudicial to reapply;
- 9.4 If the documents are complete, the Program Manager acknowledges the submission of the documents;
- 9.5 TAPI forms Inter-Agency Technical Evaluation Committee (IATEC);
- 9.6 The technology will be subjected to an Inventor's Forum with the IATEC to be scheduled by the Program Manager;
- 9.7 If the result of the IATEC is favorable, the request may be endorsed for fabrication of initial working prototype;
- 9.8 The Program Manager will initially identify SUCs that could be tapped as co-implementor of the Program. SUCs with an Innovation and Technology Support Office (ITSO) shall be prioritized;
- 9.9 A Memorandum of Agreement (MOA) among TAPI, the proponent and SUC shall be executed. The terms and conditions concerning the parties' obligations, monitoring, review, assessment and completion shall be stipulated in the MOA;
- 9.10 Once signed and all the documentary requirements are completed, the financial assistance will be released to the SUCs;
- 9.11 A Certificate of Ownership of the working prototype shall be awarded to the inventor upon project completion.

## **10.0 APPLICABILITY**

Other provisions stated in the DOST-GIA Guidelines that was not included in these guidelines but applicable as the case may be.

## 11.0 EFFECTIVITY

All previous guidelines inconsistent with the foregoing provisions are hereby amended/modified accordingly. This order shall take effect after fifteen (15) calendar days from its posting in the Official website of the Institute and submission to the UP Law Center.

Taguig City, Philippines, \_\_\_\_\_.

  
**ATTY. MARION IVY D. DECENA**  
Officer-in-Charge, Office of the Director