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SCIENCE, TECHNOLOGY, RESEARCH AND INNOVATION FOR DEVELOPMENT (STRIDE) PERFORMANCE EVALUATION

Final Report

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ACRONYMS

ADDU	Ateneo De Davao University
AI	Artificial Intelligence
AMELP	Activity Monitoring, Evaluation, and Learning Plan
AR	Annual Report
ASEAN	Association of Southeast Asian Nations
ASITE	Aboitiz School of Innovation, Technology, and Entrepreneurship
BCCI	Bulacan Chamber of Commerce and Industry
BIST	Business Innovation Through Science and Technology for Industry
BSU	Batangas State University
BuSu	Bulacan State University
CDCS	Country Development Cooperation Strategy
CDI	Cities Development Initiative
CDO	Cagayan de Oro
CHED	Commission on Higher Education
CIG	Competitiveness and Innovation Group
CITU	Cebu Institute of Technology -University
CMCI	Cities and Municipalities Competitive Index
COVID-19	Coronavirus disease 2019
CRADLE	Collaborative Research and Development to Leverage Philippine Economy
DCIIC	Davao City Inventions and Innovations Center
DepEd	Department of Education
DG	Director General
DITC	Department of Information and Communications Technology
DLSU	De La Salle University
DOST	Department of Science and Technology
DTI	Department of Trade and Industry
EIP	Export Incubation Program
FEC	Filipinnovation Entrepreneurship Corps
FGD	Focus Group Discussion
FOB	Fairness Opinion Board
FY	Fiscal Year
GAD	Gender and Development
GIA	Government, Industry and Academe
GII	Global Innovation Index
GOP	Government of the Philippines
GRIND	Grassroots Innovation for Inclusive Development
HEIs	Higher Education Institutions
IAS	Innovation Advisory Services
IBR	Innovation for Business Recovery
IC	Industry Clustering
ICO	Innovation Collaboration Office
IE	Innovation Ecosystem
IEA	Innovation Ecosystem Assessment

IMPACT	Intellectual Property Management Program for Academic Institutions Commercializing Technologies
IP	Implementing Partner
IPOPHL	Intellectual Property Office of the Philippines
IR	Intermediate Result
IRR	Implementing Rules and Regulations
iSTRIKE	Innovation Through Science and Technology and Risk Resilient Based Initiatives Toward Knowledge Economy
ITSO	Innovation Technology Support Office
KII	Key Informant Interview
KIST	Knowledge Innovation Science and Technology
KTTO	Knowledge and Technology Transfer Office
LGU	Local Government Unit
MBC	Makati Business Club
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation, and Learning
MLA	Mapping-Linking-Alignment
MOU	Memorandum of Understanding
MSME	Micro, Small, And Medium Enterprise
MSU-IIT	Mindanao State University-Iligan Institute of Technology
NCR	National Capital Region
NEDA	National Economic and Development Authority
NIASD	National Innovation Agenda and Strategy Document
NICER	Niche Centers in the Regions for R&D
NIS	National Innovation System
OROBEST	Optimizing Regional Opportunities for Business Excellence Through Science, Technology, and Innovation
PAASE	Philippine-American Academy of Science and Engineering
PASUC	Philippine Association of State Universities and Colleges
PCIEERD	Philippine Council for Industry, Energy and Emerging Technology Research and Development
PDP	Philippine Development Plan
PH	Philippines
PIA	Philippine Innovation Act
PISI	Platform for Innovating SUCs for Industry
PISA	Programs for International Student Assessment
PPE	Personal Protective Equipment
PRC	Professional Regulation Commission
PSM	Professional Science Masters
PUP	Polytechnic University of the Philippines
QR	Quarterly Report
R&D	Research and Development
R&DLead	Research and Development Leadership
RDC	Regional Development Council
RDI	Research and Development Institutes
RIIC	Regional Inclusive Innovation Centers

SEIPI	Semiconductor and Electronics Industries in the Philippines, Inc
S4CP	Science for Change
S&T	Science and Technology
START	Skills in Technical and Advanced Research Training
STEAM	Science, Technology, Engineering, Agriculture, and Mathematics
STI	Science, Technology, and Innovation
STIP	Science, Technology, Innovation and Partnership
STRIDE	Science, Technology, Research, and Innovation for Development
SUC	State Universities and Colleges
THRIVE	Technological Hive of Regional Innovation for a Vibrant Ecosystem
TIP	Technological Institute of the Philippines
UAC	Understand-Adapt-Connect
UD	Universal Design
UP	University of the Philippines
UP Cebu	University of the Philippines Cebu
UPCS	University of the Philippines College of Science
UPGRADE	UP Mindanao Growing and Developing Enterprises
UPLB	University of the Philippines Los Baños
UP NISMED	University of the Philippines National Institute for Science and Mathematics Education Development
USAID	United States Agency for International Development
USec	Undersecretary
USG	United States Government
USC	University of San Carlos
USTP	University of Science and Technology of Southern Philippines
XU	Xavier University
WARP	Widening Applications of Research within the Pandemic
WIPO	World Intellectual Property Organization

EXECUTIVE SUMMARY

The United States Agency for International Development/Philippines (USAID/PH) commissioned a third-party performance evaluation to understand the extent to which the Science, Technology, Research and Innovation for Development (STRIDE) Activity has met its objective of strengthening science, technology, innovation, and partnership (STIP) in higher education institutions (HEIs) and contributed to the Country Development Cooperation Strategy (CDCS) objectives of “Broad-based and Inclusive Growth Accelerated and Sustained” and “Inclusive, Market-Driven Growth Expanded.” The evaluation provides evidence-based recommendations for USAID’s and the Philippine Government’s next-generation initiatives in science, technology, research, and innovation. STRIDE’s three-year (2018–2021) extension period is the focus. During this extension period, STRIDE adopted a whole-of-community approach that leverages innovation to benefit local enterprises and is expected to spur region-based innovation through Regional Inclusive Innovation Centers (RIICs). STRIDE also promotes a whole-of-government approach to strengthening the innovation ecosystem (IE) through its support for national innovation policy. Both activities promote an IE convergence.

The evaluation design is mixed methods with quantitative and qualitative strands and three levels of analysis. The quantitative strand involved an electronic Capacity to Innovate survey of 70 scholars and grantees and 22 participants in remote focus group discussions (FGD) and an inventory of activities found in STRIDE quarterly and annual report documents for each intermediate result (IR). The qualitative strand used the following data collection procedures: 1) document review and 2) nine (9) remote FGDs with a total of 63 participants, 30 remote key informant interviews (KIIs), and two (2) RIIC case studies with six (6) remote KIIs for a total of 199 respondents, of which 48 percent were women.

The three levels of analysis are: 1) national-level innovation policy analysis; 2) regional-level collaborative framework focusing on the RIICs and other government-industry-academe linkages, including links to the Cities Development Initiatives (CDIs); and 3) individual-level granular analysis (from HEIs and government research and development institutions) of STRIDE interventions and how these have affected IE improvement. The evaluation used mind mapping to generate qualitative information and NVivo software for qualitative data processing. For quantitative data analysis, the evaluation team used descriptive statistics and graphic displays and derived joint display tables. There were three evaluation parameters: relevance, effectiveness, and sustainability. Due to COVID-19-related restrictions, the evaluation was fully remote. The evaluation instruments, evidence, and analysis are contained in a separate document of Annexes and Appendices due to their length and comprehensiveness.

Findings revealed that HEI innovation capacity (IR1) improved more than the two other IRs, but this is likely attributed to the earlier STRIDE investments in intellectual capital. The evaluation team attributes improvement in science, technology, and innovation (STI) to several capacity-building activities. These include the Professional Science Masters (PSM) curriculum workshop, Career Center training, Knowledge and Technology Transfer Office (KTTO) training, Filipinnovation Entrepreneurship Corps (FEC), and Skills in Technical and Advanced Research Training (START).

The regulatory environment (IR2) has an emerging innovation capacity. Although there has not yet been a reform of the procurement law, the research and extension incentives framework designed for HEI is in the pilot stage. The passage of the Philippine Innovation Act (PIA), the new operational

policies at the Department of Science and Technology (DOST), the structural reforms in the Department of Trade and Industry (DTI), and the formation of eight RIICs improved both the national and the regional governments' capacity to innovate (IR3). The breaking of silos (promoting interdepartmental cooperation) and building trust amongst the actors at both the national and regional levels also occurred. The convergence of national, regional, and interdepartmental government efforts concerning innovation is the most significant contribution of STRIDE, according to respondents.

The evaluation team finds that STRIDE activities are relevant and address the country's development challenges. They also align with the USAID Higher Education Program Framework and USAID Policy on Education. RIICs and government-industry-academe (GIA) reaching out to industry and micro-, small-, and medium-sized enterprises (MSMEs) is a first step to creating a strong IE, which the Philippines Development Plan envisions as a prerequisite to increasing the long-term competitiveness of the Philippine economy and attracting high-value industries that provide workers with higher incomes. Capacity-building with local HEI and business communities' participation has built trust among actors. In terms of effectiveness, linkages and collaborations broke down silos between levels of government, government departments, industry, and academia. This supports improved policies for extension services by government, industry, and academe. STRIDE's work and strategy were congruent with Filipino cultural values that drove the success of the RIICs' contribution to change in the IE. One of these values is *kapwa* (shared inner self). Among the levels of *kapwa*, IE actors reached *pakikipaglagayang loob* (acceptance). This led to increased trust among the different actors, supporting the success of the RIIC initiatives. STRIDE's achievements will likely continue after the activity ends because most of the policies and programs it espoused are or are becoming institutionalized. Sustainability is also likely because STRIDE's policy support and interventions align with those of the government.

STRIDE's contributions in achieving the three IRs are expanding the competencies of IE actors and providing space for interaction to practice newly acquired technical knowledge about innovation, addressing the goals of this project. The RIIC is an effective platform for convergence to map, align, and link all innovation actors in the region for inclusive economic growth and business recovery. Start-ups and spin-offs often operate at low levels of innovation, which could be due to mistrust and policy differences between industry and academe. Empowering innovation actors was a powerful strategy for sustainability. Some of STRIDE's performance indicators, such as "strengthening collaboration," are intangibles—hence, defining their metrics is essential.

Nonetheless, ultimate outcomes for an innovation-related activity, research commercialization, patent applications, start-ups and spin-offs are still at an incipient stage. The level of research commercialization is low and as are the number of patent applications, starts ups and spin offs. Key informants and focus group discussants pointed to several constraints on the ultimate outcomes. Most of these constraints are in the regulatory and policy environment. For instance, patent issuance takes an average of two years. University researchers are hesitant to leave tenured positions to focus full-time on commercializing their research given the economic uncertainty in start-ups. Future work on the innovation ecosystem needs to unbundle these constraints and place a greater focus on the commercialization stages in innovation, with the goal of having more patents, trademarks, start-ups, and spin offs.

The evaluation makes the following recommendations based on the findings and conclusions:

- Establish regional START centers that could be based in STRIDE’s HEI partners.
- For HEI interventions, emphasize private universities and small public universities.
- For MSMEs to flourish, there is a need to support start-ups and spin-offs.
- A local training center, similar to the START Center, that addresses the needs of RIICs should be a priority.
- RIICs continue to need policy support in terms of easing business relationships with industry and cultivating trust and confidence (e.g., encouraging disclosure) with innovators at universities.
- To sustain gains in the IE, further operationalize the National Innovation Center and provide rules to access the Innovation Fund.
- Create measurable indicators to monitor and evaluate the role of collaboration in improving the IE.
- Focus future work on the commercialization of innovations.

INTRODUCTION

The United States Agency for International Development/Philippines (USAID/PH) commissioned a third-party final evaluation of the Science, Technology, Research, and Innovation for Development (STRIDE) Activity, which RTI International implemented under Cooperative Agreement AID-492-A-13-00011. Through this evaluation, USAID/PH gathered evidence to gauge the extent to which STRIDE is meeting its objectives of strengthening capacity in science, technology, and innovation in higher education institutions (HEI) in the Philippines. The evaluation also provides insight into how STRIDE has contributed to USAID/PH's Development Objective of "Broad-based and Inclusive Growth Accelerated and Sustained" from the 2015–2019 CDCS and the Development Objective of "Inclusive, Market-Driven Growth Expanded" from the current 2020–2024 CDCS.

The evaluation focuses on STRIDE's three-year extension period. USAID/PH granted this extension period to allow STRIDE to build on its initiatives from the five-year base period; the lessons learned during implementation; and the strong partnerships between government, academe, and industry. STRIDE works to support the Government of the Philippines' (GOP's) *Inclusive Filipinnovation and Entrepreneurship Roadmap* (from its 2017–2022 Development Plan), USAID Policy on Education, and USAID/PH's new higher education program framework. Evaluation results will inform the design of the Mission's next-generation higher education activities.

This evaluation's intended audiences are USAID/PH technical and program office staff; USAID staff worldwide who are interested in higher education programs; and those responsible for and interested in science, technology, innovation, and partnership (STIP) programs and activities. Philippine and U.S. stakeholders—including those in other U.S. government agencies and organizations, the GOP, and higher education in the Philippines, United States, and worldwide—and other researchers and organizations with an interest in higher education and STIP are also primary audiences for this evaluation. Secondary audiences include members of the public in the Philippines and the United States with an interest in higher education and STIP.

DESCRIPTION OF THE PROBLEM AND CONTEXT

STRIDE is an eight-year, USAID-funded program aimed at enhancing innovation-led economic growth in the Philippines through building the university sector's capacity for industry-relevant applied research. STRIDE worked closely with the GOP through the Department of Trade and Industry (DTI), Department of Science and Technology (DOST), Commission on Higher Education (CHED), and HEIs throughout the country; a network of knowledge and technology transfer offices (KTTO) and Career Centers in Philippine universities; and other innovation stakeholders and networks of innovation agents. Geographically, STRIDE implemented different components of the activity throughout the country with a focus on sites that are included in USAID's CDI.

USAID/PH launched STRIDE in response to multiple pressing challenges that the Philippines faces at the global and local levels. These challenges require STIP to promote innovation and upgrading in Philippine industries. They include:

- Intensifying competition from globalization and regional integration
- Increasing natural disasters, environmental degradation, and climate change

- Persistent poverty and increasing inequality

Specifically, the Philippines lacks even the minimum number of scientists and technologists needed for innovation-driven development and faces insufficient investment in science and technology (S&T) human resource development, research and development (R&D), and physical infrastructure. Low levels of innovation-driven development and insufficient investment in S&T result in low industrial and agricultural productivity, overall inefficiency, and meager output of knowledge products such as scientific publications, patents, and innovations. Moreover, long-standing legal, financial, and administrative rules and practices that stifle R&D, innovation, and productivity place a burden on the S&T sector in particular and Philippine society in general and have prevented STIP goals of poverty reduction and sustainable development.

A disconnect occurs between HEIs, as producers of research, and those in the private sector, the consumer of this research, World Bank. 2012. Putting higher education to work: skills and research for growth in East Asia, report states that HEIs in the region “*contribute very little to technology adaptation and upgrading in firms,*” and “*firms often engage in research and development alone or with other groups, but they have very limited collaboration with universities and very few formal university - industry links.*”¹

Mistrust among the innovation actors also is a challenge. According to the IEA (2014), “widespread mutual distrust and disregard between universities and industry introduce significant friction into the innovation ecosystem.”² This implies poor coordination, resulting in a lack of knowledge by the researchers about the needs of the industry. This depresses industry demand for technological products, leading to low patents and general low return to R and D investments. The second IEA (2019) points out that “Industry prioritizes value creation; academia prioritizes knowledge creation; and government prioritizes impact. If the connections are not planned right, the gap broadens, and conflicts come up.”³

STRIDE’s extension phase responds to these challenges with the primary goal of strengthening the science, technology, research, and innovation capacity of, as well as strengthening the linkages among, academe, industry, and government in the Philippines to attain inclusive growth. From 2013 to 2017, STRIDE helped to form partnerships between universities and industry to enhance the Philippines’ capacity for innovation-led economic growth. Innovation was a key component of the Philippines’ national development plans in 2017 in recognition of its importance in driving self-sustaining economic growth. In 2018, USAID/PH extended STRIDE’s period of performance for three additional years, and extended it once more through July 2022, in consonance with its shared vision with the *Philippine Development Plan 2017–2022*. This plan aims to advance the Philippines toward inclusive and sustainable economic growth and development through science, technology, and innovation (STI). With this extension, STRIDE revised its goal and expected results to focus on intermediate results (IRs), new tasks, and greater support from the GOP.

¹ See: Putting higher education to work: skills and research for growth in East Asia accessible at: <http://documents1.worldbank.org/curated/en/402031468261552849/pdf/649520REPLACEM01547B009780821384909.pdf>

² STRIDE Philippines Innovation Ecosystem Assessment, Prepared for the USAID/Philippines/Office of Education, RTI International, November 2014, page 31.

³ STRIDE Philippine Innovation Ecosystem Assessment: 2019 Update, March 2020., page 50.

STRIDE DESCRIPTION AND THEORY OF CHANGE

STRIDE's design sought to address the challenges confronting higher education in the Philippines in the fields of science, technology, research, and innovation. Its overall objective is to strengthen STI capacity in Philippine higher education, with a focus on disciplines that contribute to high-growth economic sectors (e.g., electronics, chemical industries, alternative energy, translational medicine, agri-business, information and communication technologies), to stimulate and accelerate broad-based economic growth.

STRIDE supports the broad goals of improving the STI ecosystem to make the economy more innovative and competitive and take advantage of convergences between USAID and GOP priorities. In the medium to long term, USAID's strategic investments in higher education will strengthen research systems, institutions, and human capacity to boost the STI ecosystem's regional competitiveness; establish robust international linkages to facilitate transfer of technology and expertise, especially with leading U.S. universities; and, most important, build and sustain vibrant collaboration with the private sector. Institutionalizing such collaborations ensures the relevance and quality of university research, training, and teaching; enables the joint pursuit of valuable applied research; and establishes self-sustaining university-business working relationships that foster innovation and growth.

The first five years of the program sought to improve STI faculty and research staff capacity in the HEIs; strengthen partnerships between academe and industry; and strengthen HEI policy and management capacity to improve the STI ecosystem through four IRs. STRIDE subsequently reformulated the original IRs into three "missions": 1) industry/private sector engagement, 2) STI capacity development, and 3) policy and management.

The original three-year extension from July 2018 until July 16, 2021, now extended through July 2022, maintained the overall goal of STRIDE to strengthen STI capacity for inclusive growth in the Philippines. To achieve this goal, STRIDE works toward improvements in three IRs that it redefined during the planning process for the three-year extension. The revised IRs are:

IR1: Improved higher education capacity for innovation

IR2: Improved regulatory environment for innovation

IR3: Improved government capacity for innovation

During the extension period, STRIDE has addressed the IRs as described below.

IR1: IMPROVED HIGHER EDUCATION CAPACITY FOR INNOVATION

This IR builds on and expands STRIDE-supported KTTOs, university Career Centers, and Professional Science Masters (PSM) programs. STRIDE is helping to enhance the mentoring capacity of the original partner universities within these initiatives. Its goal is to transition these universities into powerful mentor-institutions that share their USAID-supported knowledge and expertise with other Philippine universities. STRIDE also continues to develop an STI post-doctoral training center and assists select universities in becoming active participants in the upcoming Regional Inclusive Innovation Centers (RIICs). STRIDE also supports the Philippine Association of State Universities and Colleges (PASUC) in developing innovation diagnostics and programs for its member HEIs.

IR2: IMPROVED REGULATORY ENVIRONMENT FOR INNOVATION

Under this IR, STRIDE supports STI research and policy analysis and implementation toward improved regulatory environments in government and in universities. STRIDE also supports the policy areas of procurement, institutional incentives, and extension for S&T research, and provides support to DOST in capturing the impact of STI investments. Where needed, STRIDE provides training in formulating and executing policy.

IR3: IMPROVED GOVERNMENT CAPACITY FOR INNOVATION

To accomplish this IR, STRIDE is strengthening the GOP's innovation ecosystem (IE) development efforts by providing targeted technical assistance to agencies and institutions that are central to the IE. STRIDE also assists in selected regions and sectors that government agencies identify in the *Inclusive Filipinnovation and Entrepreneurship Roadmap*. STRIDE's work under this IR continues to provide technical assistance and support to strengthen the links between industry, academe, and government. STRIDE organizes targeted innovation workshops and forums and provides the capacity-building and convergence meetings needed to sustain such tasks into the future.

STRIDE RESULTS FRAMEWORK

STRIDE uses a results-based framework (Figure 1) to monitor and manage progress. This framework sets out 1) development outcomes, 2) results, and 3) metrics that STRIDE uses to measure effectiveness and efficiency. The results framework shows the hierarchy of STRIDE's expected results. The three main components of STRIDE, as represented by the IRs, are 1) improving higher education capacity for innovation, 2) improving the regulatory environment for HEIs, and 3) improving government capacity for innovation. Figure 2 details additional tasks for STRIDE to complete during Year 8 (2021–2022), beyond those listed in Figure 1, as follows:

IR 1. IMPROVED HIGHER EDUCATION CAPACITY FOR INNOVATION

Tasks for this IR will further institutionalize STRIDE-supported KTTOs, university Career Centers, and PSM programs. STRIDE is enhancing the mentoring capacity of the original partner universities for these initiatives with the goal of transitioning them into powerful mentor-institutions that share their USAID-supported knowledge and expertise with other Philippine universities.

STRIDE, with a partner institution, is further developing an STI training center for research faculty and staff. STRIDE is engaging the PASUC to help define and implement policies to increase innovation output from publicly funded HEIs. An R&D grants program supports previous STRIDE grantees as they expand their research applications within the context of the pandemic.

IR 2. IMPROVED REGULATORY ENVIRONMENT FOR INNOVATION

STRIDE supports STI R&D policy and regulatory improvements in government and in HEIs. Where necessary, STRIDE provides support or training for both policy formulation and execution.

IR 3. IMPROVED GOVERNMENT CAPACITY FOR INNOVATION

Activities under this IR strengthen the GOP's IE development efforts by providing targeted technical assistance to agencies and institutions that are central to the IE. STRIDE will transfer inputs and good

practices to government ownership to serve as strengthened systems for further investment and growth in this area.

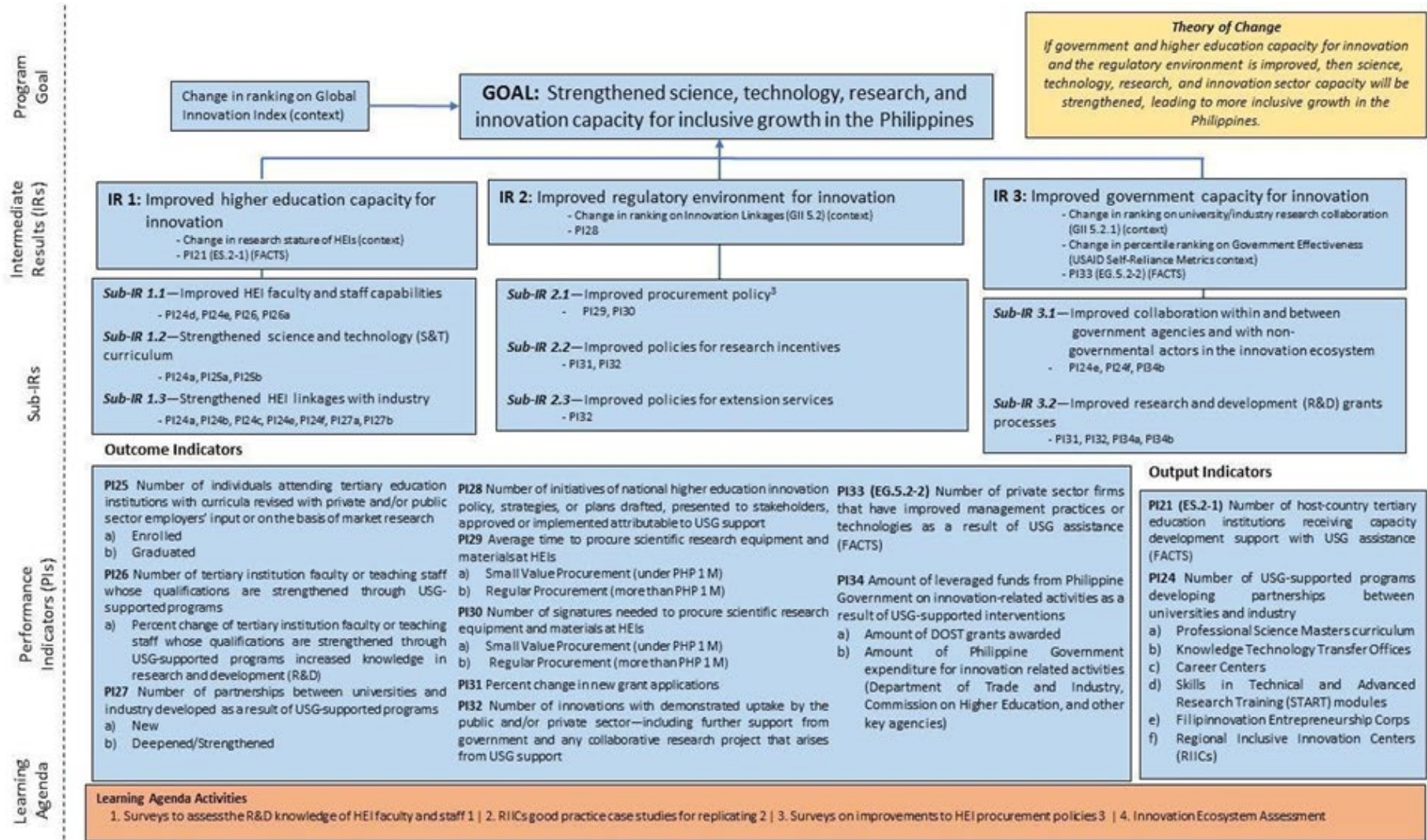


Figure 1. Results-based Framework
 Source: STRIDE Annual Report 2020

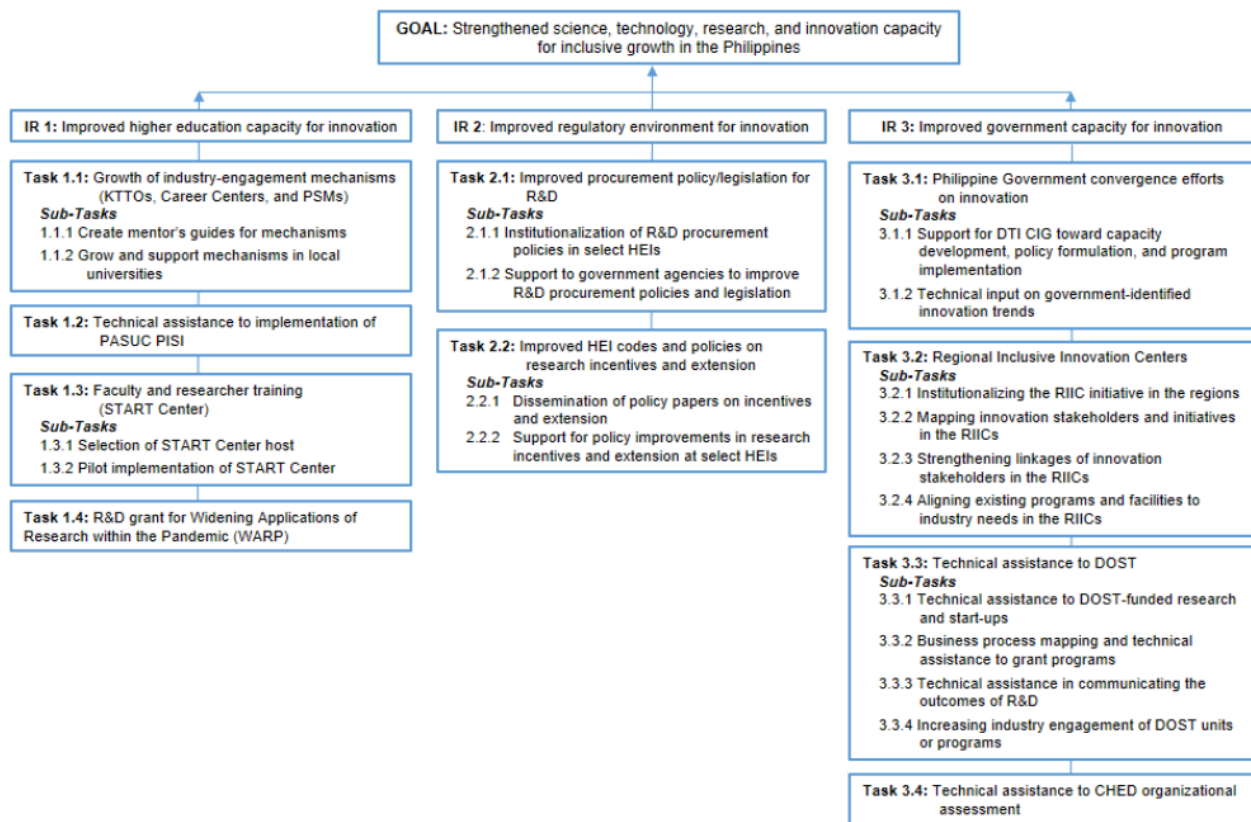


Figure 2. Relationship of STRIDE Tasks to IRs and Program Goal
 Source: 2020 STRIDE Annual report

STRIDE EVALUATION QUESTIONS

This independent, external performance evaluation addresses activities from the extension period only, although outputs from the first five years are necessary conditions for the extension-phase activities. The evaluation focuses on STRIDE's performance in achieving its stated objectives in relation to its three IRs. The questions focus on STRIDE's relevance, effectiveness, and sustainability, and incorporate learning questions from STRIDE's Activity Monitoring, Evaluation, and Learning Plan (AMELP). The evaluation incorporated inputs from consultations with the USAID/PH Office of Education and the implementing partner (IP) into these questions and the subsequent evaluation design.

The following are the key questions per evaluation criterion. The evaluation team used 15 sub questions to gather information for answering key questions; we discuss these in the findings section below.

1. **Relevance (new context of the extension):** In what ways has STRIDE contributed to addressing the development challenges as outlined in the *Filipinnovation Roadmap* of the *Philippine Development Plan (PDP) 2017–2022*, USAID Policy on Education, and USAID higher education program framework?

2. Effectiveness (original context of STRIDE): In what ways did STRIDE contribute to achieving the three IRs on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?
3. Sustainability (new context of the extension): What is the likelihood that initiatives and gains will continue after completion of the project?

EVALUATION DESIGN AND METHODOLOGY

The evaluation design used mixed methods and included three levels of analysis: 1) national-level innovation policy analysis; 2) regional-level collaborative framework focused on the RIICs and other government-industry-academe (GIA) linkages; and 3) individual-level analysis from HEIs and research and development institutes (RDIs) regarding STRIDE interventions and their effects on IE improvement. Table 1 shows the data sources for performance indicators, Table 2 contains data collection methods and the number of respondents per unit of analysis, and Table 3 describes the data processing tools and methodology.

TABLE 1. DATA SOURCES FOR PERFORMANCE INDICATORS

SOURCES OF DATA	IR1: IMPROVED HEI CAPACITY FOR INNOVATION	IR2: IMPROVED REGULATORY POLICY FOR INNOVATION	IR3: IMPROVED GOVERNMENT CAPACITY FOR INNOVATION
STRIDE ANNUAL REPORTS/ WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)	6	5	8
STRIDE 2021 QR FOR ADDITIONAL TASKS/ OTHER POLICY DOCUMENTS	6	5	14

Matrix of Performance Indicators and detailed discussions are in Annex A.

TABLE 2. PRIMARY DATA COLLECTION METHODS AND NUMBER OF RESPONDENTS

DATA COLLECTION METHODOLOGY	NATIONAL LEVEL	NUMBER OF RESPONDENTS		
		GOV'T	REGIONAL LEVEL INDUSTRY	INDIVIDUAL LEVEL (HEIS)
Quantitative				
• Online Survey		11	11	70
Qualitative				
• Key Informant Interview (KII) (*Private, *Small Univ., **Private and Small Univ.)	7	12		11 (45.5%*, 27.3%**)
• Focus Group Discussion (FGD)				
○ RIIC		13	9	9
○ GIA		7	14	11
Case Study		6		
Total Respondents (N = 199)	7	49	34	109
Percent Distribution	3.24	23.78	18.38	54.59
Percent Female Respondents	43	51	53	44

The list of study respondents is found in Annex B.

The evaluation team collected quantitative data for two groups through an online *Capacity to Innovate*⁴ survey. Set A was for HEI scholars and grantees. A total of 70 (55 percent) responded to the online survey out of a population of 126 scholars and grantees. Set B consisted of participants in the focus group discussions (FGDs) for both the RIICs and the GIAs. A total of 22 out of 63 people (35 percent) responded to this survey. STRIDE provided the evaluation team with a list of HEI scholars and grantees. Annex B provides a list of all FGD participants. Results of Set A are found in Annex C, while tabular data for Set B are in Annex D.

Qualitative data came from 30 key informant interviews (KIIs) and nine FGDs, engaging a total of 63 participants for the latter. The four sample regions were the National Capital Region (NCR) and Regions 4-A, 7, and 10. The case study regions for the RIIC case study were Regions 11 and 3. The evaluation team conducted six KIIs in the case study regions. The national-level KII respondents were undersecretaries of the DOST, the DTI, assistant secretary of the National Economic and Development Authority (NEDA), president of PASUC, director general of Intellectual Property Office of the Philippines (IPOP), president of SEIPI (a private firm), and executive director of the CHED. The regional KII respondents, including case study regions, were regional directors of DOST, DTI, and NEDA. KII respondents from HEIs were presidents, chancellors, or vice presidents for R&D and other similar positions from the sample universities. FGD participants were business leaders who participate in the RIICs and GIA, technical personnel from academe and regional government offices, and local government elected officials. Annex B provides a list of all FGD participants; they are currently the major in the IE. The percentage of women respondents ranged from 43 percent at the national level to 53 percent at the industry level.

TABLE 3. DATA PROCESSING METHODS, BY UNIT OF ANALYSIS

METHOD	UNIT OF ANALYSIS		
	NATIONAL	REGIONAL	HEI
QUALITATIVE	Content analysis, NVivo, mind map	NVivo, mind map, content analysis	NVivo, mind map, content analysis
QUANTITATIVE	Not applicable	Descriptive stats, graphic displays	Descriptive stats, graphic displays
MIXED	Graphic display by quantizing qualitative variables	Joint display, graphic display by quantizing qualitative variables	Joint display, graphic display by quantizing qualitative variables

The evaluation team processed and analyzed the qualitative data it collected using mind map and NVivo software and conducted content analysis. Five analysts coded all the information gathered from KIIs and FGDs. To ensure consistency in coding the KII and FGD information, the evaluation team followed these steps: use of codebook; two cycles of coding for each analyst; estimating interrater reliability using the NVivo 9 software collaboration cloud; and validating the codes that were used and themes the entire group generated. The interrater reliability ranged from .80 to 1.00, which indicates reliable coding of the information (Annex I).

⁴ The evaluation team adapted the Eurostat Community Innovation Survey 2014 to create the survey used in this evaluation. See <https://circabc.europa.eu/ui/group/47133480-29c1-4c23-9199-72a631f4fd96/library/32ab7d19-446e-404c-9ea5-e2524065b2a0/details>

The evaluation team analyzed quantitative data using descriptive statistics and graphics. Since this was a performance evaluation study, the team looked for evidence rather than statistical significance. This is consistent with USAID guidance for monitoring and evaluation in the program cycle.⁵ The evaluation team also used joint displays that combined qualitative and quantitative information into the same graphics for a mixed-methods approach to the analysis.

PERFORMANCE INDICATORS-FINDINGS

GOAL - STRENGTHENED STI

STRIDE’s context indicators (Table 4) provide a comparative look at innovation in the Philippines. indicators.

The Philippine ranking in the Global Innovation Index (GII) increased from 54th in 2019 to 50th in 2020 and dropped slightly to 51st in 2021. The country’s ranking on innovation linkages increased from 2018 to 2020, from 93rd to 64th. However, there was no observed change in percentile ranking on government effectiveness (USAID self-reliance metrics) from 2018 to 2019, and there are no data available after this period. The ranking on the university/industry research collaboration indicator increased from 2018 to 2019 but declined slightly in 2020.

TABLE 4. GLOBAL INNOVATION REPORT AND STRIDE’S CONTEXT INDICATORS			
INTERMEDIATE RESULTS	PERFORMANCE INDICATOR BASED ON REVISED FRAMEWORK	PERFORMANCE BASED ON GII RANKING	SOURCE
IR 1	QS (Quacquarelli Symonds) Asia university ranking	2018: 112 th 2019: 126 th 2020: 133 rd	
	P121(ES2.1) FACTS		
	QS university ranking	51 (An income group strength)	WIPO GI, 2020. p.308
IR 2	Change in ranking in innovation linkages	64	WIPO GI, 2020. p.308
IR 3	Change ⁶ in ranking on university/industry linkages	27 (An income group strength)	WIPO GI, 2020. p.308
	Change in percentile ranking on government effectiveness	68 (An income group strength)	WIPO GI, 2020. p.308

The Philippine Government’s convergence efforts on innovation represent STRIDE’s most significant contribution, according to respondents. Some of the convergence efforts that STRIDE supports with technical assistance are: 1) implementation of the DTI-DOST *Inclusive Filipinnovation and Entrepreneurship Roadmap*; 2) support for the Inclusive Innovation Conference 2018 and the launch of the *Filipinnovation Roadmap* and the expansion of the DTI-DOST partnership on innovation with five (5) more government agencies; 3) HEI innovation and ideation workshops; 4) support for the DTI Project Management Office and Innovation Collaboration Office (ICO); 5) providing technical inputs for

⁵ <https://usaidlearninglab.org/monitoring-toolkit?tab=2>

⁶ Ranking may increase but the real metrics compare the target percentage of change from 2018, 2019, 2020, 2021–Q1 and Q2.

formulating the implementing rules and regulations of the Philippine Innovative Start-Up Act and the Philippine Innovation Act; 6) inputs on the DTI position papers related to innovation and support for the Inclusive Innovation Conference 2019; and 7) policy support for DOST as co-developer of alternative metrics for capturing outcomes of DOST-funded research and technical assistance in communicating the benefits of R&D investments to the public.

IR 1. IMPROVED HIGHER EDUCATION CAPACITY

IR1 has three sub-IRs: Sub-IR 1.1 Improved HEI faculty and staff capabilities; Sub-IR 1.2 Strengthened science and tech curricula; and Sub-IR 1.3 Strengthened HEI linkages with industry. It has five performance indicators. IR1 has the highest level of improvement in the capacity to innovate among the three IRs. Table 5 summarizes STRIDE’s performance in meeting its indicator targets. Annex A.1 provides full details on performance indicator baselines, targets and actuals.

TABLE 5. SUMMARY OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS OF STRIDE INDICATORS, IR1

SUB-IR	INDICATORS	PERFORMANCE RELATIVE TO INDICATOR TARGETS
Sub-IR 1.1 Improved higher education capacity	PI21 (ES.2-1). Number of host-country tertiary education institutions receiving capacity development support with U.S. Government (USG) assistance	STRIDE provided all the capacity development programs, such as KTTOs and PSM, to the intended institutions. STRIDE created additional new programs, such as Filipinnovation Entrepreneurship Corps (FEC), Career Centers, and Skills in Technical and Advanced Research Training (START) Center.
	PI24. Number of tertiary education institution faculty or staff whose qualifications are strengthened through USG-supported, STI-related training programs	STRIDE has almost achieved the target for this indicator and has made up some ground since the start of Q1. Although COVID was one factor in the delays in meeting this indicator’s target, other factors such as scheduling issues, delays in contracting and procurements, and other administrative issues also contributed to slower progress on this indicator.
Sub-IR 1.2 Strengthened science and tech curricula	PI16. Number of USG-supported tertiary programs with curricula revised with private or public-sector employers’ input or on the basis of market research	STRIDE achieved its minimum target of two PSM curricula and created an additional PSM in Q1 2021.
	PI25. Number of individuals attending tertiary education institutions with curricula revised with private and/or public-sector employers’ input or on the basis of market research	STRIDE has three sub-indicators for PI25: percentage of students who graduated, new enrollees, and attending students. In 2020, STRIDE did not reach its target but STRIDE has made up some ground in Q1 2021.
Sub-IR 1.3 Strengthened HEI linkages with industry	PI26. Number of new partnerships between tertiary education institutions, government, or private sector firms developed as a result of USG-supported programs	This indicator measures the number of new GIA partnerships. STRIDE exceeded its target for this indicator. The partnerships formed were the result of activities under PI24 and P16.

ADDITIONAL TASKS IR1 (STRIDE REVISED FRAMEWORK, MAY 21, 2021)

There are four additional tasks and two subtasks for the IR1 listed in the 2020 STRIDE Annual Report.

The additional tasks are: 1) growth of industry-engagement mechanisms (KTTOs, Career Centers, and PSMs); 2) technical assistance for implementing PASUC's Platform for Innovating SUCs for Industry (PISI); 3) faculty and researcher training (START Center); and 4) R&D grant for widening applications of research within the pandemic (WARP).

For task 1, the evaluation team finds that the high level of engagement between academe and industry, as shown by an increased number of KTTOs and Career Centers, can support local labor markets with the competencies required for economic growth. STRIDE completed this task's objectives by carrying out its two subtasks: creating mentors' guides for engagement mechanisms and growing and supporting mechanisms in local universities. The guides and courses have increased the numbers of KTTOs, PSMs, and linkages. Although completing this subtask achieved STRIDE's objectives, the last two years of STRIDE's second phase forced all participants to attend these programs remotely.

The second task, regarding technical assistance for implementing PASUC's PISI 4.0, began with STRIDE and PASUC conducting several diagnostic assessments of SUCs. Of the 12 pillars of innovation in the assessment frameworks, PISI adopted the four that emphasize intellectual capital. STRIDE's diagnostic tool serves as a metric to assess PASUC members on activities that foster innovation with an emphasis on academic capacity. This metric may be expanded to include other innovation pillars that focus on increasing the competencies of HEI actors in the IE.

In task 3, STRIDE established the Skills in Technical and Advanced Research Training (START) Center in Q2 2021. The Center serves as a local training institution that enhances R&D competencies of Filipino researchers and faculty members. This was part of STRIDE's sustainability plan, with the goal of continuing what STRIDE began. As Dr. Abendan explained in a context validation meeting, "*START was originally a sustainable plan but there were issues (e.g., which institutions to include) in its implementation.*" The START Center began in Q1 2021. STRIDE made sub-awards for additional centers to two universities in the NCR region during Q3 2021. The evaluation team recommends assessing capacity to start local training centers for HEI in other regions to increase the number of research training providers.

The R&D Grant for WARP is the last additional task in IR1. The R&D Grant for WARP seeks to enable HEIs to apply results of their research activities toward solutions that are appropriate to or adaptable within the "new normal" operating environment. STRIDE received 26 proposals from eligible previous grantees and made grant awards to five Philippine universities.

IR 2. IMPROVED REGULATORY ENVIRONMENT FOR INNOVATION

IR 2 has one Sub-IR 2.1, four indicators, two additional tasks, and four subtasks. Annex A.1 provides full details on performance indicator baselines, targets and actuals.

The regulatory enabling environment for innovation has slightly improved. Changes to policy and regulatory environments are not often realized in a short time. There are other factors—such as legal reforms, increased capacity in government for innovation policy, and a strong innovation leader—that should accompany successful changes to policy and regulatory environments. Thus, while STRIDE has pushed for both the procurement and the HEI R&D framework to improve the regulatory

environment’s capacity to innovate, uptake will take time. Government agencies, particularly DTI and DOST, have embraced policy changes to improve the IE.

TABLE 6. SUMMARY OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS OF STRIDE INDICATORS, IR2

SUB-IR	INDICATORS	PERFORMANCE RELATIVE TO INDICATOR TARGETS
Sub-IR 2.1 Improved regulatory environment for innovation	PI27. Number of initiatives for innovation policy, strategies, or plans approved or implemented that are attributable to USG support	STRIDE met its target for this indicator, providing technical assistance for national policy development, DOST/DTI policy reforms, proposed R&D framework, and Regional Development Council (RDC) resolutions for the RIICs.
	PI28. Percentage change in time to procure scientific research equipment and materials at HEIs (with emphasis on time reduction)	STRIDE did not report on this indicator during 2020. STRIDE has proposed dropping this indicator and it is not included in 2021 Q1-Q3 PI Table (Annex A).
	PI29. Percentage change in required number of signatures needed to procure scientific research equipment and materials at HEIs	STRIDE did not report on this indicator during 2020. STRIDE has proposed dropping this indicator and it is not included in 2021 Q1-Q3 PI Table (Annex A).
	PI30. Percentage change in new Science for Change (S4CP) grant applications	This indicator measures the level of activity (applications received) in the first four RIIC pilot regions under different S4CPs. The proposed revisions to the STRIDE AMELP will drop this indicator because the timelines of the call for proposal and STRIDE’s reporting do not coincide.

ADDITIONAL TASKS

There are two additional tasks and four subtasks for the IR2 listed in the 2020 STRIDE Annual Report.

The additional tasks are: 1) improved procurement policy and legislation for R&D, and 2) improved HEI codes and policies on research incentives and extension. The subtasks under task 1 are 1) institutionalization of R&D procurement policies in select HEIs that do not have them yet; and 2) support for government agencies to improve R&D procurement policies and legislation, where activities are still ongoing. For task 2, the first subtask is dissemination of policy papers on research incentives and extension. This subtask is complete, and the recommendations presented in these papers could serve as a foundation or blueprint for designing future strategic plans to increase SUCs’ capacity for innovation. Given the pandemic-driven landscape in which SUCs currently operate, STRIDE’s papers also provided a lens on the role of SUCs in mitigating COVID-19. It describes research and academic extension activities as the most tangible platforms for SUCs to demonstrate their ability to deal with unexpected crises, such as the pandemic.

The second subtask is support for policy improvements in research incentives and extension in select HEIs. This is still ongoing and is very promising, especially with the planned expansion. Mindanao State University-Iligan Institute of Technology (MSU-IIT) has an ongoing pilot for policy improvement based on STRIDE’s policy paper. The pilot involves a four- to six-month “change readiness review” to revamp the current Research and Extension Manual to conform with STRIDE’s policy document (2021 QR1 STRIDE). Once successful, these policies can be adopted in other SUCs and private universities.

Technology transfer, commercialization, collaborative activities with the private sector, and community adoption of university-generated technologies were identified as mechanisms that propel S&T extension to the forefront of innovation. Recommendations from stakeholders included creating metrics to measure social impact, especially for S&T extension work, and creating a central database to store university-produced innovation and technologies that stakeholders can easily access. This is an ongoing activity through the RIIC.

“We have to do something with research because Xavier University is a teaching university, but we are moving to research, and we are still in the transition.” (Xavier University representative).

We also found during these consultations that *“Research incentives are not merely confined to monetary awards. Instead, researchers are keener and more inspired to perform R&D activities if the structural and institutional support is present in the HEI environment.”* (2019 STRIDE Annual Report, p. 49).

The evaluation team asked online survey respondents (Set B) to assess improvement in the regulatory environment for innovation at their institutions. Table D.19 summarizes these results. The most common answer was “new laboratories, institutions, and training programs” (64 percent), followed by “improved scientific workforce (people services)” (54 percent) and “science-based guidelines” (50 percent). Lagging behind was “improved approval for utility model” (27 percent), “improved application for utility model” (31 percent), “improved approval for intellectual property patent” (31 percent), and “improved procurement policy” (31 percent). These findings support the qualitative data that commercialization activities still need more policy support and demonstrate the weakness of extension/technology transfer policies.

IR 3. IMPROVED GOVERNMENT CAPACITY FOR INNOVATION

This IR has one Sub-IR, which is improved government capacity for innovation. It has five performance indicators, four tasks, and ten subtasks. Assessment of IR3 shows that it has achieved a level of improvement higher than IR2 but lower than IR1. A summary of findings, conclusions, and recommendations for these IR indicators appears in Table 7. Annex A.1 provides full details on performance indicator baselines, targets and actuals.

TABLE 7. SUMMARY OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS OF STRIDE INDICATORS, IR3.

SUB-IR	INDICATORS	PERFORMANCE RELATIVE TO INDICATOR TARGETS
Sub-IR 3.1 Improved government capacity for innovation	PI31. Number of public sector-funded programs or offices that have improved management practices or technologies as a result of USG assistance	The number of public-sector-funded programs or offices that have improved management practices or technologies as a result of USG assistance reached 50 percent of its life of project target in 2020. Five government agencies, mostly in Mindanao, highlighted improvements in their own management practices and operational activities with STRIDE-related assistance. This indicator did not have data for Q3 2021. STRIDE did not meet its LOP target in this performance indicator but most of the agencies or offices that received STRIDE interventions were the prime movers in establishing pilot RIICs in Region 5 (DTI), Region 10 (DOST), and Region X1 (DTI, CHED) (AR 2020, p.21). In the future, other agencies, such as the Department of Agriculture (DA), can also expand IE.
	PI32 (EG.5.2-2): Number of private-sector firms that have improved management practices or technologies as a result of USG assistance.	STRIDE achieved 40 percent of its life of project target in 2020 and 133 percent during Q3 2021. Five local firms have shown improvements in their own management operations with STRIDE-related assistance. Additional firms under the RIICs are currently seeking improvements in the Innovation for Business Recovery activity in response to the pandemic. STRIDE interventions in many micro-, small-, and medium-sized enterprises (MSMEs) affected different facets of private firms' operations and processes (2021 QR3, p. 10).
	PI33. Amount of mobilized funds from the Philippine Government for innovation-related activities as a result of USG-supported interventions	STRIDE achieved 24 percent compared of its life of project to date. This indicator's target will be modified pending approval of the new STRIDE AMELP.
	PI34. Number of government staff whose qualifications are strengthened through USG-supported, STI-related training programs	The number of government staff whose qualifications were strengthened through USG-supported, STI-related training programs increased by 125 percent for those who enrolled from base year to 2020 and 37 percent for those who completed the training. The number of people who completed the training programs increased in Q3 2021 but the number of people enrolled has declined. The decline in enrollment is due to various factors, including the COVID-19 pandemic.
	PI35. Number of established RIICs	STRIDE achieved its target number of RIICs (AR 2020, p. 22). In partnership with DTI, DOST, NEDA, and other stakeholders, STRIDE supported establishment of eight RIICs in Regions 2, 3, 4A, 5, 7, 9, 10, and X1 to accelerate collaboration and linkage activities. Sustaining RIICs means providing a platform in which all stakeholders can interact.

The four additional tasks of this IR are the following: 1) Philippine Government's convergence efforts on innovation; 2) the RIICs; 3) technical assistance to the DOST; and 4) technical assistance to CHED. The subtasks for the convergence include supporting DTI's Competitiveness and Innovation Group for capacity development, policy formulation, and program implementation. The evaluation team found

all these activities were complete and relevant. Another subtask involves technical input on government-identified innovation to create synergy and alignment among agencies, such as the DTI, DOST, IPOP, NEDA, and CHED. STRIDE provided technical support for the development of the roadmap by co-organizing FGDs with the manufacturing, services, and agriculture sectors.

STRIDE achieved task 2, establishment of the eight RIICs. Pilot RIICs are doing very well, and we have found that they are expanding the IE. This task has four subtasks, one of which is institutionalizing the RIIC initiative in selected regions. Seven out of eight RIICs have Regional Development Council (RDC) resolutions for policy support. A second subtask involves mapping innovation stakeholders and initiatives in the RIICs. A third subtask is strengthening linkages among innovation stakeholders in the RIICs. The last subtask is the alignment of existing programs and facilities to industry needs via the RIICs.

Task 3 concerns technical assistance to DOST. It has four subtasks. The first is technical assistance to DOST-funded research and start-ups. The second subtask involves mapping business processes and providing technical assistance to grant programs. This subtask has completed outputs, such as a grants management system, to include an operations manual with proposed R&D process improvement indicators); a proposed harmonized GIA competency framework and communication plan; and the case study for the CRADLE Program. Another subtask, providing technical assistance in communicating the outcomes of R&D, has produced social media platforms, policy briefs, and other materials that relay research outputs in easy-to-understand terms. Inputs focused on the role of communication in supporting research monitoring and evaluation (M&E). This subtask has very satisfactory results and DOST is adopting the system. The last subtask concerns increasing industry engagement of DOST units or programs. One DOST program that has embraced this is the Collaborative Research and Development to Leverage the Philippine Economy (CRADLE), which is DOST's leading grant initiative for industry-academe linkages. From a small number in 2020, this year (2021) CRADLE proposals at the national level totaled 123 (KII with DOST undersecretary [USec] 2021).

The last additional task is technical assistance to CHED for an organizational assessment. The study team is completing data collection and analysis this quarter (QR3 2021), which is taking longer than expected due to limited data available from CHED and difficulties conducting interviews during the pandemic. CHED has a significant role in the IE, and the assessment is important for supporting STRIDE's continuing engagement of the CHED.

CASE STUDY: A TALE OF TWO RIICs

Because RIICs form such a large part of STRIDE's work during the extension period, the evaluation conducted case studies of two RIICs, one mature (Region 11) and one emerging (Region 3), to provide insight into their experiences in terms of: 1) the process of forming the RIIC and the factors that brought the actors together; 2) the nature of interactions among actors as the RIIC activities are implemented; and 3) the challenges and opportunities that will strengthen the partnerships, linkages and collaborative activities as they move forward. The case study explores the elements that bring key STI players from government, industry, and academe together toward strengthening the IE and collaborating and partnering via the RIICs.

Each RIIC is unique, with community, culture, and local conditions as the main drivers for their formation. STRIDE’s method of experiential, community-driven, and participatory approach to the formation process inspired each RIIC response. This differed from the national government’s usual top-down, prescriptive approach. The stories of these RIICs appear in Boxes 1 and 2.

Box 1: The case of RIIC Region XI (Davao-based)

RIIC Formation processes:

“Empowering the MSMEs will lead to a more vibrant, inclusive, and resilient Davao Region”—this was the motivation for establishing an RIIC in Davao Region, which an RDC XI resolution affirmed. Early on, in 2006, Davao Region adopted the Industry Clustering (IC) Strategy as a development platform to enable the region to participate in the Association of Southeast Asian Nations (ASEAN) Economic Community and global value chains. This trailblazing effort has prepared a solid foundation for the RIIC to thrive, with key stakeholders from national and local governments, private sector, and academe. Proponents viewed the initial conditions for the success of the RIIC’s formalized collaborations as: 1) the *already* established network of key stakeholders to implement and improve the Region’s IC strategy though working initially in silos focused on the agencies’ respective mandates; 2) the technical assistance that STRIDE provided; and 3) the increasing demand for innovation following the emergence of the Industry 4.0 and the rise of digital economies. From a partner standpoint, the planning challenge was the coordination among lead implementors and partners. The technical assistance STRIDE provided was crucial for identifying innovation players and building innovation collaboration among key agencies and partners through various avenues for greater collaboration, such as the Ideation workshops, among others.

RIIC Implementation:

The Region XI RIIC built on the activities of the Food Processing Innovation Center (FPIC) in Davao, which was established in 2014. The FPIC is a partnership between the government, including the local government of Davao, and industry, based in the Philippine Women’s College. It serves as an innovation hub in the Region, providing technical expertise, technologies, and facilities that specialize in the product development of both fresh and processed foods. However, the RIIC intervention is key to boosting the capacities of institutions for innovation and the development and scaling-up of MSMEs and start-ups. Having been integrated in the RIIC’s innovation networks, the FPIC benefits from the expanded linkages with MSMEs and other innovative product and service providers, increasing its clientele and improving its services. By far, the gains of the RIIC XI are three-fold: 1) the mapping of the innovation landscape in the Region; 2) the Innovation for Business Recovery (IBR) project, which helps businesses survive, recover, and thrive amid the pandemic (including “shop-floor solutions” with the partnership of MSMEs and University of the Philippines [UP] Mindanao); and 3) formulation of the iSTRIKE Davao Strategic Plan for 2021-2025, which will define the RIIC’s strategic direction for the next five years. Initial acceptance and developing a culture of innovation were major blocks in the start-up phase of RIIC implementation.

Sustainability Challenges:

At two years old, the RIIC Region XI has taken a huge leap toward sustainability via the iSTRIKE Davao, which formalized the RIIC collaborative framework, with the active support of champions in the GIA IE. Sustaining this convergence will depend on assessing the effectiveness of the management measures being implemented. The Davao City Inventions and Innovations Center (DCIIC), established through a landmark city ordinance, also boosts awareness of and support for the RIIC. DCIIC will complement the RIIC’s initiatives in providing innovators and start-ups with a venue for accessing goods, services, and capital to develop and promote their inventions and innovations. Passion, commitment, and trust, especially among the lead actors in government (i.e., DTI, DOST, DICT, CHED), will drive the RIIC’s stability and sustainability.

Sources of data: KII with Regional Directors (Region XI) of DTI, DOST, NEDA; FGD with Region XI RIIC sectoral representatives.

Box 2: The case of RIIC Region III (Bulacan-based)

RIIC Formation processes:

STRIDE established RIIC Region III in the second round of RIICs. According to the DOST III regional director, the inspiration to establish RIIC III was the business recovery plan that he learned of during the presentation of the Optimizing Regional Opportunities for Business Excellence Through Science, Technology, and Innovation (OROBEST) (Region X) in the pilot round. From his perspective, the recovery plan will help MSMEs to recover from the pandemic. Other RIIC III partners also believed that convergence among key stakeholders from government, industry, and academe can harmonize all resources for innovation toward competitiveness of local businesses and economic development in the region. This is the RIIC's promise to them. Like the Davao case, these sectors were working together before STRIDE approached them, but they were all independent programs and converged only when STRIDE established its RIIC model. The Region III RIIC now sets out to strengthen the region's IE by improving stakeholder access to innovation and creating platforms for dialogue, collaboration, and partnerships that would contribute to inclusive and sustainable development of the region. RIIC is considered a one-stop shop where MSMEs can scout for specific assistance, making HEI and RDI work more demand-driven.

RIIC Implementation:

Improved partner relations are the measure of success for this one-year project that was formally established in September 2020. The Bulacan Chamber of Commerce and Industry (BCCI) and the Philippine Chamber of Commerce North Luzon were ready to take on the opportunities of the RIIC. RIIC III also just launched the web based THRIVE Central Luzon app, based in Bulacan State University, that can increase the RIIC's assistance coverage by removing physical boundaries. Even though it is still in an early stage, RIIC Region III has achieved an important level of cooperation between the government and private sector. It is hoped that with the recent creation and launching of a website more people will become aware of its presence in the region and avail of the services it has to offer. CHED's presence is felt in RIIC Region III largely due to the RD's outgoing personality and close personal relationship with other members of the government panel through their active support for the Higher Education Agenda in the RDC III. Coordination with HEIs, in terms of R&D, is easier because of CHED's commitment to the institutional partnership, which is not yet seen in other RIICs. CHED's regional director, together with the other regional directors and SUC presidents composing the RIIC, are also members of the RDC. This is true in all regions. "Together with the government's wherewithal, the willingness of the parties (public and private) to cooperate and collaborate for a common and noble pursuit makes this project worthwhile," according to the regional director of DTI III.

Sustainability Challenges:

The actors believe that, to make the RIIC sustainable, industry should be at the helm, which is similar to systems in the Netherlands and Germany that empower MSMEs. Chambers of commerce should support the RIIC. This has begun with creating the position of the vice president for innovation at the BCCI. The chambers already have their own partnerships because they saw the potential to push MSMEs to serve not only in their region but also within greater Metro Manila. It was also noted that strategies for attracting partners will depend on the current partnership's performance. Once its worth is proven, they will welcome participation of local government units (LGUs) and other prospective investors to expand the RIIC's services and further its utility to the MSMEs.

Sources of data: KII with Regional Directors (region III) of DTI, DOST, NEDA; FGD with RIIC Region III sectoral representatives

EVALUATION FINDINGS

More than ten years ago, the National Innovation System (NIS) recognized the value of innovation as a strategy for poverty reduction in the Philippines. The NIS framework, which DOST introduced in 2007, was a means to enhance the nation's innovation performance and competitiveness (KII with DOST). But during that time, innovation efforts were fragmented and did not connect the players—the producers and consumers of technology. A DOST policy review in 2007 identified the NIS flaws as weak public-private collaboration in R&D; a weak technology transfer system; issues related to technology ownership and information sharing; weak support for S&T and a lack of resources for technology transfer; a weak IP culture; declining human capital in R&D; and policy setbacks.⁷

The first Innovation Ecosystem Assessment (IEA) results in 2014 identified these missing links as well.⁸ The disconnect is brought about by an absence of trust among the actors. In 2017, in a STRIDE-convened meeting, DOST sought a partnership with DTI during which the DOST secretary assigned DTI as the lead in crafting the Philippine *Inclusive Filipinnovation and Entrepreneurship Roadmap*. This was the start of a positive relationship between the two departments (KII with DTI and DOST). DOST and IPOPHIL KII respondents also noted that they believe STRIDE's most important achievement at the national level is linking these two major players in innovation. Innovation is now a goal of science policy in the Philippines (PDP 2017-2022). STRIDE's presence was timely as the government was also beginning its efforts to move toward a strong IE (KII with DTI and DOST). STRIDE complemented government efforts because policies were already moving in that direction. It built confidence among local actors through science-based approaches to the roadmap preparation and other capacity-building activities (KII with DOST, IPOPHIL). In 2019, the IEA results were much improved.

STRIDE facilitated the convergence of partners to innovate with whole-of-government and whole-of-community approaches for the IE. As our KII respondents mentioned, innovation only became more meaningful when the various agencies recognized that they needed to work together and an IE framework was needed. This section presents an evaluation of STRIDE through three lenses: relevance, effectiveness, and sustainability.

RELEVANCE

1. Relevance (new context of the extension): In what ways has STRIDE contributed to addressing the development challenges as outlined in the *Filipinnovation Roadmap* of the *Philippine Development Plan (PDP), 2017–2022*, USAID Policy on Education, and USAID higher education program framework?

Interventions were targeted, focused, and responsive to the needs of actors in the IE, such as Innovation for Business Recovery (IBR) and WARP. The Philippines Government innovation policies and development plans see innovation as a prerequisite for creating high-value jobs and reducing poverty. RIICs and GIA reaching out to industry and MSMEs form a critical part of the strategy to

⁷ Source: <https://www.dost.gov.ph/knowledge-resources/news/38-2009-news/401-boosting-filipinnovation.html>

⁸ STRIDE Philippines Innovation Ecosystem Assessment, , Prepared for the USAID/Philippines/Office of Education, RTI International, November 2014.

increasing innovation in the Philippines. Capacity-building through local research and business communities' participation built trust among actors.

- 1.1. Were the activities conducted by STRIDE relevant to the development priorities and STI needs of key stakeholders at the national, regional, and local levels (e.g., policy support and enabling environment)?

The IE requires connections between the research-driven knowledge economy and the marketplace-driven commercial economy “and it is in this intersection that the Philippines, like most countries, is facing difficult challenges” (RTI, 2017 page 4, cited in DTI 2019).⁹ The various STRIDE interventions at HEIs have improved this disparity by developing industry-oriented curricula through the PSM, student-industry links through the Career Centers, and advancing the use of research products through the KTTOs (Source: online survey results 2021 [Set A, Annex C]; IEA 2019).

STRIDE addressed the developmental priorities outlined in the Higher Education Framework¹⁰ and the STI needs of key stakeholders at the national level, such as managing pandemic situations, using digital technology, conducting and applying research, delivering quality education, and engaging with communities. Key informants cited technical assistance and capacity-building most often. This technical assistance and capacity-building includes Strategic Foresight training, ideation workshops, innovation conferences, and STRIDE's support for various institutions in IE (Annex F National 1).

“In 2017 was the first innovation conference. STRIDE was there at the right time and place. STRIDE was there facilitating, realizing, but innovation was not fashionable then. After this year [2017], there was [a] yearly innovation conference and STRIDE was there for logistical needs. After all the regional FGDs/workshops, [the] main recommendation was to establish RIICs. Stakeholders were afraid that the roadmap will focus on the national level, and not to flow at the regional level. This is how the RIICs was born.” (KII with DTI).

At the regional level, STRIDE also facilitated collaboration among several institutions and provided technical assistance to strengthen these new linkages. This enhanced multi-agency collaboration through the exchange of R&D experiences (Annex F Table 1).

“How to gel Coffee R&D Center [in Cavite State University] and RIIC [in Batangas State University]? However, it is also an opportunity for inter-SUC collaboration. The exchange on R&D experiences and works can be enhanced.” (KII with NEDA 4A).

HEI-industry collaboration was also the focus of STRIDE activities.

“We have started talking to industries, industry locators and they are willing to partner with us in converting the industrial park to a Science and Technology Park. That is an opportunity where STRIDE can help us. We consider that as a big opportunity for the USTP to pursue on that vision or plan. We

⁹ DTI 2018. *The Philippine Inclusive Filipinnovation and Entrepreneurship Roadmap: Bridging the Gaps, Setting the Milestones*. Policy Briefs Special Issue. Oct. 2018.

¹⁰ USAID 2020. *Higher Education as a Central Actor in Self-Reliant Development: A Program Framework*, p.2.

see the future of this region, maybe there will be a ‘Silicon Valley’ here.” (KII with University of Science and Technology of Southern Philippines [USTP] [Academe, Region 10]).

“We also have activities such as INNOVATION HUDDLE where it is a reverse pitching where industry presents their problems, and we look for researchers to solve these problems. They will be asking us if we have the capacity to solve problems.” (KII with UP Diliman).

1.2. What are STRIDE’s unique value propositions that supported improving capacity for innovation of HEI faculty and staff, and of the GIA linkages and national innovation policy development?

At the HEI level, technology transfer and an industry-responsive curriculum via the PSM improved an institution’s capacity to innovate (Table 8). Capacity-building, collaboration, and policy support improved the capacity to innovate and strengthened the linkages between GIA and the RIIC. At the national level, KIIs noted responsiveness to stakeholders’ needs and trust building were responsible for facilitating national innovation policy development. Further, if there is emerging need that was not part of the assessment, STRIDE has been responsive by providing support in a timely manner (such as pandemic-related activities) and is flexible to key stakeholders’ social and economic changes in the IE.

TABLE 8. STRIDE’S UNIQUE VALUE PROPOSITIONS BY LEVEL OF ANALYSIS

LEVEL OF ANALYSIS	THEME	FREQ	UNIQUE VALUE PROPOSITION
HEI Faculty and Staff	Knowledge/technology transfer	9	Improving industry linkages, establishing the KTTO, providing technological solutions to the problems of industry partners, IP commercialization
	Industry-responsive curriculum	2	Integrating industry concerns into curriculum, PSM
GIA/RIIC Linkages	Capacity-building	12	Building innovative database and recognition through strategic planning and ideation workshops
	Collaboration/linkages	8	Establishing good relationships among partners in the region through mapping, aligning, linking, and building trust
	Policy support	4	Institutionalization of RIIC through the passage of RDC resolution, competitiveness index
National Innovation Policy Development	Responsive to stakeholders’ needs	6	Technical assistance in the crafting of the IRR of the Philippine Innovation Act, pandemic-related activities, policy support for DOST and DTI.
	Trust	1	Building confidence in others’ competence and consistency of performance

Source of Data: KIIs

Comparing best practices and metrics of other institutions that are successful in their respective IEs was an important knowledge transfer for national actors, who said that the study trip to the United States in 2017 was a turning point for improving IE in the Philippines. As mentioned in one KII,

“Experts provided by STRIDE and deployed to the Philippines and the knowledge shared to us are

invaluable. These have helped set our policy direction to generate more technology transfer activities and build greater relationships between the academe and industry. Sinabi ko na po before yung study tour namin [“I already mentioned the study tour”] in 2017 with Sec. Mon. It was truly a catalyst. The relationship between government-industry-academe was strengthened. These were reflected in many joint innovation programs and policies including the landmark Philippine Innovation Act that we are implementing today. After the trip, the government side resolved to pass the Innovation Act at that time.” (KII with IPOPHIL).

Further, the evaluation team asked KII respondents about their perceptions of the influence of STRIDE interventions in improving their IE by rating elements of the innovation ecosystem. Quantitizing the qualitative ratings (Figure 3) reveals the differential ratings of various actors. National respondents rated human capital and education highly while the HEIs rated knowledge transfer as high and regional government officers rated collaboration as high, affirming the findings of the qualitative data analysis. In the aggregate, knowledge transfer had the highest score, followed by collaboration (Figure 4).

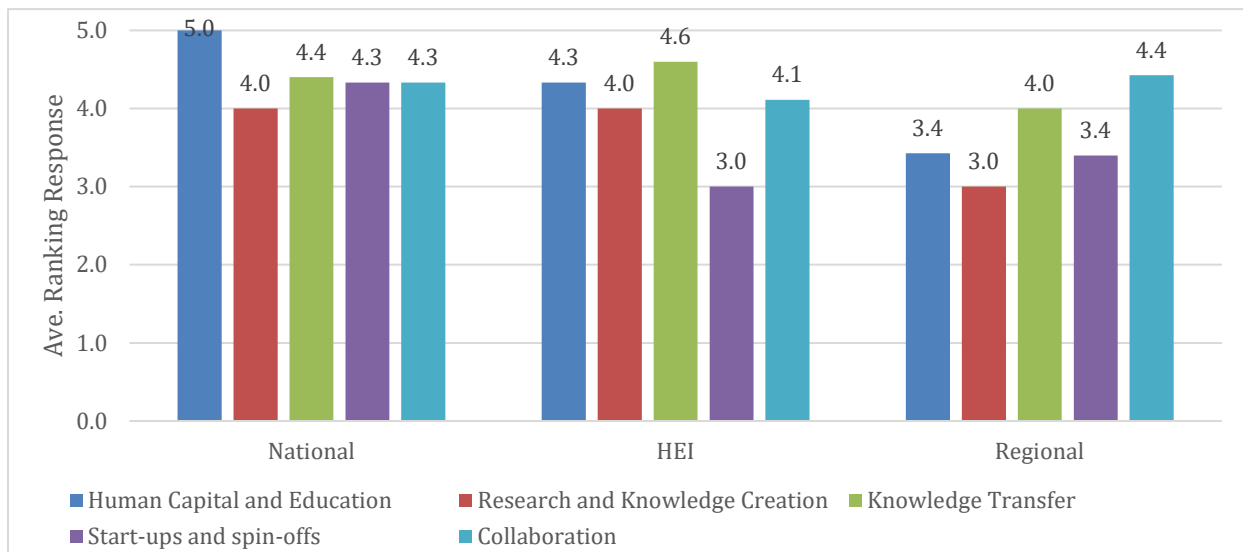


Figure 3. Average ranked responses on influence of STRIDE interventions in the improvement of the innovation ecosystem at different levels of analysis (KII data)

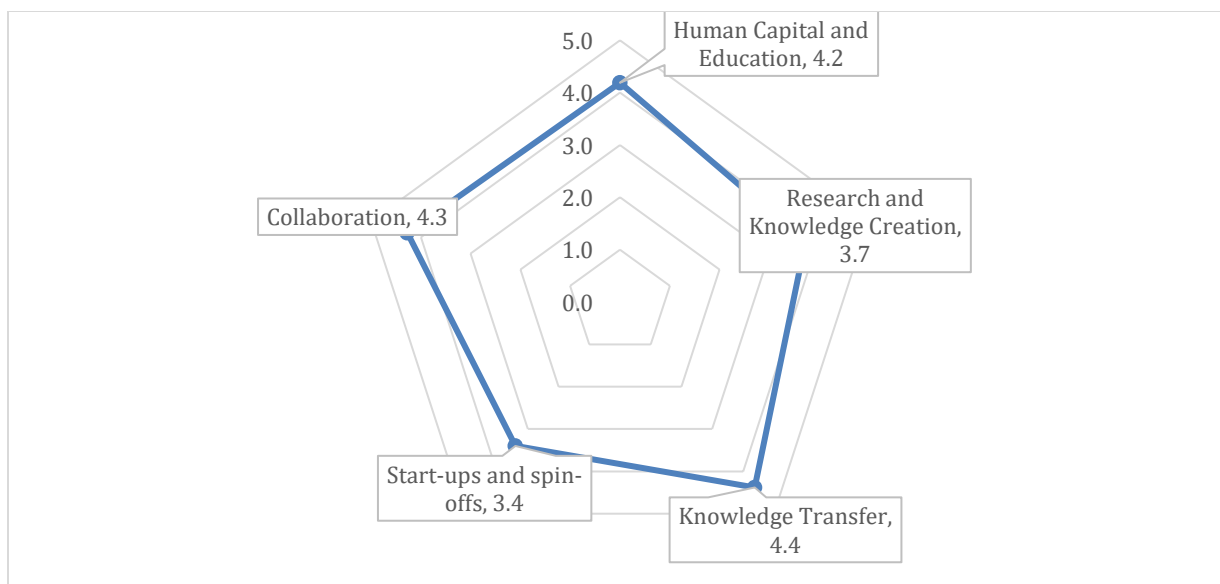


Figure 4. Average ranked responses on influence of STRIDE interventions in the improvement of the innovation ecosystem (integrated) (KII data)

1.3. What are the challenges and opportunities for HEI and Research and Development Institutes (RDI) to foster a robust innovation ecosystem? (IR1, learning question on Relevance in AMELP.)

CHALLENGES

Although STRIDE provided a number of positive interventions in the country, there are still some challenges to fostering a robust IE. These are organized into four categories (Table 9): beginning level of innovation culture; varied innovation capacity; beginning level of social capital; and bureaucratic processes for procurement of goods and services. “Beginning level of innovation culture” represents the government’s low perception of STI’s positive impacts for economic growth, slow response to STI-related requests or needs, and low capacity level for innovation as reflected by diagnostic assessment. “Varied innovation capacity” pertains to different levels of capacity and institutions’ needs. This is a challenge because approaches are not differentiated based on stakeholders’ needs. Although there is a diagnostic assessment, there is currently no variation in approaches to enhancing the capacity of actors in the IE. Social capital is at a beginning level as well. This is evident in problems with information flows between and across groups and levels of analysis, few opportunities for graduates to use their skills and qualifications, and exclusivity of information (i.e., data is not shared). Lastly, “bureaucratic processes for procurement of goods and services” presents a challenge that should be addressed.

Some respondents noted higher-level challenges. Cebu Institute of Technology’s challenge is to become an entrepreneurial university in addition to producing graduates who score high on their board exams. Other private HEIs in the sample face the challenge of transforming into research universities. For UP Diliman, the challenge involves the transformational relationship between academe and industry at the point when start-ups grow up to become “toddlers” and “teenagers.”

“When we collaborate with industry the technology transfer is always going to be a problem, along with intellectual property and so on. We’ve gotten a lot of advice on that, part of the KTTO training involves how to set up these kinds of partnerships, negotiating, so part yun ng program nila kasi yan yung ‘dating’ [“so that is the ‘dating’ part of their program”] and yung [“the”] engagement, the last part naman yung [“is”] negotiation yun yung kasal [“the wedding”]. The negotiation is leading to the nuptial agreement and marriage. So for example for our collaborative research right now we have to anticipate that the goals of that research will be met and so what’s next after that? That’s also covered under the KTTO training. Yun yung [“that is the”] challenge, yung [“the”] last stage will be a challenge for us. STRIDE has provided some training to address this. Now they have a manual. We are rolling out a training program for that manual.” (FGD with UP Diliman).

OPPORTUNITIES

In terms of opportunities, STRIDE’s interventions are a very clear response to the need to expand innovation capacity. These opportunities come from linkages, funding, mapping experts to needs, and assessing the scalability of programs. The evaluation team observed varied innovation in terms of institution building and leadership. Evaluation also revealed beginning levels of innovation capacity and social capital (Table 9). Other opportunities that HEIs cited include “financial resources,” which refers to funding support from different institutions or agencies, and “knowledge protection and creation,” which refers to establishing knowledge through collaboration and technology-sharing schemes between university and industry partners. Regional officials cited other opportunities, including harnessing industry engagement and commitment; policy support for sustaining STRIDE’s gains; availability of institutions, people, and data in the S&T innovation sector; capacity development for intellectual property in the academic and private sectors; funding opportunities from government and industry; and sharing facilities for new product development (Annex F Table 1.3).

“Because of the experience that we had, there were many opportunities that opened up. There is no natural culture of trust yet, but it has been cultivated with STRIDE with some selected companies in the Philippines.” (KII with De La Salle University [DLSU] representative).

TABLE 9. CHALLENGES AND OPPORTUNITIES FOR HEIS AND RDIS TO FOSTER A ROBUST INNOVATION ECOSYSTEM

CHALLENGES			OPPORTUNITIES		
THEMES	RESPONSE	FREQ	THEMES	RESPONSE	FREQ
Beginning level of innovation culture	“Revision to courses di pinapansin [“is ignored”], we need skills, not only board passers.”(DTI)	37	Expanding innovation capacity	“You can see their engagements and passion. I see that as an opportunity, because then we can truly make waves of intervention if private sector is present.”(DTI 10)	41
Varied innovation capacity	“The need to capacitate our government staff, especially in the region.” (PASUC)	21	Varied innovation capacity	“There are a number of very good higher education institutions [HEI] which can be tapped to become innovation hubs.” (NEDA 7)	6

Beginning level of social capital	<i>“Not enough opportunities for science graduate students after they graduate.”</i> (DOST)	13	Beginning level of innovation awareness	<i>“When people say innovation that usually falls on DOST but now it’s already understood even within DTI. Innovation is the business of everyone.”</i> (DTI 7)	3
Bureaucratic processes for procurement of (a) goods and (b) services	<i>“Our problems are on outdated procurement system, administrative, finance, and auditing.”</i> (CHED)	6	Beginning of social capital formation	<i>“Because it is rare to have that kind of an organization (MSME) to have a commitment to do advocacy work for innovation.”</i> (DTI 10)	2

Source of Data: KII

1.4. Are the STRIDE activities relevant in terms of alignment and consistency of the USAID framework on higher education and priorities of the Philippines?

“USAID STRIDE is the key player wherein we are able to develop further our capacity as a university to extend our R & D capability to the communities. Three years ago, we were able to join a capability-building program of DOST supported by STRIDE to build our technology biz incubation lab, and second, building our capabilities in terms of technology transfer. These capability-building programs of USAID STRIDE have enabled us to extend our R & D capabilities to our MSMEs in the localities which is key to fostering the growth of the RIIC in the region.” (HEI Region 7).

“The STRIDE triggered the creation of the Regional Research, Development and Innovation Committee under the RDC-X. The creation of the RRDIC aimed to bridge the gaps and challenges of regional socioeconomic development by ensuring research, innovations and other S&T-based projects are relevant, responsive and aligned to the regional development thrusts.” (NEDA Region 10).

As shown by stakeholder comments above, STRIDE strategies align with the 2018 USAID education policy and USAID higher education policy. The KTTO, Career Centers, and the PSM address these policies. The strategies also address core functions of the higher education system, such as advancing knowledge and research, providing quality and relevant education and workforce training, and engaging and strengthening networks and communities (USAID Higher Education Framework, June 2021). STRIDE promoted linkages between industry and HEIs and increased capacity at HEIs for relevant, responsive, industry-oriented curricula. The establishment of the RIICs will potentially spur employment in the countryside, which has the potential to bring sustainable economic growth and development, addressing unemployment problems. Recent data show that 24 percent of college graduates in the country are unemployed.¹¹

EFFECTIVENESS

2. Effectiveness (original context of STRIDE): In what ways did STRIDE contribute to achieving the three IRs on improved higher education institutions’ capacity for innovation, improved

¹¹ <https://newsinfo.inquirer.net/1377399/batch-2020-how-filipino-college-graduates-job-hunted-through-the-pandemic#:~:text=3,are%20junior%20high%20school%20graduates>.

regulatory and policy environment for innovation, and improved government capacity for innovation?

IR1 has the greatest number of innovation activities, on the side of both STRIDE and its partner institutions, while IR2 had the fewest interventions.¹² Two factors that helped HEIs to increase opportunities to achieve and sustain improvements in the innovation sector are: a) the curricular programs they developed, and b) the autonomous status of some universities. STRIDE made the greatest impact through linkages and collaborations among the actors in the IE. This has improved cooperation among government departments which affects improved policies for extension services of government, industry, and academe.

The success of RIICs' contribution to change in the IE followed a Filipino cultural process known as *kapwa* ("shared inner self"). Among the categories, IE actors reached *pakikipaglagayang loob* ("acceptance"), which resulted in increased trust that made RIIC initiatives successful. Comparing improvement in R&D processes between HEIs and RDIs showed that HEIs focused more on increasing funding and research while RDIs focused on the commercialization of their output.

2.1. Which of the three IRs had the strongest link to achieving the development goal of inclusive growth through strengthened science, technology, research, and innovation capacity?

Among the three IRs, IR1 had the strongest link to achieving the development goal of inclusive growth through strengthened science, technology, research, and innovation capacity. For brevity, only the results for IR1 are shown in this section since its link to achieving the development goal is strongest; results for IR2 and IR3 are found in the annex section (Annex E. HEI.2 and 3).

Table 10 shows STRIDE interventions under IR1 and HEI innovation activities. Under the quantitative results, most of the STRIDE capacity programs that survey respondents attended were KTTO, START, and other U.S. Government (USG)-related programs. Many of STRIDE's activities served as the basis for HEIs' improved capacity. This is evident in research development as revealed by their proposals, completed research, and publications. The evaluation team also observed confidence to innovate in HEIs in various goods and services innovations they introduced in their respective institutions (see Annex E. HEI.1 expanded version). These activities were consistent with the qualitative results in which key informants described all the capacity-building for innovation activities they attended.

Annex E. HEI.2 shows STRIDE's input on improved regulatory environments and output of their partner institutions and agencies. Compared with IR1, only one activity was observed to have contributed to an improved regulatory process in IR2, the funding of research on procurement. This research is the first to study the role of procurement in innovation. Actors in the IE complained about procurement more than any other factor in the evaluation's KIIs and FGDs. One key informant described this initiative as "understanding the problem [of procurement]." Because the study was ongoing during the evaluation data collection period, the evaluation team did not have access to specific interim results. Although there are issues in procurement policy, GIA linkages still resulted in improved policies for research incentives, application and approval of utility models, extension services, revision of science-based guidelines, and establishment of new laboratories. (Please refer also to IR2 discussion and in Annex A.1.)

¹² IR1 – Improved Higher Education Capacity, IR2 – Improved Regulatory Environment for Innovation

Annex E. HEI.2.3 reflects the innovation activities of several government agencies and their partners under the STRIDE project. The evaluation team adapted a survey on introduced goods and services as forms of innovations from The Community Innovation Survey 2014.¹³ Goods are tangible objects such as COVID-19 testing kits, contact tracer applications, or journal publications, while services are usually intangible items such as PSM curricula, training, workshops, modules, and partnerships, among others. During the extension phase of STRIDE, respondents were able to introduce these innovations in their respective institutions. Under goods, RIICs (22.7 percent) have introduced more product innovations than GIAs (9.1 percent), specifically for equipment. Under services, GIAs (18.2 percent) have developed more PSM curricula than RIICs (9.1 percent). More than half of the respondents for each group reported that these innovations were new to their disciplines and institutions. For process innovation, both groups reported improved methods for manufacturing. When it comes to the logistics of manufactured goods, RIICs (27.3 percent) have more improvement than GIAs (4.5 percent). Overall, various agencies introduced and developed because of their linkages and partnerships with other institutions. Note, however, that RIICs introduced more innovations compared to their GIA counterparts. This is likely attributed to the RIICs' entrepreneurship focus compared to GIAs, although the evaluation team does not have direct evidence to support this conclusion.

Comparison of the three IRs showed that IR1 has the greatest number of innovation activities on the side of both STRIDE and its partner institutions. Second in rank is IR3, in which partnerships, linkages, collaboration, and cooperation formed during the extension phase. IPOPHL USec Baba also observed this during the interview with the evaluation team: “*Mas maraming accomplishments ang STRIDE sa 2nd phase kasi mas committed na ang government*” (“STRIDE did a lot more during its extension phase”). On the other hand, IR2 had the fewest interventions because it is deeply connected to the host government’s laws.

TABLE 10. STRIDE INTERVENTIONS UNDER IR1 AND HEI INNOVATION ACTIVITIES

		Quantitative		Qualitative	
		Activities	HEI (n = 57) f (%)	Themes	Responses
				(n = 11 HEI)	
Capacity-building	STRIDE interventions	• KTTO	30 (53)	Capacity-building. Includes training, workshops, and STRIDE support for various institutions in IE H: 9, 82%	“The three (3) of us who were grantees were capacitated. We started from the USAID grants. Because of the training, confidence, and we had outputs, we went to a higher grant, DOST-Philippine Council for Industry, Energy and Emerging Technology.” (DLSU)
		• START	37 (65)		
		• USG-supported programs	15 (26)		
	Activities concerning actors	HEI (n = 30)	“The trainings and workshops conducted by USAID STRIDE to the Career Center staff and personnel. When USAID STRIDE sent me to USA to have an actual feel of the Career Center. We were able to experience a Career Fair and a Reverse Career Fair. Reverse		
• Establishment of KTTO	12 (40)				

¹³ <https://circabc.europa.eu/ui/group/47133480-29c1-4c23-9199-72a631f4fd96/library/32ab7d19-446e-404c-9ea5-e2524065b2a0/details>

• Intellectual property and technology Transfer Awareness campaign	10 (33)
• Development of KTTO policy	4 (13%)
• Others	2 (5.42)
• Approved research grants (n = 17)	1 (77%)
• Completed research-STRIDE funded (n =57)	15 (26.30)
• Service innovation	n = 70
• PSM curriculum	20(28.57)
• KKTO	36 (51.43)
• Career Centers	28 (40.00)

Career Fair is a very nice idea, because it is more on the innovation side where students will be on the booths to campaign and market their research output to the investors and industry partners. We were able to learn because of the experience that we had in Penn State University.” (USTP)

“As far as I know, KTTO Director had training and made some inputs in the training. Manual has already existed, but it was improved/ revised.”(DLSU)

The evaluation team asked survey, interview, and FGD respondents to compare the different STRIDE strategies and interventions. Analysis of the data indicates that STRIDE’s technical assistance ranked first in KIIs (Annex G.FGD.1). This strategy falls mostly under IR1, which is comprised of sharing of expertise (how to innovate), instruction (KTTO), skills (curriculum development), and consulting services (via international or local experts). This is evident in one of the interviews at the national level:

“STRIDE is coordinating with us. We asked STRIDE [for] help on turning CIP in Marikina as innovation center. STRIDE made a study and presented it to us. Some recommendations [from the study] were implemented. We asked STRIDE to help us in carrying out seminars and FGD in order for us to identify the current shape of innovation in the region. In 2017 we presented IR4. STRIDE sent speakers in this event. We also asked STRIDE to carry out initial innovation assessment in 2015.” (DTI).

STRIDE’s technical assistance with innovation was very helpful across the three levels: national, HEI, and regional. Linkages ranked second (M = 3.16). The evaluation team notes that linkage is connected to RIICs, which is the primary objective for the STRIDE extension period. However, linkage without improved capacity to innovate is not sufficient. Thus, technical assistance as a form of knowledge transfer contributed to improved capacity to innovate across actors in the IE.

2.2 Are HEIs addressing the underlying obstacles impeding, and opportunities needed to achieve, sustained improvements in the innovation sector? (Effectiveness, IR1 learning question in the AMELP.) Did faculty and staff experience any unintended effects?

The improvement in intellectual and innovative capacity, acquisition of machinery and resulting increase in research activities, and maintaining committed partnerships within the IE were ways that HEI's contributed to addressing obstacles inherent in their respective institutions. These contributions had positive effects in the IE.

One example of the improved HEI capacity is in the curricular programs they developed. Improvements in HEI capacity are translated in their developed curricular programs. Recall that STRIDE exceeded its indicators during the extension period for KTTOs, PSMs, and Career Centers (Table 5). The goals of these programs are to increase capacity in competencies that are necessary for research development, technology, and innovation as well as leadership and entrepreneurial skills. These goals ensure the sustainability of STRIDE interventions by providing a continuous supply of future innovation actors in the IE. Compared to public universities, the autonomous status of several private universities expedited development and approval of such programs (e.g., PSM). Unlike public universities, private universities are required only to inform CHED of new programs while public universities must follow a complex curriculum development process. One private university told the evaluation team: *“When we applied for the programs, this is of course under the leadership of USAID STRIDE. We benchmarked our curricula with universities in the U.S. So, we may not necessarily follow CHED rules, we can do this because TIP [Technological Institute of the Philippines] is an autonomous institution. We just had to inform the CHED of our desired curriculum and it was approved”* (TIP)

This unrestricted feature of private institutions is a very important variable in providing innovative curricula. It means they do not face the kinds of delays in creating new programs or curricula that public universities face.

Acquisition of machinery and research activities have also increased during the STRIDE extension period. The survey administered to FGD participants concerning their GIA partnerships showed that close to 50 percent have acquired new machinery and more than 50 percent conducted in-house or contracted-out training for their personnel (Annex D, Table D.13 & D.14). Partnership is an essential component of innovation, but not all actors succeed in achieving this. In a virtual FGD, all representatives (n = 12) pointed out that committed partnerships strengthened their linkages (Annex G, FGD.2). This is evident in a comment from one of the participants from the HEI sector:

“In terms of the industry, we see the partnership getting stronger with the committed personalities involved in the program. It's very important that it is not just institutional based, but champions based in those institutions who are engaged in our common program because sometimes the institutions are busy with other things but if there are some focal champions on these, then we can have a longer way in achieving our common/shared objective” (University of the Philippines Los Baños [UPLB]).

“Commitment” refers to cooperation among partners who share the same vision for scaling up and commercializing technologies and who recognize each other's roles and responsibilities in the IE.

At UPLB, STRIDE's contribution was in the pedagogy or delivery of courses rather than a change in the curriculum. UPLB faculty members attended the seminar-workshop on case analysis, the outputs of which were case studies for use in class. According to a STRIDE grantee from UPLB, *“this was the first time that Philippine cases written by Filipino authors were made available to students.”* She is still

applying the knowledge she gained from workshops and a study visit to the United States to delivery of courses.

On the other hand, there are some obstacles that are beyond the control of HEI and other actors in the IE. Annex G.3 shows that, among the four challenges that influence STRIDE’s effectiveness, key informants at the national, regional, and HEI levels most often cited the mismatch of competencies and capacity between academe and industry. This challenge involves differences in the innovation competencies of partnerships, specifically regarding mindsets, institutional timelines, faculty expertise, and scalability of a product after academe and industry develop it.

2.3 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, improved incentives for research, improved policies for extension services) has STRIDE made the greatest impact? (Effectiveness, IR3 learning question in the STRIDE AMELP.)

STRIDE’s work in IR 3 made the greatest contribution (“impact,” as phrased in the STRIDE AMELP learning question) to improved institutional policies. In Annex G. HEI.1, six out of 11 HEIs explained that STRIDE made a significant contribution to optimizing or implementing policies internal to their institutions—that is, institutionalizing policies to improve organizational processes (e.g., procurement, research, and commercialization): “*KTTO built capacity to integrate policy into the mindset of the stakeholders especially the researchers, faculty and students. All mechanisms have been influenced but the greatest impact is on the intellectual property policy*” (USC). This is similar to survey results in which respondents also mentioned STRIDE’s work on institutional policies most frequently (Annex D, Table D.22). Respondents also mentioned procurement in terms of expediting the purchase of materials needed for research: “*One project that we had, NICER, when it was granted for 1 million, the equipment was procured by STRIDE, rather than it is done by the university and go to the process of procurement. The equipment was bought immediately. It was better than us making the procurement*” (University of Science and Technology of Southern Philippines [USTP]). Harmonization policies amongst the actor agencies and external regulatory environment policies need further strengthening.

2.4 How have RIICs contributed to change in the innovation ecosystem? (Effectiveness, IR3 learning question in the AMELP.) What factors strengthened linkages and collaboration between government, industry, and academe in the innovation ecosystem?

Prior to STRIDE, a consortium of RIICs was already in place. However, national agencies did not communicate well with their regional offices. STRIDE opened collaboration at the national and (especially) at the regional levels. STRIDE activities, such as ideation workshops that facilitated communication and collaboration among agencies and translated technology into layman’s terms for typical industry participants, have improved the consortium model.

The success of RIICs’ contributions to change in the IE coincides with two categories of Filipino cultural values known as *kapwa*, or “shared inner self.”¹⁴ *Kapwa* is considered to be the “heart of the

¹⁴ Enriquez, Virgilio G. "Kapwa: A core concept in Filipino social psychology." In *Philippine worldview*, pp. 6-19. ISEAS Publishing, 1986.

structure of Filipino values.”¹⁵ The concept *kapwa* has two categories: *Ibang-Tao* (“outsider”) and *Hindi-Ibang-Tao* (“one-of-us”). The idea of interaction is very important to understanding the *loob* (“inner self”). Capturing the *loob* of your fellow being is related to time.¹⁶ This means movement of time as it enters the *loob* and of the *loob* as it moves through time. In short, in Filipino culture, to be accepted in the group you must get through the *loob* (“inner self”) of the members.

Among the levels of interaction, Santiago and Enriquez recommended that, at the very least, individuals establishing a relationship with another group should reach *pakikipaglagayang loob* (“acceptance”).¹⁷

At the level of acceptance, trust has already been established, and this is where we can situate the success of RIIcs. Specifically, it is trust in the partnership, which refers to believing in the capability of partners to pursue joint activities. This is reflected in an explanation from an industry representative from one of the FGD sessions:

“The group works because of the trust for each other. We believe in the capability of each member of the group. We are pursuing a lot of activities with the Batangas State University including the moringa, pepper, and inland and marine fisheries projects. We are having livelihood projects for the poorest of the poor. We have brought a lot of personalities in our linkages including the Indian ambassador. We are not only relying on government funding but also donors from other countries” (Ind 4-A).

Trust has strengthened linkages and collaborations among actors in the IE. These two factors are rooted in STRIDE’s philosophy, which is a “whole-of-government approach” at the national level and a “whole-of-community approach” at the regional level. Linkages and collaborations have broken the silos that effect improved policies for extension services of government, industry, and academe (Annex G.2).

2.5 In what ways have HEI and Research and Development Institutes (RDI) improved their R&D grant processes? (Effectiveness, IR1 learning question in AMELP.)

Analysis of responses from HEIs and RDs showed that their R & D processes improved with STRIDE’s assistance. Annex G-FGD.3 shows that discussants noted improvements throughout the R&D processes such as in funding, cooperation with agencies, institutional policy, writing of innovation-based research proposals, and managing procurement. Among these improvements, increased in funding were mostly striking to beneficiaries (f = 8). This has provided them multi-million funding from several agencies: The DOST-X provided P2.3 million worth of R&D funding to University of Science & Technology of Southern Philippines (USTP-CDO) in 2020. The two R&D projects of USTP resulted from the Ideation Activity of OROBEST Innovation Program otherwise known as Optimizing Regional Opportunities for Business Excellence thru Science, Technology, and Innovation Program. OROBEST collaboration program is STRIDE-supported.” (DOST-4A). Note however that although funds are very important, the likelihood of obtaining research grants may also be linked to HEIs and RDs improved

¹⁵ Pe-Pua, Rogelia, and Elizabeth A. Protacio-Marcelino. "Sikolohiyang Pilipino (Filipino psychology): A legacy of Virgilio G. Enriquez." *Asian Journal of Social Psychology* 3, no. 1 (2000): 49-71.

¹⁶ Alejo, Albert E. "Loob ng Tao." *Social Transformations: Journal of the Global South* 6, no. 1 (2018): 5-28.

¹⁷ Santiago, Carmen E., and Virgilio G. Enriquez. "Tungo sa maka-Pilipinong pananaliksik." *Sikolohiyang Pilipino: Mga Ulat at Balita* 1, no. 4 (1976): 3-10.

capability to write proposals (f = 3), where aspects of innovation and commercialization's are incorporated, institutional linkages (f = 5), and clear policies (f = 4). Additionally, managing procurement as one of the introduced changes in the entire process sped-up the completion of their research activities.

SUSTAINABILITY

3. Sustainability (new context of the extension): What is the likelihood that initiatives and gains will continue after completion of the project?

It is highly likely that many of STRIDE's gains will continue after project completion. Elements of success include establishment of the START Center, a capacity-building training center for advanced research; the KTTO-IMPACT program, which DOST-Philippine Council for Industry, Energy and Emerging Technology institutionalized to increase the capacity of technology transfer officers for intellectual property management and commercialization; Career Centers in STRIDE's HEI partners; and the conduct and further evolution of PSM program (Annex Table D.7). On the other hand, RIIC sustainability depends on the cooperation of government workers, though there are regions with industry-led models (Annex Table D.15). Some RIICs have also constructed their websites and implemented their Innovation for Business Recovery (IBR) programs.

The Philippine Innovation Act ensures sustained funding for innovation work. It created an Innovation Fund of PhP 1B per year. STRIDE supported the crafting of implementing rules and regulations for this law. The Innovation Fund is essential for STRIDE's sustainability. As DTI USec. mentioned in the KII, "As long as we will be able to get regular support, we can sustain these innovation activities."

STRIDE interventions align with government agencies' programs. In addition, changes in organizational structures have supported sustainability. For instance, creating the positions of Vice President for Innovation in the Bulacan Chamber of Commerce and Industry, Office for the Assistant Regional Director for Development and Innovation in DOST XI, and Undersecretary for Innovations and Development in DTI. The National Innovation Council under National Economic and Development Authority (NEDA) will facilitate the implementation of innovation-related projects. STRIDE also increased government capacity for innovation with technical assistance to CHED, PASUC, DTI, and DOST.

3.1 What gaps need to be addressed, within the Mission and externally, by the host government?

While the Philippines' performance in the overall Global Innovation Index (GII) 2020 is impressive, there are still pillars in which its performance can improve. GII has seven pillars in the computation of the overall index: institutions, human capital and research, infrastructure, market sophistication, business sophistication, knowledge and technology outputs, and creative outputs.¹⁸ The Philippines ranks high only in knowledge and technology outputs and business sophistication. Future USAID STI investments should focus on helping the Philippines to target the other five pillars and also

¹⁸ Cornell University, INSEAD, and WIPO (2020). The Global Innovation Index 2020: Who Will Finance Innovation? Ithaca, Fontainebleau, and Geneva.

supporting additional increases in knowledge and technology and creative outputs. One specific pillar for focused support would be supporting the country’s ability to commercialize aspects of the IE.

“Host country gap” refers to providing support to start-ups and spin-offs as well as to MSMEs to enhance their productivity and resilience—another area for focused support. The Government of the Philippines should review its higher educational policy to accommodate innovative programs that are industry responsive. Specifically, the accreditation of PSM, credit loading of faculty, and other CHED-relevant policies are areas that the national government should focus on. Although the Department of Education (DepEd) is included in the innovation ecosystem for basic education, it is not active in the IE at this time. A holistic educational intervention to support the IE should emphasize collaboration between basic education and higher education programs. The evaluation respondents concur that critical thinking and creativity should be developed in elementary grades. There is a need for a steady supply of students skilled in S&T to run the industries of the future. Creating science and technology-oriented students in higher education requires honing the interests and skills of students beginning in their basic education.

3.2 Were sustainability mechanisms integrated in the design and implementation of STRIDE? What were the intended or unintended results? (Note: Based on the 2019 MEL Plan, page 35, the recommendations will be made during project closeout meetings.)

Based on the 2019 AMELP (p. 35), sustainability mechanisms are not integrated in the design and implementation of STRIDE. Instead, the AMELP states that STRIDE will make recommendations during project closeout meetings. This is because the STRIDE approach is experimental and there is no blueprint. Nonetheless, the STRIDE itself considers the START Center, hosted by the DLSU and UP beginning in 2021 as a sustainability mechanism. The evaluation team likewise considers the KTTO-Intellectual Property Management Program for Academic Institutions Commercializing Technologies (IMPACT) program, institutionalized by DOST-Philippine Council for Industry, Energy and Emerging Technology since 2018 for the Innovation Technology Support Office (ITSO), as another sustainability mechanism. The evaluation team considers this as a sustainability mechanism because DOST institutionalized the training program and provides the training program with human resources and tools for implementation of technology transfer activities for eligible institutions that successfully completed the STRIDE’s KTTO-IMPACT program. As of 2019, there were forty-four (44) HEIs and RDIs that participated in the KTTO training. So, while the design does not explicitly include sustainability mechanisms and STRIDE’s implementation is experimental, STRIDE is creating sustainability mechanisms along the way.

On the other hand, building consensus within community and employing the whole-of-community approach is only an intervention process; it is not included in the design of RIICs. Respondents from HEIs said “People are ready to share mutual values, and trust. Para sa akin trust talaga yung pinaka importante” (“For me, trust is the most important thing.”) (Annex H, 3.1 FGD-ST). STRIDE saw to it that there would be RIIC policy support in terms of RDC Resolutions and memoranda of understanding between GIA partners.

The evaluation team documented some unintended positive results during our data collection, such as:

- Receiving GII recognition for Regional Opportunities for Business Excellence through Science, Technology, and Innovation (OROBEST) (Region 10)
- Establishing innovation offices in government (DOST XI) and industry (Bulacan Chamber of Commerce and Industry)
- Making changes in pedagogy for the teaching of agribusiness courses in UPLB
- Inspiration to build a molecular lab (in Region 7, but proposed by STRIDE grantee from UPLB)
- Assisting an MSME in Davao to acquire a Philippines Food and Drug Administration license due to a partnership with academe, and the government serving as the bridge for the two to meet

3.3 What were the lessons learned that may support the sustainability of the project in the context of HEIs, regulatory environments, and government capacity for innovation?

HIGHER EDUCATION INSTITUTIONS

HEIs need to familiarize themselves with technology transfer and commercialization processes to have successful academe-industry partnerships. Faculty and researchers have fears about divulging and sharing their research because of ownership concerns. Relating to ownership concerns, faculty and researchers have little to no experience in the commercialization of technology or negotiations with industry. The results of the online survey reveal that a majority of HEI respondents have not applied for a patent (Annex Table D. 20), and they are unsure about the value of the technology that they develop. There is a lack of rules for benefit-sharing between academe and industry. This impedes faculty and researchers' ability to negotiate with the private sector.

For example, it is not clear how to structure shared future benefits in the cocreation of a patent for which industry cosponsored research. Without this policy, universities tend to want sole rights to the patent (Annex G, Effectiveness, MSU-IIT). Protecting research outputs, (e.g., patentable technology) and intellectual property will help allay these fears. The Fairness Opinion Board under DOST helps scientists to understand whether technology transfers are indeed fair.¹⁹

Curricula need to be developed in consultation with industry and focus on skills needed for innovation in industry. However, government policy currently restricts the approval of innovative curriculum. In the Philippines, degree programs at the master's level should contain a substantial research component that is theoretically based and may include a practical component (CHED Memorandum Order 15 s 2019, p. 3). Some PSM curricula do not follow this rule as they focus more on skill development than on theory. CHED (Memorandum Order CMO 55 s2016, p. 10), instructs SUCs to be consistent with professional regulatory government agency rules that prescribe a minimum credit load, among others, and may not be compatible with the PSM curricula.

In addition to the type of curricula, the faculty also need to have an innovation focus. In Region 4A, a respondent said, "*We have to have well-developed faculty whose trainings and development should come from the industry.*"

In the survey, respondents said that sustaining the capacity they gained from STRIDE could be done through the integration of promoting technology innovations as part of the extension function of

¹⁹ Fairness Opinion Board, Revised Implementing Rules and Regulations of Republic Act 10055 or the Technology Transfer Act of 2009.

universities, using outside consultants, and applying lessons learned from previous activities (Annex H 3.6 Region-2).

STRIDE, in collaboration with DLSU, conducted the Filippinnovation Entrepreneurship Corps (FEC) training for researchers. This training received funding from DOST-Philippine Council for Industry, Energy and Emerging Technology (AR 2019, p. 44). The training aimed to rapidly determine the commercial readiness of research outputs. STRIDE has helped several HEIs develop their PSMs through curriculum workshops (Annex Table D.7). Entrepreneurship topics are integrated into these curricula.

The sustainability of STRIDE interventions in HEIs depends on the following: 1) each university's policies, infrastructure, and funding; 2) faculty members' attitudinal shifts regarding publication, industrialization of R&D outputs, and trust in the institution for intellectual property and commercialization incentives for start-ups and spin-offs; and 3) interorganizational collaboration (Annex H, 3.1, 3.2, 3.4 HEI-ST).

For PASUC, several challenges remain for the SUCs to improve the IE. (PISI, p.16). These are in the areas of : 1) improving the research capabilities of faculty, research staff, and students; 2) inculcating a research culture and upgrading research infrastructure; 3) recruiting, retraining, and retaining a sustainable stream of new researchers; 4) increasing research productivity and raising research quality and impact; 5) institutionalizing a research code of ethics that maintains the integrity, openness, and transparency of the research process and safeguards intellectual property; and 6) establishing structured partnerships with community, business, and industry stakeholders to integrate formal research and innovation efforts with informal grassroots knowledge and innovation.

REGULATORY ENVIRONMENT

Sustaining the gains from STRIDE's interventions requires programs, projects, and activities consistent with national policies, such as the Philippine Innovation Act, the Technology Transfer Act, and the Innovation Start-up Act. These can be formulated into a medium-term development plan and specified through process manuals, projects, products, and services. However, for these plans to be effective, collaboration and funding are necessary (Annex H, 3.7 Region-ST).

The regulatory environment for innovation improved somewhat, specifically in the areas of science-based intervention (Annex Table D. 19) and enabling policies would help improve HEI R&D plans (Annex H, 3.3 HEI-ST). The creation of the Vice President for Innovation position in the Bulacan Chamber of Commerce and Industry to support the implementation of RIIC in Region 3 could be used as a model in other provincial or city chambers of commerce and industries nationwide. DOST XI also created an office for the Assistant Regional Director for Development and Innovation. This office is dedicated to helping the MSMEs and other innovation activities in the region. DTI's national office also created a position of Undersecretary for Innovations. The National Innovation Council, once activated, can facilitate the implementation of innovation-related projects. The provisions of the Republic Act 10055 (Technology Transfer Act, 2009, p. 10 and 11) is limited to revenue-sharing, commercialization, and establishment of spin-off firms.

GOVERNMENT CAPACITY FOR INNOVATION

In 2020, STRIDE provided technical assistance to review CHED’s mandate, structure, and functions (AR 2020, p. 39). STRIDE also supported PASUC in the development of the PISI for Industry 4.0. The document symbolizes the SUCs’ drive to proactively join in the government’s goal of innovation-led, talent-driven economic growth under the *Filipinnoation Roadmap* (AR 2019, p. 30-31). PASUC’s pool of experts that STRIDE trained may continue to influence CHED and innovate in the SUCs after the end of the STRIDE project.

3.4 In what ways will innovations and R&D outputs be adopted/transferred to the community, government, and industry? (Sustainability, IR2 learning question in the AMELP.) Are partnerships emerging, initiated by STRIDE-related institutions that may support project sustainability?

The RIICs will serve as the cornerstone of the Philippines’ new industrial strategy known as i3S (MOA 2018, p. 3). The institutionalization of RIICs through the passage of RDC Resolutions will ensure the sustainability of STRIDE’s intervention. The establishment of RIICs and the presence of policies, joint research and development programs, projects, activities, and leadership are the enabling mechanisms for STRIDE interventions to be included in the long-term plans of partners (Annex H 3.3.1 Regional-2). STRIDE’s technical assistance includes the mapping of key innovation actors; linking innovation players in government, industry, and academe through strategic dialogue; and aligning key programs and services (mapping-linking alignment, or MLA) toward industry needs in the region (AR 2019, p. 40). Some of the RIICs have constructed their websites and implemented their IBR programs to help MSMEs recover from the impact of the COVID-19 pandemic (AR 2020, p. 27). STRIDE also held the RIICs Learning Assembly to exchange best practices and learning (2021 Q2R, p. 24) and assessed the current RIIC linkage-building practices (2021 QR3, p. 29). STRIDE interventions align with government agencies’ programs, making it likely that they will not only be sustained, but also expanded nationwide (Annex H 3.2 Regional-ST). Industry respondents said that

“The HEI and government agency were the most valuable cooperation partners for expertise, network/partnership/linkages, and funding” (Annex Tables D.18a & D.18b). Table 11 shows that that the evaluation survey respondents report that the central government funded more of their innovation activities in the RIICs and GIAs than did local or regional governments.

TABLE 11. DISTRIBUTION OF RESPONDENTS’ PUBLIC FINANCIAL SUPPORT FOR INNOVATION ACTIVITIES (IN PERCENT) BY CLASSIFICATION.

Public Financial Support for Innovation Activities	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Local or regional authorities	Yes	9.1	27.3	36.4
	No	27.3	22.7	50.0
	I have no idea	13.6	0.0	13.6
	Total	50.0	50.0	100.0
Central government	Yes	27.3	27.3	54.5
	No	18.2	18.2	36.4
	I have no idea	4.5	4.5	9.1
	Total	50.0	50.0	100.0

In some cases, there are also challenges in the commercialization pillar of the IE. Sometimes the supply chain is not ready for the bulk of industry demands. Respondents from the GIA of a private HEI

said “ *The quality (of squash powder that was a research output by the HEI) was okay for Monde Nissin but we were not able to produce at the level needed. On Santiago Fresh Miki Factory, we were able to produce but it was not sustained because we do not have the (supply) capacity*” (Annex H 3.1 FGD-2). This IE lacks the farmer cooperative leg that can supply the primary ingredients (squash) for processing.

EMERGING PARTNERSHIPS

The evaluation team documented several emerging partnerships: 1) The Knowledge Innovation Science and Technology (KIST) Park, to be hosted by UP Mindanao (RIIC Davao partnered with Kyushu University in Japan to establish the KIST Park for the Davao Region); 2) Davao Inventions and Innovation Center together with the LGU (this center was created through a city ordinance sponsored by Councillor Braga); 3) RIICs with school-based technology business innovation hubs, funded by DOST—namely, the UP Mindanao, UPGRADE, UMASENSO, USEP AGILAB, and ADDU innovation hubs. There is complementation with the CMCI (Cities and Municipalities Competitive Index) in Region 10 local government unit (LGU) of Cagayan De Oro (CDO).

The CMCI added an innovation component and is now monitoring innovation activities. This innovation pillar will be included in the CMCI ranking in 2022. Further, one other LGU-based activity that the OROBEST can be involved in is engaging with the Bureau of Internal Revenue (on the Small Business Information Portal. A private-sector member of the CDO RIIC mentioned that the RIIC has partnered with the USAID SURGE’ s Cities Development Initiative (CDI) based at the CDO LGU out of the desire to help the RIIC’s MSME partners. The LGU is helpful, and member MSMEs report excitement to be engaged in this CDI Small Business Information Portal of the LGU. This type of collaboration, between two USAID-funded activities, STRIDE and SURGE, working in different sectors and with different objectives, is a practice that the evaluation team highly recommends whenever synergies across activities are possible.

3.5 What effect have the KTTO and Career Center activities had on university-industry-government collaboration? How can KTTOs be further developed and improved to meet industry needs and expectations? (Sustainability, IR1 learning question in the AMELP.) How has the PSM contributed to sustainability of the STRIDE interventions?

EFFECT OF KNOWLEDGE AND TECHNOLOGY TRANSFER OFFICE (KTTO) ON GIA AND ITS FURTHER DEVELOPMENT TO MEET INDUSTRY EXPECTATIONS

The low rate of knowledge transfer between the university and industry continues to pose a challenge in speeding up the innovation process in the country. Among the factors contributing to this are mutual distrust, disagreement in terms of partnerships, and absence of support institutions that enable collaborative research.

STRIDE, in partnership with DOST-Philippine Council for Industry, Energy and Emerging Technology, developed two (2) KTTO programs to upscale the ITSO in HEIs under the IPOPHL, an agency attached to DTI. The KTTO initiative started in 2015 with a pilot batch of ten (10) HEIs (KTTO IMPACT Summary), and in 2018, DOST-Philippine Council for Industry, Energy and Emerging Technology institutionalized the program in 33 academic and 11 government research institutions. STRIDE’s *KTTO Mentor Guide* (2021) will serve as a manual to help STRIDE-trained mentors to deliver more KTTO-IMPACT workshops after the STRIDE project ends. A respondent from a public HEI said, “ *As far as I know, KTTO*

Director had training, and made some inputs in the training. Manual has already existed, but it was improved/revised” (H4) (Table 2.1). A respondent from a private HEI said *“At the end of the project, we were able to build the design. If this would be upscaled, and if there is a group that wants to take on the technology, one concern is how we will protect the ownership of the researcher”* (Annex H, 3.2 FGD-ST). KTTO’s commercialization module, in terms of IP protection can be further developed, together with clear provisions on start-ups and spin offs.

CAREER CENTER’S EFFECT ON GIA

A respondent said *“USAID STRIDE sent me to USA to have an actual feel of the Career Center. We were able to experience a Career Fair and a Reverse Career Fair”* (H9) (Table 2.1). The Career Center provides the resources students need for industry internship, job placement, and other opportunities and guide the students in identifying career opportunities that will match with their skills, interests, personality, and values leading to meaningful and purposeful contribution to the global industry. STRIDE and Ateneo de Davao University rolled out three episodes of “Liyab Live Chats” featuring counselors from STRIDE-supported Career Centers as speakers (2020 QR1, p. 12). Since the Career Center is directly involved in instruction and research and helps to support new student recruitment and alumni loyalty, the mentoring program introduced by STRIDE is very likely to continue after STRIDE ends.

PROFESSIONAL SCIENCE MASTER’S DEGREE PROGRAMS’ CONTRIBUTION TO SUSTAINABILITY OF STRIDE INTERVENTIONS

The Capacity to Innovate survey generated information about the sustainability of STRIDE’s interventions. About 35 percent of the STRIDE scholars and grantees surveyed developed materials for PSM curricula, and 52 percent participated in KTTO training (Annex Table C. 6). STRIDE supported the following PSM degree programs: renewable energy engineering, manufacturing engineering and management, cybersecurity, information technology, data science, dairy products technology, construction management, industrial automation, engineering management, electro-acoustic engineering, railway engineering management, power systems engineering and management, food processing management, and construction management (Draft PSM Guidebook). However, since April 2017, CHED has imposed a temporary suspension of authorizations to public universities for new graduate programs, including PSM degrees. Because of this suspension, HEIs have been hesitant to create new PSMs (AR 2019, p. 30).

3.6 In what ways has STRIDE provided equal access to opportunities for research and innovation to men and women in the STI sector?

The strong gender inclusiveness program within the government agencies in the country, significant numbers of highly educated women working in academe, and traditional active roles of women in Filipino entrepreneurship, are the context within which STRIDE worked. Although there is a gender imbalance in science and technology-related fields in general, STRIDE scholars and grantees who participated in the survey were 55.9 percent male and 44.1 percent female, while participants from government, industry, and academe who volunteered to participate in the FGDs were 47.6 percent male and 52.4 percent female (Annexes F and G). This nearly equal participation of males and females in STRIDE evaluation activities provides some evidence that STRIDE’s programs were relatively gender balanced, particularly given the imbalance between males and females in science and technology-

related fields. When STRIDE’s training moved online due to COVID, women’s access to its training programs increased since they could participate from home and not prolong their day in the office. STRIDE has emphasized and advocated for more opportunities for women in STI careers, accommodations for women scientists and researchers with young children, and scholarships for women to pursue further studies, as shown in their gender assessment report (USAID STRIDE July 2021, p. 3). However, STRIDE was not able to conduct a gender assessment in industry, where the male/female balance and opportunities for access may be different than in academe.

“As for gender equity in terms of RIIC, we can only do attribution. In DOST we have this menu of innovation facilities that we committed to the RIIC and part of that is the Grassroots Innovation for Inclusive Development [GRIN]) Program. Our main goal is to assist in terms of intellectual property and financial assistance to the Indigenous people of Davao Region. We are the pioneering DOST office that has implemented this program. Another one, we have this checklist that we can adapt in terms of GAD [Gender and Development] to address the equity in terms of men and women and LGBTQIA+. We also have this Great Women Project of the DOST, wherein we assist the women entrepreneurs in the region” (DOST-11).

CONCLUSIONS

On the whole, STRIDE’s contribution in achieving the three IRs on improved HEIs’ capacity for innovation, improved regulatory and policy environments for innovation, and improved government capacity for innovation are expanding the competencies of IE actors and providing space for interaction and to practice newly acquired technical knowledge. For each IR, collaboration, cocreation, and building trust among government, industry, and academe are the salient features of STRIDE’s approach for actors responding to opportunities in the IE. But STRIDE interventions have different effects on various groups in terms of improvement in the IE and the capacity to innovate. The regulatory environment’s capacity to innovate needs more support.

1. STRIDE activities are relevant, and they address some of the development challenges identified in the Philippines National Development Plan. Its activities are targeted, focused, and responsive to the needs of IE actors. What is unique with STRIDE is that it paid attention to the demand and market side, industry, and the MSME communities, affirming the whole-of-community approach to attaining inclusive economic growth. Linking MSMEs within the RIICs supports local entrepreneurs. An industry-responsive curriculum via the PSM will generate employable graduates to fill the needs of the industry. R&D efforts also addressed the pandemic.

2. The effectiveness of STRIDE is linked to its innovation capacity framework, which is comprised of facilitating a roadmap, conducting diagnostic assessments, and exposure to several pillars of innovation that make the activities of the country systematic. As noted by World Intellectual Property Organization (2021), “The Philippines is one of the four middle-income countries that are ‘systematically’ catching up in innovation, together with Turkey, Vietnam, and India. These large economies together have the potential to change the global innovation landscape for good.”

The RIIC is an effective platform for convergence to “map, align, and link” all innovation actors in the region for inclusive economic growth and business recovery. Establishing the KTTO in private universities was an inspiration to reinvigorate their visions of being entrepreneurial schools rather

than solely producing top graduates. Start-ups and spin-offs are in low levels of innovation, which could be due to mistrust between industry and academe.

3. Empowering the innovation actors was a powerful strategy for sustainability. All innovation actors mentioned that they have embedded STRIDE's applicable policy and program interventions in their institutions. The innovation law is in place, the national agencies have embraced innovation policies, the RIIC formation (though still fragile) is encouraging, and the HEI interventions are mostly institutionalized. The innovation stage is set for an exciting journey, hopefully with a minimum of political hurdles, in the years to come.

4. In measuring effectiveness, some of STRIDE's performance indicators are intangibles; hence, defining their metrics is essential. STRIDE performance indicators, as mentioned, included improving collaboration, strengthening institutions, building alliances, developing faculty trust and confidence to disclose technologies, serving as inspiration to develop curricula/research labs/fabrication laboratories (FABLABS), and networking with LGUs, communities, and other partners. Some of these can be quantified using a social capital frame, but others are more attitudinal and behavioral in nature and need definitions and measurement strategies designed for these kinds of indicators.

RECOMMENDATIONS

A. For USAID programming

1. STRIDE Phase 1 focused on increasing capacity. Phase 2 focuses on interconnection and collaboration in the context of RIICS and GIA. Future programming, a Phase 3, should focus on supporting the regulatory environment of the host government to make it conducive to innovation (e.g., procurement-related concerns of actors, other regulatory policies on easing business relationships, small investor credit policies etc.).

2. A Phase 3 should focus more on small private and public universities.

3. A follow-up project should also pay attention to commercialization challenges, i.e., patents and trademarks, start-ups and spin-offs and how to make these grow and be sustainable.

B. Strengthening the IE across elements

1. HEI should seek to establish regional START centers, perhaps based in USAID's HEI partners. Regional centers will offer easier access to training and modules that also can be targeted to the regional audience. The evaluation team also recommends that a Phase 3 should have a dedicated training program for procurement officers.

One challenge in the IE and for HEIs is the suspension of creating new PSM programs at the tertiary level. Out of 2,296 HEIs, 72 percent (1,729) are private institutions (Annex J, Table 10). If each has its own PSM, as a form of service innovation, this will likely improve the micro-IE in their respective communities and would contribute to the improvement of overall innovation score in the global ranking of the host government. Local training centers, like the START Center, would address the needs of RIICs.

HEI efforts will not be as successful as they could be without a parallel effort at the basic education level. Programs for International Student Assessment (PISA) scores in reading, science, and math are one of the indicators under the human capital and research pillar of the GII (WIPO, 2021). There is a need to collaborate with institutions such the Department of Education and the University of the Philippines National Institute for Science and Mathematics Education Development (UP NISMED) to improve Filipino 15-year-old students' performance in this international assessment. Additionally, innovation competencies appropriate to students' cognitive levels should be included in the basic education curricula to ensure that graduates at this level will be equipped with the prerequisite skills needed in HEIs. As emphasized by NEDA Assistant Secretary, Abad Santos, "At the basic education level they are not prepared for this [skills required in innovation]". (CHED, DepED)

2. For MSMEs to flourish as innovators, start-ups and spin-offs need support (DTI, DOST, CHED).

Best practices in managing a firm after a start-up is a continuing concern for projects like STRIDE. Scenario planning was part of the training at the DOST. DOST should lead these scenario planning exercises in GIAs. Given future scenarios, GIAs can plan on the supply-chain needs of industry, including the intellectual capital that will be needed. As the supply of this intellectual capital will come from the younger generation, basic education that produces creative students and critical thinkers is essential

3. The government-academe- industry link within the RIIC will need mutually agreed policy support that can strengthen and sustain the collaboration/partnership (RIIC, NEDA regional offices, CHED).

In general, RIICs need more policy support in terms of easing business relationships with industry, cultivating the trust and confidence to encourage disclosure of the HEI innovators that their technologies will be protected, and other transitory issues (e.g., internal policies on timelines, credit loads, proper expertise match, procurement processes) to strengthen the partnership between the academe and the industry. The evaluation team also recommends that public-sector policies (e.g. DOST processes) and private sector/HEI policy harmonization is needed for more effective collaboration.

4. To sustain the gains in the IE, the evaluation team recommends that the National Innovation Center is operationalized further and rules for accessing the Innovation Fund are developed. This would be a vehicle for the RIICs to develop more collaborative activities to strengthen the IE. RIICs also need more capacity-building to develop funding proposals. The national government should finalize the innovation strategic plan. Regional-level actors are waiting to craft their own strategic plans consistent with the national plan. The evaluation team also recommends creating more space for interaction in the RIIC so that actors can practice their newly acquired technical knowledge on innovation and accommodate contribution from other actors, such as the DA, DICT and other agencies (NEDA).

C. For future studies

1. The evaluation team recommends that future activities develop indicators to monitor and assess collaboration as an element in improving the IE. The team found that collaboration is a critical part of strengthening the IE, but STRIDE does not have indicators to measure and assess levels and quality of

collaboration. These indicators should measure and assess trust, confidence, inspiration, cultural similarity, and inclusiveness among actors in the IE.

2. There is also a need to study the constraints on why start-ups and spin-offs are not flourishing in the country. While STRIDE's extension phase was on forging connections, the ultimate goal is to be able to have active commercialization activities that will balance the research and innovation activities in academe. Thus, indicators including number of patents leading to start-ups and spin-offs will be important to monitor.

3. There is need to further study intellectual property application processes to understand the factors for the long duration of the approval of patents, trademarks, industrial design rights and even the licensing itself.

4. A post-implementation evaluation, specifically a tracer study on grantees/scholars for the first phase of STRIDE, would provide USAID with information on the innovations that grantees created and the commercialization activities that may have resulted from the grant-funded innovations. A post-implementation evaluation also could consider the outcomes of the STRIDE-assisted regional agencies on local MSMEs as well as the pathways for MSME commercialization of innovations.

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ANNEX A.1 PERFORMANCE INDICATORS FINDINGS

IR 1. IMPROVED HIGHER EDUCATION CAPACITY

IR1 has three sub-IRs: Sub IR 1.1 Improved HEI faculty and staff capabilities; Sub IR 1.2 Strengthened Science and Tech curricula; and Sub IR 1.3 Strengthened HEI linkages with industry. It has five performance indicators. Amongst the 3 IRs, the IR1 has the highest level of improvement in the capacity to innovate.

TABLE 5. SUMMARY OF SUB-INTERMEDIATE RESULTS FOR IR1 AND ITS PERFORMANCE INDICATORS (PIS)

SUB-INTERMEDIATE RESULTS	PERFORMANCE INDICATOR BASED ON REVISED FRAMEWORK	PERCENTAGE OF LOP TARGET ACHIEVED IN 2020	PERCENTAGE OF LOP TARGET ACHIEVED TO Q3 2021	REMARKS
Sub IR 1.1 Improved higher education capacity	PI21 (ES.2-1). Number of host-country tertiary education institutions receiving capacity development support with USG assistance	109%	112%	Overachieved New programs such as FEC, Career Centers, and START Center were created
	PI24. Number of tertiary education institution faculty or staff whose qualifications are strengthened through USG-supported STI-related training programs	See below	See below	Almost achieved Have catch up from the start of Quarter 1
	Completed	24%	86%	
	Enrolled	54%	107%	
Sub IR 1.2 Strengthened Science and Tech curricula	PI16. Number of USG-supported tertiary programs with curricula revised with private and/or public sector employers' input or on the basis of market research	87%	107%	Overachieved Increase in linkages as a factor in this over achievement
	PI25. Number of individuals attending tertiary education institutions with curricula revised with private and/or public sector employers' input or on the basis of market research			Almost achieved Have catch up from the start of Quarter 1
	<i>Graduates</i>		32%	

New enrollees 36%

Attending 63%

Sub IR 1.3 Strengthened HEI linkages with industry	PI26. Number of new partnerships between tertiary education institutions, government and/or private sector firms developed as a result of USG-supported programs	121%	171%	Overachieved Linkages resulted to several partnerships and co-operation
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SUB IR 1.1 IMPROVED HEI FACULTY AND STAFF CAPABILITIES

The indicators for this Sub IR are PI 21 and PI 24.

PI21 - Number of host-country tertiary education institutions receiving capacity development support with USG assistance. STRIDE reached 112% of its target. The number of capacity development programs has 109% achievement in 2020. In the 2021, other than the existing assistance to faculty and staff, STRIDE created additional new programs such as FEC, Career Centers, and START Center.

PI24 - Number of tertiary education institution faculty or staff whose qualifications are strengthened through USG-supported STI-related training programs. STRIDE reached 86% of its target for this indicator. The number of interventions to private and public universities has 24% achievement in 2020. During the three quarters of 2021, STRIDE added activities such as Fab Lab Operations Resilience Masterclass, Career Centers, START Modules, FEC program to their already existing KTTO and PSM trainings. Further, STRIDE also reported certification of two local mentors supporting the goal of enhancing the mentoring capacity of partner universities. The number of enrollees in previously mentioned USG supported programs has 54% achievement in 2020 and 107 % in quarter 3 of 2021.

STRIDE supported a partnership with an HEI for a training center for research faculty and staff with engagement with PASUC in Quarter 2 of 2021. In Quarter 3 of the current year, STRIDE selected two institutions as hosts for this partnership.

Remarks: There was an overachievement on providing capacity development programs. Strengthening the qualifications of faculty and staff was almost achieved. This is due to a number of factors including issues on timelines as shared by Dr. Richard Abendan. "The decline in enrollment is due to several factors such as delays in contracting and other administrative matters and not just solely on the pandemic."

SUB IR 1.2 STRENGTHENED SCIENCE AND TECH CURRICULA

The indicators for this Sub IR are PI 16, PI 24, and PI 25.

PI16 - Number of USG-supported tertiary programs with curricula revised with private and/or public sector employers' input or on the basis of market research. STRIDE targeted for two PSM curricula. The number of PSM curricula has 87% achievement in 2020 and 107% in quarter 3 of 2021.

During the last three quarters of 2021, STRIDE helped three institutions on their PSMs. Technological Institute of the Philippines (TIP) as the leader of PSM in National Capital Region (NCR), launched their third PSM on engineering management while two public universities, Polytechnic University of the Philippines (PUP) and University of the Philippines (UP), are still receiving STRIDE assistance for the creation of new curricula. PUP has already developed PSM on engineering management and is waiting for CHED approval. UP started the first curriculum development activity for a PSM in Industrial Intelligent Systems. The improvement in STI curricula is attributed to several capacity building activities under PI 24 of the second phase, which are PSM curriculum workshop, Career Center training, KTTO training, FEC, and START.

PI24 - Refer to Sub IR 1.1

PI25 - Number of individuals attending tertiary education institutions with curricula revised with private and/or public sector employers' input or based on market research. STRIDE has three sub-indicators for PI 25: percentage of students who graduated, new enrollees, and attending students. In 2020, STRIDE reached 32%, 36%, and 63% respectively of its targets. For 2021, STRIDE did not report further progress in its Q3 reports.

Remarks: There was an overachievement on this sub-IR which can be attributed to collaboration of government, industry, and academe where more than one-third (36%) of service innovation (e.g., curricula) developed with other organizations (Refer to Annex D.8).

SUB IR 1.3 STRENGTHENED HEI LINKAGES WITH INDUSTRY

The indicators for this Sub IR are PI24, and PI26.

PI24 - Refer to Sub IR 1.1

PI26 - Number of new partnerships between tertiary education institutions, government and/or private sector firms developed as a result of USG-supported programs. STRIDE reached 171% of its target for this indicator. The number of new GIA partnerships has 121% achievement in 2020 and 171% in quarter 3 of 2021.

The partnerships formed were the result of activities under PI 24 which were mostly from Career Centers and KTTO and a few from the RIICS initiatives, and curriculum development of PSM programs. For the last three quarters there was increased industry-academe partnerships. A large number of MSMEs-government partnerships, as initiated by RIICS, were also remarkable under this indicator.

Remarks: The overachievement for this sub-IR may be explained by the establishment of cooperation within the IE in the country with the following forms: other institutions (45%), suppliers (27%), client or customers (50%), competitors (22.7%), consultants (46%), other HEIS (41%), and government research institutes (46%). For full data, refer to Annex D.17.

In summary, STRIDE achieved its IR1 target of capacitating HEIs to innovate. Among the three sub-IRs, performance under IR 1.2, specifically the number on graduates, enrollees, and attending of STI-related curricula should be further monitored towards the end of Q4.

ADDITIONAL TASKS IR1 (STRIDE REVISED FRAMEWORK, MAY 21, 2021)

TASK 1.1: GROWTH OF INDUSTRY-ENGAGEMENT MECHANISMS (KTTOs, CAREER CENTERS, AND PSMS) SUB-TASKS

STRIDE, in partnership with Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) created two KTTO programs with the purpose of providing resources to scale-up TTO initiatives. The Career Centers organized job fairs for Filipino youths (f = 22,000), thousands of GI partnerships (f = 3000), strategic planning for TIP's PSM and additional faculty training on establishing career centers. For PSM, there were additional 14 curricula distributed in several regions. The connection among KTTO, Career Centers, and PSM is the mechanism necessary for industry engagement. There is PSM because KTTO serves as information on the specific curriculum needed to sustain growth in the industry. Career centers aid youths to target specific jobs required by the future work force. These three programs ensure that there are local labor markets with the competencies required for economic growth. This subtask has completed its objective.

SUB TASK 1.1.1. CREATE MENTOR'S GUIDES FOR MECHANISMS

Under this subtask STRIDE developed three learning guides, the KTTO mentor's guide, PSM guide, and KTTO workbook. These three materials consist of training modules, strategies, and step-by-step processes on establishing KTTO offices and development of PSM curricula. The guides have increased the numbers of KTTOs, PSMs and linkages as reflected in the table on summary of sub-intermediate results for IR1 and its Performance indicators (PIs). Although this subtask has completed its objectives, the last two years of the second phase forced all the participants to attend all these programs remotely. *The evaluation recommends a revised version of these guide in a virtual setup with emphasis on the universal design (UD).*

SUB TASK 1.1.2. GROW AND SUPPORT MECHANISMS IN LOCAL UNIVERSITIES

In Q2 2021, STRIDE partnered with Philippine-American Academy of Science and Engineering (PAASE) to mentor the SUCs on innovation with focus on courses under START Center, revamping the strategic plans of HEI align with international standards and roll out capacity building programs and policy initiatives. Scientist and engineers under PAASE will create course content and serve as teacher and mentors to members of PASUC.

TASK 1.2: TECHNICAL ASSISTANCE TO IMPLEMENTATION OF PASUC PISI

STRIDE and PASUC designed and conducted several diagnostic assessments of SUCS. The assessments identified the strengths and gaps in the 12 pillars of innovation the results of which were presented to the 112 SUCS. . The information obtained from the diagnostic assessments resulted in the development of the Platform for Innovating SUCs for Industry 4.0 (PISI) by PASUC with support from STRIDE. Of the 12 pillars of innovations, PISI adopted the four that emphasize intellectual capital. STRIDE's diagnostic tool serves as a metric to assess PASUC members on activities that foster innovation.

TASK 1.3: FACULTY AND RESEARCHER TRAINING (START CENTER)

To sustain STRIDE's R&D initiatives, STRIDE established the Skills in Technical and Advanced Research Training (START) Center in Q2 2021. The Center aims to serve as local training institution that enhances R&D competencies of Filipino researchers and faculty members. This was part of the

sustainability plan where the goal was to continue what STRIDE has started in the host country as Dr. Abendan explained in the context validation meeting “*START was originally a sustainable plan but there were issues in its implementation.*” The START Center was only observed at the latter part of this Phase. Two universities located at the NCR region were sub-awarded and obtained approval in Q3 2021.

TASK 1.4: R&D GRANT FOR WIDENING APPLICATIONS OF RESEARCH WITHIN THE PANDEMIC (WARP)

The R&D Grant for Widening Applications of Research within the Pandemic (WARP) seeks to enable HEIs to apply results of their research activities toward solutions appropriate and/or adaptable within the operating environment of the “new normal.” From the start of this program, STRIDE received 26 proposals from eligible previous grantees and made grant awards to five Philippine universities.

IR 2. IMPROVED REGULATORY ENVIRONMENT FOR INNOVATION

IR 2 has one Sub IR 2.1 and several additional tasks and four indicators. While the seeds for an improved regulatory environment for innovation have been sown, time was not sufficient for improving the IE significantly. The main aim was for procurement policy and R and D incentives framework to be improved. Both have been challenging, because any intervention along these needs to be coupled with reforms by the host government, either in terms of legal or institutional reform.

TABLE 6. SUMMARY OF SUB-INTERMEDIATE RESULTS FOR IR2 AND ITS PERFORMANCE INDICATORS (PIS)

SUB-INTERMEDIATE RESULTS	PERFORMANCE INDICATOR BASED ON REVISED FRAMEWORK	PERCENTAGE OF LOP TARGET ACHIEVED IN 2020	PERCENTAGE OF LOP TARGET ACHIEVED TO Q3 2021	REMARKS
Sub IR 2.1 Improved regulatory environment for innovation	PI27. Number of initiatives of innovation policy, strategies, or plans approved or implemented attributable to USG support	94%	111%	Technical assistance to national policy development, DOST /DTI policy reforms, proposed R and D framework and RDC resolutions for the RIICs
	PI28. Percentage change in time to procure scientific research equipment and materials at HEIs (with emphasis on time reduction)			No accomplishment reported for AR2020. Not included in AR2021 Q1-Q3 PI Table (Annex A). Proposed to be dropped pending approval of new MELP
	PI29. Percent change in required number of signatures needed to procure scientific research equipment and materials at HEIs			No accomplishment reported for AR2020. Not included in AR2021 Q1-Q3 PI Table (Annex A). Proposed to be dropped pending approval of the new MELP.

PI30. Percent change in new Science for Change (S4CP) grant applications	See below	Baseline data are 2017 figures. For Year 7 reporting, 2019 data are compared to baseline data. Not included in AR2021 Q1-Q3 PI Table (Annex A)
<i>Niche Centers in the Regions for (R&D)</i>	-37%	
<i>R&D Leadership (RDLead) Program</i>	50%	
<i>CRADLE</i>	183%	
<i>Business Innovation Through Science and Technology for Industry (BIST)</i>	-50%	

PI27 - Number of initiatives of national higher education innovation policy, strategies, or plans drafted, presented to stakeholders, approved, or implemented, attributable to USG support (Outcome indicator). STRIDE reached 111% of its target for this indicator. At the national level, four new policies were approved or implemented with USG-assistance after 2020. STRIDE also entered into an agreement with the UP Diliman for a procurement policy study. The DOST instituted policies to improve R and D communications and enhance the monitoring of grants in aid program.

At the regional level, policies were the formalization of the RIIC platforms in the regions through RDC resolutions. These policies focus on business recovery mechanisms during pandemic, strengthening linkages and connections between innovation actors by targeting increased participation from local industry groups, implementing roadmaps, and formulating a five- year strategic plan. An MOU was also signed by 19 host institutions on the institutionalization of the FABLABS Philippines, (QR 1 2021 p.34) to sustain government–industry–academe collaborations and have a common framework.

Agreements were also signed for HEI collaborative work through the FAB LABs Philippines network, to sustain government–industry–academe collaborations and have a common framework.

PI28 and PI29 - No accomplishments reported for AR2020. Not included in QR2021 Q1-Q3 PI Table (Annex A). STRIDE has proposed dropping these indicators in its proposed MEL plan revisions that are pending USAID approval. This is due to the long timeline needed to realize this outcome.

PI30 - Percent change in new Science for Change (S4CP) grant applications. There are four programs that refer to the indicator of change in new Science for Change (S4CP) grant applications. The trends in two programs - Niche Centers in the Regions for R&D (NICER) and Business Innovation Through Science and Technology for Industry (BIST), declined in 2019 compared to their base years. On the other hand, the R&D Leadership (RDLead) Program and CRADLE both increased in 2019. The novelty of these programs is that the private HEIs are also eligible for DOST grants and the programs encourage market driven research. In CRADLE, the academe proponent is required to partner with industry.

This indicator measures the level of activity (applications received) in the first 4 RIIC pilot regions under different S4CPs. CRADLE grants by the RIIC, which are a type of grant given to an HEI with an

industry partner to pursue innovative research, are one pathway to highlight the improvement of linkages between government, academe, and industry in the regions.

On average, CRADLE applications across the regions increased immensely due to the renewed interest of stakeholders in the RIIC in conducting collaborative activities. On the other hand, NICER and BIST applications saw a drop in applications from the baseline data. The timelines of the call for proposal and the reporting by the STRIDE do not correlate. The proposed revisions to the STRIDE MEL plan drop this indicator.

Sub IR 2.3 Improved policies for extension services (no indicators in 2020 and 2021)

ADDITIONAL TASKS IR2

TASK 2.1 IMPROVED PROCUREMENT POLICY/ LEGISLATION FOR RESEARCH AND DEVELOPMENT (R&D)

STRIDE's R and D procurement survey found delays in the procurement of imported equipment for research, and long timelines in purchases, and which according to the UP College of Science (UPCS) officials can lead to a 25% loss of research funding. On the average, UPCS receives about a billion pesos (approximately USD 20 million) of grants annually. STRIDE initiated several activities based on the survey's results: 1) Support to the UP-Procurement Office included sharing of good practices and assisting in developing templates and responsibility matrices to hasten the utilization of the procurement manual. The UP-Procurement Office did not use this manual. Instead, it used a new manual drafted by the new UP administration.. The revised draft manual incorporated government recommendations to utilize the alternative methods of procurement and to streamline small value procurement processes for science and technology-related equipment; all these will input into a white paper that STRIDE plans before its period of performance ends. UPCS and the Ateneo de Manila governance experts will author the manual. 2) STRIDE entered discussions with a private firm RainPhil on their experience supplying R and D equipment. Lessons learned from these discussions will also be inputs into the white paper. 3) Currently, STRIDE funds a case study of the UP College of Science to understand problems in the procurement system and will do a quantitative analysis of the losses of the current procurement system. The study will recommend solutions including some legal reforms. Data from the study will form the bulk of the white paper analysis.

SUB TASK 2.1.1 INSTITUTIONALIZATION OF R&D PROCUREMENT POLICIES IN SELECT HEIS

None so far.

SUB TASK 2.1.2 SUPPORT TO GOVERNMENT AGENCIES TO IMPROVE R&D PROCUREMENT POLICIES AND LEGISLATION

On-going. STRIDE completed the R&D procurement survey among scientists and researchers. Data from the survey will serve as inputs to the white paper on procurement.

TASK 2.2: IMPROVED HEI CODES AND POLICIES ON RESEARCH INCENTIVES AND EXTENSION

STRIDE conducted several FGDs to gain insight on how to further improve policies on research incentives and extension in the HEIs. Technology transfer, commercialization, collaborative activities with the private sector, and community adoption of university-generated technologies were some of the identified mechanisms that propel science and technology extension at the forefront of innovation. Recommendations from stakeholders included the creation of metrics to measure social

impact especially for science and technology extension work and the creation of a central database that can store university-produced innovation and technologies, which then can be easily accessed by stakeholders. This is on-going activity through the RIIC.

“We have to do something with research because Xavier University is a teaching university, but we are moving to research, and we are still in the transition” XU representative.

In addition, it was also found during these consultations that *“research incentives are not merely confined through monetary awards. Instead, researchers are more keen and inspired to perform R&D activities if the structural and institutional support is present in the HEI environment”* (p. 49, 2019 STRIDE Annual Report).

SUB TASK 2.2.1. DISSEMINATION OF POLICY PAPERS ON RESEARCH INCENTIVES AND EXTENSION

Done. Two policy papers were produced to improve research incentives and extension. One is the Research and Extension reference paper which provided guidance and action points for SUCs toward building the foundational elements of SUC research and extension. The paper recommends looking into two areas: support to faculty and crafting new metrics to measure research and extension productivity (AR 2020 page 44). Given the pandemic-driven landscape in which SUCs currently operate, STRIDE’s paper also provided a lens on the role of SUCs toward mitigating COVID-19. It describes research and extension as the most tangible platforms where SUCs can demonstrate their ability to deal with unexpected crises such as the pandemic.

The other paper is the PASUC policy paper, where the SUCs,

“take stock of their human, structural, and relational resources and re-engineer it toward revolutionizing universities into thriving platforms for collaborative knowledge creation ...that can positively transform the lives of Filipino families and communities.” (PASUC President Tirso Ronquillo, QR1 2021 STRIDE, p. 19).

Aside from the conventional metrics on capturing research production and output, the tool also aims to capture alternative metrics for social, economic, and policy impact. From a policy perspective, this task completed (AR 2019). The recommendations presented could serve as a foundation or blueprint in designing future strategic plans to increase SUCs’ capacity for innovation.

SUB TASK 2.2.2. SUPPORT FOR POLICY IMPROVEMENTS IN RESEARCH INCENTIVES AND EXTENSION AT SELECT HEIS

On-going, very promising, especially with the planned expansion. There is an ongoing pilot with MSU IIT for policy improvement based on STRIDE’s policy paper., The pilot is to conduct a four- to six-month “change readiness review” to revamp the current Research and Extension manual to conform with STRIDE’s policy document (QR1 2021 STRIDE). Once successful, adoption of policies can also expand to other SUCs and private universities.

The evaluation asked online survey respondents (Set B) to assess the improvement in the regulatory environment for innovation at their institutions. Annex Table D.19 summarizes the results. The highest affirmative answer was the new laboratories, institutions, and training programs (64%), followed by improved scientific workforce (people services), (54%) and science-based guidelines (50%). Lagging

behind are improved approval for utility model (27%), improved application for utility model (31%), improved approval for IP patent (31%) and improved procurement policy (31%). These findings support the qualitative data that commercialization activities still need more policy support and demonstrates the weakness of extension/technology transfer policies in the HEIs.

IR 3. IMPROVED GOVERNMENT CAPACITY FOR INNOVATION

This IR has also one Sub-IR which is improved government capacity for innovation. It has five performance indicators. Assessment of the achievement of this IR3 shows that it has achieved a level of improvement, albeit, higher than IR2, and lower than IR1.

PI31 - Number of public sector-funded programs or offices that have improved management practices or technologies as a result of USG assistance reached 50% of its LOP target in 2020. Five government agencies mostly in Mindanao, highlighted improvements in their own management practices and operational activities with STRIDE-related assistance. This indicator did not have data for end LOP of Q3 2021.

Remarks: STRIDE was not able to meet its LOP target in this performance indicator but most of the agencies/offices that received STRIDE interventions were the prime movers in the establishment of pilot RIICs in Region 5 (DTI), Region 10 (DOST), and Region X1 (DTI, CHED) (AR 2020, p.21). However, DA as a potential RIIC partner was not involved. Respondents in Region X1 said, *“We are looking forward to involving the DA in the agriculture side, and other industry associations”* (Annex H, 3.2 FGD-ST), and *“We need to harmonize as we have several innovation facilities in the region, and harmonization is lacking”* (Annex H, 3.1 FGD-ST).

PI32 - Number of private sector firms that have improved management practices or technologies as a result of USG assistance achieved 40% of its LOP target in 2020 and 133% during the third quarter of 2021. Five local firms have signified improvements in their own management operations with STRIDE-related assistance. Additional firms are currently seeking improvements in the innovation for business recovery activity in response to the pandemic under the RIICs.

Online survey results (Set B) revealed three types of process innovation: 1) Improved methods of manufacturing, 2) Improved logistics, delivery, or distribution methods, and 3) Improved supporting activities for processes. Fifty four percent have improved methods of manufacturing, 32 % had improved logistics, delivery, or distribution methods, and 32% had improved supporting activities for processes. On who developed the process innovation, 14% said the institution itself, 32% together with other organizations, and 50% developed by other organizations (Annex Table D11).

Remarks: STRIDE interventions in many MSMEs’ affected the different facets of private firms’ operations and processes (2021 QR3, p. 10).

PI33 - The amount of mobilized funds from Philippine Government on innovation-related activities as a result of USG-supported interventions was also rated at 24% compared to LOP target to date (2020). This indicator’s target will be modified pending approval of the new MEL plan.

Remarks: Difficult to project government funding.

PI34 - The number of government staff whose qualifications are strengthened through USG-supported STI-related training programs also increased by 125% for those who enrolled from base year to 2020, and 37% for those who completed the training, during the same period. While those completed increased in Q3 2021, those enrolled have declined.

Remarks: The decline in enrollment is due to various factors including COVID 19 pandemic.

PI35 - The target number of established RIICs was achieved in 2020. But there were more RIICs established in 2021.

Remark: STRIDE achieved its target number of RIICs (AR 2020, p. 22). In partnership with DTI, DOST, NEDA, and other stakeholders, STRIDE supported the establishment of RIICs in Regions 2, 3, 4A, 5, 7, 9, 10, and X1 to accelerate collaboration and linkages activities in the area. A respondent from public university said *“There is this issue of Industry-Academe gap that the academe is not responsive with the needs of the industry. With the RIIC, I hope it would be able to further strengthen Academe and Industry collaboration. The perennial issue of collaboration can be resolved”* (Annex H, 3.3 FGD-ST).

TABLE 7. SUMMARY OF SUB-INTERMEDIATE RESULTS FOR IR3 AND ITS PERFORMANCE INDICATORS (PIS)

SUB-INTERMEDIATE RESULTS	PERFORMANCE INDICATOR BASED ON REVISED FRAMEWORK	PERCENTAGE OF LOP TARGET ACHIEVED IN 2020	PERCENTAGE OF LOP TARGET ACHIEVED TO Q3 2021	REMARKS
Sub IR 3.1 Improved government capacity for innovation	PI31. Number of public sector-funded programs or offices that have improved management practices or technologies as a result of USG assistance	50%		Not included in AR2021 Q1-Q3 PI Table (Annex A)
	PI32 (EG.5.2-2): Number of private sector firms that have improved management practices or technologies as a result of USG assistance.	40%	133%	STRIDE recorded 14 MSMEs with improved management practices or technologies through an informal survey (2021 QR3, p. 10)
	PI33. Amount of mobilized funds from Philippine Government on innovation-related activities as a result of USG-supported interventions	24%	[REDACTED]	
	PI34. Number of government staff whose qualifications are	See below	See below	

strengthened through
USG-supported STI-
related training
programs

Completed	37%	65%	Target was not achieved due to various factors including COVID 19 pandemic
Enrolled	125%	85%	Target was not achieved due to various factors including COVID 19 pandemic
PI35. Number of established RIICs	100%		8 RIICs were established. Not included in AR2021 Q1-Q3 PI Table (Annex A).

ADDITIONAL TASKS IR3

TASK 3.1: PHILIPPINE GOVERNMENT CONVERGENCE EFFORTS ON INNOVATION

Lately, there was DTI’s call to strengthen an innovative and competitive PPE manufacturing sector, where STRIDE responded this year (2021) via the Understand-Adapt-Connect (UAC) activity and a request to assist in drafting the National Innovation Agenda and Strategy Document (NIASD). These were additional tasks and did not have metrics.

SUB TASK 3.1.1. SUPPORT FOR DTI CIG TOWARD CAPACITY DEVELOPMENT, POLICY FORMULATION, AND PROGRAM IMPLEMENTATION

STRIDE completed the rollout of three Strategic Communication Planning workshops and one News Writing Course for the DTI–CIG. STRIDE the DTI completed efforts to develop the Philippine Artificial Intelligence (AI) roadmap. It supported DTI–CIG Quick Response Against COVID-19, assisted the DTI-Office of the Undersecretary for CIG in facilitating the aggregation of supply and demand data for PPE and coordinated with DTI field offices with regard to the demand for face shields and other medical supplies required by hospitals, health centers, and similar facilities.

Remarks: Relevant activities.

SUB TASK 3.1.2. TECHNICAL INPUT ON GOVERNMENT-IDENTIFIED INNOVATION

STRIDE’s technical assistance to the government seeks to create synergy and alignment among involved agencies such as the DTI, DOST, IPOPHL, National Economic and Development Authority (NEDA), and Commission on Higher Education (CHED). STRIDE provided technical support in the development of the roadmap by co-organizing FGDs with the manufacturing, services, and agriculture sectors.

TASK 3.2: REGIONAL INCLUSIVE INNOVATION CENTERS

RIICs are envisioned as a network of innovation players working to map, link, and align programs, facilities, and institutions in the innovation space. STRIDE supports DTI, DOST, and innovation stakeholders in the regions toward realizing RIIC goals. In each of the RIIC pilot sites, both local and national stakeholders have identified regional priority sectors to serve as the test cases for the demonstration of the concept. STRIDE employed a variety of activities and engagement modalities that build on existing networks and partnerships. The Innovation Advisory Services (IAS) is an activity that details practices, mechanisms, and client interface improvements among and between actors and their target users in the RIICs. It aims to standardize the innovation advisory business process in the regions and train DTI and DOST staff to become confident innovation advisors.

Remarks: Pilot RIICs are doing very well and expanding the IE.

SUB TASK 3.2.1. INSTITUTIONALIZING THE RIIC INITIATIVE IN THE REGIONS

Months of technical assistance and on-the-ground engagements with RIIC stakeholders resulted not only in the adoption of the RIIC (seven out of 8) as a regional development agenda (by Regional Development Councils), but more importantly also in the identification of a common approach to building the RIICs in their early stages. STRIDE used the Mapping-Linking-Alignment (MLA) of innovation actors in the region and facilitated an iterative and participatory process to establish the RIICs with strong consideration of the local innovation ecosystem dynamics and partners' sentiments on priorities. The MLA was considered as a framework and an approach to enable systematic and sustainable collaboration within and among Government, Industry and Academe (GIA) partners.

Remarks: High probability of institutionalization.

SUB TASK 3.2.2. MAPPING INNOVATION STAKEHOLDERS AND INITIATIVES IN THE RIICs

This activity aims to inventory innovation resources in the region and beyond so that they can link partners who seek expertise/information and align their activities to possible industry partners. Some of the RIICs also constructed websites which aimed to help MSMEs boost their productivity and enhance resilience. Some also implemented Innovation for Business Recovery (IBR) programs to help MSMEs recover from the impact of the COVID-19 pandemic, and to adapt to the new normal.

Remarks: Data base to expand innovation capacity.

SUB TASK 3.2.3. STRENGTHENING LINKAGES OF INNOVATION STAKEHOLDERS IN THE RIICs

Linkages of RIICs were strengthened through their STRIDE supported Innovation for Business Recovery (IBR) Programs. STRIDE hosted Pitch Events, ideation workshop, and Export Incubation Program (EIP) to beef up the industry-academe partnerships and linkages; facilitated signing of Memorandum of Understanding (MOU) among partners and building data bases for SUC to curate their technologies and other knowledge products; and for expanding its industry linkages, STRIDE facilitated meetings with FAB LABs Coordinators.

For Set B survey respondents, when asked who the most valuable cooperation partner of their institution's innovation activities is, 27% said HEI, 54% said government agency, 27% said the private sector/industry, while 13% said Research Partnership with R&D Background. As for the respondent's

reason of the most valuable cooperation partner to their institution's innovation activities, 50% said expertise, 32% said Network/Partnership/Linkages, while only 14% mentioned funding as a reason for partnership (Annex Table D18.b).

Remarks: A vehicle for institutionalization, will improve IE.

SUB TASK 3.2.4. ALIGNING EXISTING PROGRAMS AND FACILITIES TO INDUSTRY NEEDS IN THE RIICS

STRIDE provided technical assistance in preparing the RIIC's Program Alignment Report and Innovation Guidebook. The Report guides partners in government on aligning innovation opportunities in the RIIC with focus on MSME needs while the guidebook contains information meant to help MSMEs maximize RIIC opportunities and succeed in their own innovation journeys.

Remarks: Very important for expanding/improving IE.

TASK 3.3: TECHNICAL ASSISTANCE TO DOST

SUB TASK 3.3.1. TECHNICAL ASSISTANCE TO DOST-FUNDED RESEARCH AND START-UPS

The technical assistance of STRIDE to DOST seeks to help improve the likelihood of commercial outcomes of DOST-funded research, improve R&D grants systems, institutionalize R&D funding through legislation, and strengthen capabilities of DOST staff to communicate R&D impact and benefits in order to increase public support for science and technology investments. The Business Innovation through Science and Technology (BIST), seeks to encourage and assist Filipino-owned companies to innovate and develop competitiveness through the acquisition of new and relevant technologies from research.

Remarks: Start-ups, and commercialization in general, as a component of technology transfer is still very new in the Philippines and may still need more support.

SUB TASK 3.3.2. BUSINESS PROCESS MAPPING AND TECHNICAL ASSISTANCE TO GRANT PROGRAMS

STRIDE supported the Filippinovation Entrepreneurship Corps (FEC) training for DOST-funded researchers in partnership with DOST-PCIEERD and co-implemented by De La Salle University (DLSU) that aimed to rapidly determine the commercial readiness of research by working with a team of potential industry partners to conduct customer discovery and validation of their research. STRIDE also organized an industry-academe roundtable with Makati Business Club (MBC) which emphasized the business sector's important role in research and innovation. The outputs of the TA on grants management system include the to-be operations manual with proposed R&D process improvement indicators; a proposed harmonized GIA competency framework and communication plan; and the case study for the CRADLE Program.

Remarks: Done.

SUB TASK 3.3.3. TECHNICAL ASSISTANCE IN COMMUNICATING THE OUTCOMES OF R&D

STRIDE assisted the DOST's R&D Communication Committee produce the National Research and Development conference materials and videos and developed a media outreach strategic plan to help DOST gain momentum and traction for its publicity efforts specific to its COVID-19 response. STRIDE provided inputs to the development of the DOST manual for the operationalization of R&D Monitoring

and Evaluation (M&E) protocols. The inputs focused on the role of communication in supporting research M&E.

Remarks: This is done and is already embraced by the DOST. Very satisfactory outputs.

SUB TASK 3.3.4. INCREASING INDUSTRY ENGAGEMENT OF DOST UNITS OR PROGRAMS

CRADLE: The Collaborative Research and Development to Leverage the Philippine Economy (CRADLE) program is DOST's leading grant initiative for industry- academe linkages. From a low number in the past year, this year, the CRADLE proposals amounted to 123. (DOST Usec 2021).

Remarks: Very promising projects to improve the innovation ecosystem.

TASK 3.4: TECHNICAL ASSISTANCE TO CHED ORGANIZATIONAL ASSESSMENT

STRIDE technical assistance to CHED aims to review the mandate, structure, and functions of the CHED as embodied in the law that created it (RA No. 7722); identify and review the developments in the higher education sector that have a potential impact on the organization and functions of CHED; analyze the nature and extent of the gaps that need to be addressed; and recommend measures that will address the identified gaps. The study team is completing data collection and analysis this quarter (Q3 2021), which took longer than expected due to limited data available from CHED and difficulties conducting interviews during the pandemic.

Remarks: This is a potentially important work to support the engagement of the CHED in the IE.

PI 31 Number of public sector-funded programs or offices that have improved management practices or technologies as a result of USG assistance reached 50% of its LOP target in 2020. Five government agencies mostly in Mindanao, highlighted improvements in their own management practices and operational activities with STRIDE-related assistance. This indicator did not have data for end LOP of Q3 2021.

Remarks: STRIDE was not able to meet its LOP target in this performance indicator but most of the agencies/offices that received STRIDE interventions were the prime movers in the establishment of pilot RIICs in Region 5 (DTI), Region 10 (DOST), and Region X1 (DTI, CHED) (AR 2020, p.21). However, DA as a potential RIIC partner was not involved. Respondents in Region X1 said, "*We are looking forward to involving the DA in the agriculture side, and other industry associations*" (Annex H, 3.2 FGD-ST), and "*We need to harmonize as we have several innovation facilities in the region, and harmonization is lacking*" (Annex H, 3.1 FGD-ST).

PI 32 Number of private sector firms that have improved management practices or technologies as a result of USG assistance achieved 40% of its LOP target in 2020 and 133% during the third quarter of 2021. Five local firms have signified improvements in their own management operations with STRIDE-related assistance. Additional firms are currently seeking improvements in the innovation for business recovery activity in response to the pandemic under the RIICs.

Online survey results (Set B) revealed three types of process innovation: 1) Improved methods of manufacturing, 2) Improved logistics, delivery, or distribution methods, and 3) Improved supporting activities for processes. Fifty four percent have improved methods of manufacturing, 32 % had

improved logistics, delivery, or distribution methods, and 32% had improved supporting activities for processes. On who developed the process innovation, 14% said the institution itself, 32% together with other organizations, and 50% developed by other organizations (Annex Table D11).

Remarks: STRIDE interventions in many MSMEs’ affected the different facets of private firms’ operations and processes (2021 QR3, p. 10).

PI 33 The amount of mobilized funds from Philippine Government on innovation-related activities as a result of USG-supported interventions was also rated at 24% compared to LOP target to date (2020). This indicator’s target will be modified pending approval of the new MEL plan.

Remarks: Difficult to project government funding.

PI 34 The number of government staff whose qualifications are strengthened through USG-supported STI-related training programs also increased by 125% for those who enrolled from base year to 2020, and 37% for those who completed the training, during the same period. While those completed increased in Q3 2021, those enrolled have declined.

Remarks: The decline in enrollment is due to various factors including COVID 19 pandemic.

PI 35 The target number of established RIICs was achieved in 2020. But there were more RIICs established in 2021.

Remark: STRIDE achieved its target number of RIICs (AR 2020, p. 22). In partnership with DTI, DOST, NEDA, and other stakeholders, STRIDE supported the establishment of RIICs in Regions 2, 3, 4A, 5, 7, 9, 10, and X1 to accelerate collaboration and linkages activities in the area. A respondent from public university said “*There is this issue of Industry-Academe gap that the academe is not responsive with the needs of the industry. With the RIIC, I hope it would be able to further strengthen Academe and Industry collaboration. The perennial issue of collaboration can be resolved*” (Annex H, 3.3 FGD-ST).

TABLE 7. SUMMARY OF SUB-INTERMEDIATE RESULTS FOR IR3 AND ITS PERFORMANCE INDICATORS (PIS)

SUB-INTERMEDIATE RESULTS	PERFORMANCE INDICATOR BASED ON REVISED FRAMEWORK	PERCENTAGE OF LOP TARGET ACHIEVED IN 2020	PERCENTAGE OF LOP TARGET ACHIEVED TO Q3 2021	REMARKS
Sub IR 3.1 Improved government capacity for innovation	PI31. Number of public sector-funded programs or offices that have improved management practices or technologies as a result of USG assistance	50%		Not included in AR2021 Q1-Q3 PI Table (Annex A)
	PI32 (EG.5.2-2): Number of private sector firms that have improved management	40%	133%	STRIDE recorded 14 MSMEs with improved management practices or technologies through an

practices or technologies as a result of USG assistance.

informal survey (2021 QR3, p. 10)

PI33. Amount of mobilized funds from Philippine Government on innovation-related activities as a result of USG-supported interventions	24%	[REDACTED]	
PI34. Number of government staff whose qualifications are strengthened through USG-supported STI-related training programs	See below	See below	
Completed	37%	65%	Target was not achieved due to various factors including COVID 19 pandemic
Enrolled	125%	85%	Target was not achieved due to various factors including COVID 19 pandemic
PI35. Number of established RIICs	100%		8 RIICs were established. Not included in AR2021 Q1-Q3 PI Table (Annex A).

ADDITIONAL TASKS IR3

TASK 3.1: PHILIPPINE GOVERNMENT CONVERGENCE EFFORTS ON INNOVATION

This task is the most significant contribution of the STRIDE, according to our respondents. Some of the convergence efforts supported with STRIDE technical assistance are: 1) implementation of the DTI–DOST Inclusive Filipinnovation and Entrepreneurship Roadmap, 2) support to Inclusive Innovation Conference 2018 and the launch of the Filipinnovation Roadmap with the expansion of the DTI-DOST partnership on innovation with five (5) more government agencies; 3) HEIs innovation /ideation workshops; 4) support to DTI- Project Management Office- Innovation Collaboration Office (ICO); 5) provision of technical inputs on the formulation of the Implementing Rules and Regulations (IRR) of the Philippine Innovative Start-Up Act, and the Philippine Innovation Act; 6) inputs on the DTI position papers related to innovation, and support to the Inclusive Innovation Conference 2019; and 7) policy support to DOST as co-developer of alternative metrics in capturing outcomes of DOST-funded research, and technical assistance in communicating the benefits of R&D investments to the public.

Lately, there was DTI's call to strengthen an innovative and competitive PPE manufacturing sector, where STRIDE responded this year (2021) via the Understand-Adapt-Connect (UAC) activity and a request to assist in drafting the National Innovation Agenda and Strategy Document (NIASD). These were additional tasks and did not have metrics.

SUB TASK 3.1.1. SUPPORT FOR DTI CIG TOWARD CAPACITY DEVELOPMENT, POLICY FORMULATION, AND PROGRAM IMPLEMENTATION

STRIDE completed the rollout of three Strategic Communication Planning workshops and one News Writing Course for the DTI-CIG. STRIDE the DTI completed efforts to develop the Philippine Artificial Intelligence (AI) roadmap. It supported DTI-CIG Quick Response Against COVID-19, assisted the DTI-Office of the Undersecretary for CIG in facilitating the aggregation of supply and demand data for PPE and coordinated with DTI field offices with regard to the demand for face shields and other medical supplies required by hospitals, health centers, and similar facilities.

Remarks: Relevant activities.

SUB TASK 3.1.2. TECHNICAL INPUT ON GOVERNMENT-IDENTIFIED INNOVATION

STRIDE's technical assistance to the government seeks to create synergy and alignment among involved agencies such as the DTI, DOST, IPOPHL, National Economic and Development Authority (NEDA), and Commission on Higher Education (CHED). STRIDE provided technical support in the development of the roadmap by co-organizing FGDs with the manufacturing, services, and agriculture sectors.

TASK 3.2: REGIONAL INCLUSIVE INNOVATION CENTERS

RIICs are envisioned as a network of innovation players working to map, link, and align programs, facilities, and institutions in the innovation space. STRIDE supports DTI, DOST, and innovation stakeholders in the regions toward realizing RIIC goals. In each of the RIIC pilot sites, both local and national stakeholders have identified regional priority sectors to serve as the test cases for the demonstration of the concept. STRIDE employed a variety of activities and engagement modalities that build on existing networks and partnerships. The Innovation Advisory Services (IAS) is an activity that details practices, mechanisms, and client interface improvements among and between actors and their target users in the RIICs. It aims to standardize the innovation advisory business process in the regions and train DTI and DOST staff to become confident innovation advisors.

Remarks: Pilot RIICs are doing very well and expanding the IE.

SUB TASK 3.2.1. INSTITUTIONALIZING THE RIIC INITIATIVE IN THE REGIONS

Months of technical assistance and on-the-ground engagements with RIIC stakeholders resulted not only in the adoption of the RIIC (seven out of 8) as a regional development agenda (by Regional Development Councils), but more importantly also in the identification of a common approach to building the RIICs in their early stages. STRIDE used the Mapping-Linking-Alignment (MLA) of innovation actors in the region and facilitated an iterative and participatory process to establish the RIICs with strong consideration of the local innovation ecosystem dynamics and partners' sentiments on priorities. The MLA was considered as a framework and an approach to enable systematic and sustainable collaboration within and among Government, Industry and Academe (GIA) partners.

Remarks: High probability of institutionalization.

SUB TASK 3.2.2. MAPPING INNOVATION STAKEHOLDERS AND INITIATIVES IN THE RIICS

This activity aims to inventory innovation resources in the region and beyond so that they can link partners who seek expertise/information and align their activities to possible industry partners. Some of the RIICs also constructed websites which aimed to help MSMEs boost their productivity and enhance resilience. Some also implemented Innovation for Business Recovery (IBR) programs to help MSMEs recover from the impact of the COVID-19 pandemic, and to adapt to the new normal.

Remarks: Data base to expand innovation capacity.

SUB TASK 3.2.3. STRENGTHENING LINKAGES OF INNOVATION STAKEHOLDERS IN THE RIICS

Linkages of RIICs were strengthened through their STRIDE supported Innovation for Business Recovery (IBR) Programs. STRIDE hosted Pitch Events, ideation workshop, and Export Incubation Program (EIP) to beef up the industry-academe partnerships and linkages; facilitated signing of Memorandum of Understanding (MOU) among partners and building data bases for SUC to curate their technologies and other knowledge products; and for expanding its industry linkages, STRIDE facilitated meetings with FAB LABs Coordinators.

For Set B survey respondents, when asked who the most valuable cooperation partner of their institution's innovation activities is, 27% said HEI, 54% said government agency, 27% said the private sector/industry, while 13% said Research Partnership with R&D Background. As for the respondent's reason of the most valuable cooperation partner to their institution's innovation activities, 50% said expertise, 32% said Network/Partnership/Linkages, while only 14% mentioned funding as a reason for partnership (Annex Table D18.b).

Remarks: A vehicle for institutionalization, will improve IE.

SUB TASK 3.2.4. ALIGNING EXISTING PROGRAMS AND FACILITIES TO INDUSTRY NEEDS IN THE RIICS

STRIDE provided technical assistance in preparing the RIIC's Program Alignment Report and Innovation Guidebook. The Report guides partners in government on aligning innovation opportunities in the RIIC with focus on MSME needs while the guidebook contains information meant to help MSMEs maximize RIIC opportunities and succeed in their own innovation journeys.

Remarks: Very important for expanding/improving IE.

TASK 3.3: TECHNICAL ASSISTANCE TO DOST

SUB TASK 3.3.1. TECHNICAL ASSISTANCE TO DOST-FUNDED RESEARCH AND START-UPS

The technical assistance of STRIDE to DOST seeks to help improve the likelihood of commercial outcomes of DOST-funded research, improve R&D grants systems, institutionalize R&D funding through legislation, and strengthen capabilities of DOST staff to communicate R&D impact and

benefits in order to increase public support for science and technology investments. The Business Innovation through Science and Technology (BIST), seeks to encourage and assist Filipino-owned companies to innovate and develop competitiveness through the acquisition of new and relevant technologies from research.

Remarks: Start-ups, and commercialization in general, as a component of technology transfer is still very new in the Philippines and may still need more support.

SUB TASK 3.3.2. BUSINESS PROCESS MAPPING AND TECHNICAL ASSISTANCE TO GRANT PROGRAMS

STRIDE supported the Filippinovation Entrepreneurship Corps (FEC) training for DOST-funded researchers in partnership with DOST-PCIEERD and co-implemented by De La Salle University (DLSU) that aimed to rapidly determine the commercial readiness of research by working with a team of potential industry partners to conduct customer discovery and validation of their research. STRIDE also organized an industry-academe roundtable with Makati Business Club (MBC) which emphasized the business sector's important role in research and innovation. The outputs of the TA on grants management system include the to-be operations manual with proposed R&D process improvement indicators; a proposed harmonized GIA competency framework and communication plan; and the case study for the CRADLE Program.

Remarks: Done.

SUB TASK 3.3.3. TECHNICAL ASSISTANCE IN COMMUNICATING THE OUTCOMES OF R&D

STRIDE assisted the DOST's R&D Communication Committee produce the National Research and Development conference materials and videos and developed a media outreach strategic plan to help DOST gain momentum and traction for its publicity efforts specific to its COVID-19 response. STRIDE provided inputs to the development of the DOST manual for the operationalization of R&D Monitoring and Evaluation (M&E) protocols. The inputs focused on the role of communication in supporting research M&E.

Remarks: This is done and is already embraced by the DOST. Very satisfactory outputs.

SUB TASK 3.3.4. INCREASING INDUSTRY ENGAGEMENT OF DOST UNITS OR PROGRAMS

CRADLE: The Collaborative Research and Development to Leverage the Philippine Economy (CRADLE) program is DOST's leading grant initiative for industry- academe linkages. From a low number in the past year, this year, the CRADLE proposals amounted to 123. (DOST Usec 2021).

Remarks: Very promising projects to improve the innovation ecosystem.

TASK 3.4: TECHNICAL ASSISTANCE TO CHED ORGANIZATIONAL ASSESSMENT

STRIDE technical assistance to CHED aims to review the mandate, structure, and functions of the CHED as embodied in the law that created it (RA No. 7722); identify and review the developments in the higher education sector that have a potential impact on the organization and functions of CHED; analyze the nature and extent of the gaps that need to be addressed; and recommend measures that

will address the identified gaps The study team is completing data collection and analysis this quarter (QR3 2021), which took longer than expected due to limited data available from CHED and difficulties conducting interviews during the pandemic.

Remarks: This is a potentially important work to support the engagement of the CHED in the IE.

ANNEX A.2 ANNUAL IMPLEMENTATION PLAN TIMELINE CHART

TABLE A.2. IMPLEMENTATION PLAN TIMELINE (2020-2021)											
		2020			2021						
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
IR1 – Improved higher education capacity for innovation											
1.1	Growth of industry engagement mechanisms (Knowledge Technology Transfer Offices [KTTOs], Career Centers, and Professional Science Master’s [PSMs])	1.1.1 Create mentor’s guides for mechanisms									
		1.1.2 Grow and support mechanisms in local universities									
		1.2 Technical assistance to implementation of Philippine Association of State Universities and Colleges (PASUC) Platform for Innovating SUCs for Industry 4.0 (PISI)									
		1.3 Faculty and researcher training (Skills in Technical and Advanced Research Training [START] Center)									
		1.4 R&D grant for Widening Applications of Research within the Pandemic (WARP)									
IR2 – Improved regulatory environment for innovation											
2.1	Improved procurement policy/ legislation for research and development (R&D)	2.1.1 Institutionalization of R&D procurement policies in select higher education institutions (HEIs)									
		2.1.2 Support to government agencies to improve R&D procurement policies and legislation									
2.2	Improved HEI codes and policies on research incentives and extension	2.2.1 Support for policy improvements in research incentives and extension at select HEIs									
IR3 – Improved government capacity for innovation											
3.1	Philippine Government convergence efforts on innovation	3.1.1 Support for Department of Trade and Industry (DTI) Competitiveness and Innovation Group (CIG) toward capacity development, policy formulation, and program implementation									
		3.1.2 Technical input on government identified innovation trends									
3.2		3.2.1 Institutionalizing the RIIC initiative in the regions									

Regional Inclusive Innovation Centers (RIICs)	3.2.2 Mapping innovation stakeholders and initiatives in the RIICs
	3.2.3 Strengthening linkages of innovation stakeholders in the RIICs
	3.2.4 Aligning existing programs and facilities to industry needs in the RIICs
3.3 Technical assistance to Department of Science and Technology (DOST)	3.3.1 Technical assistance to DOST-funded research and startups
	3.3.2 Business process mapping and technical assistance to grant programs
	3.3.3 Technical assistance in communicating the outcomes of R&D
	3.3.4 Increasing industry engagement of DOST units or programs
3.4 Technical assistance to Commission on Higher Education (CHED) organizational assessment	

ANNEX B LIST OF PARTICIPANTS

KEY INFORMANT INTERVIEWS

LIST OF KII RESPONDENTS AT NATIONAL LEVEL		
OFFICE	RESPONDENT	DESIGNATION
NEDA	Carlos Bernardo O. Abad Santos	Assistant Secretary, Policy and Planning Group
DOST	Rowena Cristina L. Guevara	Undersecretary for Research and Development
MSME	Dan C. Lachica	President, SEIPI
PASUC	Tirso A. Ronquillo	President
DTI	Rafaelita Aldaba	Undersecretary, Competitiveness and Innovation Group
CHED	Lily Freida C. Macabangon-Milla	OIC-Office of Executive Director
IPOPHL	Rowel Barba	Director General

LIST OF KII RESPONDENTS AT REGIONAL LEVEL		
OFFICE	RESPONDENT	DESIGNATION
NEDA-4A	Marcelo Cesar R. Palacio	Chief, Economic Development Specialist of Project Development and Budgeting Division
	Richard P. Engansa	Senior Economic Development Specialist
DOST-4A	Emerlita P. Bagsit	OIC-Regional Director
DTI-4A	Marilou Quinco-Toledo	Regional Director
DOST-7	Jesus F. Zamora Jr.	Regional Director
DTI-7	Maria Elena C. Arbon	Regional Director
NEDA	Mylah Faye Aurora B. Carino	Regional Director
DOST-10	Alfonso Alamban	Regional Director

DTI-10	Ermedio J. Abang	Regional Director
	Christy Gabia	Division Chief, Business Development Division
	Jill Maestre	Senior Trade and Industry Development Specialist
	Ruel Paclipan	Assistant Regional Director

LIST OF KII RESPONDENTS AT HIGHER EDUCATION AND INSITUTION LEVEL

OFFICE	RESPONDENT	DESIGNATION
UPLB	Jose V. Camacho Jr.	Chancellor
BatSU	Tirso A. Ronquillo	President
CITU	Bernard Nicolas E. Villamor	President
University of San Carlos	Danilo Largo	ITSO Manager and IP Manager
UP Cebu	Jason Nieva	Tech Transfer Officer, Patent Officer and Incubator Manager
MSU-IIT	Roberto Malaluan	Professor, College of Engineering and Technology
USTP	Ambrosio Cultura	President
	Engr. Bronson Mabulay	Vice Chancellor for Research Education
	Engr. Roijen Morcilla	Chairman of Electrical Engineering
	Lera Fay Cotiangco	Director, Career Center
XU	Fr. Mars Tan	President
	Roel Ravanera	Director, Xavier Science Foundation, Social Development Cluster
	Maria Rosario Mosqueda	Dean, College of Agriculture
	Maria Theresa Isla-Cabaraban	Asst. Professor, Chemical Engineering Department

TIP	Elizabeth Lahoz	President
	Cynthia Llanes	VP of Academic Affairs of the Quezon City Campus
	Rosalinda Valdepeñas	VP for Academic Affairs of the Manila Campus
UP Diliman	Magdaleno Vasquez Jr.	Assoc. Prof, Director TTBDO
	Ricky Nellas	Assoc. Dean for Research, Innovation, Development and Enterprise
DLSU	Raymond Girard R. Tan	Vice Chancellor for Research and Innovation

FOCUS GROUP DISCUSSION

GOVERNMENT-INDUSTRY-ACADEME (GIA)

LIST OF FGD PARTICIPANTS (XAVIER UNIVERSITY)

OFFICE	NAME	POSITION
Xavier University	Maria Rosario Mosqueda	Dean, College of Agriculture
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Xavier University	Mark Alexis O. Sabines	Assistant Professor, College of Engineering

LIST OF FGD PARTICIPANTS (UNIVERSITY OF THE PHILIPPINES LOS BAÑOS)

OFFICE	NAME	POSITION
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UPLB	Agapita J. Salces	Associate Professor, College of Agriculture and Food Science
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ACDI Multi-Purpose Cooperative	Ethyl Cohay	Marketing Officer
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LIST OF FGD PARTICIPANTS (DE LA SALLE UNIVERSITY)

OFFICE	NAME	POSITION
DLSU	Nilo Bugtai	Professor of Manufacturing Engineering and Management
DLSU	Emilina Sarreal	Dean of Ramon V. del Rosario College of Business

DTI Cam Sur	Jay Percival Ablan	Business Development Division Chief
CSCCI	Annabelle Tuy	Executive Director
PhiliPILI	Grace D. Tordilla	Executive Director
PhilExport R5, Owner, Shelmed Cottage Treasures	Med Villanueva	President

LIST OF FGD PARTICIPANTS (UNIVERSITY OF THE PHILIPPINES DILIMAN)

OFFICE	NAME	POSITION
Integrated Micro-Electronics, Inc	Sherwin C. Nones	Head of Strategic Planning and Marketing
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Vista Land and Lifescapes, Inc	Cecille H. Bernardo	Head of Procurement
Chamber of Furniture Industries of the Philippines	Salvio L. Valenzuela Jr.	Executive Director
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PCIEERD	Christian Zamora	Science Research Specialist II
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LIST OF FGD PARTICIPANTS (CEBU INSTITUTE OF TECHNOLOGY UNIVERSITY)

OFFICE	NAME	POSITION
DOST 7	Elvie Cenita	Science Research Specialist
CITU	Alexander Franco Delantar	Dean, School of Business and Economics

CITU	Alein Navares	Assistant Head, Research and Development Coordinating Office (RDCO)
CITU	Rachel M. Chong	Head, RDCO
CITU	Concordia C. Bacalso	Head, Networking and Linkages Office
CITU	Ralph Leviste	Manager, Wildcat Innovation Lab
DTI	Joenero Bollozos	OIC Division Chief
Eco Hub Cebu	Mary Rose Arnejo	Proprietor/ Owner
Cebu Chamber of Commerce and Industry	Felix Taguiam	President
Cebu Chamber of Commerce and Industry	May Elizabeth Ybanez	Executive Secretary
DOST 7	Kint Joniceld Lawrence Q. Arcenal	Science Research Assistant
DOST 7	Ethel Clemena	Science Research Specialist

REGIONAL INCLUSIVE INNOVATION CENTERS

LIST OF FGD PARTICIPANTS (REGION 3)

OFFICE	NAME	POSITION
AUF	Mylene S. Calibjo	Director of Center for Data Analytics
Provincial Science and Technology	Mary Michelle M. Quiambao	Director, Provincial Science and Technology
BSU	Erwin DR. Magsakay	Department Head, Mechatronics Engineering Department
BSU	Zedrick T. Farrin	SCAD Network Center Unit Head
Regional Government Center	Maria Teresita M. Semana	OIC Director
CHED	John Wesley Calagui	Education Supervisor II
DOST PSTC	Gina Tantoco	Senior Research Specialist II

DTI	Maria Cristina V. Valenzuela	OIC Division Chief
Bulacan Chamber of Commerce and Industry	Aries Cruz	Vice President for Innovation

LIST OF FGD PARTICIPANTS (REGION 4-A)

OFFICE	NAME	POSITION
Batangas State University	Albertson D. Amante	Vice President Research and Development
DTI	Christine G. Querubin	Supervising Trade Industry Development Specialist
Farmers Bazaar Fintech Philippines Inc	Crisanto S. Gualberto II	Chairman of the Board of Directors
Philippine Chamber of Commerce and Industry - Lipa Chapter	Faustino G. Caedo	Chairman of the Board
DOST Batangas	Felina Malabanan	Provincial Director

LIST OF FGD PARTICIPANTS (REGION 10)

OFFICE	NAME	POSITION
Oro Chamber of Commerce CDO City	Ruben Vegafria	President
Green Pastures Corporation CDO City	Rey Paraguya	Chief Executive Officer
MSU-IIT	Ferdinand Jamil	Professor, College of Science and Mathematics
MSU-IIT	Jinky B. Bornaes	Vice Chancellor for Research and Extension
Xavier University	Therese Rhea Rose Mañacap Baliwag	Project Officer, institutional Societal Engagement
DTI R10	Maricris I. Gabia	Division Chief of Business Development Division

DTI R10	Jill E. Maestre	Senior Trade and Industry Development Specialist
OROBEST Innovation	Queritess Q. Queja	Program Director
USTP	Bronson Mabulay	Director, Innovation and Technology Solutions
Founder and Chief Executive Officer	Lolita Cabanlet	Proprietor

LIST OF FGD PARTICIPANTS (REGION 11)

OFFICE	NAME	POSITION
DTI 11	Arriel N. Nengasca	Industry Development Division Chief
Davao City	Pilar Braga	City Councilor
Davao Chamber of Commerce and Industry	Anna Loren Gingco	Media Liaison Officer, Marketing Lead
Ateneo de Davao University	Cleofe Arib	Director, Center for Business Research and Extension
Healthy Sweets Mindanao Corporation	Betty More	President and Chief Executive Officer
CHED R11	Christopher Pio O. Pulido	Supervising Education Program Specialist
DTI R11	Joffreyllle Marie B. Opiano	Trade and Industry Development Specialist

CASE STUDY

LIST OF RESPONDENTS ON CASE STUDY

OFFICE	RESPONDENT	DESIGNATION
DOST R11	Anthony Sales	Regional Director
DOST R3	Julis Caesar Sicat	Regional Director

DTI R3	Leonila T. Baluyut	Regional Director
DTI R11	Maria Belenda Q. Ambi	Regional Director
NEDA R3	Gina T. Gacusan	Regional Director
NEDA R11	Maria Lourdes D. Lim	Regional Director

ANNEX C SURVEY RESULTS HEIS RDIS

RESPONSE RATE: 56%

C.1 DEMOGRAPHIC CHARACTERISTICS

There were 70 scholars and grantees who are eligible and completed the online survey questionnaire out of the 126 population of scholars and grantees.

Among the respondents, 53% are males and the average age is 46 years. Respondents are highly educated, with about 88% having an MS and PhD degrees, of which about half have PhD degrees. Two female respondents have post docs. Most responses came from NCR, followed by the Region IV-A and Regions 7 and 10. All of these regions were samples in this evaluation study.

C.2 PARTICIPATION IN STRIDE PHASE 2

Out of the 70 sample respondents, 57 or 81% were participants in the STRIDE interventions, during its Phase 2, (2018 up to present), the focus of this evaluation. Out of those who participated (57 respondents), 65% said that their institutions participated in the development of Skills in Technical and Advance Research Training (START) modules and 26% participated in USG-supported program to increase knowledge in research and development. The nature of participation in the latter are Marketing the PSM program, Training in Career Center Development and Coaching, and USAID STRIDE Graduate Scholarship, Learning and Awareness for Renewable Energy (Bioethanol) Innovation Workshop, and writing proposal to the WARP Grant.

During the Phase 2, 35% of those who participated in STRIDE activities developed materials for Professional Science Masters (PSM) Curriculum and 52% participated in Knowledge Technology Transfer Office (KTTO) training. Subsequent activities organized by those who participated in the KTTO training included establishment of KTTO, IP and Technology Transfer Awareness Campaign, development of the KTT Policy, and establishment of Technology Business Incubator (TBI), among others (Table C.6).

Among the 57 respondents, 30% applied for research grants under STRIDE within 2018-2021, where 76% of which had at least one proposal that was approved. Twenty six percent of the 57 respondents completed at least one research from 2018-2021, that was funded by STRIDE.

C.3 CAPACITY TO INNOVATE

All 70 respondents answered the capacity to innovate questions. In terms of product innovation for goods, 27% said that they have produced equipment, 33% had journal publications and 17 % produced software applications. While these numbers are low, they still reveal that there is an emerging level of capacity to innovate among the STRIDE grantees. Other products also included Training, Workshop, Seminars and Capacity Building activities, Career Center, Training Modules, and Reference Books, among others (Table C.10). One has to be aware of the complete attribution of STRIDE grant especially in writing books as this activity takes time and it was also mentioned that sampled institutions have other sources of funds. For the product innovation(goods), 34% of

respondents said that only the institution developed these, while 33% said that these were developed in partnership with the other organizations.

Another type of product innovation is service. These are in the form of Professional Science Master (PSM) Curriculum, Knowledge Technology Transfer Office (KTTO), and Career Centers. Out of the 70 respondents, 29% developed the PSM curriculum during the STRIDE's second phase, 51% established the KTTO, while 40% established Career Centers. Thirty three percent said that they developed these service innovations by themselves, while 51% developed these in partnership with other organizations. Thirty four percent of respondents said that the developed goods and services innovations in Phase 2 were new to their discipline, while 30% said that these are new to the institution.

C.4 RANKING OF STRIDE INTERVENTIONS

All respondents were asked to rank the impact of the STRIDE interventions to them in terms of: 1) Technical assistance and its various forms, 2) Strengthening links between innovation stakeholders, 3) Policy improvements and 4) Institutionalization of STRIDE capacity building programs. For these HEI respondents, technical assistance and its various forms ranked first, followed by strengthening links. Policy improvements and institutionalization of STRIDE capacity building programs have close scores to tie in third place.

C.5 SUMMARY

1. Most STRIDE grantees are in their mid-career, have high levels of education and the distribution is gender balanced. These demographics maybe biased as the respondents come from highly urbanized areas.

2. The participation of the grantees during the Phase 2 came mostly in terms of service innovations: PSM curricular development, KTTO, and career centers. A high number participated in the development of Skills in Technical and Advance Research Training (START) modules. START is planned as a training arm to sustain the gains of STRIDE among the HEIs. Respondents also applied for and had approved research grants and completed at least one research during the second phase.

3. Some evidence to show that respondents have improved levels of innovation capacity include production of goods such as equipment, journal publications and software applications. Service innovations were in the form of the PSM, KTTO and Career Centers. While some developed these innovations only by themselves, more have developed these together with other organizations. Most said that these innovations were new to their discipline and new to the institutions, as well.

4. Among the STRIDE interventions, technical assistance and its various forms had the greatest impact, while strengthening links came in second.

ATTACHMENT: SURVEY RESULTS TABLES AND FIGURES:

Response rate = contact rate x cooperation rate

Response Rate = 55.56%

Contact Rate = (Completes + Partials + Refusals + Other) / (Completes + Partials + Refusals + Other + Non-contact)

Contact Rate = 63.49%

Cooperation rate = Completes / (Completes + Partials + Refusals + Others)

Cooperation Rate = 87.50%

Table C.1. Response rate

Classification		Count	Percent
Eligible	Completes	70	55.56
Ineligible	Refusal	10	7.94
Failed Delivery (Wrong Email Address)	Non-Contact	2	1.59
Non-response		44	34.92
Total		126	100

I. DEMOGRAPHIC PROFILE

Table C.2. Distribution of respondent's demographic profile

Demographic Profile	Responses	Count	Percent (n=70)
Age Group	25 to 40	18	25.71
	41 to 50	33	47.14
	51 to 60	12	17.14
	61 to 65	6	8.57
	>65	1	1.43
	Total	70	100
<i>Average</i>		45.91	
Sex at Birth	Male	37	52.86
	Female	33	47.14
	Total	70	100
Highest Educational Attainment	BS	5	7.14
	MA/MS	29	41.43
	PhD	33	47.14
	Post Doc	2	2.86
	No response	1	1.43
	Total	70	100
Region	Cordillera Administrative Region	5	7.14
	National Capital Region	21	30.00
	Region I	2	2.86
	Region III	4	5.71
	Region IV-A	11	15.71
	Region IV-B	2	2.86
	Region IX	2	2.86

Region V	1	1.43
Region VI	7	10.00
Region VII	3	4.29
Region VIII	2	2.86
Region X	7	10.00
Region XI	3	4.29
Total	70	100

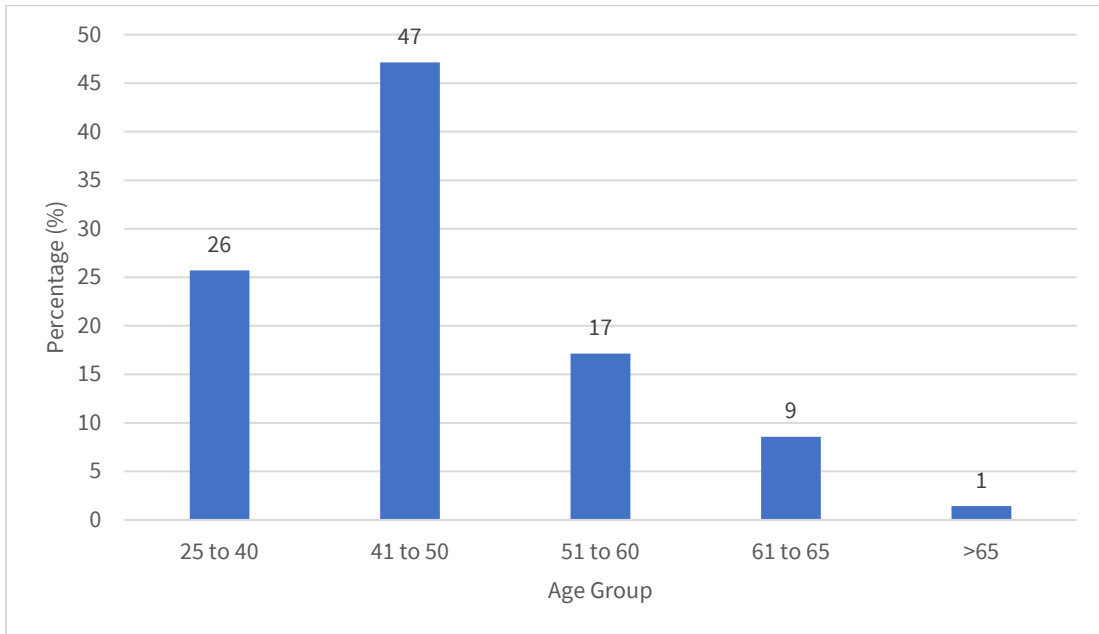


Figure C.1. Distribution of respondent's age group (in percent)

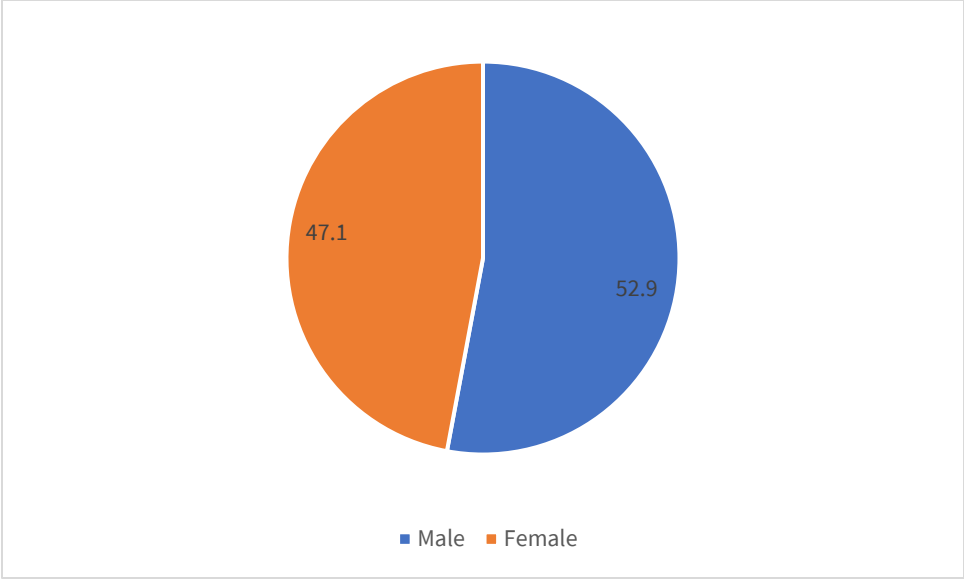


Figure C.2. Distribution of respondent's sex at birth (in percent)

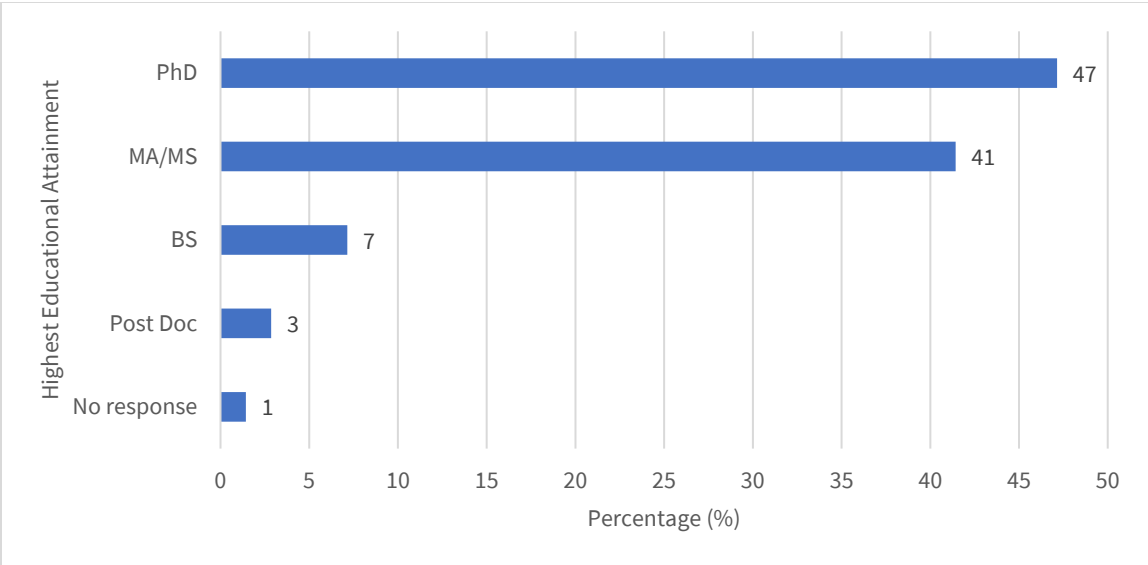


Figure C.3. Distribution of respondent's highest educational attainment (in percent)

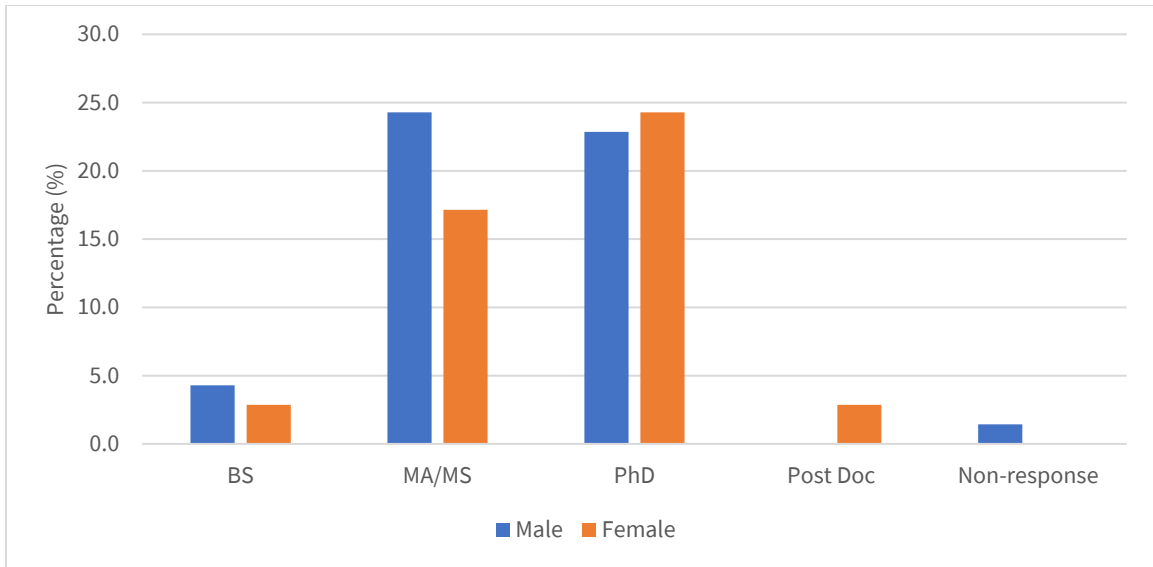


Figure C.4. Distribution of respondent's highest educational attainment by sex at birth (in percent)

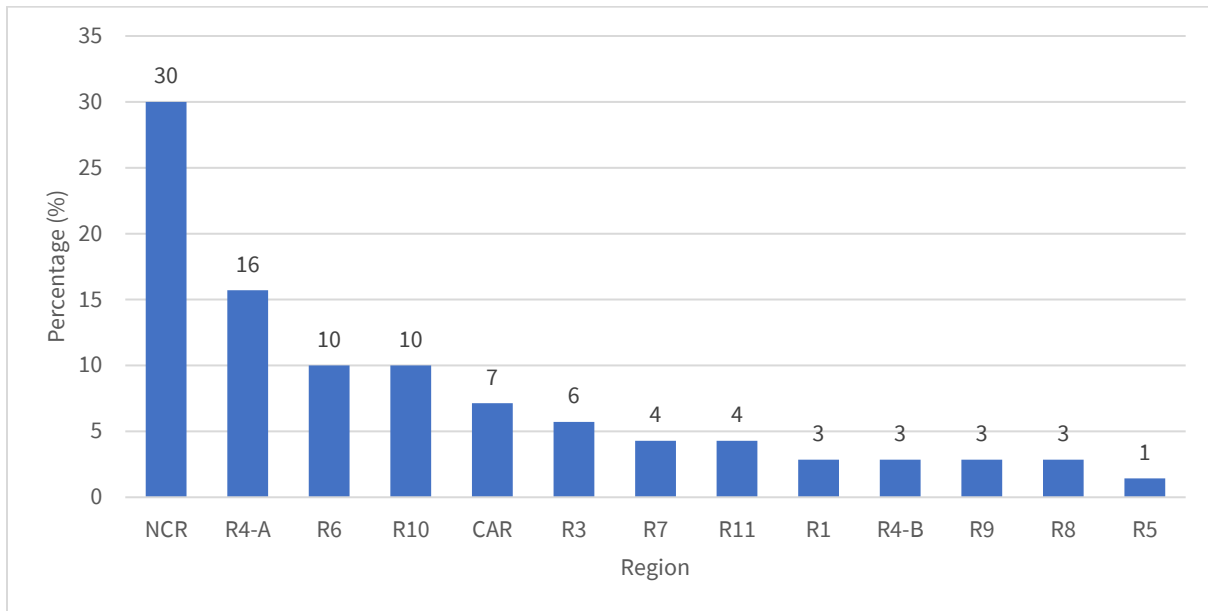


Figure C.5. Distribution of respondent's region (in percent)

Table C.3. Distribution of respondent being part of the Science Technology Research and Innovation Development (STRIDE) interventions of USAID

Response	Count	Percent (n=70)
Yes	57	81.43
No	8	11.43
I am not aware	4	5.71
Retired since April 2016	1	1.43

Table C.4. Distribution of respondent based on STRIDE interventions in Phase 2

General Information	Response	Count	Percent (n=57)
Skills in Technical and Advance Research Training (START) modules	Yes	37	64.91
	No	9	15.79
	I have no idea	11	19.30
Research & Development (R&D) knowledge	Yes	15	26.3
	No	14	24.6
	I have no idea	17	29.8
	No response	11	19.3
Professional Science Masters (PSM) Curriculum	Yes	20	35.1
	No	23	40.4
	I have no idea	14	24.6
Knowledge Technology Transfer Office (KTTO) Training	Yes	30	52.6
	No	15	26.3
	I have no idea	12	21.1
Research Grants Applications	Yes	17	29.8
	No	18	31.6
	I have no idea	22	38.6

Table C.5. Distribution of respondent to specific USG-supported program based on R&D knowledge

Response	Count	Percent (n=15)
Marketing the PSM program campaign	1	6.7
Training in Career Center Development and Coaching	1	6.7
USAID STRIDE (Graduate Scholarship, Learning and Awareness for Renewable Energy (Bioethanol) Innovation Workshop, WARP Grant)	4	26.7
Not Applicable	9	60.0
None	2	13.3
I have no idea	1	6.7

Table C.6. Distribution of respondent to activities organized by their institution as a result of the KTTO training

Response*	Count	Percent (n=30)
Establishment of KTTO	12	40.0
IP and Technology Transfer Awareness Campaign	10	33.3
Development of the KTT Policy	4	13.3
Establishment of TBI	2	6.7
Facilitation of Licensing Agreements	1	3.3
Conducted an Invention Disclosure Writeshop, Customer discovery session, Ideation workshop, Sessions for patent search, drafting and filing an IP application	2	6.7
Innovation Convergence	2	6.7
Establishment of partnership with the industry	2	6.7
Collaboration with researchers	1	3.3
KTTO-IMPACT Grant	2	6.7
Developed own Diploma Course on IP Management	1	3.3

*Multiple Response

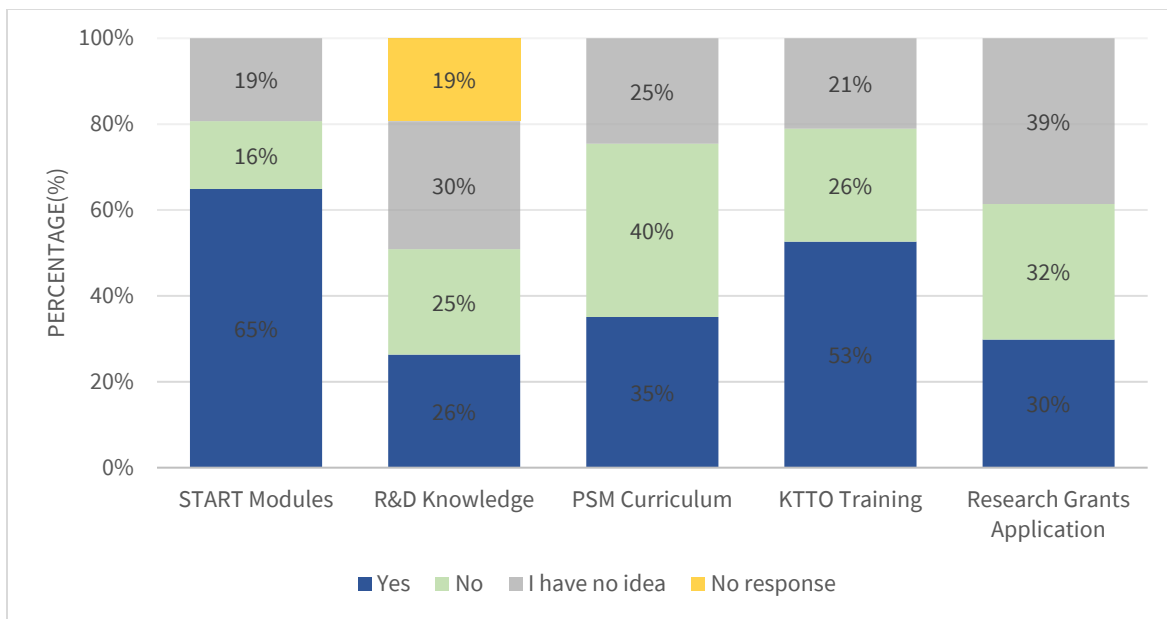


Figure C.6. STRIDE interventions in Phase 2, based on grantee assessment.

Table C.7. Distribution of respondent to number of research grant approved from 2018-2021

Number of Research Grant	Count	Percent (n=17)
One	8	47.1
More than 1	5	29.4
I have no idea	2	11.8
None	2	11.8

Table C.8. Distribution of respondent to the number of completed research funded by STRIDE from 2018-2021

Number of completed research	Count	Percent (n=57)
None	13	22.8
One	9	15.8
More than one	6	10.5
I have no idea	14	24.6
Not Applicable	15	26.3

II. PRODUCT INNOVATION [GOODS]

Table C.9. Distribution of respondent's product innovation [goods]

Product Innovation [Goods]	Response	Count	Percent (n=70)
Equipment	Yes	19	27.14
	No	26	37.14
	I have no idea	25	35.71
	Total	70	100.0
Journal Publications	Yes	23	32.86
	No	25	35.71
	I have no idea	22	31.43
	Total	70	100.0
Software Applications	Yes	12	17.14
	No	33	47.14
	I have no idea	25	35.71
	Total	70	100.0

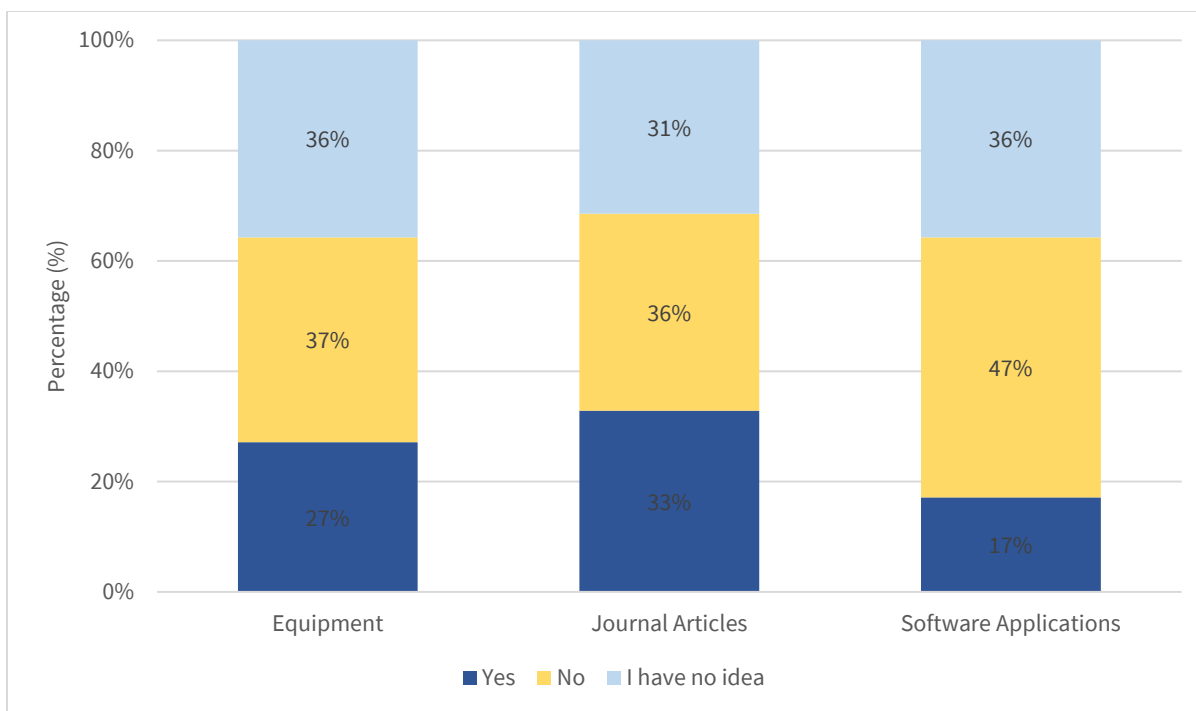


Figure C.7. Product Innovation (goods), by grantees

Table C.10. Distribution of respondent's other product innovation [goods]		
Other Product Innovation	Count	Percent (n=70)
Training, Workshop, Seminars and Capacity Building	7	10.0
Career Center	3	4.3
Training Modules	1	1.4
Reference Books	1	1.4
KTTO	1	1.4
PASCO	1	1.4
Patents	1	1.4
Application Research	1	1.4
Analysis of Compounds	1	1.4
Health and Forensic Applications	1	1.4
Laboratory Enhancement	1	1.4
Washing area, temperature check and other health and safety measures and protocols	1	1.4
Project by Students for the Industries	1	1.4
None	11	15.7
I have no Idea	10	14.3
Not Applicable	28	40.0

Table C.11. Distribution of respondent's development of product innovation [goods]		
Response	Count	Percent (n=70)
Your institution by itself	24	34.29
Your institution together with other organizations	23	32.86
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	5	7.14
Other institutions or organizations	18	25.71

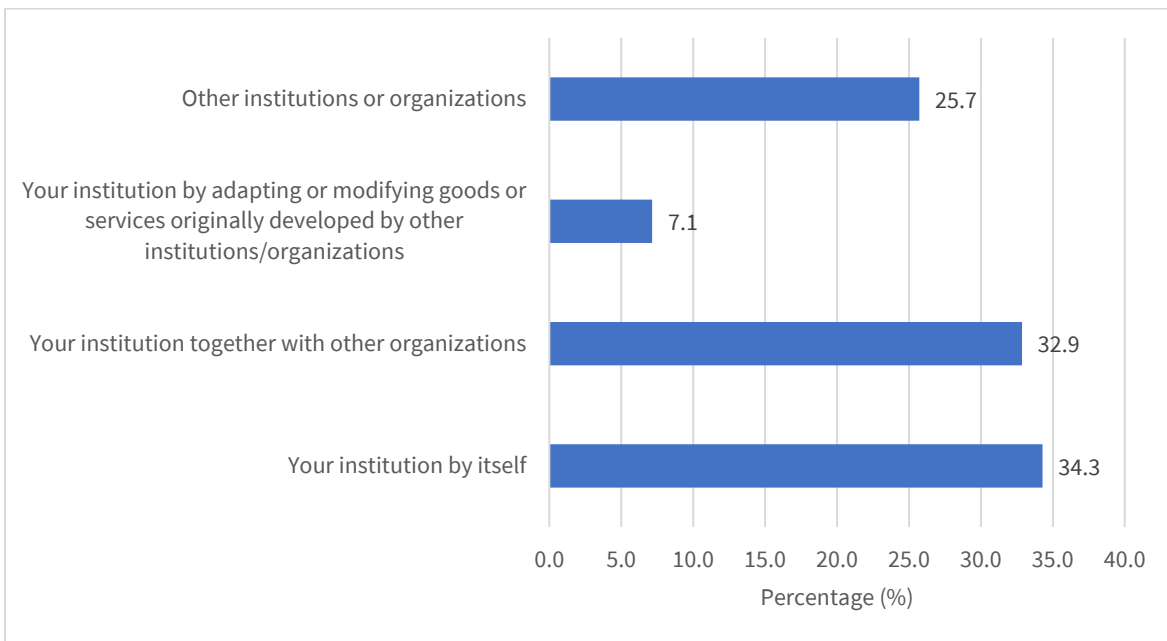


Figure C.8. Distribution of respondent's development of product innovation [goods] (in percent)

III. PRODUCT INNOVATION [SERVICE]

Table C.12. Distribution of respondent's product innovation [service] (in percent)			
Product Innovation [Service]	Response	Count	Percent (n=70)
Professional Science Master (PSM) Curriculum	Yes	20	28.57
	No	29	41.43
	I have no idea	21	30.00
	Total	70	100.0
Knowledge Technology Transfer Office (KTTO)	Yes	36	51.43
	No	17	24.29
	I have no idea	17	24.29
	Total	70	100.0
Career Centers	Yes	28	40.00
	No	18	25.71
	I have no idea	24	34.29
	Total	70	100.0

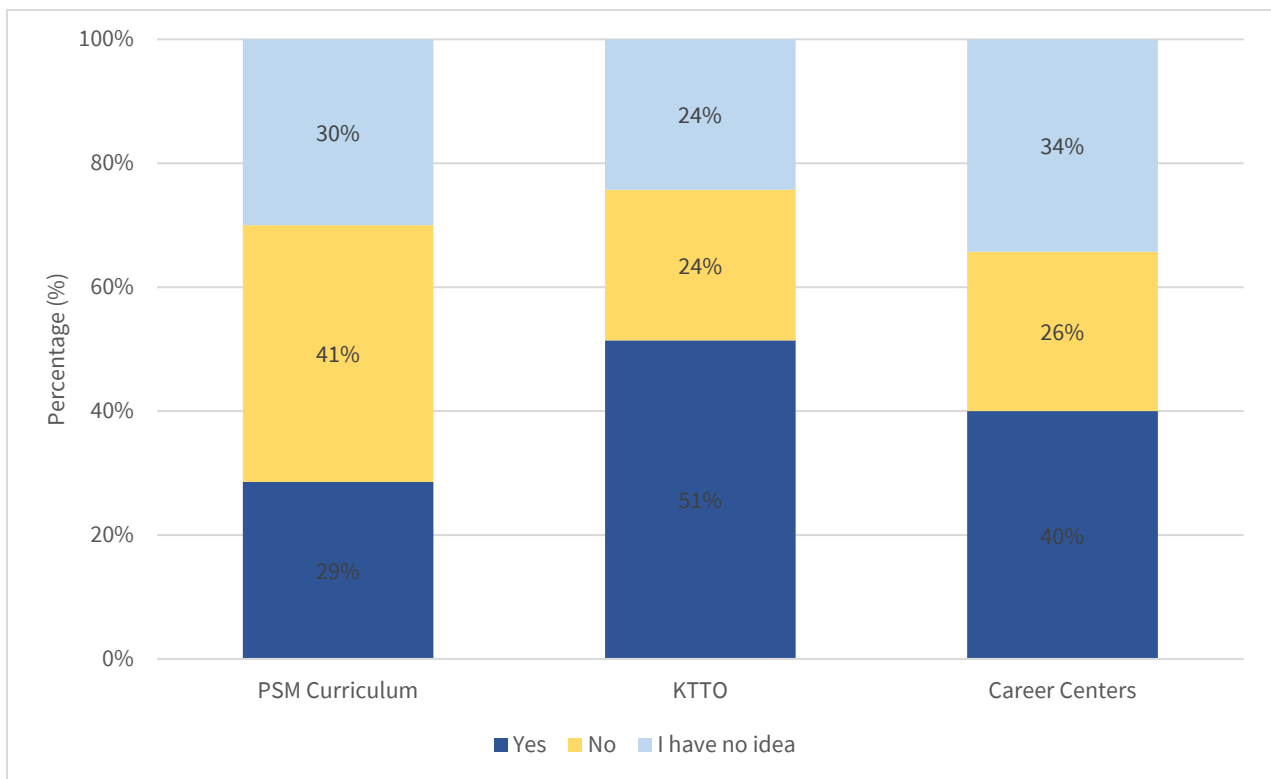


Figure C.9. Product Innovation (Services), by grantees

Table C.13. Distribution of respondent's development of service innovation (in percent)			
Response	Count	Percent (n=70)	
Your institution by itself	23	32.86	
Your institution together with other organizations	36	51.43	
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	11	15.71	

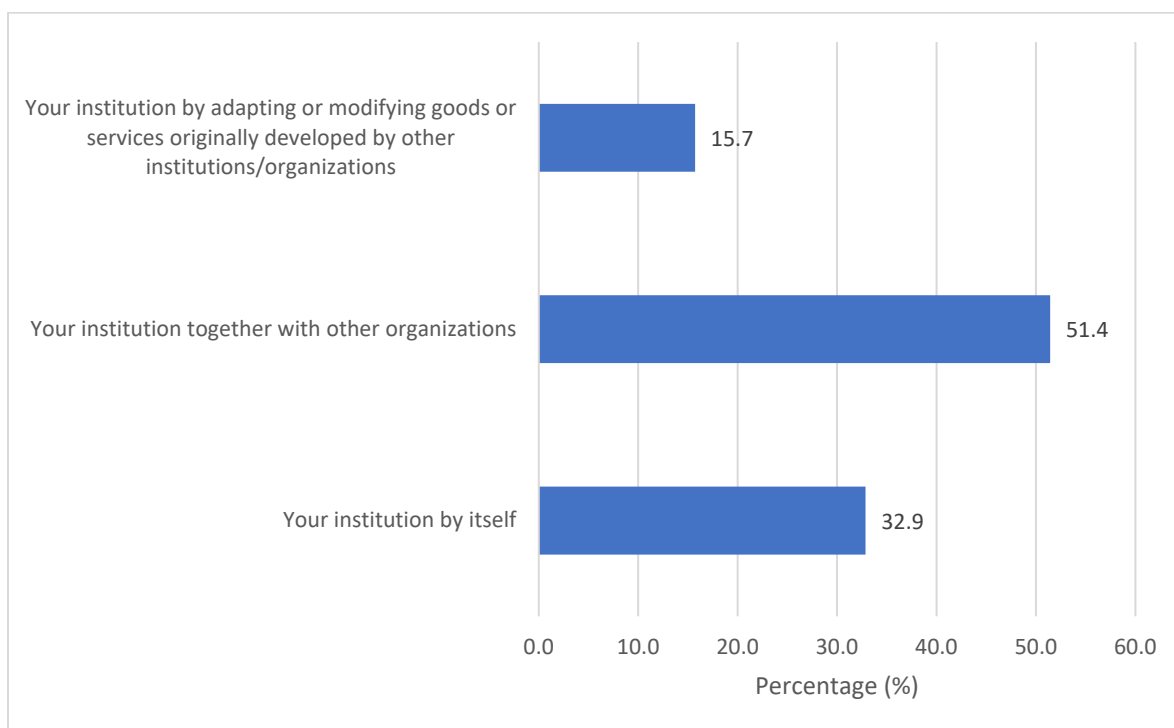


Figure C.10. Distribution of respondent's development of service innovation (in percent)

Table C.14. Distribution of respondent's development of product innovation [goods or services]			
Product Innovation [Goods/Services]	Response	Count	Percent (n=70)
New to Discipline	Yes	24	34.29
	No	27	38.57
	I have no idea	19	27.14
	Total	70	100.0
New to Institution	Yes	21	30.00
	No	28	40.00
	I have no idea	21	30.00
	Total	70	100.0

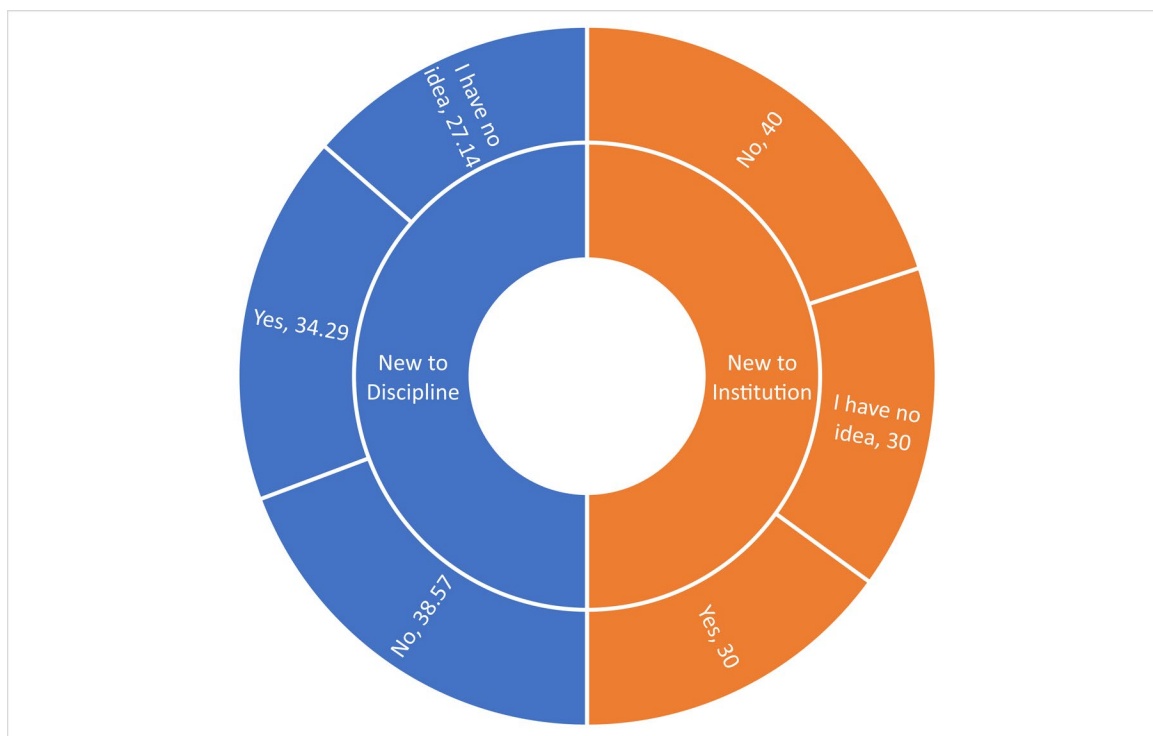


Figure C.11 Distribution of respondent's development of product innovation [goods or services] (in percent)

IV. Rank Interventions

Table C.15. Distribution of respondents on ranking different interventions that contributed more to the improved capacity to innovate (in percent)

Interventions	Response	Count	Percent (n=70)
Technical assistance and its various forms	Rank 1	23	32.86
	Rank 2	10	14.29
	Rank 3	15	21.43
	Rank 4	16	22.86
	No Response	6	8.57
	Total	70	100.0
Strengthening links between innovation stakeholders	Rank 1	18	25.71
	Rank 2	14	20.00
	Rank 3	16	22.86
	Rank 4	17	24.29
	No Response	5	7.14
	Total	70	100.0
Policy improvements	Rank 1	12	17.14
	Rank 2	16	22.86
	Rank 3	16	22.86
	Rank 4	21	30.00
	No Response	5	7.14
	Total	70	100.0
	Rank 1	12	17.14

Institutionalization of STRIDE capacity building programs	Rank 2	11	15.71
	Rank 3	24	34.29
	Rank 4	18	25.71
	No Response	5	7.14
	Total	70	100.0

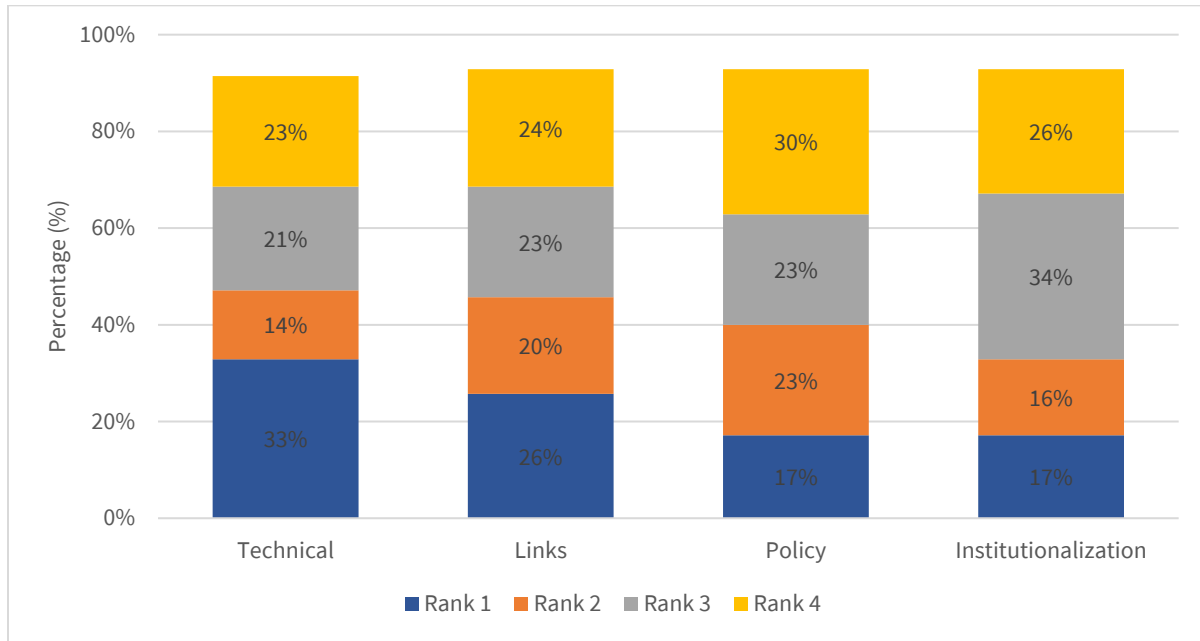


Figure C.12. Distribution of respondent's rating on STRIDE strategies (Integrated)

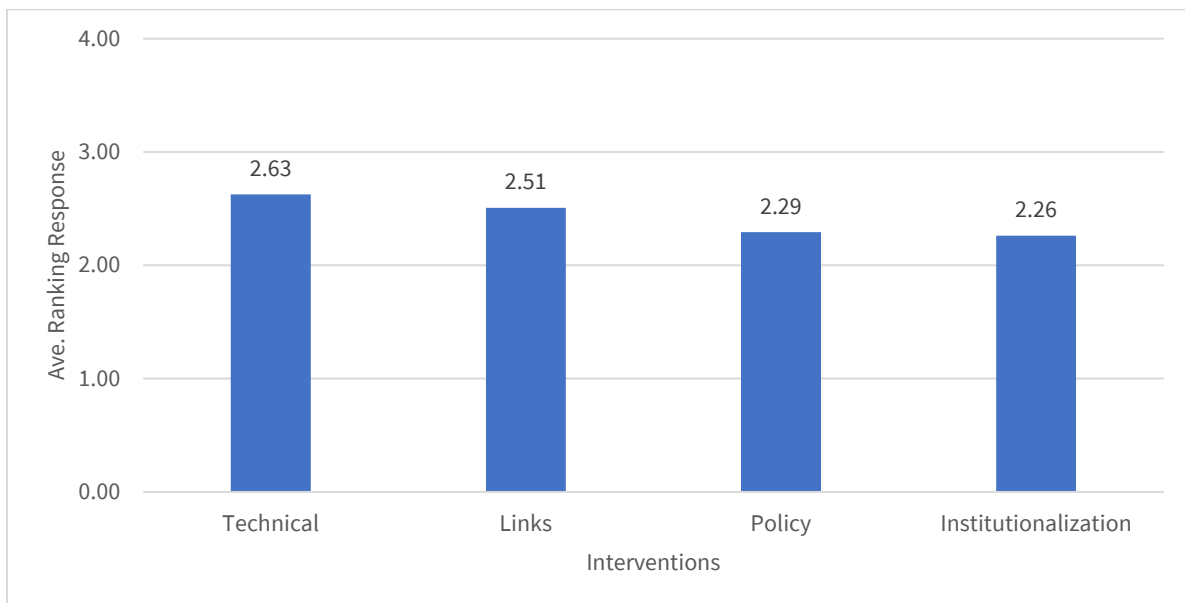


Figure C.13. Average ranking response on STRIDE strategies at different level of analysis

ANNEX D SURVEY RESULTS RIIC GIA

D.1 DEMOGRAPHIC CHARACTERISTICS

There were 63 participants in the FGD done in the four sample regions. The FGDs were grouped into two: 1) for the RIIC group and 2) for the Government-Industry-Academe linkage. However, only 22 responded to the online survey, with a 50-50 distribution of respondents between the two groups. Most online respondents came from government.

Most respondents are males, with either a BS or MS degree, and most are from region 11.

D.2 PRODUCT INNOVATION [GOODS]

There are 3 product innovations (goods) reported: equipment, journal publications and software applications. Respectively, 32%, 27% and 32% of respondents have reported that they produce the product innovation (goods) listed above. There were other product innovation (goods) reported: capacity building tools, project proposal submission, protocols, guidebook and the like (Table D.5). Respondents were asked who developed the product innovation. Fourteen percent said it's the institution itself, 41 % said together with other organizations, and another 41% said these were from other institutions/organizations (Table D.5).

D.3 PRODUCT INNOVATION [SERVICE]

Three product innovations (service) were introduced to the respondents: 1) Professional Science Master (PSM) Curriculum, 2) Knowledge Technology Transfer Office (KTTO), and 3) Career Centers. Twenty seven percent of the respondents said they developed a PSM curriculum, 45.5% have KTTOs and 22.7% have career centers. When asked who developed the product innovation (service), 14% said the institution by itself, 68% together with other organizations, and 18% by adapting or modifying services originally developed by other institutions/organizations. Sixty four percent said that the product is new to the discipline, while 50% said it is new to the institution.

D.4 PROCESS INNOVATION

There are three types of process innovation: 1) Improved methods of manufacturing, 2) Improved logistics, delivery or distribution methods, and 3) Improved supporting activities for processes. Fifty four percent have improved methods of manufacturing, 32 % had improved logistics, delivery or distribution methods, and 32% had improved supporting activities for processes. On whom developed the process innovation, 14% said the institution itself, 32% together with other organizations, and 50% developed by other organizations (Table D11).

D.5 ACTIVITIES AND EXPENDITURES FOR PRODUCT AND PROCESS INNOVATIONS

R&D Activities and expenditures for product and process innovations are in-house activities, according to 54% of the respondents; and from external sources according to 41%. In terms of acquisition

activities and expenditures for product and process innovations, 41% said they acquire advanced machinery, equipment, software and buildings, while 23% said they acquire existing know-how, copyrighted works, patented and non-patented inventions (Table D.13). Respondents also have in-house or contract out activities and expenditures for product and process innovations (Table D.14). Fifty nine percent carry out in-house/contracted out training for personnel, 45% carry out in-house/contracted out activities for the market introduction, while 45% carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services.

D.6 PUBLIC FINANCIAL SUPPORT FOR INNOVATION ACTIVITIES

There are two sources of public financial support for innovation activities: local or regional authorities tapped by 36% and central government tapped by 54% (Table D15).

D.7 COOPERATION FOR PRODUCT AND PROCESS INNOVATION ACTIVITIES

Eighty six percent of the respondent institutions co-operate on any of innovation activities with other institution or organizations NOT related to Project STRIDE. Forty five percent is coming from the GIA, while 41% is coming from the RIIC (Table D16).

D.8 TYPE OF INNOVATION COOPERATION PARTNER

Our respondents have different types of innovation cooperation partners. Seventy seven percent of the respondents said that they have cooperation partners in the Philippines, for other institution within their institution group; 54% said that they get suppliers of equipment, materials, components, or software here in the Philippines, while 23% get these from other countries (Table D17). Ninety five percent have clients or customers from the private sector here in the Philippines, 82% have clients or customers from the public sector, 50% of competitors or other enterprises in the respondent's sector is from the Philippines, 77% of the consultants or commercial laboratories hired is from the Philippines, 86 % of the respondents' partners are from universities or other higher education institutes in the Philippines, and also 86% of the respondents' partners are from Government, public or private research institutes in the Philippines (Table D.17). Data is showing that the innovation partners of the respondents were mostly coming from the Philippines. Asked who is the most valuable cooperation partner of their institution's innovation activities, 27% said HEI, 54% said government agency, 27% said the private sector/industry, while 13% said Research Partnership with R&D Background. As for the respondent's reason of the most valuable cooperation partner to their institution's innovation activities, 50% said expertise, 32% said Network/Partnership/Linkages, while only 14% mentioned funding as a reason for partnership (Table D18.b).

D.9 REGULATORY ENVIRONMENT FOR INNOVATION

Respondents were asked of their assessment about the improvement in the regulatory environment for innovation in their institution. Table D.19 summarizes the results. The highest affirmative answer was the New laboratories, institutions, and training programs (64%), followed by Improved scientific workforce (people services), (54%) and Science-based guidelines (50%). Lagging behind are Improved approval for utility model (27%), Improved application for utility model (31%) and Improved approval for IP patent (31%) and improved procurement policy (31%). These findings seem to support the

qualitative data that commercialization activities still need more support. The findings reveal the strength of the research intervention and its effects.

D.10 INTELLECTUAL PROPERTY RIGHTS AND LICENSING

Respondents were also asked about their activities regarding Intellectual Property Rights and Licensing. For the past three years, only 27% of the total online respondents have applied for patent, 9% or two people registered an industrial design right, 22% Registered a trademark, also 9% licensed out or sold a patent, industrial design right, copyright or trademark to another enterprise, university or research institute, and no one licensed in or bought a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute (Table D.20).

D.11 RANKING OF STRIDE INTERVENTIONS

Respondents were asked to rank the impact of the STRIDE interventions to them: 1) Technical assistance and its various forms; 2) Strengthening links between innovation stakeholders; 3) Policy improvements, and 4) Institutionalization of STRIDE capacity building programs. Among the GIA, strengthening links was top. For the RIIC, the policy improvement was the highest (Table D.22). The RIIC respondents were appreciative of the policies that made them whole and that they will need to work together. Meanwhile, the GIAs recognized that linking especially the academe and the industry has the most impact to them.

D.12 SUMMARY

This capacity to innovate survey among the various actors in the partnerships formed through STRIDE found the following:

- 1) Low product (goods) innovation output. Only the KTTO had a better rating in the product (services) innovation output. In both products, the institution would normally partner with another organization to produce the said output. Said product is new to the discipline, and also new to the institution. In terms of process innovation, a high number of respondents have improved methods of manufacturing.
- 2) Activities and expenditures for product and process innovations are mostly in-house activities, central government is usually tapped to fund activities. A high number of respondent institutions cooperate on any of innovation activities with other institution or organizations NOT related to Project STRIDE. Most innovation cooperation partners are from the Philippines, with the government agency as the most valuable cooperation partner of their institution's innovation activities. Expertise is the main reason for the most valuable cooperation partner.
- 3) The regulatory environment has slight improvement. Improvements are in the areas of science-based intervention. Commercialization interventions are lagging behind. This is the weak link in terms of innovation capacity. Qualitative data gathered by the evaluation team in parallel, also revealed low commercialization capacities and activities. There is very slow IP activities, which reveals that there needs to have more work to encourage researchers to capitalize on IP to bring their technologies to the market.

ATTACHMENTS: TABLES AND FIGURES

Table D.1. Distribution of FGD participants per type of institution, by classification

Classification	GIA		RIIC		Total	
	Count	Percent	Count	Percent	Count	Percent
Government Agency	7	11.1	13	20.6	20	31.7
Higher Education Institution (HEI)	11	17.5	9	14.3	20	31.7
Industry/Private Sector	14	22.2	9	14.3	23	36.5
Total	32	50.8	31	49.2	63	100.0

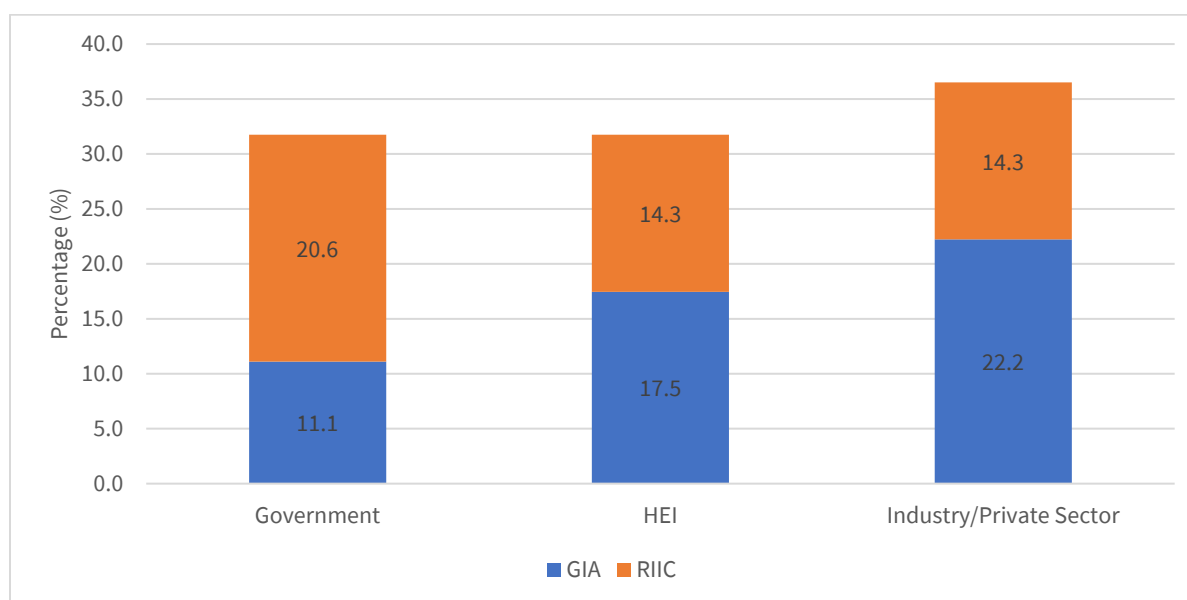


Figure D.1. Distribution of FGD participants (in percent) by classification

I. DEMOGRAPHIC PROFILE

Table D.2. Distribution of FGD participants who responded to the survey (in percent), by classification

Classification	Count (n=22)	Percent
GIA	11	50
RIIC	11	50

Table D.3. Distribution of respondent's profile by classification

Demographic Profile	Responses	GIA	RIIC	Total
		(n=11)	(n=11)	(n=22)
Type of Institution	Government	18.2	18.2	36.4
	HEI	22.7	9.1	31.8

	Industry/Private Sector	9.1	22.7	31.8
	Total	50	50	100
Sex at Birth	Male	36.4	22.7	59.1
	Female	13.6	27.3	40.9
	Total	50.0	50.0	100.0
Highest Educational Attainment	BS	22.7	22.7	45.5
	MA/MS	18.2	27.3	45.5
	PhD	9.1	0.0	9.1
	Total	50.0	50.0	100.0
Region	III	0.0	13.6	13.6
	IV-A	4.5	9.1	13.6
	IX	4.5	0.0	4.5
	NCR	4.5	0.0	4.5
	V	9.1	0.0	9.1
	VII	22.7	0.0	22.7
	XI	4.5	27.3	31.8
	Total	50.0	50.0	100.0

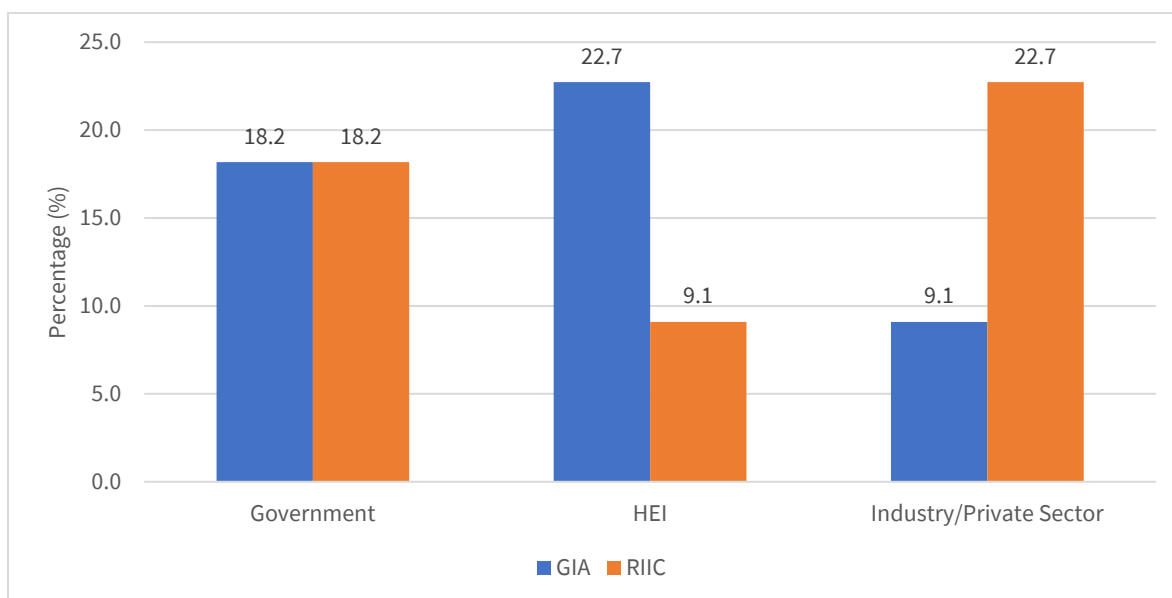


Figure D.2. Distribution of respondent's type of institution (in percent) by classification

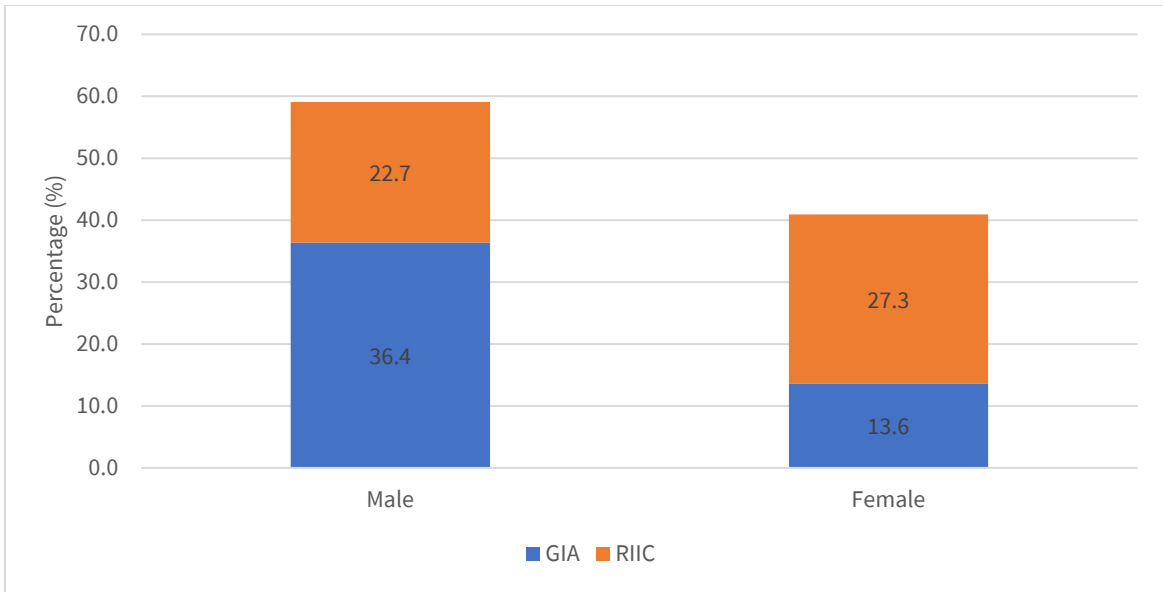


Figure D.3. Distribution of respondent's sex at birth (in percent) by classification

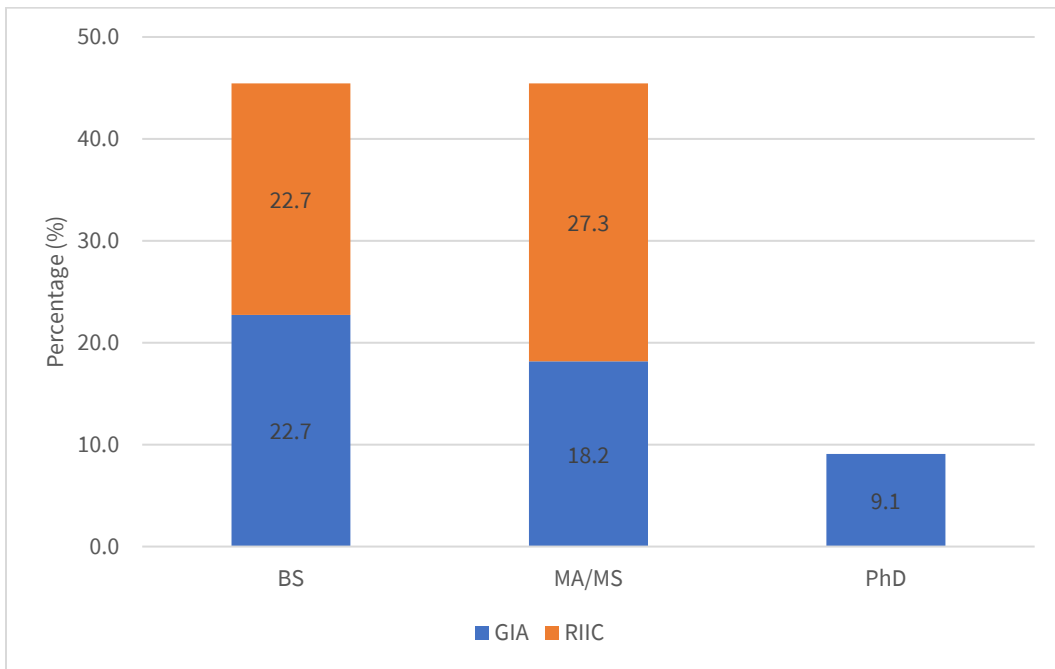


Figure D.4. Distribution of respondent's highest educational attainment (in percent) by classification

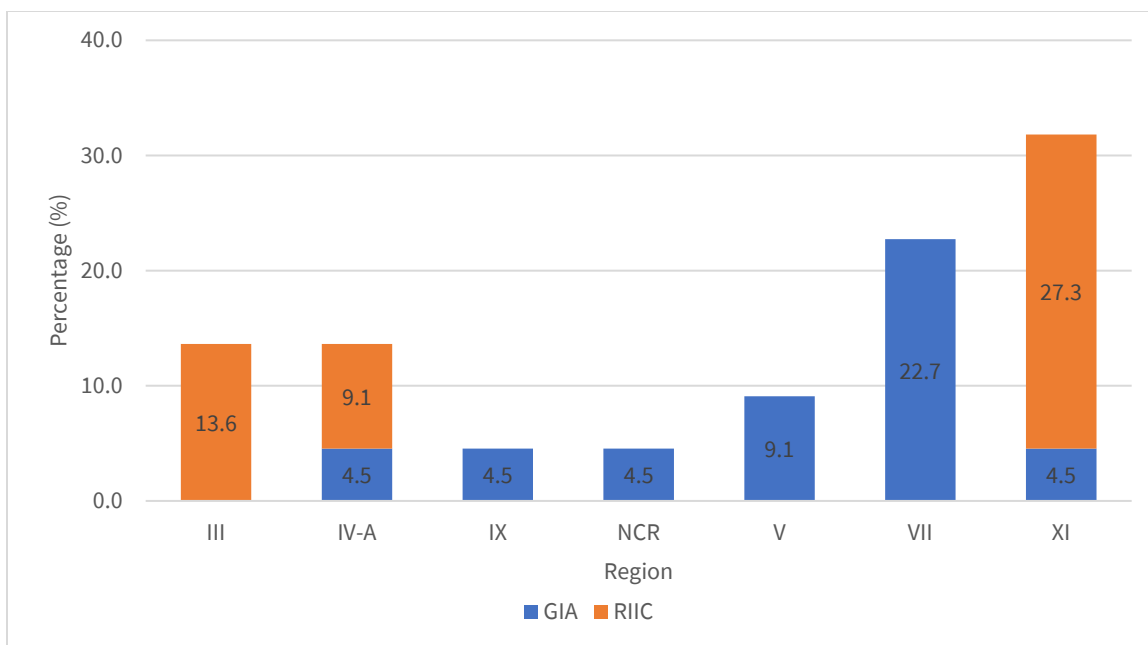


Figure D.5. Distribution of respondent's region (in percent) by classification

II. PRODUCT INNOVATION [GOODS]

Table D.4. Distribution of responses on product innovation [goods] (in percent) by classification

Product Innovation [Goods]	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Equipment	Yes	9.1	22.7	31.8
	No	31.8	22.7	54.5
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0
Journal Publications	Yes	13.6	13.6	27.3
	No	27.3	22.7	50.0
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Software Applications	Yes	13.6	18.2	31.8
	No	31.8	31.8	63.6
	I have no idea	4.5	0.0	4.5
	Total	50.0	50.0	100.0

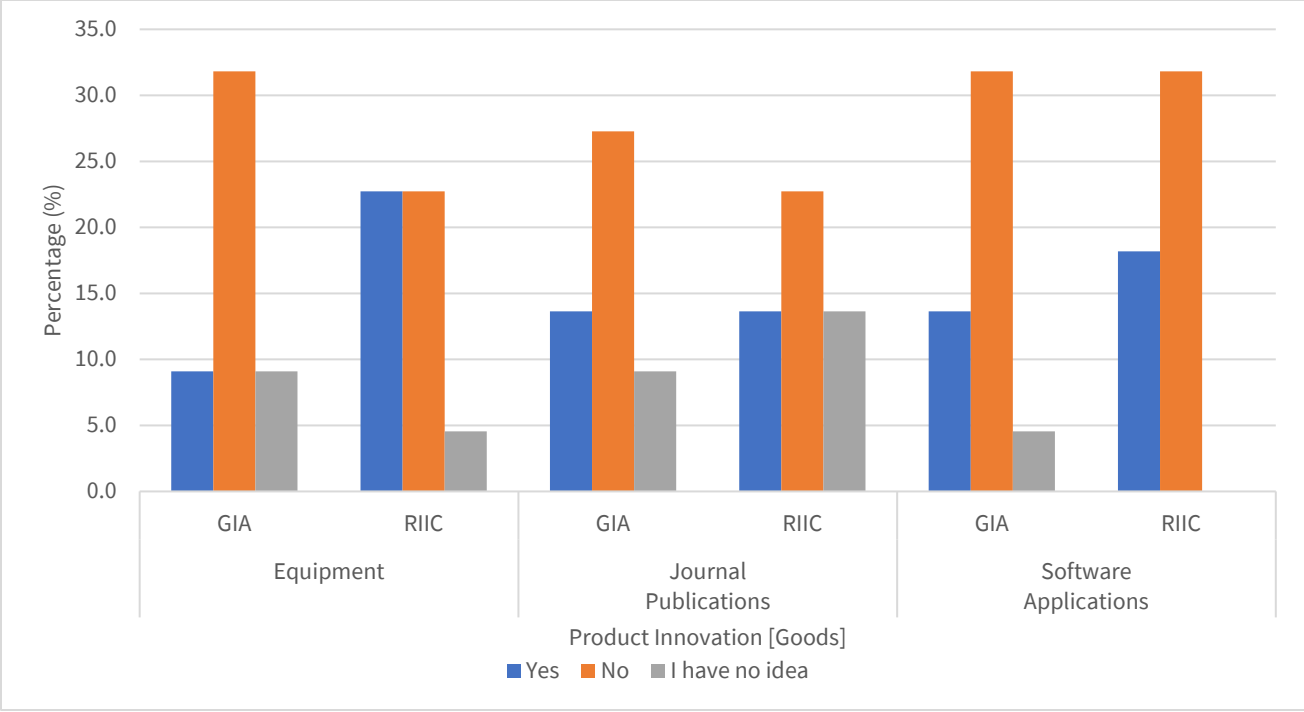


Figure D.6. Distribution of respondent's product innovation [goods] (in percent) by classification

Table D.5. Distribution of respondent's other product innovation [goods] (in percent) by classification

Other Product Innovation	GIA (n=11)	RIIC (n=11)	Total (n=22)
Capacity Trainings	4.5	0.0	4.5
Project Proposal Workshop/Submission	4.5	4.5	9.1
Food Product and Processing Protocol	4.5	0.0	4.5
Innovation Guidebook	4.5	4.5	9.1
Linkages with Industries	4.5	0.0	4.5
Local cattle upgrades	4.5	0.0	4.5
iSTRIKE/ THRIVE website	0.0	9.1	9.1
Propagation technology on Liberica Coffee	0	4.5	4.5
None	9.1	18.2	27.3
Not Applicable	13.6	9.1	22.7
Total	50.0	50.0	100.0

Table D.6. Distribution of respondent's development of product innovation [goods] (in percent) by classification

Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Your institution by itself	9.1	4.5	13.6

Your institution together with other organizations	18.2	22.7	40.9
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	4.5	0.0	4.5
Other institutions or organizations	18.2	22.7	40.9
Total	50.0	50.0	100.0

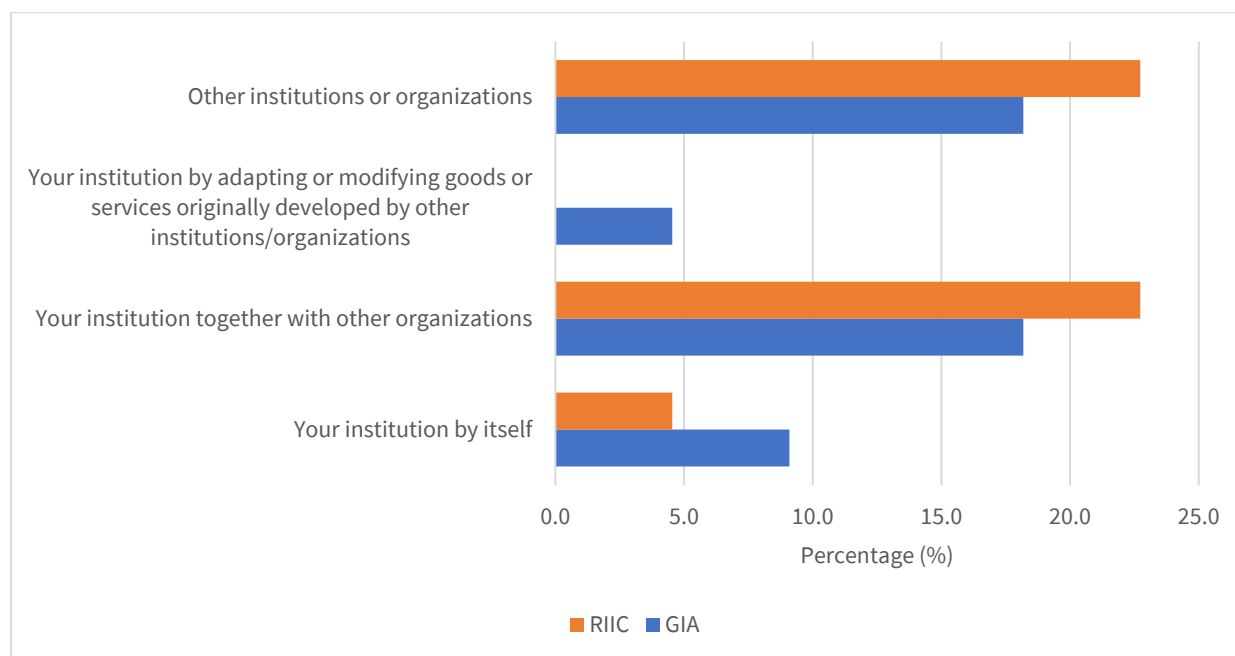


Figure D.7. Distribution of respondent's development of product innovation [goods] (in percent) by classification

III. PRODUCT INNOVATION [SERVICE]

Table D.7. Distribution of respondent's product innovation [service] (in percent) by classification

Product Innovation [Service]	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Professional Science Master (PSM) Curriculum	Yes	18.2	9.1	27.3
	No	27.3	31.8	59.1
	I have no idea	4.5	9.1	13.6
	Total	50.0	50.0	100.0
Knowledge Technology Transfer Office (KTTO)	Yes	22.7	22.7	45.5
	No	22.7	27.3	50.0
	I have no idea	4.5	0.0	4.5
	Total	50.0	50.0	100.0
Career Centers	Yes	9.1	13.6	22.7
	No	31.8	31.8	63.6
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0

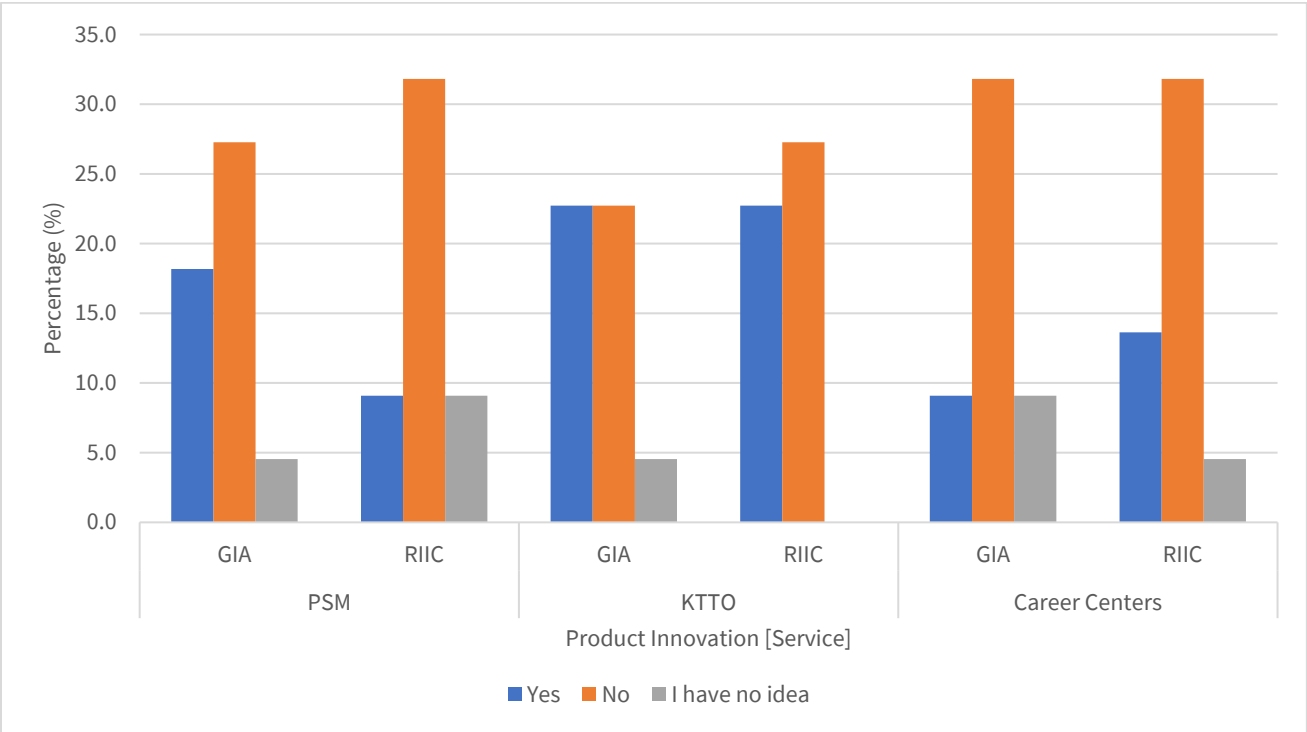


Figure D.8. Distribution of respondent’s product innovation [service] (in percent) by classification

Table D.8. Distribution of respondent’s development of product innovation [service] (in percent) by classification			
Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Your institution by itself	4.5	9.1	13.6
Your institution together with other organizations	36.4	31.8	68.2
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	9.1	9.1	18.2
Total	50.0	50.0	100.0

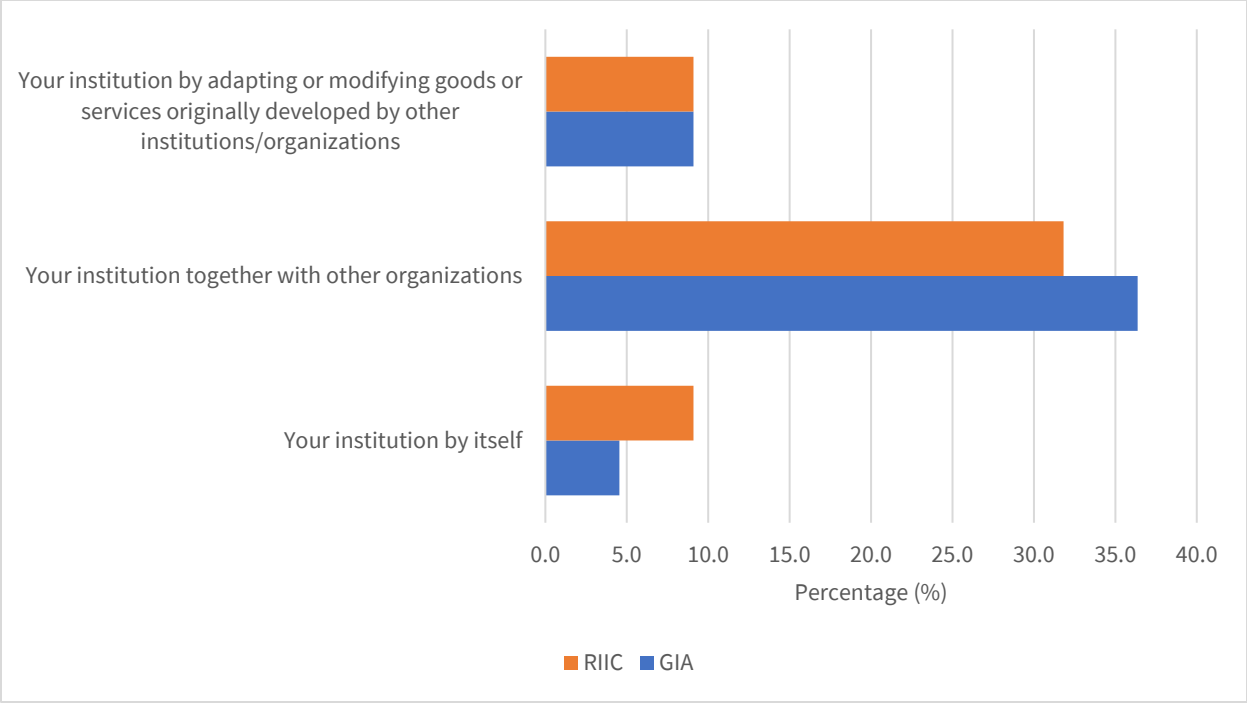


Figure D.9. Distribution of respondent's development of product innovation [service] (in percent) by classification

Table D.9. Distribution of respondent's development of product innovation [goods or services] (in percent) by classification				
Product Innovation [Goods/Services]	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
New to Discipline	Yes	36.4	27.3	63.6
	No	9.1	9.1	18.2
	I have no idea	4.5	13.6	18.2
	Total	50.0	50.0	100.0
New to Institution	Yes	27.3	22.7	50.0
	No	13.6	13.6	27.3
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0

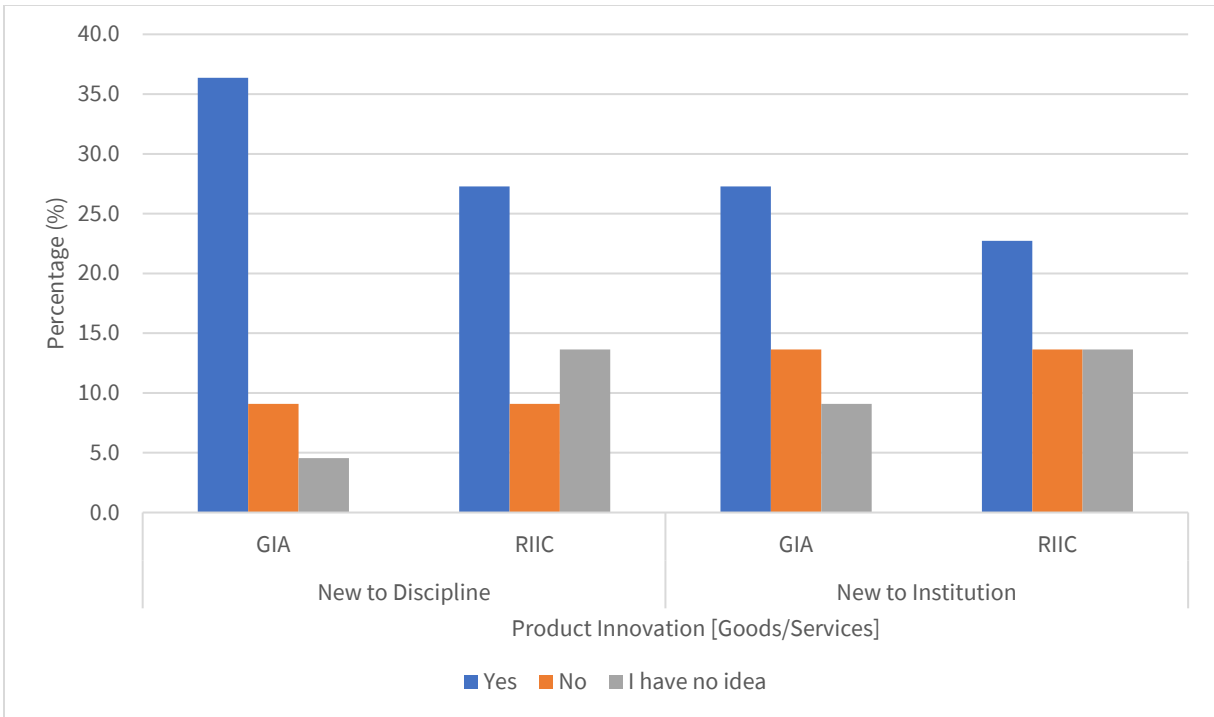


Figure D.10. Distribution of respondent's development of product innovation [goods/services] (in percent) by classification

IV. PROCESS INNOVATION

Table D.10. Distribution of respondent's development of process innovation (in percent) by classification

Process Innovation	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Improved methods of manufacturing	Yes	27.3	27.3	54.5
	No	9.1	4.5	13.6
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Improved logistics, delivery or distribution methods	Yes	4.5	27.3	31.8
	No	18.2	4.5	22.7
	I have no idea	27.3	18.2	45.5
	Total	50.0	50.0	100.0
Improved supporting activities for processes	Yes	0.0	31.8	31.8
	No	18.2	4.5	22.7
	I have no idea	31.8	13.6	45.5
	Total	50.0	50.0	100.0

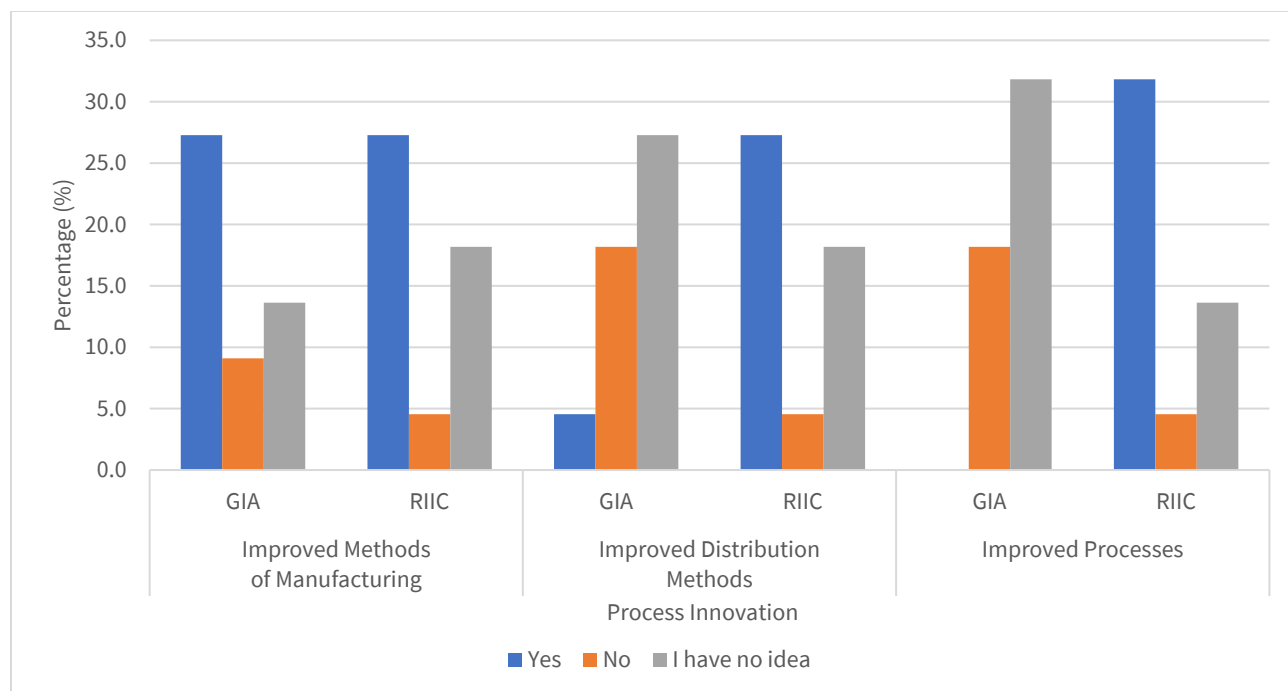


Figure D.11. Distribution of respondent's development of process innovation (in percent) by classification

Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Your institution by itself	13.6	0.0	13.6
Your institution together with other organizations	13.6	18.2	31.8
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	0.0	4.5	4.5
Other institutions or organizations	22.7	27.3	50.0
Total	50.0	50.0	100.0

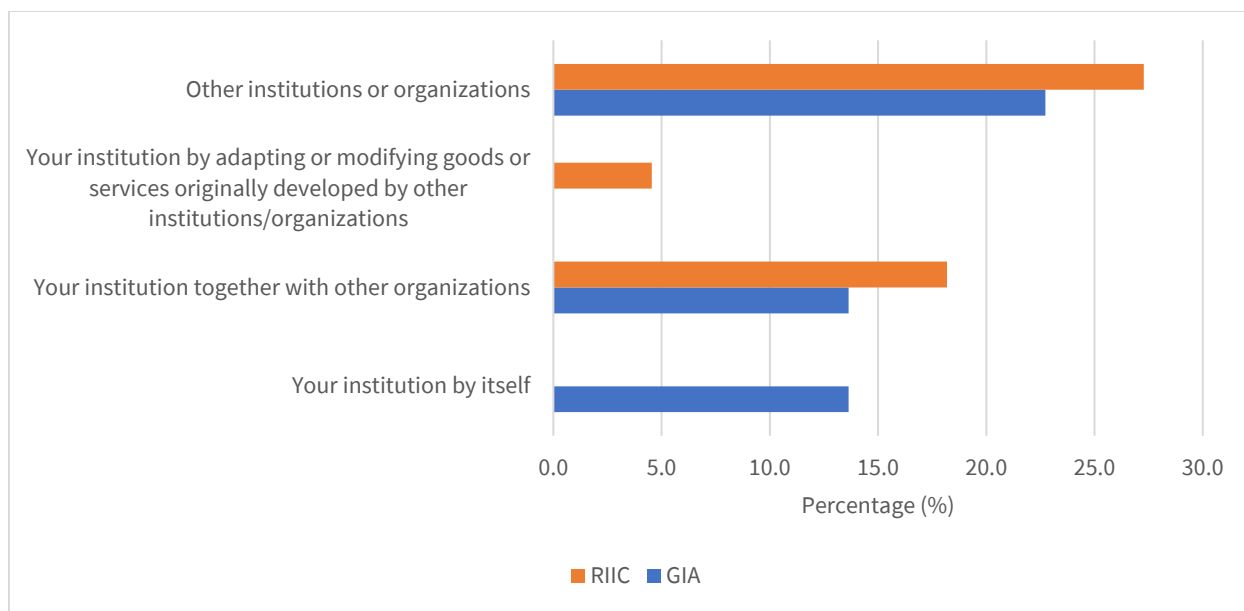


Figure D.12. Distribution of respondent's development of process innovation (in percent) by classification

V. ACTIVITIES AND EXPENDITURES FOR PRODUCT AND PROCESS INNOVATIONS

Table D.12. Distribution of respondent's R&D activities and expenditures for product and process innovations (in percent) by classification				
R&D Activities and Expenditures for Product and Process Innovations	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
In-house activities	Yes	27.3	27.3	54.5
	No	13.6	18.2	31.8
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0
External R&D	Yes	13.6	27.3	40.9
	No	18.2	22.7	40.9
	I have no idea	18.2	0.0	18.2
	Total	50.0	50.0	100.0

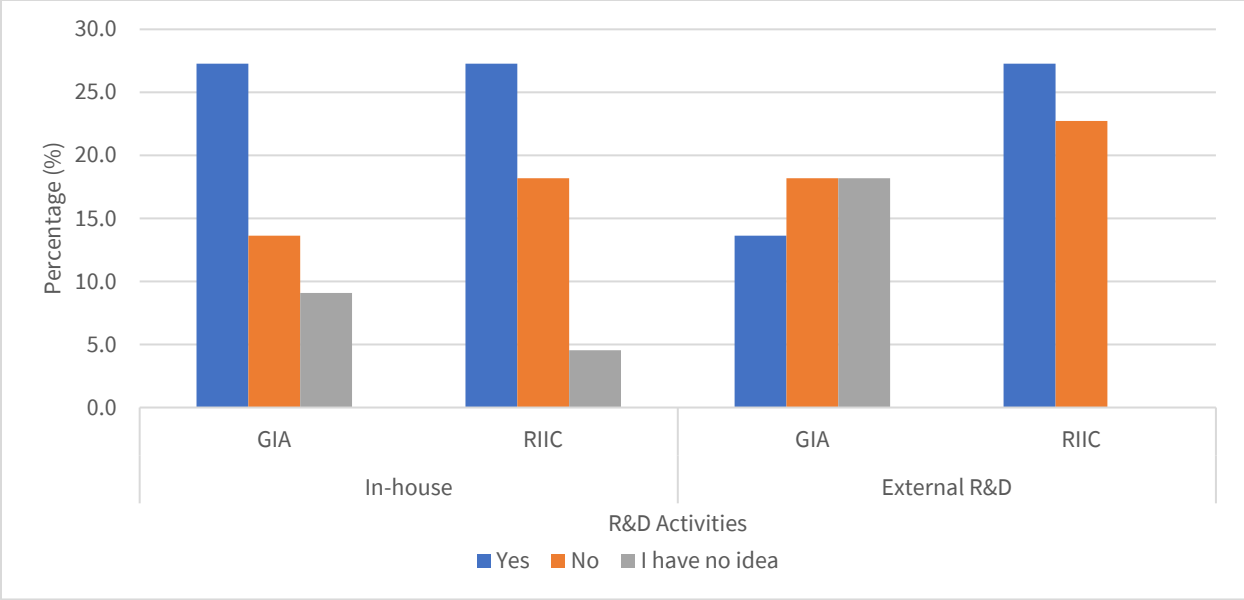


Figure D.13. Distribution of respondent's R&D activities and expenditures for product and process innovations (in percent) by classification

Table D.13. Distribution of respondent's acquisition activities and expenditures for product and process innovations (in percent) by classification				
Acquisition Activities and Expenditures for Product and Process Innovations	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Acquire advanced machinery, equipment, software and buildings	Yes	22.7	18.2	40.9
	No	9.1	27.3	36.4
	I have no idea	18.2	4.5	22.7
	Total	50.0	50.0	100.0
Acquire existing know-how, copyrighted works, patented and non-patented inventions	Yes	9.1	13.6	22.7
	No	27.3	22.7	50.0
	I have no idea	13.6	13.6	27.3
	Total	50.0	50.0	100.0

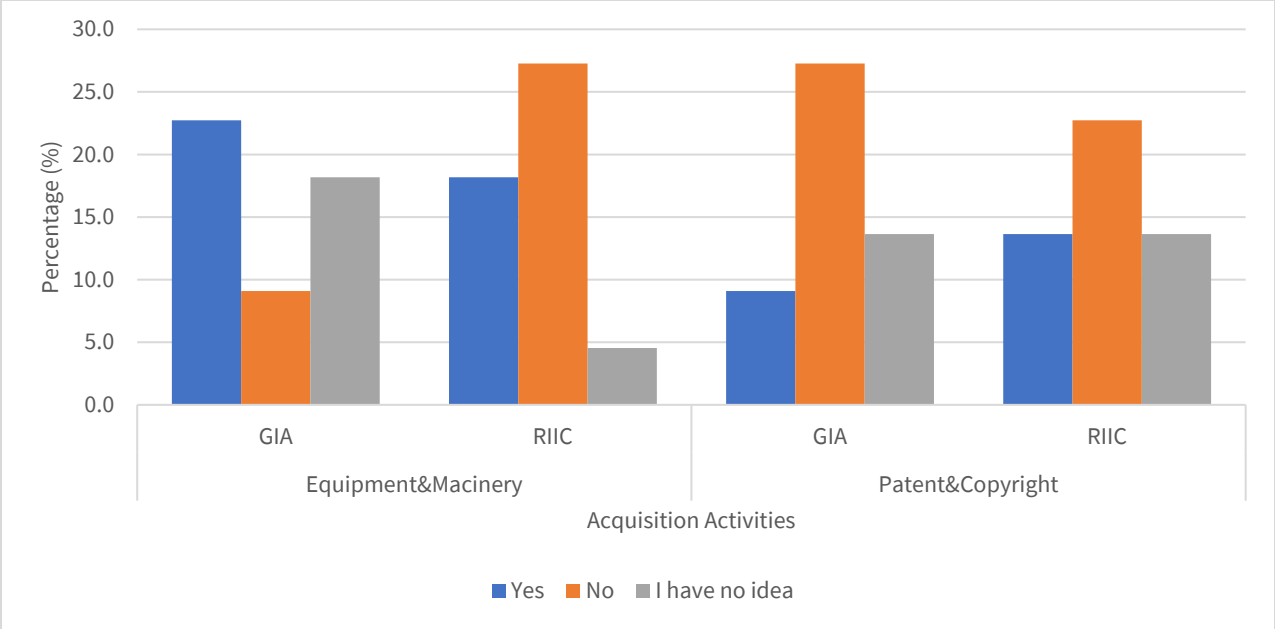


Figure D.14. Distribution of respondent's acquisition activities and expenditures for product and process innovations (in percent) by classification

Table D.14. Distribution of respondent's in-house or contract out activities and expenditures for product and process innovations (in percent) by classification				
In-house or Contract Out Activities and Expenditures for Product and Process Innovations	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Carry out in-house/contracted out training for your personnel	Yes	27.3	31.8	59.1
	No	9.1	13.6	22.7
	I have no idea	13.6	4.5	18.2
	Total	50.0	50.0	100.0
Carry out in-house/contracted out activities for the market introduction	Yes	18.2	27.3	45.5
	No	22.7	18.2	40.9
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0
Carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services	Yes	22.7	22.7	45.5
	No	9.1	18.2	27.3
	I have no idea	18.2	9.1	27.3
	Total	50.0	50.0	100.0

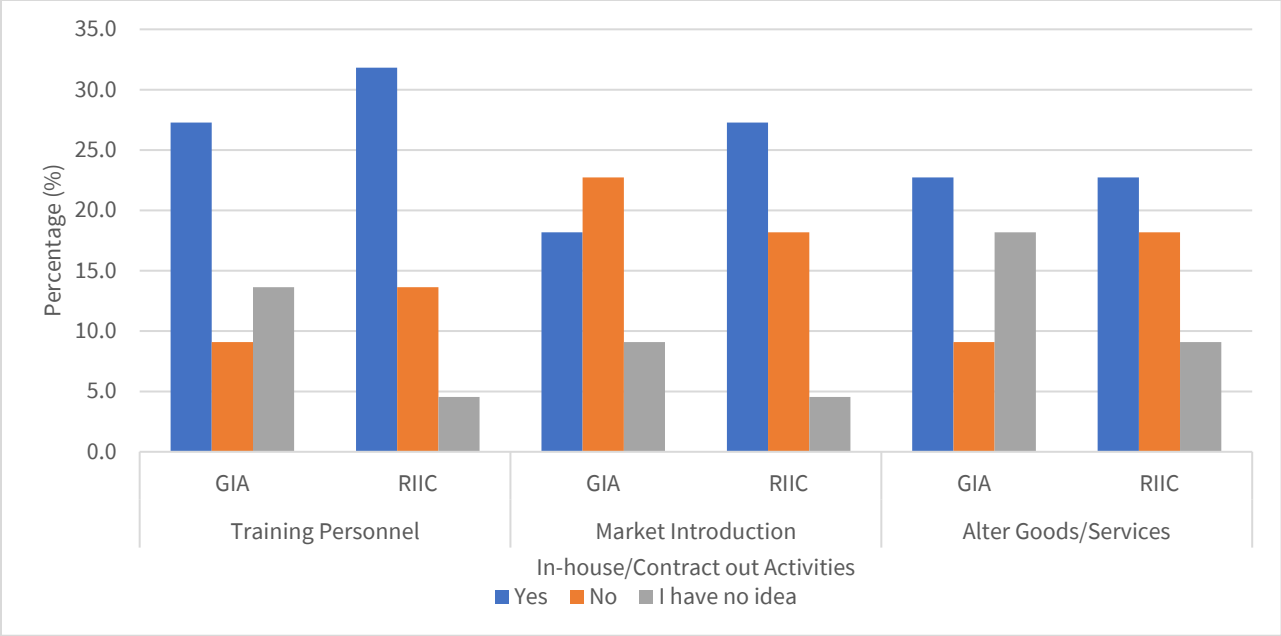


Figure D.15. Distribution of respondent's in-house or contract out activities and expenditures for product and process innovations (in percent) by classification

VI. PUBLIC FINANCIAL SUPPORT FOR INNOVATION ACTIVITIES

Public Financial Support for Innovation Activities	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Local or regional authorities	Yes	9.1	27.3	36.4
	No	27.3	22.7	50.0
	I have no idea	13.6	0.0	13.6
	Total	50.0	50.0	100.0
Central government	Yes	27.3	27.3	54.5
	No	18.2	18.2	36.4
	I have no idea	4.5	4.5	9.1
	Total	50.0	50.0	100.0

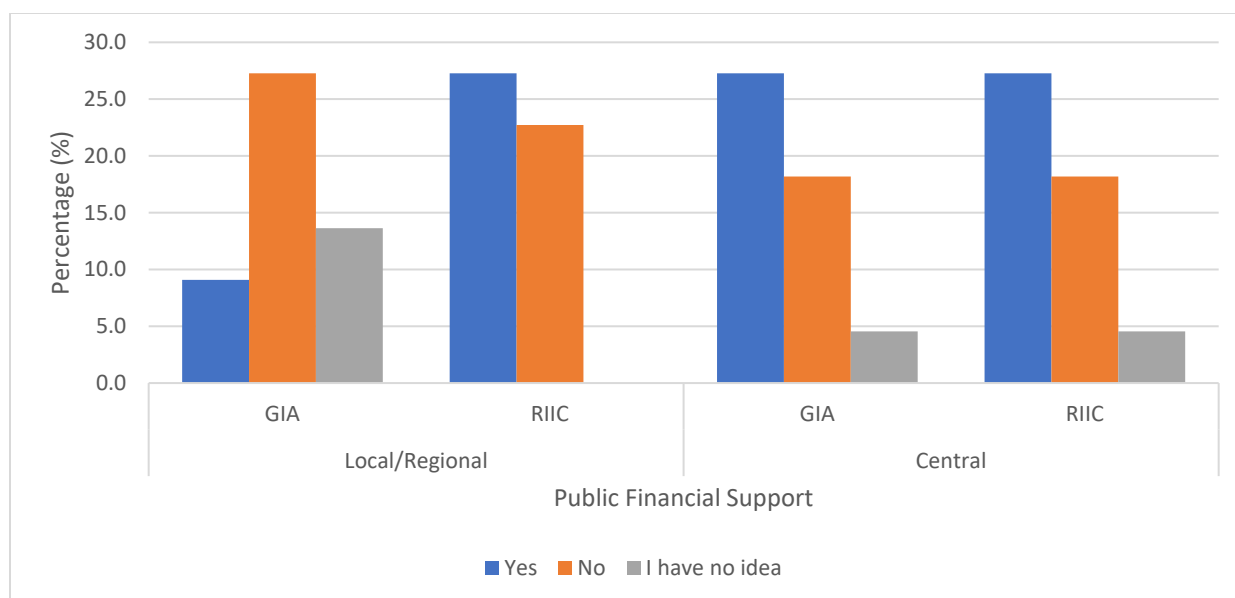


Figure D.16. Distribution of respondent's public financial support for innovation activities (in percent) by classification

VII. COOPERATION FOR PRODUCT AND PROCESS INNOVATION ACTIVITIES

Table D.16. Distribution of respondent's institutions co-operate on any of innovation activities with other institution or organizations NOT related to Project STRIDE (in percent) by classification

Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Yes	45.5	40.9	86.4
No	0.0	9.1	9.1
I have no idea	4.5	0.0	4.5
Total	50.0	50.0	100.0

VIII. TYPE OF INNOVATION COOPERATION PARTNER

Table D.17. Distribution of respondent's type of innovation cooperation partner (in percent) by classification

Type of Innovation Cooperation Partner	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Other institution within institution group	Philippines	45.5	31.8	77.3
	Other countries	0.0	4.5	4.5
	Not applicable	4.5	13.6	18.2
	Total	50.0	50.0	100.0
Suppliers of equipment, materials, components, or software	Philippines	27.3	27.3	54.5
	Other countries	18.2	4.5	22.7
	Not applicable	4.5	18.2	22.7
	Total	50.0	50.0	100.0

Clients or customers from the private sector	Philippines	50.0	45.5	95.5
	Other countries	0.0	0.0	0.0
	Not applicable	0.0	4.5	4.5
	Total	50.0	50.0	100.0
Clients or customers from the public sector	Philippines	40.9	40.9	81.8
	Other countries	0.0	0.0	0.0
	Not applicable	9.1	9.1	18.2
	Total	50.0	50.0	100.0
Competitors or other enterprises in your sector	Philippines	22.7	27.3	50.0
	Other countries	4.5	0.0	4.5
	Not applicable	22.7	22.7	45.5
	Total	50.0	50.0	100.0
Consultants or commercial laboratories	Philippines	45.5	31.8	77.3
	Other countries	0.0	4.5	4.5
	Not applicable	4.5	13.6	18.2
	Total	50.0	50.0	100.0
Universities or other higher education institutes	Philippines	40.9	45.5	86.4
	Other countries	4.5	0.0	4.5
	Not applicable	4.5	4.5	9.1
	Total	50.0	50.0	100.0
Government, public or private research institutes	Philippines	45.5	40.9	86.4
	Other countries	0.0	0.0	0.0
	Not applicable	4.5	9.1	13.6
	Total	50.0	50.0	100.0

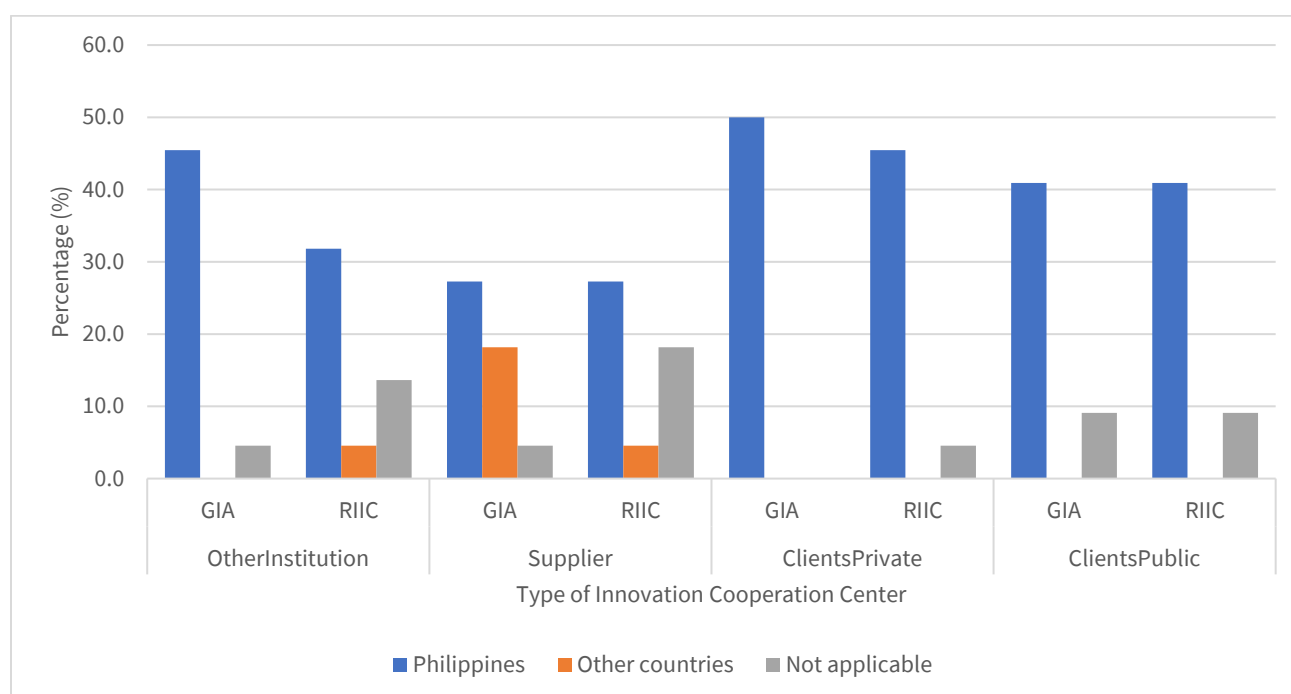


Figure D.17.a Distribution of respondent's type of innovation cooperation partner (in percent) by classification

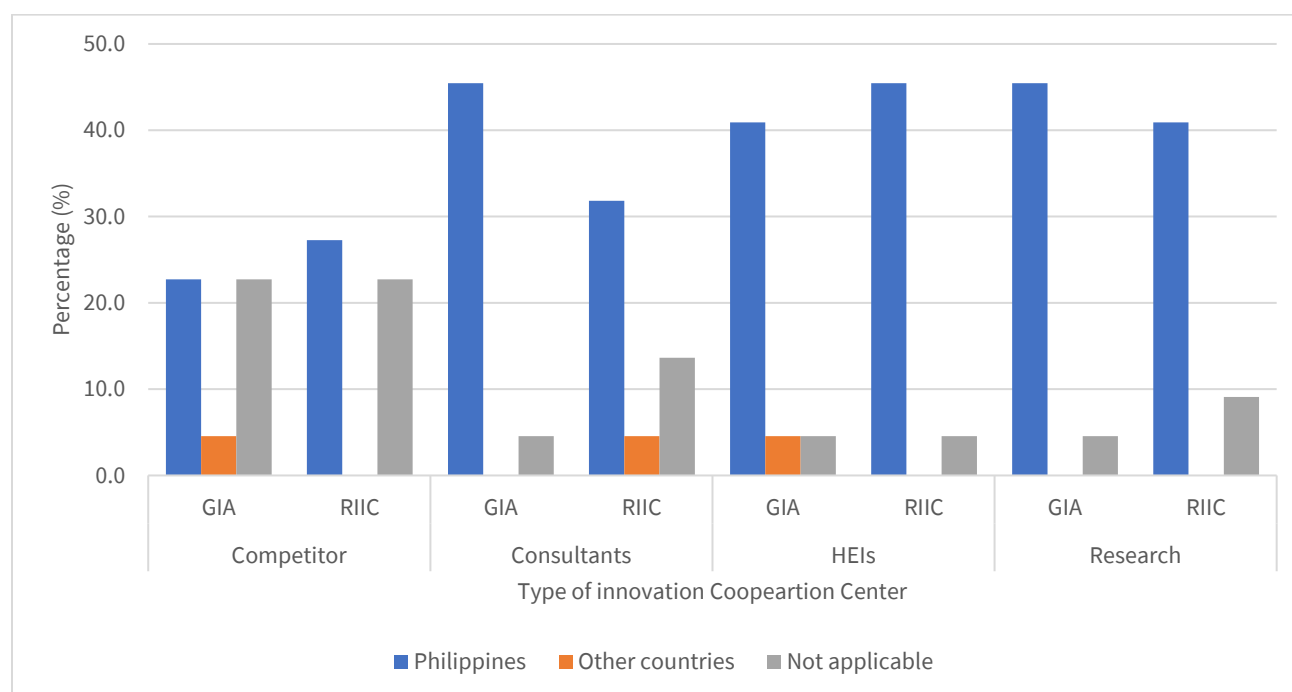


Figure D.17.b Distribution of respondent's type of innovation cooperation partner (in percent) by classification

Co-operation partner*	GIA (n=11)	RIIC (n=11)	Total (n=22)
HEI	9.1	18.2	27.3
Government Agency	36.4	18.2	54.5
Private Industry/Sector	13.6	13.6	27.3
Research Partnership with R&D Background	4.5	9.1	13.6
Total	63.6	59.1	122.7

*Multiple response

Reasons*	GIA (n=11)	RIIC (n=11)	Total (n=22)
Expertise	22.7	27.3	50.0
Network/Partnership/Linkages	9.1	22.7	31.8
Funding	9.1	4.5	13.6
New Opportunity	9.1	0.0	9.1
Total	50.0	54.5	104.5

*Multiple response

IX. REGULATORY ENVIRONMENT FOR INNOVATION

Table D.19. Distribution of respondent's answers to the improvement of regulatory environment for innovation (in percent) by classification

Regulatory Environment for Innovation	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Improved procurement policy	Yes	22.7	9.1	31.8
	No	18.2	27.3	45.5
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Improved policies for research incentives	Yes	18.2	27.3	45.5
	No	22.7	13.6	36.4
	I have no idea	9.1	9.1	18.2
	Total	50.0	50.0	100.0
Improved policies for extension services	Yes	13.6	31.8	45.5
	No	22.7	9.1	31.8
	I have no idea	13.6	9.1	22.7
	Total	50.0	50.0	100.0
Improved application for utility model	Yes	13.6	18.2	31.8
	No	22.7	13.6	36.4
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Improved approval for utility model	Yes	13.6	13.6	27.3
	No	22.7	18.2	40.9
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Improved approval for IP patent	Yes	18.2	13.6	31.8
	No	22.7	22.7	45.5
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Improved scientific workforce (people services)	Yes	27.3	27.3	54.5
	No	9.1	13.6	22.7
	I have no idea	13.6	9.1	22.7
	Total	50.0	50.0	100.0
Science-based guidelines	Yes	22.7	27.3	50.0
	No	18.2	13.6	31.8
	I have no idea	9.1	9.1	18.2
	Total	50.0	50.0	100.0
New laboratories, institutions, and training programs	Yes	27.3	36.4	63.6
	No	13.6	9.1	22.7
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0

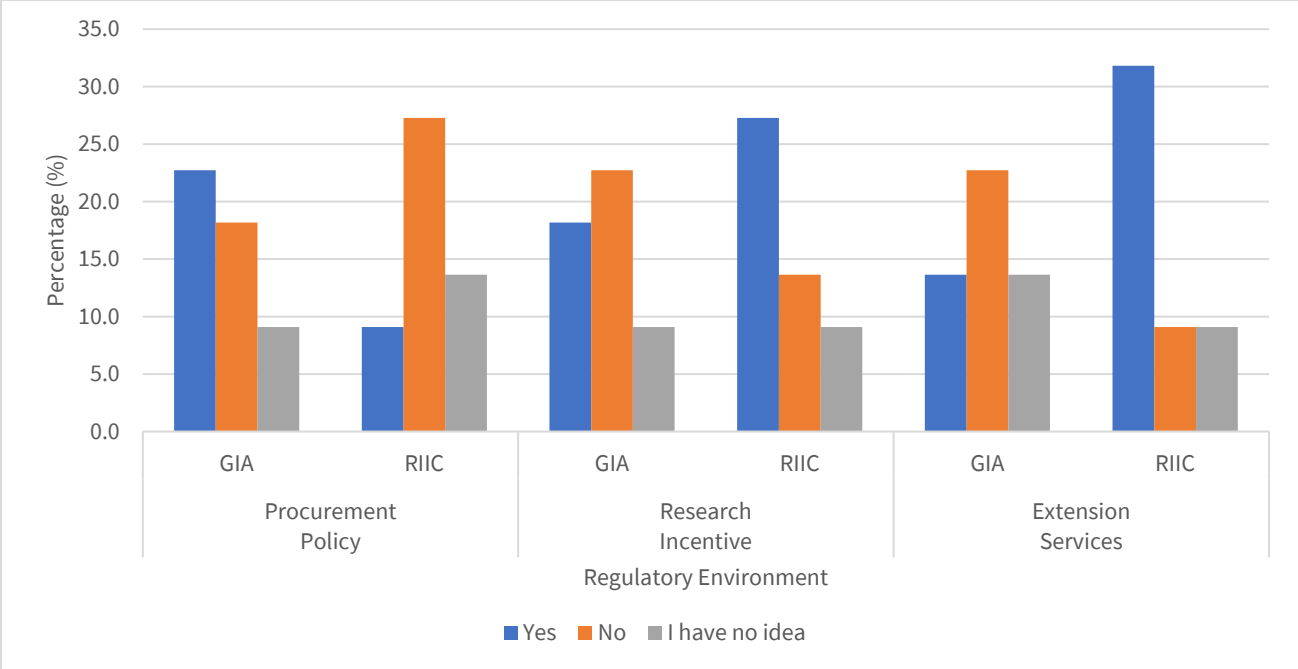


Figure D.18.a Distribution of respondents on regulatory environment for innovation (in percent) by classification

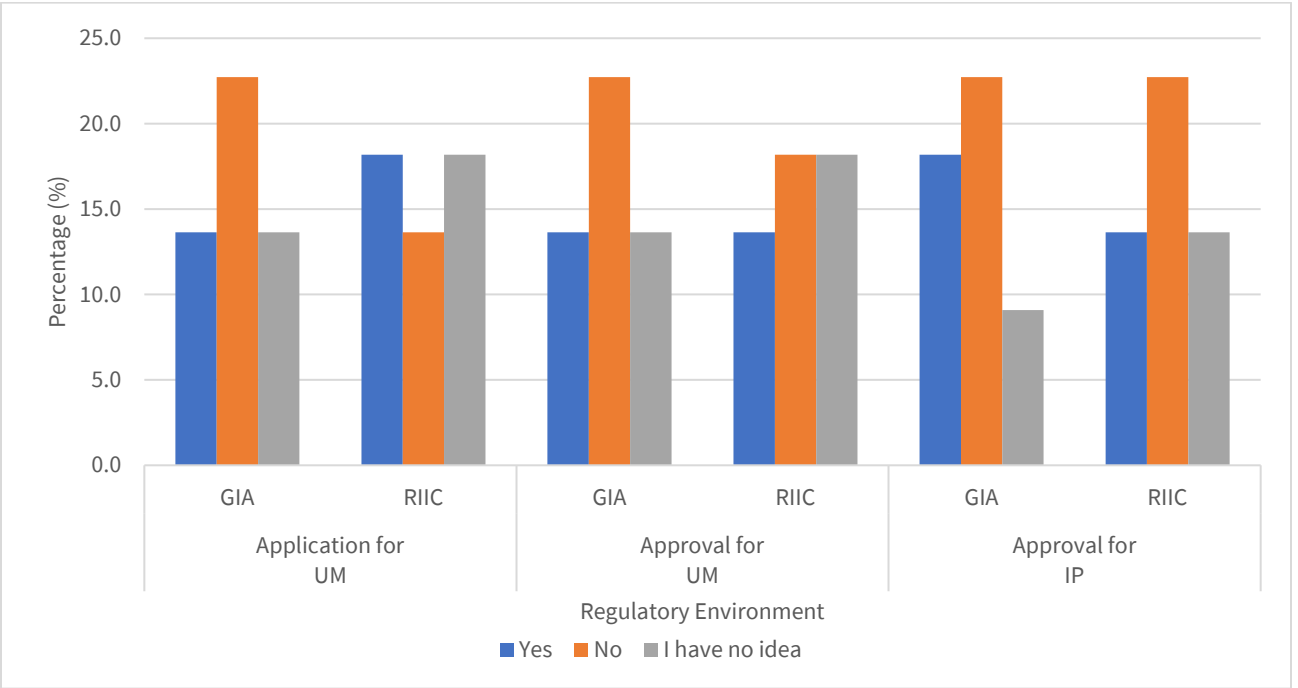


Figure D.18.b Distribution of respondents on regulatory environment for innovation (in percent) by classification

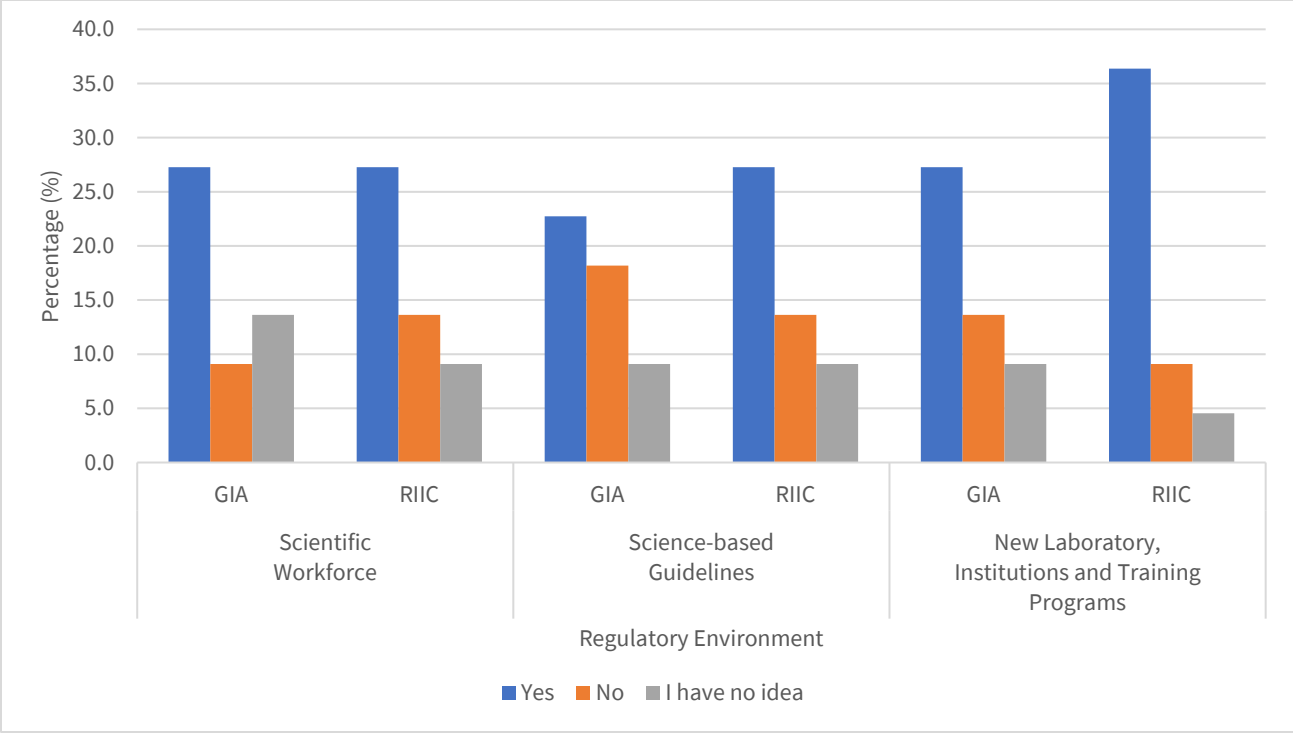


Figure D.18.c Distribution of respondents on regulatory environment for innovation (in percent) by classification

X. INTELLECTUAL PROPERTY RIGHTS AND LICENSING

Intellectual Property Rights and Licensing	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Apply for a patent	Yes	18.2	9.1	27.3
	No	22.7	27.3	50.0
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Register an industrial design right	Yes	4.5	4.5	9.1
	No	31.8	27.3	59.1
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Register a trademark	Yes	4.5	18.2	22.7
	No	31.8	22.7	54.5
	I have no idea	13.6	9.1	22.7
	Total	50.0	50.0	100.0
License out or sell a patent, industrial design right, copyright or trademark to another enterprise, university or research institute	Yes	0.0	9.1	9.1
	No	31.8	31.8	63.6
	I have no idea	18.2	9.1	27.3
	Total	50.0	50.0	100.0
	Yes	0.0	0.0	0.0

License in or buy a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute	No	18.2	18.2	36.4
	I have no idea	31.8	31.8	63.6
	Total	50.0	50.0	100.0

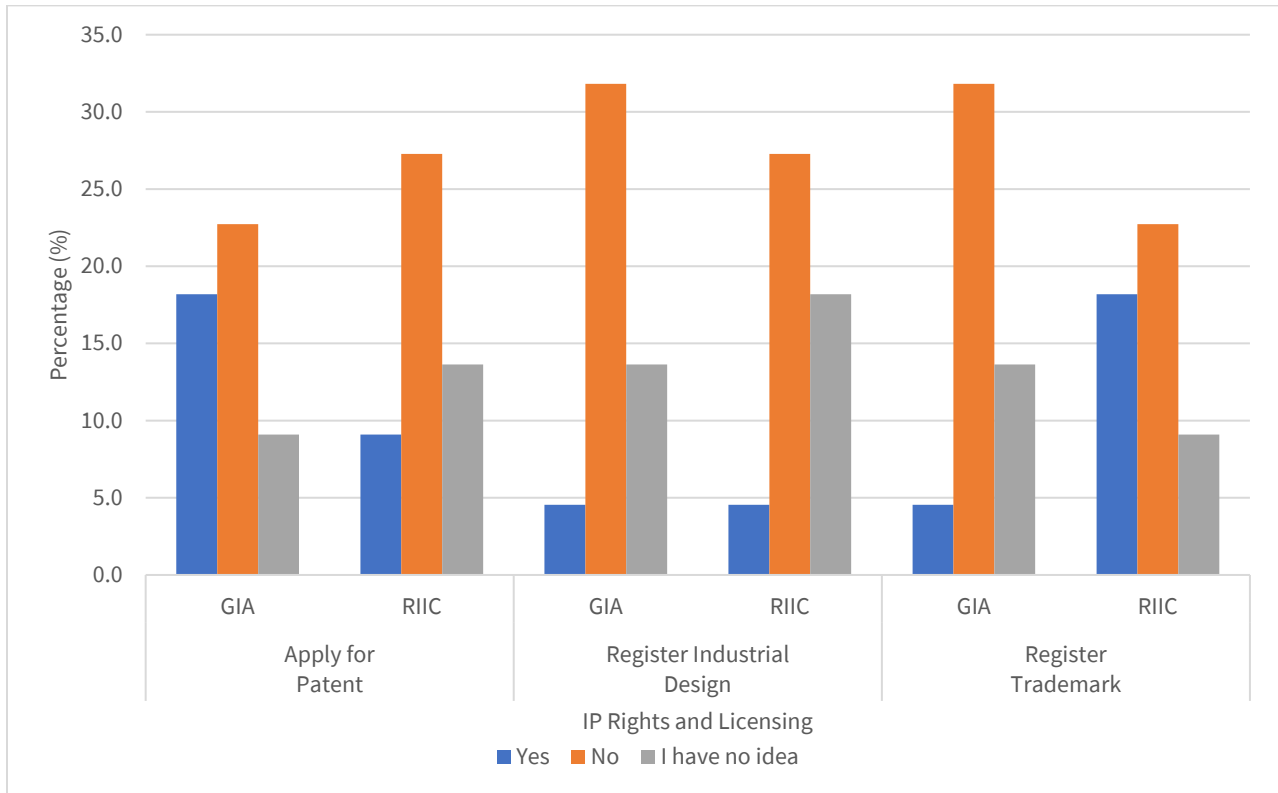


Figure D.19.a. Distribution of respondents on intellectual property rights and licensing (in percent) by classification

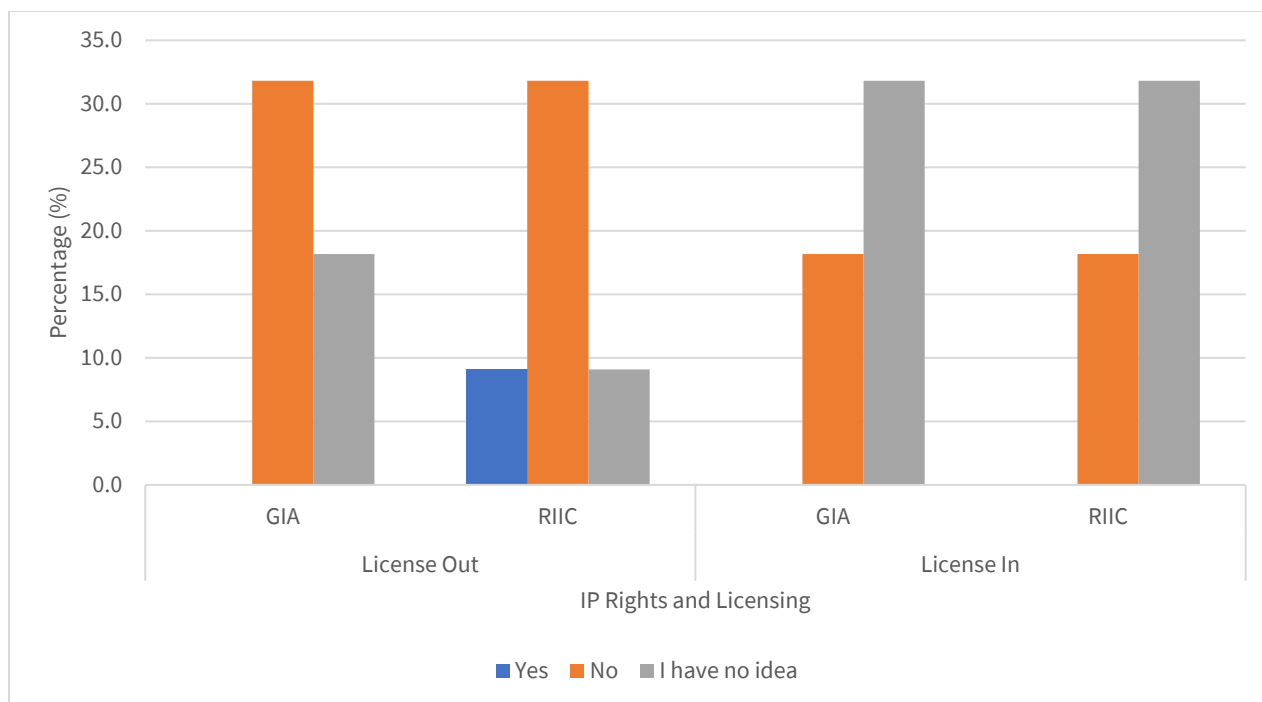


Figure D.19.b. Distribution of respondents on intellectual property rights and licensing (in percent) by classification

XI. RANK INTERVENTIONS

Table D.21. Distribution of respondents on ranking different interventions that contributed more to the improved capacity to innovate (in percent) by classification

Interventions	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Technical assistance and its various forms	Rank 1	13.6	22.7	36.4
	Rank 2	9.1	4.5	13.6
	Rank 3	4.5	9.1	13.6
	Rank 4	22.7	13.6	36.4
	Total	50.0	50.0	100.0
Strengthening links between innovation stakeholders	Rank 1	9.1	18.2	27.3
	Rank 2	13.6	9.1	22.7
	Rank 3	9.1	4.5	13.6
	Rank 4	18.2	18.2	36.4
	Total	50.0	50.0	100.0
Policy improvements	Rank 1	9.1	9.1	18.2
	Rank 2	9.1	0.0	9.1
	Rank 3	4.5	31.8	36.4
	Rank 4	27.3	9.1	36.4
	Total	50.0	50.0	100.0
	Rank 1	13.6	9.1	22.7

Institutionalization of STRIDE capacity building programs	Rank 2	9.1	4.5	13.6
	Rank 3	13.6	18.2	31.8
	Rank 4	13.6	18.2	31.8
	Total	50.0	50.0	100.0

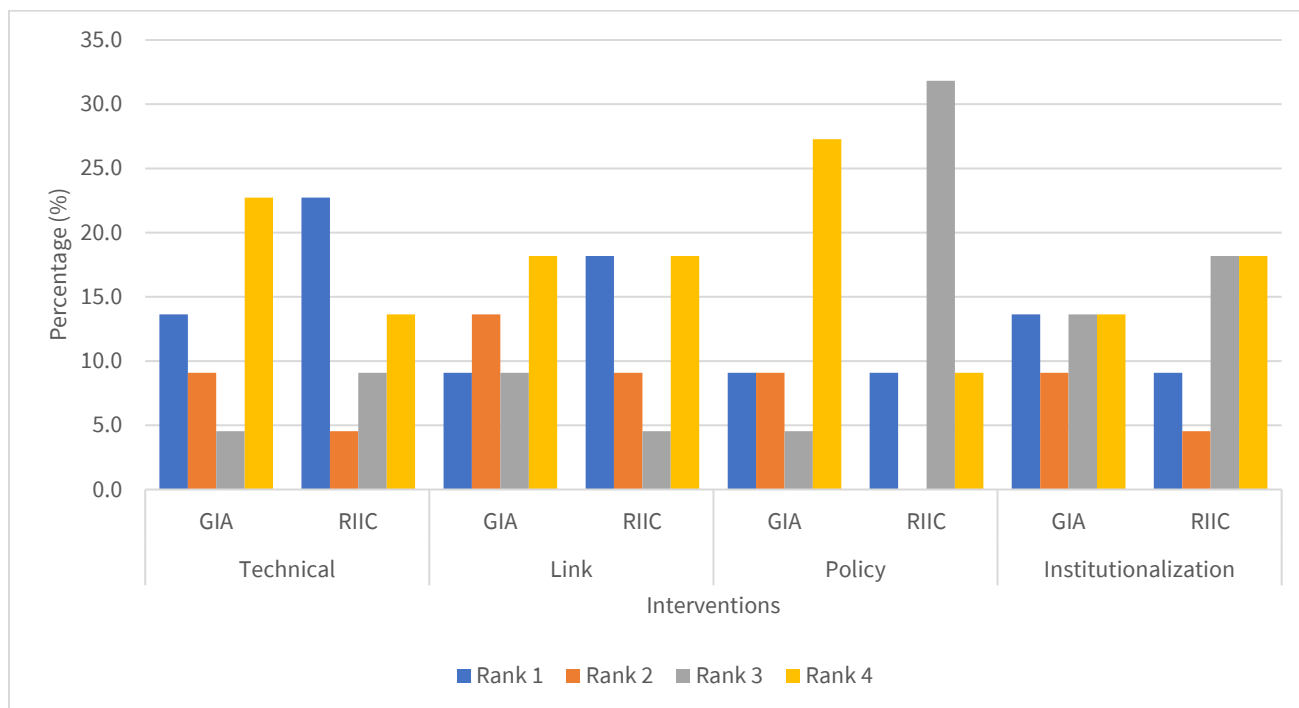


Figure D.20. Distribution of respondents on ranking different interventions that contributed more to the improved capacity to innovate (in percent) by classification

Table D.22. Average ranking to different interventions by classification

Program Type	Technical	Links	Policy	Institutionalization
GIA	1.45	1.73	1.45	1.64
RIIC	1.36	1.45	1.64	1.55

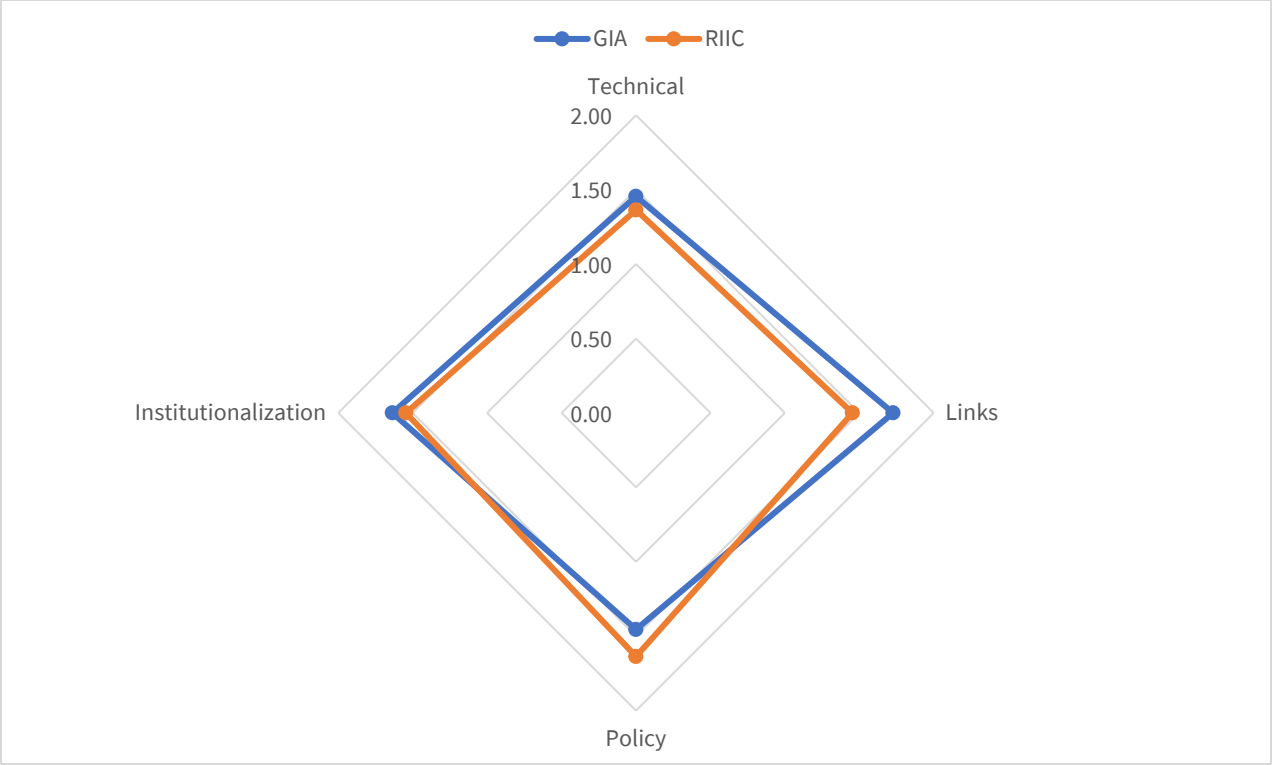


Figure D.21. Average ranking to different interventions by classification

Table D.23. The R&D grant processes of HEIs and RDIs

Activities of GIA and RIICs		GIA	RIIC
		(n = 11)	(n = 11)
		f (%)	f (%)
Activities and expenditures for product and process innovations	In-house activities	6(27.3)	6(27.3)
	External R&D	3(13.6)	6(27.3)
	Continuous R&D) (Permanent R&D staff in-house)	3(13.6)	3(13.6)
	Acquire advanced machinery, equipment, software and buildings	5(22.7)	4(18.2)
	Acquire existing know-how, copyrighted works, patented and non-patented inventions	2(9.1)	3(13.6)
	Carry out in-house/contracted out training for personnel	6(27.3)	7(31.8)

	Carry out in-house/contracted out activities for the market introduction	4(18.2)	6(27.3)
	Carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services	5(22.7)	5(22.7)
Intellectual Property Rights and Licensing	Apply for a patent	4(18.2)	2(9.1)
	Register an industrial design right	1(4.5)	1(4.5)
	Register a trademark	1(4.5)	4(18.2)
	License out or sell a patent, industrial design right, copyright or trademark to another enterprise, university or research institute	--	2(9.1)
	License in or buy a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute	--	--

ANNEX E ALL LEVELS.1

STRATEGIES THAT CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE						
QUANTITATIVE				QUALITATIVE		
Strategies	KII	GIA	RIIC	Themes	Responses (National = 6, HEI = 11 = Regional = 8, GIA = 4, RIIC = 4)	
	M	M	M			
Technical assistance	3.33	1.45	1.36	Technical assistance. Non-financial assistance by STRIDE in a form of sharing expertise (how to innovate), instruction (KTTO), skills (curriculum development), consulting services (sending of international or local experts)	<p>"My experience with research is that they're very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various form." (H6)</p> <p>"STRIDE is coordinating with us. We asked STRIDE help on turning CIP in Marikina as innovation center. STRIDE made a study and presented it to us. Some recommendation [form the study] were implemented. We asked STRIDE to help us in carrying out seminars and FGD. In order for us on the current shape of innovation in the region. In 2017 we presented IR4. STRIDE sent speakers in this event. We also asked STRIDE to carry out initial innovation assessment in 2015."(N5)</p>	
Linkages	3.16	1.73	1.45	Linkage. Networks facilitated by STRIDE and Interactions among GIA to encourage	"Coming us together like discussing projects over dinner."N2	

				knowledge and technology exchange.	"We have known each other. Mr. Caedo was a member of the Board of Regents of Batangas State University. BSU met Mr. Gualberto through Mr. Caedo. Through them, BSU met seasoned coffee growers on some occasions. Since we know each other, collaboration was easier. There is always the DOST for possible funding for projects. There were also projects with the DTI on MSMEs. (RIIC2)
					"Linkages with stakeholders (the government, industry chamber, MSMEs, etc.) have been rewardingly promoted to converge knowledge assets to sustain local development." (H2)
Policy	2.83	1.45	1.64	Policy. Setting, formulation, and adoption of STI-related policies assisted by STRIDE	"There's lot of policy improvement assisted by STRIDE."(N2)
					"Hindi ako involved ma'am but based on my experience, there have been no improvements. PICARI is also trying to lobby improvements on the policy environment in research. So, there is still no change."(H6)
					I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI."(A4)
Institutionalizations	2.77	1.64	1.55	Institution building. Established offices (e.g. KTTO, etc); other initiatives for institution building and sustainability	" Also, the establishment of the KTTO office, ensuring and making a progress that whatever the knowledge that we have from STRIDE Training, we want it to sustain it. So that is why we put an office and institutionalize this policy."(H9)

"During the strategic planning, the physical office will be hosted by the Davao City Chamber of Commerce of Industry, Inc. (DCCCI), but all these operations manual and the details on this is we're currently still finalizing and on process."
(I4)

February to April 2019, that's the alignment activities and institutionalization of the RIIC through the RDC and the adoption of the MLA framework of the." (G4)

ANNEX E HEI.1

Continuation of Table 2.1

STRIDE INTERVENTIONS UNDER IR1 AND INNOVATION ACTIVITIES OF HEIS				
Quantitative		Qualitative		
	HEI (n = 57) f(%)	Theme	Response	
Science and Technology Curricula STRIDE intervention	PSM	35(20)	Development of STI-related curricula. Consists of STEAM-related curricula that integrates business and management courses for graduates to be prepared for future leadership and entrepreneurial roles H: = 5, 45%	"Our school was able to ensure the approval of programs without the STRIDE but leveraging on this, when the STRIDE name came along it was additional magic. This is why the continued engagement of the STRIDE project in the PH will really help. Why will we invent something that is really out there. The new CHED graduate policies "We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem. I am the Chair of the Technical Working Group on Graduate Education of CHED. What I learned from STRIDE has also influenced me on the CHED new polices on graduate education." H10)

ANNEX E HEI.2

STRIDE INTERVENTIONS UNDER IR2 AND POLICY CHANGES IN GIA AND RIIC					
Activities	Quantitative			Qualitative	
	HEI-KII (n = 1)	GIA (n = 11)	RIIC (n = 11)	Themes	Responses
		f (%)	f (%)		National KIIs (n = 6), Regional KIIs (n = 7), GIA (n = 4), and RIICs (n = 3)
STRIDE interventions	Research on procurement policy	1 (100)		Assistance and understanding of the procurement process. Process of purchasing supplies, equipment, contract services, other services.	"Sa amin kasi sa DOST alam niyo naman kung ganyan dadaan pa po tayo sa mga procurement rules pero with STRIDE they have leeway. They can choose who to pick without having to go through the long procurement process." (GIA-G1)
	· procurement policy		5(22.7)	2(9.1)	
Activities of actor's capacity to innovate	· research incentives		4(18.2)	6(27.3)	"Understanding the problem [on procurement]." H12)
	· extension services		3(13.6)	7(31.8)	
	· application for utility model		3(13.6)	4(18.2)	
	· approval for utility model		3(13.6)	3(13.6)	
	· approval for IP patent		4(18.2)	3(13.6)	
	· scientific workforce		6(27.3)	6(27.3)	
	· Science-based guidelines		5(22.7)	6(27.3)	

· New laboratories, institutions, and training programs	6(27.3)	8(36.4)
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ANNEX E HEI.3

		STRIDE ASSISTANCE UNDER IR3	
		Activities of GIA and RIICs	
		GIA	RIIC
		(n = 11)	(n = 11)
		f (%)	f (%)
Product Innovation [Goods]	Equipment	2(9.1)	5(22.7)
	Journal Publications	3(13.6)	3(13.6)
	Software Applications	3(13.6)	4(18.2)
Product Innovation [Service]	Professional Science Master Curriculum	4(18.2)	2(9.1)
	Knowledge Technology Transfer Office	5(22.7)	5(22.7)
	Career Centers	2(9.1)	3(13.6)
	New to Discipline	8(36.4)	6(27.3)
	New to Institution	6(27.3)	5(22.7)
Process Innovation	Improved methods of manufacturing	6(27.3)	6(27.3)
	Improved logistics, delivery or distribution methods	1(4.5)	6(27.3)
	Improved supporting activities processes	--	7(31.8)

ANNEX E JOINT DISPLAYS

Continuation of Table 2.1

STRIDE INTERVENTIONS UNDER IRI AND INNOVATION ACTIVITIES OF HEIS					
Quantitative			Qualitative		
		HEI (n = 57) f(%)	Theme	Response	
Science and Technology Curricula	STRIDE intervention	PSM	35(20)	Development of STI-related curricula. Consists of STEAM-related curricula that integrates business and management courses for graduates to be prepared for future leadership and entrepreneurial roles H: = 5, 45%	"Our school was able to ensure the approval of programs without the STRIDE but leveraging on this, when the STRIDE name came along it was additional magic. This is why the continued engagement of the STRIDE project in the PH will really help. Why will we invent something that is really out there. The new CHED graduate policies "We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem. I am the Chair of the Technical Working Group on Graduate Education of CHED. What I learned from STRIDE has also influenced me on the CHED new polices on graduate education." H10)
	Activities of actors' capacity to innovate	Marketing the PSM program campaign (n =15)	1 (6%)		
		Good innovations n = 70			
		Equipment	19 (27)		
		Journal publications	23 (32.86)		
		Software applications	12 (17.14)		

STRIDE INTERVENTIONS UNDER IR2 AND POLICY CHANGES IN GIA AND RIIC

		Quantitative			Qualitative	
Activities	HEI-KII (n = 1)	GIA (n = 11)	RIIC (n = 11)	Themes	Responses	
		f (%)	f (%)			
STRIDE interventions	Research on procurement policy	1 (100)		Assistance and understanding of the procurement process. Process of purchasing supplies, equipment, contract services, other services. Policy on procurement of goods, equipment and services (Consultants)	"Sa amin kasi sa DOST alam niyo naman kung ganyan dadaan pa po tayo sa mga procurement rules pero with STRIDE they have leeway. They can choose who to pick without having to go through the long procurement process." (GIA-G1) "Understanding the problem [on procurement]." H12	
Activities of actors capacity to innovate	· Procurement policy		5(22.7)			
	· Research incentives		4(18.2)	6(27.3)		
	· Extension services		3(13.6)	7(31.8)		
	· Application for utility model		3(13.6)	4(18.2)		
	· Approval for utility model		3(13.6)	3(13.6)		
	· Approval for IP patent		4(18.2)	3(13.6)		
	· Scientific workforce		6(27.3)	6(27.3)		
	· Science-based guidelines		5(22.7)	6(27.3)		
	· New laboratories, institutions, and training programs		6(27.3)	8(36.4)		

STRIDE ASSISTANCE UNDER IR3

		Activities of GIA and RIICs	
		GIA (n = 11) f (%)	RIIC (n = 11) f (%)
Product Innovation [Goods]	Equipment	2(9.1)	5(22.7)
	Journal Publications	3(13.6)	3(13.6)
	Software Applications	3(13.6)	4(18.2)
Product Innovation	Professional Science Master Curriculum	4(18.2)	2(9.1)

	Knowledge Technology Transfer Office	5(22.7)	5(22.7)
	Career Centers	2(9.1)	3(13.6)
	New to Discipline	8(36.4)	6(27.3)
	New to Institution	6(27.3)	5(22.7)
Process Innovation	Improved methods of manufacturing	6(27.3)	6(27.3)
	Improved logistics, delivery or distribution methods	1(4.5)	6(27.3)
	Improved supporting activities processes	--	7(31.8)

TABLE 2.4 STRATEGIES THAT CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE

Quantitative				Qualitative	
Strategies	KII	GIA	RIIC	Themes	Responses (National = 6, HEI = 11 = Regional = 8, GIA = 4, RIIC = 4)
	M				
Technical assistance	3.33			Technical assistance. Non-financial assistance by STRIDE in a form of sharing expertise (how to innovate), instruction (KTTO), skills (curriculum development), consulting services (sending of international or local experts)	<p>“My experience with research is that they’re very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various form.” (H6)</p> <p>"STRIDE is coordinating with us. We asked STRIDE help on turning CIP in Marikina as innovation center. STRIDE made a study and presented it to us. Some recommendation [form the study] were implemented. We asked STRIDE to help us in carrying out seminars and FGD. In order for us on the current shape of innovation in the region. In 2017 we presented IR4. STRIDe sent speakers in this event. We also asked STRIDE to carry out initial innovation assessment in 2015."(N5</p>
Linkages	3.16				"Coming us together like discussing projects over dinner."N2

		Linkage. Networks facilitated by STRIDE and Interactions among GIA to encourage knowledge and technology exchange.	"We have known each other. Mr. Caedo was a member of the Board of Regents of Batangas State University. BSU met Mr. Gualberto through Mr. Caedo. Through them, BSU met seasoned coffee growers on some occasions. Since we know each other, collaboration was easier. There is always the DOST for possible funding for projects. There were also projects with the DTI on MSMEs. (RIIC2)
			"Linkages with stakeholders (the government, industry chamber, MSMEs, etc.) have been rewardingly promoted to converge knowledge assets to sustain local development." (H2)
Policy	2.83	Policy. Setting, formulation, and adoption of STI-related policies assisted by STRIDE	"There's lot of policy improvement assisted by STRIDE."(N2)
			"Hindi ako involved ma'am but based on my experience, there have been no improvements. PICARI is also trying to lobby improvements on the policy environment in research. So, there is still no change."(H6)
			I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI."(A4)
Institutionalizations	2.77	Institution building. Established offices (e.g. KTTO, etc); other initiatives for institution building and sustainability	" Also, the establishment of the KTTO office, ensuring and making a progress that whatever the knowledge that we have

from STRIDE Training, we want it to sustain it. So that is why we put an office and institutionalize this policy."(H9)

"During the strategic planning, the physical office will be hosted by the Davao City Chamber of Commerce of Industry, Inc. (DCCCII), but all these operations manual and the details on this is we're currently still finalizing and on process."" (I4) February to April 2019, that's the alignment activities and institutionalization of the RIIC through the RDC and the adoption of the MLA framework of the." (G4)

R&D PROCESSES OF HEIS			
	f	%	Responses (n = 9 HEI's) *
Increase funding and research	8	89	<p>“Because of the STRIDE, we were able to get funding given our experience and knowledge. We were able to develop a proposal for CHED, under the NAFES (National Agriculture and Fisheries Education System). We are partnering with 4 Local Governments then.” (XU)</p> <p>With strengthened R&D capabilities, the University has attained multi-million funding from DOST.” (CIT)</p>
Improvement in institutional policy	1	11	<p>“The policy provides a technology Commercialization leave. That should be available in place for the next academic year. It is a bundle of policies, the Technology Commercialization Leave.” (DLSU)</p>

* Note: Not applicable to 2 HEIs

CHALLENGES ON EFFECTIVENESS OF STRIDE

Challenges	National n= 6		HEI = 9*		Regional = 5*		Responses
	f	%	f	%	f	%	
Mismatch of competencies and capacity between the academe and the industry. This challenge pertains to differences in the innovation competencies of GI partnerships specifically on mindsets, timeline of institutions, expertise of faculty, and scalability of product after it is developed by academe and industry.	3	50.00	6	66.67	4	80	<p>" From the Planning Office of CHED, some of the challenges in doing industry-innovative research are availability of experts and researchers on HEIs, again this is, capacity. Then connecting the researchers to potential industry partners, and the funding for these kinds of research. It is time to rationalize all these funding." (N6).</p> <p>When we say industry-responsive innovative research, to me, the challenges are really with the academe's schedules. They're really busy. I have a problem with my fablabs, I have fablabs in three Cebu Technological Campuses I am pushing them. We have already put in millions of pesos in their equipment, but they have not been providing innovation because they do not have time. I do not have a problem working with the Academe, but they are just very busy. (R4)</p> <p>"The challenge is what we do after. When we presented our product to Monde Nissin, they had it tested, and it met their quality parameters. They get they dehydrated vegetables in China, so they are hoping that there is a local supplier, but they have not been successful. So, they asked us, what's next? The idea of what to do." (H11)</p>
Protection of outputs (patenting/ indigenous knowledge). Protection of knowledge products/technology (patenting and IKSP)	--	--	2	22.22	--	--	<p>"When we engage research with the industry and we have a project that is patentable, the industry wants to have a share of the patent. That is not on our look-out, that is on our KTTO. There are no existing policies. The university wants the patent solely; however, the industry wants to have a share. The industry shared funds and some chemicals." (H4)</p>

Unresponsive policies. Policies pertaining to processes of purchasing supplies, equipment, contract services, other services, and financing program	2	33.33	--	--	1	20	"CRADLE for new normal." (N2) "Trust, resources and changing of policies – as mentioned above. How flexible are you with the changing policies. I could not say that. There are some orders that come from the central office. What I was mentioning is that if the secretary changes, then it would be a problem." (R7)
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Lack of coordination	1	16.67	--	--	----		"Lack of coordination, adequate funding, electronics roadmap." (N3)
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*Note: * NA = 2HEI, 4 Regional*

ANNEX F RELEVANCE FGD.1 CRT

1.1 What is the role of STRIDE in the formation of the RIIC?

ROLE OF STRIDE IN THE FORMATION OF THE RIIC					
CODES	RESPONSE	KI	GIA/RIIC	CATEGORY	THEME
Alignment	From the beginning at the onset, we have to make sure that there is no duplication rather a complementation for HEIs. Every province has a cybernetics center. They were able to mobilize the RIIC quickly. Given the limited resources of CHED, we also were able to mobilize.	Government (CHED)	Region 3 GIA	Alignment of programs	Complementation of programs refers to the alignment of programs among HEIS
Alignment	IND4A1: On the part of the cooperative, being a very promising project, specifically, in Siquijor, ACDI is also interested in the local cattle industry to improve the quality of cattle which has the potential to produce for meat and fresh milk for the children. Dairy cattle development is one of the priorities of ACDI,	Industry	Region 4A		
Alignment of programs	UPLB1: She used to work at the Department of Agriculture (DA) Regional Field Office 7 of which Siquijor is one of the provinces in the region. The DA 7 bought Siquijor native cattle; hence the Ubay Stock farm in Bohol has a gene pool. When she transferred to UPLB, went back to region 7 she proposed to STRIDE the project on dairy cattle. She invited UPLB2 who is an expert on molecular biology to join the project. The Stock Farm is also ideal to conduct the experiment because of its large number of stocks. In the project we have two cattle pools: one is the Stock Farm in Ubay, and the other one community based in Siquijor where the stocks are with the farmers.	Academe (UPLB)	Region 4A		
Alignment of programs	IND4A1: On the part of the cooperative, being a very promising project, specifically, in Siquijor, ACDI is also interested in the local cattle industry to improve the quality of cattle which has the potential to produce for meat and	Industry	Region 4A		

	fresh milk for the children. Dairy cattle development is one of the priorities of ACDI.				
Alignment of programs	"HEI71] I would like to connect with what Ms. Mae of Cebu Chamber mentioned. As an institution we have parallel programs and projects. DOST, DTI and CCI have their own programs, CITU have our own commitments. The real challenge is harmonizing these different programs and projects that are in parallel with STRIDE programs and projects.	HEI	Region 7		
	How to connect all of these to have inclusive growth. I see RIIC to be the umbrella that can consolidate the efforts of all these partners. "				
Attitude	Merong po kami tiwala sa isat isa despite the pandemic.	Industry (CamSurCCI)	HEI GIA DLSU	Trust in partners	Trust refers to creating trust among partners
Benchmarking	I was so impressed with the engagement in Bicol without STRIDE RTI we wouldn't have seen the onsite farms. So, we realize that there is a good potential to have these businesses grow up. Maybe we can be recognized as the best pili industry in the world.	Academe (DLSU)	HEI GIA DLSU	Realization of programs	capacity building refers to the capability of the players to establish
Capacity building	KTTO Impact workshops, more than 50 HEIs and RDIs went. In partnership with UPD, ang resource person po namin sina Doc S (Sison) together with STRIDE. The attendees were the clients in STRIDE. Yung PIEECD. Resource person po namin si UPD.	Government (DOST)	HEI GIA UP Diliman	Guided and provided technical assistance through workshops.	innovation activities.
Capacity building	So meron talagang help through workshops and lectures.	Academe (DLSU)	HEI GIA DLSU		

Capacity building	So yung mga event meet ups sila po nag spearhead nito.	Academe (BULSU)	Region 3 GIA	
Capacity building	We're very thankful for the group of USAID. From the very beginning they already guided us on how to establish the RIIC Davao. They also provided us technical assistance. When we started it's really STRIDE, the group of RIIC, who assisted us in conducting workshops like mapping of the new innovation ecosystem and coming up with activities such as ideation and design thinking workshops. We implemented other projects such as the Innovation for Business Recovery (IBR) and also our marketing research project with CHED. So, they're instrumental in why Davao RIIC is very active. We also got our constituents to work with us in the industry and the academe.	Region 11- Government (DTI)	Region 11 - RIIC	
Capacity Building / Industry responsiveness	Region 10 Industry: The role of STRIDE when we engaged with OROBEST, OROBEST was the main organization that we engaged with from ideation then we went to study our business and then we evaluated. The implementation was in coordination with Ateneo de Manila University (ADMU). After that, there was a monitoring activity after the recommendations have been submitted up to the mentoring stage. The way I see it, it was giving us a bigger picture from the beginning to the end result.	Industry (Oro Handmade)	Region 10 - RIIC	
Capacity building / Partnership	Region 10 Academe: Helped us facilitate in making the proposal. They helped us connect to the stakeholders that will be part in making the proposal and in the implementation. STRIDE has a major part in crafting, formulating, and connecting us to major stakeholders	Academe (MSU-IIT)	Region 10 - RIIC	
Catalyst	From that time on STRIDE has been a catalyst for us in establishing partnerships with Unis and Gov't. There have been a lot of activities before for these two areas, but I think that was the turning point on 2017,	Industry (IMI)	HEI GIA UP Diliman	vital role in establishing partnerships
Catalyst	We had several meetings from this company from Sorsogon and Bicol. During the pandemic, tahimik talaga but because of the initiative of the STRIDE na may	Academe (DLSU)	HEI GIA DLSU	

	contact pa rin kami may work from home kami, so I think we had several meetings with some of these partners, from the government as well.				
Catalyst	[IND71]: These are not only a DTI determined set industries. We have economic drivers that we have selected together, and this has been approved by the RDC which we can engaged in, which includes both the existing economic drivers such as foods, ICTs, constructions, and the like. There are also emerging industries which includes the creative industry, and certain agro-fishery industries that are part of the value chain. We are open to the 11 industries that have been identified.	Industry	Region 7		
Catalyst	"[HEI71] helped built the RIIC, served as glue for GIA stakeholders, especially to help MSMEs in the locality, lynchpin in trying to pull significant groups together to achieve results"	HEI	Region 7		
Catalyst	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.	Industry	Region 7		
Collaboration	where after that our types of collaboration have increased in terms of value, value meaning we were able to look into how to provide or at least close the gap with these entities. There still is an existing gap. What we’re looking at now from those initial engagements is to actually increase the value of those engagements such that there is skin in the game, meaning more value, so that there is a win-win situation for both Academe, Government and Industry.	Industry (IMI)	HEI GIA UP Diliman	bringing their expertise in bridging the gaps between the various parties	collaboration refers to closing the gaps among active players and increasing the value of engagements by creating opportunities to the partners to be active.
Collaboration	Already mentioned the link with the nature of engagement with the STRIDE. For our industry partnerships, dalawa yung mechanisms by which STRIDE helped facilitate the collaboration – one is we have a program called IGNITE and that’s based on a lot of the industry, academe and government initiatives initiated by STRIDE so collaboration came from other initiatives they have already done another would be the ideation workshops. It’s like dating for industry and	Academe (UPD)	HEI GIA UP Diliman		

academe. We have a lot of getting to know events, but the ideation workshop is really different. We actually never met before.

Collaboration	I agree with Sir Erwin Magsakay. We recognize the importance in gathering support of our stakeholders with our MSMEs. So, we had some meetings with BULSU, the business sectors and other sectors thinking of strategies for them. So, the Academe and Industry partner collaboration has been really good.	Government (PSTC-Pampanga)	Region 3 GIA
Collaboration	Ang kagandahan sa Region 3 is nagtutulong tulungan lahat ng government agencies. We already have 10 HEIs that are included in the RIICs. Angeles University Foundation, working hand in hand with BULSU. New partners – Central Luzon State University, Nueva Ecija University of Science and Technology, Tarlac Agricultural University, Tarlac State University, Don Honoria Ventures University, Bataan Peninsula University, Holy Angel University and Pampanga State Agricultural University. We like to acknowledge si Dr. Semana (of CHED) to the HEIs in Region 3, so we really appreciate her role.	Academe (BULSU)	Region 3 GIA
Collaboration	STRIDE is the arm of the USAID that’s bringing in their expertise in connecting the various parties so talking about the government, academe and the business sectors, they’re bringing in their expertise by ensuring cooperation between these GIA partners, especially towards achieving innovation. They’re providing know-how, most of the THRIVE team are coming from their staff, when BCCI came on board, they were the ones who helped us catch up with the party since for example BULSU was already part of the program way back. STRIDE was the one who invited everyone to one party so they can talk together. Sila po yung party coordinator naming para mag-usap yung ibat ibang group na to.	Industry (BCCI)	Region 3 GIA
Collaboration	We are a partner of UP Mindanao in IBR and we’re grateful for that they are helping in our needs.	Region 11- Industry (Healthy Sweets)	Region 11 - RIIC

Collaboration	I was about to share the same sentiment with the LGU. STRIDE helped us a lot in putting us together. There is now greater interaction between Academe, Industry and Government. Unlike before we just give our own interventions and there is not much interaction between the GIA, but now when STRIDE came in and helped us to come up with an RIIC, we have appreciated it more especially from us in the academe that there is a greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government.	Region 11- Academe (ADDU)	Region 11 - RIIC
Collaboration	We also got our constituents to work with us in the industry and the academe.	Government (DTI)	Region 11 - RIIC
Collaboration	STRIDE has been our convener in our Davao Innovation agenda setting. In our strategic planning, we have actually done our strategic plan for RIIC up to 2030. So that was the role of USAID STRIDE.	Government (DOST)	Region 11 - RIIC
Collaboration	Just like the other agencies we commit to this group to the RIIC. Our services, especially it's one of our primordial functions in higher education, providing research and development. We wish to convey once again our commitment to this group in whatever way we can provide, especially in terms of facilitation of whatever needs that the group may have wherein the higher education institutions are involved.	Government (CHED)	Region 11 - RIIC
Collaboration	STRIDE is doing a good job in bringing together people, especially the government. What I know and learn about science and technology and innovation, I have learned that from STRIDE every time I am invited for an activity. STRIDE is doing a big step in putting forward science and technology and innovation in Davao. Although I am not a direct member of STRIDE, knowing what the things that they are doing, I think this deserves a thumbs up.	Government (LGU)	Region 11 - RIIC
Collaboration	We are a partner of UP Mindanao in IBR and we're grateful for that they are helping in our needs.	Industry (Healthy Sweets)	Region 11 - RIIC

Collaboration	I was about to share the same sentiment with the LGU. STRIDE helped us a lot in putting us together. There is now greater interaction between Academe, Industry and Government. Unlike before we just give our own interventions and there is not much interaction between the GIA, but now when STRIDE came in and helped us to come up with an RIIC, we have appreciated it more especially from us in the academe that there is a greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government.	Academe (ADDU)	Region 11 - RIIC
Collaboration	DTI4A: We actually created a VIBER group with PCCI, VP Amante and DOST to streamline the coordination. But ultimately, the role STRIDE for us is to strengthen the linkages. If I may say, there is a weak link when it comes in the establishment of RIIC. The role of STRIDE is to collect all the strengths of the agencies and merge these para mas maganda ang collaboration for an RIIC.	Government (DTI)	Region 4A
Collaboration	IND14A: Okay naman. STRIDE acts as coordinators for the private sector, academe, and other government agencies.	Industry	Region 4A
Collaboration	UPLB2: STRIDE introduced collaboration between the government and the industry. STRIDE required the proposed project to have a collaborator from the industry but added the Province of Siquijor, Bohol Island State University (BISU), ACDI Multipurpose Cooperative, and other two cooperatives.	Academe (UPLB)	Region 4A
Collaboration	LGU4A: LGU Siquijor is a partner of UPLB in the STRIDE project during the first phase of the project.	Government (LGU)	Region 4A

Collaboration	[DOST7] Science and technology for inclusive growth mandated by the Philippine government, STRIDE has brought this together by wielding the team of the government, industry, and academe partners. STRIDE helped	Government (DOST)	Region 7	
Collaboration	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.	Industry	Region 7	
Collaboration	[IND71]: These are not only a DTI determined set industries. We have economic drivers that we have selected together, and this has been approved by the RDC which we can engaged in, which includes both the existing economic drivers such as foods, ICTs, constructions, and the like. There are also emerging industries which includes the creative industry, and certain agro-fishery industries that are part of the value chain. We are open to the 11 industries that have been identified.	Industry	Region 7	
Lead agency	HEI4A1BSU was identified as the lead agency, as the anchor as RIIC. We are not alone with this. We are in partnership with PCCI, DTI and DOST.	HEI	Region 4A	
Commercialization	Yung output, and the highlight of the project with the 14 universities are the licensing agreements, so may mga RDI owned projects na ma commercialize.	Government (DOST)	HEI GIA UP Diliman	commercialized outputs
Communication strategies	Creating a marketing opportunity for our MSMEs, we are crafting, and we already have a bridge bicol website and fb page na yung partners namin and MSMEs ay ineencourage naming magupload ng products and company profiles para mapromote yung products niyo.	Industry (CamSurCCI)	HEI GIA DLSU	marketing opportunities for MSMEs through

				social media	
Curriculum	<p>The other one has to do with academic programs, normally kasi academic programs, we tend to be ostriches, ivory tower head in the sand mentality but one recent initiative where we had an interaction with IMI was to develop a new kind of program the PSM with STRIDE and the goal of that program was to have industry involvement built in, not just in terms of the student interacting with the industry, but even right at the beginning as the program was conceptualized we already had significant industry inputs. STRIDE created several curriculum workshops with UP and several industry partners, so that's the most recent work in progress.</p> <p>We are doing the curriculum now. Matagal yung process, and di pa kami nakakuha ng approval but we already have implemented transition programs to put the best practices in the programs. In fact, we already have graduated a transition batch using an intermediate program.</p> <p>It was primarily a START program; it was a new concept to have this kind of curriculum design and development process. The most that we had in terms of industry connection for a curriculum program was more towards the end, so that's thesis mga ganun or internships. So, this new mode was primarily initiated by STRIDE. We learned a lot. Both IMI and VistaLand participated in these workshops, and this was an eye opener for us in terms of understanding. STRIDE provided us a framework for convergence for the curriculum design.</p>	Academe (UPD)	HEI GIA UP Diliman	provided us with a foundation for curriculum design convergence	creating curriculum design refers to the participation in actively creating academic programs
Funding	<p>For our project with Filipinnovation it was funding. They bring in foreign consultants that would elevate innovation here in the Philippines. They also have that valuable role of ensuring sustainability that they can leave the legacy of training faculty, researchers and entrepreneurs</p>	Academe (DLSU)	HEI GIA DLSU	provided funding sources to ensure	Funding support refers to the financial support

Funding	Region 10 academe: STRIDE funded the project under the CARWIN window	academe (XU)	Region 10 - GIA	sustainability	provided for the project
Funding	UPLB1: STRIDE provided the financial support of P10M [AC Rola for phases I and II?] to the project which ended in 2017. The cooperation with the partners including ACDI, provincial government of Siquijor, and other local cooperatives still exists up to the present.	Academe (UPLB)	Region 4A		
Funding	[DOST7]: We have our own item. We have our own role in the RIIC to collaborate with the different industries and academe in relation to technology in need for the development of innovation among MSMEs. We have our own funding. We have different programs (i.e., small enterprises, etc.) and services that DOST can offer.	Government (DOST)	Region 7		
Industry responsiveness	Enabling them to meet with their partners. I believed in the role of academe in the growth of industry and our enterprise. Through the sessions we had with her (Dean DLSU School of Business), the academe urged us to look beyond the pandemic. I embraced everything made by their study. The study provided us a clarity of action as to how to handle the problems of the past and present and how to handle the future. We have followed all her suggestions we really went through each one of them and they are doing so well, far better than we expected. The STRIDE provided the opportunity, DTI provided the information, but most of what we have done right now is made possible by the linkage we made with Emilina Sarreal. We also opened ourselves to working with the fablab of Bicol.	Industry (PhilExport)	HEI GIA DLSU	enable to respond to the problems of the industry	Industry responsiveness refers to the activities that was made to answer the problems of the industry
Institution building	IBR partner, Innovation guidebook for the industry.	Government (DTI)	HEI GIA DLSU	provided very strategic and	enabling factors refers to the mechanisms that
Institution building	We're thankful for the USAID STRIDE in guiding the region in crafting the RIIC. STRIDE provided very strategic and organized approach in leading the formation of the core-group particularly the technical working group. They are very immersed in the conceptualization, crafting the activities and as well as implementing it. The involvement of STRIDE is very heavy particularly na hindi kami iniwan dahil within the journey they were there.	Government (CHED)	Region 3 GIA	organized approach in leading the formation of the core-	made the programs, activities, and intervention kept on moving forward.

Institution building	Maganda yung mapping, and initially we will be moving forward smoothly kasi naka-map siya. The MSMEs will be gathered.	Government (DTI)	Region 3 GIA	group particularly the technical working group.
Knowledge transfer	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.	Industry	Region 7	technical working group.
Policies	Region 10 Government: Paved the way as policy support, helped us in coming up a resolution which we endorsed it to the RDC. It was done in 2019. The resolution specifically states that [RDC] is supporting the establishment of the RIIC in Region X. That was the policy support that paved the way with the intervention of STRIDE. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.	Government (DTI)	Region 10 - RIIC	Paved the way as policy support, helped us in coming up a resolution which we endorsed it to the RDC. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.
Changing policies	HEI4A1 STRIDE as convenor. They are very much involved in the RIIC. It was Marela who originally contacted BSU to form the RIIC in CALABARZON through the line agencies, it was officially approved by the Regional Development Council.	HEI	Region 4A	which we endorsed it to the RDC. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.

Supportive admin	Government (PSTC-Pampanga) – with the commitment of the team talagang tatawagan, all means, na may representative for every meeting. That is why kahit papaano hindi ganun ka delayed kahit with the pandemic, so kudos po for the team. So, thank you so much for the extended help especially with DOST. We rarely discuss these to ourselves kasi kailangan naming tawagan lahat ng DOST offices.	Government (PSTC-Pampanga)	Region 3 GIA	able to communicate with the team despite in a pandemic.
Technical assistance	Mapping, Linking and Aligning activities, STRIDE has been very visible. So linking and progressing the region, STRIDE was successful. Even, na trace naming yung R&D facilities, and even with government agencies we had convergence so nagkakatulungan.	Academe (BULSU)	Region 3 GIA	they helped us conceptualize and provided us learning activities and collaborative engagement as well as technical support and mentoring.
Technical assistance	Region 10 Industry: The Oro Chamber and Industry came in 2018. On the 2nd extension, that is [the time] when we joined the RIIC. Maybe the part of STRIDE was to conceptualize and operationalize the RIIC. when Oro Chamber joined in the RIIC program through the launching of OROBEST Innovation program, they helped us conceptualize this and provided us learning activities and collaborative engagement as well as technical support and mentoring.	Industry (OROBEST)	Region 10 - RIIC	they helped us conceptualize and provided us learning activities and collaborative engagement as well as technical support and mentoring.
Technical assistance	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.	Industry	Region 7	they helped us conceptualize and provided us learning activities and collaborative engagement as well as technical support and mentoring.
Coordination	DTI4A: Region 4A is really at the early stage of its establishment. Unfortunately, the Taal Volcano eruption and the pandemic happened simultaneously, and it would be difficult how can really STRIDE assist the RIIC. Primarily, overall naging maganda naman yong coordination. One of the STRIDES Focal person, Ms. Marela. I can talk to her on RIIC concern and easier to coordinate.	Government (DTI)	Region 4A	they helped us conceptualize and provided us learning activities and collaborative engagement as well as technical support and mentoring.

"1.2 What is the additional assistance introduced by STRIDE to strengthen your partnership as GIA? Follow up: Which of these received funding (infrastructure, research grants, capacity building, etc.) from STRIDE, government, or private organizations? (i.e., to meet gap in funding?)"

ADDITIONAL ASSISTANCE INTRODUCED BY STRIDE TO STRENGTHEN PARTNERSHIP AS GIA

CODES	RESPONSE	KI	GIA/RIIC	CATEGORY	THEME
Benchmarking	They gave us an opportunity to see what other RIICs were doing. We were able to improve our plans from RIIC. Ito po yung best-practices ng other RIICs, ano ba yung mas angkop sa Region 3?	Industry (BCCI)	Region 3 GIA	Able to witness other RIIC's activities in order to improve own plans for RIIC.	Overall Capacity Building refers in providing training,
Capacity building	One of the assistances na na provide nila during the KTTO assistance they didn't only provide the venue and the program, but they also trained the trainers. They opted to train the staff of Doc Louie which is also not limited to UPD but also to DLSU. So, it's basically trained the trainers, so we already have capabilities to train the people here as well.	Government (DOST)	HEI GIA UP Diliman	provided the venue for KTTO and conducted technical training	seminars, and sessions in order to enhance the capacity of the key players in doing the projects
Capacity building	Right now, the industry needs more technology-based trainings and as we go into the direction of heavy mechanization to reduce manual labor, I think we can have collaboration in terms of this direction, we will welcome it. We wanted more technical trainings, capacity building, even introduction to new technologies that we know but have not been adopted.	Industry (BCCI)	HEI GIA UP Diliman		
Capacity building	I just remembered one more STRIDE initiative. So, dun sa aming technology transfer one of STRIDE's biggest initiatives is the FEC Filipinnovation Entrepreneurship Core and partner namin yung DOST. It's patterned after the US's ICORE. The primary participants of the program are researchers of the HEIs and RTIs. So, we had several participants there. It helped the participants to connect with Industry and the skills to look at setting up the collaboration. Think of it as a very structured getting-to-know-you.	Academe (UPD)	HEI GIA UP Diliman		
Capacity building	When STRIDE organized a series of FGDs and Planning Sessions with the Pili Industry and the Stakeholders in Bicol in 2019 participated in by BU, DA, DTI, PCIEERD, industry players, we became aware of the various programs and	Industry (PhiliPILI)	HEI GIA DLSU		

	services that could be had as well as the opportunities to be able to work together to drive growth in the industry.		
Capacity building	Am not privy to this, but I believe some funding has been granted for capacity building.	Industry (PhiliPILI)	HEI GIA DLSU
Capacity building	Region 10 Industry: STRIDE provided capacity building with appropriate and best resource speakers, consultants on webinars and innovation talks and training for those who pitch. Also, they provided workshops for the ideation for the industry and academe to meet. Before the pandemic, they have the budget of the ideation workshop for the industry and academe will meet and discuss what they can come up with. During the pandemic, we meet online and do virtual ideation. They also provided the resource and facilitator from UPSCALE innovation hub. They did a lot of learning sessions for us. They guided us in making the 5-year strategic planning and roadmap. Late last year, they introduced us an MLA (Mapping, Linkaging and Aligning) Methodology.	Industry (ORO Chamber)	Region 10 - RIIC
Capacity Building	Last year, the OROBEST Bridge program, which is the direct consultancy and guidance to help MSMEs rethink their operations within the COVID-19 setting in the development of the individual business strategies that can help them recover through innovation. It comes in three (3) phases; assessment, post SNS (suggestive next steps), implementation and monitoring. Mr. Ray and Ms. Cabanlet are recipients of this aside from the other programs that they had.	Industry (ORO Chamber)	Region 10 - RIIC
Capacity Building	They helped us capacitate the people. They trained Ma'am Pat Cruz to train in managing the KTTO.	Academe (MSU-IIT)	Region 10 - RIIC
Capacity Building	It gave us confidence to traverse innovation ecosystem landscape.	Academe (MSU-IIT)	Region 10 - RIIC
Capacity Building	We were able to get the support of STRIDE particularly in the facilitation of the Ideation Workshop. Second, on the Capacity-building of our faculty	Academe (USTP)	Region 10 - RIIC

	researchers on the areas of KTTO that we want these research output to be adapted, used, utilized by the particular industry.				
Capacity Building	All of these are being facilitated and we are being trained by STRIDE. Lastly, on capacity-building on our personnel who is managing the TBI, wherein every year we are going to develop some entrepreneurs in the startups which we also introduce them to the Oro Chamber and to be part of its members. That connection is very important to us because there will be an additional network for them to get partners and to be funded.	Academe (USTP)	Region 10 - RIIC		
Capacity building	HEI71] USAID STRIDE is the key player wherein we are able to develop further our capacity as a university to extend our R & D capability to the communities. Three years ago, we were able to join a capability-building program of DOST supported by STRIDE to build our technology biz incubation lab, and second, building our capabilities in terms of technology transfer. These capability-building programs of USAID STRIDE have enabled us to extend our R & D capabilities to our MSMEs in the localities which is key to fostering the growth of the RIIC in the region.	HEI	Region 7		
Capacity building	UPLB2: Capacity building with the SUCs. Part of the project is capacitating the SUC partner. UPLB1 and UPLB2 went to the United States and Australia for study visits. STRIDE also had a scholarship program where one of the staff went to Iowa State University for a six-month training.	Academe (UPLB)	Region 4A		
Capacity building	BSU: STRIDE never promised to give funding.				
Capacity building	[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.	Govenrment (DOST)	Region 7		
Industry commitment	ACDI1: ACDI shared the principles and experience of a stable cooperative to small cooperatives in Siquijor and Bohol. ACDI which has branches all over the Philippines has large membership composed of retired military personnel	ACDI	Region 4A	established partners	Effective collaboration

	and family. ACDI can also assist in marketing the products like processed meat of cooperatives in Bohol and Siquijor.				this refers to the partnerships among key players which resulted to adoption of technology by having good communication strategies.
Collaboration	There have been instances where USAID STRIDE through their linkages in the US and other countries have actually referred or proposed to us collaborations outside the Philippines. This has been introduced to us, since we are a global company, we are also able to get these opportunities as well.	Industry (IMI)	HEI GIA UP Diliman		
Collaboration	It however is managed by all our partners. We have a lot of information in our respective agencies, and we want to share this with everyone particularly in research and innovation. DTI is the lead, but it is co-managed by our other GIA partners.	Government (DTI)	Region 11 - RIIC		
Commercialization	We are trying to sell the technology present in the academe. STRIDE facilitated a meeting with Saliksik.ph to curate technologies and research technologies and put in a database. This has been captured by the DOST and has been approved already for the OROBEST Regional research database. Sometimes the academe will present, and it is too technical that sometimes the industry cannot understand. Now we have four (4) signed technology transfer. By way of our convergence, we were able to get one of our objectives which is adoption of technology.	Industry (ORO Chamber)	Region 10 - RIIC	trying to sell the technology present in the academe	
Communication strategies	They helped us in our communication strategy for our OROBEST innovation program as well as the innovation guidebook.	Industry (ORO Chamber)	Region 10 - RIIC	helped in communication strategy	
Curriculum	The first is the joint curriculum development with IMI and VistaLand, where they were involved in the design of our PSM supply-chain project	Academe (UPD)	HEI GIA UP Diliman	involvement in the joint curriculum development design.	Curriculum Design this refers to the involvement in the joint curriculum

					development design.
Digitalization	We need to emphasize that while the world considers industry moving into IR 4.0 we in the Abaca industry are still in IR 1 --mechanization but working with DLSU challenged us to into considering digitalization.	Industry (PhilExport)	HEI GIA DLSU	digitalization of outputs.	Digitalization this refers to digitalization of outputs.
Funding	Region 10 academe: Only funding. There were short programs before wherein they asked us to present our project or pitching presentation during one of the gatherings but basically it is more on the research funding. We received funding twice	academe (XU)	Region 10 - GIA	research funding	funding support this refers to the research that were funded
Funding	We have research that was funded by STRIDE. There are several programs that we have partnered with STRIDE.	Academe (MSU-IIT)	Region 10 - RIIC		
Funding	Region 11 government: We funded the development of iStrike Davao, the website.	Government (DTI)	Region 11 - RIIC		
Industry responsiveness	In academe usually tayo-tayo lang, so we really didn't have the framework in which industry partners can work with, so ito po yung mirror ng ideation workshops. This helped us to talk to industry companies and to propose the technologies needed.	Academe (UPD)	HEI GIA UP Diliman	understanding the needs of the industry to adapt the research output	Industry responsiveness this refers to identifying the needs of the industry to adapt the research output through partnerships
Industry-responsiveness	That engagement where research output needs to be promoted and we have to understand what the needs of the industry for them are to adapt the research output.	Academe (USTP)	Region 10 - RIIC		
Institution building	The DTI 5 has been a partner of STRIDE on IBR or Innovation Business Recovery. STRIDE tapped the expertise of Dela Salle for the project. DTI 5 identified the 4 MSMEs, initial beneficiaries of the project. Likewise, we are part of the BRIDGE Bicol, of which partnership extended to other government	Government (DTI)	HEI GIA DLSU	activities that STRIDE helped us in	

	agencies and industry sectors. BRIDGE Bicol is still being implemented to date.			implementing these activities.	and institution building
Institution building	We have TBI and FabLab. We also have activities that STRIDE helped us in implementing these activities. We have the KTTO that we owe it to STRIDE.	Academe (MSU-IIT)	Region 10 - RIIC		
Partnership / Start ups	Now the export incubation program. This is a partnership with DTI, but STRIDE has a major role in providing startups of our partners in that activity. We also have market research with XU, to provide venues to meet potential partners.	Industry (ORO Chamber)	Region 10 - RIIC	provide venues to meet potential partners	
Policies	PhilPILI as the Pili Commodity Board has committed to develop industry policies that are science-based and technology driven, hence the STRIDE program is a welcome one.	Industry (PhiliPILI)	HEI GIA DLSU	able to develop industry policies that are science-based, and technology driven	Industry Driven Policies this refers to developing industry policies that are science-based and technology driven by aligning programs and projects from different agencies
Policies	Region 11 Government: Based on our activities and experiences with STRIDE, I will cluster this with products and policy, as STRIDE has helped us to craft our innovation guidebook and the business impact survey to our MSMEs and aligning our programs and projects from different agencies. We have iStrike Davao is a unique innovation made by the RIIC through the DTI. It is a portal, a one stop shops for programs and services that the MSMEs can access. In terms of policies, we chaired the DOST XI the RRDIC (Regional Research and Development Innovation Committee) of the Regional Development Council (RDC). There are several policies that were lobbied through RRDIC, and it has been approved and the resolution has been endorsed to the RDC. The latest policies have been on the COVID-19 related-policies with MSMEs and done by the UP Mindanao team as our researchers	Government (DOST)	Region 11 - RIIC		
Policy support	DTI: By virtue of the RDC resolution, the RIIC was created. But to make it impactful for the beneficiary and for the general public, mas maganda may launching na. STRIDE provided assistance by bringing in the consultants to give other options, perspective on geographic indicators (GI) on how things	Government (DTI)	Region 4A		

	can be done and suggestions on what are the best options for RIIC, e.g., possible fund sourcing.				
R&D Ecosystem	The second mode of collaboration with GIA was collaborative research. In the collaborative research, two of our partners represented here have on going collaborative research agreements with UP, Vistaland and IMI, both in terms of our material sciences program. STRIDE is not as involved now in terms of the conduct of the collaborative research but when it comes to the dating, they co-facilitated several of the Ideation workshops with us. So, these are some of the collaborations that have resulted from the ideation workshop.	Academe (UPD)	HEI GIA UP Diliman	collaborations that have resulted from the ideation workshop and involvement of partners in doing research	Collaborative research this refers to involvement of partners in doing research
Knowledge transfer	[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.	Government (DOST)	Region 7		
Resources	Providing us the expertise but also the personnel.	Industry (BCCI)	Region 3 GIA	Provided human resource and technical assistance	Shared resources this refers to the provision of resources to key players
Supportive admin	Gusto ko pong ipagmalaki ang ating SUCs especially BULSU. Isa po sila sa prime movers. And the mere fact that they were chosen to be the Regional Cybernetics Center (RCC) and the RIIC of the Region is already an image built by the BULSU. For BULSU we have research grants also. One and very prominent recipient of the SMART Campus under the Bayanihan 2. So meron pong certain provisions to build our SUCs so 11 universities in the region were provided financial assistance through SMART Campus.	Government (CHED)	Region 3 GIA	universities in the region was provided financial assistance through SMART Campus.	

Technical assistance	Mentoring po. Mostly the personnel involved in THRIVE was from BULSU but the one who guided them was an expert from STRIDE who was guiding these personnel so that they weren't completely starting from scratch.	Industry (BCCI)	Region 3 GIA	Offered mentoring sessions and guided the personnel so that they weren't completely starting from scratch.	Technical assistance this refers to the provisions; financial or mentoring support, that was given to the key players.
Technical assistance	We are engaged with STRIDE for the OROBEST Bridge program just last year. Other than the technical support that STRIDE has provided, STRIDE also provided funding support to the faculty consultant who acts as the leader facilitator to conduct the key activities of the program. Ms Querites mentioned that in the conduct of R&D sessions, SNS, STRIDE provided the funding for us to tap expertise from faculties from different colleges in the university. The assistance of STRIDE was key in the design of the program and the instrument. With the program and instrument, we are ensuring that the process flow is developed and can generate data driven output yet still friendly to MSMEs. With that connection, the direction is clear where the program wants to go.	Academe (XU)	Region 10 - RIIC		
Technical assistance	Region 11 government: no funding that I know of.	Government (LGU)	Region 11 - RIIC		
Technical assistance	Region 11 government: In STRIDE there was no monetary funding, it's more technical assistance. Rapid needs assessments, up to the innovation of the IBR there have been technical assistance.	Government (DTI)	Region 11 - RIIC		
Procurement	IND24A: The greatest challenge is the government procurement system. IND24A: There are project requirements which necessitated to buy from ordinary traders. The government is asking for a lot of registrations like PHILGEPS. PCCI/BSU is buying elite seeds for the revival of the mother Liberica, which is a rarity. The government is telling us to buy anywhere provided it is registered with the government procurement system which will not work with their project. It defeats the purpose of establishing the pure Barako Coffee industry.	Industry	Region 4A	Issues purchasing equipment	Conflicting policies Refers to the policies that needs to be reviewed that are not aligned to the key players'

mechanisms in doing the project.

1.3 What are the challenges of partnership in putting up the RIICs and how are they addressed?

CHALLENGES OF PARTNERSHIPS IN PUTTING UP THE RIICS AND HOW THEY ARE ADDRESSED

CODE	RESPONSE	KI	GIA/RIIC	CATEGORY	THEME
Alignment to the thrust of university / Knowledge creation and increase in KAP on innovation and technology	Region 11 academe: Time constraints that we have as faculty members of the university, especially in the delivery of the IBR plans for the MSMEs. We're also challenged to somehow integrate the IBR related activities in our academic programs, like in Master's in Management and in Agribusiness Economics. We are doing something about this to possibly integrate some of our services to the RIIC. Third, somehow, we have encountered some limited information on the various government programs for the MSMEs, although this is the initial stage of our IBR engagement, in such a way that they were not readily able to match the needs of the MSMEs to the specific programs of the various government agencies. Again, this is from initial stage of our IBR engagement. Fourth, we have also some challenges in terms of exposures of our faculty members to the industry. In such a way some of us were encountering problems with coming up with a good IBR plan for the identified MSME. Fifth, would be limited training on certain technical assistance required by the MSMEs particularly marketing intelligence and FDA registrations. Finally, the asymmetric information with MSMEs is what we all encountered also that is a problem, because of this, the information was very limited in such a way it also affected the formulations of the	Academe (UP Mindanao)	Region 11 - RIIC	Time constraints key players have, especially in the delivery of the IBR plans and limited information on the various government programs for the MSMEs.	inhibiting factors this refers to the limited time and information for the delivery of the outputs.

	IBR for the MSMEs. These are the problems we encountered in our IBR engagements so far.				
Data needs	IND71] Time management because we are in the middle of a pandemic now. We are addressing many very critical issues which includes the survival and continued operations of the MSME's. This implies the lack of time to be able to provide solutions to their problems. The needs may not just be about technical but may also include linkages or even rebooting their operations and their business models. We should really match the MSME needs and requirements with the academe expertise. Market demographics are changing, and industry cannot provide timely data.	Industry	Region 7		
Awareness	possible challenges would be promotion of the website. Although nalaunch na po, but problem is the promotion that we have RIIC and these programs and services and the MSMEs. It would be good to improve the promotion and also to keep it updated to help our MSMEs. Maintaining and updating our website will help MSMEs grow. BULSU THRIVE po yung nag mamana ng website. DTI Regional Office has provided information on the facilities and other relevant information needed for the RIIC. From time to time we are coordinating with BULSU and Industry Sectors so they would know the present status of our MSMEs in Bulacan. I think RIIC will play an important role in preparation for the creation of the new airport.	Government (DTI)	Region 3 GIA	improve the promotion and also to keep it updated to help our MSMEs and become active partners.	Awareness this refers to involvement of the key players to promote the innovation and to be active.
Awareness	Region 11 government: Our challenge is how to become more active partners. We know bits and pieces as we were invited here and there, but we don't have any focus.	Government (LGU)	Region 11 - RIIC		

Communication strategies	<p>One of the challenges, sometimes there are disconnects when it comes to communication since we have the Government, Industry and Academe, so dito lang po sa FGD natin may problema in terms of getting everyone together. It's more of a logistics issue, it's actually one of the things that I want to recommend. So, if we really want to continue this we already have recurring meetings since we have different schedules. Ito po yung nagiging detriment, it's hard to set a meeting then find everyone's schedule. Similar to a board schedule, it might be easier to schedule.</p> <p>On the side of the BCCI, we have our own secretariat, and I would be stepping in to be the point person with regards to the THRIVE program. I can't speak for the government offices on who would be taking lead on their sides.</p>	Government (CHED)	Region 3 GIA	disconnects when it comes to communication since players are coming from different institutions / agencies / organizations.	Communication issues this refers to the dynamics in disseminating key players gathering
Communication strategies	On networking, we thought this was a problem especially with the pandemic but with the help of STRIDE, once they pushed for the programs networking was made easier	Academe (BULSU)	Region 3 GIA		
Differing mandates	<p>May kanya kanyang mandates, the HEIs, the provincial and regional offices of DOST. So, for us DOST, nakaharap kami with MSMEs and may mga programs po sa DOST where we can submit proposals for funding on research and development yung CRADLE po with MSMEs. So, when we partner with HEIs there's a problem of matching them to industry. So, with THRIVE CL, naka network na, madali na naming ngayong mahanap yung imatch namin. For Thrive Central Luzon, wala pa kaming proposals, but we have talked about this with VP Magsakay. During the National Science Technology Week, we will be highlighting an activity where MSMEs will gather to present mapped expertise of HEIs para lututang yung requirements ng MSMEs kung san sila required. MSMEs usually cannot find the problems on their own, so they need help in matching who can help them. We have</p>	Government (DOST PSTC Pampanga)	Region 3 GIA	One challenge before was how to complement programs and activities to all players.	Different Dynamics this refers to the different mechanisms that are present in every institution/office that may hinder the development of the project.

CRADLE programs but not under the THRIVE CL. With the THRIVE we can really connect with partnering HEIs and Industry.

Differing mandates	One challenge before was how to complement RIIC and RCCs but we were able to help this and clear out the delineation of work	Government (CHED)	Region 3 GIA	
Differences in policy	[DTI7] We have shared service facilities such as fablabs. We need however a national policy as shared service facility is not for private university.	Government (DTI)	Region 7	Different policies are implemented in each key player
Differences in policy	UPLB2: STRIDE did not require a MOA between UPLB and STRIDE to release the funds.	Academe (UPLB)	Region 4A	
Differences in policy	<p>HEI74] Speaking from experience in the past, a couple of year ago, we submitted a proposal to CHED for a grant related to a distance education project, after preparin. HEI74) But we are happy that DOST is not discriminating us, both private and public universities are welcome with them.</p> <p>[HEI73] We have no problem with DOST. I am not sure with DTI, but with CHED, we have a problem. everything, we were informed that we were not qualified because we are not an SUC.</p>	HEI	Region 7	

Financial structure	First challenge would be financial in nature. Accounting in the academe is different from the government. The first really is the challenge on the consistency or the alignment of financial accounting for academe and the funder which are usually governments.	Academe (DLSU)	HEI GIA DLSU	alignment of financial structure in the academe and government.	
Flexibility	For STRIDE naman we don't have a problem with them because they give us a free hand. Humihingi po sila sa amin ng business plan business realignment and on how we can align our expenses. Kung sa government kasi if hindi naka align sa budget yung ginamitan niyo may problema na agad kami.	Academe (DLSU)	HEI GIA DLSU	flexibility of the budget allocated when the project is funded by the government.	
Funding	Is there an evaluation made before you submitted your final report? Region 10 academe: They had their regular monitoring during the project implementation. What was the role of CHED? CHED came after STRIDE. The experience that we gained from STRIDE, our focus was on the industry, and we have understood the farmers. In CHED's project, we focused also on the farmer's side. So, we were able to make mobile apps to assist the farmers. The farmers' practices are very traditional, even recording is a problem, and pest management and application of pesticide.	academe (XU)	Region 10 - GIA	There was a regular monitoring during the project implementation	Monitoring and Evaluation activities this refers to the regular monitoring and evaluation activities of the project implementation
Funding Opportunities	[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.	Government (DOST)	Region 7		
FabLab	[HEI71] CITU has its own fab lab (called maker's space) which is internally funded and is now part of the fablab community, even if we are not a state university.	HEI	Region 7	Provided funding opportunities	Provision of funds

Funding opportunities	UPLB1: ACDI issued half a million pesos for the Catulayan Cooperative as a small brother big brother assistance.	academe (UPLB)	Region 4A		Refers to the funds that were allocated for the project
Funding Opportunities	[DOST7]: We have our own item. We have our own role in the RIIC to collaborate with the different industries and academe in relation to technology in need for the development of innovation among MSMEs. We have our own funding. We have different programs (i.e., small enterprises, etc.) and services that DOST can offer.	Government (DOST)	Region 7		
Industry responsiveness	Many research have been done for the pili industry by various HEIs/SUCs and other research arms of government agencies, however, the industry does not have full access to these.	Industry (PhilExport)	HEI GIA DLSU	commitment of the industry partners in co-innovation and	Industry-Academe Relationship
Industry Responsiveness	Region 10 academe: For the challenges that we had first is in the part of MSU-IIT especially on the call of OROBEST last time in terms of stoneware. The best part is actually coming up. The second problem is coming immediately from the industry and understanding what we can do and conglomerating on what are the things that we can do on our part and what we can't do and then planning on the future of the activities.	Academe (MSU-IIT)	Region 10 - RIIC	co-operation of the project.	this refers to the mechanisms and policies in the partnership of the academe and industry in doing the project.
Industry Responsiveness	Another challenge is on the specific activity understanding, because it has something to do with the deliverables from the industry part and what we can deliver to the industry. That is why Dr. Bernales a while ago and Dr. Jamil, part of their presentation actually is on the commitment also with the industries. We apply co-innovation and co-operation.	Academe (MSU-IIT)	Region 10 - RIIC		

Industry Responsiveness	because of that the challenges that we have is to answer immediately what the industry needs. Since we cannot deliver immediately what they need so we have to come up with a background IT and the transparent communication with the industry and this is the challenge as they have their own timeline, and we have our own. We have to have that certain overlap and we have to free that overlap with them, so it is the time framing and coming up with the deadlines with the industry. Another is keeping what is confidential.	Academe (MSU-IIT)	Region 10 - RIIC	
Institution building	When we collaborate with Industry the technology transfer is always going to be a problem, along with IP and so on. We've gotten a lot of advice on that, part of the KTTO training involves how to set up these kinds of partnerships negotiating, so part yun ng program nila kasi yan yung "dating" and yung engagement, the last part naman yung negotiation yun yung kasal. The negotiation is leading to the nuptial agreement and marriage. So, for example for our collaborative research right now we have to anticipate that the goals of that research will be met and so what's next after that? That's also covered under the KTTO training. Yun yung challenge, yung last stage will really be a challenge for us. STRIDE has provided some training to address this. Now they have a manual. We are actually rolling out a training program for that Manual.	Academe (UPD)	HEI GIA UP Diliman	establish policies on KTTO when transferring technology to the industry
Institution Building	We tried to plan this out with Ma'am Pat before our training with the USAID STRIDE in establishing the KTTO. because of that we try to immerse ourselves. In 2017 our KTTO office was successfully approved which started as an IPU (Intellectual Property Unit),	Academe (MSU-IIT)	Region 10 - RIIC	
Institution Building / Technical Assistance	Region 11 government: Recently, we made an ordinance that establishes an invention innovation center. We'd like to thank DOST and DTI as we craft this ordinance because we are serious to help, promote, and even in terms of funding, technical, capacity building,	LGU	Region 11 - RIIC	

marketing etc., that we can do for our Davao innovators and inventors. We now have this ordinance in place, and we are looking on how to implement it now.

Mutual benefits (Opportunities)	ACDI1: The assistance is for the cooperative to procure quality dairy cattle produced out of the STRIDE project. If their dairy project will not develop, the cooperative can have meat processing. The money issued to them will be used in the procurement of native cattle. Moreover, as the cooperative develops, it will be the source of hybrid local cattle of ACDI.	ACDI	Region 4A		
M&E Tool	Region 10 Government: Provinces that are actively engaged are Misamis Oriental, and Misamis Occidental (Iligan). Now we are seeing the replication of the program in Bukidnon, so there is need for a regional structure to monitor the results of the performance of each partner. As what we did in the OROBEST, initially we have core members then we progress accordingly enrolling all other major players. All the other players are considered together with the OROBEST and ILIGANiCE that is one way going forward. But there is no problem right now with the convergence. Each of the local innovation program, OROBEST and ILIGANiCE have their management structure in place. What we really need is to oversee the M&E as far as the RIIC implementation in the region. We are really tracking the performance and ensuring that all the result of the different partners will be taken into account. That is to compliment the regional positioning as the innovation hub in this part of Mindanao.	Government (DTI)	Region 10 - RIIC	Missing M&E tool on the progress of the local innovation programs	Establishing of M&E Tool this refers to the tool that can monitor the results of the performance of each partner and to track the performance and ensuring that all the result of the different partners will be taken into account.
Pandemic restrictions	Another limitation would be being that our campus is closed off which makes it harder for us to collaborate with government.	Academe (DLSU)	HEI GIA DLSU	mobility constraints	Mobility constraints

				caused by the pandemic.	this refers to the limitation of development of the project due to the pandemic
Partnership / Collaboration	Region 10 industry: The program is good. We don't have any problem with the university. In fact, we have a very good coordination about the project. I don't see any problem with that. We had a very smooth transaction and coordination. There were delays because of certain issues, the rest are okay.	Industry (Monde Nissin)	Region 10 - GIA	ability of the academe to scale up the technology for the industry. There is also a delay on the response on the submitted research proposal grant.	Scaling up of the technology refers to the ability of the academe to scale up the technology for the industry.
Partnership / Collaboration	Region 10 industry: We had a project with XU on dehydrated vegetables. Currently, we are using carrots and chives from China, so we import it. We have also CSR program. We were very happy that we were contacted by XU for this project because we also wanted to help our farmer. We gave XU some samples of what output we want. The problem here is that farmers only produce, but they don't process it. As a company, certain standards are important to us. Producing a carrot is not a problem, but processing it is a problem. That is why XU came and we want to help the farmer to process it.	Industry (Monde Nissin)	Region 10 - GIA		
Partnership / Collaboration	Region 10 academe: The farmers in Bukidnon, they are producing high-value vegetables. They frequently supply it to a trading hub in Cagayan de Oro. The prices do not stay the same or are not always profitable, so much of the carrots, especially if the prices are very low, it will be thrown away. So, we thought of dehydration as a possible way of minimizing the losses of farmers. When we had our first project with STRIDE, we interviewed manufacturing companies on who are using dehydrated vegetables, and that is why our team met Mr. Welly Toha, who is kind enough to introduce to us the background on how to use the vegetables. We wanted to help the farmers. Make their livelihood more sustainable. We focused on 2	academe (XU)	Region 10 - GIA		

vegetables, carrots and squash. Our partner on carrot dehydration is Monde Nissin. Our partner on squash dehydration is Santiago Fresh Mike. We were able to give Mr. Welly our sample carrots and they tested it and it was similar to what they get in China. The next question was, what is next?

Partnership / Collaboration	Region 10 academe: For squash dehydration, Mr. Teope they are producing Fresh and Dry Pancit Miki. They are using squash powder as a substitute for natural coloring. They tried in drying squash before, but they find it rigorous, because they only use sun drying. Mark was able to design a dryer to dry squash better. Sun drying would take days for the squash to dry. Some of these samples from sun drying squash results in having molds. We designed a dryer that is circulating air and it is more sanitary. The powder can be mixed to their mixture.	academe (XU)	Region 10 - GIA
Partnership / Collaboration Industry responsiveness	Region 11 industry: When they started setting up for the RIIC, there are none. They linked us with the other sectors, academe and to the government. They helped identify our needs and worked from there on how to resolve it. When we started, ADDU was identified to be our partner in terms of the Technology that we need. So, we developed a proposal which was submitted to the CRADLE project of the DOST, a solar-powered cooker, it was submitted by ADDU and us. Until now, we have no update with this proposal. This was submitted before the pandemic. That's why we're asking for an update.	Industry (Healthy Sweets)	Region 11 - RIIC
Partnership / Collaboration	Region 11 industry: We're producing coconut sugar. In terms of production, the biggest expense is on fuel on cooking coconut sugar. That is one of our identified problems, since the fuel used for cooking is expensive. Together with Ateneo, when RIICs just started,	Industry (Healthy Sweets)	Region 11 - RIIC

Industry responsiveness	Ateneo partnered with us in developing the technology, a solar powered cooker for coconut sugar. We have our proposal that was submitted by ADDU to the CRADLE project of the DOST.		
Partnership / Collaboration Industry responsiveness	Region 11 industry: As of now, we are making the IBR together with UP Mindanao. We submitted our needs, then UP Mindanao will be the one to help us.	Industry (Healthy Sweets)	Region 11 - RIIC
Partnership / Collaboration Industry responsiveness	Region 11 academe: The IBR is a business recovery plan where the academe, on this case for Ma'am Betty, is we help them formulate their business recovery plan. That is the assistance that we are giving the MSMEs through the RIIC program. In the case of Ma'am Betty, their IBR plan is to be completed. For other MSMEs, we already have completed two of them and both of these MSMEs have already implemented some of the strategic actions that we agreed during the plan formulation. One is Malagos Foods Incorporated and the other one is A's & R's, both of them are engaged in food processing. Malagos was able to identify a new product as their pivot to recover from the impact of COVID and the other one is into meat processing. A's & R's was able to secure a purchase commitment from one of the major players in convenience retail in the Philippines. We assisted them in the formulation of their strategic plan in meeting the requirements of their particular client. Currently the A's & R's is already implementing some of the strategic actions that we have identified.	Academe (UP Mindanao)	Region 11 - RIIC
Partnership / Collaboration Industry responsiveness	Region 11 academe: So far, we finished 4 IBRs. In Coffee for Peace, they already have implemented some suggestions in terms of packaging and marketing. At the same time, I was also informed through DTI and Coffee for Peace, DTI is already bridging Development Bank of the Philippines with Coffee for Peace. With the help of DTI, they linked the MSME so they can get the necessary	Academe (ADDU)	Region 11 - RIIC

funding they need. The other 3 MSMEs needed FDA approval. So, we reported that issue back to the group and at least the DOST knows about these 3 MSMEs need better equipment for FDA approval. There is bootcamp where the MSMEs will take part. For Ateneo de Davao, completed IBR Plans were AgriGrowLive Farms (cacao), Coffee for Peace, Inc., Lao Integrated Farms, Inc. (coconut), and Rehoboth Agricultural Cooperative (cacao) po.

Policy	There are issues in terms of securing intellectual property rights/patents for completed research; research funding being granted to “select group” of researchers; issues of unliquidated research grants; etc.	Industry (PhilExport)	HEI GIA DLSU	review policies on property rights/patents of researches and research funding and documentation of funds	Policy review on property rights and procurement refers to revisit the policies and protection of property rights when doing a project.
Differences in policy	UPLB2: In terms of policy, UPLB did not want to include in the MOA that the technology will be commercialized by the cooperative. There should be a separate document, a licensing agreement.	Academe (UPLB)	Region 7		
Policy constraints	UPLB2: UPLB has Technology Transfer and Business Development Office (TTBDO). Had a meeting with them to consult the possibility of protecting the breed to be developed. After that, they learned that there is no law that will allow a new breed to be patented. There is a law on plants but not for livestock. [AC Rola: Do you think it is a gap?] UPLB2: Yes. It is for the whole livestock industry for the whole Philippines. [AC Rola: Did UPLB initiate to address the issue?] UPLB 1: There were several discussions on Intellectual Property Right (IPR) with the Bureau of Animal Industry (BAI) to draft which	Academe (UPLB)	Region 4A		

was sponsored by Senator Cynthia Villar about genetic law improvement. UPLB1 attended meetings in the Senate but does not have any update on its status. UPLB is aware of this because UPLB1 and a colleague from the University attended the meetings as representatives of UPLB.

Procurement	<p>Region 10 industry: Delivery of the equipment because we have a timeframe. Maybe because of the pandemic, the procurement of materials is delayed, and it has affected the schedule. Up to now, we are still expecting for the delivery and turn-over of the equipment. Actually, they have already come up with the actual equipment, only refinements and very few improvements and amendments of the existing prototype of the project that they have undertaken. We have already also experimented on the type of formulation that we need so that it can match with the equipment. We are engaged with paper production and the innovation part is on the paper clay production because it is fiber-based, and all of the ingredients are natural and organic thus it is a sustainable product that we are promoting. We have received orders and inquiries for this product, that is why we enrolled in OROBEST to get the innovation that we needed in terms of technology and equipment that we can adopt so that we have a faster production and in a given amount of time we can produce huge quantity. For now, we do manual production thus the output very limited, if we want to produce more pieces given a period of time, we needed the technology.</p>	Industry (Oro Handmade)	Region 10 - RIIC	the procurement of materials is delayed, and it has affected the schedule
Procurement	<p>Region 10 industry: We were known because of the Oro Chamber. Most of the projects is on machines and how to make a farm out of the Spirulina? The problem is COVID situation that we have. Thus, there is a delay of the turn-over. They patent was delayed. We had a problem in importation as our main ingredient needs to be imported from abroad.</p>	Industry (Green Pastures)	Region 10 - RIIC	

Procurement	<p>Region 10 academe: Currently, we are involved with some companies under Oro Chamber in terms of R&D projects, I see that there are two (2) problems that we are continuously facing; 1) procurement law as an SUC, it is very hard and a tedious process. As a consequence, is the second problem, we are not in lock step with the industry timeline. Along with this 2nd problem, majority of the faculty members who are part of the R&D they have other designated positions, aside from the teaching they are doing research and some administrative tasks that is being put to them. Those are the things that we need to manage. There should be a hand-in-hand journey with the industry in completing the project. The pressing problem is the procurement law because we cannot do something about that.</p>	Academe (USTP)	Region 10 - RIIC
Procurement	<p>Region 10 academe: The same problem when it comes to procurement. Before we created this special BAC. We have color code documents. If it is colored yellow, means it is externally funded. So, if they see this, this is somehow a “Fastlane”. We have that kind of modality because the externally funded projects have to catch up with the time. If we want to connect with the industry, they also have their own timeline. Academic institutions can sometimes hardly catch up. We still have this problem; it is not a perfect process because we have to go through the bidding process which takes some time. It may not totally solve the delay, but it reduces the stopping points of the documents.</p>	Academe (MSU-IIT)	Region 10 - RIIC
Procurement	<p>BSU: Amante – There is access to mother Liberica seedings, but it is difficult to access [buy] seedlings because of the government procurement system. We are buying 80,000 seedlings.</p> <p>BSU: We are not hiring consultants, but we are buying seeds. Procurement that is beyond PhP50,000 will undergo PHILGEPS.</p> <p>[CReyes: What can be your recommendation?]</p>	BSU	Region 4A

BSU: The project that was mentioned by Mr. Gualberto is about the revitalization of the Barako Coffee in Batangas funded by DA BAR. It has two components: 1) propagation of Barako seedlings from elite mother tree and 2) establishment of nursery. This project is lodged with the University of Batangas. We cannot do away with the procurement system so what we do is to follow up with all the offices. It takes time. It is possible for papers to be remain long in one office for one reason or another. Minsan natatabunan, ako mismo and nag-uuli ng paper para madali ang pagpapapirma. BSU is very thankful to the group of Mr. Teng Caedo and Mr. Gualberto who shelled out money from their own funds for the continuous operation of the project.

Protection of outputs (patenting/indigenous knowledge)	For example, on the ownership and who owns what. The nice thing is when we started it, we understand each other already and we thank USAID STRIDE as well as OROBEST in coming up activities wherein the industry has already pinpointed on what they really need. So, it is easier for MSU-IIT, the R&D team when it comes to preparing on what are the things needed.	Academe (MSU-IIT)	Region 10 - RIIC	ownership of the technology	
Resources	<p>When we look at the challenges, we tried to understand the elements of the ecosystem, so we need to check the physical, economic and networking, assets.</p> <p>On physical assets we really encountered challenges. Ang kagandahan po sa R3 is that flexible yung other institutions that they can easily embrace the challenges.</p> <p>On economic asset, instrumental si RD Tess (CHED) on how to converge the different stakeholders, the HEIs on solving this problem.</p>	Academe (BULSU)	Region 3 GIA	availability of all resources from all key players.	<p>Availability of resources</p> <p>this refers to the existing means of each key player for the development and sustainability of the project.</p>
Resources	Region 10 industry: Availability of resource from the academe to assist the industry or the MSMEs	Industry (OROBEST)	Region 10 - RIIC		

Scalability	I think STRIDE did try to produce an inventory of completed research, am just not sure if this has been completed. Also, PCAARRD, through Pili NICER developed a system which supposedly should be a repository of all completed research. The system has already been launched, but am not sure how successful they are in terms of getting the system populated with all the researches from various research entities.	Industry (PhilExport)	HEI GIA DLSU	mechanism to be made by key players to scale up the project. A tool that can measure the success rate of the project
Scalability of projects- programs	We put an agreement at that time, we will buy the produce as long as it is similar to our standard. One problem is that, before it is like the “chicken and egg” scenario. The farmers wanted to produce but they worry that they don’t have a market. On our side, we want to buy it but who are we referring to? XU is helping the farmers to teach them on how to process it, but they want somebody to manufacture it for us or to link it for us, farmer and the buyer. Right now, I don’t know who I should talk or call if there are problems or supply. The farmers are not entrepreneurs; they just want to produce it.	Industry (Monde Nissin)	Region 10 - GIA	
Scalability of projects- programs	As of now, there is a lack of supply of squash. Although the results were good. Our production every day is 50 bags.	Industry (Santiago Fresh Miki Factory)	Region 10 - GIA	
Scalability of projects- programs	That is what we have mentioned before, “who will supply?”. We already have the technology. We can teach it to the farmers, but we cannot supply Monde Nissin the dehydrated carrots even if it meets their standard.	academe (XU)	Region 10 - GIA	
Scalability of projects- programs	Region 10 academe: We were not able to supply the needs of the farmers. We put that in the recommendation in our report. We have to upscale the quantity from the pilot scale; 10x the size. We take in the supply from the farmers, but we also need the capacity sustained. At the same time, the industry has their own needs. XU can only offer processing. The problem is we cannot make an	academe (XU)	Region 10 - GIA	

	upscale because we are not allowed to sell. This is the policy of the university.				
Scalability of projects- programs	In 2018, we decided to close the business but because the Oro Chamber through OROBEST always pursues us, it gave us the hope to continue the business. One of the challenges is to look for a location that we can put up our farm. We have to consider the water supply though we need not a large area. We have three (3) areas that we are considering. Of the three (3) sites, water supply is also a problem, thus we need to construct our water system and it is very costly and spirulina cultivation. We are still waiting for the turn-over from the MSU-Naawan. Hopefully we can catch up with the financial requirement in coming up with the spirulina cultivation.	Industry (GreenPastures)	Region 10 - RIIC		
Supportive admin	In terms of challenges probably continuity. It's more on really a continuous effort in terms of the module collaboration with UPD that was really good	Industry (Vistaland)	HEI GIA UP Diliman	sustained support from all key players	
Product development	HEI73]: From the CVFIC perspective (a project with DOST), it assists the MSMEs in research on product development. We also allow them to use the equipment in the center to test their capability or do research so that the contract research with them will be able to generate new food concepts that are attractive not only at the local but at the foreign market. Assist the DOST in implementing the project, reviewing proposal, the academe uses the facilities.	HEI	Region 7	assists the MSMEs in research on product development	Permission to use Refers to allowing the partner industry to use the technology to generate new concepts that are attractive to the local and foreign market

ANNEX F RELEVANCE FGD.2 ST

1.1 What is the role of STRIDE in the formation of the RIIC?

ROLE OF STRIDE IN THE FORMATION OF THE RIIC							
THEME	NATIONAL		FGD (GIA AND RIIC)		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Complementation of programs refers to the alignment of programs among HEIS			5	37.5			<p>“From the beginning at the onset, we have to make sure that there is no duplication rather complementation for HEIs. Every province has a cybernetics center. They were able to mobilize the RIIC quickly. Given the limited resources of CHED, we also were able to mobilize.” Government (CHED) Region 3 GIA</p> <p>“UPLB1: She used to work at the Department of Agriculture (DA) Regional Field Office 7 of which Siquijor is one of the provinces in the region. The DA 7 bought Siquijor native cattle; hence the Ubay Stock farm in Bohol has a gene pool. When she transferred to UPLB, went back to region 7 she proposed to STRIDE the project on dairy cattle. She invited UPLB2 who is an expert on molecular biology to join the project. The Stock Farm is also ideal to conduct the experiment because of its large number of stocks. In the project we have two cattle pools: one is the Stock Farm in Ubay and the other one community-based in Siquijor where the stocks are with the farmers.” Academe (UPLB) Region 4A</p>
Trust			1	12.5			<p>“Meron po kaming tiwala sa isat isa despite the pandemic.” Industry (CamSurCCI) HEI GIA DLSU</p>

refers to creating trust among partners

capacity building

13 75

refers to the capability of the players to establish innovation activities.

(6)

“I was so impressed with the engagement in Bicol without STRIDE RTI we wouldn’t have seen the onsite farms. So, we realize that there is a good potential to have these businesses grow up. Maybe we can be recognized as the best pili industry in the world.” Academe (DLSU)HEI GIA DLSU

“We're very thankful for the group of USAID. From the very beginning, they already guided us on how to establish the RIIC Davao. They also provided us technical assistance. When we started its STRIDE, the group of RIIC, who assisted us in conducting workshops like mapping the innovation ecosystem and coming up with activities such as ideation and design thinking workshops. We implemented other projects such as the Innovation for Business Recovery (IBR) and also our marketing research project with CHED. So, they're instrumental in why Davao RIIC is very active. We also got our constituents to work with us in the industry and the academe.” Region 11-Government (DTI) Region 11 – RIIC

“Region 10 Industry: The role of STRIDE when we engaged with OROBEST, OROBEST was the main organization that we engaged with from ideation then we went to study our business and then we evaluated. The implementation was in coordination with Ateneo de Manila University (ADMU). After that, there was a monitoring activity after the recommendations have been submitted up to the mentoring stage. The way I see it, it was giving us a bigger picture from the beginning to the result.” Industry (Oro Handmade) Region 10 – RIIC

"[HEI71] helped built the RIIC,

			served as glue for GIA stakeholders, especially to help MSMEs in the locality,
			lynchpin in trying to pull significant groups together to achieve results" HEI Region 7
collaboration	23	75	
refers to closing the gaps among active players and increasing the value of engagements by creating opportunities for the partners to be active.	(6)		<p>“Already mentioned the link with the nature of engagement with the STRIDE. For our industry partnerships, dalawa yung mechanisms by which STRIDE helped facilitate the collaboration – one is we have a program called IGNITE and that's based on a lot of the industry, academe and government initiatives initiated by STRIDE so collaboration came from other initiatives they have already done another would be the ideation workshops. It's like dating for industry and academe. We have a lot of getting to know events, but the ideation workshop is different. We never met before.” Academe (UPD) HEI GIA UP Diliman</p> <p>“I agree with Sir Erwin Magsakay. We recognize the importance of gathering the support of our stakeholders with our MSMEs. So, we had some meetings with BULSU, the business sectors, and other sectors thinking of strategies for them. So, the Academe and Industry partner collaboration has been really good.” Government (PSTC-Pampanga) Region 3 GIA</p> <p>“I was about to share the same sentiment with the LGU. STRIDE helped us a lot in putting us together. There is now greater interaction between Academe, Industry, and Government. Unlike before we just give our interventions and there is not much interaction between the GIA, but now when STRIDE came in and helped us to come up with a RIIC, we have appreciated it more especially from us in the academe that there is greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government.” Region 11-Academe (ADDU) Region 11 – RIIC</p>

“[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs.”
Industry Region 7

“[IND71]: These are not only a DTI determined set industries. We have economic drivers that we have selected together, and this has been approved by the RDC which we can engaged in, which includes both the existing economic drivers such as foods, ICTs, constructions, and the like. There are also emerging industries which includes the creative industry, and certain agro-fishery industries that are part of the value chain. We are open to the 11 industries that have been identified.” Industry Region 7

creating curriculum design 1 12.5
refers to the participation in actively
creating academic programs

“The other one has to do with academic programs, normally kasi academic programs, we tend to be ostriches, ivory tower head in the sand mentality but one recent initiative where we had an interaction with IMI was to develop a new kind of program the PSM with STRIDE and the goal of that program was to have industry involvement built-in, not just in terms of the student interacting with the industry, but even right at the beginning as the program was conceptualized we already had significant industry inputs. STRIDE created several curriculum workshops with UP and several industry partners, so that's the most recent work in progress.

We are doing the curriculum now. Matagal yung process, and di pa kami nakakuha ng approval but we already have implemented transition programs to put the best practices in the programs. We already have graduated a transition batch using an intermediate program.

			<p>It was primarily a START program; it was a new concept to have this kind of curriculum design and development process. The most that we had in terms of industry connection for a curriculum program was more towards the end noh, so that's thesis mga ganun or internships. So, this new model was primarily initiated by STRIDE. We learned a lot. Both IMI and VistaLand participated in these workshops, and this was an eye-opener for us in terms of understanding. STRIDE provided us a framework for convergence for the curriculum design.” Academe (UPD) HEI GIA UP Diliman</p>
<p>Funding support</p> <p>refers to the financial support provided for the project</p>	4	50	<p>“For our project with Filipinnovation, it was funding. They bring in foreign consultants that would elevate innovation here in the Philippines. They also have that valuable role of ensuring sustainability that they can leave the legacy of training faculty, researchers and entrepreneurs” Academe (DLSU) HEI GIA DLSU</p> <p>“STRIDE funded the project under the CARWIN window” academe (XU) Region 10 – GIA</p> <p>“UPLB1: STRIDE provided the financial support of P10M [AC Rola for phases I and II] to the project which ended in 2017. The cooperation with the partners including ACDI, provincial government of Siquijor, and other local cooperatives still exists up to the present.” Academe (UPLB) Region 4-A</p>
<p>Industry responsiveness</p> <p>refers to the activities that were made to answer the problems of the industry</p>	1	12.5	<p>“Enabling them to meet with their partners. I believed in the role of academe in the growth of industry and our enterprise. Through the sessions we had with her, the academe urged us to look beyond the pandemic. I embraced everything made by their study. The study provided us clarity of action as to how to handle the problems of the past and present and how to handle the future. We have followed all her suggestions we really went through each one of them and they are doing</p>

			so well, far better than we expected. The STRIDE provided the opportunity, DTI provided the information, but most of what we have done right now is made possible by the linkage we made with Emilina Sarreal. We also opened ourselves to working with the fablab of Bicol.” Industry (PhilExport) HEI GIA DLSU
enabling factors	11	62.5	
refers to the mechanisms that made the programs, activities, and interventions kept on moving forward.	(5)		<p>“We're thankful for the USAID STRIDE in guiding the region in crafting the RIIC. STRIDE provided a very strategic and organized approach in leading the formation of the core group particularly the technical working group. They are very immersed in the conceptualization, crafting the activities, and as well as implementing them. The involvement of STRIDE is very heavy particularly na hindi kami iniwan dahil within the journey they were there.” Government (CHED) Region 3 GIA</p> <p>“Paved the way as policy support, helped us in coming up a resolution which we endorsed it to the RDC. It was done in 2019. The resolution specifically states that [RDC] is supporting the establishment of the RIIC in Region X. That was the policy support that paved the way with the intervention of STRIDE. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.” Government (DTI) Region 10 – RIIC</p> <p>“Mapping, Linking and Aligning activities, STRIDE has been very visible. So, linking and progressing the region, STRIDE was successful. Even, na trace naming yung R&D facilities, and even with government agencies we had convergence so nagkakatulungan noh.” Academe (BULSU) Region 3 GIA</p> <p>“DTI4A: Region 4A is really at the early stage of its establishment. Unfortunately, the Taal Volcano eruption and the pandemic happened simultaneously, and it would be difficult how can really STRIDE assist the RIIC. Primarily, overall naging</p>

maganda naman yong coordination. One of the STRIDES Focal person, Ms. Marela. I can talk to her on RIIC concern and easier to coordinate.” Government (DTI) Region 4-A

“[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.” Industry Region 7

"1.2 What is the additional assistance introduced by STRIDE to strengthen your partnership as GIA? Follow up: Which of these received funding (infrastructure, research grants, capacity building, etc.) from STRIDE, government, or private organizations? (i.e., to meet gap in funding?)"

ADDITIONAL ASSISTANCE INTRODUCED BY STRIDE TO STRENGTHEN PARTNERSHIP AS GIA

THEME	NATIONAL		FGD (GIA AND RIIC)		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Overall Capacity Building refers in providing training, seminars, and sessions to enhance			16	75			“One of the assistances na naprovide nila during the KTTO assistance they didn't only provide the venue and the program, but they also trained the trainers. They opted to train the staff of Doc Louie which is also not limited to UPD but also to DLSU. So, it trains the trainers, so we already have capabilities to train the people here as well.” Government (DOST) HEI GIA UP Diliman

the capacity of the key players in
doing the projects

“When STRIDE organized a series of FGDs and Planning Sessions with the Pili Industry and the Stakeholders in Bicol in 2019 participated in by BU, DA, DTI, PCIEERD, industry players, we became aware of the various programs and services that could be had as well as the opportunities to be able to work together to drive growth in the industry.” Industry (PhilipiLI) HEI GIA DLSU

“STRIDE provided the capacity building with appropriate and best resource speakers, consultants on webinars and innovation talks and training for those who pitch. Also, they provided workshops for the ideation for the industry and academe to meet. Before the pandemic, they have the budget of the ideation workshop for the industry, and academe will meet and discuss what they can come up with. During the pandemic, we meet online and do virtual ideation. They also provided the resource and facilitator from the UPSCALE innovation hub. They did a lot of learning sessions for us. They guided us in making the 5-year strategic planning and roadmap. Late last year, they introduced us to an MLA (Mapping, Linkaging, and Aligning) Methodology.” Industry (ORO Chamber) Region 10 – RIIC

“They helped us capacitate the people. They trained Ma’am Pat Cruz to train in managing the KTTO.” Academe (MSU-IIT) Region 10 – RIIC

“HEI71] USAID STRIDE is the key player wherein we are able to develop further our capacity as a university to extend our R & D capability to the communities. Three years ago, we were able to join a capability-building program of DOST supported by STRIDE to build our technology biz incubation lab, and second, building our capabilities in terms of technology transfer. These capability-building programs of USAID STRIDE have enabled us to extend our R & D capabilities to our MSMEs in the

			localities which is key to fostering the growth of the RIIC in the region.” HEI Region 7
Effective collaboration	4	50	<p>“It however is managed by all our partners. We have a lot of information in our respective agencies, and we want to share this with everyone particularly in research and innovation. DTI is the lead, but it is co-managed by our other GIA partners.” Government (DTI) Region 11 - RIIC</p> <p>“We are trying to sell the technology present in the academe. STRIDE facilitated a meeting with Saliksik.ph to curate technologies and research technologies and put them in a database. This has been captured by the DOST and has been approved already for the OROBEST Regional research database. Sometimes the academe will present, and it is too technical that sometimes the industry cannot understand. Now we have four (4) signed technology transfers. By way of our convergence, we were able to get one of our objectives which is the adoption of technology” Industry (ORO Chamber) Region 10 – RIIC</p> <p>“They helped us in our communication strategy for our OROBEST innovation program as well as the innovation guidebook.” Industry (ORO Chamber) Region 10 - RIIC</p>
<p>this refers to the partnerships among key players which resulted in the adoption of technology by having good communication strategies.</p>			
Curriculum Design	1	12.5	<p>“The first is the joint curriculum development with IMI and VistaLand, where they were involved in the design of our PSM supply-chain project” Academe (UPD) HEI GIA UP Diliman</p>
<p>this refers to the involvement in the joint curriculum development design.</p>			
Digitalization	1	12.5	<p>“We need to emphasize that while the world considers industry moving Into IR 4.0, we in the Abaca industry are still in IR 1 --mechanization but working with DLSU</p>

this refers to the digitalization of outputs.	3	37.5	challenged us to into considering digitalization.” Industry (PhilExport) HEI GIA DLSU
funding support	3	37.5	“Only funding. There were short programs before wherein they asked us to present our project or pitching a presentation during one of the gatherings, but it is more on the research funding. We received funding twice” academe (XU) Region 10 – GIA
this refers to the researches that were funded			“We have research that was funded by STRIDE. There are several programs that we have partnered with STRIDE.” Academe (MSU-IIT) Region 10 - RIIC
Industry responsiveness	5	37.5	“In academe usually tayo-tayo lang noh, so we didn't have the framework in which industry partners can work with, so it po yung mirror ng ideation workshops. This helped us to talk to industry companies and to propose the technologies needed.” Academe (UPD) HEI GIA UP Diliman
this refers to identifying the needs of the industry to adapt the research output through partnerships and institution building	(3)		“We have TBI and FabLab. We also have activities that STRIDE helped us in implementing these activities. We have the KTTO that we owe it to STRIDE.” Academe (MSU-IIT) Region 10 – RIIC
			“Now the export incubation program. This is a partnership with DTI, but STRIDE has a major role in providing startups with our partners in that activity. We also have market research with XU, to provide venues to meet potential partners.” Industry (ORO Chamber) Region 10 - RIIC
Industry Driven Policies	3	37.5	“PhilPILI as the Pili Commodity Board has committed to developing industry policies that are science-based and technology-driven, hence the STRIDE program is a welcome one.” Industry (PhilPILI) HEI GIA DLSU
this refers to developing industry policies that are science-based and			

technology-driven by aligning programs and projects from different agencies

“Based on our activities and experiences with STRIDE, I will cluster this with products and policy, as STRIDE has helped us to craft our innovation guidebook and the business impact survey to our MSMEs and aligning our programs and projects from different agencies. We have iStrike Davao is a unique innovation made by the RIIC through the DTI. It is a portal, a one-stop-shop for programs and services that MSMEs can access. In terms of policies, we chaired the DOST XI the RRDIC (Regional Research and Development Innovation Committee) of the Regional Development Council (RDC). Several policies were lobbied through RRDIC, and it has been approved and the resolution has been endorsed to the RDC. The latest policies have been on the COVID-19 related-policies with MSMEs and done by the UP Mindanao team as our researchers” Government (DOST) Region 11 – RIIC

“DTI: By virtue of the RIDC resolution, the RIIC was created. But to make it impactful for the beneficiary and for the general public, mas maganda may launching na. STRIDE provided assistance by bringing in the consultants to give other options, perspective on geographic indicators (GI) on how things can be done and suggestions on what are the best options for RIIC, e.g., possible fund sourcing.” Government (DTI) Region 4-A

Collaborative research

2 25

this refers to the involvement of partners in doing research

“The second mode of collaboration with GIA was collaborative research. In the collaborative research, two of our partners represented here have ongoing collaborative research agreements with UP, Vistaland, and IMI, both in terms of our material sciences program. STRIDE is not as involved now in terms of the conduct of the collaborative research but when it comes to dating, they co-facilitated several of the Ideation workshops with us. So, these are some of the collaborations that have resulted from the ideation workshop.” Academe (UPD) HEI GIA UP Diliman

			<p>“[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.”</p> <p>Government (DOST) Region 7</p>
Shared resources	2	25	<p>“Providing us the expertise but also the personnel.” Industry (BCCI) Region 3 GIA</p>
this refers to the provision of resources to key players			<p>“Gusto ko pong ipagmalaki ang ating SUCs especially BULSU. Isa po sila sa prime movers. And the mere fact that they were chosen to be the RCC and the RIIC of the Region is already an image built by the BULSU. For BULSU we have research grants also. One and very prominent recipient of the SMART Campus under the Bayanihan 2. So meron pong certain provisions to build our SUCs so 11 universities in the region were provided financial assistance through SMART Campus.” Government (CHED) Region 3 GIA</p>
Technical assistance	4	50	<p>“Mentoring po. Mostly the personnel involved in THRIVE was from BULSU but the one who guided them was an expert from STRIDE who was guiding these personnel so that they weren't completely starting from scratch.” Industry (BCCI) Region 3 GIA</p>
this refers to the provisions; financial or mentoring support, that was given to the key players.			<p>“We are engaged with STRIDE for the OROBEST Bridge program just last year. Other than the technical support that STRIDE has provided, STRIDE also provided funding support to the faculty consultant who acts as the lead facilitator to conduct the key activities of the program. Ms. Querites mentioned that in the conduct of R&D sessions, SNS, STRIDE provided the funding for us to tap expertise from faculties from different colleges in the university. The assistance of STRIDE was key in the design of the program and the instrument. With the program and instrument, we are ensuring that the process flow is developed and can generate data-driven</p>

output yet still friendly to MSMEs. With that connection, the direction is clear where the program wants to go.” Academe (XU) Region 10 - RIIC

Conflicting policies	1	12.5	“IND24A: The greatest challenge is the government procurement system. IND24A: There are project requirements which necessitated to buy from ordinary traders. The government is asking for a lot of registrations like PHILGEPS. PCCI/BSU is buying elite seeds for the revival of the mother Liberica, which is a rarity. The government is telling us to buy anywhere provided it is registered with the government procurement system which will not work with their project. It defeats the purpose of establishing the pure Barako Coffee industry.” Industry Region 4-A
Refers to the policies that needs to be reviewed that are not aligned to the key players’ mechanisms in doing the project.			

1.3 What are the challenges of partnership in putting up the RIICs and how are they addressed?

CHALLENGES OF PARTNESHIP IN PUTTING UP THE RIICS AND HOW THEY ARE ADDRESSED

THEME	NATIONAL		FGD (GIA AND RIIC)		REGIONAL		RESPONSES
	f	%	f	%	f	%	
inhibiting factors			2	25			“Time constraints that we have as faculty members of the university, especially in the delivery of the IBR plans for the MSMEs. We're also challenged to somehow integrate the IBR-related activities in our academic programs, like in Master’s in Management and Agribusiness Economics. We are doing something about this to possibly integrate some of our services into the RIIC. Third, somehow, we have encountered some limited information on the various government programs for the MSMEs, although
this refers to the limited time and information for the delivery of the outputs.							

this is the initial stage of our IBR engagement, in such a way that they were not readily able to match the needs of the MSMEs to the specific programs of the various government agencies. Again, this is from the initial stage of our IBR engagement. Fourth, we have also some challenges in terms of exposure of our faculty members to the industry. In such a way some of us were encountering problems with coming up with a good IBR plan for the identified MSME. Fifth would be limited training on certain technical assistance required by the MSMEs particularly marketing intelligence and FDA registrations. Finally, the asymmetric information with MSMEs is what we all encountered also that is a problem, because of this, the information was very limited in such a way it also affected the formulations of the IBR for the MSMEs. These are the problems we encountered in our IBR engagements so far.” Academe (UP Mindanao) Region 11 – RIIC

“IND71] Time management because we are in the middle of a pandemic now. We are addressing many very critical issues which includes the survival and continued operations of the MSME’s. This implies the lack of time to be able to provide solutions to their problems. The needs may not just be about technical but may also include linkages or even rebooting their operations and their business models. We should really match the MSME needs and requirements with the academe expertise. Market demographics are changing, and industry cannot provide timely data.” Industry Region 7

Awareness

2 25

this refers to the involvement of the key players to promote innovation and to be active.

“Possible challenges would be the promotion of the website. Although nalaunch na po, but problem is the promotion that we have RIIC and these programs and services and the MSMEs. It would be good to improve the promotion and also to keep it updated to help our MSMEs. Maintaining and updating our website will help MSMEs grow. BULSU THRIVE po yung nag mamana ng website. DTI Regional Office has provided information on the facilities and other relevant information needed for the RIIC. From time to time we are coordinating with BULSU and Industry Sectors so they would

			<p>know the present status of our MSMEs in Bulacan. I think RIIC will play an important role in preparation for the creation of the new airport.” Government (DTI) Region 3 GIA</p> <p>“Region 11 government: Our challenge is how to become more active partners. We know bits and pieces as we were invited here and there, but we don’t have any focus.” Government (LGU) Region 11 - RIIC</p>
Communication issues	2	12.5	<p>“One of the challenges, sometimes there are disconnects when it comes to communication since we have the Government, Industry, and Academe, so dito lang po sa FGD natin may problema in terms of getting everyone together. It's more of a logistics issue, it's one of the things that I want to recommend. So, if we want to continue this we already have recurring meetings since we have different schedules. Ito po yung nagiging detriment, it’s hard to set a meeting then find everyone’s schedule. Similar to a board schedule, it might be easier to schedule.</p> <p>On the side of the BCCI, we have our secretariat, and I would be stepping in to be the point person with regards to the THRIVE program. I can't speak for the government offices on who would be taking lead on their sides.” Government (CHED) Region 3 GIA</p> <p>“On networking, we thought this was a problem especially with the pandemic but with the help of STRIDE, once they pushed for the program's networking was made easier” Academe (BULSU) Region 3 GIA</p>
this refers to the dynamics in disseminating key players gathering	(1)		
Different Dynamics	7	50	<p>“May kanya kanyang mandates, the HEIs, the provincial and regional offices of DOST. So, for us DOST, nakaharap kami with MSMEs and may mga programs po sa DOST where we can submit proposals for funding on research and development yung CRADLE po with MSMEs. So, when we</p>
		(4)	

this refers to the different mechanisms that are present in every institution/office that may hinder the development of the project.

partner with HEIs there's a problem of matching them to industry. So, with THRIVE CL, naka network na, madali na naming ngayong mahanap yung imamatch namin. For Thrive Central Luzon, wala pa kaming proposals, but we have talked about this with VP Magsakay. During the National Science Technology Week, we will be highlighting an activity where MSMEs will gather to present mapped expertise of HEIs para lulutang yung requirements ng MSMEs kung san sila required. MSMEs usually cannot find the problems on their own, so they need help in matching who can help them. We have CRADLE programs but not under the THRIVE CL. With the THRIVE we can really connect with partnering HEIs and Industry.”
Government (DOST PSTC Pampanga) Region 3 GIA

“The first challenge would be financial. Accounting in the academe is different from the government. The first is the challenge on the consistency or the alignment of financial accounting for academe and the funder which are usually governments.” Academe (DLSU) HEI GIA DLSU

“HEI74] Speaking from experience in the past, a couple of year ago, we submitted a proposal to CHED for a grant related to a distance education project, after preparin. HEI74) But we are happy that DOST is not discriminating us, both private and public universities are welcome with them.

[HEI73] We have no problem with DOST. I am not sure with DTI, but with CHED, we have a problem. g everything, we were informed that we were not qualified because we are not an SUC.” HEI Region 7

Monitoring and Evaluation

2 25

“Is there an evaluation made before you submitted your final report? Region 10 academe: They had their regular monitoring during the project implementation. What was the role of CHED? CHED came after STRIDE.

this refers to the There was regular monitoring during the project implementation	3	25	From the experience that we gained from STRIDE, our focus was on the industry, and we have understood the farmers. In CHED’s project, we focused also on the farmer’s side. So, we were able to make mobile apps to assist the farmers. The farmers’ practices are very traditional, even recording is a problem, and pest management and application of pesticide.” academe (XU) Region 10 - GIA
Provision of funds Refers to the funds that were allocated for the project	(2)		“[DOST7]: We have our own item. We have our own role in the RIIC to collaborate with the different industries and academe in relation to technology in need for the development of innovation among MSMEs. We have our own funding. We have different programs (i.e., small enterprises, etc.) and services that DOST can offer.” Government (DOST) Region 7
Industry-Academe Relationship this refers to the mechanisms and policies in the partnership of the academe and industry in doing the project.	8	62.5	<p>“UPLB1: ACDI issued half a million pesos for the Catulayan Cooperative as a small brother big brother assistance.” academe (UPLB) Region 4-A</p> <p>“Another challenge is on the specific activity understanding because it has something to do with the deliverables from the industry part and what we can deliver to the industry. That is why Dr. Bonales a while ago and Dr. Jamil, part of their presentation is on the commitment also to the industries. We apply co-innovation and co-operation.” Academe (MSU-IIT) Region 10 – RIIC</p> <p>“When we collaborate with Industry the technology transfer is always going to be a problem, along with IP and so on. We’ve gotten a lot of advice on that, part of the KTTO training involves how to set up these kinds of partnerships negotiating, so part yun ng program nila kasi yan yung “dating” and yung engagement, the last part naman yung negotiation yun yung kasal. The negotiation is leading to the nuptial agreement and marriage. So, for example for our collaborative research right now we have</p>

to anticipate that the goals of that research will be met and so what's next after that? That's also covered under the KTTO training. Yun yung challenge, yung last stage will be a challenge for us. STRIDE has provided some training to address this. Now they have a manual. We are rolling out a training program for that Manual." Academe (UPD) HEI GIA UP Diliman

"ACDI1: The assistance is for the cooperative to procure quality dairy cattle produced out of the STRIDE project. If their dairy project will not develop, the cooperative can have meat processing. The money issued to them will be used in the procurement of native cattle. Moreover, as the cooperative develops, it will be the source of hybrid local cattle of ACDI."

Establishing of M&E Tool

1 12.5

this refers to the tool that can monitor the results of the performance of each partner and to track the performance and ensuring that all the results of the different partners will be taken into account.

"Region 10 Government: Provinces that are actively engaged are Misamis Oriental and Iligan. Now we are seeing the replication of the program in Bukidnon, so there is a need for a regional structure to monitor the results of the performance of each partner. As we did in the OROBEST, initially we have core members then we progress accordingly enrolling all other major players. All the other players are considered together with the OROBEST and ILIGANiCE that is one way going forward. But there is no problem right now with the convergence. Each of the local innovation programs, OROBEST and ILIGANiCE have their management structure in place. What we need is to oversee the M&E as far as the RIIC implementation in the region. We are tracking the performance and ensuring that all the results of the different partners will be taken into account. That is to compliment the regional positioning as the innovation hub in this part of Mindanao." Government (DTI) Region 10 - RIIC

Mobility constraints

1 12.5

this refers to the limitation of development of the project due to the pandemic

"Another limitation would be being that our campus is closed off which makes it harder for us to collaborate with government." Academe (DLSU) HEI GIA DLSU

<p>Scaling up of the technology refers to the ability of the academe to scale up the technology for the industry.</p>	<p>9 25 (2)</p>	<p>“We had a project with XU on dehydrated vegetables. Currently, we are using carrots and chives from China, so we import them. We have also a CSR program. We were very happy that we were contacted by XU for this project because we also wanted to help our farmer. We gave XU some samples of what output we want. The problem here is that farmers only produce, but they don't process it. As a company, certain standards are important to us. Producing a carrot is not a problem, but processing it is a problem. That is why XU came and we want to help the farmer to process it.” Industry (Monde Nissin) Region 10 - GIA</p>
		<p>“When they started setting up for the RIIC, there are none. They linked us with the other sectors, academe and to the government. They helped identify our needs and worked from there on how to resolve them. When we started, ADDU was identified to be our partner in terms of the technology that we need. So, we developed a proposal which was submitted to the CRADLE project of the DOST, a solar-powered cooker, it was submitted by ADDU and us. Until now, we have had no update with this proposal. This was submitted before the pandemic. That's why we're asking for an update.” Industry (Healthy Sweets) Region 11 – RIIC</p>
		<p>“So far we finished 4 IBRs. In Coffee for Peace, they already have implemented some suggestions in terms of packaging and marketing. At the same time, I was also informed through DTI and Coffee for Peace, DTI is already bridging the Development Bank of the Philippines with Coffee for Peace. With the help of DTI, they linked the MSME so they can get the necessary funding they need. The other 3 MSMEs needed FDA approval. So, we reported that issue back to the group and at least the DOST knows about these 3 MSMEs need better equipment for FDA approval. There is a boot camp where the MSMEs will take part. For Ateneo de Davao, completed IBR</p>

			Plans were AgriGrowLive Farms (cacao), Coffee for Peace, Inc., Lao Integrated Farms, Inc. (coconut), and Rehoboth Agricultural Cooperative (cacao) po.” Academe (ADDU) Region 11 - RIIC
Policy review on property rights and procurement	9	50	“There are issues in terms of securing intellectual property rights/patents for completed researches; research funding being granted to “select group” of researchers; issues of unliquidated research grants; etc.” Industry (PhilExport) HEI GIA DLSU
refers to revisit the policies and protection of property rights when doing a project.	(4)		“Delivery of the equipment because we have a timeframe. Maybe because of the pandemic, the procurement of materials is delayed, and it has affected the schedule. Up to now, we are still expecting the delivery and turn-over of the equipment. They have already come up with the actual equipment, only refinements, and very few improvements and amendments of the existing prototype of the project that they have undertaken. We have already also experimented on the type of formulation that we need so that it can match with the equipment. We are engaged with paper production and the innovation part is on the paper clay production because it is fiber-based, and all of the ingredients are natural and organic thus it is a sustainable product that we are promoting. We have received orders and inquiries for this product, that is why we enrolled in OROBEST to get the innovation that we needed in terms of technology and equipment that we can adopt so that we have a faster production and in a given amount of time we can produce huge quantity. For now, we do manual production thus the output is very limited, if we want to produce more pieces given a period, we needed the technology.” Industry (Oro Handmade) Region 10 – RIIC
			“For example, on the ownership and who owns what. The nice thing is when we started it, we understand each other already and we thank USAID STRIDE as well as OROBEST for coming up with activities wherein the

industry has already pinpointed what they need. So, it is easier for MSU-IIT, the R&D team when it comes to preparing on what are the things needed.”
Academe (MSU-IIT) Region 10 – RIIC

“UPLB2: In terms of policy, UPLB did not want to include in the MOA that the technology will be commercialized by the cooperative. There should be a separate document, a licensing agreement.” Academe (UPLB) Region 7

“UPLB2: UPLB has Technology Transfer and Business Development Office (TTBDO).

Had a meeting with them to consult the possibility of protecting the breed to be developed. After that, they learned that there is no law that will allow a new breed to be patented. There is a law on plants but not for livestock.

[AC Rola: Do you think it is a gap?]

UPLB2: Yes. It is for the whole livestock industry for the whole Philippines.

[AC Rola: Did UPLB initiate to address the issue?]

UPLB 1: There were several discussions on Intellectual Property Right (IPR) with the Bureau of Animal Industry (BAI) to draft which was sponsored by Senator Cynthia Villar about genetic law improvement. UPLB1 attended meetings in the Senate but does not have any update on its status. UPLB is aware of this because UPLB1 and a colleague from the University attended the meetings as representatives of UPLB.” Academe (UPLB) Region 4-A

<p>Availability of resources</p> <p>this refers to the existing means of each key player for the development and sustainability of the project.</p>	<p>9 62.5</p> <p>(5)</p>	<p>“When we look at the challenges, we tried to understand the elements of the ____, so we need to check the physical, economic and networking, assets.</p> <p>On physical assets we encountered challenges. Ang kagandahan po sa R3 is that flexible yung other institutions that they can easily embrace the challenges.</p> <p>On economic asset, instrumental si RD Tess on how to converge the different stakeholders, the HEIs on solving this problem.” Academe (BULSU) Region 3 GIA</p> <p>“That is what we have mentioned before, “who will supply?”. We already have the technology. We can teach it to the farmers, but we cannot supply Monde Nissin the dehydrated carrots even if it meets their standard.” academe (XU) Region 10 – GIA</p> <p>“In 2018, we decided to close the business but because the Oro Chamber through OROBEST always pursues us, it gave us the hope to continue the business. One of the challenges is to look for a location that we can put up our farm. We have to consider the water supply though we need not a large area. We have three (3) areas that we are considering. Of the three (3) sites, water supply is also a problem, thus we need to construct our water system and it is very costly and spirulina cultivation. We are still waiting for the turn-over from the MSU-Naawan. Hopefully, we can catch up with the financial requirement in coming up with the spirulina cultivation.” Industry (GreenPastures) Region 10 – RIIC</p>
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			<p>“In terms of challenges probably continuity. It's more on really a continuous effort in terms of the module collaboration with UPD that was good”</p> <p>Industry (Vistaland) HEI GIA UP Diliman</p>
<p>Permission to use</p> <p>Refers to allowing the partner industry to use the technology to generate new concepts that are attractive to the local and foreign market</p>	1	12.5	<p>“HEI73]: From the CVFIC perspective (a project with DOST), it assists the MSMEs in research on product development. We also allow them to use the equipment in the center to test their capability or do research so that the contract research with them will be able to generate new food concepts that are attractive not only at the local but at the foreign market. Assist the DOST in implementing the project, reviewing proposal, the academe uses the facilities.” HEI Region 7</p>

ANNEX A.2

ANNUAL IMPLEMENTATION PLAN TIMELINE CHART

TABLE A.2. IMPLEMENTATION PLAN TIMELINE (2020-2021)											
		2020					2021				
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
IR1 – Improved higher education capacity for innovation											
1.1	Growth of industry engagement mechanisms (Knowledge Technology Transfer Offices [KTTOs], Career Centers, and Professional Science Master’s [PSMs])	1.1.1 Create mentor’s guides for mechanisms									
		1.1.2 Grow and support mechanisms in local universities									
		1.2 Technical assistance to implementation of Philippine Association of State Universities and Colleges (PASUC) Platform for Innovating SUCs for Industry 4.0 (PISI)									
		1.3 Faculty and researcher training (Skills in Technical and Advanced Research Training [START] Center)									
		1.4 R&D grant for Widening Applications of Research within the Pandemic (WARP)									
IR2 – Improved regulatory environment for innovation											
2.1	Improved procurement policy/ legislation for research and development (R&D)	2.1.1 Institutionalization of R&D procurement policies in select higher education institutions (HEIs)									
		2.1.2 Support to government agencies to improve R&D procurement policies and legislation									
2.2	Improved HEI codes and policies on research incentives and extension	2.2.1 Support for policy improvements in research incentives and extension at select HEIs									
IR3 – Improved government capacity for innovation											
3.1	Philippine Government convergence efforts on innovation	3.1.1 Support for Department of Trade and Industry (DTI) Competitiveness and Innovation Group (CIG) toward capacity development, policy formulation, and program implementation									
		3.1.2 Technical input on government identified innovation trends									
3.2		3.2.1 Institutionalizing the RIIC initiative in the regions									

Regional Inclusive Innovation Centers (RIICs)	3.2.2 Mapping innovation stakeholders and initiatives in the RIICs
	3.2.3 Strengthening linkages of innovation stakeholders in the RIICs
	3.2.4 Aligning existing programs and facilities to industry needs in the RIICs
3.3 Technical assistance to Department of Science and Technology (DOST)	3.3.1 Technical assistance to DOST-funded research and startups
	3.3.2 Business process mapping and technical assistance to grant programs
	3.3.3 Technical assistance in communicating the outcomes of R&D
	3.3.4 Increasing industry engagement of DOST units or programs
3.4 Technical assistance to Commission on Higher Education (CHED) organizational assessment	

ANNEX B

LIST OF PARTICIPANTS

KEY INFORMANT INTERVIEWS

LIST OF KII RESPONDENTS AT NATIONAL LEVEL		
OFFICE	RESPONDENT	DESIGNATION
NEDA	Carlos Bernardo O. Abad Santos	Assistant Secretary, Policy and Planning Group
DOST	Rowena Cristina L. Guevara	Undersecretary for Research and Development
MSME	Dan C. Lachica	President, SEIPI
PASUC	Tirso A. Ronquillo	President
DTI	Rafaelita Aldaba	Undersecretary, Competitiveness and Innovation Group
CHED	Lily Freida C. Macabangon-Milla	OIC-Office of Executive Director
IPOPHL	Rowel Barba	Director General

LIST OF KII RESPONDENTS AT REGIONAL LEVEL		
OFFICE	RESPONDENT	DESIGNATION
NEDA-4A	Marcelo Cesar R. Palacio	Chief, Economic Development Specialist of Project Development and Budgeting Division
	Richard P. Engansa	Senior Economic Development Specialist
DOST-4A	Emerlita P. Bagsit	OIC-Regional Director
DTI-4A	Marilou Quinco-Toledo	Regional Director
DOST-7	Jesus F. Zamora Jr.	Regional Director
DTI-7	Maria Elena C. Arbon	Regional Director
NEDA	Mylah Faye Aurora B. Carino	Regional Director
DOST-10	Alfonso Alamban	Regional Director
DTI-10	Ermedio J. Abang	Regional Director
	Christy Gabia	Division Chief, Business Development Division
	Jill Maestre	Senior Trade and Industry Development Specialist
	Ruel Paclipan	Assistant Regional Director

LIST OF KII RESPONDENTS AT HIGHER EDUCATION AND INSITUATION LEVEL

OFFICE	RESPONDENT	DESIGNATION
UPLB	Jose V. Camacho Jr.	Chancellor
BatSU	Tirso A. Ronquillo	President
CITU	Bernard Nicolas E. Villamor	President
University of San Carlos	Danilo Largo	ITSO Manager and IP Manager
UP Cebu	Jason Nieva	Tech Transfer Officer, Patent Officer and Incubator Manager
MSU-IIT	Roberto Malaluan	Professor, College of Engineering and Technology
USTP	Ambrosio Cultura	President
	Engr. Bronson Mabulay	Vice Chancellor for Research Education
	Engr. Roijen Morcilla	Chairman of Electrical Engineering
	Lera Fay Cotiangco	Director, Career Center
XU	Fr. Mars Tan	President
	Roel Ravanera	Director, Xavier Science Foundation, Social Development Cluster
	Maria Rosario Mosqueda	Dean, College of Agriculture
	Maria Theresa Isla-Cabaraban	Asst. Professor, Chemical Engineering Department
TIP	Elizabeth Lahoz	President
	Cynthia Llanes	VP of Academic Affairs of the Quezon City Campus
	Rosalinda Valdepeñas	VP for Academic Affairs of the Manila Campus
UP Diliman	Magdaleno Vasquez Jr.	Assoc. Prof, Director TTBDO
	Ricky Nellas	Assoc. Dean for Research, Innovation, Development and Enterprise
DLSU	Raymond Girard R. Tan	Vice Chancellor for Research and Innovation

FOCUS GROUP DISCUSSION

GOVERNMENT-INDUSTRY-ACADEME (GIA)

LIST OF FGD PARTICIPANTS (XAVIER UNIVERSITY)		
OFFICE	NAME	POSITION
Xavier University	Maria Rosario Mosqueda	Dean, College of Agriculture
Monde Nissin Corporation	Welly Toha	Materials Manager
Santiago Miki Fresh Factory	Eulie Teope	Proprietor/ Owner
Xavier University	Mark Alexis O. Sabines	Assistant Professor, College of Engineering

LIST OF FGD PARTICIPANTS (UNIVERSITY OF THE PHILIPPINES LOS BAÑOS)		
OFFICE	NAME	POSITION
UPLB	Joy B. Banayo	University Researcher I, College of Agriculture and Food Science
UPLB	Agapita J. Salces	Associate Professor, College of Agriculture and Food Science
ACDI Multi-Purpose Cooperative	Lorenzo R. Sumicad	Chairman
ACDI Multi-Purpose Cooperative	Ethyl Cohay	Marketing Officer
Provincial Government of Siquijor	Bernardita Tabada	Provincial Veterinarian

LIST OF FGD PARTICIPANTS (DE LA SALLE UNIVERSITY)		
OFFICE	NAME	POSITION
DLSU	Nilo Bugtai	Professor of Manufacturing Engineering and Management
DLSU	Emilina Sarreal	Dean of Ramon V. del Rosario College of Business
DTI Cam Sur	Jay Percival Ablan	Business Development Division Chief
CSCCI	Annabelle Tuy	Executive Director
PhilipiLI	Grace D. Tordilla	Executive Director
PhilExport R5, Owner, Shelmed Cottage Treasures	Med Villanueva	President

LIST OF FGD PARTICIPANTS (UNIVERSITY OF THE PHILIPPINES DILIMAN)		
OFFICE	NAME	POSITION
Integrated Micro-Electronics, Inc	Sherwin C. Nones	Head of Strategic Planning and Marketing
Vista Land and Lifescapes, Inc	Sandra Caagbay-Oabel	Corporate Planning Officer
Vista Land and Lifescapes, Inc	Cecille H. Bernardo	Head of Procurement
Chamber of Furniture Industries of the Philippines	Salvio L. Valenzuela Jr.	Executive Director
TTBDO, UPD	Luis Sison	Director of UP Technology Transfer and Business Development Office (TTBDO)
PCIEERD	Christian Zamora	Science Research Specialist II

RITT-DOST	Jejomar Carlos	Science Research Specialist II
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LIST OF FGD PARTICIPANTS (CEBU INSTITUTE OF TECHNOLOGY UNIVERSITY)		
OFFICE	NAME	POSITION
DOST 7	Elvie Cenita	Science Research Specialist
CITU	Alexander Franco Delantar	Dean, School of Business and Economics
CITU	Alein Navares	Assistant Head, Research and Development Coordinating Office (RDCO)
CITU	Rachel M. Chong	Head, RDCO
CITU	Concordia C. Bacalso	Head, Networking and Linkages Office
CITU	Ralph Leviste	Manager, Wildcat Innovation Lab
DTI	Joenero Bollozos	OIC Division Chief
Eco Hub Cebu	Mary Rose Arnejo	Proprietor/ Owner
Cebu Chamber of Commerce and Industry	Felix Taguiam	President
Cebu Chamber of Commerce and Industry	May Elizabeth Ybanez	Executive Secretary
DOST 7	Kint Joniceld Lawrence Q. Arcenal	Science Research Assistant
DOST 7	Ethel Clemena	Science Research Specialist

REGIONAL INCLUSIVE INNOVATION CENTERS

LIST OF FGD PARTICIPANTS (REGION 3)		
OFFICE	NAME	POSITION
AUF	Mylene S. Calibjo	Director of Center for Data Analytics
Provincial Science and Technology	Mary Michelle M. Quiambao	Director, Provincial Science and Technology
BSU	Erwin DR. Magsakay	Department Head, Mechatronics Engineering Department
BSU	Zedrick T. Farrin	SCAD Network Center Unit Head
Regional Government Center	Maria Teresita M. Semana	OIC Director
CHED	John Wesley Calagui	Education Supervisor II
DOST PSTC	Gina Tantoco	Senior Research Specialist II
DTI	Maria Cristina V. Valenzuela	OIC Division Chief
Bulacan Chamber of Commerce and Industry	Aries Cruz	Vice President for Innovation

LIST OF FGD PARTICIPANTS (REGION 4-A)		
OFFICE	NAME	POSITION
Batangas State University	Albertson D. Amante	Vice President Research and Development
DTI	Christine G. Querubin	Supervising Trade Industry Development Specialist

Farmers Bazaar Fintech Philippines Inc	Crisanto S. Gualberto II	Chairman of the Board of Directors
Philippine Chamber of Commerce and Industry - Lipa Chapter	Faustino G. Caedo	Chairman of the Board
DOST Batangas	Felina Malabanan	Provincial Director

LIST OF FGD PARTICIPANTS (REGION 10)

OFFICE	NAME	POSITION
Oro Chamber of Commerce CDO City	Ruben Vegafria	President
Green Pastures Corporation CDO City	Rey Paraguya	Chief Executive Officer
MSU-IIT	Ferdinand Jamil	Professor, College of Science and Mathematics
MSU-IIT	Jinky B. Bornaes	Vice Chancellor for Research and Extension
Xavier University	Therese Rhea Rose Mañacap Baliwag	Project Officer, institutional Societal Engagement
DTI R10	Maricris I. Gabia	Division Chief of Business Development Division
DTI R10	Jill E. Maestre	Senior Trade and Industry Development Specialist
OROBEST Innovation	Queritess Q. Queja	Program Director
USTP	Bronson Mabulay	Director, Innovation and Technology Solutions
Founder and Chief Executive Officer	Lolita Cabanlet	Proprietor

LIST OF FGD PARTICIPANTS (REGION 11)

OFFICE	NAME	POSITION
DTI 11	Arriel N. Nengasca	Industry Development Division Chief
Davao City	Pilar Braga	City Councilor
Davao Chamber of Commerce and Industry	Anna Loren Gingco	Media Liaison Officer, Marketing Lead
Ateneo de Davao University	Cleofe Arib	Director, Center for Business Research and Extension
Healthy Sweets Mindanao Corporation	Betty More	President and Chief Executive Officer
CHED R11	Christopher Pio O. Pulido	Supervising Education Program Specialist
DTI R11	Joffreylle Marie B. Opiano	Trade and Industry Development Specialist

CASE STUDY

LIST OF RESPONDENTS ON CASE STUDY

OFFICE	RESPONDENT	DESIGNATION
DOST R11	Anthony Sales	Regional Director
DOST R3	Julis Caesar Sicut	Regional Director
DTI R3	Leonila T. Baluyut	Regional Director
DTI R11	Maria Belenda Q. Ambi	Regional Director

NEDA R3	Gina T. Gacusan	Regional Director
NEDA R11	Maria Lourdes D. Lim	Regional Director

ANNEX C

SURVEY RESULTS HEIS RDIS

RESPONSE RATE: 56%

C.1 DEMOGRAPHIC CHARACTERISTICS

There were 70 scholars and grantees who are eligible and completed the online survey questionnaire out of the 126 population of scholars and grantees.

Among the respondents, 53% are males and the average age is 46 years. Respondents are highly educated, with about 88% having an MS and PhD degrees, of which about half have PhD degrees. Two female respondents have post docs. Most responses came from NCR, followed by the Region IV-A and Regions 7 and 10. All of these regions were samples in this evaluation study.

C.2 PARTICIPATION IN STRIDE PHASE 2

Out of the 70 sample respondents, 57 or 81% were participants in the STRIDE interventions, during its Phase 2, (2018 up to present), the focus of this evaluation. Out of those who participated (57 respondents), 65% said that their institutions participated in the development of Skills in Technical and Advance Research Training (START) modules and 26% participated in USG-supported program to increase knowledge in research and development. The nature of participation in the latter are Marketing the PSM program, Training in Career Center Development and Coaching, and USAID STRIDE Graduate Scholarship, Learning and Awareness for Renewable Energy (Bioethanol) Innovation Workshop, and writing proposal to the WARP Grant.

During the Phase 2, 35% of those who participated in STRIDE activities developed materials for Professional Science Masters (PSM) Curriculum and 52% participated in Knowledge Technology Transfer Office (KTTO) training. Subsequent activities organized by those who participated in the KTTO training included establishment of KTTO, IP and Technology Transfer Awareness Campaign, development of the KTT Policy, and establishment of Technology Business Incubator (TBI), among others (Table C.6).

Among the 57 respondents, 30% applied for research grants under STRIDE within 2018-2021, where 76% of which had at least one proposal that was approved. Twenty six percent of the 57 respondents completed at least one research from 2018-2021, that was funded by STRIDE.

C.3 CAPACITY TO INNOVATE

All 70 respondents answered the capacity to innovate questions. In terms of product innovation for goods, 27% said that they have produced equipment, 33% had journal publications and 17 % produced software applications. While these numbers are low, they still reveal that there is an emerging level of capacity to innovate among the STRIDE grantees. Other products also included Training, Workshop, Seminars and Capacity Building activities, Career Center, Training Modules, and

Reference Books, among others (Table C.10). One has to be aware of the complete attribution of STRIDE grant especially in writing books as this activity takes time and it was also mentioned that sampled institutions have other sources of funds. For the product innovation(goods), 34% of respondents said that only the institution developed these, while 33% said that these were developed in partnership with the other organizations.

Another type of product innovation is service. These are in the form of Professional Science Master (PSM) Curriculum, Knowledge Technology Transfer Office (KTTO), and Career Centers. Out of the 70 respondents, 29% developed the PSM curriculum during the STRIDE's second phase, 51% established the KTTO, while 40% established Career Centers. Thirty three percent said that they developed these service innovations by themselves, while 51% developed these in partnership with other organizations. Thirty four percent of respondents said that the developed goods and services innovations in Phase 2 were new to their discipline, while 30% said that these are new to the institution.

C.4 RANKING OF STRIDE INTERVENTIONS

All respondents were asked to rank the impact of the STRIDE interventions to them in terms of: 1) Technical assistance and its various forms, 2) Strengthening links between innovation stakeholders, 3) Policy improvements and 4) Institutionalization of STRIDE capacity building programs. For these HEI respondents, technical assistance and its various forms ranked first, followed by strengthening links. Policy improvements and institutionalization of STRIDE capacity building programs have close scores to tie in third place.

C.5 SUMMARY

1. Most STRIDE grantees are in their mid-career, have high levels of education and the distribution is gender balanced. These demographics maybe biased as the respondents come from highly urbanized areas.
2. The participation of the grantees during the Phase 2 came mostly in terms of service innovations: PSM curricular development, KTTO, and career centers. A high number participated in the development of Skills in Technical and Advance Research Training (START) modules. START is planned as a training arm to sustain the gains of STRIDE among the HEIs. Respondents also applied for and had approved research grants and completed at least one research during the second phase.
3. Some evidence to show that respondents have improved levels of innovation capacity include production of goods such as equipment, journal publications and software applications. Service innovations were in the form of the PSM, KTTO and Career Centers. While some developed these innovations only by themselves, more have developed these together with other organizations. Most said that these innovations were new to their discipline and new to the institutions, as well.
4. Among the STRIDE interventions, technical assistance and its various forms had the greatest impact, while strengthening links came in second.

ATTACHMENT: SURVEY RESULTS TABLES AND FIGURES:

Response rate = contact rate x cooperation rate

Response Rate = 55.56%

Contact Rate = (Completes + Partials + Refusals + Other) / (Completes + Partials + Refusals + Other + Non-contact)

Contact Rate = 63.49%

Cooperation rate = Completes / (Completes + Partials + Refusals + Others)

Cooperation Rate = 87.50%

Table C.1. Response rate			
Classification		Count	Percent
Eligible	Completes	70	55.56
Ineligible	Refusal	10	7.94
Failed Delivery (Wrong Email Address)	Non-Contact	2	1.59
Non-response		44	34.92
Total		126	100

I. DEMOGRAPHIC PROFILE

Table C.2. Distribution of respondent's demographic profile			
Demographic Profile	Responses	Count	Percent (n=70)
Age Group	25 to 40	18	25.71
	41 to 50	33	47.14
	51 to 60	12	17.14
	61 to 65	6	8.57
	>65	1	1.43
	Total	70	100
	<i>Average</i>		<i>45.91</i>
Sex at Birth	Male	37	52.86
	Female	33	47.14
	Total	70	100
Highest Educational Attainment	BS	5	7.14
	MA/MS	29	41.43
	PhD	33	47.14
	Post Doc	2	2.86
	No response	1	1.43
	Total	70	100
Region	Cordillera Administrative Region	5	7.14
	National Capital Region	21	30.00
	Region I	2	2.86

Region III	4	5.71
Region IV-A	11	15.71
Region IV-B	2	2.86
Region IX	2	2.86
Region V	1	1.43
Region VI	7	10.00
Region VII	3	4.29
Region VIII	2	2.86
Region X	7	10.00
Region XI	3	4.29
Total	70	100

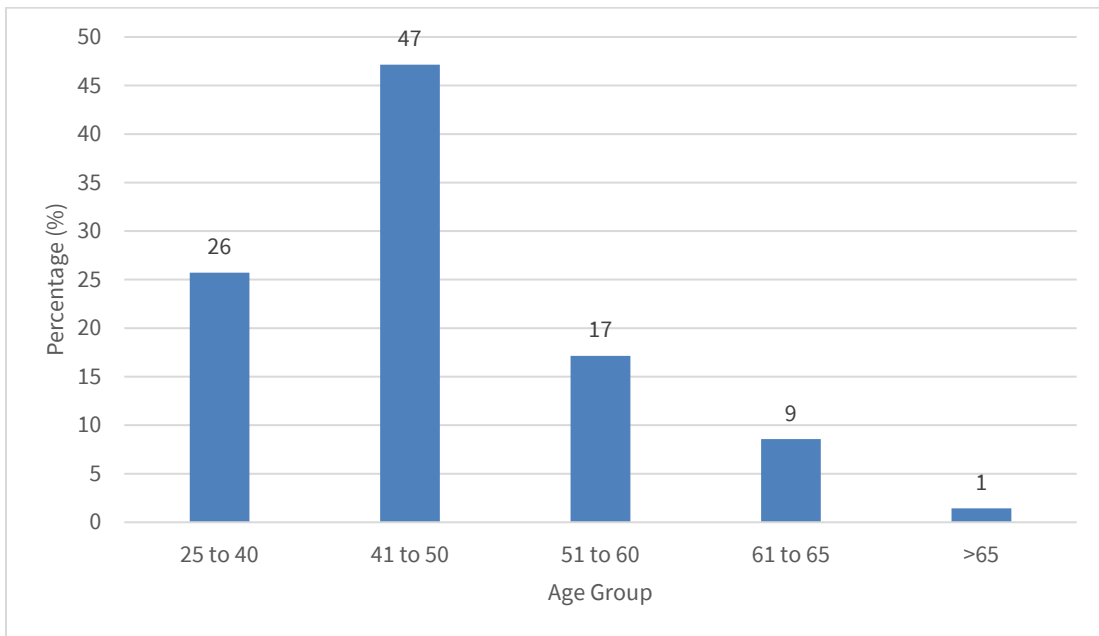


Figure C.1. Distribution of respondent's age group (in percent)

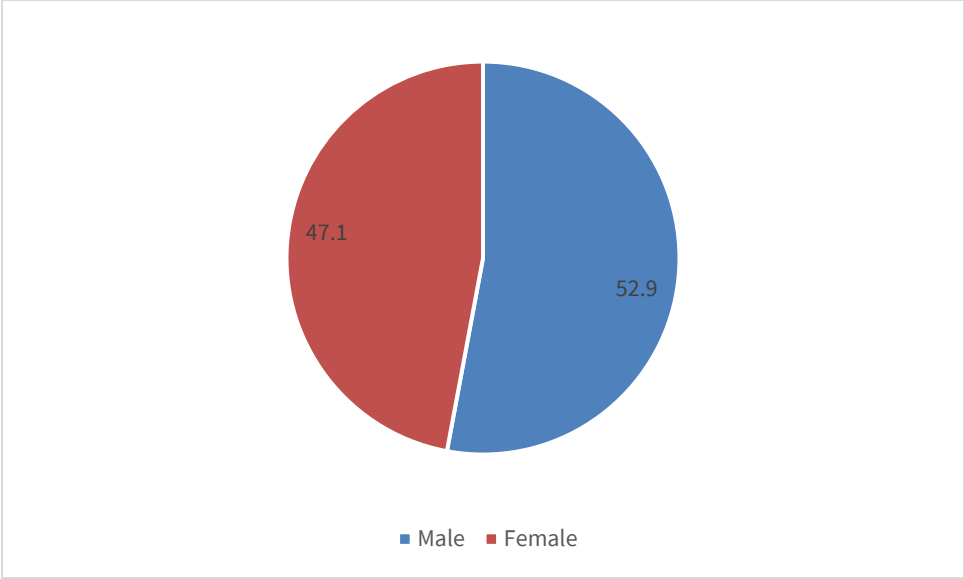


Figure C.2. Distribution of respondent's sex at birth (in percent)

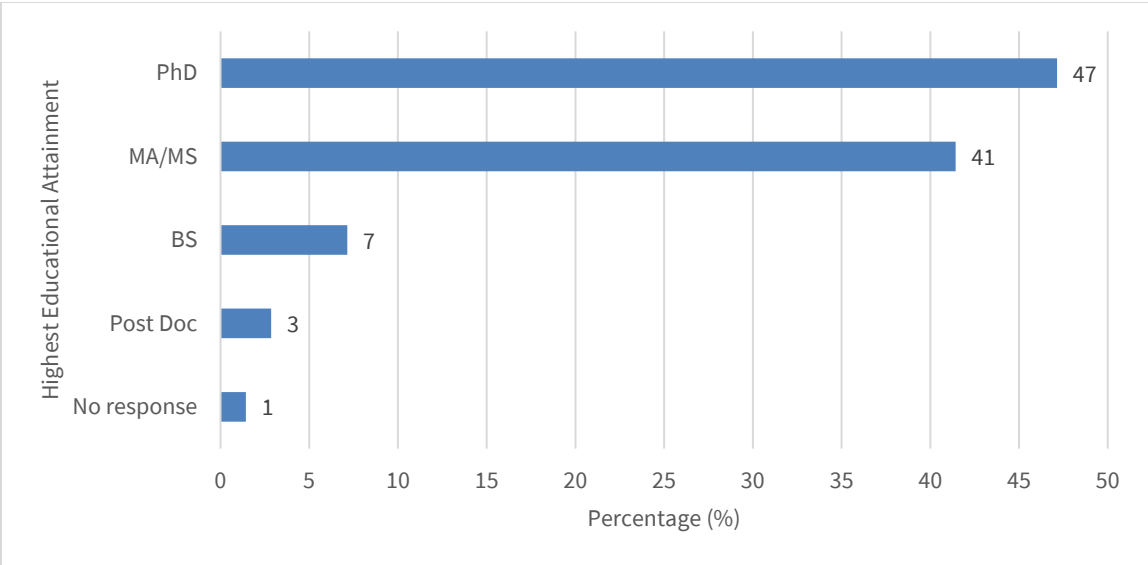


Figure C.3. Distribution of respondent's highest educational attainment (in percent)

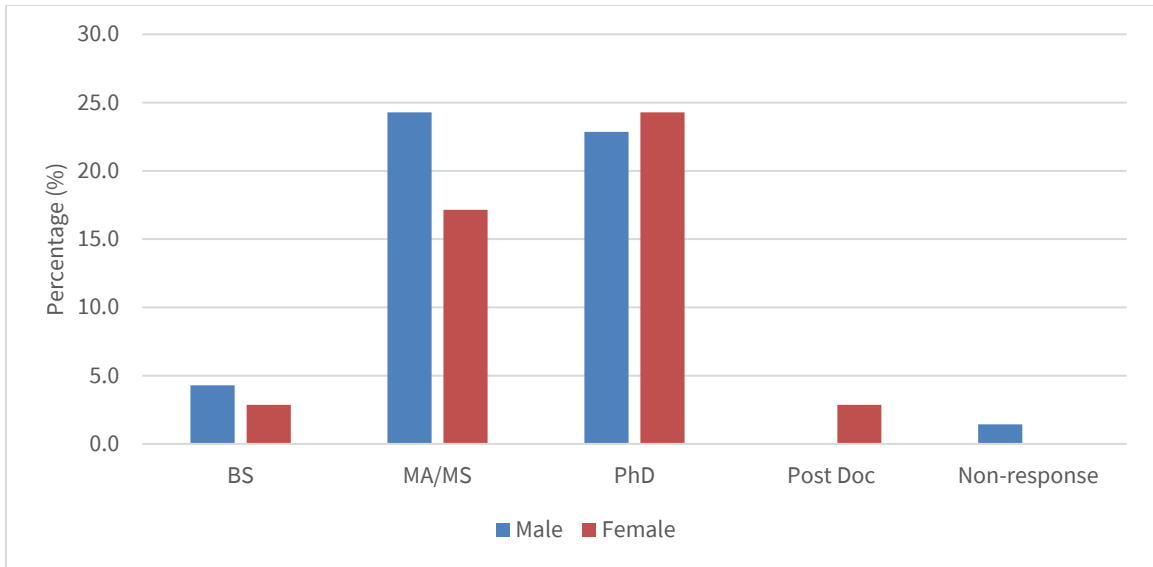


Figure C.4. Distribution of respondent's highest educational attainment by sex at birth (in percent)

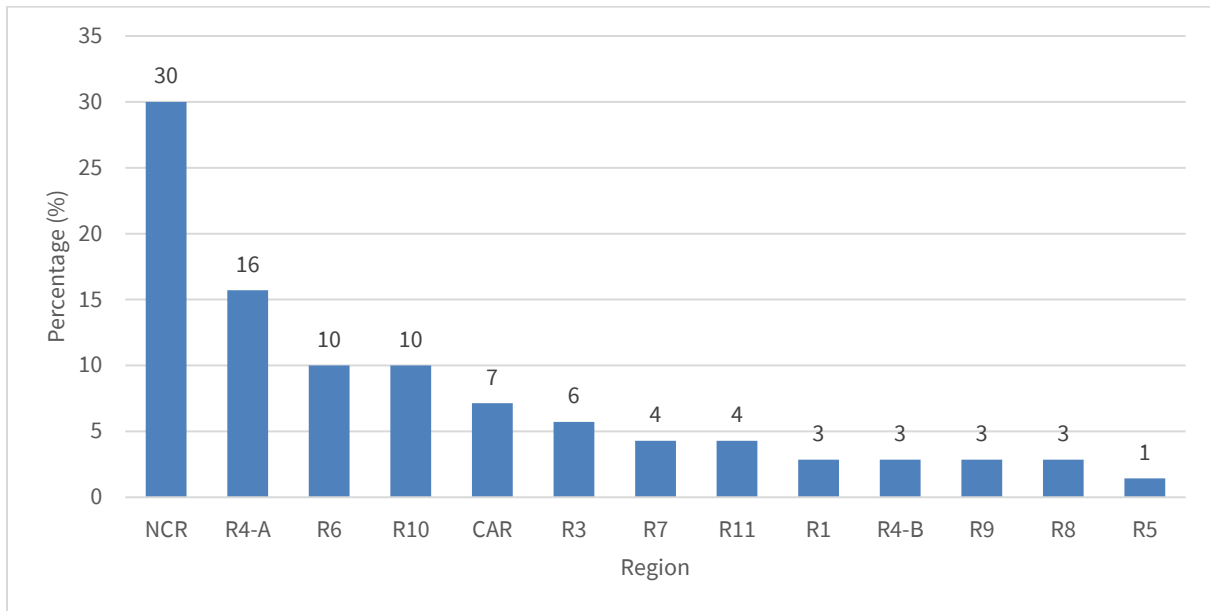


Figure C.5. Distribution of respondent's region (in percent)

Table C.3. Distribution of respondent being part of the Science Technology Research and Innovation Development (STRIDE) interventions of USAID

Response	Count	Percent (n=70)
Yes	57	81.43
No	8	11.43
I am not aware	4	5.71
Retired since April 2016	1	1.43

Table C.4. Distribution of respondent based on STRIDE interventions in Phase 2

General Information	Response	Count	Percent (n=57)
Skills in Technical and Advance Research Training (START) modules	Yes	37	64.91
	No	9	15.79
	I have no idea	11	19.30
Research & Development (R&D) knowledge	Yes	15	26.3
	No	14	24.6
	I have no idea	17	29.8
	No response	11	19.3
Professional Science Masters (PSM) Curriculum	Yes	20	35.1
	No	23	40.4
	I have no idea	14	24.6
Knowledge Technology Transfer Office (KTTO) Training	Yes	30	52.6
	No	15	26.3
	I have no idea	12	21.1
Research Grants Applications	Yes	17	29.8
	No	18	31.6
	I have no idea	22	38.6

Table C.5. Distribution of respondent to specific USG-supported program based on R&D knowledge

Response	Count	Percent (n=15)
Marketing the PSM program campaign	1	6.7
Training in Career Center Development and Coaching	1	6.7
USAID STRIDE (Graduate Scholarship, Learning and Awareness for Renewable Energy (Bioethanol) Innovation Workshop, WARP Grant)	4	26.7
Not Applicable	9	60.0
None	2	13.3
I have no idea	1	6.7

Table C.6. Distribution of respondent to activities organized by their institution as a result of the KTTO training

Response*	Count	Percent (n=30)
Establishment of KTTO	12	40.0
IP and Technology Transfer Awareness Campaign	10	33.3
Development of the KTT Policy	4	13.3
Establishment of TBI	2	6.7
Facilitation of Licensing Agreements	1	3.3
Conducted an Invention Disclosure Writeshop, Customer discovery session, Ideation workshop, Sessions for patent search, drafting and filing an IP application	2	6.7
Innovation Convergence	2	6.7
Establishment of partnership with the industry	2	6.7
Collaboration with researchers	1	3.3
KTTO-IMPACT Grant	2	6.7
Developed own Diploma Course on IP Management	1	3.3

*Multiple Response

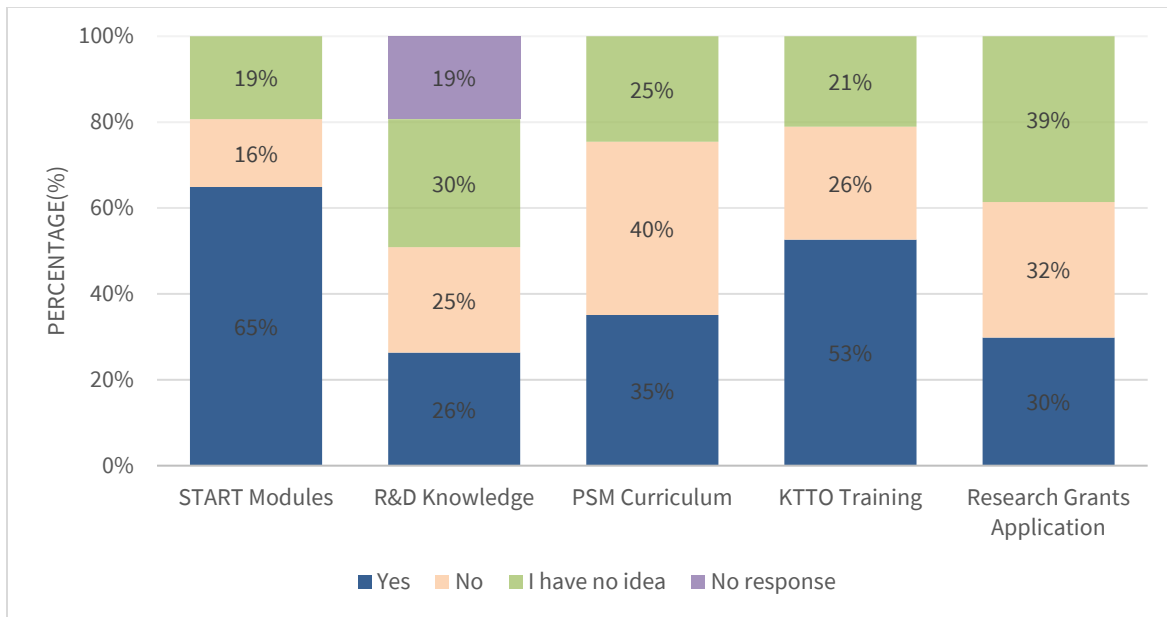


Figure C.6. STRIDE interventions in Phase 2, based on grantee assessment.

Table C.7. Distribution of respondent to number of research grant approved from 2018-2021

Number of Research Grant	Count	Percent (n=17)
One	8	47.1
More than 1	5	29.4
I have no idea	2	11.8
None	2	11.8

Table C.8. Distribution of respondent to the number of completed research funded by STRIDE from 2018-2021

Number of completed research	Count	Percent (n=57)
None	13	22.8
One	9	15.8
More than one	6	10.5
I have no idea	14	24.6
Not Applicable	15	26.3

II. PRODUCT INNOVATION [GOODS]

Table C.9. Distribution of respondent's product innovation [goods]

Product Innovation [Goods]	Response	Count	Percent (n=70)
Equipment	Yes	19	27.14
	No	26	37.14
	I have no idea	25	35.71
	Total	70	100.0
Journal Publications	Yes	23	32.86
	No	25	35.71
	I have no idea	22	31.43
	Total	70	100.0
Software Applications	Yes	12	17.14
	No	33	47.14
	I have no idea	25	35.71
	Total	70	100.0

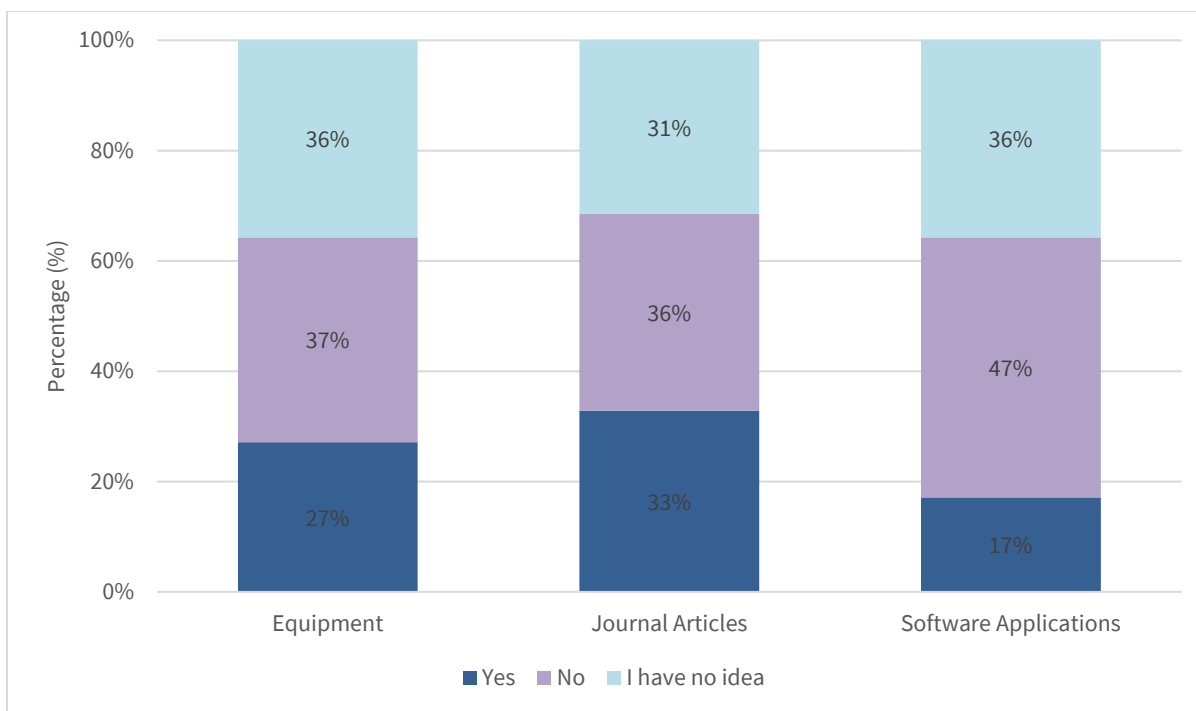


Figure C.7. Product Innovation (goods), by grantees

Table C.10. Distribution of respondent's other product innovation [goods]		
Other Product Innovation	Count	Percent (n=70)
Training, Workshop, Seminars and Capacity Building	7	10.0
Career Center	3	4.3
Training Modules	1	1.4
Reference Books	1	1.4
KTTO	1	1.4
PASCO	1	1.4
Patents	1	1.4
Application Research	1	1.4
Analysis of Compounds	1	1.4
Health and Forensic Applications	1	1.4
Laboratory Enhancement	1	1.4
Washing area, temperature check and other health and safety measures and protocols	1	1.4
Project by Students for the Industries	1	1.4
None	11	15.7
I have no Idea	10	14.3
Not Applicable	28	40.0

Table C.11. Distribution of respondent's development of product innovation [goods]		
Response	Count	Percent (n=70)
Your institution by itself	24	34.29
Your institution together with other organizations	23	32.86
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	5	7.14
Other institutions or organizations	18	25.71

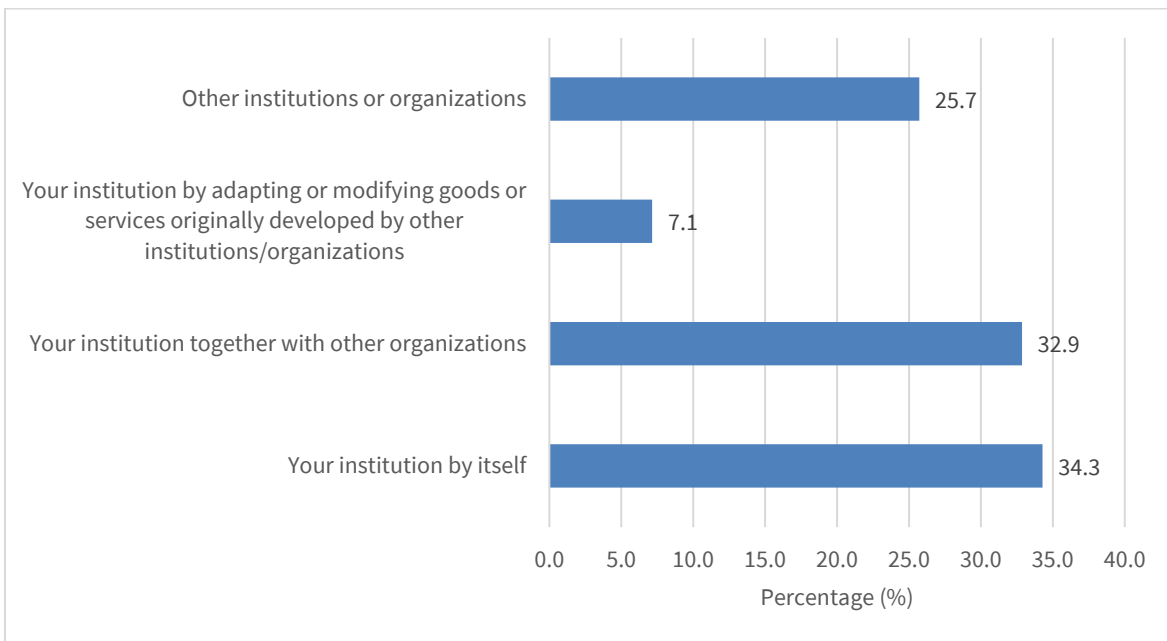


Figure C.8. Distribution of respondent's development of product innovation [goods] (in percent)

III. PRODUCT INNOVATION [SERVICE]

Table C.12. Distribution of respondent's product innovation [service] (in percent)			
Product Innovation [Service]	Response	Count	Percent (n=70)
Professional Science Master (PSM) Curriculum	Yes	20	28.57
	No	29	41.43
	I have no idea	21	30.00
	Total	70	100.0
Knowledge Technology Transfer Office (KTTO)	Yes	36	51.43
	No	17	24.29
	I have no idea	17	24.29
	Total	70	100.0
Career Centers	Yes	28	40.00
	No	18	25.71
	I have no idea	24	34.29
	Total	70	100.0

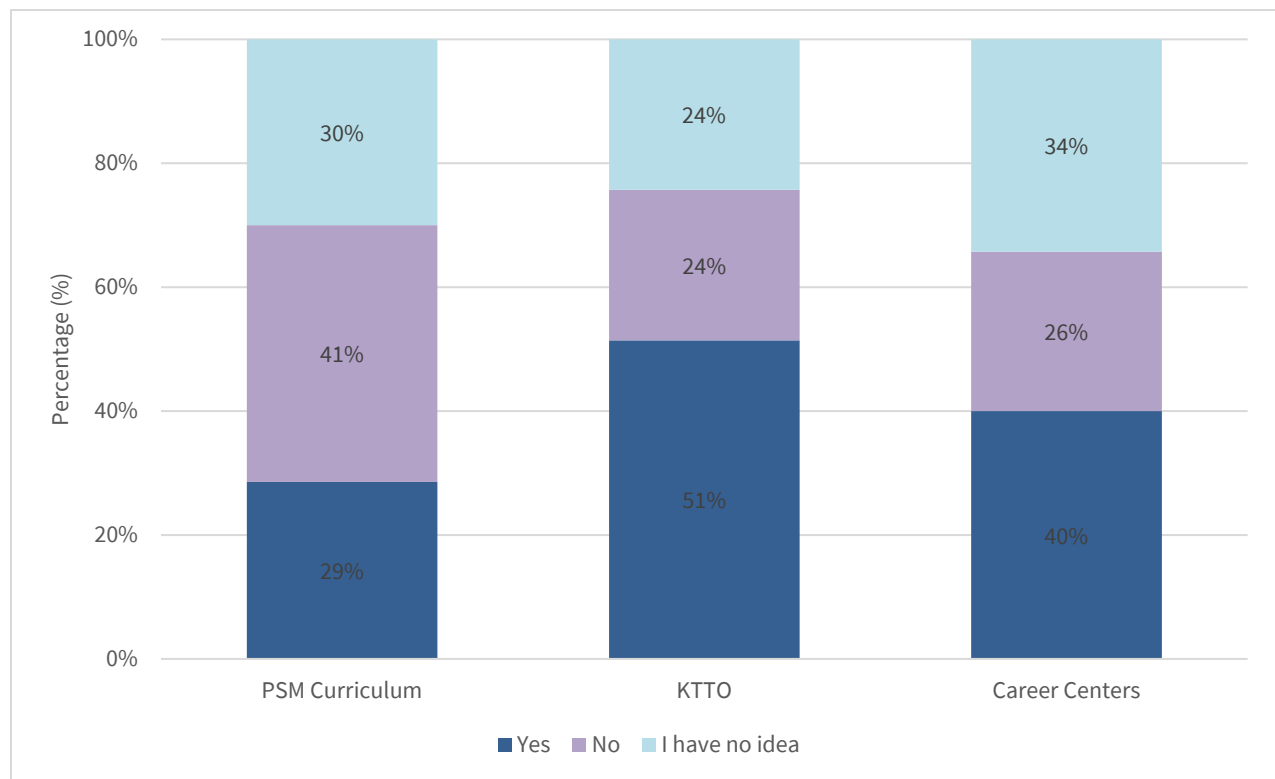


Figure C.9. Product Innovation (Services), by grantees

Table C.13. Distribution of respondent's development of service innovation (in percent)			
	Response	Count	Percent (n=70)
	Your institution by itself	23	32.86
	Your institution together with other organizations	36	51.43
	Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	11	15.71

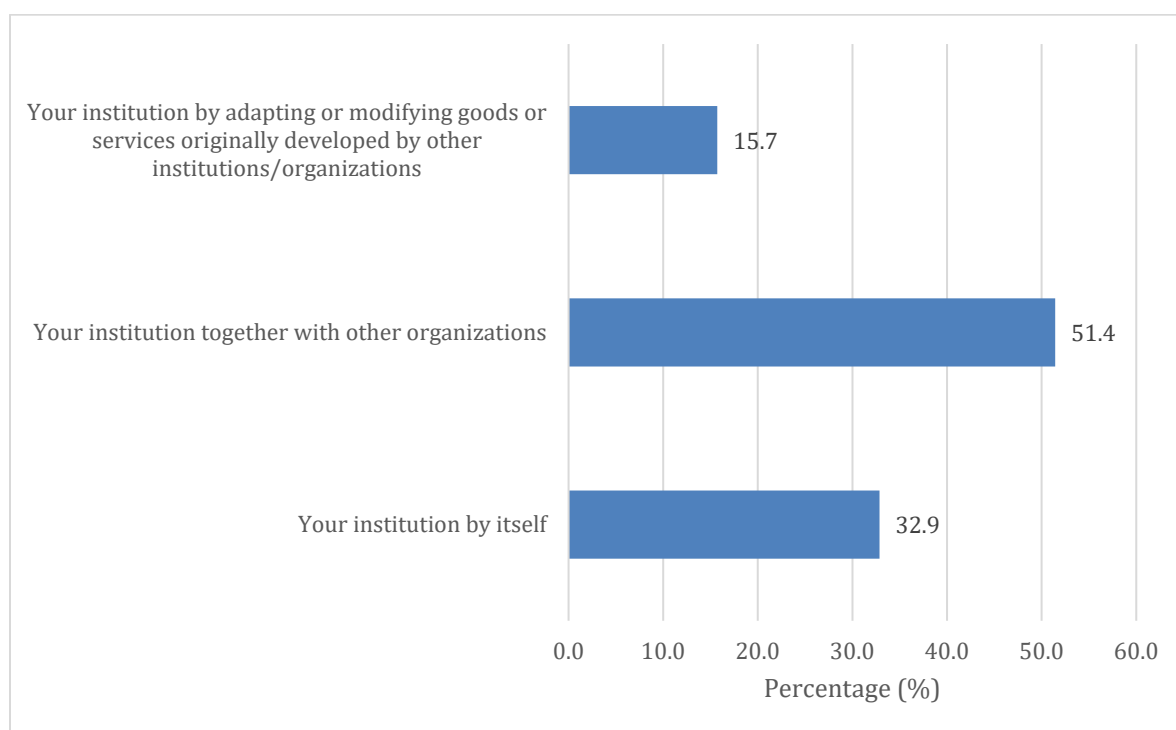


Figure C.10. Distribution of respondent's development of service innovation (in percent)

Table C.14. Distribution of respondent's development of product innovation [goods or services]			
Product Innovation [Goods/Services]	Response	Count	Percent (n=70)
New to Discipline	Yes	24	34.29
	No	27	38.57
	I have no idea	19	27.14
	Total	70	100.0
New to Institution	Yes	21	30.00
	No	28	40.00
	I have no idea	21	30.00
	Total	70	100.0

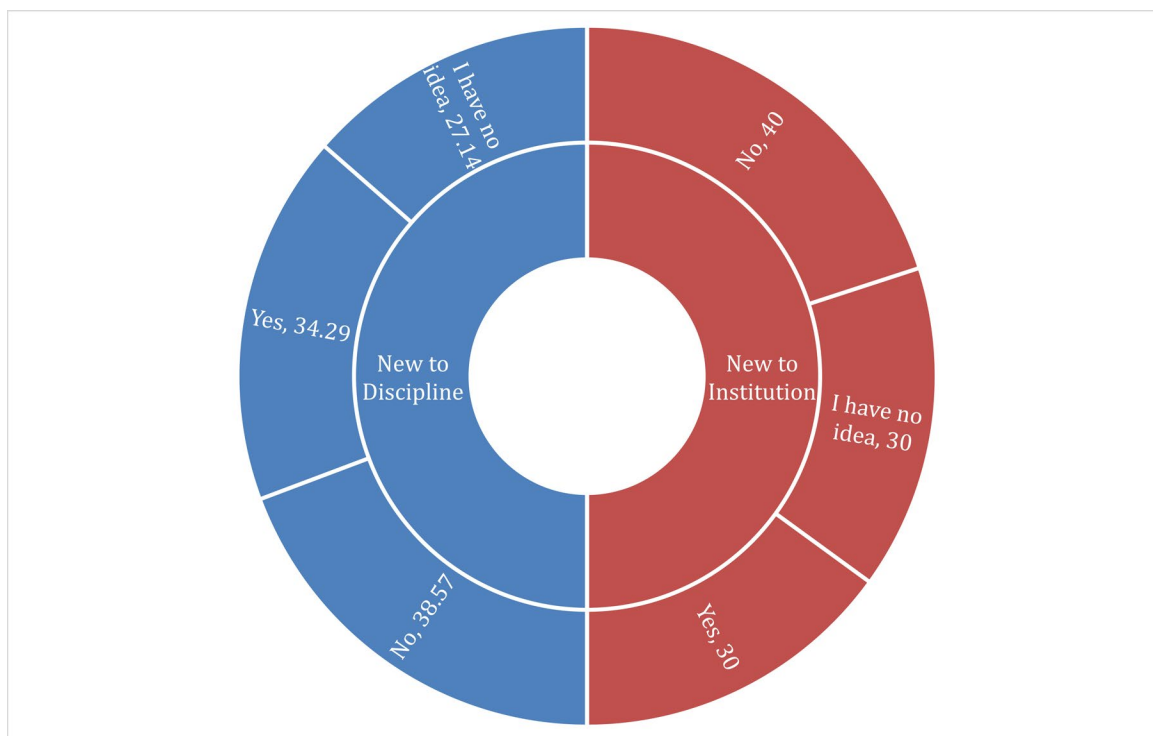


Figure C.11 Distribution of respondent's development of product innovation [goods or services] (in percent)

IV. Rank Interventions

Table C.15. Distribution of respondents on ranking different interventions that contributed more to the improved capacity to innovate (in percent)

Interventions	Response	Count	Percent (n=70)
Technical assistance and its various forms	Rank 1	23	32.86
	Rank 2	10	14.29
	Rank 3	15	21.43
	Rank 4	16	22.86
	No Response	6	8.57
	Total	70	100.0
Strengthening links between innovation stakeholders	Rank 1	18	25.71
	Rank 2	14	20.00
	Rank 3	16	22.86
	Rank 4	17	24.29
	No Response	5	7.14
	Total	70	100.0
Policy improvements	Rank 1	12	17.14
	Rank 2	16	22.86
	Rank 3	16	22.86
	Rank 4	21	30.00
	No Response	5	7.14
	Total	70	100.0
	Rank 1	12	17.14

Institutionalization of STRIDE capacity building programs	Rank 2	11	15.71
	Rank 3	24	34.29
	Rank 4	18	25.71
	No Response	5	7.14
	Total	70	100.0

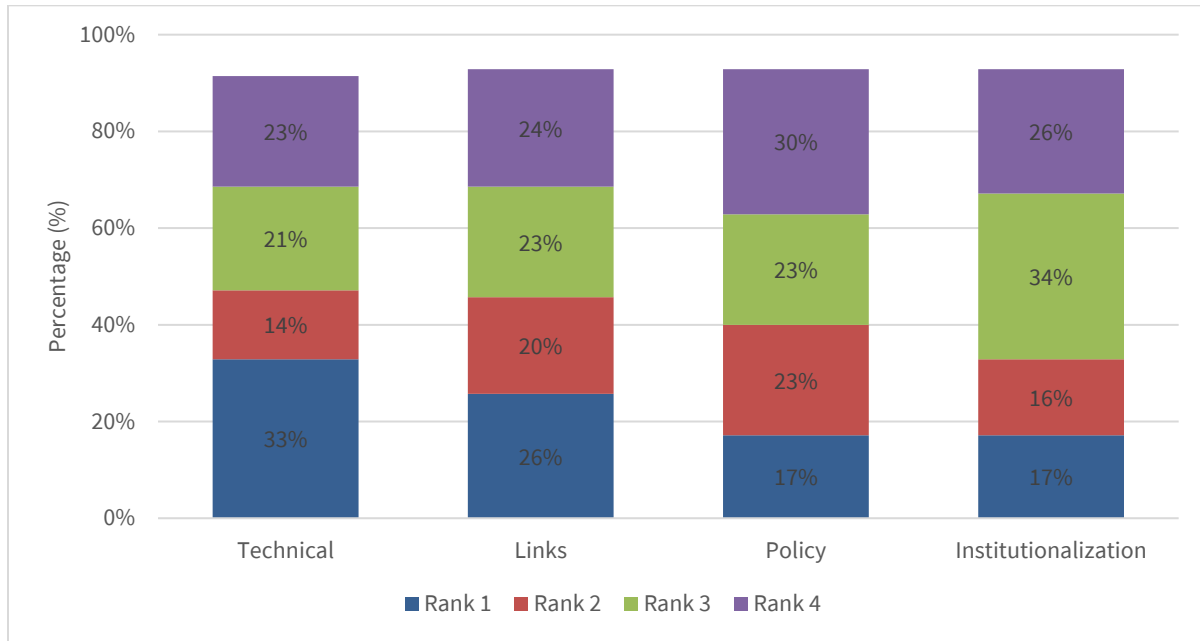


Figure C.12. Distribution of respondent's rating on STRIDE strategies (Integrated)

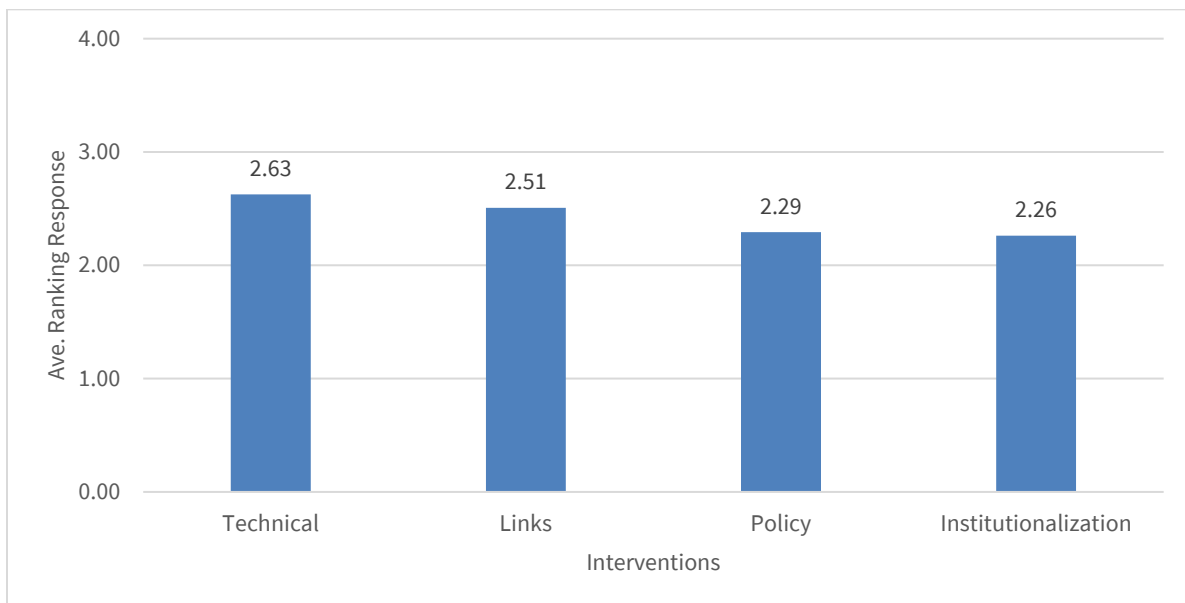


Figure C.13. Average ranking response on STRIDE strategies at different level of analysis

ANNEX D

SURVEY RESULTS RIIC GIA

D.1 DEMOGRAPHIC CHARACTERISTICS

There were 63 participants in the FGD done in the four sample regions. The FGDs were grouped into two: 1) for the RIIC group and 2) for the Government-Industry-Academe linkage. However, only 22 responded to the online survey, with a 50-50 distribution of respondents between the two groups. Most online respondents came from government.

Most respondents are males, with either a BS or MS degree, and most are from region 11.

D.2 PRODUCT INNOVATION [GOODS]

There are 3 product innovations (goods) reported: equipment, journal publications and software applications. Respectively, 32%, 27% and 32% of respondents have reported that they produce the product innovation (goods) listed above. There were other product innovation (goods) reported: capacity building tools, project proposal submission, protocols, guidebook and the like (Table D.5). Respondents were asked who developed the product innovation. Fourteen percent said it's the institution itself, 41 % said together with other organizations, and another 41% said these were from other institutions/organizations (Table D.5).

D.3 PRODUCT INNOVATION [SERVICE]

Three product innovations (service) were introduced to the respondents: 1) Professional Science Master (PSM) Curriculum, 2) Knowledge Technology Transfer Office (KTTO), and 3) Career Centers. Twenty seven percent of the respondents said they developed a PSM curriculum, 45.5% have KTTOs and 22.7% have career centers. When asked who developed the product innovation (service), 14% said the institution by itself, 68% together with other organizations, and 18% by adapting or modifying services originally developed by other institutions/organizations. Sixty four percent said that the product is new to the discipline, while 50% said it is new to the institution.

D.4 PROCESS INNOVATION

There are three types of process innovation: 1) Improved methods of manufacturing, 2) Improved logistics, delivery or distribution methods, and 3) Improved supporting activities for processes. Fifty four percent have improved methods of manufacturing, 32 % had improved logistics, delivery or distribution methods, and 32% had improved supporting activities for processes. On whom developed the process innovation, 14% said the institution itself, 32% together with other organizations, and 50% developed by other organizations (Table D11).

D.5 ACTIVITIES AND EXPENDITURES FOR PRODUCT AND PROCESS INNOVATIONS

R&D Activities and expenditures for product and process innovations are in-house activities, according to 54% of the respondents; and from external sources according to 41%. In terms of acquisition activities and expenditures for product and process innovations, 41% said they acquire advanced machinery, equipment, software and buildings, while 23% said they acquire existing know-how, copyrighted works, patented and non-patented inventions (Table D.13). Respondents also have in-house or contract out activities and expenditures for product and process innovations (Table D.14). Fifty nine percent carry out in-house/contracted out training for personnel, 45% carry out in-house/contracted out activities for the market introduction, while 45% carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services.

D.6 PUBLIC FINANCIAL SUPPORT FOR INNOVATION ACTIVITIES

There are two sources of public financial support for innovation activities: local or regional authorities tapped by 36% and central government tapped by 54% (Table D15).

D.7 COOPERATION FOR PRODUCT AND PROCESS INNOVATION ACTIVITIES

Eighty six percent of the respondent institutions co-operate on any of innovation activities with other institution or organizations NOT related to Project STRIDE. Forty five percent is coming from the GIA, while 41% is coming from the RIIC (Table D16).

D.8 TYPE OF INNOVATION COOPERATION PARTNER

Our respondents have different types of innovation cooperation partners. Seventy seven percent of the respondents said that they have cooperation partners in the Philippines, for other institution within their institution group; 54% said that they get suppliers of equipment, materials, components, or software here in the Philippines, while 23% get these from other countries (Table D17). Ninety five percent have clients or customers from the private sector here in the Philippines, 82% have clients or customers from the public sector, 50% of competitors or other enterprises in the respondent's sector is from the Philippines, 77% of the consultants or commercial laboratories hired is from the Philippines, 86 % of the respondents' partners are from universities or other higher education institutes in the Philippines, and also 86% of the respondents' partners are from Government, public or private research institutes in the Philippines (Table D.17). Data is showing that the innovation partners of the respondents were mostly coming from the Philippines. Asked who is the most valuable cooperation partner of their institution's innovation activities, 27% said HEI, 54% said government agency, 27% said the private sector/industry, while 13% said Research Partnership with R&D Background. As for the respondent's reason of the most valuable cooperation partner to their institution's innovation activities, 50% said expertise, 32% said Network/Partnership/Linkages, while only 14% mentioned funding as a reason for partnership (Table D18.b).

D.9 REGULATORY ENVIRONMENT FOR INNOVATION

Respondents were asked of their assessment about the improvement in the regulatory environment for innovation in their institution. Table D.19 summarizes the results. The highest affirmative answer was the New laboratories, institutions, and training programs (64%), followed by Improved scientific workforce (people services), (54%) and Science-based guidelines (50%). Lagging behind are Improved approval for utility model (27%), Improved application for utility model (31%) and Improved approval

for IP patent (31%) and improved procurement policy (31%). These findings seem to support the qualitative data that commercialization activities still need more support. The findings reveal the strength of the research intervention and its effects.

D.10 INTELLECTUAL PROPERTY RIGHTS AND LICENSING

Respondents were also asked about their activities regarding Intellectual Property Rights and Licensing. For the past three years, only 27% of the total online respondents have applied for patent, 9% or two people registered an industrial design right, 22% Registered a trademark, also 9% licensed out or sold a patent, industrial design right, copyright or trademark to another enterprise, university or research institute, and no one licensed in or bought a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute (Table D.20).

D.11 RANKING OF STRIDE INTERVENTIONS

Respondents were asked to rank the impact of the STRIDE interventions to them: 1) Technical assistance and its various forms; 2) Strengthening links between innovation stakeholders; 3) Policy improvements, and 4) Institutionalization of STRIDE capacity building programs. Among the GIA, strengthening links was top. For the RIIC, the policy improvement was the highest (Table D.22). The RIIC respondents were appreciative of the policies that made them whole and that they will need to work together. Meanwhile, the GIAs recognized that linking especially the academe and the industry has the most impact to them.

D.12 SUMMARY

This capacity to innovate survey among the various actors in the partnerships formed through STRIDE found the following:

- 1) Low product (goods) innovation output. Only the KTTO had a better rating in the product (services) innovation output. In both products, the institution would normally partner with another organization to produce the said output. Said product is new to the discipline, and also new to the institution. In terms of process innovation, a high number of respondents have improved methods of manufacturing.
- 2) Activities and expenditures for product and process innovations are mostly in-house activities, central government is usually tapped to fund activities. A high number of respondent institutions cooperate on any of innovation activities with other institution or organizations NOT related to Project STRIDE. Most innovation cooperation partners are from the Philippines, with the government agency as the most valuable cooperation partner of their institution's innovation activities. Expertise is the main reason for the most valuable cooperation partner.
- 3) The regulatory environment has slight improvement. Improvements are in the areas of science-based intervention. Commercialization interventions are lagging behind. This is the weak link in terms of innovation capacity. Qualitative data gathered by the evaluation team in parallel, also revealed low commercialization capacities and activities. There is very slow IP activities, which reveals that there needs to have more work to encourage researchers to capitalize on IP to bring their technologies to the market.

ATTACHMENTS: TABLES AND FIGURES

Table D.1. Distribution of FGD participants per type of institution, by classification

Classification	GIA		RIIC		Total	
	Count	Percent	Count	Percent	Count	Percent
Government Agency	7	11.1	13	20.6	20	31.7
Higher Education Institution (HEI)	11	17.5	9	14.3	20	31.7
Industry/Private Sector	14	22.2	9	14.3	23	36.5
Total	32	50.8	31	49.2	63	100.0

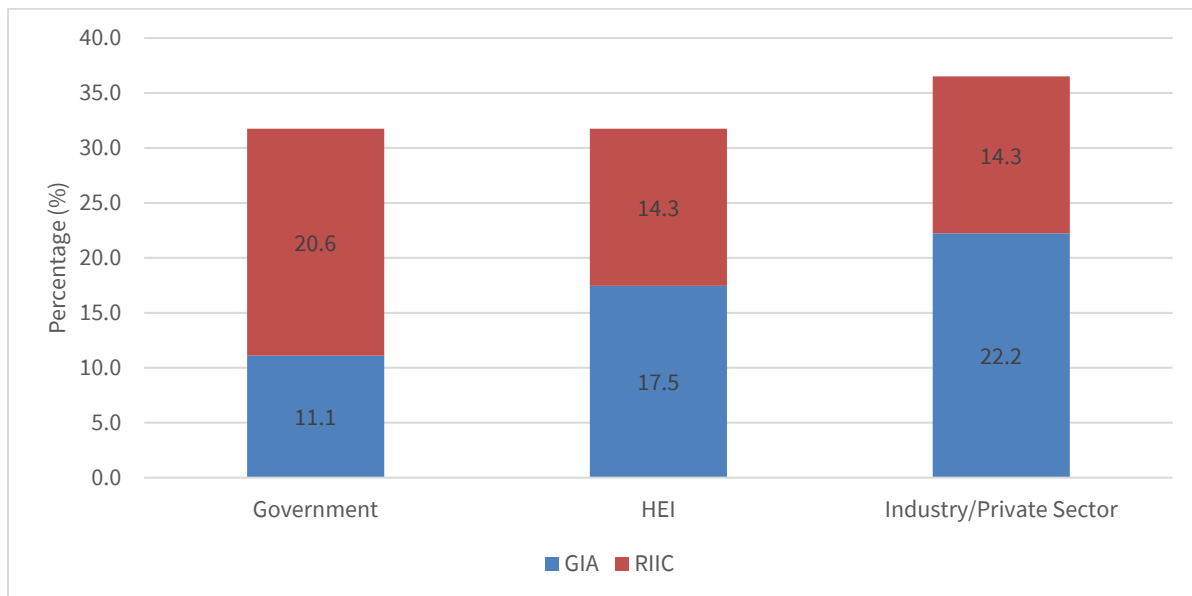


Figure D.1. Distribution of FGD participants (in percent) by classification

I. DEMOGRAPHIC PROFILE

Table D.2. Distribution of FGD participants who responded to the survey (in percent), by classification

Classification	Count (n=22)	Percent
GIA	11	50
RIIC	11	50

Table D.3. Distribution of respondent's profile by classification

Demographic Profile	Responses	GIA (n=11)	RIIC (n=11)	Total (n=22)
Type of Institution	Government	18.2	18.2	36.4
	HEI	22.7	9.1	31.8
	Industry/Private Sector	9.1	22.7	31.8
	Total	50	50	100
Sex at Birth	Male	36.4	22.7	59.1
	Female	13.6	27.3	40.9
	Total	50.0	50.0	100.0
Highest Educational Attainment	BS	22.7	22.7	45.5
	MA/MS	18.2	27.3	45.5
	PhD	9.1	0.0	9.1
	Total	50.0	50.0	100.0
Region	III	0.0	13.6	13.6
	IV-A	4.5	9.1	13.6
	IX	4.5	0.0	4.5
	NCR	4.5	0.0	4.5
	V	9.1	0.0	9.1
	VII	22.7	0.0	22.7
	XI	4.5	27.3	31.8
	Total	50.0	50.0	100.0

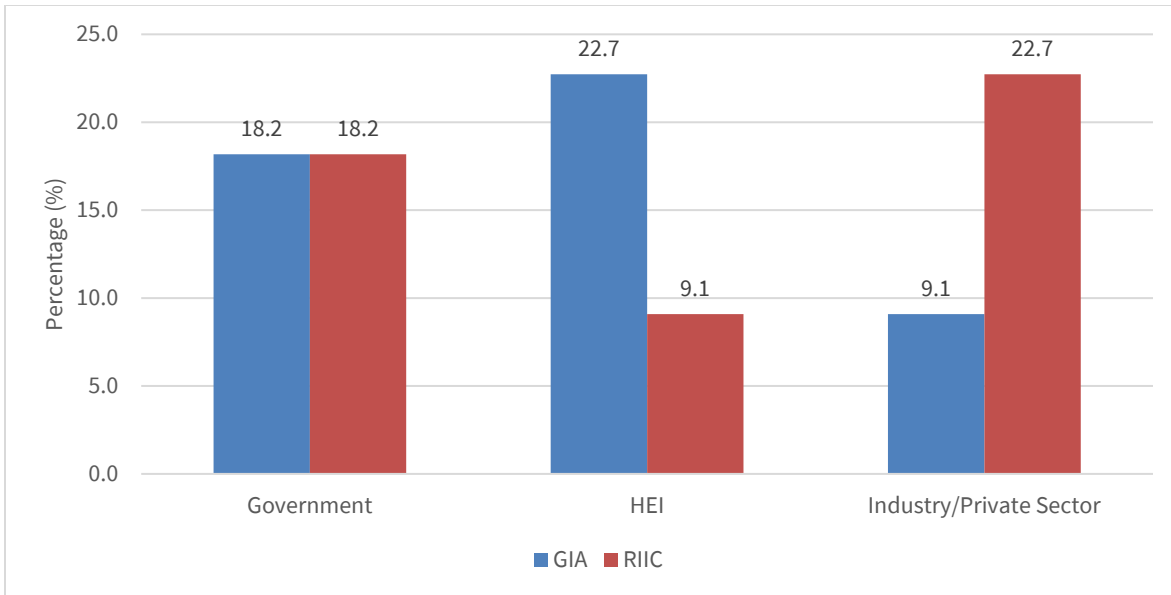


Figure D.2. Distribution of respondent's type of institution (in percent) by classification

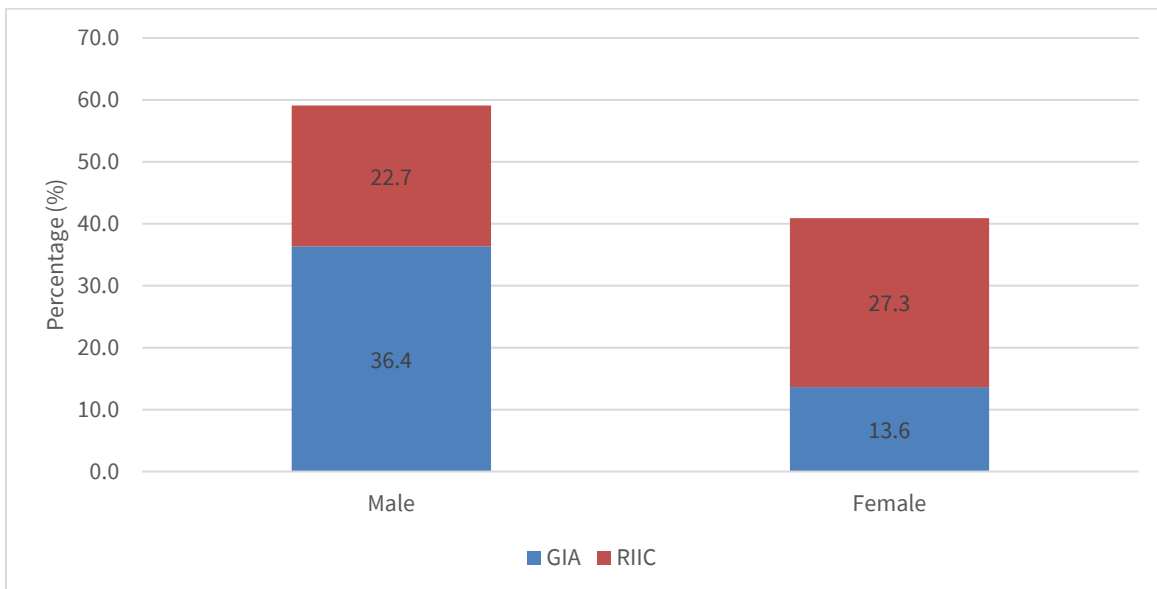


Figure D.3. Distribution of respondent's sex at birth (in percent) by classification

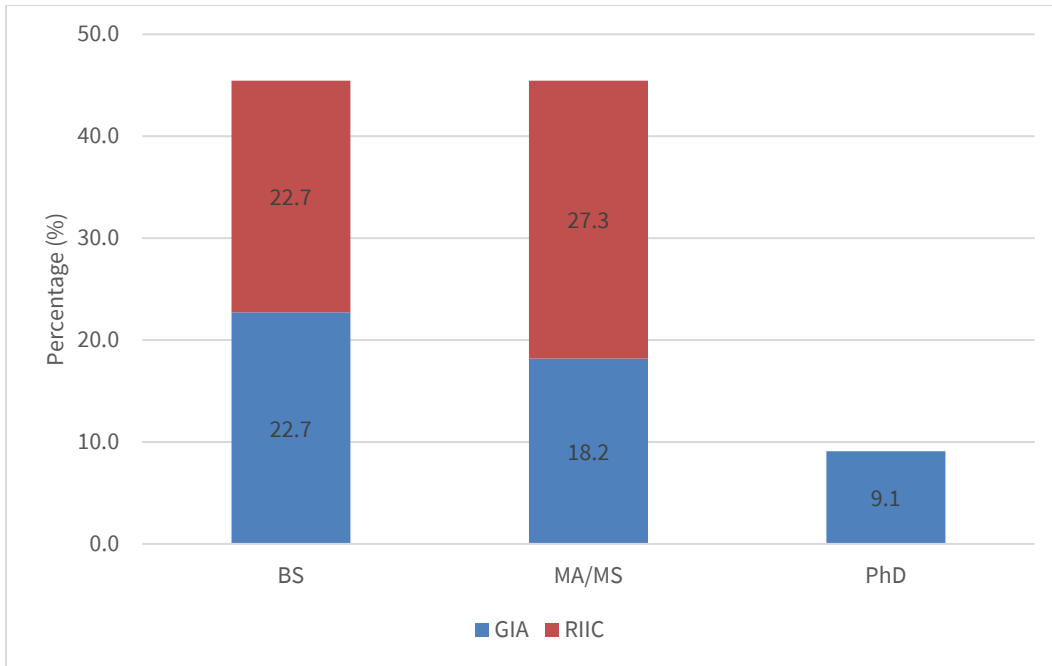


Figure D.4. Distribution of respondent's highest educational attainment (in percent) by classification

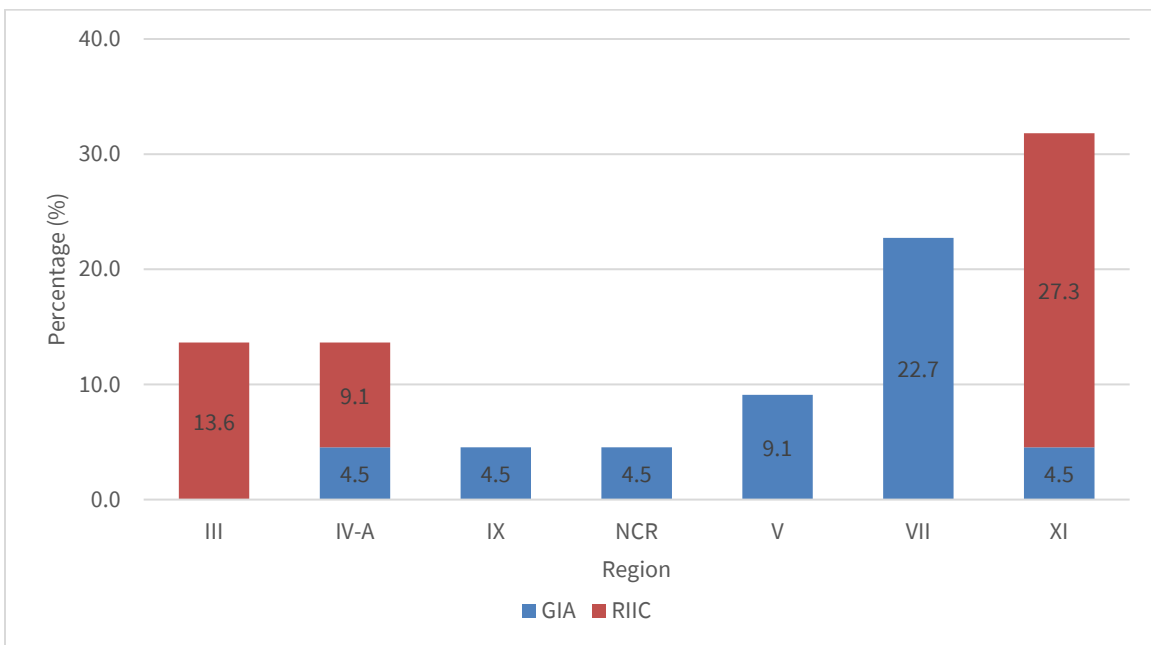


Figure D.5. Distribution of respondent's region (in percent) by classification

II. PRODUCT INNOVATION [GOODS]

Table D.4. Distribution of responses on product innovation [goods] (in percent) by classification				
Product Innovation [Goods]	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Equipment	Yes	9.1	22.7	31.8
	No	31.8	22.7	54.5
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0
Journal Publications	Yes	13.6	13.6	27.3
	No	27.3	22.7	50.0
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Software Applications	Yes	13.6	18.2	31.8
	No	31.8	31.8	63.6
	I have no idea	4.5	0.0	4.5
	Total	50.0	50.0	100.0

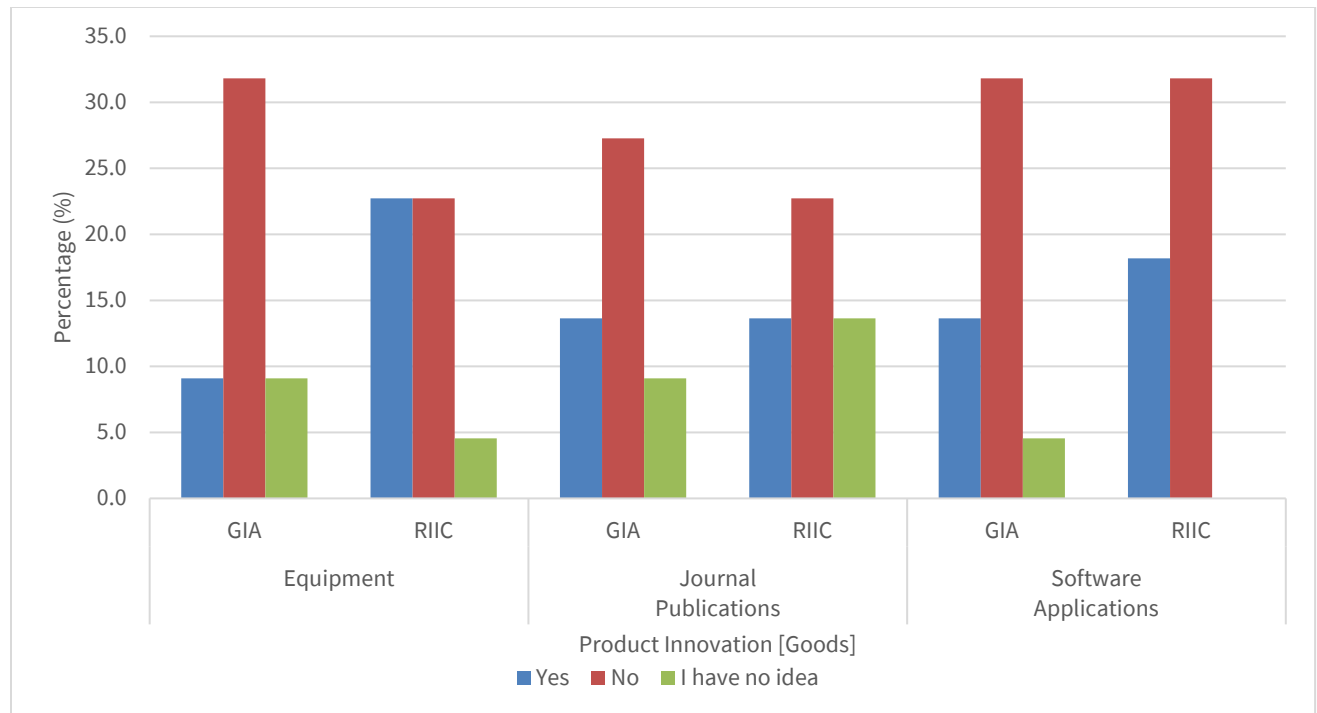


Figure D.6. Distribution of respondent's product innovation [goods] (in percent) by classification

Table D.5. Distribution of respondent's other product innovation [goods] (in percent) by classification			
Other Product Innovation	GIA (n=11)	RIIC (n=11)	Total (n=22)
Capacity Trainings	4.5	0.0	4.5
Project Proposal Workshop/Submission	4.5	4.5	9.1
Food Product and Processing Protocol	4.5	0.0	4.5
Innovation Guidebook	4.5	4.5	9.1
Linkages with Industries	4.5	0.0	4.5
Local cattle upgrades	4.5	0.0	4.5
iSTRIKE/ THRIVE website	0.0	9.1	9.1
Propagation technology on Liberica Coffee	0	4.5	4.5
None	9.1	18.2	27.3
Not Applicable	13.6	9.1	22.7
Total	50.0	50.0	100.0

Table D.6. Distribution of respondent's development of product innovation [goods] (in percent) by classification			
Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Your institution by itself	9.1	4.5	13.6
Your institution together with other organizations	18.2	22.7	40.9
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	4.5	0.0	4.5
Other institutions or organizations	18.2	22.7	40.9
Total	50.0	50.0	100.0

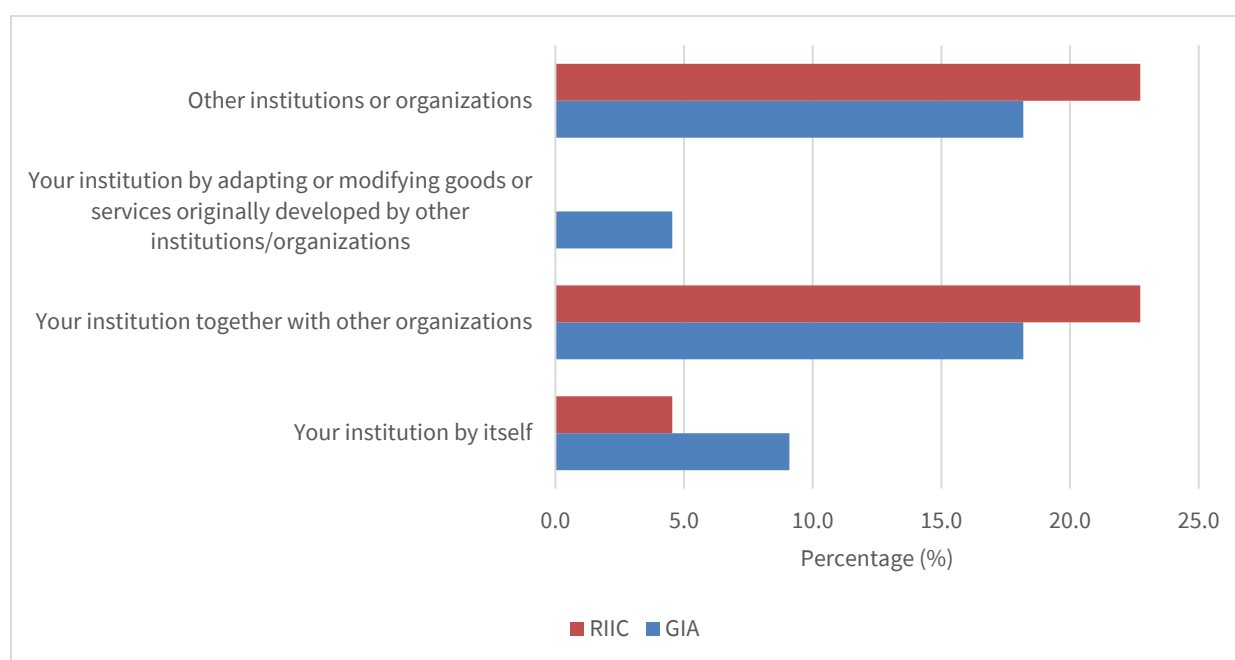


Figure D.7. Distribution of respondent's development of product innovation [goods] (in percent) by classification

III. PRODUCT INNOVATION [SERVICE]

Table D.7. Distribution of respondent's product innovation [service] (in percent) by classification				
Product Innovation [Service]	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Professional Science Master (PSM) Curriculum	Yes	18.2	9.1	27.3
	No	27.3	31.8	59.1
	I have no idea	4.5	9.1	13.6
	Total	50.0	50.0	100.0
Knowledge Technology Transfer Office (KTTO)	Yes	22.7	22.7	45.5
	No	22.7	27.3	50.0
	I have no idea	4.5	0.0	4.5
	Total	50.0	50.0	100.0
Career Centers	Yes	9.1	13.6	22.7
	No	31.8	31.8	63.6
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0

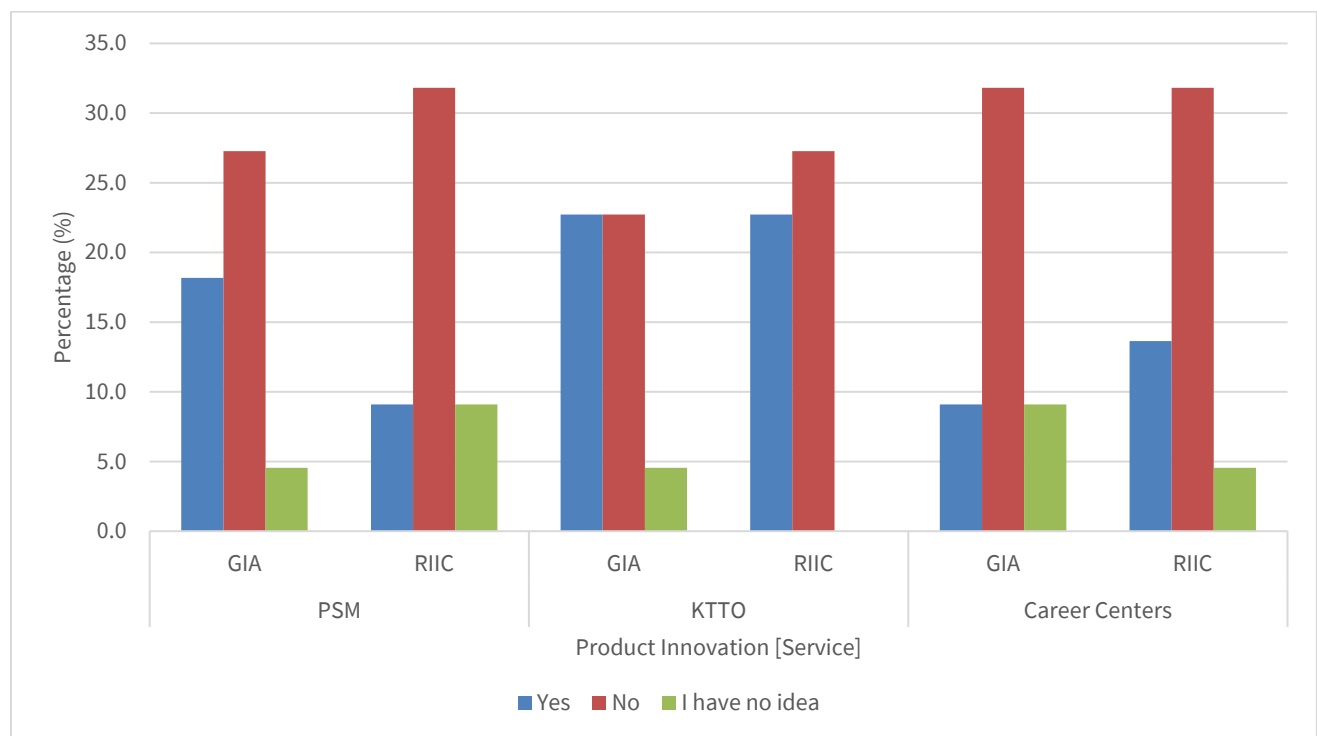


Figure D.8. Distribution of respondent's product innovation [service] (in percent) by classification

Table D.8. Distribution of respondent’s development of product innovation [service] (in percent) by classification

Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Your institution by itself	4.5	9.1	13.6
Your institution together with other organizations	36.4	31.8	68.2
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	9.1	9.1	18.2
Total	50.0	50.0	100.0

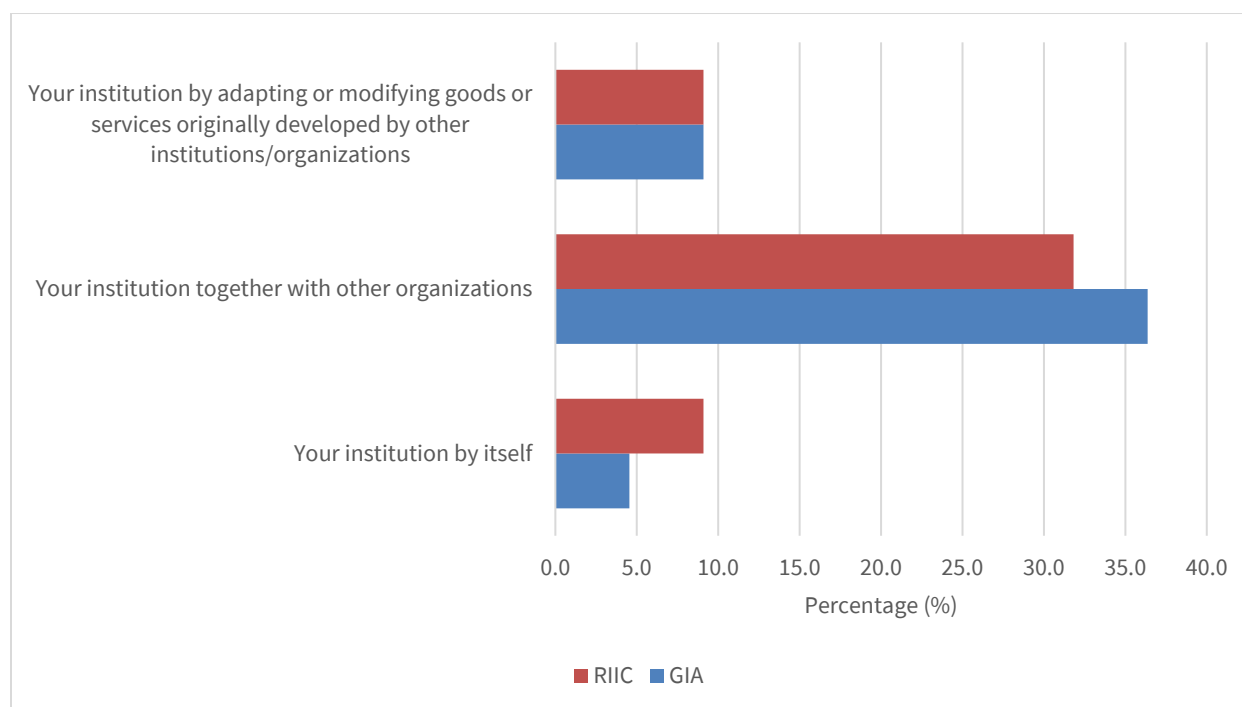


Figure D.9. Distribution of respondent’s development of product innovation [service] (in percent) by classification

Table D.9. Distribution of respondent’s development of product innovation [goods or services] (in percent) by classification

Product Innovation [Goods/Services]	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
New to Discipline	Yes	36.4	27.3	63.6
	No	9.1	9.1	18.2
	I have no idea	4.5	13.6	18.2
	Total	50.0	50.0	100.0
New to Institution	Yes	27.3	22.7	50.0
	No	13.6	13.6	27.3
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0

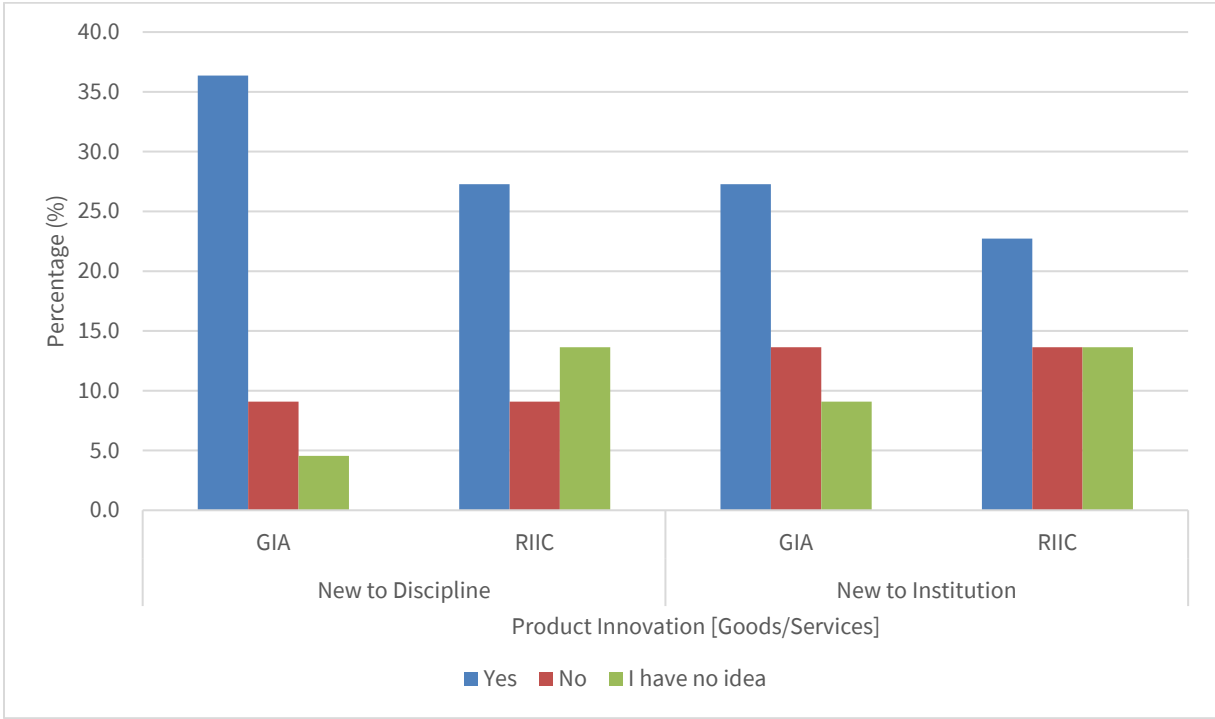


Figure D.10. Distribution of respondent’s development of product innovation [goods/services] (in percent) by classification

IV. PROCESS INNOVATION

Table D.10. Distribution of respondent's development of process innovation (in percent) by classification				
Process Innovation	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Improved methods of manufacturing	Yes	27.3	27.3	54.5
	No	9.1	4.5	13.6
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Improved logistics, delivery or distribution methods	Yes	4.5	27.3	31.8
	No	18.2	4.5	22.7
	I have no idea	27.3	18.2	45.5
	Total	50.0	50.0	100.0
Improved supporting activities for processes	Yes	0.0	31.8	31.8
	No	18.2	4.5	22.7
	I have no idea	31.8	13.6	45.5
	Total	50.0	50.0	100.0

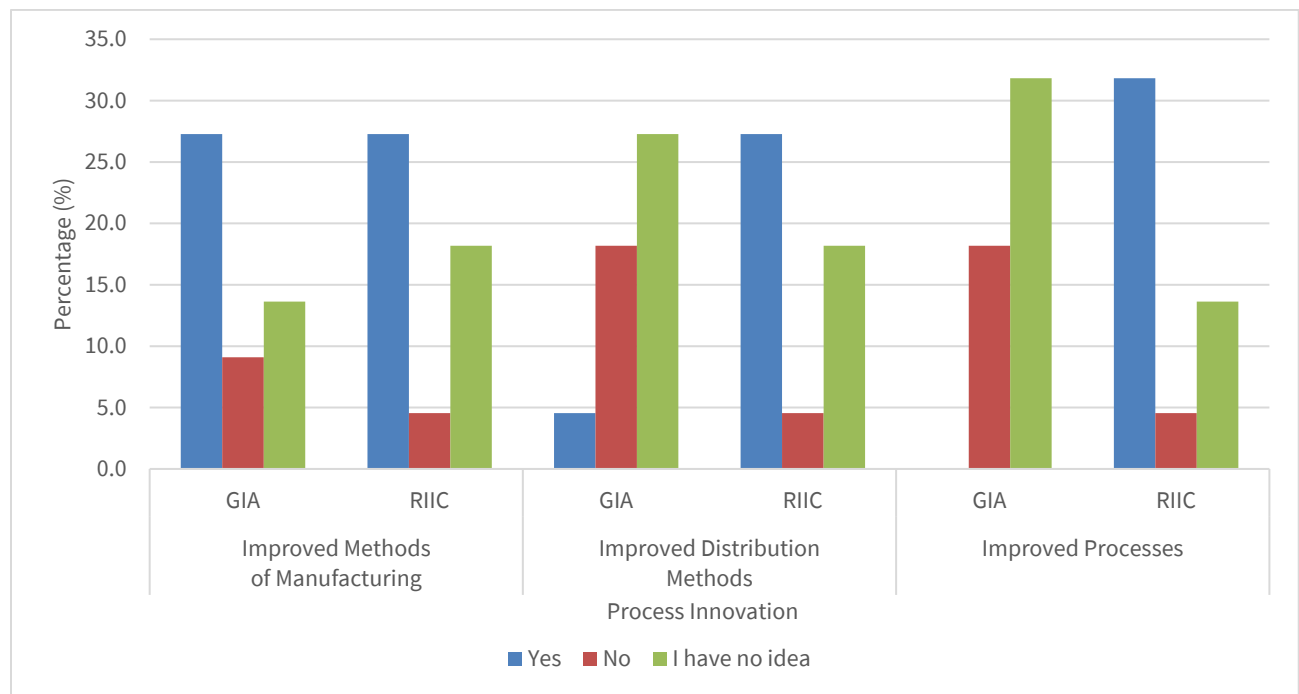


Figure D.11. Distribution of respondent's development of process innovation (in percent) by classification

Table D.11. Distribution of respondent’s development of process innovation (in percent) by classification

Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Your institution by itself	13.6	0.0	13.6
Your institution together with other organizations	13.6	18.2	31.8
Your institution by adapting or modifying goods or services originally developed by other institutions/organizations	0.0	4.5	4.5
Other institutions or organizations	22.7	27.3	50.0
Total	50.0	50.0	100.0

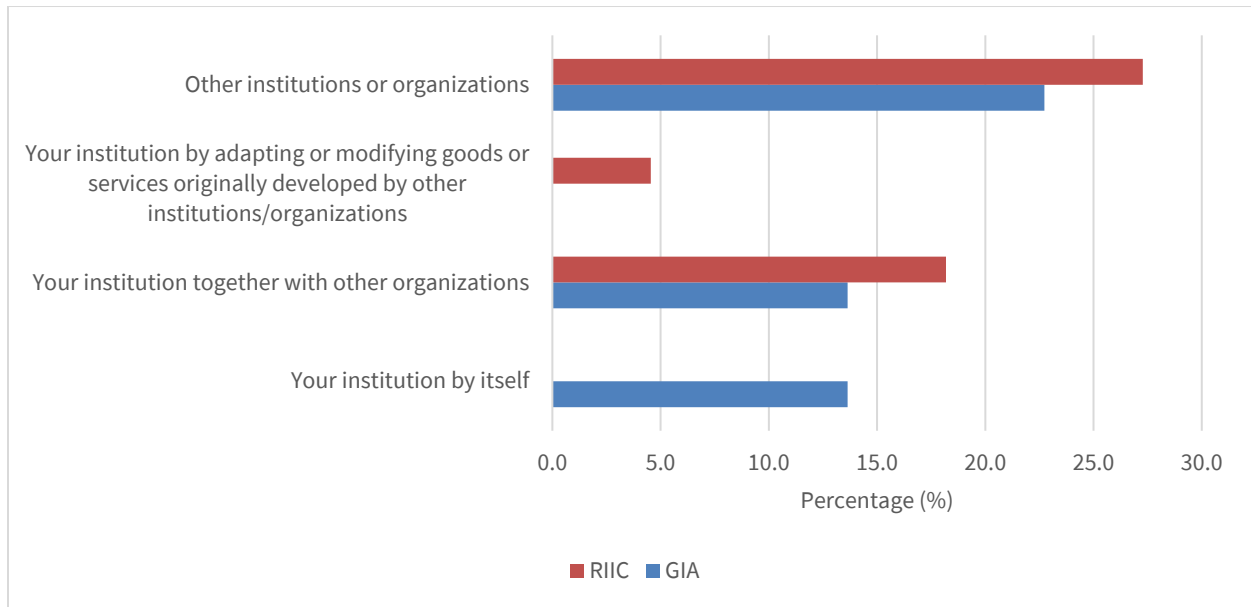


Figure D.12. Distribution of respondent’s development of process innovation (in percent) by classification

V. ACTIVITIES AND EXPENDITURES FOR PRODUCT AND PROCESS INNOVATIONS

Table D.12. Distribution of respondent's R&D activities and expenditures for product and process innovations (in percent) by classification

R&D Activities and Expenditures for Product and Process Innovations	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
In-house activities	Yes	27.3	27.3	54.5
	No	13.6	18.2	31.8
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0
External R&D	Yes	13.6	27.3	40.9
	No	18.2	22.7	40.9
	I have no idea	18.2	0.0	18.2
	Total	50.0	50.0	100.0

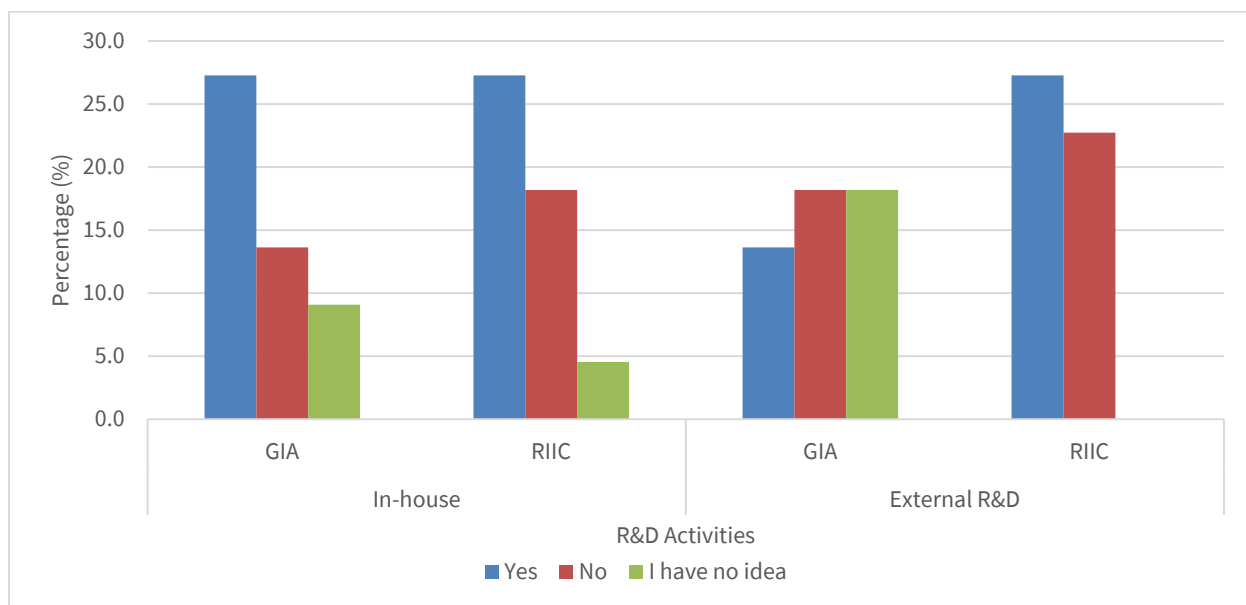


Figure D.13. Distribution of respondent's R&D activities and expenditures for product and process innovations (in percent) by classification

Table D.13. Distribution of respondent’s acquisition activities and expenditures for product and process innovations (in percent) by classification

Acquisition Activities and Expenditures for Product and Process Innovations	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Acquire advanced machinery, equipment, software and buildings	Yes	22.7	18.2	40.9
	No	9.1	27.3	36.4
	I have no idea	18.2	4.5	22.7
	Total	50.0	50.0	100.0
Acquire existing know-how, copyrighted works, patented and non-patented inventions	Yes	9.1	13.6	22.7
	No	27.3	22.7	50.0
	I have no idea	13.6	13.6	27.3
	Total	50.0	50.0	100.0

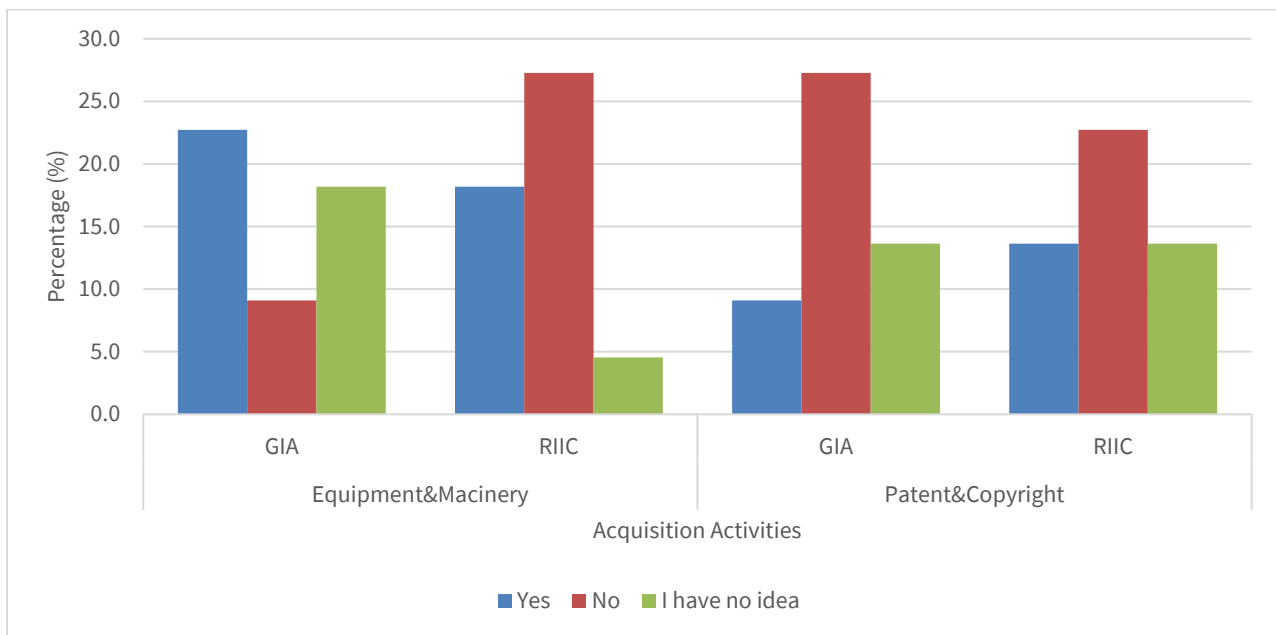


Figure D.14. Distribution of respondent’s acquisition activities and expenditures for product and process innovations (in percent) by classification

Table D.14. Distribution of respondent’s in-house or contract out activities and expenditures for product and process innovations (in percent) by classification

In-house or Contract Out Activities and Expenditures for Product and Process Innovations	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Carry out in-house/contracted out training for your personnel	Yes	27.3	31.8	59.1
	No	9.1	13.6	22.7
	I have no idea	13.6	4.5	18.2
	Total	50.0	50.0	100.0
Carry out in-house/contracted out activities for the market introduction	Yes	18.2	27.3	45.5
	No	22.7	18.2	40.9
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0
Carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services	Yes	22.7	22.7	45.5
	No	9.1	18.2	27.3
	I have no idea	18.2	9.1	27.3
	Total	50.0	50.0	100.0

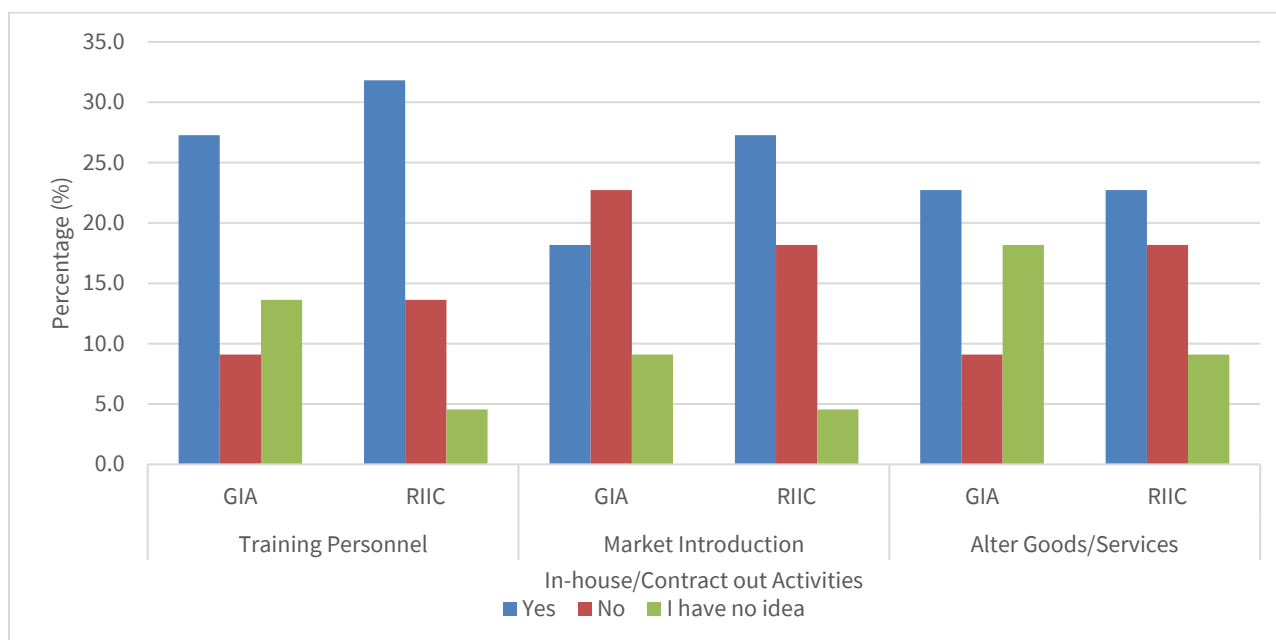


Figure D.15. Distribution of respondent’s in-house or contract out activities and expenditures for product and process innovations (in percent) by classification

VI. PUBLIC FINANCIAL SUPPORT FOR INNOVATION ACTIVITIES

Table D.15. Distribution of respondent’s public financial support for innovation activities (in percent) by classification

Public Financial Support for Innovation Activities	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Local or regional authorities	Yes	9.1	27.3	36.4
	No	27.3	22.7	50.0
	I have no idea	13.6	0.0	13.6
	Total	50.0	50.0	100.0
Central government	Yes	27.3	27.3	54.5
	No	18.2	18.2	36.4
	I have no idea	4.5	4.5	9.1
	Total	50.0	50.0	100.0

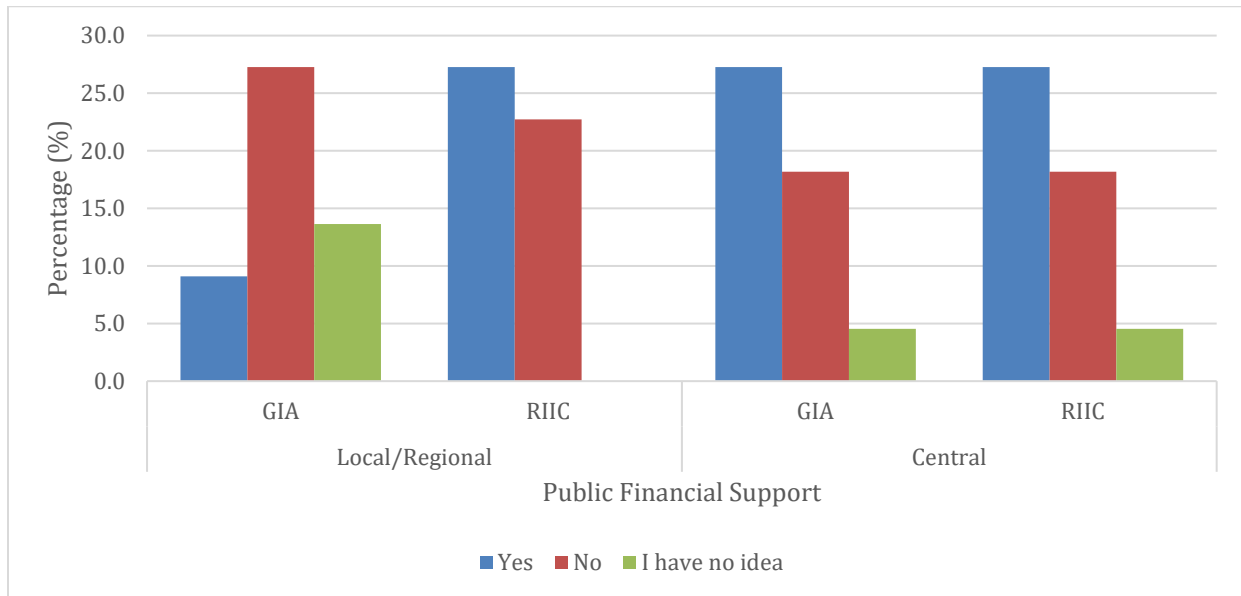


Figure D.16. Distribution of respondent’s public financial support for innovation activities (in percent) by classification

VII. COOPERATION FOR PRODUCT AND PROCESS INNOVATION ACTIVITIES

Table D.16. Distribution of respondent’s institutions co-operate on any of innovation activities with other institution or organizations NOT related to Project STRIDE (in percent) by classification

Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Yes	45.5	40.9	86.4
No	0.0	9.1	9.1
I have no idea	4.5	0.0	4.5
Total	50.0	50.0	100.0

VIII. TYPE OF INNOVATION COOPERATION PARTNER

Table D.17. Distribution of respondent's type of innovation cooperation partner (in percent) by classification				
Type of Innovation Cooperation Partner	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Other institution within institution group	Philippines	45.5	31.8	77.3
	Other countries	0.0	4.5	4.5
	Not applicable	4.5	13.6	18.2
	Total	50.0	50.0	100.0
Suppliers of equipment, materials, components, or software	Philippines	27.3	27.3	54.5
	Other countries	18.2	4.5	22.7
	Not applicable	4.5	18.2	22.7
	Total	50.0	50.0	100.0
Clients or customers from the private sector	Philippines	50.0	45.5	95.5
	Other countries	0.0	0.0	0.0
	Not applicable	0.0	4.5	4.5
	Total	50.0	50.0	100.0
Clients or customers from the public sector	Philippines	40.9	40.9	81.8
	Other countries	0.0	0.0	0.0
	Not applicable	9.1	9.1	18.2
	Total	50.0	50.0	100.0
Competitors or other enterprises in your sector	Philippines	22.7	27.3	50.0
	Other countries	4.5	0.0	4.5
	Not applicable	22.7	22.7	45.5
	Total	50.0	50.0	100.0
Consultants or commercial laboratories	Philippines	45.5	31.8	77.3
	Other countries	0.0	4.5	4.5
	Not applicable	4.5	13.6	18.2
	Total	50.0	50.0	100.0
Universities or other higher education institutes	Philippines	40.9	45.5	86.4
	Other countries	4.5	0.0	4.5
	Not applicable	4.5	4.5	9.1
	Total	50.0	50.0	100.0
Government, public or private research institutes	Philippines	45.5	40.9	86.4
	Other countries	0.0	0.0	0.0
	Not applicable	4.5	9.1	13.6
	Total	50.0	50.0	100.0

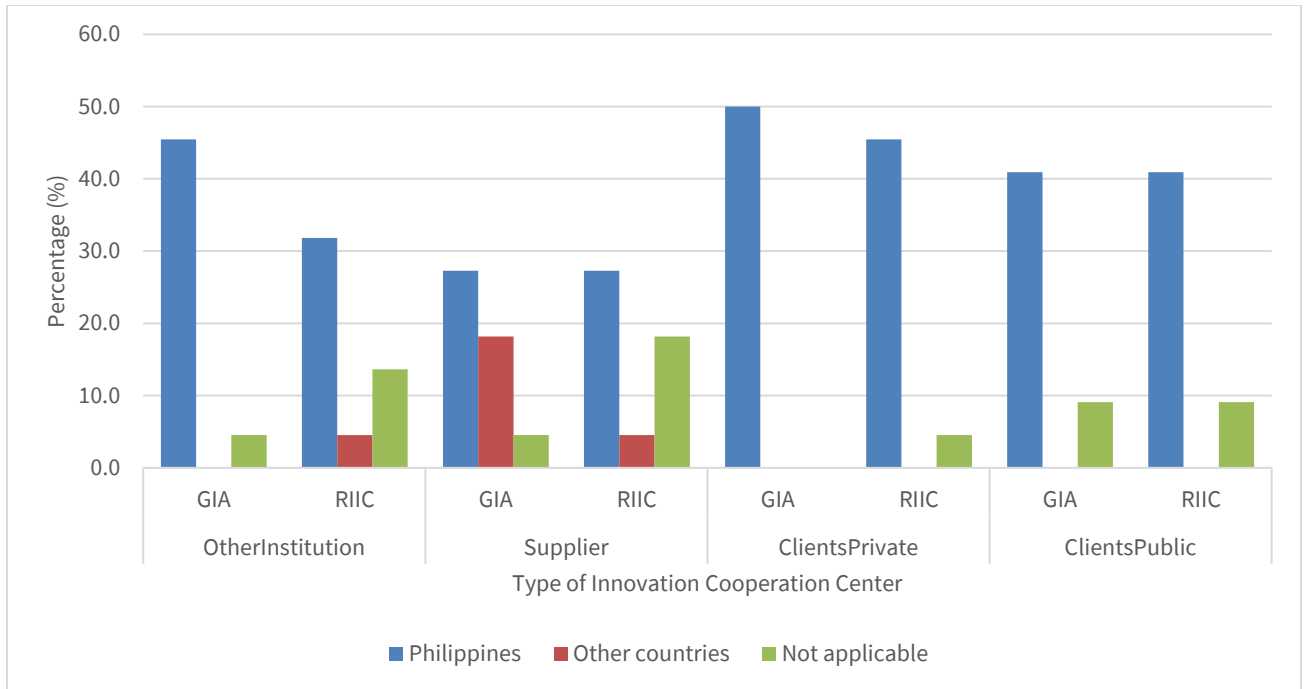


Figure D.17.a Distribution of respondent's type of innovation cooperation partner (in percent) by classification

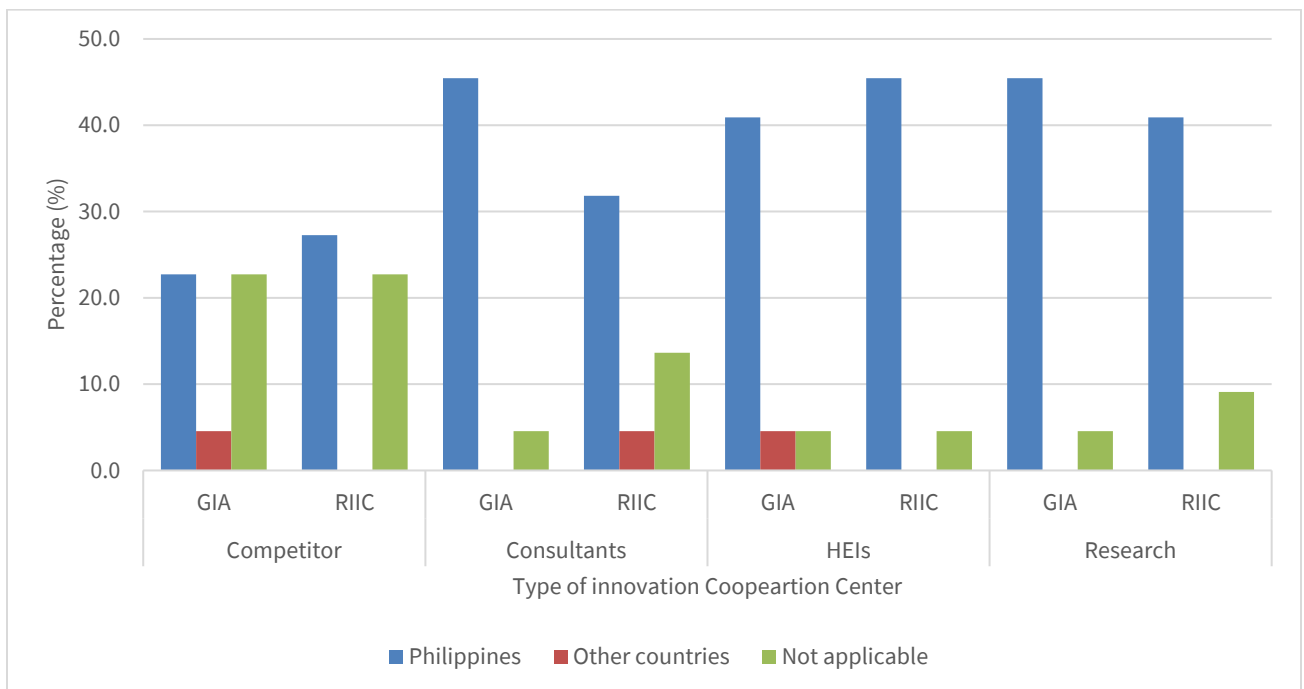


Figure D.17.b Distribution of respondent's type of innovation cooperation partner (in percent) by classification

Table D.18.a. Distribution of respondents to the most valuable cooperation partner to their institution's innovation activities (in percent) by classification

Co-operation partner*	GIA (n=11)	RIIC (n=11)	Total (n=22)
HEI	9.1	18.2	27.3
Government Agency	36.4	18.2	54.5
Private Industry/Sector	13.6	13.6	27.3
Research Partnership with R&D Background	4.5	9.1	13.6
Total	63.6	59.1	122.7

**Multiple response*

Table D.18.b. Distribution of respondent's reason to the most valuable cooperation partner to their institution's innovation activities (in percent) by classification

Reasons*	GIA (n=11)	RIIC (n=11)	Total (n=22)
Expertise	22.7	27.3	50.0
Network/Partnership/Linkages	9.1	22.7	31.8
Funding	9.1	4.5	13.6
New Opportunity	9.1	0.0	9.1
Total	50.0	54.5	104.5

**Multiple response*

IX. REGULATORY ENVIRONMENT FOR INNOVATION

Table D.19. Distribution of respondent's answers to the improvement of regulatory environment for innovation (in percent) by classification

Regulatory Environment for Innovation	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Improved procurement policy	Yes	22.7	9.1	31.8
	No	18.2	27.3	45.5
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Improved policies for research incentives	Yes	18.2	27.3	45.5
	No	22.7	13.6	36.4
	I have no idea	9.1	9.1	18.2
	Total	50.0	50.0	100.0
Improved policies for extension services	Yes	13.6	31.8	45.5
	No	22.7	9.1	31.8
	I have no idea	13.6	9.1	22.7
	Total	50.0	50.0	100.0
Improved application for utility model	Yes	13.6	18.2	31.8
	No	22.7	13.6	36.4
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Improved approval for utility model	Yes	13.6	13.6	27.3
	No	22.7	18.2	40.9
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Improved approval for IP patent	Yes	18.2	13.6	31.8
	No	22.7	22.7	45.5
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Improved scientific workforce (people services)	Yes	27.3	27.3	54.5
	No	9.1	13.6	22.7
	I have no idea	13.6	9.1	22.7
	Total	50.0	50.0	100.0
Science-based guidelines	Yes	22.7	27.3	50.0
	No	18.2	13.6	31.8
	I have no idea	9.1	9.1	18.2
	Total	50.0	50.0	100.0
New laboratories, institutions, and training programs	Yes	27.3	36.4	63.6
	No	13.6	9.1	22.7
	I have no idea	9.1	4.5	13.6
	Total	50.0	50.0	100.0

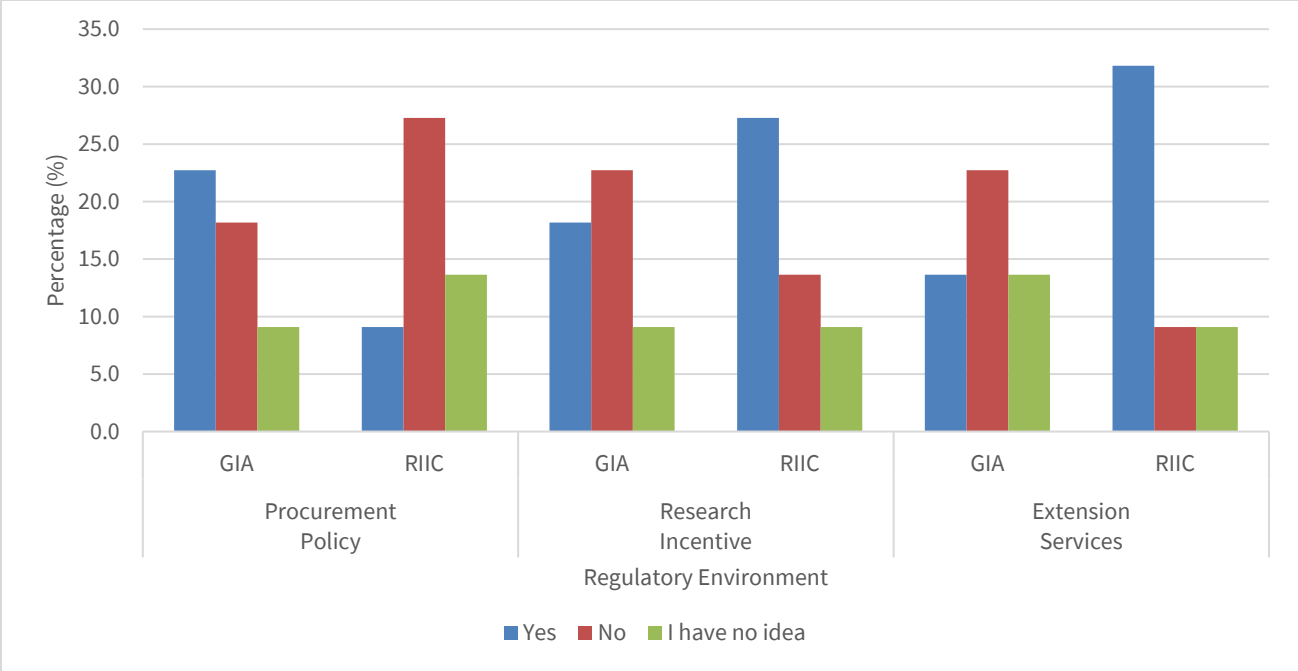


Figure D.18.a Distribution of respondents on regulatory environment for innovation (in percent) by classification

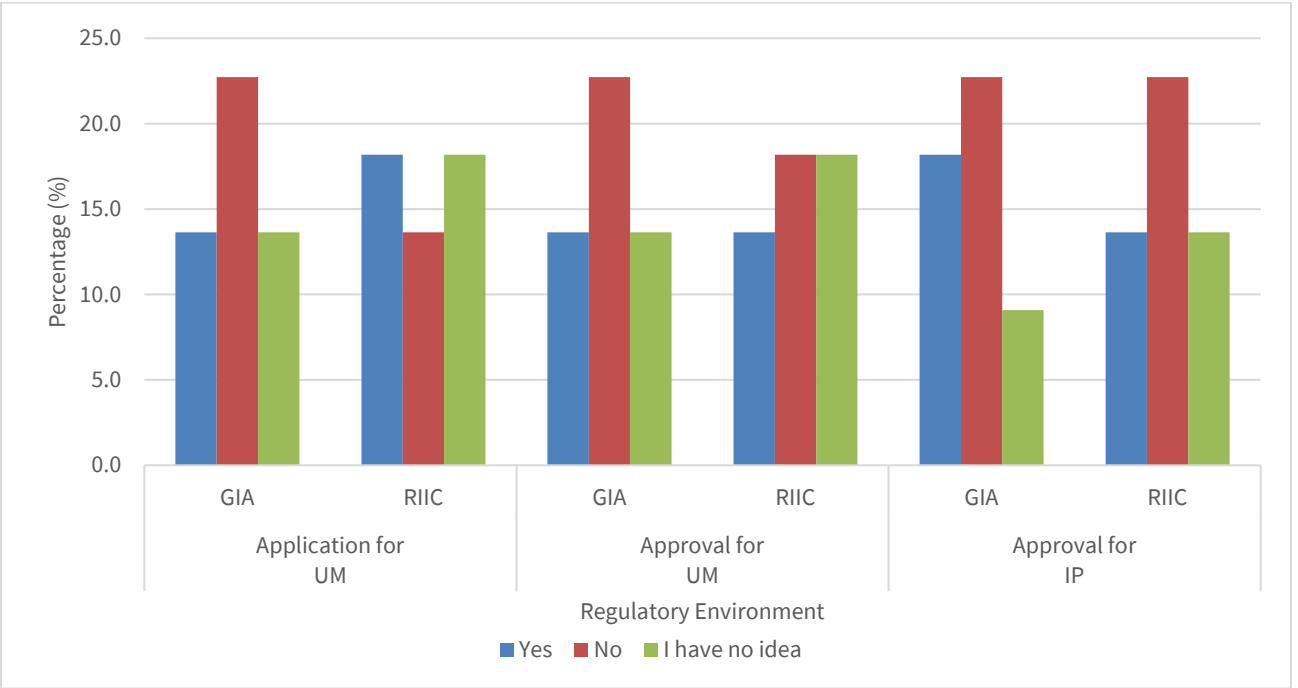


Figure D.18.b Distribution of respondents on regulatory environment for innovation (in percent) by classification

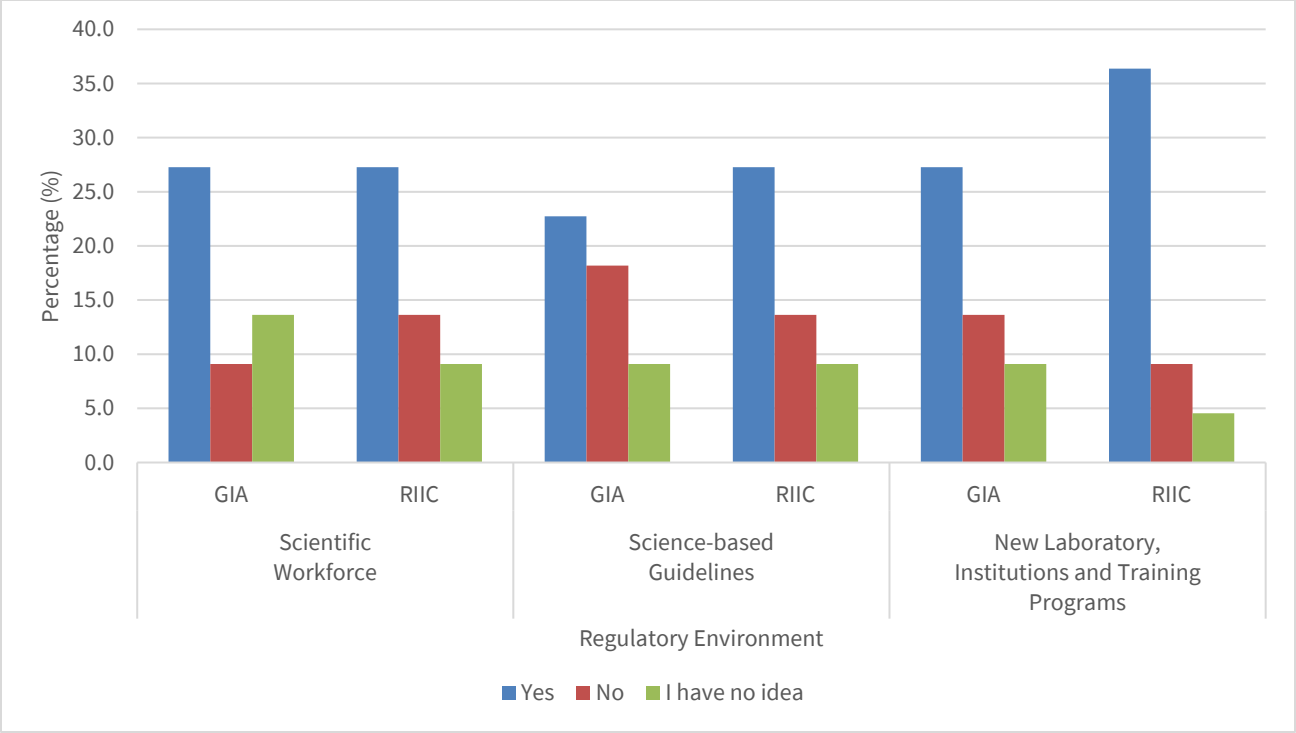


Figure D.18.c Distribution of respondents on regulatory environment for innovation (in percent) by classification

X. INTELLECTUAL PROPERTY RIGHTS AND LICENSING

Table D.20. Distribution of respondents on intellectual property rights and licensing (in percent) by classification				
Intellectual Property Rights and Licensing	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Apply for a patent	Yes	18.2	9.1	27.3
	No	22.7	27.3	50.0
	I have no idea	9.1	13.6	22.7
	Total	50.0	50.0	100.0
Register an industrial design right	Yes	4.5	4.5	9.1
	No	31.8	27.3	59.1
	I have no idea	13.6	18.2	31.8
	Total	50.0	50.0	100.0
Register a trademark	Yes	4.5	18.2	22.7
	No	31.8	22.7	54.5
	I have no idea	13.6	9.1	22.7
	Total	50.0	50.0	100.0
License out or sell a patent, industrial design right, copyright or trademark to another enterprise, university or research institute	Yes	0.0	9.1	9.1
	No	31.8	31.8	63.6
	I have no idea	18.2	9.1	27.3
	Total	50.0	50.0	100.0
License in or buy a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute	Yes	0.0	0.0	0.0
	No	18.2	18.2	36.4
	I have no idea	31.8	31.8	63.6
	Total	50.0	50.0	100.0

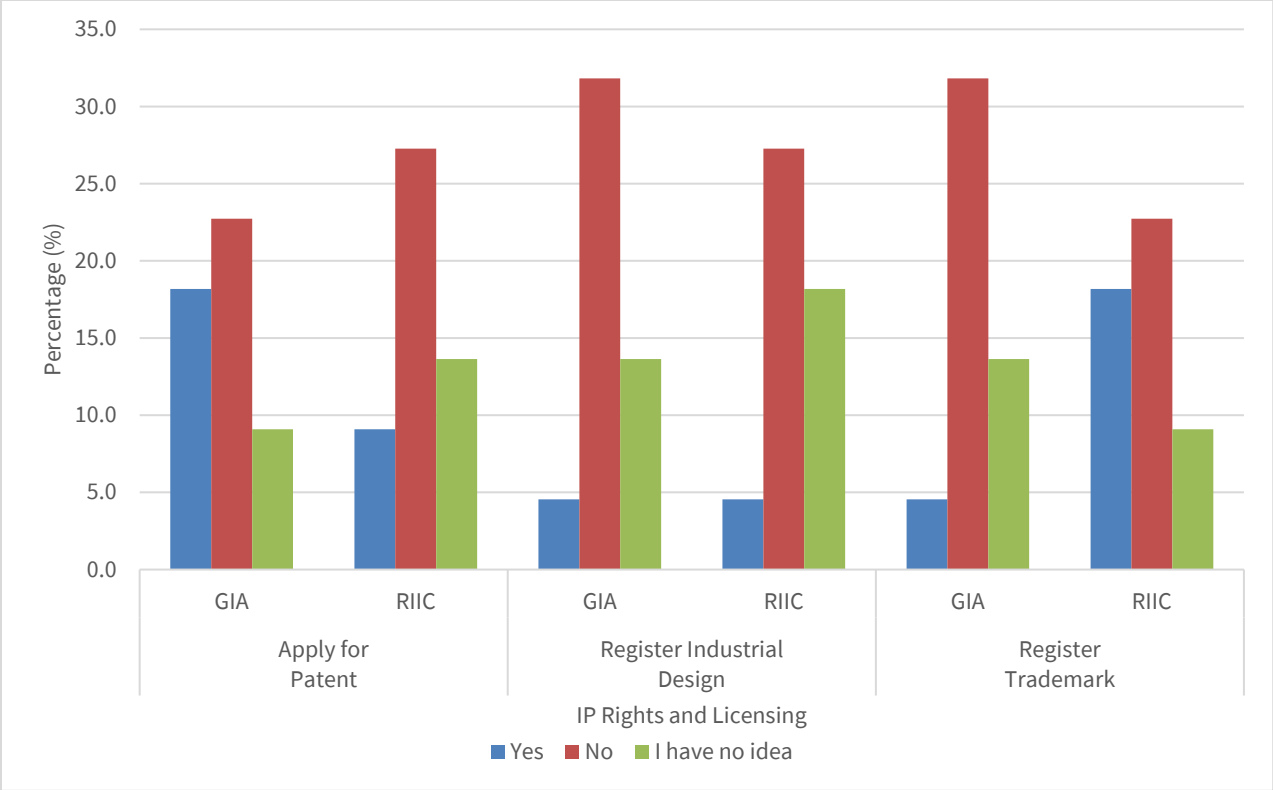


Figure D.19.a. Distribution of respondents on intellectual property rights and licensing (in percent) by classification

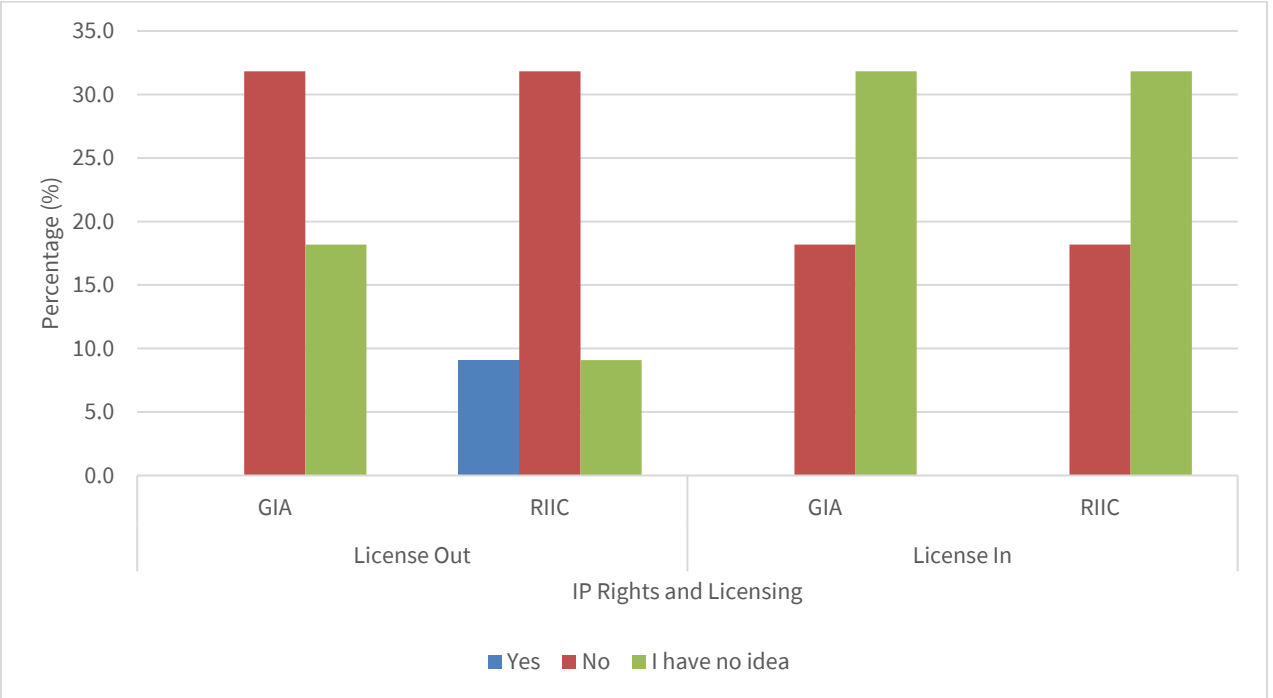


Figure D.19.b. Distribution of respondents on intellectual property rights and licensing (in percent) by classification

XI. RANK INTERVENTIONS

Table D.21. Distribution of respondents on ranking different interventions that contributed more to the improved capacity to innovate (in percent) by classification

Interventions	Response	GIA (n=11)	RIIC (n=11)	Total (n=22)
Technical assistance and its various forms	Rank 1	13.6	22.7	36.4
	Rank 2	9.1	4.5	13.6
	Rank 3	4.5	9.1	13.6
	Rank 4	22.7	13.6	36.4
	Total	50.0	50.0	100.0
Strengthening links between innovation stakeholders	Rank 1	9.1	18.2	27.3
	Rank 2	13.6	9.1	22.7
	Rank 3	9.1	4.5	13.6
	Rank 4	18.2	18.2	36.4
	Total	50.0	50.0	100.0
Policy improvements	Rank 1	9.1	9.1	18.2
	Rank 2	9.1	0.0	9.1
	Rank 3	4.5	31.8	36.4
	Rank 4	27.3	9.1	36.4
	Total	50.0	50.0	100.0
Institutionalization of STRIDE capacity building programs	Rank 1	13.6	9.1	22.7
	Rank 2	9.1	4.5	13.6
	Rank 3	13.6	18.2	31.8
	Rank 4	13.6	18.2	31.8
	Total	50.0	50.0	100.0

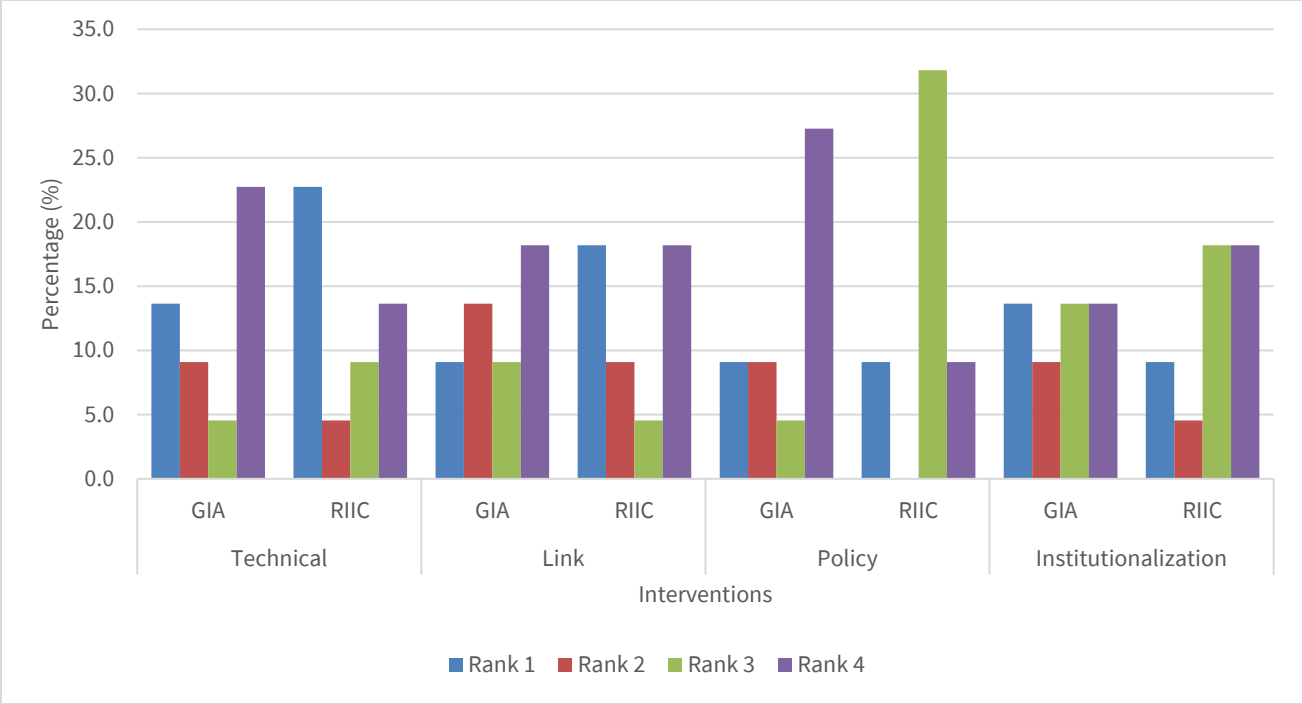


Figure D.20. Distribution of respondents on ranking different interventions that contributed more to the improved capacity to innovate (in percent) by classification

Table D.22. Average ranking to different interventions by classification				
Program Type	Technical	Links	Policy	Institutionalization
GIA	1.45	1.73	1.45	1.64
RIIC	1.36	1.45	1.64	1.55

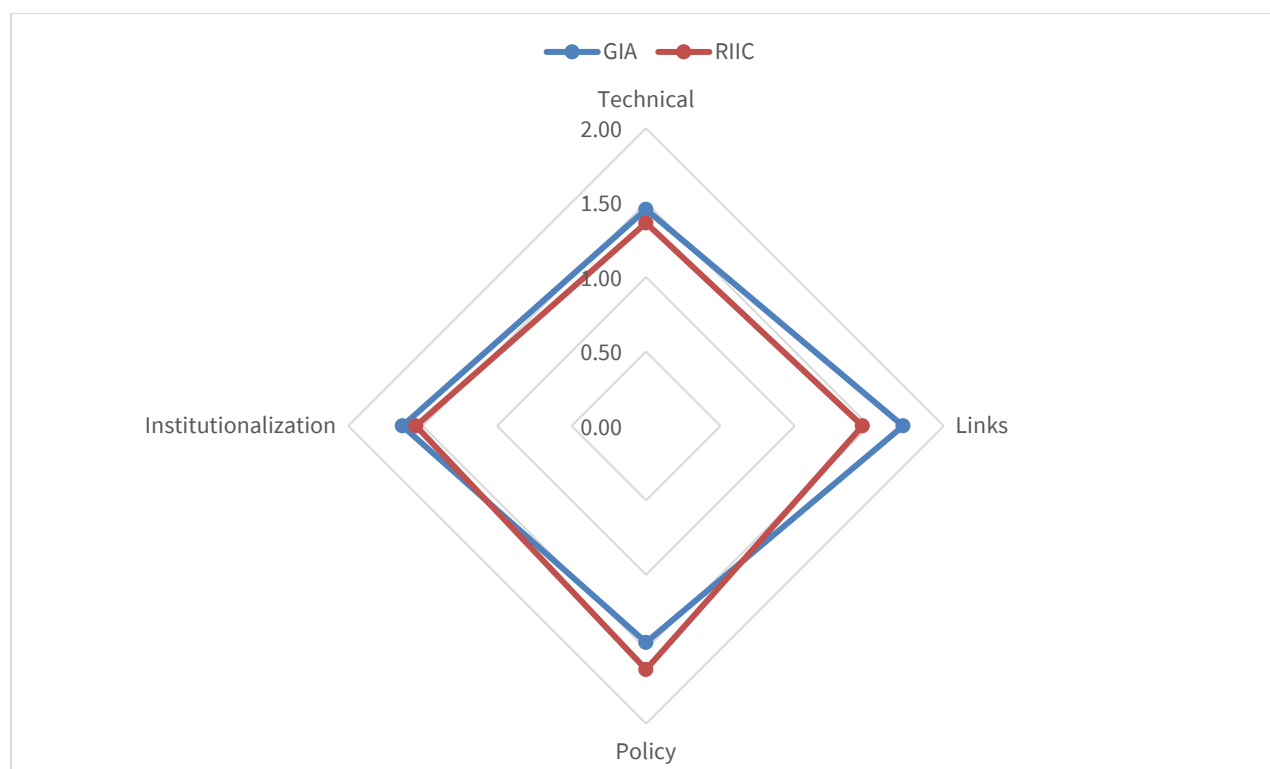


Figure D.21. Average ranking to different interventions by classification

Table D.23. The R&D grant processes of HEIs and RDIs

Activities of GIA and RIICs		GIA	RIIC
		(n = 11)	(n = 11)
		f (%)	f (%)
Activities and expenditures for product and process innovations	In-house activities	6(27.3)	6(27.3)
	External R&D	3(13.6)	6(27.3)
	Continuous R&D) (Permanent R&D staff in-house)	3(13.6)	3(13.6)
	Acquire advanced machinery, equipment, software and buildings	5(22.7)	4(18.2)
	Acquire existing know-how, copyrighted works, patented and non-patented inventions	2(9.1)	3(13.6)
	Carry out in-house/contracted out training for personnel	6(27.3)	7(31.8)

	Carry out in-house/contracted out activities for the market introduction	4(18.2)	6(27.3)
	Carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services	5(22.7)	5(22.7)
Intellectual Property Rights and Licensing	Apply for a patent	4(18.2)	2(9.1)
	Register an industrial design right	1(4.5)	1(4.5)
	Register a trademark	1(4.5)	4(18.2)
	License out or sell a patent, industrial design right, copyright or trademark to another enterprise, university or research institute	--	2(9.1)
	License in or buy a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute	--	--

ANNEX E ALL LEVELS.1

STRATEGIES THAT CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE						
QUANTITATIVE				QUALITATIVE		
Strategies	KII	GIA	RIIC	Themes	Responses (National = 6, HEI = 11 = Regional = 8, GIA = 4, RIIC = 4)	
	M	M	M			
Technical assistance	3.33	1.45	1.36	Technical assistance. Non-financial assistance by STRIDE in a form of sharing expertise (how to innovate), instruction (KTTO), skills (curriculum development), consulting services (sending of international or local experts)	<p>"My experience with research is that they're very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various form." (H6)</p> <p>"STRIDE is coordinating with us. We asked STRIDE help on turning CIP in Marikina as innovation center. STRIDE made a study and presented it to us. Some recommendation [from the study] were implemented. We asked STRIDE to help us in carrying out seminars and FGD. In order for us on the current shape of innovation in the region. In 2017 we presented IR4. STRIDE sent speakers in this event. We also asked STRIDE to carry out initial innovation assessment in 2015."(N5</p>	
Linkages	3.16	1.73	1.45	Linkage. Networks facilitated by STRIDE and Interactions among GIA to encourage knowledge and technology exchange.	<p>"Coming us together like discussing projects over dinner."N2</p> <p>"We have known each other. Mr. Caedo was a member of the Board of Regents of Batangas State University. BSU met Mr. Gualberto through Mr. Caedo. Through them, BSU met seasoned coffee growers on some occasions. Since we know each other, collaboration was easier. There is always the DOST for possible funding for projects. There were also projects with the DTI on MSMEs. (RIIC2)</p>	

					"Linkages with stakeholders (the government, industry chamber, MSMEs, etc.) have been rewardingly promoted to converge knowledge assets to sustain local development." (H2)
Policy	2.83	1.45	1.64	Policy. Setting, formulation, and adoption of STI-related policies assisted by STRIDE	"There's lot of policy improvement assisted by STRIDE."(N2)
					"Hindi ako involved ma'am but based on my experience, there have been no improvements. PICARI is also trying to lobby improvements on the policy environment in research. So, there is still no change."(H6)
					I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI."(A4)
Institutionalizations	2.77	1.64	1.55	Institution building. Established offices (e.g. KTTO, etc); other initiatives for institution building and sustainability	" Also, the establishment of the KTTO office, ensuring and making a progress that whatever the knowledge that we have from STRIDE Training, we want it to sustain it. So that is why we put an office and institutionalize this policy."(H9)
					"During the strategic planning, the physical office will be hosted by the Davao City Chamber of Commerce of Industry, Inc. (DCCCI), but all these operations manual and the details on this is we're currently still finalizing and on process." (I4)
					February to April 2019, that's the alignment activities and institutionalization of the RIIC through the RDC and the adoption of the MLA framework of the." (G4)

ANNEX E

HEI.1

Continuation of Table 2.1

STRIDE INTERVENTIONS UNDER IR1 AND INNOVATION ACTIVITIES OF HEIS				
Quantitative			Qualitative	
		HEI (n = 57) f(%)	Theme	Response
Science and Technology Curricula	PSM	35(20)	Development of STI-related curricula. Consists of STEAM-related curricula that integrates business and management courses for graduates to be prepared for future leadership and entrepreneurial roles	"Our school was able to ensure the approval of programs without the STRIDE but leveraging on this, when the STRIDE name came along it was additional magic. This is why the continued engagement of the STRIDE project in the PH will really help. Why will we invent something that is really out there. The new CHED graduate policies "We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem.
			H: = 5, 45%	I am the Chair of the Technical Working Group on Graduate Education of CHED. What I learned from STRIDE has also influenced me on the CHED new polices on graduate education." H10)

ANNEX E

HEI.2

STRIDE INTERVENTIONS UNDER IR2 AND POLICY CHANGES IN GIA AND RIIC					
Activities	Quantitative			Qualitative	
	HEI-KII (n = 1)	GIA (n = 11) f (%)	RIIC (n = 11) f (%)	Themes	Responses
STRIDE interventions	Research on procurement policy	1 (100)		Assistance and understanding of the procurement process. Process of purchasing supplies, equipment, contract services, other services. Policy on procurement of goods, equipment and services (Consultants)	National KIIs (n = 6), Regional KIIs (n = 7), GIA (n = 4), and RIICs (n = 3) "Sa amin kasi sa DOST alam niyo naman kung ganyan dadaan pa po tayo sa mga procurement rules pero with STRIDE they have leeway. They can choose who to pick without having to go through the long procurement process." (GIA-G1)
Activities of actor's capacity to innovate	· procurement policy		5(22.7)	2(9.1)	"Understanding the problem [on procurement]." H12)
	· research incentives		4(18.2)	6(27.3)	
	· extension services		3(13.6)	7(31.8)	
	· application for utility model		3(13.6)	4(18.2)	
	· approval for utility model		3(13.6)	3(13.6)	
	· approval for IP patent		4(18.2)	3(13.6)	
	· scientific workforce		6(27.3)	6(27.3)	
	· Science-based guidelines		5(22.7)	6(27.3)	
· New laboratories, institutions, and training programs		6(27.3)	8(36.4)		

ANNEX E

HEI.3

STRIDE ASSISTANCE UNDER IR3				
		Activities of GIA and RIICs	GIA (n = 11) f (%)	RIIC (n = 11) f (%)
Product Innovation [Goods]	Equipment		2(9.1)	5(22.7)
	Journal Publications		3(13.6)	3(13.6)
	Software Applications		3(13.6)	4(18.2)
Product Innovation [Service]	Professional Science Master Curriculum		4(18.2)	2(9.1)
	Knowledge Technology Transfer Office		5(22.7)	5(22.7)
	Career Centers		2(9.1)	3(13.6)
	New to Discipline		8(36.4)	6(27.3)
	New to Institution		6(27.3)	5(22.7)
Process Innovation	Improved methods of manufacturing		6(27.3)	6(27.3)
	Improved logistics, delivery or distribution methods		1(4.5)	6(27.3)
	Improved supporting activities processes		--	7(31.8)

ANNEX E JOINT DISPLAYS

Continuation of Table 2.1

STRIDE INTERVENTIONS UNDER IRI AND INNOVATION ACTIVITIES OF HEIS				
Quantitative			Qualitative	
		HEI (n = 57) f(%)	Theme	Response
Science and Technology Curricula	STRIDE intervention	PSM	35(20)	Development of STI-related curricula. Consists of STEAM-related curricula that integrates business and management courses for graduates to be prepared for future leadership and entrepreneurial roles
	Activities of actors' capacity to innovate	Marketing the PSM program campaign (n =15)	1 (6%)	
		Good innovations n = 70		H: = 5, 45%
		Equipment	19 (27)	I am the Chair of the Technical Working Group on Graduate Education of CHED. What I learned from STRIDE has also influenced me on the CHED new polices on graduate education." H10)
		Journal publications	23 (32.86)	
		Software applications	12 (17.14)	

STRIDE INTERVENTIONS UNDER IR2 AND POLICY CHANGES IN GIA AND RIIC

		Quantitative			Qualitative	
Activities	HEI-KII (n = 1)	GIA (n = 11)	RIIC (n = 11)	Themes	Responses	
		f (%)	f (%)			
STRIDE interventions	Research on procurement policy	1 (100)		Assistance and understanding of the procurement process. Process of purchasing supplies, equipment, contract services, other services. Policy on procurement of goods, equipment and services (Consultants)	"Sa amin kasi sa DOST alam niyo naman kung ganyan dadaan pa po tayo sa mga procurement rules pero with STRIDE they have leeway.They can choose who to pick without having to go through the long procurement process." (GIA-G1)	
Activities of actors capacity to innovate	· Procurement policy		5(22.7)		"Understanding the problem [on procurement]." H12)	
	· Research incentives		4(18.2)	6(27.3)		
	· Extension services		3(13.6)	7(31.8)		
	· Application for utility model		3(13.6)	4(18.2)		
	· Approval for utility model		3(13.6)	3(13.6)		
	· Approval for IP patent		4(18.2)	3(13.6)		
	· Scientific workforce		6(27.3)	6(27.3)		
	· Science-based guidelines		5(22.7)	6(27.3)		
· New laboratories, institutions, and training programs		6(27.3)	8(36.4)			

STRIDE ASSISTANCE UNDER IR3

Activities of GIA and RIICs		GIA	RIIC
		(n = 11) f (%)	(n = 11) f (%)
Product Innovation [Goods]	Equipment	2(9.1)	5(22.7)
	Journal Publications	3(13.6)	3(13.6)
	Software Applications	3(13.6)	4(18.2)
Product Innovation [Service]	Professional Science Master Curriculum	4(18.2)	2(9.1)
	Knowledge Technology Transfer Office	5(22.7)	5(22.7)
	Career Centers	2(9.1)	3(13.6)
	New to Discipline	8(36.4)	6(27.3)
	New to Institution	6(27.3)	5(22.7)
Process Innovation	Improved methods of manufacturing	6(27.3)	6(27.3)
	Improved logistics, delivery or distribution methods	1(4.5)	6(27.3)
	Improved supporting activities processes	--	7(31.8)

TABLE 2.4 STRATEGIES THAT CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE

Quantitative				Qualitative	
Strategies	KII	GIA	RIIC	Themes	Responses (National = 6, HEI = 11 = Regional = 8, GIA = 4, RIIC = 4)
	M				
Technical assistance	3.33			Technical assistance. Non-financial assistance by STRIDE in a form of sharing expertise (how to innovate), instruction (KTTO), skills (curriculum development), consulting services (sending of international or local experts)	<p>“My experience with research is that they’re very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various form.” (H6)</p> <p>"STRIDE is coordinating with us. We asked STRIDE help on turning CIP in Marikina as innovation center. STRIDE made a study and presented it to us. Some recommendation [form the study] were implemented. We asked STRIDE to help us in carrying out seminars and FGD. In order for us on the current shape of innovation in the region. In 2017 we presented IR4. STRIDe sent speakers in this event. We also asked STRIDE to carry out initial innovation assessment in 2015."(N5</p>
Linkages	3.16				"Coming us together like discussing projects over dinner."N2

		Linkage. Networks facilitated by STRIDE and Interactions among GIA to encourage knowledge and technology exchange.	"We have known each other. Mr. Caedo was a member of the Board of Regents of Batangas State University. BSU met Mr. Gualberto through Mr. Caedo. Through them, BSU met seasoned coffee growers on some occasions. Since we know each other, collaboration was easier. There is always the DOST for possible funding for projects. There were also projects with the DTI on MSMEs. (RIIC2)
			"Linkages with stakeholders (the government, industry chamber, MSMEs, etc.) have been rewardingly promoted to converge knowledge assets to sustain local development." (H2)
Policy	2.83	Policy. Setting, formulation, and adoption of STI-related policies assisted by STRIDE	"There's lot of policy improvement assisted by STRIDE."(N2)
			"Hindi ako involved ma'am but based on my experience, there have been no improvements. PICARI is also trying to lobby improvements on the policy environment in research. So, there is still no change."(H6)
			I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI."(A4)
Institutionalizations	2.77	Institution building. Established offices (e.g. KTTO, etc); other initiatives for institution building and sustainability	" Also, the establishment of the KTTO office, ensuring and making a progress that whatever the knowledge that we have

from STRIDE Training, we want it to sustain it. So that is why we put an office and institutionalize this policy."(H9)

"During the strategic planning, the physical office will be hosted by the Davao City Chamber of Commerce of Industry, Inc. (DCCCII), but all these operations manual and the details on this is we're currently still finalizing and on process."" (I4) February to April 2019, that's the alignment activities and institutionalization of the RIIC through the RDC and the adoption of the MLA framework of the." (G4)

R&D PROCESSES OF HEIS			
	f	%	Responses (n = 9 HEI's) *
Increase funding and research	8	89	<p>“Because of the STRIDE, we were able to get funding given our experience and knowledge. We were able to develop a proposal for CHED, under the NAFES (National Agriculture and Fisheries Education System). We are partnering with 4 Local Governments then.” (XU)</p> <p>With strengthened R&D capabilities, the University has attained multi-million funding from DOST.” (CIT)</p>
Improvement in institutional policy	1	11	<p>“The policy provides a technology Commercialization leave. That should be available in place for the next academic year. It is a bundle of policies, the Technology Commercialization Leave.” (DLSU)</p>

* Note: Not applicable to 2 HEIs

CHALLENGES ON EFFECTIVENESS OF STRIDE

Challenges	National n= 6		HEI = 9*		Regional = 5*		Responses
	f	%	f	%	f	%	
Mismatch of competencies and capacity between the academe and the industry. This challenge pertains to differences in the innovation competencies of GI partnerships specifically on mindsets, timeline of institutions, expertise of faculty, and scalability of product after it is developed by academe and industry.	3	50.00	6	66.67	4	80	<p>" From the Planning Office of CHED, some of the challenges in doing industry-innovative research are availability of experts and researchers on HEIs, again this is, capacity. Then connecting the researchers to potential industry partners, and the funding for these kinds of research. It is time to rationalize all these funding." (N6).</p> <p>When we say industry-responsive innovative research, to me, the challenges are really with the academe's schedules. They're really busy. I have a problem with my fablabs, I have fablabs in three Cebu Technological Campuses I am pushing them. We have already put in millions of pesos in their equipment, but they have not been providing innovation because they do not have time. I do not have a problem working with the Academe, but they are just very busy. (R4)</p> <p>"The challenge is what we do after. When we presented our product to Monde Nissin, they had it tested, and it met their quality parameters. They get they dehydrated vegetables in China, so they are hoping that there is a local supplier, but they have not been successful. So, they asked us, what's next? The idea of what to do." (H11)</p>
Protection of outputs (patenting/ indigenous knowledge). Protection of knowledge products/technology (patenting and IKSP)	--	--	2	22.22	--	--	<p>"When we engage research with the industry and we have a project that is patentable, the industry wants to have a share of the patent. That is not on our look-out, that is on our KTTO. There are no existing policies. The university wants the patent solely; however, the industry wants to have a share. The industry shared funds and some chemicals." (H4)</p>

Unresponsive policies. Policies pertaining to processes of purchasing supplies, equipment, contract services, other services, and financing program	2	33.33	--	--	1	20	"CRADLE for new normal." (N2) "Trust, resources and changing of policies – as mentioned above. How flexible are you with the changing policies.I could not say that. There are some orders that come from the central office. What I was mentioning is that if the secretary changes, then it would be a problem." (R7)
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Lack of coordination	1	16.67	--	--	----		"Lack of coordination, adequate funding, electronics roadmap." (N3)
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*Note: * NA = 2HEI, 4 Regional*

ANNEX F

RELEVANCE FGD.1 CRT

1.1 What is the role of STRIDE in the formation of the RIIC?

ROLE OF STRIDE IN THE FORMATION OF THE RIIC					
CODES	RESPONSE	KI	GIA/RIIC	CATEGORY	THEME
Alignment	From the beginning at the onset, we have to make sure that there is no duplication rather a complementation for HEIs. Every province has a cybernetics center. They were able to mobilize the RIIC quickly. Given the limited resources of CHED, we also were able to mobilize.	Government (CHED)	Region 3 GIA	Alignment of programs	Complementation of programs refers to the alignment of programs among HEIS
Alignment	IND4A1: On the part of the cooperative, being a very promising project, specifically, in Siquijor, ACDI is also interested in the local cattle industry to improve the quality of cattle which has the potential to produce for meat and fresh milk for the children. Dairy cattle development is one of the priorities of ACDI,	Industry	Region 4A		
Alignment of programs	UPLB1: She used to work at the Department of Agriculture (DA) Regional Field Office 7 of which Siquijor is one of the provinces in the region. The DA 7 bought Siquijor native cattle; hence the Ubay Stock farm in Bohol has a gene pool. When she transferred to UPLB, went back to region 7 she proposed to STRIDE the project on dairy cattle. She invited UPLB2 who is an expert on molecular biology to join the project. The Stock Farm is also ideal to conduct the experiment because of its large number of stocks. In the project we have two cattle pools: one is the Stock Farm in Ubay, and the other one community based in Siquijor where the stocks are with the farmers.	Academe (UPLB)	Region 4A		
Alignment of programs	IND4A1: On the part of the cooperative, being a very promising project, specifically, in Siquijor, ACDI is also interested in the local cattle industry to improve the quality of cattle which has the potential to produce for meat and fresh milk for the children. Dairy cattle development is one of the priorities of ACDI.	Industry	Region 4A		
Alignment of programs	"HEI71] I would like to connect with what Ms. Mae of Cebu Chamber mentioned. As an institution we have parallel programs and projects. DOST, DTI and CCI have their own programs, CITU have our own commitments. The real challenge is harmonizing these different programs and projects that are in parallel with STRIDE programs and projects. How to connect all of these to have inclusive growth. I see RIIC to be the umbrella that can consolidate the efforts of all these partners. "	HEI	Region 7		

Attitude	Meron po kaming tiwala sa isat isa despite the pandemic.	Industry (CamSurCCI)	HEI GIA DLSU	Trust in partners	Trust refers to creating trust among partners
Benchmarking	I was so impressed with the engagement in Bicol without STRIDE RTI we wouldn't have seen the onsite farms. So, we realize that there is a good potential to have these businesses grow up. Maybe we can be recognized as the best pili industry in the world.	Academe (DLSU)	HEI GIA DLSU	Realization of programs	capacity building refers to the capability of the players to establish innovation activities.
Capacity building	KTTO Impact workshops, more than 50 HEIs and RDIs went. In partnership with UPD, ang resource person po namin sina Doc S (Sison) together with STRIDE. The attendees were the clients in STRIDE. Yung PIEECD. Resource person po namin si UPD.	Government (DOST)	HEI GIA UP Diliman	Guided and provided technical assistance through workshops.	
Capacity building	So meron talagang help through workshops and lectures.	Academe (DLSU)	HEI GIA DLSU		
Capacity building	So yung mga event meet ups sila po nag spearhead nito.	Academe (BULSU)	Region 3 GIA		
Capacity building	We're very thankful for the group of USAID. From the very beginning they already guided us on how to establish the RIIC Davao. They also provided us technical assistance. When we started it's really STRIDE, the group of RIIC, who assisted us in conducting workshops like mapping of the new innovation ecosystem and coming up with activities such as ideation and design thinking workshops. We implemented other projects such as the Innovation for Business Recovery (IBR) and also our marketing research project with CHED. So, they're instrumental in why Davao RIIC is very active. We also got our constituents to work with us in the industry and the academe.	Region 11-Government (DTI)	Region 11 - RIIC		
Capacity Building / Industry responsiveness	Region 10 Industry: The role of STRIDE when we engaged with OROBEST, OROBEST was the main organization that we engaged with from ideation then we went to study our business and then we evaluated. The implementation was in coordination with Ateneo de Manila University (ADMU). After that, there was a monitoring activity after the recommendations have been submitted up to the mentoring stage. The way I see it, it was giving us a bigger picture from the beginning to the end result.	Industry (Oro Handmade)	Region 10 - RIIC		
Capacity building / Partnership	Region 10 Academe: Helped us facilitate in making the proposal. They helped us connect to the stakeholders that will be part in making the proposal and in the implementation. STRIDE has a major part in crafting, formulating, and connecting us to major stakeholders	Academe (MSU-IIT)	Region 10 - RIIC		
Catalyst	From that time on STRIDE has been a catalyst for us in establishing partnerships with Unis and Gov't. There have been a lot of activities before for these two areas, but I think that was the turning point on 2017,	Industry (IMI)	HEI GIA UP Diliman	vital role in establishing	

Catalyst	We had several meetings from this company from Sorsogon and Bicol. During the pandemic, tahimik talaga but because of the initiative of the STRIDE na may contact pa rin kami may work from home kami, so I think we had several meetings with some of these partners, from the government as well.	Academe (DLSU)	HEI GIA DLSU	partnerships	
Catalyst	[IND71]: These are not only a DTI determined set industries. We have economic drivers that we have selected together, and this has been approved by the RDC which we can engaged in, which includes both the existing economic drivers such as foods, ICTs, constructions, and the like. There are also emerging industries which includes the creative industry, and certain agro-fishery industries that are part of the value chain. We are open to the 11 industries that have been identified.	Industry	Region 7		
Catalyst	"[HEI71] helped built the RIIC, served as glue for GIA stakeholders, especially to help MSMEs in the locality, lynchpin in trying to pull significant groups together to achieve results"	HEI	Region 7		
Catalyst	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs'.	Industry	Region 7		
Collaboration	where after that our types of collaboration have increased in terms of value, value meaning we were able to look into how to provide or at least close the gap with these entities. There still is an existing gap. What we're looking at now from those initial engagements is to actually increase the value of those engagements such that there is skin in the game, meaning more value, so that there is a win-win situation for both Academe, Government and Industry.	Industry (IMI)	HEI GIA UP Diliman	bringing their expertise in bridging the gaps between the various parties	collaboration refers to closing the gaps among active players and increasing the value of engagements by creating opportunities to the partners to be active.
Collaboration	Already mentioned the link with the nature of engagement with the STRIDE. For our industry partnerships, dalawa yung mechanisms by which STRIDE helped facilitate the collaboration – one is we have a program called IGNITE and that's based on a lot of the industry, academe and government initiatives initiated by STRIDE so collaboration came from other initiatives they have already done another would be the ideation workshops. It's like dating for industry and academe. We have a lot of getting to know events, but the ideation workshop is really different. We actually never met before.	Academe (UPD)	HEI GIA UP Diliman		
Collaboration	I agree with Sir Erwin Magsakay. We recognize the importance in gathering support of our stakeholders with our MSMEs. So, we had some meetings with BULSU, the business sectors and other sectors thinking of strategies for them. So, the Academe and Industry partner collaboration has been really good.	Government (PSTC-Pampanga)	Region 3 GIA		
Collaboration	Ang kagandahan sa Region 3 is nagtutulong tulungan lahat ng government agencies. We already have 10 HEIs that are included in the RIICs. Angeles University Foundation, working hand in hand with BULSU. New partners – Central Luzon State University, Nueva Ecija University of Science and Technology, Tarlac Agricultural University, Tarlac State University, Don Honoria Ventures University, Bataan Peninsula University, Holy Angel University and Pampanga State	Academe (BULSU)	Region 3 GIA		

	Agricultural University. We like to acknowledge si Dr. Semana (of CHED) to the HEIs in Region 3, so we really appreciate her role.		
Collaboration	STRIDE is the arm of the USAID that's bringing in their expertise in connecting the various parties so talking about the government, academe and the business sectors, they're bringing in their expertise by ensuring cooperation between these GIA partners, especially towards achieving innovation. They're providing know-how, most of the THRIVE team are coming from their staff, when BCCI came on board, they were the ones who helped us catch up with the party since for example BULSU was already part of the program way back. STRIDE was the one who invited everyone to one party so they can talk together. Sila po yung party coordinator naming para mag-usap yung ibat ibang group na to.	Industry (BCCI)	Region 3 GIA
Collaboration	We are a partner of UP Mindanao in IBR and we're grateful for that they are helping in our needs.	Region 11- Industry (Healthy Sweets)	Region 11 - RIIC
Collaboration	I was about to share the same sentiment with the LGU. STRIDE helped us a lot in putting us together. There is now greater interaction between Academe, Industry and Government. Unlike before we just give our own interventions and there is not much interaction between the GIA, but now when STRIDE came in and helped us to come up with an RIIC, we have appreciated it more especially from us in the academe that there is a greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government.	Region 11- Academe (ADDU)	Region 11 - RIIC
Collaboration	We also got our constituents to work with us in the industry and the academe.	Government (DTI)	Region 11 - RIIC
Collaboration	STRIDE has been our convener in our Davao Innovation agenda setting. In our strategic planning, we have actually done our strategic plan for RIIC up to 2030. So that was the role of USAID STRIDE.	Government (DOST)	Region 11 - RIIC
Collaboration	Just like the other agencies we commit to this group to the RIIC. Our services, especially it's one of our primordial functions in higher education, providing research and development. We wish to convey once again our commitment to this group in whatever way we can provide, especially in terms of facilitation of whatever needs that the group may have wherein the higher education institutions are involved.	Government (CHED)	Region 11 - RIIC
Collaboration	STRIDE is doing a good job in bringing together people, especially the government. What I know and learn about science and technology and innovation, I have learned that from STRIDE every time I am invited for an activity. STRIDE is doing a big step in putting forward science and technology and innovation in Davao. Although I am not a direct member of STRIDE, knowing what the things that they are doing, I think this deserves a thumbs up.	Government (LGU)	Region 11 - RIIC

Collaboration	We are a partner of UP Mindanao in IBR and we're grateful for that they are helping in our needs.	Industry (Healthy Sweets)	Region 11 - RIIC
Collaboration	I was about to share the same sentiment with the LGU. STRIDE helped us a lot in putting us together. There is now greater interaction between Academe, Industry and Government. Unlike before we just give our own interventions and there is not much interaction between the GIA, but now when STRIDE came in and helped us to come up with an RIIC, we have appreciated it more especially from us in the academe that there is a greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government.	Academe (ADDU)	Region 11 - RIIC
Collaboration	DTI4A: We actually created a VIBER group with PCCI, VP Amante and DOST to streamline the coordination. But ultimately, the role STRIDE for us is to strengthen the linkages. If I may say, there is a weak link when it comes in the establishment of RIIC. The role of STRIDE is to collect all the strengths of the agencies and merge these para mas maganda ang collaboration for an RIIC.	Government (DTI)	Region 4A
Collaboration	IND14A: Okay naman. STRIDE acts as coordinators for the private sector, academe, and other government agencies.	Industry	Region 4A
Collaboration	UPLB2: STRIDE introduced collaboration between the government and the industry. STRIDE required the proposed project to have a collaborator from the industry but added the Province of Siquijor, Bohol Island State University (BISU), ACDI Multipurpose Cooperative, and other two cooperatives.	Academe (UPLB)	Region 4A
Collaboration	LGU4A: LGU Siquijor is a partner of UPLB in the STRIDE project during the first phase of the project.	Government (LGU)	Region 4A

Collaboration	[DOST7] Science and technology for inclusive growth mandated by the Philippine government, STRIDE has brought this together by wielding the team of the government, industry, and academe partners. STRIDE helped	Government (DOST)	Region 7	
Collaboration	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.	Industry	Region 7	
Collaboration	[IND71]: These are not only a DTI determined set industries. We have economic drivers that we have selected together, and this has been approved by the RDC which we can engaged in, which includes both the existing economic drivers such as foods, ICTs, constructions, and the like. There are also emerging industries which includes the creative industry, and certain agro-fishery industries that are part of the value chain. We are open to the 11 industries that have been identified.	Industry	Region 7	
Lead agency	HEI4A1BSU was identified as the lead agency, as the anchor as RIIC. We are not alone with this. We are in partnership with PCCI, DTI and DOST.	HEI	Region 4A	
Commercialization	Yung output, and the highlight of the project with the 14 universities are the licensing agreements, so may mga RDI owned projects na ma commercialize.	Government (DOST)	HEI GIA UP Diliman	commercialized outputs
Communication strategies	Creating a marketing opportunity for our MSMEs, we are crafting, and we already have a bridge bicol website and fb page na yung partners namin and MSMEs ay ineencourage naming magupload ng products and company profiles para mapromote yung products niyo.	Industry (CamSurCCI)	HEI GIA DLSU	marketing opportunities for MSMEs through social media

Curriculum	<p>The other one has to do with academic programs, normally kasi academic programs, we tend to be ostriches, ivory tower head in the sand mentality but one recent initiative where we had an interaction with IMI was to develop a new kind of program the PSM with STRIDE and the goal of that program was to have industry involvement built in, not just in terms of the student interacting with the industry, but even right at the beginning as the program was conceptualized we already had significant industry inputs. STRIDE created several curriculum workshops with UP and several industry partners, so that's the most recent work in progress.</p> <p>We are doing the curriculum now. Matagal yung process, and di pa kami nakakuha ng approval but we already have implemented transition programs to put the best practices in the programs. In fact, we already have graduated a transition batch using an intermediate program.</p> <p>It was primarily a START program; it was a new concept to have this kind of curriculum design and development process. The most that we had in terms of industry connection for a curriculum program was more towards the end, so that's thesis mga ganun or internships. So, this new mode was primarily initiated by STRIDE. We learned a lot. Both IMI and VistaLand participated in these workshops, and this was an eye opener for us in terms of understanding. STRIDE provided us a framework for convergence for the curriculum design.</p>	Academe (UPD)	HEI GIA UP Diliman	provided us with a foundation for curriculum design convergence	creating curriculum design refers to the participation in actively creating academic programs
Funding	For our project with Filipinnovation it was funding. They bring in foreign consultants that would elevate innovation here in the Philippines. They also have that valuable role of ensuring sustainability that they can leave the legacy of training faculty, researchers and entrepreneurs	Academe (DLSU)	HEI GIA DLSU	provided funding sources to ensure sustainability	Funding support refers to the financial support provided for the project
Funding	Region 10 academe: STRIDE funded the project under the CARWIN window	academe (XU)	Region 10 - GIA		
Funding	UPLB1: STRIDE provided the financial support of P10M [AC Rola for phases I and II?] to the project which ended in 2017. The cooperation with the partners including ACDI, provincial government of Siquijor, and other local cooperatives still exists up to the present.	Academe (UPLB)	Region 4A		
Funding	[DOST7]: We have our own item. We have our own role in the RIIC to collaborate with the different industries and academe in relation to technology in need for the development of innovation among MSMEs. We have our own funding. We have different programs (i.e., small enterprises, etc.) and services that DOST can offer.	Government (DOST)	Region 7		

Industry responsiveness	Enabling them to meet with their partners. I believed in the role of academe in the growth of industry and our enterprise. Through the sessions we had with her (Dean DLSU School of Business), the academe urged us to look beyond the pandemic. I embraced everything made by their study. The study provided us a clarity of action as to how to handle the problems of the past and present and how to handle the future. We have followed all her suggestions we really went through each one of them and they are doing so well, far better than we expected. The STRIDE provided the opportunity, DTI provided the information, but most of what we have done right now is made possible by the linkage we made with Emilina Sarreal. We also opened ourselves to working with the fablab of Bicol.	Industry (PhilExport)	HEI GIA DLSU	enable to respond to the problems of the industry	Industry responsiveness refers to the activities that was made to answer the problems of the industry
Institution building	IBR partner, Innovation guidebook for the industry.	Government (DTI)	HEI GIA DLSU	provided very	enabling factors refers to the
Institution building	We're thankful for the USAID STRIDE in guiding the region in crafting the RIIC. STRIDE provided very strategic and organized approach in leading the formation of the core-group particularly the technical working group. They are very immersed in the conceptualization, crafting the activities and as well as implementing it. The involvement of STRIDE is very heavy particularly na hindi kami iniwan dahil within the journey they were there.	Government (CHED)	Region 3 GIA	strategic and organized approach in leading the formation	mechanisms that made the programs, activities, and intervention kept on moving forward.
Institution building	Maganda yung mapping, and initially we will be moving forward smoothly kasi naka-map siya. The MSMEs will be gathered.	Government (DTI)	Region 3 GIA	of the core-group	
Knowledge transfer	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs'.	Industry	Region 7	particularly the technical working group.	
Policies	Region 10 Government: Paved the way as policy support, helped us in coming up a resolution which we endorsed it to the RDC. It was done in 2019. The resolution specifically states that [RDC] is supporting the establishment of the RIIC in Region X. That was the policy support that paved the way with the intervention of STRIDE. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.	Government (DTI)	Region 10 - RIIC	Paved the way as policy support, helped us in coming up a resolution which we	

Changing policies	HEI4A1 STRIDE as convenor. They are very much involved in the RIIC. It was Marela who originally contacted BSU to form the RIIC in CALABARZON through the line agencies, it was officially approved by the Regional Development Council.	HEI	Region 4A	endorsed it to the RDC. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.
Supportive admin	Government (PSTC-Pampanga) – with the commitment of the team talagang tatawagan, all means, na may representative for every meeting. That is why kahit papaano hindi ganun ka delayed kahit with the pandemic, so kudos po for the team. So, thank you so much for the extended help especially with DOST. We rarely discuss these to ourselves kasi kailangan naming tawagan lahat ng DOST offices.	Government (PSTC-Pampanga)	Region 3 GIA	able to communicate with the team despite in a pandemic.
Technical assistance	Mapping, Linking and Aligning activities, STRIDE has been very visible. So linking and progressing the region, STRIDE was successful. Even, na trace naming yung R&D facilities, and even with government agencies we had convergence so nagkakatulungan.	Academe (BULSU)	Region 3 GIA	they helped us conceptualize and
Technical assistance	Region 10 Industry: The Oro Chamber and Industry came in 2018. On the 2nd extension, that is [the time] when we joined the RIIC. Maybe the part of STRIDE was to conceptualize and operationalize the RIIC. when Oro Chamber joined in the RIIC program through the launching of OROBEST Innovation program, they helped us conceptualize this and provided us learning activities and collaborative engagement as well as technical support and mentoring.	Industry (OROBEST)	Region 10 - RIIC	provided us learning activities and collaborative
Technical assistance	[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.	Industry	Region 7	engagement as well as technical support and mentoring.
Coordination	DTI4A: Region 4A is really at the early stage of its establishment. Unfortunately, the Taal Volcano eruption and the pandemic happened simultaneously, and it would be difficult how can really STRIDE assist the RIIC. Primarily, overall naging maganda naman yong coordination. One of the STRIDES Focal person, Ms. Marela. I can talk to her on RIIC concern and easier to coordinate.	Government (DTI)	Region 4A	

"1.2 What is the additional assistance introduced by STRIDE to strengthen your partnership as GIA? Follow up: Which of these received funding (infrastructure, research grants, capacity building, etc.) from STRIDE, government, or private organizations? (i.e., to meet gap in funding?)"

ADDITIONAL ASSISTANCE INTRODUCED BY STRIDE TO STRENGTHEN PARTNERSHIP AS GIA					
CODES	RESPONSE	KI	GIA/RIIC	CATEGORY	THEME
Benchmarking	They gave us an opportunity to see what other RIICs were doing. We were able to improve our plans from RIIC. Ito po yung best-practices ng other RIICs, ano ba yung mas angkop sa Region 3?	Industry (BCCI)	Region 3 GIA	Able to witness other RIIC's activities in order to improve own plans for RIIC.	Overall Capacity Building refers in providing training, seminars, and sessions in order to enhance the capacity of the key players in doing the projects
Capacity building	One of the assistances na na provide nila during the KTTO assistance they didn't only provide the venue and the program, but they also trained the trainers. They opted to train the staff of Doc Louie which is also not limited to UPD but also to DLSU. So, it's basically trained the trainers, so we already have capabilities to train the people here as well.	Government (DOST)	HEI GIA UP Diliman	provided the venue for KTTO and conducted technical training	
Capacity building	Right now, the industry needs more technology-based trainings and as we go into the direction of heavy mechanization to reduce manual labor, I think we can have collaboration in terms of this direction, we will welcome it. We wanted more technical trainings, capacity building, even introduction to new technologies that we know but have not been adopted.	Industry (BCCI)	HEI GIA UP Diliman		
Capacity building	I just remembered one more STRIDE initiative. So, dun sa aming technology transfer one of STRIDE's biggest initiatives is the FEC Filipinnovation Entrepreneurship Core and partner namin yung DOST. It's patterned after the US's ICORE. The primary participants of the program are researchers of the HEIs and RTIs. So, we had several participants there. It helped the participants to connect with Industry and the skills to look at setting up the collaboration. Think of it as a very structured getting-to-know-you.	Academe (UPD)	HEI GIA UP Diliman		
Capacity building	When STRIDE organized a series of FGDs and Planning Sessions with the Pili Industry and the Stakeholders in Bicol in 2019 participated in by BU, DA, DTI, PCIEERD, industry players, we became aware of the various programs and services that could be had as well as the opportunities to be able to work together to drive growth in the industry.	Industry (PhiliPILI)	HEI GIA DLSU		
Capacity building	Am not privy to this, but I believe some funding has been granted for capacity building.	Industry (PhiliPILI)	HEI GIA DLSU		

Capacity building	Region 10 Industry: STRIDE provided capacity building with appropriate and best resource speakers, consultants on webinars and innovation talks and training for those who pitch. Also, they provided workshops for the ideation for the industry and academe to meet. Before the pandemic, they have the budget of the ideation workshop for the industry and academe will meet and discuss what they can come up with. During the pandemic, we meet online and do virtual ideation. They also provided the resource and facilitator from UPSCALE innovation hub. They did a lot of learning sessions for us. They guided us in making the 5-year strategic planning and roadmap. Late last year, they introduced us an MLA (Mapping, Linkaging and Aligning) Methodology.	Industry (ORO Chamber)	Region 10 - RIIC
Capacity Building	Last year, the OROBEST Bridge program, which is the direct consultancy and guidance to help MSMEs rethink their operations within the COVID-19 setting in the development of the individual business strategies that can help them recover through innovation. It comes in three (3) phases; assessment, post SNS (suggestive next steps), implementation and monitoring. Mr. Ray and Ms. Cabanlet are recipients of this aside from the other programs that they had.	Industry (ORO Chamber)	Region 10 - RIIC
Capacity Building	They helped us capacitate the people. They trained Ma'am Pat Cruz to train in managing the KTTO.	Academe (MSU-IIT)	Region 10 - RIIC
Capacity Building	It gave us confidence to traverse innovation ecosystem landscape.	Academe (MSU-IIT)	Region 10 - RIIC
Capacity Building	We were able to get the support of STRIDE particularly in the facilitation of the Ideation Workshop. Second, on the Capacity-building of our faculty researchers on the areas of KTTO that we want these research output to be adapted, used, utilized by the particular industry.	Academe (USTP)	Region 10 - RIIC
Capacity Building	All of these are being facilitated and we are being trained by STRIDE. Lastly, on capacity-building on our personnel who is managing the TBI, wherein every year we are going to develop some entrepreneurs in the startups which we also introduce them to the Oro Chamber and to be part of its members. That connection is very important to us because there will be an additional network for them to get partners and to be funded.	Academe (USTP)	Region 10 - RIIC
Capacity building	HEI71] USAID STRIDE is the key player wherein we are able to develop further our capacity as a university to extend our R & D capability to the communities. Three years ago, we were able to join a capability-building program of DOST supported by STRIDE to build our technology biz incubation lab, and second, building our capabilities in terms of technology transfer. These capability-building programs of USAID STRIDE have enabled us to extend our R & D capabilities to our MSMEs in the localities which is key to fostering the growth of the RIIC in the region.	HEI	Region 7

Capacity building	UPLB2: Capacity building with the SUCs. Part of the project is capacitating the SUC partner. UPLB1 and UPLB2 went to the United States and Australia for study visits. STRIDE also had a scholarship program where one of the staff went to Iowa State University for a six-month training.	Academe (UPLB)	Region 4A		
Capacity building	BSU: STRIDE never promised to give funding.				
Capacity building	[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.	Government (DOST)	Region 7		
Industry commitment	ACDI1: ACDI shared the principles and experience of a stable cooperative to small cooperatives in Siquijor and Bohol. ACDI which has branches all over the Philippines has large membership composed of retired military personnel and family. ACDI can also assist in marketing the products like processed meat of cooperatives in Bohol and Siquijor.	ACDI	Region 4A	established partners	Effective collaboration this refers to the partnerships among key players which resulted to adoption of technology by having good communication strategies.
Collaboration	There have been instances where USAID STRIDE through their linkages in the US and other countries have actually referred or proposed to us collaborations outside the Philippines. This has been introduced to us, since we are a global company, we are also able to get these opportunities as well.	Industry (IMI)	HEI GIA UP Diliman		
Collaboration	It however is managed by all our partners. We have a lot of information in our respective agencies, and we want to share this with everyone particularly in research and innovation. DTI is the lead, but it is co-managed by our other GIA partners.	Government (DTI)	Region 11 - RIIC		
Commercialization	We are trying to sell the technology present in the academe. STRIDE facilitated a meeting with Saliksik.ph to curate technologies and research technologies and put in a database. This has been captured by the DOST and has been approved already for the OROBEST Regional research database. Sometimes the academe will present, and it is too technical that sometimes the industry cannot understand. Now we have four (4) signed technology transfer. By way of our convergence, we were able to get one of our objectives which is adoption of technology.	Industry (ORO Chamber)	Region 10 - RIIC	trying to sell the technology present in the academe	
Communication strategies	They helped us in our communication strategy for our OROBEST innovation program as well as the innovation guidebook.	Industry (ORO Chamber)	Region 10 - RIIC	helped in communication strategy	
Curriculum	The first is the joint curriculum development with IMI and VistaLand, where they were involved in the design of our PSM supply-chain project	Academe (UPD)	HEI GIA UP Diliman	involvement in the joint curriculum development design.	Curriculum Design this refers to the involvement in the joint curriculum

					development design.
Digitalization	We need to emphasize that while the world considers industry moving into IR 4.0 we in the Abaca industry are still in IR 1 --mechanization but working with DLSU challenged us to into considering digitalization.	Industry (PhilExport)	HEI GIA DLSU	digitalization of outputs.	Digitalization this refers to digitalization of outputs.
Funding	Region 10 academe: Only funding. There were short programs before wherein they asked us to present our project or pitching presentation during one of the gatherings but basically it is more on the research funding. We received funding twice	academe (XU)	Region 10 - GIA	research funding	funding support this refers to the research that were funded
Funding	We have research that was funded by STRIDE. There are several programs that we have partnered with STRIDE.	Academe (MSU-IIT)	Region 10 - RIIC		
Funding	Region 11 government: We funded the development of iStrike Davao, the website.	Government (DTI)	Region 11 - RIIC		
Industry responsiveness	In academe usually tayo-tayo lang, so we really didn't have the framework in which industry partners can work with, so ito po yung mirroring ideation workshops. This helped us to talk to industry companies and to propose the technologies needed.	Academe (UPD)	HEI GIA UP Diliman	understanding the needs of the industry to adapt the research output	Industry responsiveness this refers to identifying the needs of the industry to adapt the research output through partnerships and institution building
Industry-responsiveness	That engagement where research output needs to be promoted and we have to understand what the needs of the industry for them are to adapt the research output.	Academe (USTP)	Region 10 - RIIC		
Institution building	The DTI 5 has been a partner of STRIDE on IBR or Innovation Business Recovery. STRIDE tapped the expertise of Dela Salle for the project. DTI 5 identified the 4 MSMEs, initial beneficiaries of the project. Likewise, we are part of the BRIDGE Bicol, of which partnership extended to other government agencies and industry sectors. BRIDGE Bicol is still being implemented to date.	Government (DTI)	HEI GIA DLSU	activities that STRIDE helped us in implementing these activities.	
Institution building	We have TBI and FabLab. We also have activities that STRIDE helped us in implementing these activities. We have the KTTO that we owe it to STRIDE.	Academe (MSU-IIT)	Region 10 - RIIC		
Partnership / Start ups	Now the export incubation program. This is a partnership with DTI, but STRIDE has a major role in providing startups of our partners in that activity. We also have market research with XU, to provide venues to meet potential partners.	Industry (ORO Chamber)	Region 10 - RIIC	provide venues to meet potential partners	
Policies	PhilPILI as the Pili Commodity Board has committed to develop industry policies that are science-based and technology driven, hence the STRIDE program is a welcome one.	Industry (PhilPILI)	HEI GIA DLSU	able to develop industry policies that	Industry Driven Policies

Policies	Region 11 Government: Based on our activities and experiences with STRIDE, I will cluster this with products and policy, as STRIDE has helped us to craft our innovation guidebook and the business impact survey to our MSMEs and aligning our programs and projects from different agencies. We have iStrike Davao is a unique innovation made by the RIIC through the DTI. It is a portal, a one stop shops for programs and services that the MSMEs can access. In terms of policies, we chaired the DOST XI the RRDIC (Regional Research and Development Innovation Committee) of the Regional Development Council (RDC). There are several policies that were lobbied through RRDIC, and it has been approved and the resolution has been endorsed to the RDC. The latest policies have been on the COVID-19 related-policies with MSMEs and done by the UP Mindanao team as our researchers	Government (DOST)	Region 11 - RIIC	are science-based, and technology driven	this refers to developing industry policies that are science-based and technology driven by aligning programs and projects from different agencies
Policy support	DTI: By virtue of the RDC resolution, the RIIC was created. But to make it impactful for the beneficiary and for the general public, mas maganda may launching na. STRIDE provided assistance by bringing in the consultants to give other options, perspective on geographic indicators (GI) on how things can be done and suggestions on what are the best options for RIIC, e.g., possible fund sourcing.	Government (DTI)	Region 4A		
R&D Ecosystem	The second mode of collaboration with GIA was collaborative research. In the collaborative research, two of our partners represented here have on going collaborative research agreements with UP, Vistaland and IMI, both in terms of our material sciences program. STRIDE is not as involved now in terms of the conduct of the collaborative research but when it comes to the dating, they co-facilitated several of the Ideation workshops with us. So, these are some of the collaborations that have resulted from the ideation workshop.	Academe (UPD)	HEI GIA UP Diliman	collaborations that have resulted from the ideation workshop and involvement of partners in doing research	Collaborative research this refers to involvement of partners in doing research
Knowledge transfer	[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.	Government (DOST)	Region 7		
Resources	Providing us the expertise but also the personnel.	Industry (BCCI)	Region 3 GIA	Provided human resource and technical assistance	Shared resources this refers to the provision of resources to key players
Supportive admin	Gusto ko pong ipagmalaki ang ating SUCs especially BULSU. Isa po sila sa prime movers. And the mere fact that they were chosen to be the Regional Cybernetics Center (RCC) and the RIIC of the Region is already an image built by the BULSU. For BULSU we have research grants also. One and very prominent recipient of the SMART Campus under the Bayanihan 2. So meron pong certain provisions to build our SUCs so 11 universities in the region were provided financial assistance through SMART Campus.	Government (CHED)	Region 3 GIA	universities in the region was provided financial assistance through SMART Campus.	

Technical assistance	Mentoring po. Mostly the personnel involved in THRIVE was from BULSU but the one who guided them was an expert from STRIDE who was guiding these personnel so that they weren't completely starting from scratch.	Industry (BCCI)	Region 3 GIA	Offered mentoring sessions and guided the personnel so that they weren't completely starting from scratch.	Technical assistance this refers to the provisions; financial or mentoring support, that was given to the key players.
Technical assistance	We are engaged with STRIDE for the OROBEST Bridge program just last year. Other than the technical support that STRIDE has provided, STRIDE also provided funding support to the faculty consultant who acts as the leader facilitator to conduct the key activities of the program. Ms Querites mentioned that in the conduct of R&D sessions, SNS, STRIDE provided the funding for us to tap expertise from faculties from different colleges in the university. The assistance of STRIDE was key in the design of the program and the instrument. With the program and instrument, we are ensuring that the process flow is developed and can generate data driven output yet still friendly to MSMEs. With that connection, the direction is clear where the program wants to go.	Academe (XU)	Region 10 - RIIC		
Technical assistance	Region 11 government: no funding that I know of.	Government (LGU)	Region 11 - RIIC		
Technical assistance	Region 11 government: In STRIDE there was no monetary funding, it's more technical assistance. Rapid needs assessments, up to the innovation of the IBR there have been technical assistance.	Government (DTI)	Region 11 - RIIC		
Procurement	IND24A: The greatest challenge is the government procurement system. IND24A: There are project requirements which necessitated to buy from ordinary traders. The government is asking for a lot of registrations like PHILGEPS. PCCI/BSU is buying elite seeds for the revival of the mother Liberica, which is a rarity. The government is telling us to buy anywhere provided it is registered with the government procurement system which will not work with their project. It defeats the purpose of establishing the pure Barako Coffee industry.	Industry	Region 4A	Issues purchasing equipment	Conflicting policies Refers to the policies that needs to be reviewed that are not aligned to the key players' mechanisms in doing the project.

1.3 What are the challenges of partnership in putting up the RIICs and how are they addressed?

CHALLENGES OF PARTNERSHIPS IN PUTTING UP THE RIICs AND HOW THEY ARE ADDRESSED					
CODE	RESPONSE	KI	GIA/RIIC	CATEGORY	THEME
Alignment to the thrust of university / Knowledge creation and increase in KAP on innovation and technology	Region 11 academe: Time constraints that we have as faculty members of the university, especially in the delivery of the IBR plans for the MSMEs. We're also challenged to somehow integrate the IBR related activities in our academic programs, like in Master's in Management and in Agribusiness Economics. We are doing something about this to possibly integrate some of our services to the RIIC. Third, somehow, we have encountered some limited information on the various government programs for the MSMEs, although this is the initial stage of our IBR engagement, in such a way that they were not readily able to match the needs of the MSMEs to the specific programs of the various government agencies. Again, this is from initial stage of our IBR engagement. Fourth, we have also some challenges in terms of exposures of our faculty members to the industry. In such a way some of us were encountering problems with coming up with a good IBR plan for the identified MSME. Fifth, would be limited training on certain technical assistance required by the MSMEs particularly marketing intelligence and FDA registrations. Finally, the asymmetric information with MSMEs is what we all encountered also that is a problem, because of this, the information was very limited in such a way it also affected the formulations of the IBR for the MSMEs. These are the problems we encountered in our IBR engagements so far.	Academe (UP Mindanao)	Region 11 - RIIC	Time constraints key players have, especially in the delivery of the IBR plans and limited information on the various government programs for the MSMEs.	inhibiting factors this refers to the limited time and information for the delivery of the outputs.
Data needs	IND71] Time management because we are in the middle of a pandemic now. We are addressing many very critical issues which includes the survival and continued operations of the MSME's. This implies the lack of time to be able to provide solutions to their problems. The needs may not just be about technical but may also include linkages or even rebooting their operations and their business models. We should really match the MSME needs and requirements with the academe expertise. Market demographics are changing, and industry cannot provide timely data.	Industry	Region 7		

Awareness	possible challenges would be promotion of the website. Although nalaunch na po, but problem is the promotion that we have RIIC and these programs and services and the MSMEs. It would be good to improve the promotion and also to keep it updated to help our MSMEs. Maintaining and updating our website will help MSMEs grow. BULSU THRIVE po yung nag mamanage ng website. DTI Regional Office has provided information on the facilities and other relevant information needed for the RIIC. From time to time we are coordinating with BULSU and Industry Sectors so they would know the present status of our MSMEs in Bulacan. I think RIIC will play an important role in preparation for the creation of the new airport.	Government (DTI)	Region 3 GIA	improve the promotion and also to keep it updated to help our MSMEs and become active partners.	Awareness this refers to involvement of the key players to promote the innovation and to be active.
Awareness	Region 11 government: Our challenge is how to become more active partners. We know bits and pieces as we were invited here and there, but we don't have any focus.	Government (LGU)	Region 11 - RIIC		
Communication strategies	One of the challenges, sometimes there are disconnects when it comes to communication since we have the Government, Industry and Academe, so dito lang po sa FGD natin may problema in terms of getting everyone together. It's more of a logistics issue, it's actually one of the things that I want to recommend. So, if we really want to continue this we already have recurring meetings since we have different schedules. Ito po yung nagiging detriment, it's hard to set a meeting then find everyone's schedule. Similar to a board schedule, it might be easier to schedule. On the side of the BCCI, we have our own secretariat, and I would be stepping in to be the point person with regards to the THRIVE program. I can't speak for the government offices on who would be taking lead on their sides.	Government (CHED)	Region 3 GIA	disconnects when it comes to communication since players are coming from different institutions / agencies / organizations.	Communication issues this refers to the dynamics in disseminating key players gathering
Communication strategies	On networking, we thought this was a problem especially with the pandemic but with the help of STRIDE, once they pushed for the programs networking was made easier	Academe (BULSU)	Region 3 GIA		

Differing mandates	May kanya kanyang mandates, the HEIs, the provincial and regional offices of DOST. So, for us DOST, nakaharap kami with MSMEs and may mga programs po sa DOST where we can submit proposals for funding on research and development yung CRADLE po with MSMEs. So, when we partner with HEIs there's a problem of matching them to industry. So, with THRIVE CL, naka network na, madali na naming ngayong mahanap yung imamatch namin. For Thrive Central Luzon, wala pa kaming proposals, but we have talked about this with VP Magsakay. During the National Science Technology Week, we will be highlighting an activity where MSMEs will gather to present mapped expertise of HEIs para lututang yung requirements ng MSMEs kung san sila required. MSMEs usually cannot find the problems on their own, so they need help in matching who can help them. We have CRADLE programs but not under the THRIVE CL. With the THRIVE we can really connect with partnering HEIs and Industry.	Government (DOST PSTC Pampanga)	Region 3 GIA	One challenge before was how to complement programs and activities to all players.	Different Dynamics this refers to the different mechanisms that are present in every institution/office that may hinder the development of the project.
Differing mandates	One challenge before was how to complement RIIC and RCCs but we were able to help this and clear out the delineation of work	Government (CHED)	Region 3 GIA		
Differences in policy	[DT17] We have shared service facilities such as fablabs. We need however a national policy as shared service facility is not for private university.	Government (DTI)	Region 7	Different policies are implemented in each key player	
Differences in policy	UPLB2: STRIDE did not require a MOA between UPLB and STRIDE to release the funds.	Academe (UPLB)	Region 4A		
Differences in policy	HEI74] Speaking from experience in the past, a couple of year ago, we submitted a proposal to CHED for a grant related to a distance education project, after preparin. HEI74) But we are happy that DOST is not discriminating us, both private and public universities are welcome with them. [HEI73] We have no problem with DOST. I am not sure with DTI, but with CHED, we have a problem. everything, we were informed that we were not qualified because we are not an SUC.	HEI	Region 7		
Financial structure	First challenge would be financial in nature. Accounting in the academe is different from the government. The first really is the challenge on the consistency or the alignment of financial accounting for academe and the funder which are usually governments.	Academe (DLSU)	HEI GIA DLSU	alignment of financial structure in the academe and government.	
Flexibility	For STRIDE naman we don't have a problem with them because they give us a free hand. Humihingi po sila sa amin ng business plan business realignment and on how we can align our expenses. Kung	Academe (DLSU)	HEI GIA DLSU	flexibility of the budget allocated when	

	sa government kasi if hindi naka align sa budget yung ginamitan niyo may problema na agad kami.			the project is funded by the government.	
Funding	Is there an evaluation made before you submitted your final report? Region 10 academe: They had their regular monitoring during the project implementation. What was the role of CHED? CHED came after STRIDE. The experience that we gained from STRIDE, our focus was on the industry, and we have understood the farmers. In CHED's project, we focused also on the farmer's side. So, we were able to make mobile apps to assist the farmers. The farmers' practices are very traditional, even recording is a problem, and pest management and application of pesticide.	academe (XU)	Region 10 - GIA	There was a regular monitoring during the project implementation	Monitoring and Evaluation activities this refers to the regular monitoring and evaluation activities of the project implementation
Funding Opportunities	[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.	Government (DOST)	Region 7		
FabLab	[HEI71] CITU has its own fab lab (called maker's space) which is internally funded and is now part of the fablab community, even if we are not a state university.	HEI	Region 7	Provided funding opportunities	Provision of funds Refers to the funds that were allocated for the project
Funding opportunities	UPLB1: ACDI issued half a million pesos for the Catulayan Cooperative as a small brother big brother assistance.	academe (UPLB)	Region 4A		
Funding Opportunities	[DOST7]: We have our own item. We have our own role in the RIIC to collaborate with the different industries and academe in relation to technology in need for the development of innovation among MSMEs. We have our own funding. We have different programs (i.e., small enterprises, etc.) and services that DOST can offer.	Government (DOST)	Region 7		
Industry responsiveness	Many research have been done for the pili industry by various HEIs/SUCs and other research arms of government agencies, however, the industry does not have full access to these.	Industry (PhilExport)	HEI GIA DLSU	commitment of the industry partners in co-innovation and co-operation of the project.	Industry-Academe Relationship this refers to the mechanisms and policies in the partnership of the academe and industry in doing the project.
Industry Responsiveness	Region 10 academe: For the challenges that we had first is in the part of MSU-IIT especially on the call of OROBEST last time in terms of stoneware. The best part is actually coming up. The second problem is coming immediately from the industry and understanding what we can do and conglomerating on what are the things that we can do on our part and what we can't do and then planning on the future of the activities.	Academe (MSU-IIT)	Region 10 - RIIC		

Industry Responsiveness	Another challenge is on the specific activity understanding, because it has something to do with the deliverables from the industry part and what we can deliver to the industry. That is why Dr. Bernales a while ago and Dr. Jamil, part of their presentation actually is on the commitment also with the industries. We apply co-innovation and co-operation.	Academe (MSU-IIT)	Region 10 – RIIC	
Industry Responsiveness	because of that the challenges that we have is to answer immediately what the industry needs. Since we cannot deliver immediately what they need so we have to come up with a background IT and the transparent communication with the industry and this is the challenge as they have their own timeline, and we have our own. We have to have that certain overlap and we have to free that overlap with them, so it is the time framing and coming up with the deadlines with the industry. Another is keeping what is confidential.	Academe (MSU-IIT)	Region 10 - RIIC	
Institution building	When we collaborate with Industry the technology transfer is always going to be a problem, along with IP and so on. We've gotten a lot of advice on that, part of the KTTO training involves how to set up these kinds of partnerships negotiating, so part yun ng program nila kasi yan yung “dating” and yung engagement, the last part naman yung negotiation yun yung kasal. The negotiation is leading to the nuptial agreement and marriage. So, for example for our collaborative research right now we have to anticipate that the goals of that research will be met and so what's next after that? That's also covered under the KTTO training. Yun yung challenge, yung last stage will really be a challenge for us. STRIDE has provided some training to address this. Now they have a manual. We are actually rolling out a training program for that Manual.	Academe (UPD)	HEI GIA UP Diliman	establish policies on KTTO when transferring technology to the industry
Institution Building	We tried to plan this out with Ma'am Pat before our training with the USAID STRIDE in establishing the KTTO. because of that we try to immerse ourselves. In 2017 our KTTO office was successfully approved which started as an IPU (Intellectual Property Unit),	Academe (MSU-IIT)	Region 10 - RIIC	
Institution Building / Technical Assistance	Region 11 government: Recently, we made an ordinance that establishes an invention innovation center. We'd like to thank DOST and DTI as we craft this ordinance because we are serious to help, promote, and even in terms of funding, technical, capacity building, marketing etc., that we can do for our Davao innovators and inventors. We now have this ordinance in place, and we are looking on how to implement it now.	LGU	Region 11 - RIIC	

Mutual benefits (Opportunities)	ACDI1: The assistance is for the cooperative to procure quality dairy cattle produced out of the STRIDE project. If their dairy project will not develop, the cooperative can have meat processing. The money issued to them will be used in the procurement of native cattle. Moreover, as the cooperative develops, it will be the source of hybrid local cattle of ACDI.	ACDI	Region 4A		
M&E Tool	Region 10 Government: Provinces that are actively engaged are Misamis Oriental, and Misamis Occidental (Iligan). Now we are seeing the replication of the program in Bukidnon, so there is need for a regional structure to monitor the results of the performance of each partner. As what we did in the OROBEST, initially we have core members then we progress accordingly enrolling all other major players. All the other players are considered together with the OROBEST and ILIGANiCE that is one way going forward. But there is no problem right now with the convergence. Each of the local innovation program, OROBEST and ILIGANiCE have their management structure in place. What we really need is to oversee the M&E as far as the RIIC implementation in the region. We are really tracking the performance and ensuring that all the result of the different partners will be taken into account. That is to compliment the regional positioning as the innovation hub in this part of Mindanao.	Government (DTI)	Region 10 - RIIC	Missing M&E tool on the progress of the local innovation programs	Establishing of M&E Tool this refers to the tool that can monitor the results of the performance of each partner and to track the performance and ensuring that all the result of the different partners will be taken into account.
Pandemic restrictions	Another limitation would be being that our campus is closed off which makes it harder for us to collaborate with government.	Academe (DLSU)	HEI GIA DLSU	mobility constraints caused by the pandemic.	Mobility constraints this refers to the limitation of development of the project due to the pandemic
Partnership / Collaboration	Region 10 industry: The program is good. We don't have any problem with the university. In fact, we have a very good coordination about the project. I don't see any problem with that. We had a very smooth transaction and coordination. There were delays because of certain issues, the rest are okay.	Industry (Monde Nissin)	Region 10 - GIA	ability of the academe to scale up the technology for the industry.	Scaling up of the technology refers to the ability of the academe to scale

Partnership / Collaboration	Region 10 industry: We had a project with XU on dehydrated vegetables. Currently, we are using carrots and chives from China, so we import it. We have also CSR program. We were very happy that we were contacted by XU for this project because we also wanted to help our farmer. We gave XU some samples of what output we want. The problem here is that farmers only produce, but they don't process it. As a company, certain standards are important to us. Producing a carrot is not a problem, but processing it is a problem. That is why XU came and we want to help the farmer to process it.	Industry (Monde Nissin)	Region 10 - GIA	There is also a delay on the response on the submitted research proposal grant.	up the technology for the industry.
Partnership / Collaboration	Region 10 academe: The farmers in Bukidnon, they are producing high-value vegetables. They frequently supply it to a trading hub in Cagayan de Oro. The prices do not stay the same or are not always profitable, so much of the carrots, especially if the prices are very low, it will be thrown away. So, we thought of dehydration as a possible way of minimizing the losses of farmers. When we had our first project with STRIDE, we interviewed manufacturing companies on who are using dehydrated vegetables, and that is why our team met Mr. Welly Toha, who is kind enough to introduce to us the background on how to use the vegetables. We wanted to help the farmers. Make their livelihood more sustainable. We focused on 2 vegetables, carrots and squash. Our partner on carrot dehydration is Monde Nissin. Our partner on squash dehydration is Santiago Fresh Mike. We were able to give Mr. Welly our sample carrots and they tested it and it was similar to what they get in China. The next question was, what is next?	academe (XU)	Region 10 - GIA		
Partnership / Collaboration	Region 10 academe: For squash dehydration, Mr. Teope they are producing Fresh and Dry Pancit Miki. They are using squash powder as a substitute for natural coloring. They tried in drying squash before, but they find it rigorous, because they only use sun drying. Mark was able to design a dryer to dry squash better. Sun drying would take days for the squash to dry. Some of these samples from sun drying squash results in having molds. We designed a dryer that is circulating air and it is more sanitary. The powder can be mixed to their mixture.	academe (XU)	Region 10 - GIA		

Partnership / Collaboration / Industry responsiveness	Region 11 industry: When they started setting up for the RIIC, there are none. They linked us with the other sectors, academe and to the government. They helped identify our needs and worked from there on how to resolve it. When we started, ADDU was identified to be our partner in terms of the Technology that we need. So, we developed a proposal which was submitted to the CRADLE project of the DOST, a solar-powered cooker, it was submitted by ADDU and us. Until now, we have no update with this proposal. This was submitted before the pandemic. That's why we're asking for an update.	Industry (Healthy Sweets)	Region 11 - RIIC
Partnership / Collaboration / Industry responsiveness	Region 11 industry: We're producing coconut sugar. In terms of production, the biggest expense is on fuel on cooking coconut sugar. That is one of our identified problems, since the fuel used for cooking is expensive. Together with Ateneo, when RIICs just started, Ateneo partnered with us in developing the technology, a solar powered cooker for coconut sugar. We have our proposal that was submitted by ADDU to the CRADLE project of the DOST.	Industry (Healthy Sweets)	Region 11 - RIIC
Partnership / Collaboration / Industry responsiveness	Region 11 industry: As of now, we are making the IBR together with UP Mindanao. We submitted our needs, then UP Mindanao will be the one to help us.	Industry (Healthy Sweets)	Region 11 - RIIC
Partnership / Collaboration / Industry responsiveness	Region 11 academe: The IBR is a business recovery plan where the academe, on this case for Ma'am Betty, is we help them formulate their business recovery plan. That is the assistance that we are giving the MSMEs through the RIIC program. In the case of Ma'am Betty, their IBR plan is to be completed. For other MSMEs, we already have completed two of them and both of these MSMEs have already implemented some of the strategic actions that we agreed during the plan formulation. One is Malagos Foods Incorporated and the other one is A's & R's, both of them are engaged in food processing. Malagos was able to identify a new product as their pivot to recover from the impact of COVID and the other one is into meat processing. A's & R's was able to secure a purchase commitment from one of the major players in convenience retail in the Philippines. We assisted them in the formulation of their strategic plan in meeting the requirements of their particular client. Currently the A's & R's is already implementing some of the strategic actions that we have identified.	Academe (UP Mindanao)	Region 11 - RIIC
Partnership / Collaboration / Industry responsiveness	Region 11 academe: So far, we finished 4 IBRs. In Coffee for Peace, they already have implemented some suggestions in terms of packaging and marketing. At the same time, I was also informed through DTI and Coffee for Peace, DTI is already bridging	Academe (ADDU)	Region 11 - RIIC

	Development Bank of the Philippines with Coffee for Peace. With the help of DTI, they linked the MSME so they can get the necessary funding they need. The other 3 MSMEs needed FDA approval. So, we reported that issue back to the group and at least the DOST knows about these 3 MSMEs need better equipment for FDA approval. There is bootcamp where the MSMEs will take part. For Ateneo de Davao, completed IBR Plans were AgriGrowLive Farms (cacao), Coffee for Peace, Inc., Lao Integrated Farms, Inc. (coconut), and Rehoboth Agricultural Cooperative (cacao) po.				
Policy	There are issues in terms of securing intellectual property rights/patents for completed research; research funding being granted to “select group” of researchers; issues of unliquidated research grants; etc.	Industry (PhilExport)	HEI GIA DLSU	review policies on property rights/patents of researches and research funding and documentation of funds	Policy review on property rights and procurement refers to revisit the policies and protection of property rights when doing a project.
Differences in policy	UPLB2: In terms of policy, UPLB did not want to include in the MOA that the technology will be commercialized by the cooperative. There should be a separate document, a licensing agreement.	Academe (UPLB)	Region 7		
Policy constraints	UPLB2: UPLB has Technology Transfer and Business Development Office (TTBDO). Had a meeting with them to consult the possibility of protecting the breed to be developed. After that, they learned that there is no law that will allow a new breed to be patented. There is a law on plants but not for livestock.	Academe (UPLB)	Region 4A		
	[AC Rola: Do you think it is a gap?]				
	UPLB2: Yes. It is for the whole livestock industry for the whole Philippines.				
	[AC Rola: Did UPLB initiate to address the issue?]				
	UPLB 1: There were several discussions on Intellectual Property Right (IPR) with the Bureau of Animal Industry (BAI) to draft which was sponsored by Senator Cynthia Villar about genetic law improvement. UPLB1 attended meetings in the Senate but does not have any update on its status. UPLB is aware of this because UPLB1 and a colleague from the University attended the meetings as representatives of UPLB.				

Procurement	Region 10 industry: Delivery of the equipment because we have a timeframe. Maybe because of the pandemic, the procurement of materials is delayed, and it has affected the schedule. Up to now, we are still expecting for the delivery and turn-over of the equipment. Actually, they have already come up with the actual equipment, only refinements and very few improvements and amendments of the existing prototype of the project that they have undertaken. We have already also experimented on the type of formulation that we need so that it can match with the equipment. We are engaged with paper production and the innovation part is on the paper clay production because it is fiber-based, and all of the ingredients are natural and organic thus it is a sustainable product that we are promoting. We have received orders and inquiries for this product, that is why we enrolled in OROBEST to get the innovation that we needed in terms of technology and equipment that we can adopt so that we have a faster production and in a given amount of time we can produce huge quantity. For now, we do manual production thus the output very limited, if we want to produce more pieces given a period of time, we needed the technology.	Industry (Oro Handmade)	Region 10 - RIIC	the procurement of materials is delayed, and it has affected the schedule
Procurement	Region 10 industry: We were known because of the Oro Chamber. Most of the projects is on machines and how to make a farm out of the Spirulina? The problem is COVID situation that we have. Thus, there is a delay of the turn-over. They patent was delayed. We had a problem in importation as our main ingredient needs to be imported from abroad.	Industry (Green Pastures)	Region 10 - RIIC	
Procurement	Region 10 academe: Currently, we are involved with some companies under Oro Chamber in terms of R&D projects, I see that there are two (2) problems that we are continuously facing; 1) procurement law as an SUC, it is very hard and a tedious process. As a consequence, is the second problem, we are not in lock step with the industry timeline. Along with this 2nd problem, majority of the faculty members who are part of the R&D they have other designated positions, aside from the teaching they are doing research and some administrative tasks that is being put to them. Those are the things that we need to manage. There should be a hand-in-hand journey with the industry in completing the project. The pressing problem is the procurement law because we cannot do something about that.	Academe (USTP)	Region 10 - RIIC	
Procurement	Region 10 academe: The same problem when it comes to procurement. Before we created this special BAC. We have color code documents. If it is colored yellow, means it is externally funded. So, if they see this, this is somehow a “Fastlane”. We have that kind	Academe (MSU-IIT)	Region 10 - RIIC	

	<p>of modality because the externally funded projects have to catch up with the time. If we want to connect with the industry, they also have their own timeline. Academic institutions can sometimes hardly catch up. We still have this problem; it is not a perfect process because we have to go through the bidding process which takes some time. It may not totally solve the delay, but it reduces the stopping points of the documents.</p>				
Procurement	<p>BSU: Amante – There is access to mother Liberica seedlings, but it is difficult to access [buy] seedlings because of the government procurement system. We are buying 80,000 seedlings.</p> <p>BSU: We are not hiring consultants, but we are buying seeds. Procurement that is beyond PhP50,000 will undergo PHILGEPS.</p> <p>[CReyes: What can be your recommendation?] BSU: The project that was mentioned by Mr. Gualberto is about the revitalization of the Barako Coffee in Batangas funded by DA BAR. It has two components: 1) propagation of Barako seedlings from elite mother tree and 2) establishment of nursery. This project is lodged with the University of Batangas. We cannot do away with the procurement system so what we do is to follow up with all the offices. It takes time. It is possible for papers to be remain long in one office for one reason or another. Minsan natatabunan, ako mismo and nag-uuli ng paper para madali ang pagpapapirma. BSU is very thankful to the group of Mr. Teng Caedo and Mr. Gualberto who shelled out money from their own funds for the continuous operation of the project.</p>	BSU	Region 4A		
Protection of outputs (patenting/indigenous knowledge)	<p>For example, on the ownership and who owns what. The nice thing is when we started it, we understand each other already and we thank USAID STRIDE as well as OROBEST in coming up activities wherein the industry has already pinpointed on what they really need. So, it is easier for MSU-IIT, the R&D team when it comes to preparing on what are the things needed.</p>	Academe (MSU-IIT)	Region 10 - RIIC	ownership of the technology	
Resources	<p>When we look at the challenges, we tried to understand the elements of the ecosystem, so we need to check the physical, economic and networking, assets.</p> <p>On physical assets we really encountered challenges. Ang kagandahan po sa R3 is that flexible yung other institutions that they can easily embrace the challenges.</p> <p>On economic asset, instrumental si RD Tess (CHED) on how to</p>	Academe (BULSU)	Region 3 GIA	availability of all resources from all key players.	Availability of resources this refers to the existing means of each key player for the development

converge the different stakeholders, the HEIs on solving this problem.

and sustainability of the project.

Resources	Region 10 industry: Availability of resource from the academe to assist the industry or the MSMEs	Industry (OROBEST)	Region 10 - RIIC	
Scalability	I think STRIDE did try to produce an inventory of completed research, am just not sure if this has been completed. Also, PCAARRD, through Pili NICER developed a system which supposedly should be a repository of all completed research. The system has already been launched, but am not sure how successful they are in terms of getting the system populated with all the researches from various research entities.	Industry (PhilExport)	HEI GIA DLSU	mechanism to be made by key players to scale up the project. A tool that can measure the success rate of the project
Scalability of projects-programs	We put an agreement at that time, we will buy the produce as long as it is similar to our standard. One problem is that, before it is like the “chicken and egg” scenario. The farmers wanted to produce but they worry that they don’t have a market. On our side, we want to buy it but who are we referring to? XU is helping the farmers to teach them on how to process it, but they want somebody to manufacture it for us or to link it for us, farmer and the buyer. Right now, I don’t know who I should talk or call if there are problems or supply. The farmers are not entrepreneurs; they just want to produce it.	Industry (Monde Nissin)	Region 10 - GIA	
Scalability of projects-programs	As of now, there is a lack of supply of squash. Although the results were good. Our production every day is 50 bags.	Industry (Santiago Fresh Miki Factory)	Region 10 - GIA	
Scalability of projects-programs	That is what we have mentioned before, “who will supply?”. We already have the technology. We can teach it to the farmers, but we cannot supply Monde Nissin the dehydrated carrots even if it meets their standard.	academe (XU)	Region 10 - GIA	
Scalability of projects-programs	Region 10 academe: We were not able to supply the needs of the farmers. We put that in the recommendation in our report. We have to upscale the quantity from the pilot scale; 10x the size. We take in the supply from the farmers, but we also need the capacity sustained. At the same time, the industry has their own needs. XU can only offer processing. The problem is we cannot make an upscale because we are not allowed to sell. This is the policy of the university.	academe (XU)	Region 10 - GIA	

Scalability of projects- programs	In 2018, we decided to close the business but because the Oro Chamber through OROBEST always pursues us, it gave us the hope to continue the business. One of the challenges is to look for a location that we can put up our farm. We have to consider the water supply though we need not a large area. We have three (3) areas that we are considering. Of the three (3) sites, water supply is also a problem, thus we need to construct our water system and it is very costly and spirulina cultivation. We are still waiting for the turn-over from the MSU-Naawan. Hopefully we can catch up with the financial requirement in coming up with the spirulina cultivation.	Industry (GreenPastures)	Region 10 - RIIC		
Supportive admin	In terms of challenges probably continuity. It's more on really a continuous effort in terms of the module collaboration with UPD that was really good	Industry (Vistaland)	HEI GIA UP Diliman	sustained support from all key players	
Product development	HEI73]: From the CVFIC perspective (a project with DOST), it assists the MSMEs in research on product development. We also allow them to use the equipment in the center to test their capability or do research so that the contract research with them will be able to generate new food concepts that are attractive not only at the local but at the foreign market. Assist the DOST in implementing the project, reviewing proposal, the academe uses the facilities.	HEI	Region 7	assists the MSMEs in research on product development	Permission to use Refers to allowing the partner industry to use the technology to generate new concepts that are attractive to the local and foreign market

ANNEX F

RELEVANCE FGD.2 ST

1.1 What is the role of STRIDE in the formation of the RIIC?

ROLE OF STRIDE IN THE FORMATION OF THE RIIC							
THEME	NATIONAL N=		FGD (GIA AND RIIC) N= 8		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Complementation of programs refers to the alignment of programs among HEIS			5 (3)	37.5			<p>“From the beginning at the onset, we have to make sure that there is no duplication rather complementation for HEIs. Every province has a cybernetics center. They were able to mobilize the RIIC quickly. Given the limited resources of CHED, we also were able to mobilize.” Government (CHED) Region 3 GIA</p> <p>“UPLB1: She used to work at the Department of Agriculture (DA) Regional Field Office 7 of which Siquijor is one of the provinces in the region. The DA 7 bought Siquijor native cattle; hence the Ubay Stock farm in Bohol has a gene pool. When she transferred to UPLB, went back to region 7 she proposed to STRIDE the project on dairy cattle. She invited UPLB2 who is an expert on molecular biology to join the project. The Stock Farm is also ideal to conduct the experiment because of its large number of stocks. In the project we have two cattle pools: one is the Stock Farm in Ubay and the other one community-based in Siquijor where the stocks are with the farmers.” Academe (UPLB) Region 4A</p>
Trust refers to creating trust among partners			1	12.5			<p>“Meron po kaming tiwala sa isat isa despite the pandemic.” Industry (CamSurCCI) HEI GIA DLSU</p>
capacity building refers to the capability of the players to establish innovation activities.			13 (6)	75			<p>“I was so impressed with the engagement in Bicol without STRIDE RTI we wouldn't have seen the onsite farms. So, we realize that there is a good potential to have these businesses grow up. Maybe we can be recognized as the best pili industry in the world.” Academe (DLSU)HEI GIA DLSU</p> <p>“We're very thankful for the group of USAID. From the very beginning, they already guided us on how to establish the RIIC Davao. They also provided us technical assistance. When we started its STRIDE, the group of RIIC, who assisted us in conducting workshops like mapping the innovation ecosystem and coming</p>

			<p>up with activities such as ideation and design thinking workshops. We implemented other projects such as the Innovation for Business Recovery (IBR) and also our marketing research project with CHED. So, they're instrumental in why Davao RIIC is very active. We also got our constituents to work with us in the industry and the academe." Region 11-Government (DTI) Region 11 – RIIC</p> <p>"Region 10 Industry: The role of STRIDE when we engaged with OROBEST, OROBEST was the main organization that we engaged with from ideation then we went to study our business and then we evaluated. The implementation was in coordination with Ateneo de Manila University (ADMU). After that, there was a monitoring activity after the recommendations have been submitted up to the mentoring stage. The way I see it, it was giving us a bigger picture from the beginning to the result." Industry (Oro Handmade) Region 10 – RIIC</p> <p>"[HEI71] helped built the RIIC, served as glue for GIA stakeholders, especially to help MSMEs in the locality, lynchpin in trying to pull significant groups together to achieve results" HEI Region 7</p>
<p>collaboration refers to closing the gaps among active players and increasing the value of engagements by creating opportunities for the partners to be active.</p>	<p>23 (6)</p>	<p>75</p>	<p>"Already mentioned the link with the nature of engagement with the STRIDE. For our industry partnerships, dalawa yung mechanisms by which STRIDE helped facilitate the collaboration – one is we have a program called IGNITE and that's based on a lot of the industry, academe and government initiatives initiated by STRIDE so collaboration came from other initiatives they have already done another would be the ideation workshops. It's like dating for industry and academe. We have a lot of getting to know events, but the ideation workshop is different. We never met before." Academe (UPD) HEI GIA UP Diliman</p> <p>"I agree with Sir Erwin Magsakay. We recognize the importance of gathering the support of our stakeholders with our MSMEs. So, we had some meetings with BULSU, the business sectors, and other sectors thinking of strategies for them. So, the Academe and Industry partner collaboration has been really good." Government (PSTC-Pampanga) Region 3 GIA</p> <p>"I was about to share the same sentiment with the LGU. STRIDE helped us a lot in putting us together. There is now greater interaction between Academe, Industry, and Government. Unlike before we just give our interventions and there is not much interaction between the GIA, but now when STRIDE came in and helped us to come up with a RIIC, we have appreciated it more especially from us in the academe that there is greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government." Region 11-Academe (ADDU) Region 11 – RIIC</p>

			<p>“[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs.” Industry Region 7</p> <p>“[IND71]: These are not only a DTI determined set industries. We have economic drivers that we have selected together, and this has been approved by the RDC which we can engaged in, which includes both the existing economic drivers such as foods, ICTs, constructions, and the like. There are also emerging industries which includes the creative industry, and certain agro-fishery industries that are part of the value chain. We are open to the 11 industries that have been identified.” Industry Region 7</p>
creating curriculum design refers to the participation in actively creating academic programs	1	12.5	<p>“The other one has to do with academic programs, normally kasi academic programs, we tend to be ostriches, ivory tower head in the sand mentality but one recent initiative where we had an interaction with IMI was to develop a new kind of program the PSM with STRIDE and the goal of that program was to have industry involvement built-in, not just in terms of the student interacting with the industry, but even right at the beginning as the program was conceptualized we already had significant industry inputs. STRIDE created several curriculum workshops with UP and several industry partners, so that's the most recent work in progress.</p> <p>We are doing the curriculum now. Matagal yung process, and di pa kami nakakuha ng approval but we already have implemented transition programs to put the best practices in the programs. We already have graduated a transition batch using an intermediate program.</p> <p>It was primarily a START program; it was a new concept to have this kind of curriculum design and development process. The most that we had in terms of industry connection for a curriculum program was more towards the end noh, so that's thesis mga ganun or internships. So, this new model was primarily initiated by STRIDE. We learned a lot. Both IMI and VistaLand participated in these workshops, and this was an eye-opener for us in terms of understanding. STRIDE provided us a framework for convergence for the curriculum design.” Academe (UPD) HEI GIA UP Diliman</p>
Funding support refers to the financial support provided for the project	4	50	<p>“For our project with Filipinnovation, it was funding. They bring in foreign consultants that would elevate innovation here in the Philippines. They also have that valuable role of ensuring sustainability that they can leave the legacy of training faculty, researchers and entrepreneurs” Academe (DLSU) HEI GIA DLSU</p>

			<p>“STRIDE funded the project under the CARWIN window” academe (XU) Region 10 – GIA</p> <p>“UPLB1: STRIDE provided the financial support of P10M [AC Rola for phases I and II] to the project which ended in 2017. The cooperation with the partners including ACDI, provincial government of Siquijor, and other local cooperatives still exists up to the present.” Academe (UPLB) Region 4-A</p>
Industry responsiveness refers to the activities that were made to answer the problems of the industry	1	12.5	<p>“Enabling them to meet with their partners. I believed in the role of academe in the growth of industry and our enterprise. Through the sessions we had with her, the academe urged us to look beyond the pandemic. I embraced everything made by their study. The study provided us clarity of action as to how to handle the problems of the past and present and how to handle the future. We have followed all her suggestions we really went through each one of them and they are doing so well, far better than we expected. The STRIDE provided the opportunity, DTI provided the information, but most of what we have done right now is made possible by the linkage we made with Emilina Sarreal. We also opened ourselves to working with the fablab of Bicol.” Industry (PhilExport) HEI GIA DLSU</p>
enabling factors refers to the mechanisms that made the programs, activities, and interventions kept on moving forward.	11 (5)	62.5	<p>“We're thankful for the USAID STRIDE in guiding the region in crafting the RIIC. STRIDE provided a very strategic and organized approach in leading the formation of the core group particularly the technical working group. They are very immersed in the conceptualization, crafting the activities, and as well as implementing them. The involvement of STRIDE is very heavy particularly na hindi kami iniwan dahil within the journey they were there.” Government (CHED) Region 3 GIA</p> <p>“Paved the way as policy support, helped us in coming up a resolution which we endorsed it to the RDC. It was done in 2019. The resolution specifically states that [RDC] is supporting the establishment of the RIIC in Region X. That was the policy support that paved the way with the intervention of STRIDE. After that, there were different series of meeting with the stakeholders they started in strengthening the convergence of all the innovation players.” Government (DTI) Region 10 – RIIC</p> <p>“Mapping, Linking and Aligning activities, STRIDE has been very visible. So, linking and progressing the region, STRIDE was successful. Even, na trace naming yung R&D facilities, and even with government agencies we had convergence so nagkakatulungan noh.” Academe (BULSU) Region 3 GIA</p> <p>“DTI4A: Region 4A is really at the early stage of its establishment. Unfortunately, the Taal Volcano eruption and the pandemic happened simultaneously, and it would be difficult how can really STRIDE assist the RIIC. Primarily, overall naging maganda naman yong coordination. One of the STRIDES Focal person, Ms.</p>

Marela. I can talk to her on RIIC concern and easier to coordinate.” Government (DTI) Region 4-A

“[IND71] Several interactions and conversations with academe for the last 5 years has taken place. STRIDE served as facilitator and focal person in connecting different partners from the academe to specifically focus in helping MSMEs’.” Industry Region 7

"1.2 What is the additional assistance introduced by STRIDE to strengthen your partnership as GIA? Follow up: Which of these received funding (infrastructure, research grants, capacity building, etc.) from STRIDE, government, or private organizations? (i.e., to meet gap in funding?)"

ADDITIONAL ASSISTANCE INTRODUCED BY STRIDE TO STRENGTHEN PARTNERSHIP AS GIA

THEME	NATIONAL N=		FGD (GIA AND RIIC) N=8		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Overall Capacity Building refers in providing training, seminars, and sessions to enhance the capacity of the key players in doing the projects			16 (6)	75			<p>“One of the assistances na naprovide nila during the KTTO assistance they didn't only provide the venue and the program, but they also trained the trainers. They opted to train the staff of Doc Louie which is also not limited to UPD but also to DLSU. So, it trains the trainers, so we already have capabilities to train the people here as well.” Government (DOST) HEI GIA UP Diliman</p> <p>“When STRIDE organized a series of FGDs and Planning Sessions with the Pili Industry and the Stakeholders in Bicol in 2019 participated in by BU, DA, DTI, PCIEERD, industry players, we became aware of the various programs and services that could be had as well as the opportunities to be able to work together to drive growth in the industry.” Industry (PhilipiLI) HEI GIA DLSU</p> <p>“STRIDE provided the capacity building with appropriate and best resource speakers, consultants on webinars and innovation talks and training for those who pitch. Also, they provided workshops for the ideation for the industry and academe to meet. Before the pandemic, they have the budget of the ideation workshop for the industry, and academe will meet and discuss what they can come up with. During the pandemic, we meet online and do virtual ideation. They also provided</p>

			<p>the resource and facilitator from the UPSCALE innovation hub. They did a lot of learning sessions for us. They guided us in making the 5-year strategic planning and roadmap. Late last year, they introduced us to an MLA (Mapping, Linkaging, and Aligning) Methodology.” Industry (ORO Chamber) Region 10 – RIIC</p> <p>“They helped us capacitate the people. They trained Ma’am Pat Cruz to train in managing the KTTO.” Academe (MSU-IIT) Region 10 – RIIC</p> <p>“HEI71] USAID STRIDE is the key player wherein we are able to develop further our capacity as a university to extend our R & D capability to the communities. Three years ago, we were able to join a capability-building program of DOST supported by STRIDE to build our technology biz incubation lab, and second, building our capabilities in terms of technology transfer. These capability-building programs of USAID STRIDE have enabled us to extend our R & D capabilities to our MSMEs in the localities which is key to fostering the growth of the RIIC in the region.” HEI Region 7</p>
Effective collaboration this refers to the partnerships among key players which resulted in the adoption of technology by having good communication strategies.	4	50	<p>“It however is managed by all our partners. We have a lot of information in our respective agencies, and we want to share this with everyone particularly in research and innovation. DTI is the lead, but it is co-managed by our other GIA partners.” Government (DTI) Region 11 - RIIC</p> <p>“We are trying to sell the technology present in the academe. STRIDE facilitated a meeting with Saliksik.ph to curate technologies and research technologies and put them in a database. This has been captured by the DOST and has been approved already for the OROBEST Regional research database. Sometimes the academe will present, and it is too technical that sometimes the industry cannot understand. Now we have four (4) signed technology transfers. By way of our convergence, we were able to get one of our objectives which is the adoption of technology” Industry (ORO Chamber) Region 10 – RIIC</p> <p>“They helped us in our communication strategy for our OROBEST innovation program as well as the innovation guidebook.” Industry (ORO Chamber) Region 10 - RIIC</p>
Curriculum Design this refers to the involvement in the joint curriculum development design.	1	12.5	<p>“The first is the joint curriculum development with IMI and VistaLand, where they were involved in the design of our PSM supply-chain project” Academe (UPD) HEI GIA UP Diliman</p>
Digitalization this refers to the digitalization of outputs.	1	12.5	<p>“We need to emphasize that while the world considers industry moving into IR 4.0, we in the Abaca industry are still in IR 1 --mechanization but working with DLSU challenged us to into considering digitalization.” Industry (PhilExport) HEI GIA DLSU</p>

<p>funding support this refers to the researches that were funded</p>	<p>3 37.5</p>	<p>“Only funding. There were short programs before wherein they asked us to present our project or pitching a presentation during one of the gatherings, but it is more on the research funding. We received funding twice” academe (XU) Region 10 – GIA</p> <p>“We have research that was funded by STRIDE. There are several programs that we have partnered with STRIDE.” Academe (MSU-IIT) Region 10 - RIIC</p>
<p>Industry responsiveness this refers to identifying the needs of the industry to adapt the research output through partnerships and institution building</p>	<p>5 37.5 (3)</p>	<p>“In academe usually tayo-tayo lang noh, so we didn't have the framework in which industry partners can work with, so it po yung mirror ng ideation workshops. This helped us to talk to industry companies and to propose the technologies needed.” Academe (UPD) HEI GIA UP Diliman</p> <p>“We have TBI and FabLab. We also have activities that STRIDE helped us in implementing these activities. We have the KTTO that we owe it to STRIDE.” Academe (MSU-IIT) Region 10 – RIIC</p> <p>“Now the export incubation program. This is a partnership with DTI, but STRIDE has a major role in providing startups with our partners in that activity. We also have market research with XU, to provide venues to meet potential partners.” Industry (ORO Chamber) Region 10 - RIIC</p>
<p>Industry Driven Policies this refers to developing industry policies that are science-based and technology-driven by aligning programs and projects from different agencies</p>	<p>3 37.5</p>	<p>“PhilPILI as the Pili Commodity Board has committed to developing industry policies that are science-based and technology-driven, hence the STRIDE program is a welcome one.” Industry (PhilPILI) HEI GIA DLSU</p> <p>“Based on our activities and experiences with STRIDE, I will cluster this with products and policy, as STRIDE has helped us to craft our innovation guidebook and the business impact survey to our MSMEs and aligning our programs and projects from different agencies. We have iStrike Davao is a unique innovation made by the RIIC through the DTI. It is a portal, a one-stop-shop for programs and services that MSMEs can access. In terms of policies, we chaired the DOST XI the RRDIC (Regional Research and Development Innovation Committee) of the Regional Development Council (RDC). Several policies were lobbied through RRDIC, and it has been approved and the resolution has been endorsed to the RDC. The latest policies have been on the COVID-19 related-policies with MSMEs and done by the UP Mindanao team as our researchers” Government (DOST) Region 11 – RIIC</p> <p>“DTI: By virtue of the RIDC resolution, the RIIC was created. But to make it impactful for the beneficiary and for the general public, mas maganda may launching na. STRIDE provided assistance by bringing in the consultants to give other options, perspective on geographic indicators (GI) on how things can be done and suggestions on what are the best options for RIIC, e.g., possible fund sourcing.” Government (DTI) Region 4-A</p>

Collaborative research this refers to the involvement of partners in doing research	2	25	<p>“The second mode of collaboration with GIA was collaborative research. In the collaborative research, two of our partners represented here have ongoing collaborative research agreements with UP, Vistaland, and IMI, both in terms of our material sciences program. STRIDE is not as involved now in terms of the conduct of the collaborative research but when it comes to dating, they co-facilitated several of the Ideation workshops with us. So, these are some of the collaborations that have resulted from the ideation workshop.” Academe (UPD) HEI GIA UP Diliman</p> <p>“[DOST7] If proponents can provide all the needed requirements, they can easily access the funds. We have external evaluators who can facilitate in fulfilling all the requirements because the ultimate goal is to accomplish the job/task.” Government (DOST) Region 7</p>
Shared resources this refers to the provision of resources to key players	2	25	<p>“Providing us the expertise but also the personnel.” Industry (BCCI) Region 3 GIA</p> <p>“Gusto ko pong ipagmalaki ang ating SUCs especially BULSU. Isa po sila sa prime movers. And the mere fact that they were chosen to be the RCC and the RIIC of the Region is already an image built by the BULSU. For BULSU we have research grants also. One and very prominent recipient of the SMART Campus under the Bayanihan 2. So meron pong certain provisions to build our SUCs so 11 universities in the region were provided financial assistance through SMART Campus.” Government (CHED) Region 3 GIA</p>
Technical assistance this refers to the provisions; financial or mentoring support, that was given to the key players.	4	50	<p>“Mentoring po. Mostly the personnel involved in THRIVE was from BULSU but the one who guided them was an expert from STRIDE who was guiding these personnel so that they weren't completely starting from scratch.” Industry (BCCI) Region 3 GIA</p> <p>“We are engaged with STRIDE for the OROBEST Bridge program just last year. Other than the technical support that STRIDE has provided, STRIDE also provided funding support to the faculty consultant who acts as the lead facilitator to conduct the key activities of the program. Ms. Querites mentioned that in the conduct of R&D sessions, SNS, STRIDE provided the funding for us to tap expertise from faculties from different colleges in the university. The assistance of STRIDE was key in the design of the program and the instrument. With the program and instrument, we are ensuring that the process flow is developed and can generate data-driven output yet still friendly to MSMEs. With that connection, the direction is clear where the program wants to go.” Academe (XU) Region 10 - RIIC</p>
Conflicting policies Refers to the policies that needs to be reviewed that are not aligned to	1	12.5	<p>“IND24A: The greatest challenge is the government procurement system. IND24A: There are project requirements which necessitated to buy from ordinary traders. The government is asking for a lot of registrations like PHILGEPS. PCCI/BSU is buying elite seeds for the revival of the mother Liberica, which is a rarity. The</p>

the key players' mechanisms in doing the project.

government is telling us to buy anywhere provided it is registered with the government procurement system which will not work with their project. It defeats the purpose of establishing the pure Barako Coffee industry.” Industry
Region 4-A

1.3 What are the challenges of partnership in putting up the RIICs and how are they addressed?

CHALLENGES OF PARTNESHIP IN PUTTING UP THE RIICs AND HOW THEY ARE ADDRESSED

THEME	NATIONAL N=		FGD (GIA AND RIIC) N=8		REGIONAL		RESPONSES
	f	%	f	%	f	%	
inhibiting factors this refers to the limited time and information for the delivery of the outputs.			2	25			<p>“Time constraints that we have as faculty members of the university, especially in the delivery of the IBR plans for the MSMEs. We're also challenged to somehow integrate the IBR-related activities in our academic programs, like in Master's in Management and Agribusiness Economics. We are doing something about this to possibly integrate some of our services into the RIIC. Third, somehow, we have encountered some limited information on the various government programs for the MSMEs, although this is the initial stage of our IBR engagement, in such a way that they were not readily able to match the needs of the MSMEs to the specific programs of the various government agencies. Again, this is from the initial stage of our IBR engagement. Fourth, we have also some challenges in terms of exposure of our faculty members to the industry. In such a way some of us were encountering problems with coming up with a good IBR plan for the identified MSME. Fifth would be limited training on certain technical assistance required by the MSMEs particularly marketing intelligence and FDA registrations. Finally, the asymmetric information with MSMEs is what we all encountered also that is a problem, because of this, the information was very limited in such a way it also affected the formulations of the IBR for the MSMEs. These are the problems we encountered in our IBR engagements so far.” Academe (UP Mindanao) Region 11 – RIIC</p> <p>“IND71] Time management because we are in the middle of a pandemic now. We are addressing many very critical issues which includes the survival and continued operations of the MSME's. This implies the lack of time to be</p>

Awareness this refers to the involvement of the key players to promote innovation and to be active.	2 25	<p>able to provide solutions to their problems. The needs may not just be about technical but may also include linkages or even rebooting their operations and their business models. We should really match the MSME needs and requirements with the academe expertise. Market demographics are changing, and industry cannot provide timely data.” Industry Region 7</p> <p>“Possible challenges would be the promotion of the website. Although nalaunch na po, but problem is the promotion that we have RIIC and these programs and services and the MSMEs. It would be good to improve the promotion and also to keep it updated to help our MSMEs. Maintaining and updating our website will help MSMEs grow. BULSU THRIVE po yung nag mamanage ng website. DTI Regional Office has provided information on the facilities and other relevant information needed for the RIIC. From time to time we are coordinating with BULSU and Industry Sectors so they would know the present status of our MSMEs in Bulacan. I think RIIC will play an important role in preparation for the creation of the new airport.” Government (DTI) Region 3 GIA</p> <p>“Region 11 government: Our challenge is how to become more active partners. We know bits and pieces as we were invited here and there, but we don’t have any focus.” Government (LGU) Region 11 - RIIC</p>
Communication issues this refers to the dynamics in disseminating key players gathering	2 12.5 (1)	<p>“One of the challenges, sometimes there are disconnects when it comes to communication since we have the Government, Industry, and Academe, so dito lang po sa FGD natin may problema in terms of getting everyone together. It's more of a logistics issue, it's one of the things that I want to recommend. So, if we want to continue this we already have recurring meetings since we have different schedules. Ito po yung nagiging detriment, it’s hard to set a meeting then find everyone’s schedule. Similar to a board schedule, it might be easier to schedule. On the side of the BCCI, we have our secretariat, and I would be stepping in to be the point person with regards to the THRIVE program. I can't speak for the government offices on who would be taking lead on their sides.” Government (CHED) Region 3 GIA</p>
Different Dynamics this refers to the different mechanisms that are present in every institution/office that may hinder the development of the project.	7 50 (4)	<p>“On networking, we thought this was a problem especially with the pandemic but with the help of STRIDE, once they pushed for the program's networking was made easier” Academe (BULSU) Region 3 GIA</p> <p>“May kanya kanyang mandates, the HEIs, the provincial and regional offices of DOST. So, for us DOST, nakaharap kami with MSMEs and may mga programs po sa DOST where we can submit proposals for funding on research and development yung CRADLE po with MSMEs. So, when we partner with HEIs there’s a problem of matching them to industry. So, with</p>

			<p>THRIVE CL, naka network na, madali na naming ngayong mahanap yung imamatch namin. For Thrive Central Luzon, wala pa kaming proposals, but we have talked about this with VP Magsakay. During the National Science Technology Week, we will be highlighting an activity where MSMEs will gather to present mapped expertise of HEIs para lututang yung requirements ng MSMEs kung san sila required. MSMEs usually cannot find the problems on their own, so they need help in matching who can help them. We have CRADLE programs but not under the THRIVE CL. With the THRIVE we can really connect with partnering HEIs and Industry.” Government (DOST PSTC Pampanga) Region 3 GIA</p> <p>“The first challenge would be financial. Accounting in the academe is different from the government. The first is the challenge on the consistency or the alignment of financial accounting for academe and the funder which are usually governments.” Academe (DLSU) HEI GIA DLSU</p> <p>“HEI74] Speaking from experience in the past, a couple of year ago, we submitted a proposal to CHED for a grant related to a distance education project, after preparin. HEI74) But we are happy that DOST is not discriminating us, both private and public universities are welcome with them.</p> <p>[HEI73] We have no problem with DOST. I am not sure with DTI, but with CHED, we have a problem. g everything, we were informed that we were not qualified because we are not an SUC.” HEI Region 7</p>
Monitoring and Evaluation this refers to the There was regular monitoring during the project implementation	2	25	<p>“Is there an evaluation made before you submitted your final report? Region 10 academe: They had their regular monitoring during the project implementation. What was the role of CHED? CHED came after STRIDE. From the experience that we gained from STRIDE, our focus was on the industry, and we have understood the farmers. In CHED’s project, we focused also on the farmer’s side. So, we were able to make mobile apps to assist the farmers. The farmers’ practices are very traditional, even recording is a problem, and pest management and application of pesticide.” academe (XU) Region 10 - GIA</p>
Provision of funds Refers to the funds that were allocated for the project	3 (2)	25	<p>“[DOST7]: We have our own item. We have our own role in the RIIC to collaborate with the different industries and academe in relation to technology in need for the development of innovation among MSMEs. We have our own funding. We have different programs (i.e., small enterprises, etc.) and services that DOST can offer.” Government (DOST) Region 7</p>

Industry-Academe Relationship this refers to the mechanisms and policies in the partnership of the academe and industry in doing the project.	8 (5)	62.5	<p>“UPLB1: ACDI issued half a million pesos for the Catulayan Cooperative as a small brother big brother assistance.” academe (UPLB) Region 4-A</p> <p>“Another challenge is on the specific activity understanding because it has something to do with the deliverables from the industry part and what we can deliver to the industry. That is why Dr. Bonales a while ago and Dr. Jamil, part of their presentation is on the commitment also to the industries. We apply co-innovation and co-operation.” Academe (MSU-IIT) Region 10 – RIIC</p> <p>“When we collaborate with Industry the technology transfer is always going to be a problem, along with IP and so on. We’ve gotten a lot of advice on that, part of the KTTO training involves how to set up these kinds of partnerships negotiating, so part yun ng program nila kasi yan yung “dating” and yung engagement, the last part naman yung negotiation yun yung kasal. The negotiation is leading to the nuptial agreement and marriage. So, for example for our collaborative research right now we have to anticipate that the goals of that research will be met and so what’s next after that? That’s also covered under the KTTO training. Yun yung challenge, yung last stage will be a challenge for us. STRIDE has provided some training to address this. Now they have a manual. We are rolling out a training program for that Manual.” Academe (UPD) HEI GIA UP Diliman</p> <p>“ACDI1: The assistance is for the cooperative to procure quality dairy cattle produced out of the STRIDE project. If their dairy project will not develop, the cooperative can have meat processing. The money issued to them will be used in the procurement of native cattle. Moreover, as the cooperative develops, it will be the source of hybrid local cattle of ACDI.”</p>
Establishing of M&E Tool this refers to the tool that can monitor the results of the performance of each partner and to track the performance and ensuring that all the results of the different partners will be taken into account.	1	12.5	<p>“Region 10 Government: Provinces that are actively engaged are Misamis Oriental and Iligan. Now we are seeing the replication of the program in Bukidnon, so there is a need for a regional structure to monitor the results of the performance of each partner. As we did in the OROBEST, initially we have core members then we progress accordingly enrolling all other major players. All the other players are considered together with the OROBEST and ILIGANiCE that is one way going forward. But there is no problem right now with the convergence. Each of the local innovation programs, OROBEST and ILIGANiCE have their management structure in place. What we need is to oversee the M&E as far as the RIIC implementation in the region. We are tracking the performance and ensuring that all the results of the different partners will be taken into account. That is to compliment the regional positioning as the innovation hub in this part of Mindanao.” Government (DTI) Region 10 - RIIC</p>

<p>Mobility constraints this refers to the limitation of development of the project due to the pandemic</p>	<p>1 12.5</p>	<p>“Another limitation would be being that our campus is closed off which makes it harder for us to collaborate with government.” Academe (DLSU) HEI GIA DLSU</p>
<p>Scaling up of the technology refers to the ability of the academe to scale up the technology for the industry.</p>	<p>9 25 (2)</p>	<p>“We had a project with XU on dehydrated vegetables. Currently, we are using carrots and chives from China, so we import them. We have also a CSR program. We were very happy that we were contacted by XU for this project because we also wanted to help our farmer. We gave XU some samples of what output we want. The problem here is that farmers only produce, but they don't process it. As a company, certain standards are important to us. Producing a carrot is not a problem, but processing it is a problem. That is why XU came and we want to help the farmer to process it.” Industry (Monde Nissin) Region 10 - GIA</p> <p>“When they started setting up for the RIIC, there are none. They linked us with the other sectors, academe and to the government. They helped identify our needs and worked from there on how to resolve them. When we started, ADDU was identified to be our partner in terms of the technology that we need. So, we developed a proposal which was submitted to the CRADLE project of the DOST, a solar-powered cooker, it was submitted by ADDU and us. Until now, we have had no update with this proposal. This was submitted before the pandemic. That's why we're asking for an update.” Industry (Healthy Sweets) Region 11 – RIIC</p> <p>“So far we finished 4 IBRs. In Coffee for Peace, they already have implemented some suggestions in terms of packaging and marketing. At the same time, I was also informed through DTI and Coffee for Peace, DTI is already bridging the Development Bank of the Philippines with Coffee for Peace. With the help of DTI, they linked the MSME so they can get the necessary funding they need. The other 3 MSMEs needed FDA approval. So, we reported that issue back to the group and at least the DOST knows about these 3 MSMEs need better equipment for FDA approval. There is a boot camp where the MSMEs will take part. For Ateneo de Davao, completed IBR Plans were AgriGrowLive Farms (cacao), Coffee for Peace, Inc., Lao Integrated Farms, Inc. (coconut), and Rehoboth Agricultural Cooperative (cacao) po.” Academe (ADDU) Region 11 - RIIC</p>
<p>Policy review on property rights and procurement refers to revisit the policies and protection of property rights when doing a project.</p>	<p>9 50 (4)</p>	<p>“There are issues in terms of securing intellectual property rights/patents for completed researches; research funding being granted to “select group” of researchers; issues of unliquidated research grants; etc.” Industry (PhilExport) HEI GIA DLSU</p>

“Delivery of the equipment because we have a timeframe. Maybe because of the pandemic, the procurement of materials is delayed, and it has affected the schedule. Up to now, we are still expecting the delivery and turn-over of the equipment. They have already come up with the actual equipment, only refinements, and very few improvements and amendments of the existing prototype of the project that they have undertaken. We have already also experimented on the type of formulation that we need so that it can match with the equipment. We are engaged with paper production and the innovation part is on the paper clay production because it is fiber-based, and all of the ingredients are natural and organic thus it is a sustainable product that we are promoting. We have received orders and inquiries for this product, that is why we enrolled in OROBEST to get the innovation that we needed in terms of technology and equipment that we can adopt so that we have a faster production and in a given amount of time we can produce huge quantity. For now, we do manual production thus the output is very limited, if we want to produce more pieces given a period, we needed the technology.” Industry (Oro Handmade) Region 10 – RIIC

“For example, on the ownership and who owns what. The nice thing is when we started it, we understand each other already and we thank USAID STRIDE as well as OROBEST for coming up with activities wherein the industry has already pinpointed what they need. So, it is easier for MSU-IIT, the R&D team when it comes to preparing on what are the things needed.” Academe (MSU-IIT) Region 10 – RIIC

“UPLB2: In terms of policy, UPLB did not want to include in the MOA that the technology will be commercialized by the cooperative. There should be a separate document, a licensing agreement.” Academe (UPLB) Region 7

“UPLB2: UPLB has Technology Transfer and Business Development Office (TTBDO).

Had a meeting with them to consult the possibility of protecting the breed to be developed. After that, they learned that there is no law that will allow a new breed to be patented. There is a law on plants but not for livestock.

[AC Rola: Do you think it is a gap?]

UPLB2: Yes. It is for the whole livestock industry for the whole Philippines.

[AC Rola: Did UPLB initiate to address the issue?]

<p>Availability of resources this refers to the existing means of each key player for the development and sustainability of the project.</p>	<p>9 (5)</p>	<p>62.5</p>	<p>UPLB 1: There were several discussions on Intellectual Property Right (IPR) with the Bureau of Animal Industry (BAI) to draft which was sponsored by Senator Cynthia Villar about genetic law improvement. UPLB1 attended meetings in the Senate but does not have any update on its status. UPLB is aware of this because UPLB1 and a colleague from the University attended the meetings as representatives of UPLB.” Academe (UPLB) Region 4-A</p> <p>“When we look at the challenges, we tried to understand the elements of the ____, so we need to check the physical, economic and networking, assets. On physical assets we encountered challenges. Ang kagandahan po sa R3 is that flexible yung other institutions that they can easily embrace the challenges. On economic asset, instrumental si RD Tess on how to converge the different stakeholders, the HEIs on solving this problem.” Academe (BULSU) Region 3 GIA</p> <p>“That is what we have mentioned before, “who will supply?”. We already have the technology. We can teach it to the farmers, but we cannot supply Monde Nissin the dehydrated carrots even if it meets their standard.” academe (XU) Region 10 – GIA</p> <p>“In 2018, we decided to close the business but because the Oro Chamber through OROBEST always pursues us, it gave us the hope to continue the business. One of the challenges is to look for a location that we can put up our farm. We have to consider the water supply though we need not a large area. We have three (3) areas that we are considering. Of the three (3) sites, water supply is also a problem, thus we need to construct our water system and it is very costly and spirulina cultivation. We are still waiting for the turn-over from the MSU-Naawan. Hopefully, we can catch up with the financial requirement in coming up with the spirulina cultivation.” Industry (GreenPastures) Region 10 – RIIC</p> <p>“In terms of challenges probably continuity. It's more on really a continuous effort in terms of the module collaboration with UPD that was good” Industry (Vistaland) HEI GIA UP Diliman</p>
<p>Permission to use Refers to allowing the partner industry to use the technology to generate new concepts that are attractive to the local and foreign market</p>	<p>1</p>	<p>12.5</p>	<p>“HEI73]: From the CVFIC perspective (a project with DOST), it assists the MSMEs in research on product development. We also allow them to use the equipment in the center to test their capability or do research so that the contract research with them will be able to generate new food concepts that are attractive not only at the local but at the foreign market. Assist the DOST</p>

in implementing the project, reviewing proposal, the academe uses the facilities.” HEI Region 7

ANNEX F

RELEVANCE HEI.1

1.1 Did your university have programs on innovation capacity before the STRIDE intervention?

UNIVERSITY PROGRAMS ON INNOVATION CAPACITY BEFORE THE STRIDE INTERVENTION				
CODE	RESPONSE	KI	CATEGORY	THEME
Alignment to thrust of HEI	The research agenda in our university, that is one. Even in my predecessor, we have to do something with research because XU is a teaching university, but we are moving to research, and we are still in the transition. That is a big opportunity that the university has that vision already. We have already created a research office in the university and a research council. We also funded internal projects with limited funding.	XU	in line with the university's mission	Benchmarking Setting standards to the university from other HEIs that is also aligned to the thrust of the HEI
Benchmarking	The experience showed them how big universities in the US promote commercialization of research outputs – commercialized technologies.	USC	Setting standards to the university from other HEIs	
Capacity building	We were very happy at Graduate School because it was through PSM that the first batch composed of 3-5 UPLB students were given scholarships. We had conducted meetings about the Career Programs but did not take off. There were meetings to integrate the USAID STRIDE PSM Flavor at UPLB but did not succeed for some reasons. There are professors from the US who were speakers in various conference/workshop sessions that I have attended.	UPLB	Strengthening the capacity of the HEI's researchers, faculty, and students.	Overall Capacity building Refers to the Strengthening the capacity of the HEI's researchers, faculty, and students by creating infrastructure and programs for the development of R&D in the HEI.
Capacity building	The STRIDE Career Center initiative aims to build the capacity of universities in helping students jumpstart their careers after college. Through Career Centers, universities are able to design learning experiences for students that are aligned with workforce requirements and support students in job seeking, network building, and career development	BSU		
Capacity building	The director underwent training in America for the establishment of the KTTO	MSU-IIT		

Capacity building	The representatives of the university received a lot of trainings and were sent on study visits in the US as culminating activity facilitated by RTI (Feb. 2015: first batch out of two batches, with 6-7 trainees) together with other institution beneficiaries (Mindanao State University of Iligan (MSUIT – with Dr. Patricia Cruz as representative), Dela Salle University (represented by Atty. Christopher Cruz) and Visayas State University (VSU), etc. They attended a conference on the Association of Technological Managers Annual Meeting in New Orleans; visited technological transfer offices in big universities such as John Hopkins University, Rutgers's University, and North Carolina State University.	USC	
Capacity building	The three main activities are: STRIDE talk with faculty management on technology transfer and innovation, STRIDE coordinated with FGD for the creative industry of Cebu	UPCebu	
Capacity building	The director underwent training in America for the establishment of the KTTO	MSU-IIT	
Capacity building	We were very happy at Graduate School because it was through PSM that the first batch composed of 3-5 UPLB students were given scholarships. We had conducted meetings about the Career Programs but did not take off. There were meetings to integrate the USAID STRIDE PSM Flavor at UPLB but did not succeed for some reasons. There are professors from the US who were speakers in various conference/workshop sessions that I have attended. But I was not fully involved in research during the time of then Chancellor Fernando Sanchez.	UPLB	
Capacity building	The STRIDE Career Center initiative aims to build the capacity of universities in helping students jumpstart their careers after college. Through Career Centers, universities are able to design learning experiences for students that are aligned with workforce requirements and support students in job seeking, network building, and career development.]	BSU	
Knowledge Transfer	<ul style="list-style-type: none"> ● KTTO – Knowledge & Technology Transfer Office 	CITU	Building of KTTO
Programs on Innovations Capacity	<p>CIT University has R&D offices that drive its programs on innovation capacity:</p> <ul style="list-style-type: none"> ● RDCO – Research & Development Coordinating Office ● ITSO – Innovation & Technology Support Office ● Makerspace ● WIL – Wildcat Innovation Labs ● CREATE – Center for Robotics, e-Learning, and Technology Education 	CITU	Building of programs and offices to strengthen its R&D activities.

Programs on Innovations Capacity	ITSO launched in 2009 and formalized in March 2012, ITSO is a franchise of IPO PHIL Already have training on intellectual property protection; IPR, trademark but not much into the commercialization aspect	USC	Initiating programs that protect the patent or knowledge of the university.
Programs on Innovations Capacity	the ITSO (Innovation and Technology Support Office) was established; this was before having the KTTO. When the USAID STRIDE came, the KTTO was formalized. We have initiatives already in our office, the Vice Chancellor for Research and Extension which is the ITSO. The office is engaged on patent protection. The faculty members were trained as patent lawyers, 6 patent lawyers.	MSU-IIT	
Programs on Innovations Capacity	We have program on innovations	BSU	
Programs on Innovations Capacity (before STRIDE)	Maybe I can say, it was no, it was on the same year. Before the STRIDE, there was no innovation capacity or programs on innovation. It happened on the same time or year. (KII-HEI-USTP-Reg10)	USTP	There are initial programs that were made for the development of R&D activities in the HEIs. Some of these programs were made to help the public through research.
Programs on Innovations Capacity (before STRIDE)	We have had innovation programs. I believe it was not just focused on research but also teaching and social development and formation. There were also programs and projects that we had in the past, before STRIDE.	XU	
Programs on Innovations Capacity (before STRIDE)	CRD was established late in the 90s. The University realized the need to translate its research for commercialization and for public benefit. So UPD translated these researches into practical efforts. Any help we can get was welcomed. Lahat ng universities, just then, realized that they need to do something beyond publications and graduating students. OVCRD already has a tech transfer unit. It was done in 2018. Before that nagsastart na yung dissemination information with IP because most of our researchers are not yet well-versed in protecting their research.	UPD	
Programs on Innovations Capacity (before STRIDE)	Yes, we had the DLSU Innovation and Technology Office. (DITO) The students in the STEMS discipline should have an outlet on the outside world. There was a trip to the US. In this case we reformed some of the policies and processes of running the office. We also modified them to be more efficient and realistic. That's why I think even if we had that pre-STRIDE – being able to benchmark with universities who have been doing this for decades was really valuable to us.	DLSU	

Technical assistance	We are under recipient of the research grant, CARWIN. Collaborative research with the industry. There are two (2) in the College of Engineering, one of whom is me, the other one is Jeff on Electronics Engineering. A grant was only given to Dr. Lubguban in the PUREgrant of USAID STRIDE. Two (2) from CARWIN and one (1) PURE grant.	MSU-IIT	Providing technical assistance through research grants.	Technical Assistance refers in providing technical assistance through research grants.
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1.2 What was the value addition of the STRIDE intervention?

VALUE ADDITION OF THE STRIDE INTERVENTION				
CODE	RESPONSE	KI	CATEGORY	THEME
Alignment to thrust of HEI	Even with funding, STRIDE provides opportunities for government agencies to align their efforts in terms of direction shaping and direction setting	BSU	STRIDE provides opportunities for government agencies to align their efforts in terms of direction shaping and direction setting	Benchmarking refers in setting the standards of the key players and from its partner industry.
Benchmarking	It allowed us to benchmark what we've done so far in collaboration with different university partners. Our mentors were part of the Philippines. They were already mentors for DOST and USAID STRIDE.	UPD	Setting the standard of the HEIs and from its partner industry.	
Benchmarking	This was similar to a project in US that enabled customer discover. So, you take whatever you have in your lab and talk to potential business partners or clients and get a sense of the market.	DLSU		
Capacity building	Substantial Human Capital Development for the training series attended by CIT's TBI & KTTO. There was fundamental transfer of knowledge from their speakers which operationalize the said R&D offices.	CITU	Enhancement of the skills and linkages of the faculty/researchers in the R&D from the seminars and trainings that were being conducted.	Overall Capacity Building refers in the enhancement of the skills and linkages of the faculty/researchers in the R&D from the seminars and trainings that were conducted.
Capacity building	STRIDE helped in building capacity in the research and IP commercialization through the KTTO; capacitating IP commercialization	USC		
Capacity building	Through STRIDE, there was increased awareness among faculty management on value of innovation and technology transfer.	UPCebu		

Capacity building	The PSM, although not adopted was an inspiration. The value of STRIDE intervention is in terms of seminars and meetings conducted. We have faculty members involved in the business case writing. They first attended case study writing in the US. As an output, graduate faculty members were able to write several cases. It restrengthened our efforts/initiatives on higher education research and academic programs and linkages with the industry.	UPLB
Capacity building	STRIDE gave more knowledge and insights on how to undertake innovation in the program of BSU. It is giving more information through the training of staff by inviting them to seminars or capability building for gaining insights on innovation.	BSU
Capacity building	It was the enhanced capacity on innovation.	TIP
Capacity building	KTTO program. I was one of the participants. From Diliman there were 3-4 sessions. Essentially it was on tech-transfer and knowledge transfer. It allowed us to benchmark what we've done so far in collaboration with different university partners. Our mentors were part of the Philippines. They were already mentors for DOST and USAID STRIDE	UPD
Capacity building	There were also seminars focused on skills building of researchers in various stages of their careers. STRIDE provided resource persons to deliver seminars on particular topics. I was a resource person myself, and there would be people from the US to deliver talks. This was put on hold for a while, but now has been revived. The intent now was to develop the institutional infrastructure but not on seminars. This was supposed to enable delivery of programs and even sustainable delivery post-STRIDE. We actually just implemented 7 days ago; this was intended for skills training.	DLSU
Capacity building	There were also seminars focused on skills building of researchers in various stages of their careers. STRIDE provided resource persons to deliver seminars on particular topics.	DLSU
Capacity building	We benefited we as well actually had a speaker from John Hopkins University at DLSU	DLSU

Capacity building	It spans a broad range of interventions. Stride developed different mechanisms to fund projects. There was a branch of the project, which was focused on collaborative capabilities, there was a US university partnered with a local university. Phase 1 project was CARWIN and AGUILA. The partners would give you practical problems and how to solve them along with the recipients of the programmes.	DLSU		
Catalyst	Fostering of Industry Linkages for CIT's engagement with the future offering of PSM Industrial Automation (with Knowles Electronics Philippines), and IBR Program (with CCCI, DTI, and DOST)	CITU	Improving the industry linkages and establishment of the KTTO.	Collaboration Refers to the fostering of industry linkages to the industry and to other partners
Catalyst	As I have said earlier, it was the establishment of the KTTO. They guide us to establish that office. Our director, Pat Cruz, trained on how to manage the KTTO.	MSU-IIT		
Catalyst	This encouraged other universities to be part of the IMPACT program. It started with 8, and then after the KTTO it enabled an additional 8 again.	UPD		
Collaboration	It restrengthened our efforts/initiatives on higher education research and academic programs and linkages with the industry	UPLB	Involvement of partnerships between industry, other universities, and other partners.	
Collaboration	Ah dito High. We are able to connect with the industry and HEIs and those expert professors coming from the US universities.	UPLB		
Collaboration	Also, to make a link in business and industry.	XU		
Collaboration	There was a branch of the project, which was focused on collaborative capabilities, there was a US university partnered	DLSU		
Collaboration	STRIDE got involved with a lot of the grants were given, they involved with collaboration with US based partners. Especially Filipino Americans who want to help out the institution, near their hometown. For example, there was a university in LAOUG, MNSU.	DLSU		
Collaboration	STRIDE got involved with a lot of the grants were given,	DLSU		
Collaboration	they involved with collaboration with US based partners. Especially Filipino Americans who want to help out the institution, near their hometown. For example, there was a university in LAOUG, MNSU.	DLSU		

Funding	In addition, it allowed faculty to explore the funding agencies. In XU we had our own internal funding for research. It also gave u the confidence to seek other funding agencies to submit proposals.	XU	Discover and have the confidence to engage with other funding agencies to submit proposals	Funding opportunities Refers in exploring to the funding agencies to fund projects.
Funding\Financial Assistance	Stride developed different mechanisms to fund projects	DLSU	Funding of projects and other activities.	
Funding\Financial Assistance	We had co-funding from STRIDE and DOST and the speakers were from US.	DLSU		
Industry responsive curriculum	This is the flagship program of our School of Business. The concept behind this is that when we have engineers and scientists, they may miss out the simple business angle in commercializing the technologies so we thought this would be a good venue to bridge our labs and the outside world.	DLSU	Introducing technologies to the industry.	Industry responsive curriculum Refers to the commercializing of the technologies by the HEIs as bridge of the HEI labs to the outside world.
Institution building	They have established KTTO (under the President’s office) based on the KTTO program of STRIDE.	USC	Establishment of infrastructure that are R&D related.	Building of infrastructures and programs refers to the building of KTTO and other related offices for the improvement of R&D programs
Institution building	As I have said earlier, it was the establishment of the KTTO. They guide us to establish that office. Our director, Pat Cruz, trained on how to manage the KTTO.	MSU-IIT		
Institution Building	This was put on hold for a while, but now has been revived. The intent now was to develop the institutional infrastructure but not on seminars.	DLSU		
Knowledge creation and Increase KAP on innovation and technology	The focus on Research and Development that is really very important. That is the importance of STRIDE of what we really have, the innovation programs in the university.	XU	Recognizing that the focus on R&D is important.	
Knowledge transfer	I think the major addition was the KTTO program. I was one of the participants. From Diliman there were 3-4 sessions. Essentially it was on tech-transfer and knowledge transfer	UPD	Establishing the KTTO and to be enabled to share the knowledge/technology to the industry.	
Knowledge transfer	STRIDE also did these on regional concerns i.e., they would bring agricultural specialists from Mindanao, and then they brought academics from the same region that talked about their own issues and solutions.	DLSU		

Knowledge transfer	This is the flagship program of our School of Business. The concept behind this is that when we have engineers and scientists, they may miss out the simple business angle in commercializing the technologies so we thought this would be a good venue to bridge our labs and the outside world.	DLSU		
Knowledge creation	STRIDE gave more knowledge and insights on how to undertake innovation in the program of BSU.	BSU	provided greater information and insight about how to carry out innovation	
Linkages	Fostering of Industry Linkages for CIT's engagement with the future offering of PSM Industrial Automation (with Knowles Electronics Philippines), and IBR Program (with CCCI, DTI, and DOST)	CITU	Encourage industry linkages	Link to industry refers to the establishment of linkages to industry partners for future programs.
Solutions	The partners would give you practical problems and how to solve them along with the recipients of the programmes.	DLSU	Providing solutions to the problems of industry partners.	Technical support refers to providing assistance in implementing programs.
Technical assistance	Early-on they offered scholarships. I was part of the scholarships screening committee in 2020.	DLSU	Providing scholarships	

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your university? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

STRIDE'S INTERVENTION THAT CONTRIBUTED TO IMPROVEMENT OF THE INNOVATION SYSTEM IN THE UNIVERSITY

CODE	RESPONSE	DOCUMENT/RESPONDENT	CATEGORY	THEME
Benchmarking	For example, the director in John Hopkins University showed us how things could be done, it enabled our institution.	DLSU	Setting standards based on the activities that we made by other universities.	Benchmarking refers to the setting of standards based on the activities that we made by other universities.
Capacity building	<ul style="list-style-type: none"> Key personnel in the University who are managing ITSO & KTTO have acquired sufficient necessary training how to strategically run these R&D Offices 	CITU	Strengthened the capacity of the university/researchers faculty to do research activities through various sessions and activities.	Overall capacity building refers to the strengthening of the capacity of the university/researchers/faculty to do research activities through various sessions, activities, and building linkages.
Capacity building	<ul style="list-style-type: none"> Engagements (current & past) with USAID STRIDE are so far geared toward training & development as well as 	CITU		

	linkages with innovation ecosystem enablers in the locality	
Capacity building	● The TBI & KTTO trainings have tremendously strengthened the capacity of the University to support startups	CITU
Capacity building	Only special talk on innovation; no follow up after the talk	UPCebu
Capacity building	Only the training on KTTO of one of the staff; capacity building	UPCebu
Capacity building	Only FGD with creative industries (e.g., cartoonists, digital media); no follow-on after the FGD	UPCebu
Capacity building	There were only few who were trained. It was only Ma'am Pat Cruz and the staff.	MSU-IIT
Capacity building	Malaking bagay ang pag-implement of the PSM for our graduate students. PSM is STRIDE and not UPLB. These are individually initiated wherein many faculty members and students were sent abroad, although a few did not come back after the USAID STRIDE Program.	UPLB
Capacity building	STRIDE conducted various knowledge sessions about how we are able to influence policy makers in recrafting guidelines on procurement. These include sessions from the preparation of proposals up to the procurement process for research activities. STRIDE was able to project these low-capacity research activities because of the procurement process.	UPLB
Capacity building	STRIDE sent very knowledgeable experts whose expertise ay hindi matatawaran.	UPLB
Capacity building	STRIDE is more on capability building	BSU
Capacity building	They conducted ideation workshop with our faculty and with the industry. Through the ideation workshop, we were able to come up with a research proposal with the partner industry	USTP

Capacity building	There is an impact in terms of technical assistance that was given to us the by the USAID STRIDE. They trained us and sent us to Florida State University. They trained us on how to run the program in the Career Canter.	USTP
Capacity building	The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center.	USTP
Capacity building	They conducted ideation workshop with our faculty and with the industry. Through the ideation workshop, we were able to come up with a research proposal with the partner industry. There is research that is ongoing right now with the industry and it is about to finish and deliver the equipment for the output. This research solving the problem of one of the MSME in Cagayan de Oro. That research is improving a certain equipment, an extruder machine. That is a product of the ideation workshop conducted by USAID STRIDE with the partner industry. The funding is from? The fund is from the DOST and USTP What is the name of the business sector? Best Friend Goodies, a food industry. Additional info:	USTP
Capacity building	knowledge transfer – H - The USAID STRIDE, helped us to capacitate the USTP in IT, Technology Assessment Promotion, Technology Transfer Negotiation, and the KTTO Basic Training. Also, the tactics on how to execute on what we have learned from the four (4) succession of capacity building [activities] for the whole duration of one year, we were able to practice the concepts and the cases studies that were being presented during our training for	USTP

	four (4) quarters. It showed in 2021, that we were able to execute what was being told to us.		
Capacity building	They trained us and sent us to Florida State University. They trained us on how to run the program in the Career Canter.	USTP	
Capacity building	human capital and education – M - The STRIDE program is not accessible to all. We are still on the process	XU	
Capacity building	Mentorship and the development of the PSM program. PSM was something that we never knew about, similar to KTTOs which we only knew about due to STRIDE. Provided training for ___ ***	TIP	
Capacity building	knowledge transfer – High - Provided trainings and support of intellectual property and knowledge transfer	TIP	
Capacity building	Given the budget constraints, the idea of STRIDE would be to improve scalability of these programmes. Having innovative degree programs as well as skills building programmes, research and faculty exchange, are essential elements in building STEM. So that’s why I rate them as high.	DLSU	
Capacity building	STRIDE has done a pretty good job in terms of DLSU’s capacity.	DLSU	
Catalyst	research and knowledge creation – High - Completion of the USAID STRIDE research – Prototype Research Project. This is a very competitive grant, and we are just so happy that we were able to get this one project in. This project enhanced research and knowledge creation.	TIP	Enhanced research project and knowledge creation and enabled partnerships.
Catalyst	There’s collaboration between me and the US university partners. In Local, through IMI, we tried but it didn’t progress. Yung nangyari po sa akin, I was able to get in touch with IMI but mostly on	UPD	

	a personal basis not through USAID. But USAID enabled the partnerships.			
Collaboration	(2) Competencies, services, and programs of cooperating business organizations, industry partners, government agencies and other institutions	CITU	Opened the partnerships between the academic and non-academic institutions/organizations	Collaboration refers to the building of partnerships between the academic and non-academic institutions/organizations
Collaboration	Only FGD with creative industries (e.g., cartoonists, digital media); no follow-on after the FGD	UPCebu		
Collaboration	One of the research grant products was commercialized. The commercialized research grant products were seambiotic serostress. It is a food supplement contains a combination of prebiotic and probiotic organisms in one capsule. We have collaborators, Nutra Tech Biopharma, Inc and MERAV Pharma. The industry partners worked on the FDA approval and they	MSU-IIT		
Collaboration	We collaborate with the industry, the MERAV Pharma. We also had a collaboration with a big company, _____ Technologies Inc. This is on our WARP grant. We started the collaboration last year (2020) and we will finish this December 2021.	MSU-IIT		
Collaboration	STRIDE introduced their networks to Batangas State University. But I cannot still rate. Nagkaroon ng bunga at partnership because of STRIDE.	BSU		
Collaboration	collaboration – H - Many sectors are involved.	XU		
Collaboration	collaboration - Very High - If there was a very high it would be very high. It really improved a lot of endeavors of the TIP through the project I mentioned earlier.	TIP		
Collaboration	If there was a very high, it would be very high. It really improved a lot of endeavors	TIP		

	of the TIP through the project I mentioned earlier.			
Collaboration	collaboration – Medium - There’s collaboration between me and the US university partners. In Local, through IMI, we tried but it didn’t progress. Yung nangyari po sa akin, I was able to get in touch with IMI but mostly on a personal basis not through USAID. But USAID enabled the partnerships. Ano yung IMI? - Agnes Integrated Micro Electronics – Semi-conductor manufacturing siya. We are currently in the negotiating stage with the industry we are looking for a research grant with DOST. (Note: Engaging with IMI semiconductors but on a personal capacity only)	UPD		
Collaboration	collaboration - High - At least the way I remembered DLSU a decade ago prior to STRIDE, there was a tendency for our researchers to think in isolation. So, we really pushed for seeking out academic and non-academic partners to collaborate with them. A lot of this has to do with what STRIDE did in the previous decade.	DLSU		
Collaboration	So, we really pushed for seeking out academic and non-academic partners to collaborate with them. A lot of this has to do with what STRIDE did in the previous decade.	DLSU		
Equipment Acquisition	Able to acquire equipment to generate quality products from mango waste products through Green Enviro Mgt (GEMs) system/program of the university; able to hire people who were formerly scavengers from the dumpsite; (processing system)	USC	Able to acquire and build equipment to generate quality products	Equipment Acquisition refers to the capacity to generate quality equipment for the research project.
Equipment acquisition	We were able to build equipment with our research collaboration. So even beyond this, the research will be sustainable. The	UPD		

	equipment built and bought will still be used			
Financial assistance	They were able to provide grants. Well in my case, in 1 year, hindi na siya na renew, iba ata yung dahilan kung bakit na renew. In terms of knowledge creation, it's still ongoing. We were able to build equipment with our research collaboration. So even beyond this, the research will be sustainable. The equipment built and bought will still be used.	UPD	Provided research grants.	Financial assistance refers to the provision of research grants to fund the project.
Industry responsive curriculum	Not only in KTTO, but we also tap Career Center, a partner with STRIDE, I think there is also an impact when it comes to human capital and education as much as the establishment of the Career Center	USTP	Made an impact for the enhancement of human capital and education and bridge the gap between industry and the academe.	Industry responsive curriculum refers to the effect of human capital, education, and bridging the gap between industry and the academe.
Industry responsive curriculum	The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center.	USTP		
Industry responsive curriculum	From day 1 the attack was really not to keep the isolation of researchers and the academe but to find ways to bridge the gap to the market	DLSU		
Innovation as ecosystem	Cannot quantify either as low, medium, high because innovation is an ecosystem which involves not only capability building but also infrastructure development including laboratories and Center for Innovation, provision of staff, and reengineered curriculum. If we can cost it, BSU has allocated big amounts already because we have programs on innovation before STRIDE came. STRIDE is more on capability building Di pwede capability building is just one intervention.	BSU	Innovation was done before STRIDE came.	Institution Building refers to enhancing the capability of the HEI in R&D through infrastructure development, provision of staff, human capital and reengineered curriculum.

I [President Ronquillo] have not received any monetary intervention from STRIDE.

Institution Building	Not only in KTTO, but we also tap Career Center, a partner with STRIDE, I think there is also an impact when it comes to human capital and education as much as the establishment of the Career Center	USTP	Building of infrastructures	
Intellectual property	Creating awareness on the value of technology and IP generated by research among the stakeholders especially among faculty and students.	USC	Awareness raising on intellectual property and value of technology.	Protection of Intellectual property referring to building awareness raising on intellectual property and value of technology
Knowledge creation	Since we are grantees and we had 3 grants. It was only for College of Engineering and Technology. There were 3 of us who were faculty in the College of Engineering and Technology, at the same time, there were 2 of us who were grantees who are in the same department.	MSU-IIT	Provided research grants.	Knowledge creation refers to the provision of research grants and research experts.
Knowledge creation and Increase KAP on innovation and technology	research and knowledge creation – Medium - The reason for this is that it's not really a critique of stride per say but there's just a presumption that STRIDE is development oriented. There is an emphasis on taking low-hanging fruit technologies that might be used by industries or other sectors of society to improve the status of the PH. There is much less emphasis on basic research and knowledge creation. USAID really is a development program and not purely a knowledge creation program, which is probably on tasked to DOST.	DLSU	There is much less emphasis on basic research and knowledge creation as STRIDE is a development program.	

Knowledge source	<ul style="list-style-type: none"> Dissemination of these primary knowledge, among others, has enabled CIT University to nurture its own innovation capacity: <p>(1) Management of technology business incubation, and knowledge & technology transfer;</p>	CITU	Provided resource persons for trainings / sessions / seminars for R&D related initiatives and intellectual property protection.	
Knowledge source	Knowledge gained from the commercialization of IP is crucial/important input to the Green Enviro Mgt program	USC		
Knowledge source	STRIDE sent very knowledgeable experts whose expertise ay hindi matatawaran.	UPLB		
Knowledge transfer	<ul style="list-style-type: none"> Dissemination of these primary knowledge, among others, has enabled CIT University to nurture its own innovation capacity: <p>(1) Management of technology business incubation, and knowledge & technology transfer;</p> <p>(2) Competencies, services, and programs of cooperating business organizations, industry partners, government agencies and other institutions</p>	CITU	Breaking the isolation of the researchers and academe to the industry by fixing their gaps and attending the needs of the market.	Knowledge transfer Breaking the isolation of the researchers and academe to the industry by fixing their gaps and attending the needs of the market
Knowledge transfer	Knowledge gained from the commercialization of IP is crucial/important input to the Green Enviro Mgt program	USC		
Knowledge transfer	One of the research grant products was commercialized. The commercialized research grant products were seambiotic serostress. It is a food supplement contains a combination of prebiotic and probiotic organisms in one capsule. We have collaborators, Nutra Tech Biopharma, Inc and MERAV Pharma. The industry partners worked on the FDA approval, and they market the product. We have a licensing agreement.	MSU-IIT		

Knowledge transfer	With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready.	USTP
Knowledge transfer	The USAID STRIDE, helped us to capacitate the USTP in IT, Technology Assessment Promotion, Technology Transfer Negotiation, and the KTTO Basic Training.	USTP
Knowledge transfer	With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready. The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center.	USTP
Knowledge transfer	knowledge transfer – M - We transfer some of the knowledge that we worked with after STRIDE, not within the STRIDE period. We were able to share what we have learned our technology to vegetable farmers and LGUs	XU
Knowledge transfer	We transfer some of the knowledge that we worked with after STRIDE, not within the STRIDE period. We were able to share what we have learned our technology to vegetable farmers and LGUs	XU
Knowledge transfer	Provided trainings and support of intellectual property and knowledge transfer	TIP
Knowledge transfer	Aside from KTTO, even before in 2014-2015, Field Dev already has a program with USAID. They were already there to help in the tech transfer part.	UPD
Knowledge transfer	knowledge transfer – High - From the KTTO alone we were exposed to the different approaches and techniques when it comes to knowledge transfer and technology transfer. Even beyond the	UPD

	program, maraming follow up activities lalo na yung mga IMPACT grants. (Note: Provided support to technology transfer through a prior USAID project PHILDEV in 2016)	
Knowledge transfer	From the KTTO alone we were exposed to the different approaches and techniques when it comes to knowledge transfer and technology transfer. Even beyond the program, maraming follow up activities lalo na yung mga IMPACT grants.	UPD
Knowledge transfer	There is an emphasis on taking low-hanging fruit technologies that might be used by industries or other sectors of society to improve the status of the PH. There is much less emphasis on basic research and knowledge creation. USAID really is a development program and not purely a knowledge creation program, which is probably on tasked to DOST.	DLSU
Knowledge transfer	knowledge transfer - High - From day 1 the attack was really not to keep the isolation of researchers and the academe but to find ways to bridge the gap to the market. For example, the director in John Hopkins University showed us how things could be done, it enabled our institution. STRIDE has done a pretty good job in terms of DLSU's capacity.	DLSU
Knowledge transfer	High - FEC program which I just mentioned is a way to transplant a program that already has been working at the US and institutionalize it by getting the cooperation of DOST. The intent is the same with what DOST wants, it's publicly funded projects that provides on the ground results. This is still a work in progress, however. A lot of the things I've learned from interactions from resources is that it often takes a long time for technologies to go from lab to market.	DLSU

	Possibly in the future the infrastructure would be set in place particularly in DLSU and other universities.			
Linkage	<ul style="list-style-type: none"> Linkages with the MSMEs, non-profit organizations and government offices have paved way for the University to extend and consequently expand its innovation capacity. 	CITU	Able to create networks between the academe and the industry, thus extending the university's innovation capacity.	
Linkage	as well as linkages with innovation ecosystem enablers in the locality	CITU		
Linkage	<ul style="list-style-type: none"> Engagements (current & past) with USAID STRIDE are so far geared toward training & development as well as linkages with innovation ecosystem enablers in the locality 	CITU		
Linkage	Linkages with the MSMEs, non-profit organizations and government offices have paved way for the University to extend and consequently expand its innovation capacity.	CITU		
Linkage	Linkages with other universities through the KTTO; there are limited takers of the products (from GEMS) which are hurdles to consider	USC		
Linkage	STRIDE introduced their networks to Batangas State University. But I cannot still rate. Nagkaroon ng bunga at partnership because of STRIDE.	BSU		
Procurement challenges	Before, those sessions were conducted, my impression is that some universities and institutions are okay with the current procurement system. I have realized the need to influence decision makers to make the procurement system more responsive. After attending these sessions, the university leaders tell the staff to make it more efficient.	UPLB	Creating pathways to a much easier and efficient procurement process.	Procurement Challenges refers to the challenges with the procurement system in an institution.

Research grant	The three (3) of us who were grantees were capacitated. We started from the USAID grants. Because of the training, confidence, and we had outputs, we went to a higher grant, DOST PCIEERD	MSU-IIT	Becoming more confident in making proposals for research grants.	Capacity in creating Research Grants refers to becoming more confident in making proposals for research grants.
Scalability of programs	human capital and education -High -Given the budget constraints, the idea of STRIDE would be to improve scalability of these programmes. Having innovative degree programs as well as skills building programmes, research and faculty exchange, are essential elements in building STEM. So that's why I rate them as high.	DLSU	Provided sessions in order to improve the scalability of programs that will be conducted	Scalability of programs refers to the enhancement of the feasibility of the program that will be provided.
Solutions	This research solving the problem of one of the MSME in Cagayan de Oro. That research is improving a certain equipment, an extruder machine. That is a product of the ideation workshop conducted by USAID STRIDE with the partner industry.	USTP	Solving the problems of the MSMEs	Responding to MSMEs refers to giving solutions to the problems of the MSMEs.
Start-ups and spin-offs	start-ups and spin-offs – L - This is one of our areas of improvement. We don't have the mechanism yet in the university.	XU	Lacking on the innovation of start-ups and spin-offs as some of the HEIs are still on tech transfer and negotiation to the partner industry.	Lack of Start-ups and spin-offs refers to the innovation on start-ups and spin-offs that were still lacking
Start-ups and spin-offs	start-ups and spin-offs – Low - The innovation on start-ups and spin-offs were still lacking in STRIDE.	TIP		
Start-ups and spin-offs	start-ups and spin-offs – Low - Low kasi wala pa talagang initiative. Nasa Tech Transfer part pa lang. Yung training namin sa KTTO hanggang negotiation for example there is a patent for a technology we have training on how to negotiate for licensing pero wala pang how to do start-ups.	UPD		
Start-ups and spin-offs	Spin-offs created from research (that started with internal funding, but now partly funded by CHed)	USC		
Start-ups and spin-offs	It was not a start-up ma'am, because it was more on a licensing agreement that	MSU-IIT		

	we gave to the company. We did not commercialize it; it was our partner industry of			
Technical assistance	Able to acquire equipment to generate quality products from mango waste products through Green Enviro Mgt (GEMs) system/program of the university; able to hire people who were formerly scavengers from the dumpsite; (processing system)	USC	Able to acquire equipment to generate quality products. Also, HEIs were able to attend training and session to enhance skills in running a program or activity.	Overall technical assistance refers in acquiring equipment to generate quality products. Also, it refers in provision of training and session to enhance skills in running a program or activity.
Technical assistance	Malaking bagay ang pag-implement of the PSM for our graduate students. PSM is STRIDE and not UPLB. These are individually initiated wherein many faculty members and students were sent abroad, although a few did not come back after the USAID STRIDE Program.	UPLB		
Technical assistance	There is an impact in terms of technical assistance that was given to us the by the USAID STRIDE. They trained us and sent us to Florida State University. They trained us on how to run the program in the Career Canter. With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready. The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center.	USTP		
Technical assistance	With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready.	USTP		
Technical assistance	human capital and education – High - Mentorship and the development of the PSM program. PSM was something that we never knew about, similar to KTTOs which we only knew about due to STRIDE. Provided training for ____ ***	TIP		

Technical assistance	Completion of the USAID STRIDE research – Prototype Research Project. This is a very competitive grant, and we are just so happy that we were able to get this one project in. This project enhanced research and knowledge creation.	TIP
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1.4 What are the challenges and opportunities for your university to foster a robust innovation ecosystem given the STRIDE interventions?

CHALLENGES AND OPPORTUNITIES FOR THE UNIVERSITY TO FOSTER A ROBUST INNOVATION ECOSYSTEM GIVEN THE STRIDE INTERVENTIONS					
CODE	RESPONSE	KI	CATEGORY	CHALLENGE/ OPPORTUNITY	THEME
Alignment to thrust of HEI	The research agenda in our university, that is one. Even in my predecessor, we have to do something with research because XU is a teaching university, but we are moving to research, and we are still in the transition. That is a big opportunity that the university has that vision already. We have already created a research office in the university and a research council. We also funded internal projects with limited funding.	XU	Moving the university to work more on research.	Opportunity	Alignment to thrust of HEI refers to the transitioning of the HEI’s agenda to research
Bureaucracy	It is difficult to seek approval for changes in the curriculum. There are universities which are able to institute PSM like MMSU and Adamson University. It is okay for the private university because they have the leeway to do it. CHED has to revisit its policies.	UPLB	Difficult to create changes especially if other players to do not conform to these changes.	Challenge	Bureaucracy refers to the present policies that hinders in the development of programs and activities of the project.
Bureaucracy	There are many actors in the IE. We have to look at innovation capital, human resource, curriculum, and infrastructure. We might have a program but if the other players do not conform. Our challenge is to produce the output, meaning how to implement ideas which means infrastructure like laboratories. It cannot be done overnight by anyone. Even us or STRIDE cannot do that.	BSU		Challenge	
Bureaucracy	When it comes to government funding meron talagang problem, gusto ng private company ng ano but the tech transfer law states that the ownership goes to the implementing agency which is the university. Yung negotiation na nangyayari is right to first refusal. When it comes to government funded projects may qualms talaga ang industry.	UPD		challenge	

Bureaucracy	Main Challenge is that it is an ecosystem. No matter how advance DLSU or a university becomes, you always have to work with universities in the local environment. The main challenge is to have enough universities to be in the same level as DLSU or UPD, especially outside Metro Manila. We need to build what the US already has and that is natural trust between industry and academia. Such as Silicon Valley, but of course they already have decade's worth of experience. There is no natural culture of trust yet, but it has been cultivated with STRIDE with some selected companies in the Philippines.	DLSU		Challenge	
Capacity building	We still have 2 DOST CRADLE projects. Because of the experience that we had, there were many opportunities that opened up. I knew how to make a proposal and I know now how to engage with the industry. I learned all of this from CARWIN.	MSU-IIT	Enhancing research capabilities and gaining confidence in making proposals	Opportunity	Establishing collaboration refers to establishing a rapport to the partner industry
Capacity building	For levelling up/enhancing research capacity building that would translate to higher levels of publication outputs and related activities.	UPLB		Opportunity	
Collaboration	Collaboration, especially with the industry that will utilize the output of research and other HEIs. There are opportunities to benchmark. I know of the many educational trips conducted by STRIDE among academic leaders in the Philippines.	UPLB	A strong collaboration between the government, industry, and the academe.	Opportunity	
Collaboration	The advantage of having a CARWIN is you have an industry collaborator. The industry has a different mind-set from that of the researcher. As a project leader or a principal investigator, I have to understand their mind-set as well in a business sense point of view. They will not undergo into a certain enterprise if they cannot get any profit.	MSU-IIT		Opportunity	
Collaboration	If there is a strong collaboration with industries and government agencies, with the help of STRIDE, I think we can pursue as much as we can the establishment of Science and Technology Park. There is a potential in this region to have a Science and Technology Park, specifically that there are industries that are willing to partner with the academe or with the university. For example, the PHIVIDEC is an industrial zone so many industries wanted to go there. In fact, we will be establishing an academic institution in that area. It is already approved and there is already a Republic Act establishing a campus. In fact, the industries are willing and the PHIVIDEC and USTP underwent an agreement for the location of the academic institution. We have started talking to industries, industry locators and they are willing to partner with us in converting to the Industrial Park to a Science and Technology Park. That is an opportunity were STRIDE can help us. There are also two (2) other locations, the agroindustry site in Alubijid and Claveria Campus. So, there are actually three (3) potential sites for Science and Technology Park. STRIDE can help	USTP		Opportunity	

us on that. We consider that as a big opportunity for the USTP to pursue on that vision or plan. We see the future of this region, maybe there will be a “Silicon Valley” here.

Collaboration	The university to have a strong linkage to an industry. For example, an Ideation Workshop cannot be successful if it is not participated by the industry, the right person to participate. For example, a technical person or even a CEO of a particular industry participating in a workshop can [provide] link. That is one important aspect to have a robust innovation ecosystem, is the strong linkage with the stakeholders, the government, industry, academe, and even the community.	USTP		challenge	
Collaboration	We are very open to have engagement with other groups, especially with government agencies and international [agencies/groups]. In fact, we have several research partnerships with the international groups also	XU		Opportunity	
Design inconsistency	Design of academic programs. For example, the current curricular programs have required number of academic units to graduate. The PSM has certain standard that could be adopted by the University but there is inconsistency in terms of the higher number of units required under PSM.	UPLB	Inconsistency on the design of the curriculum to the priority key areas or agenda of STRIDE.	Challenge	Aligned academic programs refers to academic policies that needs to be reviewed in response to the intervention that has been given.
Design inconsistency	Some STRIDE priority areas are not within the STRIDE’s priority agenda such as agriculture and health. TIP is focused on engineering, but we do still provide business and other subjects. We have narrowed down the areas and complemented them with the priority agendas of STRIDE. It is not the problem of STRIDE, but this is how we just did it.	TIP		challenge	
Design of academic program	Design of academic programs. For example, the current curricular programs have required number of academic units to graduate. The PSM has certain standard that could be adopted by the University but there is inconsistency in terms of the higher number of units required under PSM.	UPLB	Inconsistent number of units to the CHED guidelines.	Challenge	

Design of academic program	Mas mataas ang number of units required in professional masters, e.g., four units for specialization course, that is, the number of units related innovation/technical courses. There is a need for industry immersion which is not consistent with the CHED guidelines. It is difficult to seek approval for changes in the curriculum. There are universities which are able to institute PSM like MMSU and Adamson University. It is okay for the private university because they have the leeway to do it. CHED has to revisit its policies.	UPLB		Challenge	
Design of academic program	CHED has to revisit its policies.	UPLB		Challenge	
Friendly/Responsive policies	6. Review of policy on academic loading to encourage researches towards commercialization.	USC	Researches that leads to commercialization.	Opportunity	
Funding	1. More potential funding for innovative projects are made possible by government agencies, non-government and civil society organizations	CITU	Funds were coming from the government and other organizations.	Opportunity	Financial resources refers to the funding support coming from different institutions or agencies.
Funding	4. Funding Support from government	USC	However, some universities pose a challenge on funding as they were not able to fund additional budget for STRIDE intervention activities and programs.	Opportunity	
Funding	Funding is a big challenge. STRIDE intervention is very innovative but the University that would wish to join may not do so because of funding and human resource requirements. There are universities without staff trained to respond to STRIDE intervention	UPLB		Challenge	
Funding	We also funded internal projects with limited funding	XU		Opportunity	
Funding\Financial Assistance	We have the research funding, the legislation in place, it's just a matter of some smart research group and some company to use these resources to provide something.	DLSU	Funding and financial assistance has increased, and policies are in place for other needs.	Opportunity	
Funding\Financial Assistance	The funding has increased drastically over the past decade. If you got a 1 million peso grant back in 2005, you'd feel like superman but now it already has been set as the minimum	DLSU		Opportunity	
Funding\Financial Assistance	More potential funding for innovative projects is made possible by government agencies, non-government and civil society organizations	CITU			

Grounded academic actors	Faculty and students need to be sensitized further about the actual problems in the society in general in order to conceptualize more technologies that are relevant and impactful	CITU	Encourage faculty and students to create products that would aid the industry.	Challenge	innovation driven refers to the interventions that are responsive to the industry.
Innovation as ecosystem	There are many actors in the IE. We have to look at innovation capital, human resource, curriculum, and infrastructure. We might have a program but if the other players do not conform. Our challenge is to produce the output, meaning how to implement ideas which means infrastructure like laboratories. It cannot be done overnight by anyone. Even us or STRIDE cannot do that.	BSU	Other players may not conform on the programs that will be implemented	Challenge	
Innovation driven	1. Better intervention than more robust innovation, IE, data on start-ups, roadmaps,	UPCebu	Establishment of database system for better intervention and a more robust innovation.	Opportunity	
Innovation driven	2. A database system can be established	UPCebu		Opportunity	
Institution Building	The plan is to establish a Science and Technology Park. If there is a strong collaboration with industries and government agencies, with the help of STRIDE, I think we can pursue as much as we can the establishment of Science and Technology Park.	USTP	Establishment of a Science and Technology Park through a strong collaboration between the industries and the government agencies.	Opportunity	Knowledge protection and creation refers to the establishing of knowledge through collaboration and establishing sharing scheme of technology between university and industry partners.
Intellectual property	1. The need to protect research outputs (e.g., patentable technology) and IP.	USC	Emphasis on the protection of intellectual property and research outputs.	Challenge	
Knowledge creation	USAID STRIDE was able to enhance the understanding to build capacities, to cultivate research culture, and that the procurement process should be well-in place. Researchers would be discouraged to build more capacities if they will still attend to the nitty-gritty of the procurement processes.	UPLB	was able to improve understanding of how to build capacities, cultivate a research culture, and how to	Challenge	

			properly buy goods and services.		
Knowledge transfer	2. Foreign academic institutions, and local industries & consortia are now more keen to partner with the University to uplift and share each other's competencies	CITU	establishing sharing scheme of technology between university and industry partners	Opportunity	
Knowledge transfer	Vibrant startup ecosystem in the locality whereby the University can contribute given that its RDCO, KTTO, ITSO & TBI can work together to address specific needs of these startups	CITU		Opportunity	
Knowledge transfer	2. KTTO could help in the establishing sharing scheme of technology between university and industry partners	USC		Opportunity	
Knowledge transfer	1. IP policy is already present that sets the sharing of ownership of the technology among University, researcher's department and the researcher himself/herself. 2. KTTO could help in the establishing sharing scheme of technology between university and industry partners	USC		Opportunity	
Knowledge transfer	We still have 2 DOST CRADLE projects. Because of the experience that we had, there were many opportunities that opened up. I knew how to make a proposal and I know now how to engage with the industry. I learned all of this from CARWIN.	MSU-IIT		Opportunity	
Knowledge transfer	For levelling up/enhancing research capacity building that would translate to higher levels of publication outputs and related activities.	UPLB		Opportunity	
Knowledge transfer	Our strength is we are engaged with the communities, and we cannot compete with state universities and college in terms of cutting edge research. Our opportunity is more on social development related research. We do not have the equipment, but we are strong in forming leaders.	XU		Opportunity	
Knowledge transfer	It was very value adding because you can just imagine ano yung growing behind the strength and experience of the institutions in the US and applying them to ours. This is why the continued engagement of the STRIDE project in the PH will really help.	TIP		Opportunity	
Knowledge transfer	We will continue to grow the ecosystem not just innovation but also the tech-transfer and business development. We are doing mostly awareness campaigns sa ating mga faculty researchers and we are already involving their researchers. Masyadong busy yung faculty, sometimes naka salalay sa Res niya yung project. In fact we started workshops and they have already small labs and we have designated people for IP and prior-art search.	UPD		challenge	
Lack of awareness	1. Lack of awareness on programs and opportunities STRIDE can offer	UPCebu	Lack of knowledge about	Challenge	Lack of knowledge

			available programs and opportunities that STRIDE can offer		refers to the deficiency of awareness of programs that are being provided. As a result, there is a lack of capability and confidence to engage with different projects.
Lack of Expertise - Low Capacity	One challenge that we have at present in the university is the capability and confidence of other researchers to engage with STRIDE. We need to prepare more and equip our faculty researchers. In the policy of the university, to support the innovation ecosystem. We are still in the transition although we are moving towards that direction, as we want to be strong in our research, but not only research but also finding the results, what do we do with them? We must do extension, communication, policies, innovation, development, we should have done that in the university. Little by little if we have the mechanism, resources, and people to do it, I think we can move forward and sustain our programs and projects started with STRIDE. We do not have KTTO.	XU	capability and confidence of other researchers to engage on research and to handle collaborative efforts to a partner industry	challenge	
Lack of Expertise - Low Capacity	Main Challenge is that it is an ecosystem. No matter how advance DLSU or a university becomes, you always have to work with universities in the local environment. The main challenge is to have enough universities to be in the same level as DLSU or UPD, especially outside Metro Manila. We need to build what the US already has and that is natural trust between industry and academia. Such as Silicon Valley, but of course they already have decade's worth of experience	DLSU		challenge	
Lack of expertise/Low capacity	Constrained pool of in-house experts that can be deployed to handle collaborative industry-based projects and/or programs	CITU		Challenge	
Lack of expertise/Low capacity	3. No experience yet in the sharing scheme between university and industry partners	USC		Challenge	
Lack of human capital	Constrained pool of in-house experts that can be deployed to handle collaborative industry-based projects and/or programs	CITU		Challenge	
Lack of human capital	One challenge that we have at present in the university is the capability and confidence of other researchers to engage with STRIDE. We need to prepare more and equip our faculty researchers. In the policy of the university, to support the innovation ecosystem. We are still in the transition although we are moving towards that direction, as we want to be strong in our research, but not only research but also finding the results, what do we do with them? We must do extension, communication, policies, innovation, development, we should have done that in the university. Little by little if we have the mechanism, resources, and people	XU		challenge	

to do it, I think we can move forward and sustain our programs and projects started with STRIDE. We do not have KTTO.

Leadership	The research agenda in our university, that is one. Even in my predecessor, we have to do something with research because XU is a teaching university, but we are moving to research, and we are still in the transition. That is a big opportunity that the university has that vision already. We have already created a research office in the university and a research council.	XU	A leader in the university to push for their research agenda.	Opportunity	Leadership refers to leading an institution to establish its research agenda.
Leadership	Our opportunity is more on social development related research. We do not have the equipment, but we are strong in forming leaders.	XU		Opportunity	
Linkage	Vibrant startup ecosystem in the locality whereby the University can contribute given that its RDCO, KTTO, ITSO & TBI can work together to address specific needs of these startups	CITU	The government, academe, and industry were able to build linkages and collaborate with their programs, outputs, and activities.	Opportunity	Linkages refers to the government, academe, and industry were able to build linkages and collaborate with their programs, outputs, and activities.
Linkage	The advantage of having a CARWIN is you have an industry collaborator. The industry has a different mind-set from that of the researcher. As a project leader or a principal investigator, I have to understand their mind-set as well in a business sense point of view. They will not undergo into a certain enterprise if they cannot get any profit.	MSU-IIT		Opportunity	
Linkage	Because of the experience that we had, there were many opportunities that opened up. I knew how to make a proposal and I know now how to engage with the industry. I learned all of this from CARWIN.	MSU-IIT		Opportunity	
Linkage	Collaboration, especially with the industry that will utilize the output of research and other HEIs. There are opportunities to benchmark. I know of the many educational trips conducted by STRIDE among academic leaders in the Philippines.	UPLB		Opportunity	
Linkage	There are many opportunities from the linkages, but it is up to BSU to harness the opportunities.	BSU		Opportunity	

Linkages	If there is a strong collaboration with industries and government agencies, with the help of STRIDE, I think we can pursue as much as we can the establishment of Science and Technology Park. There is a potential in this region to have a Science and Technology Park, specifically that there are industries that are willing to partner with the academe or with the university. For example, the PHIVIDEC is an industrial zone so many industries wanted to go there. In fact, we will be establishing an academic institution in that area. It is already approved and there is already a Republic Act establishing a campus. In fact, the industries are willing and the PHIVIDEC and USTP underwent an agreement for the location of the academic institution. We have started talking to industries, industry locators and they are willing to partner with us in converting to the Industrial Park to a Science and Technology Park. That is an opportunity were STRIDE can help us	USTP		Opportunity	
Linkages	We are very open to have engagement with other groups, especially with government agencies and international [agencies/groups]. In fact, we have several research partnerships with the international groups also. We are also addressing the problem even in the students. We have service-learning program where students are engaged with communities or even institutions in trying to address problems. The training and mind-set are set at the early stage. This can go a long way. Our strength is we are engaged with the communities, and we cannot compete with state universities and college in terms of cutting-edge research.	XU		Opportunity	
Linkages	Partnering with our network within UP. Kami po we have already partnered with NGOs the ERFI. We are also talking to the Philippine chamber of commerce and industry ganun. We also have activities such as INNOVATION HUDDLE where it is a reverse pitching where industry presents their problems, and we look for researchers to solve these problems. They will be asking us if we have the capacity to solve problems. Ito po yung galing sa IMI model where the researchers presented.	UPD		Opportunity	
Low innovation	Develop an army of hard science researchers who will be trained purposively on innovation. There is a need to find a good number of researchers and determine what percentage of them would go to science, technology, and engineering. We need a good number of innovation leaders.	BSU	To enhance researcher on their innovation capacities.	Challenge	Low innovation refers to the low innovation capacities of the researchers to engage in a project.
Low innovation	Roster of alumni / industry experts that can be tapped to cultivate further the culture of innovation in the University need to be reinforced	CITU		Challenge	
Mapping of experts (Human	Roster of alumni / industry experts that can be tapped to cultivate further the culture of innovation	CITU	Identify researchers that will solely focus	Challenge	Mapping of experts (Human resource,

resource, curriculum and infrastructure)			on the innovation programs and activities.		curriculum and infrastructure) refers to the
Mapping of experts (Human resource, curriculum and infrastructure)	There are many actors in the IE. We have to look at innovation capital, human resource, curriculum, and infrastructure. We might have a program but if the other players do not conform. Our challenge is to produce the output, meaning how to implement ideas which means infrastructure like laboratories. It cannot be done overnight by anyone. Even us or STRIDE cannot do that.	BSU		Challenge	identification of researchers to do innovation projects that could address the needs of the industry through collaboration with the different actors.
Mapping of experts (Human resource, curriculum and infrastructure)	Develop an army of hard science researchers who will be trained purposively on innovation. There is a need to find a good number of researchers and determine what percentage of them would go to science, technology, and engineering. We need a good number of innovation leaders.	BSU		Challenge	
Mismatch skills	3. Faculty and students need to be sensitized further about the actual problems in the society in general in order to conceptualize more technologies that are relevant and impactful	CITU	To be able to address the needs of the industry and improve collaboration.	Challenge	
Mismatch skills	Mas mataas ang number of units required in professional masters, e.g., four units for specialization course, that is, the number of units related innovation/technical courses. There is a need for industry immersion which is not consistent with the CHED guidelines.	UPLB		Challenge	
Mismatch skills	How to encourage faculty researchers to go beyond publication and graduating of students. Right now, we are trying to improve and reaching out to our faculty researchers to protect their research. This is critical. Slowly, we are improving when it comes to disclosure and collaboration.	UPD		challenge	
Multi-agency collaboration	I was a researcher for so long already and usually I got funding from the government, and you are the proponent. The advantage of having a CARWIN is you have an industry collaborator. The industry has a different mind-set from that of the researcher. As a project leader or a principal investigator, I have to understand their mind-set as well in a business sense point of view. They will not undergo into a certain enterprise if they cannot get any profit.	MSU-IIT	Able to collaborate with different actors and addressing their needs.	Opportunity	
Multi-agency collaboration	it's just a matter of some smart research group and some company to use these resources to provide something.	DLSU		Opportunity	
Pandemic situation	Also, the current situation of the pandemic (COVID-19), we cannot have our workshop, or we cannot proceed. We plan to have more workshops with industry, a face-to-face workshop, but the challenge we cannot make it. I think there is already a design on how we can conduct it virtually, by talking with Academe and Industry and other agencies.	USTP	Mobility constraint due to pandemic.	challenge	Limiting factors refers to the situations where a researcher is hindered to do

Policy improvement	6. Review of policy on academic loading to encourage researches towards commercialization.	USC	Review on policies to encourage researches towards commercialization.	Opportunity	interventions on the program.
Procurement challenges	One of the challenges is the procurement of the equipment. Since USAID STRIDE has a definite schedule, they will release the funds if we have completed a milestone. Since we are an SUC, sometimes we have to control on the procurement of the materials and chemicals, thus there is a delay on the experiment. We negotiate with them if we got delayed. That is why we had an extension of six (6) months.	MSU-IIT	A need to revise the procurement policies of the HEIs when conducting a research activity.	Challenge	
Procurement challenges	Institutional arrangements – USAID STRIDE was able to enhance the understanding to build capacities, to cultivate research culture, and that the procurement process should be well-in place. Researchers would be discouraged to build more capacities if they will still attend to the nitty-gritty of the procurement processes.	UPLB		Challenge	
Procurement challenges	Researchers would be discouraged to build more capacities if they will still attend to the nitty-gritty of the procurement processes.	UPLB		Challenge	
Procurement challenges	So, one would be procedural such as procurement. One is government procurement law. In Diliman I would say the need for plenty of signatures is a problem.	UPD		challenge	
R & D budget	The eco-system in the Philippines has developed. Some of it has already been in motion even without STRIDE. The funding has increased drastically over the past decade. If you got a 1 million peso grant back in 2005, you'd feel like superman but now it already has been set as the minimum. On the policy development, we have an innovation act that incentivises industry start-ups.	DLSU	The budget for research activities has been increased.	Opportunity	
Restricted	2. Fear of faculty to divulge and share researches because of ownership (IP) and patent concerns	USC	Lack of awareness on the impact of doing research.	Challenge	
Restricted	1. Lack of awareness on programs and opportunities STRIDE can offer	USC		Challenge	
Scalability	We had a grant with a company, and we still work with them now in our Laguna Campus. We need to scale these up however, so that we can do it in 10-12 different universities and have constant contact with them. This also applies to different universities in the Philippines.	DLSU	Working in on the scaling up of the programs that will be implemented.	challenge	cultivating partnerships refers to the support in the development of scaling up of the project that was
Scalability of programs	We had a grant with a company, and we still work with them now in our Laguna Campus. We need to scale these up however, so that we can do it	DLSU		challenge	

	in 10-12 different universities and have constant contact with them. This also applies to different universities in the Philippines.				implemented by the partners.
Start-ups and spin-offs	Support for start-ups and spin-offs, I hope this will be supported by STRIDE.	TIP	Support in creating start-ups.	Opportunity	
Start-ups and spin-offs	On the policy development, we have an innovation act that incentivises industry start-ups.	DLSU		Opportunity	
Sustainability	3. Sharing of the outputs with society in general	USC	Sharing outputs to the public.	Challenge	
Technical assistance	The Professional Masters Science degree programs. I hope STRIDE will continue beyond its mandates.	TIP	Able to create PMS degree	Opportunity	Technical assistance refers to the support
Technical assistance	TIP was able to ensure the approval of programs without the STRIDE but leveraging on this, when the STRIDE name came along it was additional magic. It was very value adding because you can just imagine ano yung growing behind the strength and experience of the institutions in the US and applying them to ours. This is why the continued engagement of the STRIDE project in the PH will really help. Why will we invent something that is really out there.	TIP	programs and providing experiences from other institutions.	Opportunity	given to the institution to develop its implemented programs.
Trust	Because of the experience that we had, there were many opportunities that opened up	MSU-IIT	Opportunities opened up with some companies	Opportunity	Building of trust refers to the confidence of the partnership that was established through active collaboration.
Trust	There is no natural culture of trust yet, but it has been cultivated with STRIDE with some selected companies in the Philippines.	DLSU	and the culture of trust is being cultivated.	Challenge	
Weak collaboration	The university to have a strong linkage to an industry. For example, an Ideation Workshop cannot be successful if it is not participated by the industry, the right person to participate. For example, a technical person or even a CEO of a particular industry participating in a workshop can [provide] link. That is one important aspect to have a robust innovation ecosystem, is the strong linkage with the stakeholders, the government, industry, academe, and even the community. That is a challenge on how we can penetrate on the industries, specifically on the right problems that the academe with actively participate or solve or have inputs. Also, the current situation of the pandemic (COVID-19), we cannot have our workshop or we cannot proceed. We plan to have more workshops with industry, a face-to-face workshop, but the challenge we cannot make it. I think there is already a design on how we can conduct it virtually, by talking with Academe and Industry and other agencies.	USTP	Industries that are not convinced with the plans of the academe.	challenge	Weak collaboration refers to organizations that are not convinced with the plans of the academe.

Weak collaboration	Industry problems. I think problema to sa mga industries na inaapproach namin. They are not convinced with our plans and the trust is not there yet. Transferring samples is a problem also. We have Material Transfer Agreements pero yun lang yung ibang industries hesitant talaga. Slowly we are gaining their confidence.	UPD	challenge
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ANNEX F

RELEVANCE HEI.2

1.1 Did your university have programs on innovation capacity before the STRIDE intervention?

PROGRAM'S ON INNOVATION CAPACITY BEFORE THE STRIDE INTERVENTION							
THEME	NATIONAL		HEI = 11		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Benchmarking Setting standards to the university from other HEIs that is also aligned to the thrust of the HEI			2	18.18			<p>“The research agenda in our university, that is one. Even in my predecessor, we have to do something with research because XU is a teaching university, but we are moving to research, and we are still in the transition. That is a big opportunity that the university has that vision already. We have already created a research office in the university and a research council. We also funded internal projects with limited funding.” (XU)</p> <p>“The experience showed them how big universities in the US promote commercialization of research outputs – commercialized technologies.” (USC)</p>
Overall Capacity building Refers to the Strengthening the capacity of the HEI’s researchers, faculty, and students by creating infrastructure and programs for the development of R&D in the HEI.			14 (10 HEIs)	90.90			<p>“The representatives of the university received a lot of trainings and were sent on study visits in the US as culminating activity facilitated by RTI (Feb. 2015: first batch out of two batches, with 6-7 trainees) together with other institution beneficiaries (Mindanao State University of Iligan (MSUIT – with Dr. Patricia Cruz as representative), Dela Salle University (represented by Atty. Christopher Cruz) and Visayas State University (VSU), etc. They attended a conference on the Association of Technological Managers Annual Meeting in New Orleans; visited technological transfer offices in big universities such as John Hopkins University, Rutgers’s University, and North Carolina State University.” (USC)</p> <p>“Yes, we had the DLSU Innovation and Technology Office. (DITO) The students in the STEMS discipline should have an outlet on the outside world. There was a trip to the US. In this case we reformed some of the policies and processes of running the office. We also modified them to be more efficient and realistic. That’s why I think even if we had that pre-STRIDE – being able to benchmark with universities who have been doing this for decades was really valuable to us.” (DLSU)</p>

Technical Assistance refers in providing technical assistance through research grants.	1	9.09	“We are under recipient of the research grant, CARWIN. Collaborative research with the industry. There are two (2) in the College of Engineering, one of whom is me, the other one is Jeff on Electronics Engineering. A grant was only given to Dr. Lubguban in the PUREgrant of USAID STRIDE. Two (2) from CARWIN and one (1) PURE grant.” (MSU-IIT)
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1.2 What was the value addition of the STRIDE intervention?

VALUE ADDITION OF THE STRIDE INTERVENTION							
THEME	NATIONAL N=		HEI = 11		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Benchmarking refers in setting the standards of the key players and from its partner industry.			3	27.27			<p>“Even with funding, STRIDE provides opportunities for government agencies to align their efforts in terms of direction shaping and direction setting” (BSU)</p> <p>“It allowed us to benchmark what we’ve done so far in collaboration with different university partners. Our mentors were part of the Philippines. They were already mentors for DOST and USAID STRIDE.” (UPD)</p> <p>“This was similar to a project in US that enabled customer discover. So, you take whatever you have in your lab and talk to potential business partners or clients and get a sense of the market.” (DLSU)</p>
Overall Capacity Building refers in the enhancement of the skills and linkages of the faculty/researchers in the R&D from the seminars and trainings that were conducted.			11 (8 HEIs)				<p>“Substantial Human Capital Development for the training series attended by CITU’s TBI & KTTO. There was fundamental transfer of knowledge from their speakers which operationalize the said R&D offices.” (CITU)</p> <p>“STRIDE helped in building capacity in the research and IP commercialization through the KTTO; capacitating IP commercialization” (USC)</p> <p>“Through STRIDE, there was increased awareness among faculty management on value of innovation and technology transfer.” (UP CEBU)</p>

Collaboration Refers to the fostering of industry linkages to the industry and to other partners	10 (6)	54.54	“It restrengthened our efforts/initiatives on higher education research and academic programs and linkages with the industry” (UPLB) “We are able to connect with the industry and HEIs and those expert professors coming from the US universities.” (UPLB)
Funding opportunities Refers in exploring to the funding agencies to fund projects.	3 (2 HEIs)	18.18	“it allowed faculty to explore the funding agencies. In XU we had our own internal funding for research. It also gave u the confidence to seek other funding agencies to submit proposals.” (XU) “Stride developed different mechanisms to fund projects” (DLSU)
Building of infrastructures and programs refers to the building of KTTO and other related offices for the improvement of R&D programs	8 (6 HEIs)	54.54	“it was the establishment of the KTTO. They guide us to establish that office. Our director, Pat Cruz, trained on how to manage the KTTO.” (MSU-IIT) “The focus on Research and Development that is really very important. That is the importance of STRIDE of what we really have, the innovation programs in the university.” (XU)
Link to industry refers to the establishment of linkages to industry partners for future programs.	1	9.09	“Fostering of Industry Linkages for CITU’s engagement with the future offering of PSM Industrial Automation (with Knowles Electronics Philippines), and IBR Program (with CCCI, DTI, and DOST)” (CITU)
Technical support refers to providing assistance in implementing programs.	2 (1 HEI)	9.09	“The partners would give you practical problems and how to solve them along with the recipients of the programs.”

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your university? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

STRIDE’S INTERVENTION THAT CONTRIBUTED TO IMPROVEMENT OF THE INNOVATION ECOSYSTEM IN THE UNIVERSITY

THEME	NATIONAL N=		HEI = 11		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Benchmarking refers to the setting of standards based on the activities that we made by other universities.			1	9.09			“The director in John Hopkins University showed us how things could be done, it enabled our institution.” (DLSU)

Overall capacity building refers to the strengthening of the capacity of the university/researchers/faculty to do research activities through various sessions, activities, and building linkages.	24 (11)	100	<p>“Prototype Research Project. This is a very competitive grant, and we are just so happy that we were able to get this one project in. This project enhanced research and knowledge creation.” (TIP)</p> <p>“Given the budget constraints, the idea of STRIDE would be to improve scalability of these programmes. Having innovative degree programs as well as skills building programmes, research and faculty exchange, are essential elements in building STEM. So that’s why I rate them as high.” (DLSU)</p> <p>“The USAID STRIDE helped us to capacitate the USTP in IT, Technology Assessment Promotion, Technology Transfer Negotiation, and the KTTO Basic Training. Also, the tactics on how to execute on what we have learned from the four (4) succession of capacity building [activities] for the whole duration of one year, we were able to practice the concepts and the cases studies that were being presented during our training for four (4) quarters. It showed in 2021, that we were able to execute what was being told to us.” (USTP)</p>
Collaboration refers to the building of partnerships between the academic and non-academic institutions/organizations	10 (8)	72.72	<p>“There was a tendency for our researchers to think in isolation. So, we really pushed for seeking out academic and non-academic partners to collaborate with them. A lot of this has to do with what STRIDE did in the previous decade.” (DLSU)</p> <p>“STRIDE introduced their networks to Batangas State University. But I cannot still rate. Nagkaroon ng bunga at partnership because of STRIDE.” (BSU)</p> <p>“We collaborate with the industry, the MERAV Pharma. We also had a collaboration with a big company, Technologies Inc. This is on our WARP grant. We started the collaboration last year (2020) and we will finish this December 2021.” (MSU-IIT)</p>
Equipment Acquisition refers to the capacity to generate quality equipment for the research project.	2	18.18	<p>“We were able to build equipment with our research collaboration. So even beyond this, the research will be sustainable. The equipment built and bought will still be used” (UPD)</p> <p>“Able to acquire equipment to generate quality products from mango waste products through Green Enviro Mgt (GEMs) system/program of the university; able to hire people who were formerly scavengers from the dumpsite; (processing system)” (USC)</p>
Financial assistance refers to the provision of research grants to fund the project.	1	9.09	<p>“They were able to provide grants. Well in my case, in 1 year, hindi na siya na renew, iba ata yung dahilan kung bakit na renew. In terms of knowledge creation, it’s still ongoing. We were able to build</p>

			equipment with our research collaboration. So even beyond this, the research will be sustainable. The equipment built and bought will still be used.” (UPD)
Industry responsive curriculum refers to the effect of human capital, education, and bridging the gap between industry and the academe.	3 (2 HEIs)	18.18	“Not only in KTTO, but we also tap Career Center, a partner with STRIDE, I think there is also an impact when it comes to human capital and education as much as the establishment of the Career Center” (USTP) “From day 1 the attack was really not to keep the isolation of researchers and the academe but to find ways to bridge the gap to the market” (DLSU)
Institution Building refers to enhancing the capability of the HEI in R&D through infrastructure development, provision of staff, human capital and reengineered curriculum.	2	18.18	“Cannot quantify either as low, medium, high because innovation is an ecosystem which involves not only capability building but also infrastructure development including laboratories and Center for Innovation, provision of staff, and reengineered curriculum. If we can cost it, BSU has allocated big amounts already because we have programs on innovation before STRIDE came. STRIDE is more on capability building. Di pwede capability building is just one intervention. I [President Ronquillo] have not received any monetary intervention from STRIDE.” (BSU) “Not only in KTTO, but we also tap Career Center, a partner with STRIDE, I think there is also an impact when it comes to human capital and education as much as the establishment of the Career Center” (USTP)
Protection of Intellectual property referring to building awareness raising on intellectual property and value of technology	1	9.09	“Creating awareness on the value of technology and IP generated by research among the stakeholders especially among faculty and students.” (USC)
Knowledge creation refers to the provision of research grants and research experts.	5	45.45	“Since we are grantees and we had 3 grants. It was only for College of Engineering and Technology. There were 3 of us who were faculty in the College of Engineering and Technology, at the same time, there were 2 of us who were grantees who are in the same department.” (MSU-IIT) “STRIDE sent very knowledgeable experts whose expertise ay hindi matatawaran.” (UPLB)
Knowledge transfer Breaking the isolation of the researchers and academe to the industry by fixing their gaps and attending the needs of the market	21 (9 HEIs)	81.81	“We transfer some of the knowledge that we worked with after STRIDE, not within the STRIDE period. We were able to share what we have learned our technology to vegetable farmers and LGUs” (XU)

			<p>“With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready.” (USTP)</p> <p>“Linkages with the MSMEs, non-profit organizations and government offices have paved way for the University to extend and consequently expand its innovation capacity.” (CITU)</p>
Procurement Challenges refers to the challenges with the procurement system in an institution.	1	9.09	<p>“Before, those sessions were conducted, my impression is that some universities and institutions are okay with the current procurement system. I have realized the need to influence decision makers to make the procurement system more responsive. After attending these sessions, the university leaders tell the staff to make it more efficient.” (UPLB)</p>
Capacity in creating Research Grants refers to becoming more confident in making proposals for research grants.	1	9.09	<p>“The three (3) of us who were grantees were capacitated. We started from the USAID grants. Because of the training, confidence, and we had outputs, we went to a higher grant, DOST PCIEERD” (MSU-IIT)</p>
Scalability of programs refers to the enhancement of the feasibility of the program that will be provided.	1	9.09	<p>“Human capital and education -High -Given the budget constraints, the idea of STRIDE would be to improve scalability of these programs. Having innovative degree programs as well as skills building programs, research and faculty exchange, are essential elements in building STEM. So that’s why I rate them as high.” (DLSU)</p>
Responding to MSMEs refers to giving solutions to the problems of the MSMEs.	1	9.09	<p>“This research solving the problem of one of the MSME in Cagayan de Oro. That research is improving a certain equipment, an extruder machine. That is a product of the ideation workshop conducted by USAID STRIDE with the partner industry.” (USTP)</p>
Lack of Start-ups and spin- offs refers to the innovation on start-ups and spin- offs that were still lacking	5	45.45	<p>“This is one of our areas of improvement. We don’t have the mechanism yet in the university.” (XU)</p> <p>“The innovation on start-ups and spin-offs were still lacking in STRIDE.” (TIP)</p>

Overall technical assistance refers in acquiring equipment to generate quality products. Also, it refers in provision of training and session to enhance skills in running a program or activity.	6 (4)	36.36	“Malaking bagay ang pag-implement of the PSM for our graduate students. PSM is STRIDE and not UPLB. These are individually initiated wherein many faculty members and students were sent abroad, although a few did not come back after the USAID STRIDE Program.” (UPLB)
			“There is an impact in terms of technical assistance that was given to us the by the USAID STRIDE. They trained us and sent us to Florida State University. They trained us on how to run the program in the Career Canter. With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready. The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center.” (USTP)
			“Mentorship and the development of the PSM program. PSM was something that we never knew about, similar to KTTOs which we only knew about due to STRIDE.” (TIP)

1.4 What are the challenges and opportunities for your university to foster a robust innovation ecosystem given the STRIDE interventions?

CHALLENGES AND OPPORTUNITES FOR THE UNIVERSITY TO FOSTER ROBUST INNOVATION ECOSYSTEM GIVEN THE STRIDE INTERVENTIONS

THEME	NATIONAL N=		HEI = 11		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Alignment to thrust of HEI refers to the transitioning of the HEI’s agenda to research			1	9.09			“The research agenda in our university, that is one. Even in my predecessor, we have to do something with research because XU is a teaching university, but we are moving to research, and we are still in the transition. That is a big opportunity that the university has that vision already. We have already created a research office in the university and a research council. We also funded internal projects with limited funding.” (XU)
Bureaucracy refers to the present policies that hinders in the development of			4	36.36			“When it comes to government funding meron talagang problem, gusto ng private company ng ano but the tech transfer law states that the ownership goes to the implementing agency which is the university. Yung negotiation na

programs and activities of the project.			nangyayari is right to first refusal. When it comes to government funded projects may qualms talaga ang industry.” (UPD)
			“It is difficult to seek approval for changes in the curriculum. There are universities which are able to institute PSM like MMSU and Adamson University. It is okay for the private university because they have the leeway to do it. CHED has to revisit its policies.” (UPLB)
Establishing collaboration refers to establishing a rapport to the partner industry	7 (5 HEIs)	45.45	<p>“We still have 2 DOST CRADLE projects. Because of the experience that we had, there were many opportunities that opened up. I knew how to make a proposal and I know now how to engage with the industry. I learned all of this from CARWIN.” (MSU-IIT)</p> <p>“The advantage of having a CARWIN is you have an industry collaborator. The industry has a different mind-set from that of the researcher. As a project leader or a principal investigator, I have to understand their mind-set as well in a business sense point of view. They will not undergo into a certain enterprise if they cannot get any profit.” (MSU-IIT)</p> <p>“The university to have a strong linkage to an industry. For example, an Ideation Workshop cannot be successful if it is not participated by the industry, the right person to participate. For example, a technical person or even a CEO of a particular industry participating in a workshop can [provide] link. That is one important aspect to have a robust innovation ecosystem, is the strong linkage with the stakeholders, the government, industry, academe, and even the community.” (USTSP)</p>
Aligned academic programs refers to academic policies that needs to be reviewed in response to the intervention that has been given.	6 (3 HEIs)	27.27	<p>“Design of academic programs. For example, the current curricular programs have required number of academic units to graduate. The PSM has certain standard that could be adopted by the University but there is inconsistency in terms of the higher number of units required under PSM.” (UPLB)</p> <p>“Review of policy on academic loading to encourage researches towards commercialization.” (USC)</p>
Financial resources refers to the funding support coming from different institutions or agencies.	7 (6 HEIs)	54.54	<p>“Funding is a big challenge. STRIDE intervention is very innovative but the University that would wish to join may not do so because of funding and human resource requirements. There are universities without staff trained to respond to STRIDE intervention” (UPLB)</p> <p>“We have the research funding, the legislation in place, it’s just a matter of some smart research group and some company to use these resources to provide something.” (DLSU)</p>

innovation driven refers to the interventions that are responsive to the industry.	4 (3 HEIs)	27.27	<p>“More potential funding for innovative projects is made possible by government agencies, non-government and civil society organizations” (CIT)</p> <p>“Faculty and students need to be sensitized further about the actual problems in the society in general in order to conceptualize more technologies that are relevant and impactful” (CIT)</p> <p>“There are many actors in the IE. We have to look at innovation capital, human resource, curriculum, and infrastructure. We might have a program but if the other players do not conform. Our challenge is to produce the output, meaning how to implement ideas which means infrastructure like laboratories. It cannot be done overnight by anyone. Even us or STRIDE cannot do that.” (BSU)</p>
Knowledge protection and creation refers to the establishing of knowledge through collaboration and establishing sharing scheme of technology between university and industry partners.	12 (8)	72.72	<p>“The plan is to establish a Science and Technology Park. If there is a strong collaboration with industries and government agencies, with the help of STRIDE, I think we can pursue as much as we can the establishment of Science and Technology Park.” (USTP)</p> <p>“USAID STRIDE was able to enhance the understanding to build capacities, to cultivate research culture, and that the procurement process should be well-in place. Researchers would be discouraged to build more capacities if they will still attend to the nitty-gritty of the procurement processes.” (UPLB)</p> <p>“Vibrant startup ecosystem in the locality whereby the University can contribute given that its RDCO, KTTO, ITSO & TBI can work together to address specific needs of these startups” (CIT)</p> <p>“Our strength is we are engaged with the communities, and we cannot compete with state universities and college in terms of cutting edge research. Our opportunity is more on social development related research. We do not have the equipment, but we are strong in forming leaders.” (XU)</p>
Lack of knowledge refers to the deficiency of awareness of programs that are being provided. As a result, there is a lack of capability and confidence to engage with different projects.	5	45.45	<p>“Constrained pool of in-house experts that can be deployed to handle collaborative industry-based projects and/or programs” (CIT)</p> <p>“One challenge that we have at present in the university is the capability and confidence of other researchers to engage with STRIDE. We need to prepare more and equip our faculty researchers. In the policy of the university, to support the innovation ecosystem. We are still in the transition although we are moving towards that direction, as we want to be strong in our research, but not only research but also finding the results, what do we do with them? We must do extension, communication, policies, innovation, development, we should have done that in the university. Little by little if we have the mechanism, resources, and people to do it, I think we can move forward and sustain our programs and projects started with STRIDE. We do not have KTTO.” (XU)</p>

Leadership refers to leading an institution to establish its research agenda.	2 (1 HEI)	9.09	“The research agenda in our university, that is one. Even in my predecessor, we have to do something with research because XU is a teaching university, but we are moving to research and we are still in the transition. That is a big opportunity that the university has that vision already. We have already created a research office in the university and a research council.” (XU)
Linkages refers to the government, academe, and industry were able to build linkages and collaborate with their programs, outputs, and activities.	8 (7 HEIs)	63.64	<p>“If there is a strong collaboration with industries and government agencies, with the help of STRIDE, I think we can pursue as much as we can the establishment of Science and Technology Park. There is a potential in this region to have a Science and Technology Park, specifically that there are industries that are willing to partner with the academe or with the university. For example, the PHIVIDEC is an industrial zone so many industries wanted to go there. In fact, we will be establishing an academic institution in that area. It is already approved and there is already a Republic Act establishing a campus. In fact, the industries are willing and the PHIVIDEC and USTP underwent an agreement for the location of the academic institution. We have started talking to industries, industry locators and they are willing to partner with us in converting to the Industrial Park to a Science and Technology Park. That is an opportunity were STRIDE can help us” (USTP)</p> <p>“We are very open to have engagement with other groups, especially with government agencies and international [agencies/groups]. In fact, we have several research partnerships with the international groups also. We are also addressing the problem even in the students. We have service-learning program where students are engaged with communities or even institutions in trying to address problems. The training and mind-set are set at the early stage. This can go a long way. Our strength is we are engaged with the communities, and we cannot compete with state universities and college in terms of cutting edge research.” (XU)</p>
Low innovation refers to the low innovation capacities of the researchers to engage in a project.	2	18.18	“Develop an army of hard science researchers who will be trained purposively on innovation. There is a need to find a good number of researchers and determine what percentage of them would go to science, technology, and engineering. We need a good number of innovation leaders.” (BSU)
Mapping of experts (Human resource, curriculum and infrastructure) refers to the identification of researchers to do innovation projects that could address the needs of the industry through collaboration with the different actors.	8 (6 HEIs)	54.54	<p>“There are many actors in the IE. We have to look at innovation capital, human resource, curriculum, and infrastructure. We might have a program but if the other players do not conform. Our challenge is to produce the output, meaning how to implement ideas which means infrastructure like laboratories. It cannot be done overnight by anyone. Even us or STRIDE cannot do that.” (BSU)</p> <p>“Faculty and students need to be sensitized further about the actual problems in the society in general in order to conceptualize more technologies that are relevant and impactful” (CIT)</p>

Limiting factors refers to the situations where a researcher is hindered to do interventions on the program.	9 (6)	54.54	<p>“Also, the current situation of the pandemic (COVID-19), we cannot have our workshop or we cannot proceed. We plan to have more workshops with industry, a face-to-face workshop, but the challenge we cannot make it. I think there is already a design on how we can conduct it virtually, by talking with Academe and Industry and other agencies.” (USTP)</p> <p>“One of the challenges is the procurement of the equipment. Since USAID STRIDE has a definite schedule, they will release the funds if we have completed a milestone. Since we are an SUC, sometimes we have to control on the procurement of the materials and chemicals, thus there is a delay on the experiment. We negotiate with them if we got delayed. That is why we had an extension of six (6) months.” (MSU-IIT)</p> <p>“Review of policy on academic loading to encourage researches towards commercialization.” (USC)</p> <p>“Fear of faculty to divulge and share researches because of ownership (IP) and patent concerns” (USC)</p>
cultivating partnerships refers to the support in the development of scaling up of the project that was implemented by the partners.	5 (3 HEIs)	27.27	<p>“We had a grant with a company, and we still work with them now in our Laguna Campus. We need to scale these up however, so that we can do it in 10-12 different universities and have constant contact with them. This also applies to different universities in the Philippines.” (DLSU)</p> <p>“On the policy development, we have an innovation act that incentivises industry start-ups.” (DLSU)</p>
Technical assistance refers to the support given to the institution to develop its implemented programs.	2 (1 HEI)	9.09	<p>“TIP was able to ensure the approval of programs without the STRIDE but leveraging on this, when the STRIDE name came along it was additional magic. It was very value adding because you can just imagine ano yung growing behind the strength and experience of the institutions in the US and applying them to ours. This is why the continued engagement of the STRIDE project in the PH will really help. Why will we invent something that is really out there.” (TIP)</p>
Building of trust refers to the confidence of the partnership that was established through active collaboration.	2	18.18	<p>“Because of the experience that we had, there were many opportunities that opened up” (MSU-IIT)</p> <p>“There is no natural culture of trust yet, but it has been cultivated with STRIDE with some selected companies in the Philippines.” (DLSU)</p>
Weak collaboration refers to organizations that are not convinced with the plans of the academe.	2	18.18	<p>“Industry problems. I think problema to sa mga industries na inapproach namin. They are not convinced with our plans and the trust is not there yet. Transferring samples is a problem also. We have Material Transfer Agreements pero yun lang yung ibang industries hesitant talaga. Slowly we are gaining their confidence.” (UPD)</p>

ANNEX F

RELEVANCE NATIONAL.1

1.1. Were the activities conducted by STRIDE relevant to the development priorities and STI needs of key stakeholders at the national, regional, and local levels (e.g., policy support and enabling environment)? (A)

ACTIVITIES CONDUCTED BY STRIDE RELEVANT TO THE DEVELOPMENT PRIORITIES AND STI NEEDS OF KEY STAKEHOLDERS				
RESPONSES OF KI	CODE	REMARKS 1 = AGREE 0 = DISAGREE (PLEASE REPLACE WITH APPROPRIATE CODE)		DOCUMENT
hosted a couple of study tours- Carolina -Technology triangle, BS degrees (benchmarking, USAID boarders, Israel (both private and public), USAID headquarters, education in LGU	benchmarking	1		Mind map 3-MSME.pdf
Meetings with Israel Commerce Attaché for possible areas of collaboration, and in the development of more innovative curriculum (senior high school	benchmarking	1		Mind map 3-MSME.pdf
Capacity building in STEM	Capacity building	1		Mind map 3-MSME.pdf
invited for strategic foresight training- approach or training on how to view the future in a different paradigm, realm of possibilities, leverage on opportunities	Capacity building	1		Mind map 3-MSME.pdf
STRIDE provided trainings and workshops on Intellectual Property Rights (IPR) protection; and industry networking with Academe	Capacity building	1		Mind map 3-MSME.pdf
2.3.1. human capital and education-HIGH in terms og capacitating our innovation leaders in RIICs	Capacity building	1		Mind map 5-DTI.pdf
2.4.1.6. Strong collaboration with DOST, and NEDA with Philippine Innovation act	Collaboration	1		Mind map 5-DTI.pdf
1.3. STRIDE it led a role in terms of complimenting efforts of government. Very timely program because our policies is already moving at that direction.	complimentary	1		Mind map 5-DTI.pdf
PSM- 6-unit elective on elective for industry need	Industry responsive curriculum	1		Mind map 3-MSME.pdf
we need skills not only board passers	Industry responsive curriculum	1		Mind map 3-MSME.pdf
Fostering more innovation partnerships, joint research and curriculum developments	Industry responsive curriculum	1		Mind map 3-MSME.pdf

1.5.1.1. Procurement policy: supplies and materials; local consultants of government agencies (need to register in PhilGeps); hiring of foreign experts, etc.	Policy Challenge	1	Mind map 1-NEDA.pdf
1.7.10. j***STRIDE's knowledge product is very important in several policies1.7.10.1. j.1knowledge products gives good scoping in innovation, indirectly	Knowledge source	1	Mind map 1-NEDA.pdf
2.4.2.3. In terms of activities and funding ng consultants si STRIDE iyon	Knowledge transfer	1	Mind map 5-DTI.pdf
working on IE assessment and studies	IE assessment	1	Mind map 3-MSME.pdf
hosting of Innovation ecosystem studies	IE assessment	1	Mind map 3-MSME.pdf
1.2.3. STRIDE conducted an initial assessment in 2014 1.2.4. research base strategy- using the research findings of DTI and assessment made by STRIDE	IE assessment	1	Mind map 5-DTI.pdf
SECTIONS IN ANNUAL AND QUARTERLY REPORT	CODE		DOCUMENT
STRIDE in Q4 of this year has enlisted a consultant who will conduct an organizational assessment of CHED in relation to its new responsibilities under the free tuition law (Republic Act 10931).	Organizational assessment	1	2019 STRIDE Annual Report.pdf
STRIDE and the Philippine Association of State Universities and Colleges (PASUC) released initial findings on the current state of research- and innovation-readiness of Philippine state universities and colleges (SUCs).	assessment	1	2021 STRIDE Quarter 1 FY2021 Report_for distribution.pdf
Strand 1. Innovation Diagnostics of SUCs PISI shall build on the metrics and diagnostic tools that STRIDE has developed and train SUCs on how to use these tools to conduct their own assessment of university programs and activities that foster innovation such as the following:	assessment	1	PASUC's Platform for Innovating SUCs for Industry 4.0 (PISI).pdf
In Year 6 STRIDE provided logistical assistance to the Innovation and Entrepreneurship Mission to Israel led by the DTI and the Philippine Embassy in Israel	benchmarking	1	2019 STRIDE Annual Report.pdf
CHED, DOST, Semiconductor and Electronics Industries in the Philippines, Inc., and Integrated Micro-Electronics Inc.	benchmarking	1	2019 STRIDE Annual Report.pdf
Also, this year STRIDE provided organizational assistance for a visit to Research Triangle Park in North Carolina for PASUC President Dr. Tirso Ronquillo and Batangas State University Vice President Engr. Amante. During their visit, they had meetings with officials of RTI International and North Carolina State University, while also visiting local business incubators. Dr. Ronquillo and Engr. Amante reported gaining new insights that they can apply in PASUC innovation initiatives, which are be	benchmarking	1	2019 STRIDE Annual Report.pdf

capacitating DTI's Innovation and Collaboration Office	Capacity building	1	2019 STRIDE Annual Report.pdf
DOST-Philippine Council for Health Research and Development (PCHR) and DOST-PCIEERD participated in the training	Capacity building	1	2019 STRIDE Annual Report.pdf
STRIDE has started linking PASUC with potential long-term capacity-building partners such as the Philippine-American Association of Science and Engineering (PAASE)	Capacity building	1	2019 STRIDE Annual Report.pdf
In August 2019, the DOST's Science for Change Program (S4CP) and National Capital Region (NCR) Office partnered with STRIDE to deliver the ideation and project design workshops for 10 teams of Metro Manila-based industries partnered with NCR-based HEIs.	Capacity building	1	2019 STRIDE Annual Report.pdf
The Strategic Foresight Training is designed for Philippine government leaders to learn about the fundamentals of strategic foresight and explore emerging trends that will impact the Philippines in the next few years	Capacity building	1	2020 STRIDE Y7 Annual Report 2020 Oct 30 REDACTED_Redacted (1).pdf
The workshops and training form part of STRIDE's technical assistance on strategic communication for the DTI-CIG. The support is (1) strengthening the DTI-CIG's competencies to communicate information that is relevant to the planning and implementation of innovation-related policies and programs, (2) supporting and complementing the DTI's overall communication initiatives by ensuring the effective delivery of key messages on innovation, and (3) promoting innovation among target stakeholder	Capacity building	1	2020 STRIDE Y7 Annual Report 2020 Oct 30 REDACTED_Redacted (1).pdf
PISI shall match or group universities with industries to conduct innovative research for targeted applications. PISI will work with STRIDE, PhilDev and Singapore Polytechnic on current university-industry collaborations on curriculum matching, research and development, and the establishment of programs that support the needs of the industry	Collaboration	1	PASUC's Platform for Innovating SUCs for Industry 4.0 (PISI).pdf
A STRIDE senior consultant is now the Assistant Secretary of Innovation and Competitiveness at DTI.	Knowledge transfer	1	2021 STRIDE Quarter 2 FY2021 Report_for distribution.pdf
During the course of focus group discussions (FGDs) and meetings with DOST-PCIEERD, there was an opportunity for synergy in terms of supporting the pipeline for technology commercialization. DOST-PCIEERD is running two programs that would be helped by the KTTO training	Linkages	1	2019 STRIDE Annual Report.pdf
In June 2019, STRIDE inked a memorandum of agreement with the DOST - PCIEERD to boost the capacity of universities for technology transfer and commercialization through training, funding, and program implementation support	Linkages	1	2019 STRIDE Annual Report.pdf

At present, CHED is imposing a temporary suspension, which began in April 2017, on authorizing universities to offer new graduate programs. It should be noted that this situation may have caused initial hesitation from HEIs in setting up PSMs this year. STRIDE’s focus while awaiting the release of the new guidelines is on conducting curriculum development activities for all PSM programs in its pipeline, with the aim of opening the programs for enrollment when the suspension is lifted	Linkages	1	2019 STRIDE Annual Report.pdf
Presented by PASUC in partnership with STRIDE, the PASUC Summit was held on August 26, 2020, with the theme, “Making Research and Extension Work for COVID-19 Response: Innovation Initiatives by Philippine State Universities and Colleges.	Linkages	1	2020 STRIDE Y7 Annual Report 2020 Oct 30 REDACTED_Redacted (1).pdf
These include providing technical support for DOST’s Grants in Aid program,	Capacity building	1	2019 STRIDE Annual Report.pdf
STRIDE supported PASUC in developing the Platform for Innovating SUCs for Industry	Capacity building	1	2019 STRIDE Annual Report.pdf
the staffing for the DTI Project Management Office (Innovation and Collaboration Office [ICO]).	Technical assistance	1	2019 STRIDE Annual Report.pdf
Work in the DTI ICO includes the mapping of innovation stakeholders at both the national and regional levels; provision of technical inputs on the formulation of the Implementing Rules and Regulations (IRR) of the Philippine Innovative Start-Up Act, and the Philippine Innovation Act; and inputs on the DTI position papers related to innovation. The DTI ICO is also essential in the technical design and coordination of the Filipinnovation TWG and regular correspondence with other agencies involved in innovation.	Technical assistance	1	2019 STRIDE Annual Report.pdf
STRIDE had a better understanding of the available resources, internal work structure, and dynamics in the context of co-creating the ad hoc R&D Communications Committee, and its interaction with the Office of Undersecretary for R&D, sectoral R&D councils, R&D institutions, and Science and Technology Information Institute, the lead agency for DOST-related communication efforts (Figure 10).	Technical assistance	1	2019 STRIDE Annual Report.pdf
Ultimately STRIDE saw more value in providing direct technical inputs to policy when requested by key officials	Technical assistance	1	2019 STRIDE Annual Report.pdf

STRIDE provided technical inputs through the DTI-CIG to the draft IRR of the two laws. In supporting the development of the IRR of the Innovative Startup Act, STRIDE presented the merits of a steering committee that will oversee the law's implementation. In the case of the PIA IRR, STRIDE provided inputs related to its alignment with the Startup Act IRR and harmonization with existing government innovation efforts.	Technical assistance	1	2020 STRIDE Y7 Annual Report 2020 Oct 30 REDACTED_Redacted (1).pdf
s part of its continuing commitment to help communicate the importance and benefits of R&D, STRIDE provided DOST with technical assistance in virtually mounting the 5th National Research and Development Conference (NRD	Technical assistance	1	2021 STRIDE Quarter 1 FY2021 Report_for distribution.pdf
The DOST institutionalizes the creation of the DOST R&D Communications Team (R&D Comms).	Technical assistance	1	2021 STRIDE Quarter 2 FY2021 Report_for distribution.pdf
Science, Technology, Research and Innovation for Development (STRIDE) program of the United States Agency for International Development (USAID), for the technical assistance in support of PASUC's drive to promote innovation initiatives in Philippine state universities and colleges.	Technical assistance	1	PASUC's Platform for Innovating SUCs for Industry 4.0 (PISI).pdf
technical assistance to government partners by focusing in four areas: the implementation of the DTI-DOST Inclusive Filipinnovation and Entrepreneurship Roadmap (the Filipinnovation Roadmap), the establishment of RIICs in select pilot areas, R&D programs and processes of DOST, and select technical needs within the CHED.	Technical assistance (Value addition)	1	2019 STRIDE Annual Report.pdf

1.2. What is STRIDE's unique value propositions that supported improving capacity for innovation of HEI faculty and staff, and of the GIA linkages and national innovation policy development? (I,A,C)

STRIDE'S UNIQUE VALUE PROPOSITIONS THAT SUPPORTED IMPROVING CAPACITY INNOVATION			
KI RESPONSES	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
Addressing challenges	Solution	1	Mind map 1-NEDA.pdf
How to communicate our R&D efforts [communications] - di namin alam ginagawa ng DOST sabi ng iba. Intervention of STRIDE in R&D-least understood ang R&D-di nainitidnihan ng tao	Capacity building (communication)	1	Mind map 2-DOST.pdf

Framework on R&D communication group	Capacity building (communication)	1	Mind map 2-DOST.pdf
Training on communications officer	Capacity building (communication)	1	Mind map 2-DOST.pdf
R&D tagline from STRIDE " R&D making change happen	Capacity building (communication)	1	Mind map 2-DOST.pdf
Strategic Foresight training for program and project managers (myopic view- what is far ahead from us)	Capacity building (communication)	1	Mind map 2-DOST.pdf
Hosting of Innovation ecosystem (study tour)	Benchmarking	1	Mind map 3-MSME.pdf
Funded the innovation roadmap	Financial Assistance	1	Mind map 3-MSME.pdf
1.3.1. More focus and targeted	Strategy	1	Mind map 4-PASUC.pdf
1.3.1.2. Targeted training for actors in the SUC, e.g., separate for other officers of the University, faculty, medium level research and development managers	Capacity building	1	Mind map 4-PASUC.pdf
Realizing, facilitating, confidence	Capacity building	1	Mind map 5-DTI.pdf
KAHIT NA ANONG EXPERTISE, HAHANAPIN NILA ANG EXPERTS	Knowledge source	1	Mind map 5-DTI.pdf
For this year 65 M for innovation IR4	Trust	1	Mind map 5-DTI.pdf
It jumpstarted the efforts for the ISO activities of the Commission. For the longest time, CHED was able to complete the ISO for the maritime unit because of the upcoming international convention, and STCW that requires an ISO for the maritime unit. It jumpstarted an agency-wide awareness on ISO.	catalyst	1	

1.3 What are the challenges and opportunities for HEIs and RDIs to foster a robust innovation ecosystem? (IR1, learning question on Relevance in AMELP.) (I)

CHALLENGES

CHALLENGES AND OPPORTUNITES FOR HEIS AND RDIS TO FOSTER ROBUST INNOVATION ECOSYSTEM			
KI RESPONSES	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	FILE
Procurement in STRIDE is very important work	Procurement	1	Mind map 1-NEDA.pdf

Procurement policy: supplies and materials; local consultants of government agencies (need to register in PhilGeps); hiring of foreign experts, etc.	Restriction	1	Mind map 1-NEDA.pdf
Weak collaboration among government agencies: horizontal, and vertical (national, regional, local) and in private sector. Collaboration in high and low data is not shared to work in AI	Collaboration Inaccessible data	1 1	Mind map 1-NEDA.pdf Mind map 1-NEDA.pdf
1.5.6. At the basic education level, they are not prepared for this [skills required in innovation] 1.5.6.1. This is a challenge to DepEd because their	Mismatch skills	1	Mind map 1-NEDA.pdf
1.5.6.1.1. they have to look on creativity, collaboration, critical thinking in our kids (21st century skills)	Mismatch skills	1	Mind map 1-NEDA.pdf
1.5.6.1.2. imaginations at basic level when they become engineer later on to look for solution	Mismatch skills	1	Mind map 1-NEDA.pdf
world bank assessment on innovation; govt is very low	Low innovation	1	Mind map 1-NEDA.pdf
Mababa ang R&D budget (0.04% of GDP, 2.488B in 2020) (nahihirapang ang gov't na intindihin ang R&D na ang gratification period ay sobrang haba.	Perception of government	1	Mind map 2-DOST.pdf
weak linkages among GIA	Weak linkage	1	Mind map 2-DOST.pdf
Not enough opportunities for science graduate students after they graduate	Low opportunities	1	Mind map 2-DOST.pdf
2.3.1.2. CHED is not responsive on the industry need. CHED is more into students passing the Philippine Regulatory Commission (PRC) Board examinations while Industry is into Six Sigma (a quality management methodology used to help businesses improve current processes, products or services by discovering and eliminating defects. The goal is to streamline quality control in manufacturing or business processes so there is little to no variance throughout)	Mismatch skills	1	Mind map 3-MSME.pdf
2.3.1.3. revision to courses di pinapansin 2.3.1.4. we need skills not only board passers	Mismatch skills	1	Mind map 3-MSME.pdf
Slower response of government agencies which, particularly CHED is uncontrollable by STRIDE	Slow response	1	Mind map 3-MSME.pdf
Rigid College course curriculum mainly for instruction and to comply with PRC requirements (focus on PRC requirement pero balewlala sa amin yan)	Academic rules' compliance		Mind map 3-MSME.pdf
1.5.1.1. Level of capacity to innovate among SUCs- What support can be provided for Let say Level 1 SUC, Level 1, Level 3. How can we further develop Level 1	Degree of support	1	Mind map 4-PASUC.pdf
1.5.1.1.1. readiness of innovation actors, ample number of R&D staff, budget and infrastructure	readiness	1	Mind map 4-PASUC.pdf

The need for the capacitate our government staff from the various parts of the country, especially in the region	Capacity building	1	Mind map 5-DT1.pdf
Funding and infrastructure	Funding	1	Mind map 5-DT1.pdf
How to do networking and coordination because we are dealing with government agencies and stakeholder	networking	1	Mind map 5-DT1.pdf
Bureaucratic challenges. Speaking for the agency and not to the higher education sector ecosystem, the way CHED was able to foster to a robust IS so	bureaucracy	1	Worksheet -CHEDI.doc
There is still the need to build a lot of capacity. Pre-pandemic, we were already needing to build the capacity of staff, and now with the shift there is totally again the need to reshape and do things, the more that there is a need to improve our capacity, internally.	Unimproved capability	1	Worksheet -CHEDI.doc
Upgrading the qualifications of the CHED personnel. Internalization and globalization at the time of pandemic require certain set skills and	Mismatch skills or technologically challenged	1	Worksheet -CHEDI.doc
USAID can help us on the digital transformation of CHED. We are delayed in terms of automation, getting things in a digital platform.	Delayed automation	1	Worksheet -CHEDI.doc

OPPORTUNITIES

OPPORTUNITIES			
KI RESPONSES	CODE	REMARKS 1 = AGREE 0 = DISAGREE (PLEASE REPLACE WITH APPROPRIATE CODE)	FILE
Digital space has force us to look for solutions	Solution	1	Mind map 1-NEDA.pdf
Acceleration of innovation in various digital platform	Innovation driven (Digital platform)		Mind map 1-NEDA.pdf
Optimize R & D budget for high impact project that will solve problems (e.g., rerouting projects to COVID-test kit)	R and D budget		Mind map 2-DOST.pdf
potential of MSMEs to contribute to innovation (90% of manpower-contribution to economy is 30%)	Tapping MSME	1	Mind map 2-DOST.pdf
1.4.2.3. Innovation index ranking-Input small but output is big 1.4.2.3.1. GII ranking improved from 73/129 countries to 54/129 countries in 2019	Improvement in ranking	1	Mind map 2-DOST.pdf
More channels for industry-academe collaboration, helping ang PSM dito	Linkage	1	Mind map 3-MSME.pdf
Support from DTI and DOST 2. PSM curriculum 3. More government agencies focused on innovation	Multi-agency collaboration	1	Mind map 3-MSME.pdf
1.5.2.1. Knowledge transfer from resource person. Not tangible now but these are opportunities on knowing concepts, modern trends in innovation from resource person and partnership opportunities	Knowledge transfer	1	Mind map 4-PASUC.pdf
1.6. Good thing STRIDE came because it is non-partisan 1.6.1. more on technical assistance	Neutral	1	Mind map 4-PASUC.pdf
1.6.2. linkages 1.6.3. catalytic role: they make DOST, DTI < go together	Linkage	1	Mind map 4-PASUC.pdf
No money involved by STRIDE, but they are Introducing you to networks and linking you to national and foreign sources of funds	Linkage	1	Mind map 4-PASUC.pdf
Crafting Phil innovation Act, 1billion is allocated for innovation activities, right time for RIICS is contribution of stride for funding	Funding	1	Mind map 5-DTI.pdf
! billion is crafted for innovation. It gave us confidence in activities and programs we are planning kasi cite lang iyong act parab igyan kami ng budget	Sustainability	1	Mind map 5-DTI.pdf
In terms of activities and funding ng consultants si STRIDE iyon	Knowledge transfer		Mind map 5-DTI.pdf
Andyan na iyong momentum for change, momentum to pursue our innovation programs.	Sustainability	1	Mind map 5-DTI.pdf

Leadership – CHED has now a chairman and a commission en banc that can lead us towards transformation. Their basic idea on HE is flexible, grounded, looks into the present condition. They are young dynamic enough to imagine higher education post pandemic

Leadership

Worksheet -CHEDI.doc

1.4 Are the STRIDE activities relevant in terms of alignment and consistency of the USAID framework on higher education and priorities of the Philippines? (I)

ANNEX F

RELEVANCE REGIONAL.1 CRT

1. Relevance

- 1.1 Were the activities conducted by STRIDE relevant to the development priorities and STI needs of key stakeholders at the national, regional, and local levels (e.g., policy support and enabling environment)?

ACTIVITIES CONDUCTED BY STRIDE RELEVANT TO THE DEVELOPMENT PRIORITIES AND STI NEEDS OF KEY STAKEHOLDERS					
CODES	RESPONSES	COUNT	KI	CATEGORY	THEME
Capacity building	The STRIDE KTTO program worked on capacitating individuals in setting up TTOs in universities. As cited by MSU-IIT Vice-Chancellor for Research and Extension, Dr. Jinky B. Bornales, USAID-STRIDE's KTTO program is "instrumental in setting up the kind of manpower a KTTO needs and for providing the Institute the necessary tools to effectively operate the KTTO."	8	NEDA 10	Enhancing the capacity of the key players to do the project.	Overall capacity development Enhancing the capacity of the key players in doing the project through provision of support and other capacity improvement activities
Capacity building	We also held a webinar during the pandemic, sponsored by STRIDE, on the changing market, with the consumer behavior during pandemic. This was held in the year 2020. We proposed that and we get the resource person on the research side. We held it as a national event. The webinar had an attendance of 5,000. We invited the DOST Secretary to give the message. It was more on technical presentation of the changing consumer behavior amidst pandemic		DOST 10		
Capacity building	H: Fine tune the projects that we proposed. It also contributed to the capability building of the DTI and DOST staff, the ideation process. We requested that again this year and in a more detailed manner. So that the staff and even the ARD would know the process. We found it very relevant and supportive.		DOST 10		
Capacity building	When I joined STRIDE, they were more on strengthening capacities only and not much on investing (but I am not so aware)		DOST 7		
Capacity building	H: Fine tune the projects that we proposed. It also contributed to the capability building of the DTI and DOST staff, the ideation process. We requested that again this year and in a more detailed manner. So that the staff and even the ARD would know the process. We found it very relevant and supportive		DOST10		
Capacity building	The Antipolo Institute of Technology owned by the City of Antipolo is into construction provided by the DTI with printer and software on BIM [Building Information Mapping], the only one in the country. The Institute has been partnering with private industry to understand BIM to design building with more precise plans and capacity and more quality. With STRIDE, it now offers a four-year course on construction engineering, the graduates of which will be skilled towards using BIM technology, different from Civil engineering, who are in demand for big companies. The tuition is free for residents of Antipolo.		DTI 4-A		

Capacity building	Among the activities that the STRIDE undertakes to promote collaboration among the government, academe and the industries is facilitating innovation workshops with industries and academe to foster common understanding and collaborative problem-solving.		NEDA 10	
Capacity building	The STRIDE contributed to the following outcome as laid down in Chapter 10 (Accelerating Human Capital Development) of the 2017-2022 Northern Mindanao Development Plan and its Midterm Update: (a) Quality of higher and technical education and research for equity and global competitiveness		NEDA 10	
Technology transfer	Ideation surfaced the gaps in the enterprise can be addressed through research and development. STRIDE look for resource person to package and respond to the needs of the industry. There is an improvement in the process of project proposal preparation. Before, our Local Grants in Aid (LGIA) in local did not allocate any budget for Research and Development. We passed it to the national, PCIEERD, PCARRD, PCHRD, and we took the risk and financed our LGIA. The research proposals came from state universities and colleges both from private and government and we invested on it. There are 15 projects under ideation. In our first year, we funded 4 projects. In the second year, I think we funded another 4 projects. For example, the spirulina conducted by MSU-Naawan. A SETUP project, the GreenPastures, they are making Moringa food supplement with a spirulina. The spirulina is not produced in Mindanao; thus, it is imported. However, through research it was identified that a technology can be developed and look for the protocol that will fit the environment in Mindanao, and we are now in the final stage.	7	DOST 10	Conducting various activities that promote smooth mechanisms of technology transfer
Technology transfer	M: We find it a bit difficult. I still try to have a more bottom line of funded start-ups. With the engagement of USAID-STRIDE they had much knowledge transferred, they trained the technology generators. As validated by the university presidents, we are weak on pitching on the side of the investors. The local investors here in Cagayan de Oro, their interest in investment is aligned with the existing business. It is not common to them that they venture to new technology and innovation. That is one of the objectives in the OROBEST project, is also supported by USAID-STRIDE, to develop a mindset of innovation even at the business sector. We will level-off on what is innovation is all about.		DOST 10	
Technology transfer	Medium: I myself is a facilitator of strategic planning, we find it difficult to facilitate especially to our stakeholders. When the USAID-STRIDE came in, it helped the Oro Chamber to fine tune the strategic direction of OROBEST as one of our projects. We really appreciated the process and additional knowledge. I was also trying to teach my staff to think strategically and to process strategically our projects. We had a low level of response but when STRIDE came, there is a gradual increase of appreciation of strategic planning. We also held a webinar		DOST 10	

Technology transfer	H: Greatest impact is on knowledge creation because of the established guidelines and framework. It has also identified the players in the ecosystem. However, they have not gel to craft specific policy.			DOST 4-A
Technology transfer	Yes, in terms of capacitating the staff. Two activities have been facilitated by STRIDE on innovation. Malaking tulong for most of us particularly in the province about the concept of innovation, how to start, and how to filter which innovation to decide. Considering the short engagement with STRIDE, marami nang natutunan ang staff.			DOST 4-A
Technology transfer	The STRIDE triggered the creation of the Regional Research, Development and Innovation Committee under the RDC-X. The creation of the RRDIC aimed to bridge the gaps and challenges of regional socio-economic development by ensuring researches, innovations and other S&T-based projects are relevant, responsive and aligned to the regional development thrusts. It is in line with one of the strategies indicated in Chapter 14 (Vigorously Pursuing Advancing Science, Technology and Innovation) of 2017-2022 Northern Mindanao Development Plan and its Midterm Update Development, along improving research and innovation productivity, particularly in intensifying the region's research and development. The STRIDE's activity in improving research capacity in science, technology and innovation fields helped operationalized such strategy. For example, MSU-IIT received a research and innovation grant under USAID STRIDE to help the university address challenges in the new normal. The research project focuses on the conversion of waste from coconut oil processing into an economically viable substitute to imported chemicals used in insulating foam production, while also creating a higher-value route for the by-products of the researchers' industry collaborator.			NEDA 10
Technology transfer	The STRIDE helped in developing the Knowledge and Technology Transfer Offices (KTTOs) of institutions of higher learning in Northern Mindanao such MSU-Iligan Institute of Technology (MSU-IIT) and University of Science and Technology of Southern Philippines. The KTTO development program of STRIDE supported the DOST's DOST-PCIEERD two technology transfer programs, namely, (a) Intellectual Property Management Program for Academic Institutions Commercializing Technologies (IMPACT Program), and (b) Higher Education Institution Readiness for Innovation and Technopreneurship (HEIRIT). The IMPACT Program worked on capacitating Technology Transfer Offices (TTOs) in universities by providing them monetary resources to upscale their TTO initiatives/activities. Higher Education Institution Readiness for Innovation and Technopreneurship (HEIRIT) works on capacitating Technology Business Incubators (TBIs) that were located in universities, to set up and grow start-ups and technologies.			NEDA 10
Collaboration	STRIDE gels BSU, DTI, and RDC. BSU had initial talks with the Batangas Chamber of Commerce and Industry based on my personal knowledge	6		DOST 4A Key players work together for the

Collaboration	They were able to provide the avenue where there will be exchange of knowledge between the academe, government and entrepreneurs would meet and talk about how to collaborate.	DOST 7	development of programs and projects.
Collaboration	The way ILIGANice do its planning is different from the OROBEST. OROBEST is more on the traditional way of strategic planning, in which all stakeholders gather together and has a facilitator. It was a very long process but very well done. ILIGANice did was, since it is led by an academic community, they have their own set of planning modalities, since they have many experts. They came up with six objectives and the stakeholders contribute to every objective. They have their own subgroups and then they have a plenary. After the six (6) groups present their plans, they will have big picture of what the ILIGANice is all about. I find the process innovative. It is different from a traditional strategic planning modality. Iligan Chamber is part of the planning. Iligan Chamber plays a very important role in the whole scheme of things of ILIGANice.	DTI 10	
Collaboration	This morning Sec dela Peña's message during the flag raising ceremony was to develop programs in partnership with the large enterprises. Large enterprises can assist in actively look for innovation; we are looking for start-up innovation. That is one thing that we were asking from STRIDE, it is not yet implemented, that we will be guided on how to develop entrusted fund. That is one lacking here in the innovation ecosystem. The investors are not yet interested. Just lately, we were glad that with the help of STRIDE, through the university we have some pitching with the local cooperatives. The cooperatives got interested on the start-ups. When I was still in the DTI, we were supported by the Netherlands Development Fund/Value (?) on resource innovation for small enterprises. This serves as their business capital. We are trying to revive this as well, with the help of USAID STRIDE, hopefully this will continue. There are many Kagay-anons who would like to invest but they do not want to come in Cagayan de Oro, they just want to manage their funds. We have not received any technical assistance, hopefully we can be helped on this matter. I asked help from Mr Guido Delgado, the former president of NAPOCOR, who happens to be from Cagayan de Oro, and he was also a banker. But he is now enjoying his retirement,	DTI 10	
Collaboration	There are two ongoing collaboration programs in Northern Mindanao, namely: (a) Optimizing Regional Opportunities for Business Excellence through Science, Technology (OROBEST) Innovation Program, and (b) ILIGANiCE (Innovation through Leveraging Industry, Government, Academe Networks and inclusive Community Engagements). These two programs receive technical assistance from USAID through STRIDE in support of the Philippine government's Regional Inclusive Innovation Center (RIIC) initiative.	NEDA 10	
Collaboration	There are two ongoing collaboration programs in Northern Mindanao, namely: (a) Optimizing Regional Opportunities for Business Excellence through Science, Technology (OROBEST) Innovation Program, and (b) ILIGANiCE (Innovation	NEDA 10	

	through Leveraging Industry, Government, Academe Networks and inclusive Community Engagements). These two programs receive technical assistance from USAID through STRIDE in support of the Philippine government's Regional Inclusive Innovation Center (RIIC) initiative.				
Assessment	Conduct policy studies and impact evaluation studies where the recommendations have STI component	3	DOST 4A	conducts policy studies and impact evaluation studies where the recommendations have STI component	
Assessment	Project appraisal, impact evaluation of major projects on infrastructure projects like the Batangas port about its absorptive capacity on handling cargo. Batangas Port is a strategic as gateway not only for the Philippines but also for some Asian countries. There are many adjunct MSMEs industries of the infrastructure projects integrating the start-ups elements. Also, on project appraisal on Shared Facility with DTI.		DTI 10		
Assessment	Project appraisal, impact evaluation of major projects on infrastructure projects like the Batangas port about its absorptive capacity on handling cargo. Batangas Port is a strategic as gateway not only for the Philippines but also for some Asian countries. There are many adjunct MSMEs industries of the infrastructure projects integrating the start-ups elements. Also, on project appraisal on Shared Facility with DTI.		DTI 4A		
Technical Assistance	M: The STRIDE contributed to the following outcome as laid down in Chapter 10 (Accelerating Human Capital Development) of the 2017-2022 Northern Mindanao Development Plan and its Midterm Update: (a) Quality of higher and technical education and research for equity and global competitiveness	2	NEDA 10	Provision of support for the development of STI and priorities	
Technical Assistance	NEDA as a collaborating agency which provide technical assistance LGUs in enhancing development plans and physical planning, which include STI-related development projects. At the regional line agencies, STI projects are priorities. The regional development report includes Chapter 14 on STI to assess the performance of the industry. This is in collaboration with DTI and DOST and other agencies on performance, challenges and strategies to respond to challenges.		NEDA 4-A		
Linkages	In June 2019, STRIDE signed a memorandum of agreement with the DOST - PCIEERD to enhance the capacity of universities for technology transfer and commercialization through training, funding, and program implementation support.	1	DOST 10	Capacity improvement activities for technology transfer and commercialization for universities.	
Alignment of programs	As mentioned, this aligns with the national strategy of innovation, which is the RIIC program. STRIDE facilitated the activities of the innovation program.	1	DTI 10	Coherence of the national strategy of innovation	Uniform innovation strategy

refers to the strategies for innovation that are aligned to the national innovation programs and strategies.

1.2 What are STRIDE’s unique value propositions that supported improving capacity for innovation of HEI faculty and staff, and of the GIA linkages and national innovation policy development? (I, A, C)?

STRIDE’S UNIQUE VALUE PROPOSITIONS THAT SUPPORTED IMPROVING CAPACITY FOR INNOVATION						
CODES	RESPONSES	COUNT	KI	CATEGORY	THEME	
Benchmarking	Another example, we had a visitor that has a seaweed farm that exports seaweeds to Europe. We had this mindset that if we culture seaweeds, it should be in the sea (sa dagat). In this case, they pipe in sea water. There is the uva variety of seaweed is easy. This one is different. I was asking people here in Mindanao because there is also a variety here, they said that it is not palatable because of the impurities of the sea/environment. When piped in, (sea water), the seaweed became palatable. We call it “lettuce of the sea.”	4	DOST 10	exposed to other innovation programs that led to creating context-specific innovation programs	Introduced to different innovation programs refers to key players that experienced other innovation programs and projects and brought them to their locality.	
Benchmarking	Because STRIDE is focused on innovation for intervention, we focused on the electronics industry which ang DOST ay hindi pa masayadong natingnan eto so malaking tulong eto. STRIDE was able to gather their stakeholders and (we) DOST introduced our programs – yung mga innovation programs. Those programs that are usually for the electronics industry, especially the big ones are usually located in the DOST central office. In the region 7 are small players of the electronics (MSMEs) products which need help, so many other innovations they have done, MEPZ, RIICs is big help. Research to tech no transfer and services.		DOST 7			
Benchmarking	Deeper realization of innovation through the interventions that were given. We visited Israel Innovation Authority together with my DTI and CHED counterparts. What stick to my mind was, the program of the Israel Innovation Authority, they said “Of the total start up projects that they supported, 97% were failure and only 3% are a success.” However, that “3%” is more than enough to compensate the losses that incurred by the “97%”. The example was the Iron Dome, it was used as their defense against missile attacks, it was from a startup program. We need to look for something on innovation. A different one (not just about repayment rate as asked by COA)		DTI 10			

Benchmarking	I see those examples which could be attributed by STRIDE. We brought those ideas of innovation when we came back to the region. We identified the food industry cluster. We are also finding a more innovative ways of attacking innovation in the regions		DTI 10		
Collaboration	I think the major value addition of STRIDE is, it strengthened the convergence of the innovation ecosystem. Through STRIDE, this was the time that the, RIIC program was introduced, under the National Innovation Strategy. As I have said earlier, Cagayan de Oro was one of the pilot centers. This is just in time, both the initiatives of the RIIC and USAID STRIDE was also there through RTI, the conversion initiatives were enhanced. Initially between Cagayan de Oro Chamber for the OROBEST program and also the academe program, the government agencies initially DTI and DOST. This is the very significant contribution of the STRIDE program. Since then, through STRIDE, we have established the local innovation programs; the OROBEST managed by the CDO chamber and supported by the DTI and DOST. Just recently, last week, we just have launched the ILIGANice another local innovation program, but this time geographically located in Iligan City.	3	DTI 10	introducing and developing the collaboration of partners	collaborative actions refers to the participation of all key players in the program
Collaboration	Institutionalized innovation. The RDC [Regional Development Council] resolution step up the innovation intervention by establishing the RIIC in Region 4A. BSU was chosen to implement the RIIC. The relationship between DTI and BSU started during the conduct of the survey for the Cities and Municipalities Competitiveness Index (CMCI) under the Office of Usec Aldaba and also credits the leadership of Dr. Tirso Ronquillo, who on their own did a lot of innovation activities putting into place the innovation ecosystem. This makes it easier to implement programs with an institution working plus the good relationship with DOST, DA, and other regional offices. The initial project of RIIC is on coffee with BSU, Batangas Chamber of Commerce and Industry, and STRIDE.		DTI 4-A		
Collaboration	I think it (RIIC) strengthened our linkage with academe since we already had strong ties with industry. We already have prior relationships with the academe such as fab labs. But now with IBR we do it now with the academe.		DTI 7		
Policy support	I would also like to mention that other initiatives done by STRIDE was on the policy support. As I have mentioned, it was just in time that the RIIC and the STRIDE we on the same phase of implementation. It helped us draw the policy statement with the approval of the RDC.	2	DTI 10	Drawing policies that would enable the development of the program.	policy engagement refers to the policies that were created to enable the development of the program.
Policy support	Establishment of the Regional Inclusive Innovation Center (RICC) as supported by the RDC-X through the passage of RDCX Executive Committee Resolution No. 19 (series of 2019)		NEDA 10		
Financial Assistance	Yes, from DOST. DOST gave funding for OROBEST specifically for the funding for the academe in preparing/packaging of the proposals for the ideation workshop.	1	DOST 10	opened financial support for the program	Financial support refers to mechanisms that opened the

						funds for an activity of the program
Knowledge source	There are implementation guides draft for review from STRIDE. The Assistant Regional Director for Technical Operations and DOST Provincial Head attended the training to discuss the implementation guide.	1	DOST 4A	trained key players for the progress of the program.		capacity building refers to venues that were created to train and discuss mechanisms for the progress of the programs
Strategies	This is still to be realized because the RIIC is still new. The significance of RIIC is its focus on MSMEs. Based on the framework of STRIDE, one output is innovation business recovery for MSMEs is of paramount importance because of pandemic. Recovery strategies are needed to for the MSMEs to operate back on a better footing that before through value adding, to Build Back Better.	1	NEDA 4A	plans need to be reviewed for the benefit of some of the key players as the pandemic is happening		Review of strategies refers to plans that need to be reviewed for the benefit of some of the key players as the pandemic is happening

1.3 What are the challenges and opportunities to foster a robust innovation ecosystem?

CHALLENGES

CHALLENGES FOR NEDA TO FOSTER A ROBUST INNOVATION ECOSYSTEM						
CODES	RESPONSE	COUNT	KI	CATEGORY	THEME	
Collaboration	In a way we got bogged down in discussions. There were a lot of FGDs and discussions, but we got into the nitty gritty organizational details. We can work with industry but sometimes makalimutan yung academe. So, STRIDE really has really made us consider the role of academe since it's easier for us to work with industry.	5	DTI 7	collaboration is affected by differing mandates	Incompatible mandates refers to the policies that are implemented in every organization/institution that will impede the development of the program	
Collaboration	I can do it. I can just run it with the RDC. It is so easy to do but if you really understand how the RDC works it also a very passive thing. Sus resolutions left and right, we have them, but they don't really produce much. It doesn't		DTI 7			

	preclude us from working with each other, but it also doesn't force us. It really will be up to the agencies such as NEDA needing reports.				
Collaboration	I thought of coming up with a program with the understanding of innovation. There are different understandings of innovation. ILIGANiCE was our second RIIC program for Iligan and OROBEST for CDO, we just launched it last June 13 [2021]. The challenge would be the collaboration and cooperation with the other stakeholders in innovation. The DTI, DICT, and CHED will have other mandates and made instruction to focus on innovation program that we want to push. That is one of the challenges because hopefully there will be more resources needed. We would like that DTI can also enhance or add more resources committed to the projects, this is also for CHED and LGU.		DOST 10		
Collaboration	Yes. Yung mga maliliit naman meron din but they develop their own products. Basically, like RIICs because we already know the ecosystem. The difference with RIICs lang is that they brought in their different players.		DTI 7		
Collaboration	How to effectively gather together the academe, industry and government.		NEDA 7		
Resources	I was thinking on the idea which I was not yet develop, it was not yet shared. One of the reasons that is making it slow, currently the FOR, the Technology Transfer Act, is institutionalized, we are the ones who will manage on the negotiation on the technology generators and to the investors.	4	DOST 10	Limited access to human, financial, and physical resources and mobility	Inadequate resources refers to the insufficient mechanisms that can affect the further development of the program.
Resources	Resources-human resource, capable and qualified persons. Physical facilities to do this. Funding		DOST 7		
Resources	Resources. Una is yung mga human resource, "meron ba tayong capable person"? Next would be the physical facilities, may pera ba tayo? For me, the money is the last of the importance resources since we also have budgets for it. The problem is utilities and facilities.		DOST 7		
Resources	Physical and financing. Physical because of the pandemic restrictions. From the part of DTI, in terms of accessing the services for food innovation center and for FabLaB. There is a reduced processing time, due to the MECQ and GCQ restrictions, and operational limits for these, which is vital.		DTI 10		
Pandemic	Restricting conditions due to the pandemic. There are funds since DOST is transferring funds to MSU-IIT. MSU-IIT is the lead as far as the ILIGANice is concerned. DTI has also funds.	4	DTI 10	inhibiting factors that are caused by the pandemic	Pandemic constraints refers to actions that are hampered because of the pandemic.
Pandemic	Physical and financing. Physical because of the pandemic restrictions. From the part of DTI, in terms of accessing the services for food innovation center and for FabLaB. There is a reduced processing time, due to the MECQ and GCQ restrictions, and operational limits for these, which is vital.		DTI 10		
Pandemic	Challenges are brought about by COVID-19, we are relying more on virtual mode of communication. How can we go down the field, how the [coffee farmers] can be included in the program during the pandemic? The industry		NEDA 4A		

	will be involving coffee farmers, but it will be a challenge on how to put them on board. Technology is a challenge.				
Pandemic	Restricting conditions due to the pandemic. There are funds since DOST is transferring funds to MSU-IIT. MSU-IIT is the lead as far as the ILIGANice is concerned. DTI has also funds.		DTI 10		
Uncoordinated initiatives	RIIC is “walang mukha”, intangible. “Piano magkakaroon ng mukha,” it needs to be sustainable, documented, “maraging initiatives pero kalat” within the region, it is not known whether if an innovation has been done or not unless DTI has been informed. It is Need a tangible RIIC like BSU.	2	DTI 4A	uncoordinated and lack of documentation of activities	Misinformation of activities refers to the mechanisms that led to the uncoordinated and lack of documentation of initiatives
Uncoordinated initiatives	The challenge would be on how to evaluate if there are different strategies?				
Weak STI Culture	Poor appreciation of the youth/students on the value of STI	1	NEDA 10	weak appreciation of some key players in the locality	Poor appreciation refers to the lack of appreciation of the key players in the locality.
Weak STI Culture	Lack of industry champions on creative industries and innovation in the region	1	NEDA 10		

OPPORTUNITIES

OPPORTUNITIES					
CODES	RESPONSE	COUNT	KI	CATEGORY	THEME
Industry engagement/commitment	Active SMEs and industries in the region that are open for innovations and creative ideas, as well as business organizations (e.g., Oro Chamber, Iligan Chamber, PCCI)	6	NEDA 10	the commitment and engagement of the industry to engage in the program	Industry participation this refers to the commitment and engagement of the industry to engage in the program
Industry engagement/commitment	Commitment of the private sector in Cagayan de Oro through OROBEST. That is an opportunity to harness the collaboration. Because it is rare to have that kind of an organization to have a commitment to do advocacy work for innovation. You can see their commitment since this is a voluntary work for them and yet they spend time. You can see their engagements and passion during the discussion. I see that as an opportunity that we need to harness, because then we can truly make waves of intervention if private sector is present. Aside from the academic communities that are present. That is one opportunity, it seems that they got infected with the “innovation virus”. It is easy to effect programs		DTI 10		
Industry engagement/commitment	Commitment of the private sector in Cagayan de Oro through OROBEST. That is an opportunity to harness the collaboration. Because it is rare to have that kind of an organization to have a commitment to do advocacy work for innovation. You can see their commitment since this is a voluntary work for them and yet they spend time. You can see their engagements and passion during the discussion. I see that as an opportunity that we need to harness, because then we can truly make waves of intervention			DTI 10	
Industry engagement/commitment	For example, Cebu we’re positioning ourselves in the creative economy. This is a whole range of staffs from software dev to etc. We’re looking at art and crafts. We’re helping them. UNESCO city of design was actually funded by DTI, so we got that. So that’s the creative environment of STRIDE; start-ups, game development animation, Start-up Islands, PCIIRD			DTI 7	
Industry engagement/commitment	Presence of manufacturing companies engaged in domestic and export goods.			NEDA 7	
Industry engagement/commitment	We have a very dynamic private sector willing to collaborate with the government.			NEDA 7	
Policy	In terms of policy support, we have opportunities there with the recent approval of the Philippine Innovation, this is an initiative that can really promote innovation.	5		DTI 10	Policy development refers to the policies that need to be in place for the innovation programs and activities.
Policy	Come up with a provincial ecosystem, hindi di kahon, everyone has capacity to innovate, there has to be a center for people to visit. In crafting the RIIC resolution, the center of excellence per province was emphasized to spread			DTI 4-A	

	the RICC to the province, cities, and municipalities to become part of the regional network. IF RIIC is BSU, there will be other PIIC [Provincial Inclusive Innovation Center] and CIIC [City Inclusive Innovation Center].				
Policy	The Innovative start-up Act, those are recent and newly enacted laws that would have an impact in facilitating partners. Early this year, the roadmap of the Artificial Intelligence (AI) was launched. Our DTI Secretary reiterated that the Philippines should position itself as an AI hub in this part of the world. We also have the national strategy framework like the IQ Strategy in the head office. These are the policy support agenda that will serve as opportunity for the sustainability innovation program in the region.			DTI 10	
Policy	I am still convinced on the value of start-ups, that is why at the level of DOST the appreciation is more likely strategic and deeper knowledge on start-ups. I am part of the team that drafted the IRR, for the innovative start-up. I want to translate that into operational. I organized my team to develop competence in managing start-ups. The technologies that were developed by universities and colleges, including that of from the DOST, I think it was not popularized. We integrated in the organization was translating the technology jargons that is understandable for business.			DOST 10	
Policy	Approval of RA 11293 “The Philippine Innovation Act” and RA 11337 “Innovative Start Up Act			NEDA 10	
Collaboration	There are existing linkages among the STI related sector. A stronger collaboration between the public and private sectors should be encouraged to address the needs of the private sector by the public sector and vice versa. The need for STI innovations is more pronounced with the industry as compared to government.	5		NEDA 4-A	to encourage better collaboration among partners to address the needs of each key player
Collaboration	Development aid and international cooperation (Japan showed interest in investment in Mindanao, and Australia)			NEDA 4-A	Inter-agency collaboration refers to encourage a stronger collaboration among partners to address the needs of each key players
Collaboration	How to gel Coffee Center R&D Center and RIIC. However, it is also an opportunity for inter SUC collaboration. The exchange on R&D experiences and works can be enhanced. It is more of branding. When it comes to area planted to coffee, Batangas has less than Cavite			DOST 4-A	
Collaboration	Inter SUC collaboration exchange on R&D Enhanced exchange of experiences and works; How to use the knowledge transferred to boost the IE in the region. The focus is on coffee but applicable in other commodities. IE is the perspective in general			DOST4-A	
Collaboration	There are existing linkages among the STI related sector. A stronger collaboration between the public and private sectors should be encouraged to address the needs of the private sector by the public sector and vice versa. The need for STI innovations is more pronounced with the industry as compared to government.			NEDA 4-A	

Resources	Good opportunity for data banking specifically on STI to make the data accessible to public will help the concerned stakeholders to make decisions on what technology to adopt in establishing MSMEs. Many technologies have been developed and promoted by DOST, but the reach is limited.	3	NEDA 4-A	to employ data banking for the public to easily access the technologies that can be adopted as there are a number of very good higher education institutions (HEIs) which can be tapped to become innovation hubs.	establish data banking refers to employ data banking for the public to easily access the technologies that can be adopted as there are several very good higher education institutions (HEIs) that can be tapped to become innovation hubs.
Resources	The difficulty in identifying the proper indicators to measure the effectiveness of the programs and projects can be addressed, of the STI sector. The results matrix of the STI component of the Philippine Development Plan (PDP) needs strengthening. The DOST scoping STI statistics can be adopted and utilized by the region, for better measurement and reporting.		NEDA 4-A		
Resources	There are a number of very good higher education institutions (HEIs) which can be tapped to become innovation hubs.		NEDA 7		
Resources	Good opportunity for data banking specifically on STI to make the data accessible to public will help the concerned stakeholders to make decisions on what technology to adopt in establishing MSMEs. Many technologies have been developed and promoted by DOST, but the reach is limited.		NEDA 4-A		
Understanding of innovation	I am still convinced on the value of start-ups, that is why at the level of DOST the appreciation is more likely strategic and deeper knowledge on start-ups. I am part of the team that drafted the IRR, for the innovative start-up. I want to translate that into operational. I organized my team to develop competence in managing start-ups. The technologies that were developed by universities and colleges, including that of from the DOST, I think it was not popularized. We integrated in the organization was translating the technology jargons that is understandable for business.	3	DOST 10	Key players are convinced and have understood the importance of creating an innovation program in their locality.	Valuing innovation refers to key players who are convinced and have understood the importance of creating an innovation program in their locality
Understanding of innovation	Ang innovation is really a complicated thing. I remember that I had to advocate it. When people say innovation that usually falls on DOST but now it's already understood even within DTI. Innovation is the business of everyone. Innovation is not just this single entity and I had to advocate that. (Advocate innovation; advocate innovation, DOST lang, innovation is the business of everybody)		DTI 7		
Understanding of innovation	The Innovative start- up Act, those are recent and newly enacted laws that would have an impact in facilitating partners. Early this year, the roadmap of the Artificial Intelligence (AI) was launched. Our DTI Secretary reiterated that the Philippines should position itself as an AI hub in this part of the world. We also have the national strategy framework like the IQ Strategy in the head office. These are the policy support agenda that will serve as opportunity for the sustainability innovation program in the region.		DTI 10		

ANNEX F

RELEVANCE REGIONAL.2 ST

1. Relevance

1.1 Were the activities conducted by STRIDE relevant to the development priorities and STI needs of key stakeholders at the national, regional, and local levels (e.g., policy support and enabling environment)?

ACTIVITIES CONDUCTED BY STRIDE RELEVANT TO THE DEVELOPEMNT AND STI NEEDS OF KEY STAKEHOLDERS

THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL N=9		RESPONSES
	f	%	f	%	f	%	
Overall capacity development Enhancing the capacity of the key players in doing the project through provision of support and other capacity improvement activities					27 (7)	77.78	<p>“H: Fine tune the projects that we proposed. It also contributed to the capability building of the DTI and DOST staff, the ideation process. We requested that again this year and in a more detailed manner. So that the staff and even the ARD would know the process. We found it very relevant and supportive.” DOST 10</p> <p>“M: We find it a bit difficult. I still try to have a more bottom line of funded start-ups. With the engagement of USAID-STRIDE they had many knowledge transferred, they trained the technology generators. As validated by the university presidents, we are weak on pitching on the side of the investors. The local investors here in Cagayan de Oro, their interest in investment is aligned with the existing business. It is not common to them that they venture to new technology and innovation. That is one of the objectives in the OROBEST project, is also supported by USAID-STRIDE, to develop a mindset of innovation even at the business sector. We will level-off on what is innovation is all about.” DOST 10</p> <p>“H: Greatest impact is on knowledge creation because of the established guidelines and framework. It has also identified the players in the ecosystem. However, they have not gel to craft specific policy.” DOST 4-A</p>

				<p>“They were able to provide the avenue where there will be exchange of knowledge between the academe, government and entrepreneurs would meet and talk about how to collaborate.”</p> <p>“NEDA as a collaborating agency which provide technical assistance LGUs in enhancing development plans and physical planning, which include STI-related development projects. At the regional line agencies, STI projects are priorities. The regional development report includes Chapter 14 on STI to assess the performance of the industry. This is in collaboration with DTI and DOST and other agencies on performance, challenges and strategies to respond to challenges.” NEDA 4-A</p>
Uniform innovation strategy refers to the strategies for innovation that are aligned to the national innovation programs and strategies.	1	11.11		“As mentioned, this aligns with the national strategy of innovation, which is the RIIC program. STRIDE facilitated the activities of the innovation program.” DTI 10

1.2 What are STRIDE’s unique value propositions that supported improving capacity for innovation of HEI faculty and staff, and of the GIA linkages and national innovation policy development?

STRIDE’S UNIQUE VALUE PROPOSITIONS THAT SUPPORTED IMPROVING CAPACITY FOR INNOVATION

THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL N=9		RESPONSES
	f	%	f	%	f	%	
Introduced to different innovation programs refers to key players that experienced other innovation programs and projects and brought them to their locality.					4 (3)	33.33	“Deeper realization of innovation through the interventions that were given. We visited Israel Innovation Authority together with my DTI and CHED counterparts. What stick to my mind was, the program of the Israel Innovation Authority, they said “Of the total start up projects that they supported, 97% were failure and only 3% are a success.” However, that “3%” is more than enough to compensate the loses that incurred by the “97%”. The example was the Iron Dome, it was used as their defense against missile attacks, it was from a startup program. We need to look for something on innovation. A different one (not just about repayment rate as asked by COA)” DTI 10

			<p>“I see those examples which could be attributed by STRIDE. We brought those ideas of innovation when we came back to the region. We identified the food industry cluster. We are also finding a more innovative ways of attacking innovation in the regions” DTI 10</p>
collaborative actions refers to the participation of all key players in the program	3	33.33	<p>“I think the major value addition of STRIDE is, it strengthened the convergence of the innovation ecosystem. Through STRIDE, this was the time that the, RIIC program was introduced, under the National Innovation Strategy. As I have said earlier, Cagayan de Oro was one of the pilot centers. This is just in time, both the initiatives of the RIIC and USAID STRIDE was also there through RTI, the conversion initiatives were enhanced. Initially between Cagayan de Oro Chamber for the OROBEST program and also the academe program, the government agencies initially DTI and DOST. This is the very significant contribution of the STRIDE program. Since then, through STRIDE, we have established the local innovation programs; the OROBEST managed by the CDO chamber and supported by the DTI and DOST. Just recently, last week, we just have launched the ILIGANice another local innovation program, but this time geographically located in Iligan City.” DTI 10</p> <p>“Institutionalized innovation. The RDC [Regional Development Council] resolution step up the innovation intervention by establishing the RIIC in Region 4A. BSU was chosen to implement the RIIC. The relationship between DTI and BSU started during the conduct of the survey for the Cities and Municipalities Competitiveness Index (CMCI) under the Office of Usec Aldaba and also credits the leadership of Dr. Tirso Ronquillo, who on their own did a lot of innovation activities putting into place the innovation ecosystem. This makes it easier to implement programs with an institution working plus the good relationship with DOST, DA, and other regional offices. The initial project of RIIC is on coffee with BSU, Batangas Chamber of Commerce and Industry, and STRIDE.” DTI 4-A</p> <p>“I think it (RIIC) strengthened our linkage with academe since we already had strong ties with industry. We already have prior relationships with the academe such as fab labs. But now with IBR we do it now with the academe.” DTI 7</p>
policy engagement	2	22.22	<p>“I would also like to mention that other initiatives done by STRIDE was on the policy support. As I have mentioned, it was just in time</p>

refers to the policies that were created to enable the development of the program.			that the RIIC and the STRIDE we on the same phase of implementation. It helped us draw the policy statement with the approval of the RDC.” DTI 10
Financial support refers to mechanisms that opened the funds for an activity of the program	1	11.11	“Yes, from DOST. DOST gave funding for OROBEST specifically for the funding for the academe in preparing/packaging of the proposals for the ideation workshop.” DOST 10
capacity building refers to venues that were created to train and discuss mechanisms for the progress of the programs	1	11.11	“There are implementation guides draft for review from STRIDE. The Assistant Regional Director for Technical Operations and DOST Provincial Head attended the training to discuss the implementation guide.” DOST 4A
Review of strategies refers to plans that needs to be reviewed for the benefit of some of the key players as the pandemic is happening	1	11.11	“This is still to be realized because the RIIC is still new. The significance of RIIC is its focus on MSMEs. Based on the framework of STRIDE, one output is innovation business recovery for MSMEs is of paramount importance because of pandemic. Recovery strategies are needed to for the MSMEs to operate back on a better footing that before through value adding, to Build Back Better.” NEDA 4A

1.3 What are the challenges and opportunities to foster a robust innovation ecosystem?

Challenges?

CHALLENGES TO FOSTER A ROBUST INNOVATION ECOSYSTEM

THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL N=9		RESPONSES
	f	%	f	%	f	%	
Incompatible mandates refers to the policies that are implemented in every organization/institution that will impede the development of the program					5 (3)	33.33	<p>“In a way we got bogged down in discussions. There were a lot of FGDs and discussions, but we got into the nitty gritty organizational details. We can work with industry but sometimes makalimutan yung academe. So, STRIDE really has really made us consider the role of academe since it’s easier for us to work with industry.” DTI 7</p> <p>“I thought of coming up with a program with the understanding of innovation. There are different understandings of innovation. ILIGANiCE was our second RIIC program for Iligan and OROBEST for CDO, we just launched it last June 13 [2021]. The challenge would be</p>

			the collaboration and cooperation with the other stakeholders in innovation. The DTI, DICT, and CHED will have other mandates and made instruction to focus on innovation program that we want to push. That is one of the challenges because hopefully there will be more resources needed. We would like that DTI can also enhance or add more resources committed to the projects, this is also for CHED and LGU.” DOST 10
Inadequate resources refers to the insufficient mechanisms that can affect the further development of the program.	4 (2)	22.22	“Resources. Una is yung mga human resource, “meron ba tayong capable person”? Next would be the physical facilities, may pera ba tayo? For me, the money is the last of the importance resources since we also have budgets for it. The problem is utilities and facilities.” DOST 7
Pandemic constraints refers to actions that are hampered because of the pandemic.	4 (2)	22.22	“Physical and financing. Physical because of the pandemic restrictions. From the part of DTI, in terms of accessing the services for food innovation center and for FabLaB. There is a reduced processing time, due to the MECQ and GCQ restrictions, and operational limits for these, which is vital.” DTI 10 “Challenges are brought about by COVID-19, we are relying more on virtual mode of communication. How can we go down the field, how the [coffee farmers] can be included in the program during the pandemic? The industry will be involving coffee farmers, but it will be a challenge on how to put them on board. Technology is a challenge.” NEDA 4A
Misinformation of activities refers to the mechanisms that led to the uncoordinated and lack of documentation of initiatives	2	22.22	“RIIC is “walang mukha”, intangible. “Piano magkakaroon ng mukha,” it needs to be sustainable, documented, “maraging initiatives pero kalat” within the region, it is not known whether if an innovation has been done or not unless DTI has been informed. It is Need a tangible RIIC like BSU. ” DTI 4A
Poor appreciation refers to the lack of appreciation of the key players in the locality.	2 (1)	11.11	“Poor appreciation of the youth/students on the value of STI” NEDA 10

Opportunities?

OPPORTUNITIES							
THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL N=9		RESPONSES
	f	%	f	%	f	%	
Industry participation this refers to the commitment and engagement of the industry to engage in the program					6 (4)	44.44	<p>“Commitment of the private sector in Cagayan de Oro through OROBEST. That is an opportunity to harness the collaboration. Because it is rare to have that kind of an organization to have a commitment to do advocacy work for innovation. You can see their commitment since this is a voluntary work for them and yet they spend time. You can see their engagements and passion during the discussion. I see that as an opportunity that we need to harness, because then we can truly make waves of intervention if private sector is present. Aside from the academic communities that are present. That is one opportunity, it seems that they got infected with the “innovation virus”. It is easy to effect programs” DTI 10</p> <p>“We have a very dynamic private sector willing to collaborate with the government.” NEDA 7</p>
Policy development refers to the policies that need to be in place for the innovation programs and activities					5 (4)	44.44	<p>“Come up with a provincial ecosystem, hindi di kahon, everyone has capacity to innovate, there has to be a center for people to visit. In crafting the RIIC resolution, the center of excellence per province was emphasized to spread the RICC to the province, cities, and municipalities to become part of the regional network. IF RIIC is BSU, there will be other PIIC [Provincial Inclusive Innovation Center] and CIIC [City Inclusive Innovation Center].” DTI 4-A</p> <p>“In terms of policy support, we have opportunities there with the recent approval of the Philippine Innovation, this is an initiative that can really promote innovation.” DTI 10</p>
Inter-agency collaboration refers to encourage a stronger collaboration among partners to address the needs of each key players					5 (2)	22.22	<p>“There are existing linkages among the STI related sector. A stronger collaboration between the public and private sectors should be encouraged to address the needs of the private sector by the public sector and vice versa. The need for STI innovations is more pronounced with the industry as compared to government.” NEDA 4-A</p>

			“Inter SUC collaboration exchange on R&D Enhanced exchange of experiences and works; How to use the knowledge transferred to boost the IE in the region. The focus is on coffee but applicable in other commodities. IE is the perspective in general” DOST4-A
establish data banking refers to employ data banking for the public to easily access the technologies that can be adopted as there are several very good higher education institutions (HEIs) that can be tapped to become innovation hubs.	3 (2)	22.22	“Good opportunity for data banking specifically on STI to make the data accessible to public will help the concerned stakeholders to make decisions on what technology to adopt in establishing MSMEs. Many technologies have been developed and promoted by DOST but the reach is limited. ” NEDA 4-A “There are a number of very good higher education institutions (HEIs) which can be tapped to become innovation hubs.” NEDA 7
Valuing innovation refers to key players who are convinced and have understood the importance of creating an innovation program in their locality	3	33.33	“I am still convinced on the value of start-ups, that is why at the level of DOST the appreciation is more likely strategic and deeper knowledge on start-ups. I am part of the team that drafted the IRR, for the innovative start-up. I want to translate that into operational. I organized my team to develop competence in managing start-ups. The technologies that were developed by universities and colleges, including that of from the DOST, I think it was not popularized. We integrated in the organization was translating the technology jargons that is understandable for business.” DOST 10 “Ang innovation is really a complicated thing. I remember that I had to advocate it. When people say innovation that usually falls on DOST but now it’s already understood even within DTI. Innovation is the business of everyone. Innovation is not just this single entity and I had to advocate that. (Advocate innovation; advocate innovation, DOST lang, innovation is the business of everybody)” DTI 7

ANNEX F

SUMMARY OF THEMES: RELEVANCE

Annex Table F1.1 Were the activities conducted by STRIDE relevant to the development priorities and STI needs of key stakeholders at the national, regional, and local levels (e.g., policy support and enabling environment)? (A)

ACTIVITIES CONDUCTED BY STRIDE RELEVANT TO THE DEVELOPMENT PRIORITIES AND STI NEEDS OF KEY STAKEHOLDERS	
LEVEL OF ANALYSIS	THEMES (CODES) AND ACTIVITIES
National	<p>Capacity Building Capacity building activities provided the enabling environment for foresighting to think about future strategies, more understanding of the innovation ecosystem, such as linking industry with academe, commercialization issues such as the IP, for capacitating the RIIC innovation leaders, STRIDE materials had good scoping of the IE.</p> <p>Industry responsive curriculum, for the PSM, will also make academe relevant to industry</p> <p>Policy challenge -Procurement STRIDE also conducted assessments to promote enabling environments in national agencies-organizational assessment at the CHED, assessing the current state of research- and innovation-readiness of Philippine state universities and colleges (SUCs) with PASUC, and has developed and trained SUCs on how to use tools to conduct their own assessment of university programs and activities that foster innovation, The study visits facilitated knowledge transfers, such as of local business incubators. Dr. Ronquillo and Engr. Amante of BSU reported gaining new insights that they can apply in PASUC innovation initiatives. Capacitating DTI’s Innovation and Collaboration Office creates an enabling environment.</p> <p>Collaboration-PISI shall match or group universities with industries to conduct innovative research for targeted applications. PISI will work with STRIDE, PhilDev and Singapore Polytechnic on current university-industry collaborations on curriculum matching, research and development, and the establishment of programs that support the needs of the industry.</p> <p>Technical assistance- STRIDE provided inputs related to PIA ‘s alignment with the Startup Act IRR and harmonization with existing government innovation efforts, but government needs to respond promptly. TA also led to the realization of the RIIC as part of the Filipinnovation, made more efficient DOST grant application processes.</p>
HEIs	<p>Capacity building Due to benchmarking visits abroad and capacity building activities, US Visiting professorships of STRIDE, sample HEIs learned about KTTO, Career Centers, PSM programs. Trainings were about tech-transfer and knowledge transfer. It allowed us to benchmark what we’ve done so far in collaboration with different university partners (TIP). Not only in KTTO, but we also tap Career Center, I think there is also an impact when it comes to human capital and education as much as the establishment of the Career Center. The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center. (USTP). Offering of the professions and the science Master’s Degree Programs, we have three and the pioneering one which was construction management, followed by, during this pandemic, data science and engineering management This is the flagship program of our School of Business. The concept behind this is that when we have engineers and scientists, they may miss out the simple business angle in commercializing the technologies so we thought this would be a good venue to bridge our labs and the outside world. (TIP)</p>

Knowledge transfer

KTTO – Knowledge & Technology Transfer Office- Dissemination of these primary knowledge, among others, has enabled CIT University to nurture its own innovation capacity: Management of technology business incubation, and knowledge & technology transfer; Competencies, services, and programs of cooperating business organizations, industry partners, government agencies and other institutions, KTTO could help in the establishing sharing scheme of technology between university and industry partners. (CITU)

Vibrant startup ecosystem in the locality whereby the University can contribute given that its RDCO, KTTO, ITSO & TBI can work together to address specific needs of these startups (KII-HEI-CIT-Reg07). IP policy is already present that sets the sharing of ownership of the technology among University, researcher’s department and the researcher himself/herself. KII-HEI-USC-Reg07

KTTO could help in the establishing sharing scheme of technology between university and industry partners KII-HEI-USC-Reg07

Commercialization- One of the research grant products was commercialized. The commercialized research grant products were symbiotic serostress. It is a food supplement containing a combination of prebiotic and probiotic organisms in one capsule. We have collaborators, Nutra Tech Biopharma, Inc and MERAV Pharma. The industry partners worked on the FDA approval, and they market the product. We have a licensing agreement. Initial funding was from STRIDE (MSU IIT)

There is an emphasis on taking low-hanging fruit technologies that might be used by industries or other sectors of society to improve the status of the PH. There is much less emphasis on basic research and knowledge creation. USAID really is a development program and not purely a knowledge creation program, which is probably on tasked to DOST. (DLSU)

Collaboration-

The advantage of having a CARWIN is you have an industry collaborator. The industry has a different mind-set from that of the researcher. As a project leader or a principal investigator, I have to understand their mind-set as well in a business sense point of view. They will not undergo into a certain enterprise if they cannot get any profit. (MSU IIT)

The university to have a strong linkage to an industry. For example, an Ideation Workshop cannot be successful if it is not participated by the industry, the right person to participate. For example, a technical person or even a CEO of a particular industry participating in a workshop can [provide] link. That is one important aspect to have a robust innovation ecosystem, is the strong linkage with the stakeholders, the government, industry, academe, and even the community. If there is a strong collaboration with industries and government agencies, with the help of STRIDE, I think we can pursue as much as we can the establishment of Science and Technology Park. (USTSP)

We consider that as a big opportunity for the USTP to pursue on that vision or plan. We see the future of this region, maybe there will be a “Silicon Valley” here. DLSU a decade ago prior to STRIDE, there was a tendency for our researchers to think in isolation. So, we really pushed for seeking out academic and non-academic partners to collaborate with them. A lot of this has to do with what STRIDE did in the previous decade.

Technical Assistance-

Able to acquire equipment to generate quality products from mango waste products through Green Enviro Mgt (GEMs) system/program of the university; able to hire people who were formerly scavengers from the dumpsite; (processing system) (USC)

They trained us on how to run the program in the Career Canter. With that knowledge, we were able to transfer it into a modular program for our students so that they will be career ready. (USTP)

Regional**Capacity building-**

The framework has been downloaded how to go about it. By putting the pieces of the puzzle together, the stakeholders of RIIC, I don’t see any reason why IE will not be enhanced in the region. (DOST 4A)

It also contributed to the capability building of the DTI and DOST staff, the ideation process. We requested that again this year and in a more detailed manner. So that the staff and even the ARD would know the process. We found it very relevant and supportive. (DOST 10)

The STRIDE's activity in improving research capacity in science, technology and innovation fields helped operationalized the strategy of improving research and innovation productivity, particularly in intensifying the region's research and development in Northern Mindanao. For example, MSU-IIT received a research and innovation grant under USAID STRIDE to help the university address challenges in the new normal. The research project focuses on the conversion of waste from coconut oil processing into an economically viable substitute to imported chemicals used in insulating foam production, while also creating a higher-value route for the by-products of the researchers' industry collaborator.

Knowledge creation-

Greatest impact is on knowledge creation because of the established guidelines and framework. It has also identified the players in the ecosystem. However, they have not yet to craft specific policy. about the concept of innovation, how to start, and how to filter which innovation to decide (DOST 4A)

Knowledge transfer-

Ideation surfaced the gaps in the enterprise can be addressed through research and development. A SETUP project, the GreenPastures, they are making Moringa food supplement with a spirulina. The spirulina is not produced in Mindanao; thus, it is imported. However, through research it was identified that a technology can be developed and look for the protocol that will fit the environment in Mindanao, and we are now in the final stage (DOST 10).

Policy Improvement: There is an improvement in the process of project proposal preparation. Before, our Local Grants in Aid (LGIA) in local did not allocate any budget for Research and Development. We passed it to the national, PCIEERD, PCARRD, PCHRD, and we took the risk and financed our LGIA. The research proposals came from state universities and colleges both from private and government and we invested on it (DOST 10).

Communication

As validated by the university presidents, we are weak on pitching on the side of the investors. The local investors here in Cagayan de Oro, their interest in investment is aligned with the existing business. It is not common to them that they venture to new technology and innovation. That is one of the objectives in the OROBEST project, is also supported by USAID-STRIDE, to develop a mindset of innovation even at the business sector. We will level-off on what is innovation is all about. (DOST 10)

Collaboration

This morning Sec dela Peña's message during the flag raising ceremony was to develop programs in partnership with the large enterprises. Large enterprises can assist in actively look for innovation; we are looking for start-up innovation. That is one thing that we were asking from STRIDE, it is not yet implemented, that we will be guided on how to develop entrusted fund. That is one lacking here in the innovation ecosystem. The investors are not yet interested. Just lately, we were glad that with the help of STRIDE, through the university we have some pitching with the local cooperatives. The cooperatives got interested on the start-ups. (DTI 10).

On resource innovation for small enterprises. This serves as their business capital. We are trying to revive this, with the help of USAID STRIDE, hopefully this will continue. There are many Kagay-anons who would like to invest but they do not want to come in Cagayan de Oro, they just want their funds to be managed. We have not received any technical assistance, (DTI 10)

Technical assistance - There are many adjunct MSMEs industries of the infrastructure projects integrating the start-ups elements. Project appraisal, impact evaluation of major projects on infrastructure projects like the Batangas port about its absorptive capacity on handling cargo (NEDA 4A).

FGDs

Additional program assistance introduced by STRIDE to strengthen partnership? RIIC
Technical Assistance- creation of the Business Innovation Unit (BuISU)

We funded the development of iStrike Davao, the website. It however is managed by all our partners. We have a lot of information in our respective agencies, and we want to share this with everyone particularly in research and innovation. DTI is the lead, but it is co-managed by our other GIA partners. (Region 11)

Linkaging- They gave us an opportunity to see what other RIICs were doing. We were able to improve our plans from RIIC. As part of the VP of innovations, they helped me contact other networks from other RIICs (BCCI).

Region 10 Industry: We are trying to sell the technology present in the academe. STRIDE facilitated a meeting with Saliksik.ph to curate technologies and research technologies and put in a database. This has been captured by the DOST and has been approved already for the OROBEST Regional research database. Sometimes the academe will present, and it is too technical that sometimes the industry cannot understand. Now we have four (4) signed technology transfer. By way of our convergence, we were able to get one of our objectives which is adoption of technology.

Policy support- STRIDE has helped us to craft our innovation guidebook and the business impact survey to our MSMEs and aligning our programs and projects from different agencies. The resolution has been endorsed to the RDC. The latest policies have been on the COVID-19 related-policies with MSMEs and done by the UP Mindanao team as our researchers (Region 11).

Capacity building-

They guided us in making the 5-year strategic planning and roadmap, they introduced us an MLA (Mapping, Linkaging and Aligning) Methodology, helped us in our communication strategy for our OROBEST innovation program and the innovation guidebook, and the export incubation program. (Region 10)

Through the OROBEST Bridge program, guidance to help MSMEs rethink their operations within the COVID-19 setting in the development of the individual business strategies that can help them recover through innovation.

Region 10- academe- STRIDE gave us confidence to traverse innovation ecosystem landscape. STRIDE provided funding support to the faculty consultant who acts as the leader facilitator to conduct the key activities of the program.

The assistance of STRIDE was key in the design of the program and the instrument. With the program and instrument, we are ensuring that the process flow is developed and can generate data driven output yet still friendly to MSMEs. With that connection, the direction is clear where the program wants to go.

Our personnel who are managing the TBI, wherein every year we are going to develop some entrepreneurs in the startups which we also introduce them to the Oro Chamber and to be part of its members. That connection is very important to us because there will be an additional network for them to get partners and to be funded. (Academe Region 10).

Value addition

GIA

Linkaging /Collaboration

The DTI 5 has been a partner of STRIDE on IBR or Innovation Business Recovery. STRIDE tapped the expertise of Dela Salle for the project.

When STRIDE organized a series of FGDs and Planning Sessions with the Pili Industry and the Stakeholders in Bicol, When STRIDE organized a series of FGDs and Planning Sessions with the Pili Industry and the Stakeholders in Bicol, we (industry) became aware of the various programs and services that could be had as well as the opportunities to be able to work together to drive growth in the industry.

(UP D GIA) joint curriculum development with IMI and VistaLand, where they were involved in the design of our PSM supply-chain project. The second mode of collaboration with GIA was collaborative research. In the collaborative research, two of our partners represented here have

on going collaborative research agreements with UP, Vistaland and IMI, both in terms of our material sciences program. STRIDE is not as involved now in terms of the conduct of the collaborative research but when it comes to the dating, they co-facilitated several of the Ideation workshops with us. So, these are some of the collaborations that have resulted from the ideation workshop.

Government (DOST) – one of the assistances na naprovide nila during the KTTO assistance they didn't only provide the venue and the program, but they also trained the trainers. They opted to train the staff of Doc Louie which is also not limited to UPD but also to DLSU. So, it's basically trained the trainers, so we already have capabilities to train the people here as well.

Industry (BCCI) – right now the industry needs more technology-based trainings and as we go into the direction of heavy mechanization to reduce manual labor, I think we can have collaboration in terms of this direction, we will welcome it. We wanted more technical trainings, capacity building, even introduction to new technologies that we know but have not been adopted.

Industry (IMI) – There have been instances where USAID STRIDE through their linkages in the US and other countries have actually referred or proposed to us collaborations outside the Philippines. This has been introduced to us, since we are a global company, we are also able to get these opportunities as well.

Academe (UP Diliman) –The first is the joint curriculum development with IMI and VistaLand, where they were involved in the design of our PSM supply-chain project. The second mode of collaboration with GIA was collaborative research. In the collaborative research, two of our partners represented here have on going collaborative research agreements with UP, Vistaland and IMI, both in terms of our material sciences program. STRIDE is not as involved now in terms of the conduct of the collaborative research but when it comes to the dating, they co-facilitated several of the Ideation workshops with us. STRIDE's biggest initiatives are the FEC Filipinovation Entrepreneurship Core with DOST. It's patterned after the US's ICORE. The primary participants of the program are researchers of the HEIs and RDIs, a very structured getting-to-know-you. In academe, we really didn't have the framework in which industry partners can work with, this is the mirror of ideation workshops. This helped us to talk to industry companies and to propose the technologies needed. The FEC is the mirror-image in matching the best-match between academe and industry.

Capacity building

Industry (PhilExport) – we need to emphasize that while the world considers industry moving into IR 4.0, we in the Abaca industry are still in IR 1 --mechanization but working with DLSU challenged us to into considering digitalization.

BCCI- We wanted more technical trainings, capacity building, even introduction to new technologies that we know but have not been adopted.

Start ups-

Annex Table F 1.2 What are STRIDE’s unique value propositions that supported improving capacity for innovation of HEI faculty and staff, and of the GIA linkages and national innovation policy development? (I, A, C)

STRIDE’S UNIQUE VALUE PROPOSITIONS THAT SUPPORTED IMPROVING CAPACITY FOR INNOVATION	
LEVEL OF ANALYSIS	THEMES (CODES) AND ACTIVITIES
National	<p>Capacity building- Framework on R&D communication group, Strategic Foresight training, Targeted training for actors in the SUC, Realizing, facilitating, confidence building, building Trust, 65 M for innovation, as catalyst- It jumpstarted an agency-wide (CHED) awareness on ISO.</p>
HEIs	<p>Capacity building- Key personnel in the University who are managing ITSO & KTTO have acquired sufficient necessary training how to strategically run these R&D Offices. The TBI & KTTO trainings have tremendously strengthened the capacity of the University to support startups. (CITU) STRIDE helped in building capacity in the research and IP commercialization through the KTTO; capacitating IP commercialization KII-HEI-USC-Reg07 Because of the experience that we had, there were many opportunities that opened up. I knew how to make a proposal and I know now how to engage with the industry. I learned all of this from CARWIN. (MSU IIT) Through the ideation workshop, we were able to come up with a research proposal with the partner industry. There is research that is ongoing right now with the industry and it is about to finish and deliver the equipment for the output. This research solving the problem of one of the MSME in Cagayan de Oro. That research is improving a certain equipment, an extruder machine. That is a product of the ideation workshop conducted by USAID STRIDE with the partner industry. (USTP) The output, the employment rate of our graduates is high. Six (6) months after graduation, they are already employed. That is the impact of the training given to us by the USAID STRIDE through the Career Center. (USTP) STRIDE gave more knowledge and insights on how to undertake innovation in the program of BSU. It is giving more information through the training of staff by inviting them to seminars or capability building for gaining insights on innovation. Through Career Centers, universities are able to design learning experiences for students that are aligned with workforce requirements and support students in job seeking, network building, and career development (BSU) The PSM, although not adopted was an inspiration. (UPLB) Creating awareness on the value of technology and IP generated by research among the stakeholders especially among faculty and students. (USC) For levelling up/enhancing research capacity building that would translate to higher levels of publication outputs and related activities (UPLB)</p> <p>Linkages Fostering of Industry Linkages for CIT’s engagement with the future offering of PSM Industrial Automation (with Knowles Electronics Philippines), and IBR Program (with CCCI, DTI, and DOST).</p> <p>Research and Knowledge Creation Completion of the USAID STRIDE research – Prototype Research Project. This is a very competitive grant, and we are just so happy that we were able to get this one project in. This project enhanced research and knowledge creation. (UPD)</p> <p>The funding has increased drastically over the past decade. If you got a 1 million peso grant back in 2005, you’d feel like superman but now it already has been set as the minimum. (DLSU)</p> <p>Start ups</p>

We have the research funding, the legislation in place, it's just a matter of some smart research group and some company to use these resources to provide something.

Policy support- STRIDE conducted various knowledge sessions about how we are able to influence policy makers in recrafting guidelines on procurement. These include sessions from the preparation of proposals up to the procurement process for research activities. STRIDE was able to project these low-capacity research activities because of the procurement process. (UPLB)

Technology transfer- There is an emphasis on taking low-hanging fruit technologies that might be used by industries or other sectors of society to improve the status of the PH. There is much less emphasis on basic research and knowledge creation. (BSU)

Trust

Because of the experience that we had, there were many opportunities that opened up. There is no natural culture of trust yet, but it has been cultivated with STRIDE with some selected companies in the Philippines.

TIP was able to ensure the approval of programs without the STRIDE but leveraging on this, when the STRIDE name came along it was additional magic

Regional

Knowledge transfer

Deeper realization of innovation through the interventions that were given. We visited Israel Innovation Authority together with my DTI and CHED counterparts. What stick to my mind was, the program of the Israel Innovation Authority, they said "Of the total start up projects that they supported, 97% were failure and only 3% are a success." However, that "3%" is more than enough to compensate the loses that incurred by the "97%". The example was the Iron Dome, it was used as their defense against missile attacks, it was from a startup program. We need to look for something on innovation. (DOST 10).

Another example, we had a visitor that has a seaweed farm that exports seaweeds to Europe. We had this mindset that if we culture seaweeds, it should be in the sea. In this case, they pipe in sea water. There is the uva variety of seaweed is easy. This one is different. I was asking people here in Mindanao because there is also a variety here, they said that it is not palatable because of the impurities of the sea/environment. When piped in, (sea water), the seaweed became palatable. We call it "lettuce of the sea." (DOST 11).

The significance of RIIC is its focus on MSMEs. Based on the framework of STRIDE, one output is innovation business recovery (IBR) for MSMEs is of paramount importance because of pandemic. Recovery strategies are needed to for the MSMEs to operate back on a better footing that before through value adding, to Build Back Better. (DOST 4A)

Capacity building

There are now talks about the innovation database for R&D and other information important to the coffee industry (DOST 4A)

Policy support

Institutionalized innovation. The RDC [Regional Development Council] resolution step up the innovation intervention by establishing the RIIC in Region 4A. BSU was chosen to implement the RIIC. The relationship between DTI and BSU started during the conduct of the survey for the Cities and Municipalities Competitiveness Index (CMCI) under the Office of Usec. Aldaba and also credits the leadership of Dr. Tirso Ronquillo, who on their own did a lot of innovation activities putting into place the innovation ecosystem. This makes it easier to implement programs with an institution working plus the good relationship with DOST, DA, and other regional offices. The initial project of RIIC is on coffee with BSU, Batangas Chamber of Commerce and Industry, and STRIDE. (DTI 4A)

Establishment of the Regional Inclusive Innovation Center (RICC) as supported by the RDC-X through the passage of RDCX Executive Committee Resolution No. 19 (series of 2019) (NEDA 10)

Collaboration

STRIDE is, it strengthened the convergence of the innovation ecosystem. (DTI 10)

(RIIC) strengthened our linkage with academe since we already had strong ties with industry. We already have prior relationships with the academe such as fab labs. But now with IBR we do it now with the academe. (DTI 7)

FGDs

RIIC:
Role of STRIDE in the formation of RIIC-

Collaboration

STRIDE provided very strategic and organized approach in leading the formation of the core-group particularly the technical working group. They are very immersed in the conceptualization, crafting the activities and as well as implementing it. (CHED R3)

Mapping, Linking and Aligning activities, STRIDE has been very visible. (BuLSU)

STRIDE has been our convener in strategic planning STRIDE is doing a good job in bringing together people, especially the government. (Region 11 govt)

We have a city innovation chat group in social media, very accessible and convenient. Anyone can just put their ideas there. the Academe is now very active in this particular endeavor. (Region 11 govt)

There is a greater interaction and collaboration among GIA has. Academe interactions with Industry are easier as it is bridged by the Government (Region 11 govt)

STRIDE has a major part in crafting, formulating, and connecting us to major stakeholders (Region 10 academe)

Capacity building

Looking at the needs of MSMEs the creation of the website wherein experts have been identified we have the facilities available in the region and they have been showcased by the WEB through BULSU, this is one way for the MSMEs to partner with the academe experts. (Academe Region 3)

STRIDE role in the formation of the GIA Institution building,

Collaboration

The STRIDE provided the opportunity, DTI provided the information, but most of what we have done right now is made possible by the linkage we made with Dean Emilina Sarreal (DLSU). We also opened ourselves to working with the fablab of Bicol. (Industry)

What we're looking at now from those initial engagements is to actually increase the value of those engagements such that there is skin in the game, meaning more value, so that there is a win-win situation for both Academe, Government and Industry. (UPD industry partner).

It's like dating for industry and academe. We have a lot of getting to know events, but the ideation workshop is really different. (UPD)

Capacity building

One recent initiative where we had an interaction with IMI was to develop a new kind of program the PSM with STRIDE and the goal of that program was to have industry involvement built in, not just in terms of the student interacting with the industry, but even right at the beginning as the program was conceptualize, we already had significant industry inputs. STRIDE created several curriculum workshops with UP and several industry partners, so that's the most recent work in progress. We are doing the curriculum now. No approval yet but we already have implemented transition programs to put the best practices in the programs. In fact, we already have graduated a transition batch using an intermediate program.

It was primarily a START program; it was a new concept to have this kind of curriculum design and development process. The most that we had in terms of industry connection for a curriculum program was more towards the end noh, so that's thesis mga ganun or internships. So, this new mode was primarily initiated by STRIDE. We learned a lot. Both IMI and VistaLand participated in these

workshops and this was an eye opener for us in terms of understanding. STRIDE provided us a framework for convergence for the curriculum design.

We have two in development. The first one is supply-chain, the other one which is more recent with IMI, its development integrated systems focused more on AI and development. (UPD)

Techno transfer- communication strategies
 Creating a marketing opportunity for our MSMEs, we are crafting, and we already have a bridge Bicol website and fb page. (DLSU industry)

Annex Table F1.3 What are the challenges and opportunities for HEIs and RDIs to foster a robust innovation ecosystem? (IR1, learning question on Relevance in AMELP.) (I)

CHALLENGES AND OPPORTUNITIES FOR HEIS AND RDIS TO FOSTER ROBUST INNOVATION ECOSYSTEM	
LEVEL OF ANALYSIS	THEMES (CODES) AND ACTIVITIES
National	<p>Challenges:</p> <p>Procurement policy, Collaboration-Weak collaboration among government agencies: horizontal, and vertical (national, regional, local) and in private sector. (NEDA) Weak linkages among GIA</p> <p>Mismatch skills- At the basic education level, they are not prepared for this [skills required in innovation. This is a challenge to DepEd because their foundation is 3Rs. They have to look on creativity, collaboration, critical thinking in our kids (21st century skills). (NEDA) CHED is more into students passing the Philippine Regulatory Commission (PRC) Board examinations while Industry is into Six Sigma (a quality management methodology used to help businesses improve current processes, products or services by discovering and eliminating defects. The goal is to streamline quality control in manufacturing or business processes- (Industry)</p> <p>Policy support- Rigid College course curriculum mainly for instruction and to comply with PRC requirements (industry)</p> <p>Capacity building- Level of capacity to innovate among SUCs- What support can be provided for Let say Level 1 SUC, Level 1, Level 3. How can we further develop Level 1, Degree of support, readiness (PASUC).</p> <p>The need for the capacitate our government staff from the various parts of the country, especially in the region, Funding, networking, Bureaucratic challenges, USAID can help us on the digital transformation of CHED. We are delayed in terms of automation, getting things in a digital platform (CHED)</p> <p>Opportunities Acceleration of innovation in various digital platform, Knowledge transfer from resource person. Not tangible now but these are opportunities on knowing concepts, modern trends in innovation from resource person and partnership opportunities, STRIDE is non-partisan, can fund more projects that improve government operations- procurement.</p> <p>Funding Crafting Phil Innovation Act, 1billion is allocated for innovation activities, right timing for RIICS. There is momentum for change, momentum to pursue our innovation programs</p>
HEIs	<p>Challenges Procurement USAID STRIDE was able to enhance the understanding to build capacities, to cultivate research culture, and that the procurement process should be well-in place (UPD)</p> <p>Collaboration-</p>

That is one important aspect to have a robust innovation ecosystem, is the strong linkage with the stakeholders, the government, industry, academe, and even the community. That is a challenge on how we can penetrate on the industries, specifically on the right problems that the academe with actively participate or solve or have inputs. (USTP)

How to encourage faculty researchers to go beyond publication and graduating of students. Right now, we are trying to improve and reaching out to our faculty researchers to protect their research. This is critical. Slowly, we are improving when it comes to disclosure and collaboration. (UPD)

I was a researcher for so long already and usually I got funding from the government, and you are the proponent. The advantage of having a CARWIN is you have an industry collaborator. The industry has a different mind-set from that of the researcher. As a project leader or a principal investigator, I have to understand their mind-set as well in a business sense point of view. They will not undergo into a certain enterprise if they cannot get any profit. (MSU IIT)

There are many actors in the IE. We have to look at innovation capital, human resource, curriculum, and infrastructure. We might have a program but if the other players do not conform. Our challenge is to produce the output, meaning how to implement ideas which means infrastructure like laboratories. (BSU)

Capacity building

Develop an army of hard science researchers who will be trained purposively on innovation. There is a need to find a good number of researchers and determine what percentage of them would go to science, technology, and engineering. We need a good number of innovation leaders. (BSU)

One challenge that we have at present in the university is the capability and confidence of other researchers to engage with STRIDE. We need to prepare more and equip our faculty researchers. In the policy of the university, to support the innovation ecosystem. We are still in the transition although we are moving towards that direction, as we want to be strong in our research, but not only research but also finding the results, what do we do with them? We must do extension, communication, policies, innovation, development, we should have done that in the university. Little by little if we have the mechanism, resources, and people to do it, I think we can move forward and sustain our programs and projects started with STRIDE. We do not have KTTO. (XU) No matter how advance DLSU or a university becomes, you always have to work with universities in the local environment. The main challenge is to have enough universities to be in the same level as DLSU or UPD, especially outside Metro Manila. We need to build what the US already has and that is natural trust between industry and academia. Such as Silicon Valley, but of course they already have decade's worth of experience. (DLSU)

Constrained pool of in-house experts that can be deployed to handle collaborative industry-based projects and/or programs (CITU)

Technology Transfer

Fear of faculty to divulge and share researches because of ownership (IP) and patent concerns. No experience yet in the sharing scheme between university and industry partners (USC)

Policy improvement –

Review of policy on academic loading to encourage researches towards commercialization (USC)

Opportunities

Linkages

Linkages with the MSMEs, non-profit organizations and government offices have paved way for the University to extend and consequently expand its innovation capacity.

Vibrant startup ecosystem in the locality whereby the University can contribute given that its RDCO, KTTO, ITSO & TBI can work together to address specific needs of these startups. (CITU)

Foreign academic institutions, and local industries & consortia are now more keen to partner with the University to uplift and share each other's competencies (CITU)

We are very open to have engagement with other groups, especially with government agencies and international [agencies/groups]. In fact, we have several research partnerships with the international groups also. We are also addressing the problem even in the students. We have

service-learning program where students are engaged with communities or even institutions in trying to address problems. The training and mind-set are set at the early stage. This can go a long way. Our strength is we are engaged with the communities, and we cannot compete with state universities and college in terms of cutting-edge research. (XU)

We also have activities such as INNOVATION HUDDLE where it is a reverse pitching where industry presents their problems, and we look for researchers to solve these problems. They will be asking us if we have the capacity to solve problems. (UPD)

Leadership

Our opportunity is more on social development related research. We do not have the equipment, but we are strong in forming leaders (XU).

Funding

More potential funding for innovative projects is made possible by government agencies, non-government and civil society organizations (UPD)

Innovation Driven

Better intervention than more robust innovation, IE, data on start-ups, roadmaps,

A database system can be established (e.g., start-ups) (UP Cebu)

Scalability

We had a grant with a company, and we still work with them now in our Laguna Campus. We need to scale these up however, so that we can do it in 10-12 different universities and have constant contact with them. This also applies to different universities in the Philippines (DLSU)

Regional

Challenges and Opportunities

Collaboration

Multi-agency collaboration- How to use the knowledge transferred to boost the IE in the region. The need for STI innovations is more pronounced with the industry as compared to government Commitment of the private sector in Cagayan de Oro through OROBEST. That is an opportunity to harness the collaboration

Knowledge transfer

Development of people and their capabilities. This is a big opportunity to develop an institution for example the electronics institution. It could help them because these SMSE firms are on the countryside and not in the cities.

Good opportunity for data banking specifically on STI to make the data accessible to public will help the concerned stakeholders to make decisions on what technology to adopt in establishing MSMEs. Many technologies have been developed and promoted by DOST, but the reach is limited.

Start Up as innovation element

I am still convinced on the value of start-ups, that is why at the level of DOST the appreciation is more likely strategic and deeper knowledge on start-ups. I am part of the team that drafted the IRR, for the innovative start-up. I want to translate that to be operational. I organized my team to develop competence in managing start-ups. The technologies that were developed by universities and colleges, including that of from the DOST, I think it was not popularized. We integrated in the organization was translating the technology jargons that is understandable for business. (DOST 10)

We have a very dynamic private sector willing to collaborate with the government. There are a number of very good higher education institutions (HEIs) which can be tapped to become innovation hubs. Relatively well-educated labor force. (NEDA 7).

Start up- innovation driven

Cebu we're positioning ourselves in the creative economy. This is a whole range of staffs from software dev to etc. We're looking at art and crafts. We're helping them. UNESCO city of design was actually funded by DTI, so we got that. So that's the creative environment of STRIDE; start-ups, game development animation, Start-up Islands, PCIIRD

FGDs

Annex F 1.4 Are the STRIDE activities relevant in terms of alignment and consistency of the USAID framework on higher education and priorities of the Philippines? (I)

STRIDE ACTIVITIES RELEVANT IN TERMS OF ALIGNMENT AND CONSISTENCY OF THE USAID FRAMEWORK ON HIGHER EDUCATION AND PRIORITIES OF THE PHILIPPINES	
LEVEL OF ANALYSIS	THEMES (CODES) AND ACTIVITIES
National	
HEIs	
Regional	<p>RIIC aligns with the national strategy of innovation, STRIDE facilitated the activities of the innovation program. (DTI 10)</p> <p>The STRIDE contributed to the following outcome as laid down in Chapter 10 (Accelerating Human Capital Development) of the 2017-2022 Northern Mindanao Development Plan and its Midterm Update: (a) Quality of higher and technical education and research for equity and global competitiveness (NEDA 10)</p> <p>The STRIDE triggered the creation of the Regional Research, Development and Innovation Committee under the RDC-X. The creation of the RRDIC aimed to bridge the gaps and challenges of regional socio-economic development by ensuring researches, innovations and other S&T-based projects are relevant, responsive and aligned to the regional development thrusts. (NEDA 10)</p>
FGDs	

ANNEX G

EFFECTIVENESS FGD.1 CRT

2.1 What factors, if any, strengthened linkages between the university, industry, and government?

FACTORS THAT STRENGTHENED LINKAGES BETWEEN GIA				
CODE	RESPONSE	SOURCE	CATEGORY	THEME
Collaboration	In terms of the industry, we see the partnership getting stronger with the committed personalities involved in the program. It's very important that it is not just institutional based, but champions based in those institutions who are engaged in our common program because sometimes the institutions are busy with other things but if there are some focal champions on these, then we can have a longer way in achieving our common/shared objectives.	HEI 7	Cooperation among partners	Committed partnership refers to the cooperation among partners who share the same vision to scale up and commercialize technologies, and
Collaboration	We are working together. The commitment of the GIA stakeholders is strong here in the region.	Government DTI 7		who recognize each other's roles and responsibilities in the innovation ecosystem.
Collaboration	Because that is collaborative and with great partnership with the government, industry and academe.	Government (CHED) Region 3-GIA		
Collaboration	Region 3 Government (PSTC DOST-Pampanga): It's easier to talk and to find partners now. We really see the value of collaboration, the value of IT and getting connected through networking only. So that's a good factor.	Government (PSTC DOST Pampanga) Region 3-GIA		
Collaboration	Region 10 industry: In my experience, there are 3 factors that contribute to strengthening the linkages 1) proximity of partners; 2) availability of technicians and openness to accept the solution; 3) we share same vision, to scale up and commercialize.	Industry (Oro Handmade) Region 10-RIIC		
Collaboration	Collaborative mechanism is a factor as we have our own roles in the innovation ecosystem. For the chamber, we value collaboration and Constant conversation amongst partners. It is heartwarming that all of the RDs are present in strategic plan. We need to align programs and resources. Hopefully other agencies would join in with the same mindsets.	Industry (OROBEST) Region 10 - RIIC		
Collaboration	Region 10 Academe: We need to have the same vision and objectives with the HEI, the Oro Chamber and the government agencies. For	Academe (USTP) Region10 - RIIC		

	example, in USTP, we want to promote start up, TBIs we also have the program, so we were able to engage.			
Collaboration	Region 10 industry: Collaborative mechanism is a factor as we have our own roles in the innovation ecosystem. For the chamber, we value collaboration and Constant conversation amongst partners. It is heartwarming that all of the RDs are present in strategic plan. We need to align programs and resources. Hopefully other agencies would join in with the same mindsets.	Industry (OROBEST) Region10 - RIIC		
Collaboration	The other one is STRIDE's networking and that is especially true in the FEC I think in the first batch they worked overtime to make sure there was an initial date.	Academe (UPD) HEI GIA UP Diliman		
Collaboration	Collaboration	Government (DTI) Region 3 GIA		
Collaboration	What RIIC provides is the linkage and the ability to include everyone in one room so they can collaborate.	Industry (BCCI) Region 3 GIA		
Collaboration	Region 10 Academe: RIIC will not exist without that collaboration because that is the intention of putting up RIIC. In ILIGANiCE; it serves as a natural platform for collaboration.	Academe (MSU-IIT) Region 10 - RIIC		
Capacity building/Procurement	Yes, sa amin kasi sa DOST alam niyo naman kung ganyan dadaan pa po tayo sa mga procurement rules pero with STRIDE they have leeway. They can choose who to pick without having to go through the long procurement process.	Government (DOST) HEI GIA UP Diliman	Adding innovation competencies (skills, knowledge, and attitudes) to staff involved	Flexible Procedure - not burdened by procurement rules in providing support
Capacity building/Flexibility	Factor una is yung flexibility ng STRIDE particularly with scheduling. Kahit madami kaming participants dati madali lang kami naka gawa ng schedule, isang flexibility pa is going online. Di pa po namin natapos yung training and para lang makapagtapos sila we shifted to the online trainings. Another factor would probably be the vast network of experts, kung ano yung kelangan namin na topic, meron na silang resource person.	Government (DOST) HEI GIA UP Diliman		
Common understanding of RIIC goals	All institutions that are part of the RIIC must have a common understanding of why we are doing this. We comprehend why we are collaborating and coming together to help the MSMEs; (2) Executive leadership from the university are supportive to the cause of the RIIC, the DOST and the DTI as well as the chamber of commerce. The	HEI 7	Common understanding of RIIC goals	Common understanding of goals - refers on how the common understanding of the

	leaders have been very supportive in achieving our milestones. These are the factors that I can identify that can boost our RIIC in the region.			goals can facilitate the support of heads of agencies
Commercialization	Kapag napalago mo yung other sectors, kailangan madedvelop din. Pag dating sa selling, you're also adding more investors in terms of sales persons, logistics, and distribution.	Industry (BCCI) Region 3 GIA	Expansion of activities for commercialization	Expansion of support activities - these are needed for the commercialization of technologies
Alignment	Alignment	Industry (PhiliPILI) HEI GIA DLSU	Alignment	Alignment refers to having similar programs between STRIDE and the partner institutions
Attitude	The factor of acceptance and the willingness of the government to say, "yeah how do we do it".	Industry (PhilExport) GIA-DLSU	Trust, respect, and confidence among partners	Commitment to collaborate refers to partners working together to reach the goal
Attitude	Mutual trust, respect and confidence Integrity of the institutions, their systems and management/leadership	Industry (PhiliPILI) GIA-DLSU		
Attitude	Talagang commitment, willingness and collaboration are important to reach our goals of regional development. Dapat po mag start tayong alamin ang needs of our intended beneficiaries of each program.	Government (DTI) GIA-DLSU		
Support from administration	The heads of the line agencies in the region as well as those from the private sector have solid support of the RIIC as evidenced by the passage of the resolution to formally create the RIIC.	HEI 4A	Supportive administration	Supportive administration - expressed through the passage of the resolution to create the RIIC
Resources	Calabarzon has rich innovation resources.	HEI 4A	Resources	
Trust	The group works because of the trust for each other. "We believe in the capability of each member of the group. We are pursuing a lot of activities with the Batangas State University including the moringa, pepper, and inland and marine fisheries projects. We are having livelihood projects for the poorest of the poor. We have brought a lot of personalities in our linkages including the Indian ambassador. We	Industry 4A	Believing in the capability of the partners	Trust in the partnership - means believing in the capability of the partners to pursue joint activities.

	are not only relying on government funding but also donors from other countries.			
Institution Building	Yes. Already mentioned it earlier, the training, the co-facilitation of sessions etc. My office is a KTBO not KTTO.	HEI GIA UP Diliman	Existing structure to facilitate innovation	Pre-STRIDE institutional structure - the existence of mechanisms in support of STRIDE interventions
Institution Building	May KTTO and DITO po kami pero hindi po ako yung naghahandle nun. Yung DLSU intellectual property office po yun, meron rin kaming DITO. Lahat po naman ng projects naming dumadaan sa legal counsel naming na head ng IPO namin.	HEI GIA DLSU		
Institution building	The office of innovations for BCCI was created because of the program.	Industry (BCCI) Region 3 - GIA	Creation of an Innovation Office	
Institution building	The link of RIIC is important.			
Institution building	Region 11 government: How can the ordinance that we pass help the RIIC? Have you read the ordinance? How can we put alive the ordinance vis-à-vis the RIIC? Region 11 government: Yes, we have innovation support such as DigiHub and etc, which is part of the RIIC. Relatively, there are overlaps. In terms of connecting them with the ordinance, we can collaborate with any activities.	Government (DOST) Region 11 - RIIC	Passage of an ordinance to create RIIC	
Institution building	Region 11 government: February to April 2019, that's the alignment activities and institutionalization of the RIIC through the RDC and the adoption of the MLA framework of the RIIC.	Government (DOST) Region 11 - RIIC		
Institution building	Where do you plan to launch it? During the strategic planning, the physical office will be hosted by the Davao City Chamber of Commerce of Industry, Inc. (DCCCI), but all these operations manual and the details on this is we're currently still finalizing and on process.	Government (DOST) Region 11 - RIIC		
Inclusive	So, it's all inclusive. Yun talaga ang kailangan, yung magandang idea and then you bring it forward, so dun mo makikita yung realization ng lahat ng ito.	Industry (BCCI) Region 3 GIA	equal access to all individuals and institutions	Inclusive activities - means giving equal access to all interested individuals and institutions

Strategic planning	Region 3 Academe (BULSU): What we do sa region 3 is to adequately plan and overcome disruptions especially in this pandemic. So, what we do is to structure the innovation program for region 3.	Academe (BULSU) Region 3 - GIA	Communication strategy	Strategic planning - refers to preparation of activities to overcome disruptions
Partnership /Collaboration Communication strategies	I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI. Also, we were able to submit two journal papers to high impact journal and so far, we got feedbacks from one of these journals and hopefully we would get approval to get published December this year. The kind of relationship we were able to establish within the RIIC allowed us to be productive in our respective goals.	Academe (UP Mindanao) Region 11 - RIIC	Publications in journal and policy briefs	Sharing the gains - refers to communicating the output/outcome of activities
Attitude	Commitment, dedication and having one goal and that is to help our region. From start we are very clear that what direction we want and particularly with the RIIC we see it as an innovative approach that all our actions in the region will be implemented in the most efficient and organized and cost-effective way	Government (CHED) Region 3-GIA	Attitude toward innovation and its approaches	Unified goal - refers to the approach to have the most efficient and organized implementation of activities
Industry responsiveness	Do you continue communicating with Mr. Toha and Mr. Teope after the STRIDE? Region 10 Academe: We did a presentation with Monde Nissin because they were really interested with the project. We supplied Mr. Eulie after. They are very open to us. They allowed us to see their manufacturing process and their standards. The information that we need, they gave us. They gave us their samples so that we can approximate the quality. They were very cooperative and open.	Academe (XU) Region 10-GIA	Responsive Industries	Responsive industries - this means providing the needed technologies in support of the partner's needs.
Industry responsiveness	Marami tayo tulad ng ating magsasaka na may magandang idea pero wala silang technical know-how, and having RIIC, you can go there and say, "pare may idea ako pero di ko alam paano gawing negosyo", so RIIC would give the process on how to make these a negosyo linking them to academe, industry fablabs and then government partners. At the end of the day everyone is collaborating and there would be new technologies and you can also feed them back and support other industries.	Industry (BCCI) Region 3 GIA	Linking the idea generator with the industry and academe through the RIIC commercialize the technology	

Industry responsiveness	Bridge program serves as a platform in lobbying of on the ground challenges experienced by MSMEs to appropriate channels in the process of exploring and probing the current needs of the MSMEs in adjusting to the new normal. The program is able to gather on the ground challenges that the MSMEs is facing and can be raised to appropriate channels so that it can be addressed and look where the academe can be of support. It also creates opportunities for partnerships and collaboration on key activities during the conversation we had with the MSMEs, with Oro Chamber, there are many opportunities that can arise and can be adopted in the universities and teach students to be more involved in academe-industry partnerships.	Academe (XU) Region 10 - RIIC		
Industry responsiveness	Second is the R and D should be able to solve the problem from the industry. Try to sell R and D project to the industry through technology transfer, either by utilizing, adopting or commercialization.	Academe (USTP) Region 10-RIIC		
Funding	Willingness to fund – di naman gagalaw kung ano mang project kung walang funding. USAID is easy to talk to you just have to email them, but with government they require you so much things and the process really is face-to-face.	Academe (DLSU) HEI GIA DLSU	Financial support	Funding support - resource needed for the projects to be implemented
Funding	Availability of funds and resources	Industry (PhiliPILI) HEI GIA DLSU		
Partnership / Collaboration	Region 10 government: Agree to those shared by industry partners. The strengthening of the engagement is on the benefits of shared values, shared collaboration and the co-creation in terms of linking between the academe and the industry and in responding to opportunities that partners may not be able to create with their own resources, but with convergence, we were able to make things happen we all shared resources, budget, manpower, technology, and other resources.	Government (DTI) Region10 - RIIC	Cooperation with other agencies	Collaboration and Co-creation - established linkages between the academe and the industry to respond to opportunities
Policies / Partnership	Region 11 government: At the very start, they were able to put in place the policies, and institutionalized the RIIC in Davao. We were able to get the approval and endorsement and acceptance of the Regional Development Council. We were able to enter into an MOU with our partners with the GIA. All are committed to support the RIIC, regular alignment. The TWG have a conversation every month. Partners have established relationship and became close.	Government (DTI) Region 11 - RIIC		

Policies / Partnership	Region 11 academe: Having activities like this continues to strengthen the links between GIA. This is one factor, having these constant activities of the RIIC.	Academe (UP Mindanao) Region 11 - RIIC
Partnership	Region 11 government: We are doing a consortium-based approach, so yes later on we would have SOPs through RIIC and iSTIRKE Davao.	Government (DOST) Region 11 - RIIC
Partnership	Is the RIIC formally organized with a structure and officers? (from LGU) Region 11 government: We have already crafted the strategic plan for RIIC and we are in progress in terms of our operations manual and the composition of the TWG through the consortium. We are approaching this one for RIIC a consortium-based approach. Later on, we will have SOPs for the RIIC through the iStrike Davao.	Government (DOST) Region 11 - RIIC
Partnership	If there is a technical working group, does it have a PMO? Yes, we are planning that and that's part of the operations manual.	Government (DOST) Region 11 - RIIC
Partnership	Region 11 government: We need to harmonize as to not waste our efforts if we have different directions. Now we're also working with DOST to come up with a physical venue for our center, at the Centro Mindanao, formerly the Science Centrum. We're coming up with a MOA between the City gov't and DOST. The idea is to bring people together in a place along with their innovation ideas etc.	Government (LGU) Region 11 - RIIC
Partnership	Region 11 industry: STRIDE is really instrumental in setting up the RIIC. The RIIC is really a good venue where we can talk about our issues and concerns.	Industry (Healthy Sweets) Region 11 - RIIC
Partnership	Is DA included? As your products are processed fruits and functional fruits? Region 11 government: DA is included as partner of the RIIC. We are starting to engage with them through BAR (Bureau of Agricultural Research), to be part of the team so that they could undertake research studies on processed fruits and functional fruits. They're party to the MOU that we signed January of last year. When it comes to the focused sectors, we focused on functional fruits and processed fruits because that's the target sector under the STRIDE RIIC. But in terms of assistance to other sectors all the industry clusters identified in the Davao Region are targeted in the assistance to the RIIC, so it's not limited only to the functional fruits and processed fruits.	Academe (UP Mindanao) Region 11 - RIIC

Partnership	It is the respect that we have for the capacity of people who are working for us. Yung capacity of the industry partner to embrace without fear the offer of government and industry.	Industry (PhilExport) HEI GIA DLSU	Capacity of young people from the industry
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2.2 Explain how the RIIC facilitates productive collaboration between, and among industries and

a) universities, b) government agencies, c) LGUs, d) startups, e) MSMEs, f) R&D laboratories, g) S&T parks, incubators, h) Fabrication Laboratories (Fab Labs), i) investors, and j) others.

REASONS ON HOW RIIC FACILITATES PRODUCTIVE COLLABORATION BETWEEN AND AMONG INDUSTRIES				
CODE	RESPONSE	SOURCE	CATEGORY	THEME
Joint activities	Concerning our collaboration with STRIDE. Years back, we had a workshop with the GIA where we helped the industry to draft the proposal to get funding from the DOST. CITU took part in this. Lifeline, which is one of our beneficiaries of IBR plan, dun siya nakakuha ng funding sa collaboration na to. They are now on the phase of MOA signing to get funds.	DTI 7	Partners joining together to help	Harvesting the gains refers to reaping from the capacity building activities of the partners through project proposal preparation to project implementation
	Because of the collaboration of STRIDE with DA, the agency released 93M pesos to Ubay Stock Farm for their own molecular laboratory. UPLB1 prepared the proposal, and DA Central Office funded the project. At present, there are only few molecular labs in the Philippines, DA has assigned the Ubay molecular lab for the whole Central Visayas.	HEI 4A		
Support from the leaders	Executive leadership from the university are supportive to the cause of the RIIC, the DOST and the DTI as well as the chamber of commerce. The leaders have been very supportive in achieving our milestones. These are the factors that I can identify that can boost our RIIC in the region.	HEI 7	Reinforcing support from institutional leaders	Reinforcing support - refers to the support of leaders to the RIIC
Information dissemination	The cooperative helps in the marketing aspect and information dissemination about the project so that others will also be involved. ACIDI promised to help the cooperatives market their products.	Industry 4A	Expanding the reach of activities	Expanding the reach - this means to dissemination of the achievements

2.3 How has the STRIDE-assisted programs provided equal access to opportunities for STI to men, women, LGBTQIA+, and indigenous people in the RIIC partner institutions?

REASONS ON HOW STRIDE-ASSISTED PROGRAMS PROVIDED EQUAL ACCESS TO OPPORTUNITIES FOR STI TO MEN, WOMEN, LGBTQIA+, AND IP				
CODE	RESPONSE	SOURCE	CATEGORY	THEME
Access (9)	Gender is not an issue, because the project partners do not put this as an issue. We don't come up with policies or	Industry 7	Giving equal opportunities for	Equal access -

	<p>guidelines that are in favor of only one sector or affiliation. We are very open to anyone and anybody. So, you will notice in our team that everybody is recognized as equal. That is why we consider it as non-issue until it was raised.</p>		men, women, LGBTQIA+, and IPs	Openness of the program for all individuals and institutions
Access	<p>Equal opportunities should be given to the regions to level the support. The request of their group is for the central offices to give the funding to the region which in turn will allocate the funds.</p>	HEI 4A		
Disaster Resilience	<p>The calamities CL has encountered part of the resolution of our mandate is proposing the HEIs to have a ready funding for calamities. With that, we proposed a policy proposal for the RDC to have a funding allocation for the HEIs SUCs pati na rin yung HEIs, kasi na approve na to with RDCs.</p>	<p>Government CHED Region 3 - GIA</p>	<p>Ready funding in times of calamities</p>	<p>Emergency funding - ready budget in support of activities in case of calamities</p>
Gender and development/inclusion	<p>Aside from that, we really have a fund for the gender and development, because of the pandemic</p>	<p>Government (CHED) Region 3 GIA</p>	<p>Equal access for all ages, gender, and ethnicity</p>	<p>Inclusive programs - available for all ages, gender, and ethnicity</p>
Gender and development/inclusion	<p>Region 10 Academe: IP (Talaandig) and we tried to have an orientation and demonstrate the processing at the farm level. One of the beneficiaries are the IPs and the women.</p>	<p>Academe (XU) Region 10 - GIA</p>		
Gender mainstreaming and inclusion	<p>Actually, in terms of gender issues we have mainstreamed these one in our regular programs in the government. In our assisted MSMEs, some of them are ran by women such as Coffee for Peace. There are distributions of our target participants because this is inclusive, so all sectors are assisted by these RIICs.</p>	<p>Government (DTI) Region 11 - RIIC</p>		
Gender and development/Inclusive	<p>As for gender equity in terms of RIIC, we can only do is attribution. In DOST we have this menu of innovation facilities that we committed to the RIIC and part of that is the Grassroots Innovation for Inclusive Development (GRIND) Program. Our main goal is to assist in terms of intellectual property and financial assistance to the indigenous people of Davao Region. We are the pioneering DOST office that has implemented this program. Another one, we have this checklist that we can adapt in terms of GAD (Gender and Development) to address the equity in terms of men and women and LGBTQIA+. We also have this Great Women Project of the DOST, wherein we assist the women entrepreneurs in the region.</p>	<p>Government (DOST) Region 11 - RIIC</p>		

Gender and development/Inclusive	Coffee for Peace is run by women and helping IP Communities, partner coffee farmers are mostly IPs. IPs that are coffee growers around Mount Apo. As per the survey that we had [conducted], we can see good compositions of men to women, however there are no additional information on other gender. Gender bias is not happening. Sitio Pluto, Balutakay, Bansalan, Davao del Sur is the location of the coffee farmers assisted by Coffee for Peace here in Davao.	Academe (ADDU) Region 11 - RIIC	
Inclusive	We actually invited everyone as long as they have an idea of the KTTO. They are very open, wala naman pong problema and very welcoming naman pag tanggap nila sa amin.	Government (DOST) HEI GIA UPD Diliman	Inclusive innovation
Inclusive	We did not encounter any inclusivity issues.	(Industry (IMI) HEI GIA UPD Diliman	
Inclusive	Three out of the four staff under my supervision that have gone through STRIDE training are women, and two of those are also co-facilitators of the KTTO training so I think they've been very inclusive.	Academe (UPD) HEI GIA UPD Diliman	
Inclusive	PERSONALLY MET WITH 8 CHIEFTAINS AND WORKED WITH FIDA IN PLANTING ABACA WITH THE Don Bosco "INTERNS	Industry (PhilExport) HEI GIA DLSU	
Inclusive	STRIDE embraced an "all-inclusive" policy in the implementation of the program.	Industry (PhilPILI) HEI GIA DLSU	
Inclusive	hindi naman kami namimili, especially with this START center anyone can join. So bukas po. But since DOST po yung fund galling, sila po namimili ng principal investors. Kami po walang discrimination. hindi naman kami namimili, especially with this START center anyone can join. So bukas po. But since DOST po yung fund galling, sila po namimili ng principal investors. Kami po walang discrimination.	Academe (DLSU) HEI GIA DLSU	

Inclusive	I would second the statement of someone from Pampanga, there's no discrimination and it is always open to all. With zoom and similar technologies, it really promotes openness.	Government (CHED) Region 3 GIA
Inclusive	There was a discrimination	(DOST PSTC Pampanga) Region 3 GIA
Inclusive/Capacity building	Also, we conduct trainings for the MSMEs. So sino po ang nagrereceive nitong programs? Ito po yung mga IPs and yung women.	Industry (CamSUR CCI) HEI GIA DLSU

ANNEX G

EFFECTIVENESS FGD.2 ST

3.1 What might be the factors that can promote the sustainable linkages with the beneficiaries of innovations and R&D outputs?

FACTORS THAT CAN PROMOTE THE SUSTAINABLE LINKAGES WITH THE BENEFICIARIES OF INNOVATIONS AND R&D OUTPUTS

THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Committed partnership - refers to the cooperation among partners who share the same vision to scale up and commercialize technologies, and who recognize each other's roles and responsibilities in the innovation ecosystem.			12 (11)				<p>“In terms of the industry, we see the partnership getting stronger with the committed personalities involved in the program. It's very important that it is not just institutional based, but champions based in those institutions who are engaged in our common program because sometimes the institutions are busy with other things but if there are some focal champions on these, then we can have a longer way in achieving our common/shared objectives.” Academe (CITU)</p> <p>“We are working together. The commitment of the GIA stakeholders is strong here in the region.” Government (DTI)</p>
Flexible mechanism - refers to not being burdened by procurement rules in providing support to partners			2 (1)				<p>“Yes, sa amin kasi sa DOST alam niyo naman kung ganyan dadaan pa po tayo sa mga procurement rules pero with STRIDE they have leeway. They can choose who to pick without having to go through the long procurement process.” Government (DOST)</p> <p>“Factor una is yung flexibility ng STRIDE particularly with scheduling. Kahit madami kaming participants dati madali lang kami naka gawa ng schedule, isang flexibility pa is going online. Di pa po namin natapos yung training and para lang makapagtapos sila we shifted to the online trainings. Another factor would probably be the vast-network of experts, kung ano</p>

		yung kelangan namin na topic, meron na silang resource person.” Government (DOST)
Common understanding of goals - refers on how the common understanding of the goals can facilitate the support of heads of agencies	1	“All institutions that are part of the RIIC must have a common understanding of why we are doing this. We comprehend why we are collaborating and coming together to help the MSMEs; (2) Executive leadership from the university are supportive to the cause of the RIIC, the DOST and the DTI as well as the chamber of commerce. The leaders have been very supportive in achieving our milestones. These are the factors that I can identify that can boost our RIIC in the region.” Academe (HEI 7)
Expansion of support activities - these are the support needed for the commercialization of technologies	1	“Kapag napalago mo yung other sectors, kailangan madevelop din. Pag dating sa selling, you’re also adding more investors in terms of sales persons, logistics, and distribution.” industry (BCCI)
Alignment - refers to having similar programs between STRIDE and the partner institutions	1	“Alignment Industry” (PhiliPILI)
Commitment to collaborate refers to partners working together to reach the goal - this refers to the mechanisms that will be employed to sustain the partnership and programs that was done.	3 (2)	“Talagang commitment, willingness and collaboration are important to reach our goals of regional development. Dapat po mag start tayong alamin ang needs of our intended beneficiaries of each program.” Government (DTI) “The factor of acceptance and the willingness of the government to say, “yeah how do we do it.” Industry (PhilExport)
Supportive administration - expressed through the passage of the resolution to create the RIIC	1	“The heads of the line agencies in the region as well as those from the private sector have solid support of the RIIC as evidenced by the passage of the resolution to formally create the RIIC.” Academe (BSU)
Trust in the partnership - means believing in the capability of the partners to pursue joint activities.	1	“The group works because of the trust for each other. “We believe in the capability of each member of the group. We are pursuing a lot of activities with the Batangas State University including the moringa, pepper, and inland and marine fisheries projects. We are having livelihood projects for the poorest of the poor. We have brought a lot of personalities in our linkages including the Indian ambassador. We are not only relying on government funding but also donors from other countries.” Industry (ACDI)

Pre-STRIDE institutional structure - the existence of mechanisms in support of STRIDE interventions		<p>“May KTTTO and DITO po kami pero hindi po ako yung naghahandle nun. Yung DLSU intellectual property office po yun, meron rin kaming DITO. Lahat po naman ng projects naming dumadaan sa legal counsel naming na head ng IPO namin.” Academe (DLSU)</p> <p>“Region 11 government: February to April 2019, that’s the alignment activities and institutionalization of the RIIC through the RDC and the adoption of the MLA framework of the RIIC.” Government (DOST)</p>
Inclusive activities - means giving equal access to all interested individuals and institutions	1	<p>“So, it’s all inclusive. Yun talaga ang kailangan, yung magandang idea and then you bring it forward, so dun mo makikita yung realization ng lahat ng ito.” Industry (BCCI)</p>
Strategic planning - refers to preparation of activities to overcome disruptions	1	<p>“What we do sa region 3 is to adequately plan and overcome disruptions especially in this pandemic. So, what we do is to structure the innovation program for region 3.” Academe (BULSU)</p>
Sharing the gains - refers to communicating the output/outcome of activities	1	<p>“I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI. Also, we were able to submit two journal papers to high impact journal and so far, we got feedbacks from one of these journals and hopefully we would get approval to get published December this year. The kind of relationship we were able to establish within the RIIC allowed us to be productive in our respective goals.” Academe (UP Mindanao)</p>
Unified goal - refers to the approach to have the most efficient and organized implementation of activities	1	<p>“Commitment dedication and having one goal and that is to help our region. From start we are very clear that what direction we want and particularly with the RIIC we see it as an innovative approach that all our actions in the region will be implemented in the most efficient and organized and cost-effective way. “Government (CHED)</p>
Responsive industries - this means providing the needed technologies in support of the partner’s needs.	4	<p>“Marami tayo tulad ng ating magsasaka na may magandang idea pero wala silang technical know-how, and having RIIC, you can go there and say, “pare may idea ako pero di ko alam paano gawing negosyo”, so</p>

Funding support - resource needed for the projects to be implemented	2	<p>RIIC would give the process on how to make these a negosyo linking them to academe, industry fablabs and then government partners. At the end of the day everyone is collaborating and there would be new technologies and you can also feed them back and support other industries.” Industry (BCC)</p> <p>“Second is the R and D should be able to solve the problem from the industry. Try to sell R and D project to the industry through technology transfer, either by utilizing, adopting or commercialization. “Academe (USTP)</p>
Collaboration and Co-creation - established linkages between the academe and the industry to respond to opportunities	10 (6)	<p>“Willingness to fund – di naman gagalaw kung ano mang project kung walang funding. USAID is easy to talk to you just have to email them, but with government they require you so much things and the process really is face-to-face.” Academe (DLSU)</p> <p>“Agree to those shared by industry partners. The strengthening of the engagement is on the benefits of shared values, shared collaboration, and the co-creation in terms of linking between the academe and the industry and in responding to opportunities that partners may not be able to create with their own resources, but with convergence, we were able to make things happen we all shared resources, budget, manpower, technology, and other resources.” Government (DTI)</p> <p>“Having activities like this continues to strengthen the links between GIA. This is one factor, having these constant activities of the RIIC.” Academe (UP Mindanao)</p> <p>We are doing a consortium-based approach, so yes later on we would have SOPs through RIIC and iSTIRKE Davao.” Government (DOST)</p> <p>“Region 11 industry: STRIDE is really instrumental in setting up the RIIC. The RIIC is really a good venue where we can talk about our issues and concerns. Industry.” (Health Sweets)</p>

2.2 Explain how the RIIC facilitates productive collaboration between, and among industries and

a) universities, b) government agencies, c) LGUs, d) startups, e) MSMEs, f) R&D laboratories, g) S&T parks, incubators, h) Fabrication Laboratories (Fab Labs), i) investors, and j) others.

REASONS ON HOW THE RIIC FACILITATES PRODUCTIVE COLLABORATION BETWEEN, AND AMONG INDUSTRIES							
THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Harvesting the gains - refers to reaping from the capacity building activities of the partners through project proposal preparation to project implementation			2				<p>“Concerning our collaboration with STRIDE. Years back, we had a workshop with the GIA where we helped the industry to draft the proposal to get funding from the DOST. CITU took part in this. Lifeline, which is one of our beneficiaries of IBR plan, dun siya nakakuha ng funding sa collaboration na to. They are now on the phase of MOA signing to get funds.” Government (DTI)</p> <p>“Because of the collaboration of STRIDE with DA, the agency released 93M pesos to Ubay Stock Farm for their own molecular laboratory. UPLB1 prepared the proposal, and DA Central Office funded the project. At present, there are only few molecular labs in the Philippines, DA has assigned the Ubay molecular lab for the whole Central Visayas.” Academe (UPLB)</p>
Reinforcing support - refers to the support of leaders to the RIIC			1				<p>Executive leadership from the university are supportive to the cause of the RIIC, the DOST and the DTI as well as the chamber of commerce. The leaders have been very supportive in achieving our milestones. These are the factors that I can identify that can boost our RIIC in the region. Academe (CITU)</p>
Expanding the reach - refers to dissemination of the achievements			1				<p>The cooperative helps in the marketing aspect and information dissemination about the project so that others will also be involved. ACDI promised to help the cooperatives market their products.” Industry (ACDI)</p>

2.3 How has the STRIDE-assisted programs provided equal access to opportunities for STI to men, women, LGBTQIA+, and indigenous people in the RIIC partner institutions?

REASONS ON HOW STRIDE-ASSISTED PROGRAMS PROVIDED EQUAL ACCESS TO OPPORTUNITIES FOR STI TO MEN, WOMEN, LGBTQIA+, AND INDIGENOUS PEOPLE							
THEME	NATIONAL N=		FGD (GIA AND RIIC) N=		REGIONAL		RESPONSES
	f	%	f	%	f	%	
Equal access - Openness of the program for all individuals and institutions			2				<p>“Equal opportunities should be given to the regions to level the support. The request of their group is for the central offices to give the funding to the region which in turn will in turn allocate the funds.” Academe (BSU)</p> <p>“Gender is not an issue, because the project partners do not put this as an issue. We don’t come up with policies or guidelines that are in favor of only one sector or affiliation. We are very open to anyone and anybody. So, you will notice in our team that everybody is recognized as equal. That is why we consider it as non-issue until it was raised.” Industry (Region 7)</p>
Emergency Funding ready budget in support of activities in case of calamities			1				<p>“The calamities CL has encountered part of the resolution of our mandate is proposing the HEIs to have a ready funding for calamities. With that, we proposed a policy proposal for the RDC to have a funding allocation for the HEIs SUCs pati na rin yung HEIs, kasi na approve na to with RDCs.” Government (CHED)</p>
Inclusive programs - available for all ages, gender, and ethnicity			14 (13)				<p>“Region 10 Academe: IP (Talaandig) and we tried to have an orientation and demonstrate the processing at the farm level. One of the beneficiaries are the IPs and the women.” Academe (XU)</p> <p>“Region 11 government: As for gender equity in terms of RIIC, we can only do is attribution. In DOST we have this menu of innovation facilities that we committed to the RIIC and part of that is the Grassroots Innovation for Inclusive Development (GRIND) Program. Our main goal is to assist in terms of intellectual property and financial assistance to the indigenous people of Davao Region. We are the pioneering DOST office that has implemented this program. Another one, we have this checklist that we can adapt in terms of GAD (Gender and Development) to address the equity in terms of men and women and LGBTQIA+. We also have this Great Women Project of the DOST, wherein we assist the women entrepreneurs in the region.” Government (DOST)</p> <p>“We actually invited everyone as long as they have an idea of the KTTO. They are very open, wala naman pong problema and very welcoming naman pag tanggap nila sa amin.” Government (DOST)</p> <p>“STRIDE embraced an “all-inclusive” policy in the implementation of the program.” Industry (PhilPILI)</p>

“hindi naman kami namimili, especially with this START center anyone can join. So bukas po. But since DOST po yung fund galling, sila po namimili ng principal investors. Kami po walang discrimination. hindi naman kami namimili, especially with this START center anyone can join. So bukas po. But since DOST po yung fund galling, sila po namimili ng principal investors. Kami po walang discrimination.” Academe (DLSU)

Factors that strengthened linkages between the university, industry, and government

FACTORS THAT STRENGTHENED LINKAGES BETWEEN THE UNIVERSITY, INDUSTRY, AND GOVERNMENT							
Theme	National n=		FGD (GIA and RIIC) n=		Regional		Responses
	f	%	f	%	f	%	
Committed partnership refers to the cooperation among partners who share the same vision to scale up and commercialize technologies, and who recognize each other's roles and responsibilities in the innovation ecosystem.			12				<p>“In terms of the industry, we see the partnership getting stronger with the committed personalities involved in the program. It's very important that it is not just institutional based, but champions based in those institutions who are engaged in our common program because sometimes the institutions are busy with other things but if there are some focal champions on these, then we can have a longer way in achieving our common/shared objectives.” HEI 7</p> <p>“Because that is collaborative and with great partnership with the government, industry and academe.” CHED 3</p> <p>“Collaborative mechanism is a factor as we have our own roles in the innovation ecosystem. For the chamber, we value collaboration and Constant conversation amongst partners. It is heartwarming that all of the RDs are present in strategic plan. We need to align programs and resources. Hopefully other agencies would join in with the same mindsets.” Industry, OROBEST</p>
Flexible Procedure - not burdened by procurement rules in providing support			2				<p>“Factor una is yung flexibility ng STRIDE particularly with scheduling. Kahit madami kaming participants dati madali lang kami naka gawa ng schedule, isang flexibility pa is going online. Di pa po namin natapos yung training and para lang makapagtapos sila we shifted to the online trainings. Another factor would probably be the vast-network of experts, kung ano yung kelangan namin na topic, meron na silang resource person.” HEI-Diliman</p>
Common understanding of goals - refers on how the common understanding of the goals can facilitate the support of heads of agencies			1				<p>“All institutions that are part of the RIIC must have a common understanding of why we are doing this. We comprehend why we are collaborating and coming together to help the MSMEs; (2) Executive leadership from the university are supportive to the cause of the RIIC, the DOST and the DTI as well as the chamber of commerce. The leaders have been very supportive in achieving our milestones. These are the factors that I can identify that can boost our RIIC in the region.” HEI 7</p>

Expansion of support activities - these are needed for the commercialization of technologies	1	“Kapag napalago mo yung other sectors, kailangan ma-develop din. Pag dating sa selling, you’re also adding more investors in terms of sales persons, logistics, and distribution.” Industry R3
Alignment refers to having similar programs between STRIDE and the partner institutions	1	Alignment - Industry (PhilPILI)
Commitment to collaborate refers to partners working together to reach the goal	3	<p>“The factor of acceptance and the willingness of the government to say, “yeah how do we do it”. Industry (PhilExport)</p> <p>“Talagang commitment, willingness and collaboration are important to reach our goals of regional development. Dapat po mag start tayong alamin ang needs of our intended beneficiaries of each program.” DTI3</p>
Supportive administration - expressed through the passage of the resolution to create the RIIC	1	“The heads of the line agencies in the region as well as those from the private sector have solid support of the RIIC as evidenced by the passage of the resolution to formally create the RIIC.” HEI 4-A
Trust in the partnership - means believing in the capability of the partners to pursue joint activities.	1	“The group works because of the trust for each other. “We believe in the capability of each member of the group. We are pursuing a lot of activities with the Batangas State University including the moringa, pepper, and inland and marine fisheries projects. We are having livelihood projects for the poorest of the poor. We have brought a lot of personalities in our linkages including the Indian ambassador. We are not only relying on government funding but also donors from other countries.” Ind 4-A
Pre-STRIDE institutional structure - the existence of mechanisms in support of STRIDE interventions	7	<p>“Yes. Already mentioned it earlier, the training, the co-facilitation of sessions etc. My office is a KTBO not KTTO.” HEI Diliman</p>
Inclusive activities - means giving equal access to all interested individuals and institutions	1	“So, it’s all inclusive. Yun talaga ang kailangan, yung magandang idea and then you bring it forward, so dun mo makikita yung realization ng lahat ng ito.” Industry Reg 3
Strategic planning - refers to preparation of activities to overcome disruptions	1	“What we do sa region 3 is to adequately plan and overcome disruptions especially in this pandemic. So, what we do is to structure the innovation program for region 3.” BULSU-3
Sharing the gains - refers to communicating the output/outcome of activities	1	“I think the relationship that we were able to build between and among the members of the RIIC was in a way very productive because in the case of UP Mindanao, we were able to come up with policy briefs as mentioned earlier by DTI. The RIIC was able to submit policy briefs to the RRDIC with the approval by the RDC Region XI. Also, we were able to submit two journal papers to high impact journal and so far we got feedbacks from one of these journal and hopefully we would get approval to get published December this

		year. The kind of relationship we were able to establish within the RIIC allowed us to be productive in our respective goals. UP Mindanao - 11
Unified goal - refers to the approach to have the most efficient and organized implementation of activities	1	“Commitment, dedication and having one goal and that is to help our region. From start we are very clear that what direction we want and particularly with the RIIC we see it as an innovative approach that all our actions in the region will be implemented in the most efficient and organized and cost-effective way.” CHED Reg. 3
Responsive industries - this means providing the needed technologies in support of the partner’s needs.	4	<p>“Do you continue communicating with Mr. Toha and Mr. Teope after the STRIDE? Region 10 Academe: We did a presentation with Monde Nissin because they were really interested with the project. We supplied Mr. Eulie after. They are very open to us. They allowed us to see their manufacturing process and their standards. The information that we need, they gave us. They gave us their samples so that we can approximate the quality. They were very cooperative and open.” HEI-XU, Reg. 10</p> <p>“Marami tayo tulad ng ating magsasaka na may magandang idea pero wala silang technical know-how, and having RIIC, you can go there and say “pare may idea ako pero di ko alam paano gawing negosyo”, so RIIC would give the process on how to make these a negosyo linking them to academe, industry fablabs and then government partners. At the end of the day everyone is collaborating and there would be new technologies and you can also feed them back and support other industries.” Industry BCCI- Reg 3</p> <p>“Bridge program serves as a platform in lobbying of on the ground challenges experienced by MSMEs to appropriate channels in the process of exploring and probing the current needs of the MSMEs in adjusting to the new normal. The program is able to gather on the ground challenges that the MSMEs is facing and can be raised to appropriate channels so that it can be addressed and look where the academe can be of support. It also creates opportunities for partnerships and collaboration on key activities during the conversation we had with the MSMEs, with Oro Chamber, there are many opportunities that can arise and can be adopted in the universities and teach students to be more involved in academe-industry partnerships.” HEI-XU, Reg. 10</p> <p>“Second is the R and D should be able to solve the problem from the industry. Try to sell R and D project to the industry through technology transfer, either by utilizing, adopting or commercialization.” Academe, USTP, Reg. 10</p>

Funding support - resource needed for the projects to be implemented	2	<p>“Willingness to fund – di naman gagalaw kung ano mang project kung walang funding. USAID is easy to talk to you just have to email them, but with government they require you so much things and the process really is face-to-face.” Academe DLSU</p>
Collaboration and Co-creation - established linkages between the academe and the industry to respond to opportunities	9	<p>“Availability of funds and resources” - Industry (PhilipiL)</p> <p>“Agree to those shared by industry partners. The strengthening of the engagement is on the benefits of shared values, shared collaboration and the co-creation in terms of linking between the academe and the industry and in responding to opportunities that partners may not be able to create with their own resources, but with convergence, we were able to make things happen we all shared resources, budget, manpower, technology, and other resources.” DTI-10</p>

ANNEX G

EFFECTIVENESS FGD.3

R&D PROCESSES OF HEIS			
	f	%	Responses (n = 9 HEIs) *
Increase funding and research	8	89	<p><i>“Because of the STRIDE, we were able to get funding given our experience and knowledge. We were able to develop a proposal for CHED, under the NAFES (National Agriculture and Fisheries Education System). We are partnering with 4 Local Governments then.” (XU)</i></p> <p><i>With strengthened R&D capabilities, the University has attained multi-million funding from DOST.” (CITU)</i></p>
Improvement in institutional policy	1	11	<p><i>“The policy provides a technology Commercialization leave. That should be available in place for the next academic year. It is a bundle of policies, the Technology Commercialization Leave.” (DLSU)</i></p>

* Note: Not applicable to 2 HEIs

ANNEX G

EFFECTIVENESS HEI.1 CRT

2.1. (HEI KIIs): Which of the following STRIDE strategies contributed more to the improved capacity to innovate in your university? Rank among the following: Strategies, technical assistance and its various forms, strengthening links between innovation stakeholders, Policy improvements, and Institutionalization of STRIDE capacity building programs

2.1. (HEI FGD/RIIC FGD): For academe: Do you have a KTTO? If yes, what kind of support did you receive from it?

2.1. CATEGORIES & THEMES

STRIDE STRATEGIES THAT CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE IN YOUR UNIVERSITY				
CODES	RESPONSES	KI	CATEGORY	THEMES
Capacity building	Attending technical trainings have laid the groundwork for institutionalizing structures and mechanisms such those relating to R&D, tech transfer, and business incubation.	CITU	Activities that increased or developed an organization's capability to produce perform or deploy.	Overall capacity building. Pertains to all activities increasing organizational capability through a combination of training, workshops and support of STRIDE institutions be it in a technical or non-technical capacity. Also includes activities that led to institutional changes and improvements such as curriculum development and etc.
Capacity building	Institutionalization of STRIDE capacity-building programs 1 Essential to the advancement of innovation capabilities of the University is its participation in the trainings provided by DOST and USAID STRIDE.	CITU		
Capacity building	Made part of the ITSO and KTTO, and now part of the system	USC		
Capacity building	The PCAARRD has program on agricultural entrepreneurship which enhanced the capacity of the DAME faculty, but this further strengthened by STRIDE's case study writing and industry linkage activities. Glenn Baticados [Assistant Professor of DAME] is the former Director of the UPLB Technology Transfer and Business Development Office [TTBDO] has really infused changes based on STRIDE's activities.	UPLB		

Capacity building	There has to be a regular training, but it is not regular. Maybe it depends on the availability of the resource person. To make the rating 1, there has to be visibility. We can improve on that.	BSU	
Capacity building	The trainings and workshops conducted by USAID STRIDE to the Career Center staff and personnel. When USAID STRIDE sent me to USA to have an actual feel of the Career Center. We were able to experience a Career Fair and a Reverse Career Fair. Reverse Career Fair is a very nice idea, because it is more on the innovation side where students will be on the booths to campaign and market their research output to the investors and industry partners. We were able to learn because of the experience that we had in Penn. State University.	USTP	
Capacity building	The capacity-building programs are available but have yet to be institutionalized.	TIP	
Capacity building	Right now, I would maybe relate this to the SIKLAB and the UPSTART program. Parang nagtranslate po siya from KTTO, so we adopted a similar model to SIKLAB. I am not sure if this would be institutionalized but as of now, we are going on this to further support the ecosystem.	UPD	
Capacity building	Institutionalization of STRIDE capacity-building programs – 2 - The capacity-building programs are available but have yet to be institutionalized.	TIP	
Technical assistance	STRIDE support is not 100% (in this area); only a piece of equipment was provided.	USC	Non-financial assistance by STRIDE in a form of sharing expertise (how to innovate), instruction (KTTO), skills (curriculum development), consulting services (sending of international or local experts)
Technical assistance	Attending technical trainings have laid the groundwork for institutionalizing structures and mechanisms such those relating to R&D, tech transfer, and business incubation.	CITU	
Technical assistance	In KTTO. They give inputs in establishing the KTTO as far as I know.	MSU-IIT	

Technical assistance	They are very supportive. We have also mentors in every grant. During our discussion, if there are technical problems, they are supportive and approachable.	MSU-IIT
Technical assistance	Inspired when he was Dean of UPLB Graduate school which enable him to come up with systems of technical assistance to other HEIs. The provision of technical assistance to other HEIs is already within the tradition of UPLB. STRIDE is able to raise that level of awareness as a public service university that we need to provide technical assistance.	UPLB
Technical assistance	There has to be a regular training, but it is not regular. Maybe it depends on the availability of the resource person. To make the rating 1, there has to be visibility. We can improve on that.	BSU
Technical assistance	STRIDE helped other HEIs on PSM but not BSU. They are expecting us to find an industry. The Career Center assisted by STRIDE can be institutionalized.	BSU
Technical assistance	Technical assistance and its various forms – 1 - It is 1, highest because of the trainings and workshops conducted by USAID STRIDE to the Career Center staff and personnel. When USAID STRIDE sent me to USA to have an actual feel of the Career Center. We were able to experience a Career Fair and a Reverse Career Fair. Reverse Career Fair is a very nice idea, because it is more on the innovation side where students will be on the booths to campaign and market their research output to the investors and industry partners. We were able to learn because of the experience that we had in Penn. State University.	USTP
Technical assistance	It is 1, highest because of the trainings and workshops conducted by USAID STRIDE to the Career Center staff and personnel. When USAID STRIDE sent me to USA to have an actual feel of the Career Center. We were able to experience a Career Fair and a Reverse Career Fair. Reverse Career Fair is a very nice idea, because it is more on the innovation side where students will be on the	USTP

booths to campaign and market their research output to the investors and industry partners. We were able to learn because of the experience that we had in Penn. State University.

Technical assistance	Technical assistance and its various forms -1 - Received funding and assistance.	XU
Technical assistance	Received funding and assistance	XU
Technical assistance	Technical assistance and its various forms – 1 - Technical assistance of STRIDE served as impetus for the publication of programs and etc.	TIP
Technical assistance	Technical assistance of STRIDE served as impetus for the publication of programs and etc.	TIP
Technical assistance	Technical assistance and its various forms – 1 - My experience with research is that they're very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various forms.	UPD
Technical assistance	My experience with research is that they're very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various forms.	UPD
Technical assistance	Technical assistance and its various forms – 1 - There are a lot of the lessons in our research policy that we do not take for granted since many of them were drawn from the US.	DLSU
Technical assistance	There are a lot of the lessons in our research policy that we do not take for granted since many of them were drawn from the US.	DLSU

Technical assistance	DLSU is a party to this, and one recent development is that STRIDE has decided to institutionalize the START program. Now we actually have units both in DLSU and UP that can offer these programs in the future even after STRIDE closes down. Just the idea of setting up these programs in two big universities is already good institutionalization.	DLSU	
Technical knowledge	They are very supportive. We have also mentors in every grant. During our discussion, if there are technical problems, they are supportive and approachable.	MSU-IIT	
Assessment	Not just because of benchmarking, we actually did what they called institutional diagnostics back in 2014/2015. What they did was an assessment of DLSU's policies at that time and their capabilities to use that in leveraging certain outputs for development. I was new to the job back then but that was a good lesson to do self-diagnostics to use it to change DLSU policies. A lot of my colleagues have also benefited from STRIDE when it comes to graduate degree programs and such.	DLSU	Assessments on understanding policies and capabilities in order to check on strengths and weaknesses.
Institution building	Made part of the ITSO and KTTO, and now part of the system	USC	Institutional building addresses capacity building beyond the provision of educating and training of professionals – often leading to organizational changes (KTTO and creation of new offices).
Institution building	In KTTO. They give inputs in establishing the KTTO as far as I know.	MSU-IIT	
Institution building	This is not specific to STRIDE. The pure STRIDE standard ay mahirapan at matatagalan pa because of the higher number of requirements required. The SUCs follow the guidelines of CHED.	UPLB	
Institution building	The office of innovations for BCCI was created because of the program.	Industry (BCCI)	
Institution building	STRIDE helped other HEIs on PSM but not BSU. They are expecting us to find an industry. The Career Center assisted by STRIDE can be institutionalized.	BSU	

Institution building	Yes. Already mentioned it earlier, the training, the co-facilitation of sessions etc. My office is a KTBO not KTTO.	Academe (UPD)		
Institution building	May KTTO and DITO po kami pero hindi po ako yung naghahandle nun. Yung DLSU intellectual property office po yun, meron rin kaming DITO. Lahat po naman ng projects naming dumadaan sa legal counsel naming na head ng IPO namin.	Academe (DLSU)		
Curriculum	The KTTO training provided opportunities for linkages	UPCebu	Changes or improvements in the curriculum particularly for HEIs.	
Curriculum	We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem.	UPLB		
Endorse	University already benefited from other engagements especially from the government initiatives such as IPO PHIL but happy to receive the KTTO program from STRIDE	USC	STRIDE endorsement of other capacity building engagements from external parties such as government agencies.	
Collaboration	Linkages with stakeholders (the government, industry chamber, MSMEs, etc.) have been rewardingly promoted to converge knowledge assets to sustain local development	CITU	Increased linkages with other organizations in a formal or informal capacity	Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)
Collaboration	University already benefited from other engagements especially from the government initiatives such as IPO PHIL but happy to receive the KTTO program from STRIDE	USC		
Collaboration	The KTTO training provided opportunities for linkages	UPCebu		
Collaboration	Assist stakeholders in linking with funding institutions. Scientists and researchers are linked with the whole ecosystem.	UPLB		

Collaboration	STRIDE able to support BSU but there has to be follow-ups after the introduction. Hindi pwede iconnect lang at pabayaan. There is a need to fertilize the link to change the rating to 1.	BSU
Collaboration	Strengthening links between innovation stakeholders – 1 - We have an ongoing program, the OROBEST program, right now we partner with an industry and the ORO CHAMBER. It started with the ideation program with STRIDE. It snowballed. We started in 2019; we found that the result was good, so we continued in 2020. Now, even though that there is a pandemic, we still do it in 2021. We will not be able to do this if we do not have a strong partnership with the ORO CHAMBER of Commerce in Cagayan de Oro. They are our number 1 partner. We also had a Memorandum of Understanding that we can work with them in the area of research, in the area of start-ups, or entrepreneurship, and on the area of technology transfer. It opened the door for us to have a collaboration/conversation with the industry.	USTP
Collaboration	We have an ongoing program, the OROBEST program, right now we partner with an industry and the ORO CHAMBER. It started with the ideation program with STRIDE. It snowballed	USTP
Collaboration	Strengthening links between innovation stakeholders- 1 -Part of the network in RIIC.	XU
Collaboration	Part of the network in RIIC.	XU
Collaboration	Strengthening links between innovation stakeholders – 1 - Establishment of the framework to establish the roles and the units of the TBI, applied research and project and partnerships. They also provided as opportunities to network and link with industry partners.	TIP

Collaboration	Establishment of the framework to establish the roles and the units of the TBI, applied research and project and partnerships. They also provided as opportunities to network and link with industry partners.	TIP
Collaboration	Strengthening links between innovation stakeholders – 1 - Within the Philippines marami pong participants from different universities. We were encouraged to meet up with different participants and maintain long term relationships with them. It's just unfortunate that the 3rd and 4th modules were online due to the pandemic, but before it was live and was very interactive.	UPD
Collaboration	Within the Philippines marami pong participants from different universities. We were encouraged to meet up with different participants and maintain long term relationships with them. It's just unfortunate that the 3rd and 4th modules were online due to the pandemic, but before it was live and was very interactive.	UPD
Collaboration	Strengthening links between innovation stakeholders – 2 - Primarily if we're talking about specifically what happened to DLSU, a lot of the efforts to strengthen links across stakeholders in the innovation eco-system were broad. We have collaborative events intended for discussions on particular topics.	DLSU
Collaboration	Primarily if we're talking about specifically what happened to DLSU, a lot of the efforts to strengthen links across stakeholders in the innovation eco-system were broad. We have collaborative events intended for discussions on particular topics.	DLSU
Policies / Partnership	Region 11 academe: Having activities like this continues to strengthen the links between GIA. This is one factor, having these constant activities of the RIIC.	Academe (UP Mindanao)

Policy	KTTO built capacity to integrate policy into the mindset of the stakeholders especially the researchers, faculty and students	USC	Making use of policies in order to improve processes or to see the importance of policies.	Policy optimization or implementation. Institutionalizing policies in order to improve organizational processes (i.e., procurement, research, and commercialization)
Policy	<p>Malaking eye opener in our policies are the sessions on procurement organized by STRIDE and PSM. The members of the Committee on Bids and Awards had realized the need for responsive procurement system.</p> <p>We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem.</p> <p>I am the Chair of the Technical Working Group on Graduate Education of CHED. What I learned from STRIDE has also influenced me on the CHED new polices on graduate education.</p>	UPLB		
Policy	This is not specific to STRIDE. The pure STRIDE standard ay mahirapan at matatagalan pa because of the higher number of requirements required. The SUCs follow the guidelines of CHED	UPLB		
Policy	We have not changed a policy about innovation because of STRIDE, e.g., conduct of research.	BSU		
Policy	<p>Malaking eye opener in our policies are the sessions on procurement organized by STRIDE and PSM. The members of the Committee on Bids and Awards had realized the need for responsive procurement system.</p> <p>We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem.</p> <p>I am the Chair of the Technical Working Group on Graduate Education of CHED. What I learned from STRIDE has also influenced me on the CHED new polices on graduate education.</p>	UPLB		
Policy	This is not specific to STRIDE. The pure STRIDE standard ay mahirapan at matatagalan pa because	UPLB		

	of the higher number of requirements required. The SUCs follow the guidelines of CHED	
Policy	We have not changed a policy about innovation because of STRIDE, e.g., conduct of research.	BSU
Policy	Policy improvements – 2 - Three (3) years ago we have a policy on Technology Transfer. STRIDE helped in creating that policy. However, there are still policies that need to be improved, especially on the policy on procurement. That is actually one of our challenges on how we can give research [the freedom] to procure rather than go into the process. One of the problems that we have here is the delay of the implementation of that research because of the procurement process. We need help on that aspect. There are still many rooms for improvements.	USTP
Policy	Three (3) years ago we have a policy on Technology Transfer. STRIDE helped in creating that policy. However, there are still policies that need to be improved, especially on the policy on procurement. That is actually one of our challenges on how we can give research [the freedom] to procure rather than go into the process. One of the problems that we have here is the delay of the implementation of that research because of the procurement process. We need help on that aspect. There are still many rooms for improvements.	USTP
Policy	Policy improvements – 3 - We need to do some mechanisms in the university to realize this Policy improvements – 1 - TIP's active participation in FGDs we were able to gain useful input in improving our policies. We were also brought by STRIDE indirectly into the road-mapping agenda i.e., with DOST and the industry. So, we were meeting with DOST and stakeholders. The road-mapping establishes which way the country should go in terms of a specific industry, and we would also know the gaps.	XU

Policy	Policy improvements – 2 - Wala masyado. Siguro yun po, yung pag encourage ng industry academe partnership. I would say mga 2. Because the training I got from KTTO was beneficial.	UPD		
Policy	Policy improvements - 1 - Not just because of benchmarking, we actually did what they called institutional diagnostics back in 2014/2015. What they did was an assessment of DLSU’s policies at that time and their capabilities to use that in leveraging certain outputs for development. I was new to the job back then but that was a good lesson to do self-diagnostics to use it to change DLSU policies. A lot of my colleagues have also benefited from STRIDE when it comes to graduate degree programs and such.	DLSU		
Policy challenges	We need to do some mechanisms in the university to realize this	XU	Policy improvement needs	
Policy challenges	Hindi ako involved ma’am but based on my experience, there have been no improvements. PICARI is also trying to lobby improvements on the policy environment in research. So, there is still no change.	UPD		
Procurement	Malaking eye opener in our policies are the sessions on procurement organized by STRIDE and PSM. The members of the Committee on Bids and Awards had realized the need for responsive procurement system.	UPLB	Pertains to procurement policy improvements/integration	
Funding	Received funding and assistance	XU	Financial-related support	Financial Assistance. Any form of financial assistance or financial grant
Funding	Assist stakeholders in linking with funding institutions. Scientists and researchers are linked with the whole ecosystem.	UPLB		

2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact in your university? Please explain

- 2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your university?
- 2.2.2 What are some of the challenges for doing industry- responsive innovative research?
- 2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?
- 2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?
- 2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)
- 2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?
- 2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?

MECHANISMS (PROCUREMENT, R&D FUNDING, INTELLECTUAL PROPERTY POLICY, COLLABORATION, ENTREPRENEURSHIP) THAT HAS STRIDE MADE THE GREATEST IMPACT IN YOUR UNIVERSITY				
CODES	RESPONSES	KI	CATEGORY	THEMES
Capacity building	Being able to expand its competencies, the University is and will be able to extend to partner MSMEs and to the community.	CITU	Activities that increased or developed an organization's capability to produce perform or deploy.	Overall capacity building. Pertains to all activities increasing organizational capability through a combination of training, workshops and support of STRIDE institutions be it in a technical or non-technical capacity. Also includes activities that led to institutional changes and improvements such as curriculum development and etc.
Capacity building	Participation in the USAID STRIDE-sponsored trainings for TBI and KTTO, the University was able to bolster its IP policies through benchmarking from other universities with more mature tech transfer offices, and to be aligned as well with RA10055 Philippine Technology Transfer Act of 2009, and RA8293 Intellectual Property Code of the Philippines	CITU		
Capacity building	The three (3) of us who were grantees were capacitated. We started from the USAID grants. Because of the training, confidence, and we had outputs, we went to a higher grant, DOST PCIEERD.	MSU-IIT		
Capacity building	As far as I know, KTTO Director had training and made some inputs in the training. Manual has already existed, but it was improved/revised.	MSU-IIT		

Capacity building	There should be a continuous capacity building among our researchers or the younger researchers on IE that would include from project proposal preparation, report writing, project monitoring, and research utilization. These are needed to level up the conduct of IE research. Marami nang nagretire and about to retire na seasoned researchers; hence, the need for continuous capacity building.	UPLB	
Capacity building	We have to have well-developed faculty whose trainings and development should come from the industry. There must be a faculty teaching about the problems of the industry.	BSU	
Capacity building	Maybe we were even able to share with STRIDE the good practices. The guidelines before are not the lowest price but the best value. These are already included in our systems.	TIP	
Capacity building	Then yung capacity building nung pag fund nung purchase of laboratory equipment which we can sustain even after the project. Then yung ano po, yung industry-academe meets.	UPD	
Capacity building	There are two ways that I can mention. Number one is by giving the people involved, essentially the same team in place in 2013, by training people to study tours and training events and providing grants. DOST gave us a grant that was intended to have an intellectual policy and knowledge transfer upgrading in DLSU, this is not per say from STRIDE but is influenced by it. The direct funding comes from DOST, but the influence is from STRIDE and US influences.	DLSU	
Benchmarking	Well, I think more on ginawang benchmark ang UP system when it comes to IP. They then shared these with other SUCs. Sa KTTO program, nag present kami ng existing policy and then it was learned from. UP's IPR policy	UPD	Comparing best practices and metrics of other institutions successful in their respective innovation ecosystem (IE).

was benchmarked for sharing with other universities.

App development	We developed mobile apps. We collaborated with the city of Cagayan de Oro, Bulua Vegetable Landing Area. The problem of the farmers is that they do not know the selling process of the vegetables, so they refer to the packers or middlemen.	XU	STRIDE related support enabled the development of digital assets such as apps or websites.
Technical assistance	In KTTO. They give inputs in establishing the KTTO as far as I know.	MSU-IIT	Non-financial assistance by STRIDE in a form of sharing expertise (how to innovate), instruction (KTTO), skills (curriculum development), consulting services (sending of international or local experts)
Technical assistance	They are very supportive. We have also mentors in every grant. During our discussion, if there are technical problems, they are supportive and approachable.	MSU-IIT	
Technical assistance	Also, more information about the grants process is needed.	UPCebu	
Technical assistance	"With strengthened R&D capabilities, the University has attained multi-million funding from DOST under the: <ul style="list-style-type: none"> ● Higher Education Institution Readiness for Innovation and Technopreneurship (HEIRIT), through its TBI, the Wildcat Innovation Labs. ● Intellectual Property Management Program for Academic Institutions Commercializing Technologies (IMPACT), thru its KTTO Being able to expand its competencies, the University is and will be able to extend to partner MSMEs and to the community."	CITU	
Technical assistance	I will tell what they did, the guideline on procurement had already existed, because of the CARWIN grant, STRIDE, procured the equipment and they gave it to us. Nothing changed on the university. They just procured it just for the project to be finished.	MSU-IIT	

Technical assistance	The Innovation Center is based at the BSU. STRIDE gave direction and advisory.	BSU
Technical assistance	Inspired when he was Dean of UPLB Graduate school which enable him to come up with systems of technical assistance to other HEIs. The provision of technical assistance to other HEIs is already within the tradition of UPLB. STRIDE is able to raise that level of awareness as a public service university that we need to provide technical assistance.	UPLB
Technical assistance	There has to be a regular training, but it is not regular. Maybe it depends on the availability of the resource person. To make the rating 1, there has to be visibility. We can improve on that.	BSU
Technical assistance	STRIDE helped other HEIs on PSM but not BSU. They are expecting us to find an industry. The Career Center assisted by STRIDE can be institutionalized.	BSU
Technical assistance	Technical assistance and its various forms – 1 - It is 1, highest because of the trainings and workshops conducted by USAID STRIDE to the Career Center staff and personnel. When USAID STRIDE sent me to USA to have an actual feel of the Career Center. We were able to experience a Career Fair and a Reverse Career Fair. Reverse Career Fair is a very nice idea, because it is more on the innovation side where students will be on the booths to campaign and market their research output to the investors and industry partners. We were able to learn because of the experience that we had in Penn. State University.	USTP

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Technical assistance	Technical assistance and its various forms -1 - Received funding and assistance.	XU
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Technical assistance	Technical assistance and its various forms – 1 - My experience with research is that they're very helpful in helping me. USAID do not want to pay for duties, so I had to apply for tax exemptions in DOF and BIR. So yes, wala pong problema when it comes to assistance be it technical and various forms.	UPD
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Technical assistance	Technical assistance and its various forms – 1 - There are a lot of the lessons in our research policy that we do not take for granted since many of them were drawn from the US.	DLSU	
Technical assistance	There are a lot of the lessons in our research policy that we do not take for granted since many of them were drawn from the US.	DLSU	
Technical assistance	DLSU is a party to this, and one recent development is that STRIDE has decided to institutionalize the START program. Now we actually have units both in DLSU and UP that can offer these programs in the future even after STRIDE closes down. Just the idea of setting up these programs in two big universities is already good institutionalization.	DLSU	
Technical knowledge	They are very supportive. We have also mentors in every grant. During our discussion, if there are technical problems, they are supportive and approachable.	MSU-IIT	
Curriculum	Strengthen entrepreneurship aspect of the academic curricula (e.g., engineering curricula).	USC	Changes or improvements in the curriculum particularly for HEIs.
Curriculum	We should initiate internship/practicum programing industry-responsive innovative research. The BS program should have immersion component. Starting this semester, the new BS curricular programs are all required to have the internship program. These new curricular programs with OJT [on-the-job training] and practicums were instituted during the previous administration.	UPLB	
Curriculum	Our faculty members at the Department of Agribusiness Management and Entrepreneurship (DAME) got new perspective on entrepreneurship which influenced the institution new courses on entrepreneurship, revised curriculum in business management	UPLB	

	from basic to more advanced program. [STRIDE enhanced the entrepreneurial curriculum]. There is also a revised curriculum of Master of Management where Entrepreneurship was added in the title of the degree program.		
Curriculum	Masyadong limited ang pagtingin sa participation ng industry in conducting research. Let me point out, when Vice Chancellor Lapitan and I, started attending the STRIDE sessions, we have recognized the need to foster industry led or a vibrant relation with the industry. We should initiate internship/practicum para maging industry-responsive innovative research. The BS program should have immersion component. Starting this semester, the new BS curricular programs are all required to have the internship program. These new curricular programs with OJT [on-the-job training] and practicums were instituted during the previous administration.	UPLB	
Curriculum	We have to have well-developed faculty whose trainings and development should come from the industry. There must be a faculty teaching about the problems of the industry.	BSU	
Assessment	Not just because of benchmarking, we actually did what they called institutional diagnostics back in 2014/2015. What they did was an assessment of DLSU's policies at that time and their capabilities to use that in leveraging certain outputs for development. I was new to the job back then but that was a good lesson to do self-diagnostics to use it to change DLSU policies. A lot of my colleagues have also benefited from STRIDE when it comes to graduate degree programs and such.	DLSU	Assessments on understanding policies and capabilities in order to check on strengths and weaknesses.
Institution building	Institutionalization of STRIDE capacity-building programs – 3 - We need to do some	XU	Institutional capacity building addresses

	mechanisms in the university to start and support this		capacity building beyond the provision of educating and training of professionals – often leading to organizational changes.	
Institution building	No KTTO yet. The last 4 questions will really give the university a chance if we have good documentation of this, to improve also our policy on procurement. If we have a documentation on this so that we could apply that in our own university policies and programs.	XU		
Institution building	Well, further institutionalization might help along with quicker turnaround.	TIP		
Institution building	So may mga programs na po yung DOST for example SFC. When I was interviewed before, I suggested the establishment of national laboratories such as in the US where industry and academe can conduct their own research in the national laboratories. In UP, labs and equipment are limited, and it depends on the research. If you have a fully established lab, it would be easier. For example, in UC Berkeley, the industry provides the problems	UPD		
Institution building	Maganda po if DOST. Meron naman research institutes dito pero baka mas kailangan pang palakihin. There was also a talk of techno-parts. So yung Korean model naman, Korea has the Korean Institute of Science and Technology, mga ganun.	UPD		
Scalability of projects - programs	The challenge is what we do after. When we presented our product to Monde Nissin, they had it tested, and it met their quality parameters. They get they dehydrated vegetables in China, so they are hoping that there is a local supplier, but they have not been successful. So, they asked us, what's next? The idea of what to do after research. In our university, we do not have that mechanism. We wanted to form farmers to be able to do that but drying is a very technical work and they might end up frustrated and	XU	Mechanism to be made by key players to scale up the project. A tool that can measure the success rate of the project	Complementarity, availability, and sustaining of all resources from all key players. Also having an M&E tool to measure the success rate of the project. To review policies on property rights/patents of research, research funding and documentation of funds, and procurement.

	<p>raising their hopes. In collaboration there is not much problem, but what to do after. The same happened with our partner in Pagadian. They were happy because we were able to produce squash powder to them. They incorporated it with their fresh miki, but after the project, we were still able to provide them with squash powder but after that [we were not able to sustain the supply].</p>		
Scalability of projects - programs	<p>We do research then try translate it to innovative technology and other development work but then it has to stop somewhere. It cannot do all the work because it is a university. The gap there is that, from the other end, who should also collaborate with the university. So that the translation of the research into something more useful to the community and industry. For the university to do it all the way, we cannot do it. The researchers, that is why they are in the university because they want to teach and have research work. If the university can have the mechanism to have a collaboration with the right people in the community or industry and make a connection. I think it can be done.</p>	XU	
Scalability of projects - programs	<p>We were able to design a system wherein people in Bulua can send the price immediately to the farmers in real time. They are now using it, but connecting to the farmers now is a challenge, because who will pay for the load? Bulua [people] cannot pay. We talked to the mayor, he will not pay, and we went to LGU Bukidnon. There are mechanisms that needs to be done.</p>		
Knowledge creation and increase in KAP on innovation and technology	<p>STRIDE helped build the innovation mindset among engineering faculty and students. This mindset was necessary to inspire the technical engineers into communication and entrepreneurship.</p>	TIP	<p>Creating, sharing and acquiring knowledge from one area to another, which includes organizing and making it accessible to all.</p>

Knowledge creation and increase in KAP on innovation and technology	So, some challenges are the confidence towards our researchers. Another would be openness to collaboration since sometimes they are afraid of their data and their samples.	UPD	
Knowledge Source	We have produced a ventilator system for use in the ambulance, so this technology will help civil society. – Elizabeth	TIP	
Government capacity	COA has very strict requirements which leads to delay in acquisition and liquidation (controlled by COA)	USC	Challenges when it comes to government’s processes or policies that might inhibit IE actor’s complementarity.
Government capacity	Streamline, start-ups not aware with the requirements, not familiar with govt procedures, TBI funded in 2010, maintained by the earnings of TBI	UPCebu	
Mismatch competencies and timelines	Being able to expand its competencies, the University is and will be able to extend to partner MSMEs and to the community.	CITU	Misalignment in organizational objectives, priorities and timelines.
Different timetables or priorities	Turnover cycle of the projects may not correspond due to the needed matching of competencies and timelines. Deployment of teams in both sides (the university and industry) may have different timelines because of the academic cycle.	CITU	
Grounded academic actors	The faculty must be immersed in the industry. But there is a need first to deload [reduce the number of teaching load] of the faculty to work in the industry. Upon return to the University, the faculty can advise students and do industry-based research.	BSU	Challenges to academic actors when it comes to processes or policies that might inhibit IE actor’s complementarity.
Lack of expertise/Low capacity	"There is a need to widen participation of other SUCs. When STRIDE posts the grants, it is not specified who the recipients will be. What happens is that the big schools get the big funds. Big schools located in Manila can get as much as PhP100 M while the other schools, particularly the small schools will only get PhP 5M. Even in the selection process, the members of evaluators will be	BSU	Capability and confidence of other researchers to engage on research and to handle collaborative efforts to a partner industry.

	<p>coming from the big schools; hence, big funding goes to them.</p> <p>There is a need to solve this issue. As such, other SUCs will only have surface acceptance while others will have surface rejection. There might be a need to dwell deeper into the issue.</p> <p>There is a need to focus the research agenda of the region."</p>			
Collaboration	STRIDE made a great impact on collaboration between industry, government i.e., CHED, DOST and DTI. Also, with the US universities. So, US Universities such as Stanford, UC Berkeley, and Pennsylvania State University. STRIDE helped also in research.	TIP	Increased linkages with other organizations in a formal or informal capacity	Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)
Collaboration	Coming together of the innovation stakeholders such as the government offices, industries, and the academe has particularly clarified the University's strengths, and where the convergence of capabilities can mutually benefit each other	CITU		
Collaboration	Being able to expand its competencies, the University is and will be able to extend to partner MSMEs and to the community.	CITU		
Collaboration	<p>"I think the collaboration, because they paved the way. It was part and parcel of the CARWIN grant that one must have an industry collaborator, that is why we are forced to look for an industry collaborator. It was one first time to work with them. They had a different mind-set. One good thing also is that the industry collaborator will co-share and share some funds.</p> <p>How did you identify your industry partner? Long time ago, the company owner went to MSU-IIT, the owner was one of the alumni, and wants to have a collaboration. He was also my student."</p>	MSU-IIT		

Collaboration	Collaboration. Because STRIDE introduced us to link with some agencies or institutions in the US.	BSU	
Collaboration	Alam ninyo there are innovation actors in the Region. What STRIDE did was pinagontog-ontog, they made us see each other, at convened us and put up the title of RIIC RIIC is a brand but there is no fund support. STRIDE facilitated the link among the actors including DTI and DOST and call it RIIC. Through STRIDE the research agenda were refocused towards certain regional goal. But this is also being done at the RDC [Regional Development Council]. In the RDC, there is a Regional Research and Innovation Committee even before STRIDE.	USC	
Collaboration	I think po sa R&D Funding and IP Policy and well I would say that the collaboration is between industry and academe. Number 1 – R&D Funding, Number 2 – IP Policy, Number 3 – Collaboration	UPD	
Collaboration	Human Capacity. Stride injected industry collaboration with local and national partners which have increased the range of our faculty members. Now the grants are basically given by DOST, my colleagues are more confident and effective in taking these grants because they trickle back to the university	DLSU	
Collaboration	We would have partners from academe and the STEM people and things would just fall into place.	DLSU	
Information access	In the CHED project we developed mobile apps. We collaborated with the city of Cagayan de Oro, Bulua Vegetable Landing Area. The problem of the farmers is that they do not know the selling prove of the vegetables, so they refer to the packers or middlemen. We were able to design a system wherein people in Bulua can send the price immediately to the farmers in real time. They are now using it, but connecting to the	XU	Improvements to information access that eases collaboration constraints

	farmers now is a challenge, because who will pay for the load? Bulua [people] cannot pay. We talked to the mayor, he will not pay, and we went to LGU Bukidnon. There are mechanisms that needs to be done.			
More information and transparency	More transparency, start-ups engagement, Need for more information on how to access STRIDE grants (e.g., selection criteria, eligibility)"	UPCebu		
More information and transparency	Streamline, start-ups not aware with the requirements, not familiar with govt procedures, TBI funded in 2010, maintained by the earnings of TBI In terms of the innovation ecosystem, there should be a more streamlined and simplified procurement process (especially for start-ups) Also, more information about the grants process is needed.	UPCebu		
Policy	We actually realized this late in 2020. We have a policy in place which has been a prudent principle. But the problem is it has to be packaged along with a family of other policies. The policy provides a technology Commercialization leave. That should be available in place for the next academic year. It is a bundle of policies, the Technology Commercialization Leave.	DLSU	Making use of policies in order to improve processes. Includes anything pertaining to policy challenges.	Policy optimization or implementation. Institutionalizing policies in order to improve organizational processes (i.e. procurement, research, and commercialization)
Policy	The University was able to bolster its IP policies through benchmarking from other universities with more mature tech transfer offices, and to be aligned as well with RA10055 Philippine Technology Transfer Act of 2009, and RA8293 Intellectual Property Code of the Philippines	CITU		
Policy	All mechanisms have been influenced but the greatest impact is on the IP policy	USC		

Policy	STRIDE has huge influence on university policies (as mentioned earlier)	USC
Policy	IPR is a bit tricky because there are policies and procedures to follow; The university follows these policies	UPCebu
Policy	To iron-out the policies that the industry can have a share. It can be negotiated that they can share with the patent.	MSU
Policy	As far as I know, KTTO Director had training and made some inputs in the training. Manual has already existed, but it was improved/revised	MSU
Policy	IPR – cannot directly associate it to STRIDE. It is from the UP system which was cascaded to us. There is already a Manual on Intellectual Property at UPLB, but I am not sure whether it has been printed	UPLB
Policy	Talagang magkaroon ng revisiting of the policy which will be eventually resulting to new government policy on procurement guided by an RA.	UPLB
Policy	It includes an incentive system for the whole UP system to disclose of more technologies, resulting to more flourishing innovation.	UPLB
Policy challenges	When we engage research with the industry and we have a project that is patentable, the industry wants to have a share of the patent. That is not on our look-out, that is on our KTTO. There are no existing policies. The university wants the patent solely; however, the industry wants to have a share. The industry shared funds and some chemicals	MSU
Friendly/Responsive policies	The faculty must be immersed in the industry. But there is a need first to deload [reduce the number of teaching load] of the faculty to work in the industry. Upon return to the University, the faculty can advise students and do industry-based research.	BSU

Policy challenges	To iron-out the policies that the industry can have a share. It can be negotiated that they can share with the patent.	MSU-IIT	
Policy challenges	Continue to gather feedback from stakeholders through FGDs and use them for continuous policy improvements. On Grant policies, for one the CHED does not give to for-profit schools, the prohibit grants. Sometimes they would, but then take them back. There is a pending legislation that talks about this connection of the innovation ecosystem, but again the for profit-schools are not included. I think this is an important issue that needs to be addressed. STRIDE has known this matter and has initiated networks that try to seek this problem.	TIP	
Policy challenges	We need a new law on R&D and procurement especially on specialty equipment. They treat specialty equipment similar to bond paper where it is still on 3 quotes.	UPD	
Policy challenges	In the US, these things are not a problem, and they can do spin-off and start-up industries within a University, do you think we need policies, university-policies? Or is the current policy in DLSU, says we cannot engage new industries at all? – Agnes We actually realized this late in 2020. We have a policy in place which has been a prudent principle. But the problem is it has to be packaged along with a family of other policies. The policy provides a technology Commercialization leave. That should be available in place for the next academic year. It is a bundle of policies, the Technology Commercialization Leave.	DLSU	
Procurement	Another thing is the delay of implementation of the project because we are subject to a procurement process, and we have to wait.	USTP	In relation to procurement processes

Procurement	Aside from that, on the procurement policy. I don't know if there is a need or if we can do that the researchers and R&D grants will not be subjected to procurement process. The proponent should a control of the funding like the foreign universities, rather than the university controlling it. If we can come up with a policy that all R&D grants will not be subjected to procurement process.	USTP
Procurement	One project that we had, NICER, when it was granted for 1 million, the equipment was procured by STRIDE, rather than it is done by the university and go to the process of procurement. The equipment was bought immediately. It was better than us making the procurement. Before	USTP
Procurement	We have to revise procurement policies. Exempt the R&D grants from the procurement process and let the proponent control the funds.	USTP
Procurement	It allows us to examine our procurement policy. During that time when we had STRIDE, the university were able to adjust quickly. The procurement was quite quick because we were allowed to procure directly.	XU
Procurement	Positive influence same answer with 2.2.4	XU
Procurement	No KTTO yet. The last 4 questions will really give the university a chance if we have good documentation of this, to improve also our policy on procurement. If we have a documentation on this so that we could apply that in our own university policies and programs.	XU
Procurement	Since we are a private school, this is a big problem in public institutions. We recognize that STRIDE has provided a lot of help in this. It's different with private institutions, for a background, before STRIDE undertook the widespread study on these things, they tried	TIP

	to get our inputs. So as a private institution is not covered by any procurement acts, we make our own.	
Procurement	Pag sila po yung maghandle mas mabilis since yun yung usapan namin. Ang ginawa po namin is that STRIDE purchases the equipment and just delivers them. Since if we will procure them, it will be subject to taxation and additional costs. Donation of equipment vs. providing money to buy equipment. STRIDE came as a project to address the perennial problems in procurement, for them to implement the program they made it in the shortest way possible to buy the equipment, so naitawid lang yung project? –Cecilia Oo. Nagawan lang nila ng paraan.	UPD
Procurement	We need a new law on R&D and procurement especially on specialty equipment. They treat specialty equipment similar to bond paper where it is still on 3 quotes.	UPD
Procurement	It's not going to be procurement. Procurement issues are on public institutions.	DLSU
Procurement	I think this is tied to procurement law. I don't think this is a problem with us.	DLSU
Procurement	Well, we have our share of problems but not as the same with other universities.	DLSU
Procurement	Procurement policy requires bidding for budget quotations of P500,000 or higher	USC
Procurement	COA has very strict requirements which leads to delay in acquisition and liquidation (controlled by COA)	USC
Procurement	In terms of the innovation ecosystem, there should be a more streamlined and simplified procurement process (especially for start-ups)	UPCebu
Procurement	"New perspective on procurement I was then part of the Executive Committee of the previous administration. Every time I attend the STRIDE sessions with the Vice Chancellors, the importance of an efficient	UPLB

	procurement system was always mentioned which is important so as not to discourage the researchers."		
Procurement	Mas transparent, mas predictable, andyan sa website all the information related to the procurement system to be fair.	UPLB	
Procurement	Talagang magkaroon ng revisiting of the policy which will be eventually resulting to new government policy on procurement guided by an RA.	UPLB	
Procurement	President Ronquillo said that he heard of the procurement program in UP Diliman but not sure whether it was successful in improving the procurement process.	BSU	
Procurement	President Ronquillo added that they have no problems in procurement. They have efficient BAC [Bids and Awards Committee].	BSU	
Procurement challenges	Intellectual Property Management Program for Academic Institutions Commercializing Technologies (IMPACT), thru its KTTO	CITU	Institutional or policy challenges specific to procurement
Procurement challenges	the University was able to bolster its IP policies through benchmarking from other universities with more mature tech transfer offices, and to be aligned as well with RA10055 Philippine Technology Transfer Act of 2009, and RA8293 Intellectual Property Code of the Philippines	CITU	
Procurement challenges	All mechanisms have been influenced but the greatest impact is on the IP policy	USC	
Procurement challenges	IPR is a bit tricky because there are policies and procedures to follow; The university follows these policies	UPCebu	
Procurement challenges	When we engage research with the industry and we have a project that is patentable, the industry wants to have a share of the patent. That is not on our look-out, that is on our KTTO. There are no existing policies. The university wants the patent solely; however, the industry wants to have a share. The industry shared funds and some chemicals.	MSU	

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Procurement challenges	There is now the manual on IPR [Intellectual Property Rights]. It includes an incentive system for the whole UP system to disclose of more technologies, resulting to more flourishing innovation.	UPLB
Procurement challenges	Another thing is the delay of implementation of the project because we are subject to a procurement process, and we have to wait.	USTP
Procurement challenges	Aside from that, on the procurement policy. I don't know if there is a need or if we can do that the researchers and R&D grants will not be subjected to procurement process. The proponent should a control of the funding like the foreign universities, rather than the university controlling it. If we can come up with a policy that all R&D grants will not be subjected to procurement process.	USTP
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Procurement challenges	Another would be Intellectual Property. If a company engages funding research in academia there is usually an intent to improve the bottom-line and gains. There is a fundamental difference in worldview. We have tried to improve this in DLSU, pre-STRIDE our	DLSU

	programs would possibly turn off industry partners.			
Funding	There is an increase of external funding that we have, because of that we increase our network with industry and to the government agencies. Right now, we have established more research centers in the university.	USTP	Any financial support	Financial Assistance. Any form of financial assistance or financial grant
Funding	R&D funding because of the CARWIn grants.	XU		
Funding	Because of the STRIDE, we were able to get funding given our experience and knowledge. We were able to develop a proposal for CHED, under the NAFES (National Agriculture and Fisheries Education System). We are partnering with 4 Local Governments then.	XU		
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Funding	On the funding I was wondering if TIP has gotten some funds from the DOST or any gov't agency in the Philippines in terms of research? –Agnes Yes, in one conference USEC Rowena Guevarra announced has a total of 8 projects (and counting). We have projects under CRADLE, those are the flagship projects of the DOST now under the research agenda of the gov't. We also have a project of the NICER. We have other projects over GIA, a project of DOST. Grants In Aid and several of those in Quezon City and Manila. We also have funded projects with CHED – Cynthia TechnoCore – industry also funds the projects during the proposals. One of our biggest things is the SIGLABET (?) project, this is a project of the TechnoCore. We have produced a ventilator system for use in the ambulance, so this technology will help civil society. – Elizabeth	TIP		

Funding	I think po sa R&D Funding and IP Policy and well I would say that the collaboration is between industry and academe. Number 1 – R&D Funding	UPD
Funding	One po yung actual funding, STRIDE grant. They actually helped in looking for a partner university in the US. Then yung capacity building nung pag fund nung purchase of laboratory equipment which we can sustain even after the project. Then yung ano po, yung industry-academe meets.	UPD
Funding	The capitalization would be by the faculty? – Agnes Although this is not part of STRIDE, we actually have small technology incubation. It is funded by DOST, and its purpose is to secure capital to scale for these academic start-ups.	UPD
Funding	"With strengthened R&D capabilities, the University has attained multi-million funding from DOST under the: Higher Education Institution Readiness for Innovation and Technopreneurship (HEIRIT), through its TBI, the Wildcat Innovation Labs; "	CITU
Funding	"Minimal in terms of equipment acquisition To begin with, university has a strong research culture; but STRIDE helped the university through additional source of funding"	USC
Funding	As mentioned, major challenge is to encourage disclosure by faculty of the technologies they are developing so there are more patent opportunities.	USC
Funding	Our research program in PCIEERD is 45 million. Out of the 45 million, we went to NICER. We are on the niche “Sustainable Polymers”. Because of the USAID pure grant, Dr. Lubguban applied a grant to the DOST PCIEERD, the research program on Bio Polymer was approved worth 45 million. It was finished just this year. The output from that research, we applied again on the DOST	MSU-IIT

	PCIEERD and became NICER. The NICER was worth 107 million. We got 5 million per researcher from USAID STRIDE.		
Funding	R&D funding - UPLB has an increasing funding.	UPLB	
Financial assistance	Our research program in PCIEERD is 45 million. Out of the 45 million, we went to NICER. We are on the niche “Sustainable Polymers”. Because of the USAID pure grant, Dr. Lubguban applied a grant to the DOST PCIEERD, the research program on Bio Polymer was approved worth 45 million. It was finished just this year. The output from that research, we applied again on the DOST PCIEERD and became NICER. The NICER was worth 107 million. We got 5 million per researcher from USAID STRIDE.	MSU-IIT	Assistance in facilitating funding or outright funding to the institutions
Financial assistance	RIIC is a brand but there is no fund support. STRIDE facilitated the link among the actors including DTI and DOST and call it RIIC. Through STRIDE the research agenda were refocused towards certain regional goal. But this is also being done at the RDC [Regional Development Council]. In the RDC, there is a Regional Research and Innovation Committee even before STRIDE.	BSU	
Financial assistance	There is a need to widen participation of other SUCs. When STRIDE posts the grants, it is not specified who the recipients will be. What happens is that the big schools get the big funds. Big schools located in Manila can get as much as PhP100 M while the other schools, particularly the small schools will only get PhP 5M. Even in the selection process, the members of evaluators will be coming from the big schools; hence, big funding goes to them.	BSU	

Research grant(s)	R&D funding because of the CARWIn grants.	XU	Financial support specific to grants	
Research grant(s)	Even before STRIDE, UPLB is in the forefront seeking more funds for R&D. It is already in our DNA. STRIDE had marginal addition that we should lobby for more funds.	UPLB		
Research grant(s)	Yes, in one conference USEC Rowena Guevarra announced has a total of 8 projects (and counting). We have projects under CRADLE, those are the flagship projects of the DOST now under the research agenda of the gov't. We also have a project of the NICER. We have other projects over GIA, a project of DOST. Grants In Aid and several of those in Quezon City and Manila. We also have funded projects with CHED – Cynthia	TIP		
Research grant(s)	TechnoCore – industry also funds the projects during the proposals. One of our biggest things is the SIGLABET (?) project, this is a project of the TechnoCore. We have produced a ventilator system for use in the ambulance, so this technology will help civil society. – Elizabeth	TIP		
Research grant(s)	On Grant policies, for one the CHED does not give to for-profit schools, the prohibit grants. Sometimes they would, but then take them back. There is a pending legislation that talks about this connection of the innovation ecosystem, but again the for profit-schools are not included. I think this is an important issue that needs to be addressed. STRIDE has known this matter and has initiated networks that try to seek this problem	TIP		
Industry responsiveness	We do research then try translate it to innovative technology and other development work but then it has to stop somewhere. It cannot do all the work because it is a university. The gap there is that, from the other end, who should also collaborate with	XU	Strategies or mechanisms (be it through government policies or curriculum changes) that are responsive to the needs of the industry i.e., on	Industry Responsive. Mechanisms aimed at increasing government or academe responses to industry needs such as

	<p>the university. So that the translation of the research into something more useful to the community and industry. For the university to do it all the way, we cannot do it. The researchers, that is why they are in the university because they want to teach and have research work. If the university can have the mechanism to have a collaboration with the right people in the community or industry and make a connection. I think it can be done.</p>		<p>marketability, profitability and others.</p>	<p>market-feasibility or profitability.</p>
Industry responsiveness	<p>Well DOST has rolled out a lot of grants, some of them should in theory to culminate start-up companies. A lot has already been done. I would say this, stepping away from STRIDE; one of the lessons of the US experience is that there is an R&D pyramid. If you're lined up for MODERNA vaccine for mRNA technology, the technology is already created back in 1980s but has only been commercialized now. The Philippines lack that base of the pyramid. The problem why we have this base of the pyramid is that we don't know which of them is going to make it. It takes one human generation to find a technology such as the mRNA.</p>	DLSU		
Industry responsiveness	<p>Region 10 Academe: Bridge program serves as a platform in lobbying of on the ground challenges experienced by MSMEs to appropriate channels in the process of exploring and probing the current needs of the MSMEs in adjusting to the new normal. The program is able to gather on the ground challenges that the MSMEs is facing and can be raised to appropriate channels so that it can be addressed and look where the academe can be of support. It also creates opportunities for partnerships and collaboration on key activities during the conversation we had with the MSMEs, with Oro Chamber, there are many opportunities that can arise and can be adopted in the</p>	Academe (XU)		

universities and teach students to be more involved in academe-industry partnerships.

Entrepreneurship/Commercialization	<p>Among all of these it's entrepreneurship. DLSU has traditionally been molded as a STEM and Business school. It's only in recent years that there's been a close interface between the faculty members in STEM and the faculty members in business. We were sitting on a gold mine all this time. Since we had both departments, but they were just not talking to each other. The academe provided the closure to the gaps the STEM faculty found. Do you think this is one of the unintended effects of STRIDE? – Ivy It was actually intended by the FEC (Filipinnovation Entrepreneurship Corps). The way it works is that we take a member of the research team, and we pair him with someone who has a sense of the business industry and the market. We took advantage of our alumni base, volunteers would bring in real world experience and of course for a lot of STEM people, this was a harsh introduction to reality to find out that their technologies in the labs might not work in the real world or had a long time to go. This was missing for a long time, because these people would be stuck in their own industry- bubbles. STRIDE helped build the innovation mindset among engineering faculty and students. This mindset was necessary to inspire the technical engineers into communication and entrepreneurship.</p>	DLSU TIP	Any strategies or procedures that would increase entrepreneurship or commercialization within the IE.
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Entrepreneurship/Commercialization	So, TIP has IPR and commercialization policies. These policies are continually revised and improved. So, this is a work in progress, in fact we keep revising it as we keep on learning new things. We really continue to revise.	TIP
Entrepreneurship/Commercialization	Among all of these it's entrepreneurship. DLSU has traditionally been molded as a STEM and Business school. It's only in recent years that there's been a close interface between the faculty members in STEM and the faculty members in business. We were sitting on a gold mine all this time. Since we had both departments, but they were just not talking to each other. The academe provided the closure to the gaps the STEM faculty found. Do you think this is one of the unintended effects of STRIDE? – Ivy It was actually intended by the FEC (Filipinnovation Entrepreneurship Corps). The way it works is that we take a member of the research team, and we pair him with someone who has a sense of the business industry and the market. We took advantage of our alumni base, volunteers would bring in real world experience and of course for a lot of STEM people, this was a harsh introduction to reality to find out that their technologies in the labs might not work in the real world or had a long time to go. This was missing for a long time, because these people would be stuck in their own industry- bubbles.	DLSU
Entrepreneurship/Commercialization	Before STRIDE came along, if someone comes up with a research project that might have commercial value, then having a start-up firm able to provide you substantial amounts of money is contingent on an investment partner. But you still have to discover the market, there are legal aspects you have to deal with and if you spin-off a new firm then that's a problem the university has to deal with.	DLSU

Entrepreneurship/Commercialization	To disclose their inventions, KTTO to advance technologies to commercialization with investors; Strengthen entrepreneurship aspect of the academic curricula (e.g., engineering curricula).	USC	
Entrepreneurship/Commercialization	STRIDE has impact on entrepreneurship. Our faculty members at the Department of Agribusiness Management and Entrepreneurship (DAME) got new perspective on entrepreneurship which influenced the institution new courses on entrepreneurship, revised curriculum in business management from basic to more advanced program. [STRIDE enhanced the entrepreneurial curriculum]. There is also a revised curriculum of Master of Management where Entrepreneurship was added in the title of the degree program.	UPLB	
Entrepreneurship/Commercialization	The PCAARRD has program on agricultural entrepreneurship which enhanced the capacity of the DAME faculty, but this further strengthened by STRIDE's case study writing and industry linkage activities. Glenn Baticados [Assistant Professor of DAME] is the former Director of the UPLB Technology Transfer and Business Development Office [TTBDO] has really infused changes based on STRIDE's activities.	UPLB	
Entrepreneurship/Commercialization	Entrepreneurship – BSU has program on entrepreneurship and when they visited start up centers and research parks in North Carolina State University, STRIDE helped establish some links. The trip was funded by CHED.	BSU	
Industry fixed-assets	So may mga programs na po yung DOST for example SFC. When I was interviewed before, I suggested the establishment of national laboratories such as in the US where industry and academe can conduct their own research in the national laboratories. In UP, labs and equipment are limited, and it depends on the	UPD	Improvements to any fixed asset that would increase industry competitiveness.

research. If you have a fully established lab, it would be easier. For example, in UC Berkeley, the industry provides the problems.

Industry fixed-assets	The faculty must be immersed in the industry. But there is a need first to deload [reduce the number of teaching load] of the faculty to work in the industry. Upon return to the University, the faculty can advise students and do industry-based research.	BSU	
Transparency	So, some challenges are the confidence towards our researchers. Another would be openness to collaboration since sometimes they are afraid of their data and their samples.	UPD	Changes in openness to collaboration and transparency
Transparency	As mentioned, major challenge is to encourage disclosure by faculty of the technologies they are developing so there are more patent opportunities.	USC	
Transparency	Encourage faculty to do research, to disclose their inventions, KTTO to advance technologies to commercialization with investors; Strengthen entrepreneurship aspect of the academic curricula (e.g., engineering curricula).	USC	
Transparency	"More transparency, start-ups engagement, Need for more information on how to access STRIDE grants (e.g., selection criteria, eligibility)"	UPCebu	

Encourage faculty to conduct research	Encourage faculty to do research	USC	Encouragement to research
Protection of outputs (patenting - indigenous knowledge)	So, TIP has IPR and commercialization policies. These policies are continually revised and improved. So, this is a work in progress, in fact we keep revising it as we keep on learning new things. We really continue to revise.	TIP	Ownership of technology/research outputs.
Protection of outputs (patenting - indigenous knowledge)	I think po sa R&D Funding and IP Policy and well I would say that the collaboration is between industry and academe. Number 1 – R&D Funding, Number 2 – IP Policy	UPD	Intellectual property and incentives to start-ups and spin-offs. Pertains to the protection for original works, inventions or the appearance of research and other scientific developments.
Protection of outputs (patenting - indigenous knowledge)	Well, I think more on ginawang benchmark ang UP system when it comes to IP. They then shared these with other SUCs. Sa KTTO program, nag present kami ng existing policy and then it was learned from. UP's IPR policy was benchmarked for sharing with other universities.	UPD	
Protection of outputs (patenting - indigenous knowledge)	Another would be Intellectual Property. If a company engages funding research in academia there is usually an intent to improve the bottom-line and gains. There is a fundamental difference in worldview. We have tried to improve this in DLSU, pre-STRIDE our programs would possibly turn off industry partners.	DLSU	
Protection of outputs (patenting - indigenous knowledge)	You have to deal with intellectual property, getting the technology patented.	DLSU	

Protection of outputs (patenting - indigenous knowledge)	DOST gave us a grant that was intended to have an intellectual policy and knowledge transfer upgrading in DLSU, this is not per say from STRIDE but is influenced by it. The direct funding comes from DOST, but the influence is from STRIDE and US influences.	DLSU	
Start-ups and Spin-offs	Well DOST has rolled out a lot of grants, some of them should in theory to culminate start-up companies. A lot has already been done. I would say this, stepping away from STRIDE; one of the lessons of the US experience is that there is an R&D pyramid. If you're lined up for MODERNA vaccine for mRNA technology, the technology is already created back in 1980s but has only been commercialized now. The Philippines lacks that base of the pyramid. The problem why we have this base of the pyramid is that we don't know which of them is going to make it. It takes one human generation to find a technology such as the mRNA.	DLSU	Support for start-up and spin-off creation/improvements
Start-ups and Spin-offs	Before STRIDE came along, if someone comes up with a research project that might have commercial value, then having a start-up firm able to provide you substantial amounts of money is contingent on an investment partner. But you still have to discover the market, there are legal aspects you have to deal with and if you spin-off a new firm then that's a problem the university has to deal with. Say you're a faculty member and you started up a small company because of your research output. At some point would you be confident enough to give up your job at the university? This is one of the risk-aspects of someone having a start-up company. This means they might really take up a leave to focus on their company.	DLSU	

Start-ups and Spin-offs	How long will the leave be? –Agnes It’s going to be one-year renewable. We wanted to provide a safety net for academics so if the start-up fails, they don’t sacrifice their tenure. The capitalization would be by the faculty? – Agnes Although this is not part of STRIDE, we actually have small technology incubation. It is funded by DOST, and its purpose is to secure capital to scale for these academic start-ups.	DLSU		
No change	In our institution, no, I guess not much because we already have our systems in place. Maybe we were even able to share with STRIDE the good practices. The guidelines before are not the lowest price but the best value. These are already included in our systems.	TIP	No seen change in relation to STRIDE’s programs	Low effectiveness. No seen change in relation to STRIDE’s programs
No change	Hindi ako involved ma’am but based on my experience, there have been no improvements. PICARI is also trying to lobby improvements on the policy environment in research. So, there is still no change.	UPD		
No change	None. It is still the same. Maybe they had initiatives or meetings, but it is still the same.	MSU-IIT		
No change	It is the same, no change. I will tell what they did, the guideline on procurement had already existed, because of the CARWIN grant, STRIDE, procured the equipment and they gave it to us. Nothing changed on the university. They just procured it just for the project to be finished.	MSU-IIT		
No designated staff	Based on the experience that they had on the university, there are no designated staff on the university. One staff is designated for all the projects. The university should designate one staff per project.	MSU-IIT	Lack of motivated project leader	

ANNEX G

EFFECTIVENESS HEI.2

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate in your university? Rank among the following: Strategies, technical assistance and its various forms, strengthening links between innovation stakeholders, Policy improvements, and Institutionalization of STRIDE capacity building programs

STRIDE STRATEGIES CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE IN YOUR UNIVERSITY							
Effectiveness Metric/Theme	National n= 6		HEI = 15*		Regional = 15*		Responses
	f	%	f	%	f	%	
Overall capacity building. Pertains to all activities increasing organizational capability through a combination of training, workshops and support of STRIDE institutions be it in a technical or non-technical capacity. Also includes activities that led to institutional changes and improvements such as curriculum development and etc.	0	0.00	11	73.33	0	0.00	<p>"May KTTO and DITO po kami pero hindi po ako yung naghahandle nun. Yung DLSU intellectual property office po yun, meron rin kaming DITO. Lahat po naman ng projects naming dumadaan sa legal counsel naming na head ng IPO naming". (H6).</p> <p>"We also have been revisiting our curricular program, the way I was influenced by STRIDE. It also enhanced our capacity on how to influence the decision makers in crafting policies conducive to innovation ecosystem" (H7)</p> <p>"Attending technical trainings have laid the groundwork for institutionalizing structures and mechanisms such those relating to R&D, tech transfer, and business incubation." (H2)</p>
Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)	0	0.00	11	73.33	3	25.00	<p>"It's easier to talk and to find partners now. We really see the value of collaboration, the value of IT and getting connected through networking only. So that's a good factor." (R12)</p> <p>"Because that is collaborative and with great partnership with the government, industry and academe." (R10)</p>

Policy optimization or implementation. Institutionalizing policies in order to improve organizational processes (i.e. procurement, research, and commercialization)	0	0.00	8	53.33	0	0.00	<i>“KTTO built capacity to integrate policy into the mindset of the stakeholders especially the researchers, faculty and students.” (H8)</i> <i>“Policy improvements – 2 - Three (3) years ago we have a policy on Technology Transfer. STRIDE helped in creating that policy. However, there are still policies that need to be improved, especially on the policy on procurement. That is actually one of our challenges on how we can give research [the freedom] to procure rather than go into the process. One of the problems that we have here is the delay of the implementation of that research because of the procurement process. We need help on that aspect. There are still many rooms for improvements.” (H12)</i>
Financial Assistance. Any form of financial assistance or financial grant	0	0.00	2	13.33	0	0.00	<i>“Assist stakeholders in linking with funding institutions. Scientists and researchers are linked with the whole ecosystem.” (H8)</i>
Industry Responsive. Mechanisms aimed at increasing government or academe responses to industry needs such as market-feasibility or profitability.	0	0.00	2	13.33	0	0.00	<i>“Second is the R and D should be able to solve the problem from the industry. Try to sell R and D project to the industry through technology transfer, either by utilizing, adopting or commercialization.” (H12)</i>
Behavioral Change. Shift in IE actors in terms of attitude and outlook on programmatic and institutional functions and processes.	0	0.00	0	0.00	1	6.66	<i>“Commitment dedication and having one goal and that is to help our region. From start we are very clear that what direction we want and particularly with the RIIC we see it as an innovative approach that all our actions in the region will be implemented in the most efficient and organized and cost-effective way.” (R10)</i>
Communication strategy. Strategic structuring of communication plan for programmatic functions.	0	0.00	1	6.66	0	0.00	<i>“Region 3 Academe (BULSU): What we do sa region 3 is to adequately plan and overcome disruptions especially in this pandemic. So, what we do is to structure the innovation program for region 3.” (H13)</i>

Note: * NA = 23HEI, 4 Regional

- Responses are italicized
- Choose a “best” response that represents the code under a specific theme
- Use Pseudonyms
 - N = national
 - H = HEIs
 - R = Regional
 - G = Government
 - I = Industry
 - A = Academe

Legend

N1 – Neda	R1 – Region4ADTI
N2 – DOST	R2 – Region 4ADOST
N3 – MSME	R3 – Region 4ANEDA
N4 – SUC	R4 – Region7DTI
N5 – DTI	R5 – Region7DOST
N6 – CHED	R6 – Region7NEDA
H1 – BSU	R7 – Region10DTI
H2 – CITU	R8 – Region10DOST
H3 – MSUIIT	R9 – Region10NEDA
H4 – DLSU	R10 – Region3CHED
H5 – UP Cebu	R11 – Region 3DTI
H6 – UPD	R12 – Region3DOST
H7 – UPLB	R13 – Region11LGU
H8 – USC	R14 – Region111DOST
H9 – USTSP	R15 –Region11DTI
H10 – TIP	I1 –
H11 – XU	I2 –
H12 – BULSU	I3 – Region 3 BCCI
H13 – UPMindanao	I4 – PhiliPILI
H14 – ADDU	

2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact in your university? Please explain

- 2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your university?
- 2.2.2 What are some of the challenges for doing industry- responsive innovative research?
- 2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?
- 2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?
- 2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)
- 2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?
- 2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?

MECHANISMS (PROCUREMENT, R&D FUNDING, INTELLECTUAL PROPERTY POLICY, COLLABORATION, ENTREPRENEURSHIP) OF STRIDE THAT MADE THE GREATEST IMPACT IN YOUR UNIVERSITY

Effectiveness Metric/Theme	National n= 6		HEI = 15(11)*		Regional = 15(9)*		Responses
	f	%	f	%	f	%	
Overall capacity building. Pertains to all activities increasing organizational capability through a combination of training, workshops and support of STRIDE institutions be it in a technical or non-technical capacity. Also includes activities that led to institutional changes and improvements such as curriculum development and etc.	1	16.66	11	73.33	1	6.66	<p>"Well, I think more on ginawang benchmark ang UP system when it comes to IP. They then shared these with other SUCs. Sa KTTO program, nag present kami ng existing policy and then it was learned from. UP's IPR policy was benchmarked for sharing with other universities". (H7).</p> <p>"Inspired when he was Dean of UPLB Graduate school which enable him to come up with systems of technical assistance to other HEIs. The provision of technical assistance to other HEIs is already within the tradition of UPLB. STRIDE is able to raise that level of awareness as a public service university that we need to provide technical assistance" (H8)</p> <p>"There has to be a regular training, but it is not regular. Maybe it depends on the availability of the resource person. To make the rating 1, there has to be visibility. We can improve on that." (H1)</p>

Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)	0	0.00	11	73.33	3	20.00	<p>“STRIDE made a great impact on collaboration between industry, government i.e., CHED, DOST and DTI. Also, with the US universities. So, US Universities such as Stanford, UC Berkeley, and Pennsylvania State University. STRIDE helped also in research.” (H10)</p> <p>“Region 11 government: We are doing a consortium-based approach, so yes later on we would have SOPs through RIIC and iSTIRKE Davao.” (R14)</p>
Policy optimization or implementation. Institutionalizing policies in order to improve organizational processes (i.e., procurement, research, and commercialization)	0	0.00	11	73.33	0	0.00	<p>“We actually realized this late in 2020. We have a policy in place which has been a prudent principle. But the problem is it has to be packaged along with a family of other policies. The policy provides a technology Commercialization leave. That should be available in place for the next academic year. It is a bundle of policies, the Technology Commercialization Leave.” (H4)</p> <p>“Continue to gather feedback from stakeholders through FGDs and use them for continuous policy improvements. On Grant policies, for one the CHED does not give to for-profit schools, the prohibit grants. Sometimes they would, but then take them back. There is a pending legislation that talks about this connection of the innovation ecosystem, but again the for profit-schools are not included. I think this is an important issue that needs to be addressed. STRIDE has known this matter and has initiated networks that try to seek this problem.” (H10)</p> <p>“Aside from that, on the procurement policy. I don’t know if there is a need or if we can do that the researchers and R&D grants will not be subjected to procurement process. The proponent should a control of the funding like the foreign universities, rather than the university controlling it. If we can come up with a policy that all R&D grants will not be subjected to procurement process.” (H12)</p>
Financial Assistance. Any form of financial assistance or financial grant	0	0.00	11	73.33	0	0.00	<p>“There is an increase of external funding that we have, because of that we increase our network with industry and to the government agencies. Right now, we have established more research centers in the university.” (H12)</p>

							“Because of the STRIDE, we were able to get funding given our experience and knowledge. We were able to develop a proposal for CHED, under the NAFES (National Agriculture and Fisheries Education System). We are partnering with 4 Local Governments then.” (H11)
Industry Responsive. Mechanisms aimed at increasing government or academe responses to industry needs such as market-feasibility or profitability.	0	0.00	7	46.66	0	0.00	“Marami tayo tulad ng ating magsasaka na may magandang idea pero wala silang technical know-how, and having RIIC, you can go there and say, “pare may idea ako pero di ko alam paano gawing negosyo”, so RIIC would give the process on how to make these a negosyo linking them to academe, industry fablabs and then government partners. At the end of the day everyone is collaborating and there would be new technologies and you can also feed them back and support other industries.” (I3)
Complementarity, availability, and sustaining of all resources from all key players. Also having an M&E tool to measure the success rate of the project. To review policies on property rights/patents of research, research funding and documentation of funds, and procurement.	0	0.00	7	46.66	0	0.00	“The challenge is what we do after. When we presented our product to Monde Nissin, they had it tested, and it met their quality parameters. They get they dehydrated vegetables in China, so they are hoping that there is a local supplier, but they have not been successful. So, they asked us, what’s next? The idea of what to do after research. In our university, we do not have that mechanism. We wanted to form farmers to be able to do that but drying is a very technical work and they might end up frustrated and raising their hopes. In collaboration there is not much problem, but what to do after. The same happened with our partner in Pagadian. They were happy because we were able to produce squash powder to them. They incorporated it with their fresh miki, but after the project, we were still able to provide them with squash powder but after that [we were not able to sustain the supply].” (H11)
Behavioral Change. Shift in IE actors in terms of attitude and outlook on programmatic and institutional functions and processes.	0	0.00	3	20.00	1	6.66	“Mutual trust, respect and confidence Integrity of the institutions, their systems and management/leadership.” (I4)
Intellectual property and incentives to start-ups and spin-offs. Pertains to the protection for original works, inventions or the appearance of research and other scientific developments.	0	0.00	3	20.00	0	0.00	“Another would be Intellectual Property. If a company engages funding research in academia there is usually an intent to improve the bottom-line and gains. There is a fundamental difference in worldview. We have tried to improve this in DLSU, pre-STRIDE our programs would possibly turn off industry partners.” (H4)

Low effectiveness. No seen change in relation to STRIDE's programs	0	0.00	3	20.00	0	0.00	“In our institution, no, I guess not much because we already have our systems in place. Maybe we were even able to share with STRIDE the good practices. The guidelines before are not the lowest price but the best value. These are already included in our systems.” (H10)
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Note: * NA = 23HEI, 4 Regional

Legend

N1 – Neda	R1 – Region4ADTI
N2 – DOST	R2 – Region 4ADOST
N3 – MSME	R3 – Region 4ANEDA
N4 – SUC	R4 – Region7DTI
N5 – DTI	R5 – Region7DOST
N6 – CHED	R6 – Region7NEDA
H1 – BSU	R7 – Region10DTI
H2 – CITU	R8 – Region10DOST
H3 – MSUIIT	R9 – Region10NEDA
H4 – DLSU	R10 – Region3CHED
H5 – UP Cebu	R11 – Region 3DTI
H6 – UPD	R12 – Region3DOST
H7 – UPLB	R13 – Region11LGU
H8 – USC	R14 – Region11DOST
H9 – USTSP	R15 –Region11DTI
H10 – TIP	I1 –
H11 – XU	I2 –
H12 – BULSU	I3 – Region 3 BCCI
H13 – UPMindanao	I4 – PhilIPILI
H14 – ADDU	

ANNEX G

EFFECTIVENESS HEI.3

MECHANISM THAT STRIDE HAD A GREATEST IMPACT			
Theme	HEI (n = 11)		Responses
	f	%	
Policy optimization or implementation. Institutionalizing policies in order to improve organizational processes (i.e., procurement, research, and commercialization)	6	54.54	<p>“KTTO built capacity to integrate policy into the mindset of the stakeholders especially the researchers, faculty and students. All mechanisms have been influenced but the greatest impact is on the IP policy.” (USC)</p> <p>“The University was able to bolster its IP policies through benchmarking from other universities with more mature tech transfer offices, and to be aligned as well with RA10055 Philippine Technology Transfer Act of 2009, and RA8293 Intellectual Property Code of the Philippines.” (CITU)</p>
Procurement. Process of purchasing supplies, equipment, contract services, other services. Policy on procurement of goods, equipment and services (Consultants)	3	27.27	<p>One project that we had, NICER, when it was granted for 1 million, the equipment was procured by STRIDE, rather than it is done by the university and go to the process of procurement. The equipment was bought immediately. It was better than us making the procurement.</p>
Intellectual property and incentives to start-ups and spin-offs. Pertains to the protection for original works, inventions or the appearance of research and other scientific developments.	2	18	<p><i>“It includes an incentive system for the whole UP system to disclose of more technologies, resulting to more flourishing innovation.”</i> (UPLB)</p> <p><i>“Technology leave is a one-year leave and renewable. We wanted to provide a safety net for academics so if the start-up fails, they don’t sacrifice their tenure.”</i> (DLSU)</p>

ANNEX G

EFFECTIVENESS NATIONAL.1

Effectiveness (original context of STRIDE): In what ways did STRIDE contribute to achieving the three IRs on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the three IRs had the strongest link to achieving the development goal of inclusive growth through strengthened science, technology, research, and innovation capacity? (I, A, C)

STRONGEST LINK TO ACHIEVING THE DEVELOPMENT GOAL OF INCLUSIVE GROWTH THROUGH STRENGTHENED SCIENCE, TECHNOLOGY, RESEARCH, AND INNOVATION CAPACITY

RESPONSES OF KI	CODE	IR #	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
Engagement with Al Serafica,	Knowledge source	3	1	DOST
First batch of projects under FEC (documents are with Richard) Finalize the agreement with Cauayan, Isabela	Technical assistance	3	1	DOST
Getting the support of pro-science for change Senators including Joel Villanueva, Ping Lacson, House of Representative Salceda,	Endorse	3	1	DOST
Consultant on R&D funding	Consultant	3	1	
internal policy	Policy	2	1	MSME
Collaboration and Entrepreneurship got a lot of discussion with STRIDE and SUCs. Made SUCs collaborate more than before after launching the PISI made SUCs collaborate, Program, a two-year program with STRIDE and PASUC – strengthened	Collaboration	3	1 entrepreneurship	PASUC
Entrepreneurship – the importance of R&D reaching the commercialization stage. SUCs should not stopped at doing research output in the laboratories but to commercialize the products of research.	Commercialization	3	1	PASUC

STRIDE provided PASUC with technical knowledge to source fund, guided SUCs to source research funds from various sources, including foreign funding sources. STRIDE shared insights on how to source funds, insights on how to source out funds	Technical knowledge	3		PASUC
STRIDE gave insights on/crafting research agenda – first and foremost in research agenda setting and in the development of research manual. Some SUCs do not ave research manual.	Capacity building	1	1	PASUC
R and D for DTI. Agenda-commercialization, conduct of market studies, feasibility study, private sector sometimes says that this not what we need. DTI is in a good position to carry out the market studies	R&D to increase funding	3		DTI
Wala pang lumabas na concrete product arising from the RIICs, but Support IPR, patent, protect	Technical assistance	3	1	DTI
More than 90 officers and staff from universities and research development institutions gained knowledge and new perspectives on the conduct of research and innovation activities in collaboration with the industry	Capacity building	1	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
The Alliance of TechTransfer Professionals of the Philippines (AToP) was formally launched on November 27, boosting sustainability in the objectives and activities championed by the STRIDE-supported KTTO mechanism	Partnerships	1	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
STRIDE and the Philippine Association of State Universities and Colleges (PASUC) released initial findings on the current state of research- and innovation-readiness of Philippine state universities and colleges (SUCs).	Assessment	1	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
STRIDE and the University of the Philippines (UP)–Diliman signed a memorandum of understanding (MOU) to formalize a partnership toward improving UP–Diliman’s R&D procurement process, marking a significant milestone in efforts to institutionalize reforms in R&D procurement.	Partnerships	1	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
UP–Diliman’s College of Science, which receives over 1 billion Philippine pesos (PhP) worth of external R&D funding and produces 55% of journal publications in UP–Diliman and 22% of the UP system.	HEI Capacity building	1	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)

Seventeen senior level officials from the Department of Science and Technology (DOST), Department of Trade and Industry (DTI), and the Intellectual Property Office of the Philippines (IPOPPL) completed the Strategic Foresight training, which sought to help government leaders prepare for uncertain operational futures	Capacity building	3		STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
DTI, DOST, and STRIDE jointly announced the government’s Filipinnovation branding initiative at the first day of the virtual Inclusive Innovation Conference that was held October 20–22, 2020.	Collaboration	2		STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
STRIDE and its partners from the government, industry, and academe have worked together to enable the establishment of four new RIICs in expansions sites, which include Cagayan Valley (Region 2), Central Luzon (Region 3), Calabarzon (Region 4A), and Zamboanga (Region 9).	Collaboration	3	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
STRIDE provided DOST with technical assistance in virtually mounting the 5th National Research and Development Conference (NRDC). Held November 9–11, this year’s NRDC adopted the theme, “R&D: Making Change Happen,” which is also the theme for DOST’s R&D communication campaign. It highlighted R&D programs in the fields of health.	Technical assistance	3	1	STRIDE Q1 Report FY 2021 report (Oct – Dec 2020)
This quarter, it was given another full year and \$1.5 million to consolidate gains made by the country in creating a dynamic innovation ecosystem.	R&D funding	3	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)
USAID Mission Director Lawrence Hardy II announced the extension of STRIDE to an 8-year program with an additional \$5 million allocation	R&D funding	3	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)
Polytechnic University of the Philippines (PUP) joins the growing number of STRIDE-supported Philippine universities offering a Professional Science Master’s (PSM) program	Curriculum	1	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)
On March 31, PUP launched its new PSM program on Railway Engineering Management which was co-developed with the Department of Transportation–Philippine Railways Institute (DOTr–PRI) and local railway operators.	Curriculum	3		STRIDE QR 2 Report FY2021 (Jan-March 2021)
This quarter, the PUP, which hosts 60,000 students annually, and	Capacity Building	1		STRIDE QR 2 Report FY2021 (Jan-March 2021)

the six satellite campuses of the University of Science and Technology of Southern Philippines (USTP) undertook STRIDE’s career center training

STRIDE and the Philippine-American Academy of Science and Engineering (PAASE) joined forces to strengthen the research and innovation capabilities of HEIs in the Philippines	HEI Capacity	1		STRIDE QR 2 Report FY2021 (Jan-March 2021)
Under the MOU, both parties will work to (1) develop and deliver courses under the Skills in Technical and Advanced Research Training (START) Center	Collaboration	1		STRIDE QR 2 Report FY2021 (Jan-March 2021)
UP Diliman–College of Science (CS) with support from STRIDE organized the “BUILD UP: Project Management and Procurement Workshop” as part of efforts to improve the university’s procurement capability	Procurement	2		STRIDE QR 2 Report FY2021 (Jan-March 2021)
STRIDE and the University of the Philippines (UP)–Diliman began operationalizing the institutional partnership that both parties inked in December 2020.	Partnership	1	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)
Held in March 2021, the workshop discussed process workflows for different modes of R&D procurement and presented the status of the CS Procurement Database, which STRIDE is working on. More than 80 project leaders and CS research staff joined the workshop.	Government capacity	3	capacity on procurement processes -	STRIDE QR 2 Report FY2021 (Jan-March 2021)
Around 170 actors and partners from the government, local universities, and industries exchanged best practices and learning on the Philippines’ Regional Inclusive Innovation Center (RIIC) initiative. On February 4, STRIDE in partnership with the Department of Trade and Industry (DTI) and the Department of Science and Technology (DOST) held the RIIC Learning Assembly to discuss accomplishments and ways forward across eight RIIC sites	Collaboration	3	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)
In Central Luzon, RIIC partners have launched an innovation program, designed by STRIDE, dubbed the “Technological Hive of Regional Innovation for a Vibrant Ecosystem” or THRIVE Central Luzon. The THRIVE Program will be hosted by Bulacan State University (BuSU) and is envisioned to strengthen collaboration and convergence among innovation players in the region.	Collaboration	3	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)

The DOST institutionalizes the creation of the DOST R&D Communications Team (R&D Comms). In March, DOST Secretary Fortunato de la Peña signed a Special Order (S.O) formally creating the R&D Communications Team under the leadership of Undersecretary Rowena Cristina Guevara	Government capacity building	3	1	STRIDE QR 2 Report FY2021 (Jan-March 2021)
A STRIDE senior consultant is now the Assistant Secretary of Innovation and Competitiveness at DT, Dr. Napoleon Juanillo, Jr.	Government capacity building	3		STRIDE QR 2 Report FY2021 (Jan-March 2021)

Tagged KII national level questions

- KII National 2.1 question (IR1- linkages & institutionalization, IR2-policy, IR3-technical assistance
- KII National 2.1 question (IR1- linkages & institutionalization, IR2-policy, IR3-technical assistance
- KII National 2.2.1
- KII National 2.2.4 CHED-N/A, NEDA-N/A, PASUC-N/A, MSME-N/A, DOST-N/A
- KII National 2.2.5 CHED-N/A, NEDA-N/A, PASUC-N/A, MSME-N/A
- KII National 2.2.7 CHED-N/A, MSME-N/A

Note: Frequency count on IRs here and create theme on specific IR that had the strongest link to achieving the development goal of inclusive growth

2.2 Are HEIs **addressing the underlying obstacles impeding, and opportunities** needed to achieve, sustained improvements in the innovation sector? (Effectiveness, IR1 learning question in the AMELP.) Did faculty and staff experience any unintended effects?) (I)

Capta source

- HEI KIIs
- Survey questions

2.3 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, improved incentives for incentives, improved policies for extension services) has STRIDE made the greatest impact? (Effectiveness, IR3 learning question in the AMELP.) (A)

MECHANISMS (PROCUREMENT, IMPROVED INCENTIVES FOR INCENTIVES, IMPROVED POLICIES FOR EXTENSION SERVICES) OF STRIDE THAT MADE THE GREATEST IMPACT

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
Under the CRADLE Program – USE developed a disease surveillance system for Hijos Banana Plantation with 100 ha. Millions were saved for targeted spraying	Procurement		DOST
Finalize the agreement with Cauayan, Isabela.	Collaboration		DOST
First batch of projects under FEC (documents are with Richard)	Collaboration		DOST
Development of the Electronics Industry Road map supported by STRIDE	Forward looking		MSME
Collaboration and Entrepreneurship got a lot of discussion with STRIDE and SUCs. Made SUCs collaborate more than before after launching the PISI made SUCs collaborate, Program, a two-year program with STRIDE and PASUC – strengthened	Collaboration	1	PASUC
Entrepreneurship – the importance of R&D reaching the commercialization stage. SUCs should not stopped at doing research output in the laboratories but to commercialize the products of research.	entrepreneurship	1	PASUC
RIICS	Collaboration	1	DTI
The funding from STRIDE supplemented and complemented the research development extension budget from the government.	R&D funding	1	CHED
The collaboration activities such as workshops and summits enable CHED to touch base with fellow researchers and experts in their field, therefore creating a more meaningful interaction.	Collaboration	1	CHED
The project at the time of Dr. Licuanan, they were able to craft new policies on R&D.	Policy	1	CHED

Tagged KII national level questions

KII National 2.2 question- NEDA-NA

KII National 2.2.4 CHED-N/A, NEDA-N/A, PASUC-N/A, MSME-N/A, DOST-N/A

KII National 2.2.5 CHED-N/A, NEDA-N/A, PASUC-N/A, MSME-N/A

2.4 How have **RIICs contributed to change in the innovation ecosystem?** (Effectiveness, IR3 learning question in the AMELP.) What factors strengthened linkages and collaboration between government, industry, and academe in the innovation ecosystem? (C) Write-up from Dr. Cecile

Capta source

FGD questionnaire

2.5 In what **ways have HEIs and RDIs improved their R&D grant processes?** (Effectiveness, IR1 learning question in AMELP.) (I)

WAYS OF HEIS AND RDIS TO IMPROVE THEIR R&D GRANT PROCESSES

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
To some extent, STRIDE provided PASUC with technical knowledge to source fund, guided SUCs to source research funds from various sources, including foreign funding sources. STRIDE shared insights on how to source funds, insights on how to source out funds	Technical knowledge		PASUC
R and D may have in the future. Market studies, feasibilities R and D for DTI. Agenda-commercialization, conduct of market studies, feasibility study, private sector sometimes says that this not what we need. DTI is in a good position to carry out the market studies- to accompany the	Market study		DTI

The funding from STRIDE supplemented and complemented the research development extension budget from the government. Financial assistance

1

CHED

Tagged KII national level questions

KII National 2.2.1 (IR3), 2.2.3 question- NEDA-N/A, PASUC-N/A, MSME-N/A, DOST-N/A

HEI KII

Regional KII

Survey questions

ANNEX G

EFFECTIVENESS REGIONAL.1

2. Effectiveness

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate? (Technical assistance and its various forms, strengthening links between innovation stakeholders, policy improvements, institutionalization of STRIDE capacity-building programs)

- technical assistance and its various forms

TECHNICAL ASSISTANCE AND ITS VARIOUS FORMS					
CODES	RESPONSES	COUNT	KI	CATEGORY	THEME
Technical Assistance	I can feel the technical assistance in IBR and through FGDs; mapping IBR	6	DTI 7	Sharing of tools learned from STRIDE	Technical assistance as the venue to adopt the tools shared by STRIDE to guide the MSMEs, government and partner academe to recover from uncertainties like the pandemic.
Technical Assistance	Facilitate technical assistance			DOST 7	
Technical Assistance	Provided guidance and facilitated discussions and FGDs, and workshops to come up with a framework for the coffee industry			DOST 4-A	
Technical Assistance	Please explain the ranking I am not sure if our exposure to Israel will be considered			DOST 10	
Technical Assistance	The technical assistance would really focus on the adoption of the STRIDE tools that were shared to us, for example the Ideation Workshop tools as initiated by STRIDE. We also introduced the Bridge Program under OROBEST. The Bridge Program guided the MSMEs to help them recover the effects of pandemic, through the initiatives of STRIDE and partners, Xavier University and Ateneo de Manila. Actually, this is ongoing with OROBEST and Jill (one of the DTI representatives who are present during the interview) is part of the technical working group which regularly conducts this Bridge Program. They			DTI 10	

	usually assess the problems of a certain MSME, and they come up with a plan for business recovery				
Technical Assistance	Champions on the local government unit? In Cagayan de Oro, it is Councilor Goking. I already tried to ask him. He is supportive but what is see is, there a gap because of the lack of competence of his staff and an ordinance that will capture. Just 2 weeks ago, Councilor Nacaya just finished his Ph.D., he called for a meeting and wanted to have research on Cagayan de Oro and we talked about the innovation. I think he can be a good champion as well		DOST 10		
Capacity building	Enhances the capacity of the STI stakeholders to pursue innovation	4	DOST 4-A	Includes workshops, conferences, and related fora to pursue innovation among stakeholders	Attendance to workshops, conferences, and other related fora not only enhances the capacity of the partners but also where linkages are established, and commitments are documented.
Capacity building	Provided guidance and facilitated discussions and FGDs, and workshops to come up with a framework for the coffee industry		DOST 4-A		
Capacity building	STRIDE brought the stakeholders together for the coffee industry. Formal linkage is the greatest where commitments are documented for the industry to work		DTI 10		
Capacity building	The technical assistance would really focus on the adoption of the STRIDE tools that were shared to us, for example the Ideation Workshop tools as initiated by STRIDE. We also introduced the Bridge Program under OROBEST. The Bridge Program guided the MSMEs to help them recover the effects of pandemic, through the initiatives of STRIDE and partners, Xavier University and Ateneo de Manila. Actually, this is ongoing with OROBEST and Jill (one of the DTI representatives who are present during the interview) is part of the technical working group which regularly conducts this Bridge Program. They usually assess the problems of a certain MSME, and they come up with a plan for business recovery. In		DOST 4-A		

the plan, it identifies the intervention areas, whether it is for DTI or DOST. This is the whole process being shared by STRIDE as far as this assessment tool that they are introducing. Of course, the networking and collaboration with the methodologies that they are sharing until now. That is as far as the technical assistance of STRIDE.

Collaboration	RIIC is the mechanism where NEDA is one of the signatories as secretariat of the RDC. RDC provides venues for interventions, regional development planning, approval of STI related projects, allocates funding, conduct of annual regional statistics forum. Given the STRIDE project, the signatories of the RIIC are also members of the RDC. Thus, harmonize mechanism, convergence and collaboration.	2	NEDA 4-A	Collaboration harmonizes the mechanisms on how the RIIC can serve as venue for technology innovations.
Collaboration	STRIDE is successful in convincing RIIC and RDC on the value of RIIC; One is the FabLab in the University of Rizal System where all the food products of the MSMEs are processed. It has the latest state of the art laboratory on food processing.		DTI 4-A	
Assessment	NEDA as an external evaluator of Community Empowerment through Science and Technology (CEST) of DOST, Competitive Municipalities and Cities Index (CMCI) – innovation pillars or innovation matrix to gauge the performance of LGUs when it comes to STI. DTI in partnership with SUCs disseminate information while NEDA helps in the data gathering from the LGUs		NEDA 4A	The M&E practice can also be used to gauge the performance of RIIC

- strengthening links between innovation stakeholders

STRENGTHENING LINKS BETWEEN INNOVATION STAKEHOLDERS					
CODES	RESPONSES	COUNT	KI	CATEGORY	THEME
Capacity Building	Strengthening the link with DOST	8	DTI 7	Includes training to pursue innovation among stakeholders	Capacity building strengthens the links among partners. Funding is needed for joint activities to sustain the link.

Capacity Building	strengthening links between innovation stakeholders		DOST 4-A
Capacity Building	RDC provides the venue for exchanges on STI- related projects. Projects included in the Regional Development Plan are reviewed and approved by RDC and where budgets are allocated.		NEDA 4-A
Capacity Building	The RIIC supports the existing RDC mechanisms and focusing on the MSMEs, with the DTI representing the industry and STI in the RDC. Thus, it is easier to endorse the policy to the RDC.		DTI 4-A
Capacity Building	Explained already - collaboration and partnerships		DOST 7
Capacity Building	DOST, DTI and the academe partnership		DTI 7
Capacity Building	STRIDE brought the stakeholders together for the coffee industry. Formal linkage is the greatest where commitments are documented for the industry to work		DOST 4-A
Capacity Building	Enhances collaboration among STI stakeholders for a more cohesive, effective and synergistic efforts towards innovative economy.		NEDA 10
Funding	RDC provides the venue for exchanges on STI- related projects. Projects included in the Regional Development Plan are reviewed and approved by RDC and where budgets are allocated. Annual regional research statistics and innovation forum is being done annually under the RDC and the latest under the RIIC.	1	NEDA 4-A

- Policy improvements

POLICY IMPROVEMENTS						
CODES	RESPONSES	COUNT	KI	CATEGORY	THEME	
Technical knowledge	We have reached the RDC, nakapasok na kami sa policy since the RDC is supporting RIIC. The support is now formalized, thus facilitating the discussion on the RIIC proposals.	3	DOST 4-A	Includes workshops, conferences, and related fora to pursue innovation	Technical knowledge on innovation in support to policy improvements	

Technical knowledge	We have been talking about innovation since time immemorial but this time it has become an intrinsic part of the RDC. RIIC is an example to showcase that innovation is a must.	DTI 4-A
Technical knowledge	RDC is the highest policy making body which advocate technologies – endorses new technologies. There are resolutions to adopt the technologies that are disseminated through the concerned agencies. RIIC is always there when STI concerns are needed to be included and discussed in the agenda of the RDC.	NEDA 4-A

- institutionalization of STRIDE capacity-building programs

INSTITUTIONALIZATION OF STRIDE CAPACITY-BUILDING PROGRAMS					
CODES	RESPONSES	COUNT	KI	CATEGORY	THEME
Technical knowledge	STRIDE was endorsed by RDC where investment promotion and academe industry linkage are included in their activities as well as the webinar by DICT [Department of Information and Communication Technology] and the Regional Research Agenda for 2018-2022.	4	NEDA 4-A	Includes workshops, conferences, and related fora to pursue innovation	The technical knowledge shared by STRIDE motivated national partners to cascade innovations on new fields like data science, artificial intelligence, and block change
Technical knowledge	I can directly link the intention of DOST to enhance IE. Outside of STRIDE there were efforts to cascade the innovations to the regional office such as calling meetings for new fields to enter like AI, data science, and block change technology or focus. These are discussed during the Management Committee meeting of the DOST Calabarzon attended by the provincial directors.		DOST 4-A		
Technical knowledge	AT DOST Central Office, one innovation is the one repository of all project proposals for funding was created under the BMPS [DOST Project Mgt Information System]. When there is call for proposal all the submissions are coursed through this portal and project proponents can visit the website to monitor the progress of their submission. It also facilitates the evaluation process that the staff of		DOST 4-A		

	Usec Guevara can monitor how many proposals were submitted.			
Technical knowledge	We are not applying what we have learned yet. We have knowledge on innovation and innovation ecosystem, but we have not applied it on our own. The concept on innovation mapping para sa other commodities are head knowledge pa		DOST 4-A	
Collaboration	Republic Act 11293 (Philippine Innovation Act) and Republic Act 11337 (Innovation Start Up Act) provide the enabling laws that foster innovation in the country as a vital component of national development and sustainable economic growth and harness innovation efforts to help the poor and the marginalized and enable micro, small and medium enterprises (MSMEs) to be part of the domestic and global supply chain.	1	NEDA 10	Cooperation with other agencies but not bounded by contract.
Government capacity	Ensures sustainability of the outcome of policy improvement, technical assistance, and strengthen linkages of all innovation stakeholders	1	NEDA 10	
Knowledge source	STRIDE was able to come up with several policy manuals.	1	DOST 7	

2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact?

MECHANISMS (PROCUREMENT, R&D FUNDING, INTELLECTUAL PROPERTY POLICY, COLLABORATION, ENTREPRENEURSHIP) OF STRIDE THAT MADE THE GREATEST IMPACT

CODES	RESPONSES	COUNT	KI	CATEGORY	THEME
Funding	STRIDE contribution is the discussion on how to tap various R&D funding sources to help RIIC.	7	DOST 4-A	Funds for innovation-related activities	STRIDE has been instrumental in tapping funds for R&D and extension activities, strengthening the collaboration among partners, and policy improvements.

Funding	In the case of Region X, STRIDE may have made the greatest impact on collaboration and R&D funding.	NEDA 10
Funding	Availability of more R&D funding has been facilitated by implementation of STRIDE in the Philippines. Apart from the R&D funding directly provided by STRIDE, through its collaboration with various agencies of the Philippine Government, it induced availability of funding from these agencies.	NEDA 10
Funding	For example, DOST-Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) granted 25.5 million pesos to the program “ μ C-IC: Design of Microcontroller Integrated with Energy Harvesting and Power Management.” The program ran for three years from March 2017 to March 2020.	NEDA 10
Funding	USAID-STRIDE provided research grant to Electronics Engineering faculty of MSU-IIT for the project entitled “Optimized chip implementation of indoor energy harvesting for sensor network and battery recharging.” The grant allowed for the extension of the licenses of the integrated circuits (IC) design tools currently being used by the MicroLab. With this, the MicroLab continues to operate as the Virtual Center of Microelectronics in Mindanao recognized by the Department of Science and Technology (DOST). The project ran from May 1, 2015, to April 30, 2016.	NEDA 10
Funding	Another USAID-STRIDE grant was provided to MSU-IIT in 2021 for a research project that focused on the conversion of waste from coconut oil processing into an economically viable substitute to imported chemicals used in insulating foam production, while also creating a higher-value pathway for the by-products of the researchers’ industry collaborator (Chemrez Technologies, Inc. - a Philippine-based manufacturer of powder coatings).	NEDA 10
Funding	The DOST-X provided P2.3 million worth of R&D funding to University of Science & Technology of Southern Philippines (USTP-CDO) in 2020. The two R&D projects of USTP resulted from the Ideation Activity of OROBEST Innovation Program otherwise known as Optimizing Regional Opportunities for	NEDA 10

	Business Excellence thru Science, Technology and Innovation Program. OROBEST collaboration program is STRIDE-supported.			
Collaboration	There is collaboration.	6	DOST 4-A	Cooperation with other agencies
Collaboration	Collaboration, entrepreneurship, and intellectual property policy. STRIDE has been very particular with intellectual property policy, you have to describe this to your partner, what is your policy para at the start you already know what your limitations are and what are your ganun, so if you want to collaborate you already know these things. You need to be transparent. If you don't have intellectual property policy, then you cannot start collaboration. If you were able to generate something, then it would be clear to understand who owns it. I think they don't have the Intellectual Property Transfer Office, but now many are encouraged. STRIDE helped in the IPTO.		DOST 7	
Collaboration	Then the capital outlay limit of 15,000 is a problem also because researchers usually go beyond this. Research is different from normal office operations. Sometimes research is dependent on the season so that is a problem as well.		DTI 10	
Collaboration	Collaboration, Intellectual Property Right (IPR) policy is part of the RIIC		DTI 4-A	
Collaboration	I think collaboration, particularly with Academe. Collaboration with the academe		DTI 7	
Collaboration	Evident in terms of collaboration through various fora, meetings related to STI. The RDC and RIIC – are consistent with the project objectives of STRIDE.		NEDA 4-A	
Policy	Collaboration, IP policy- have to describe to your partner, what is the IP policy, to know what the limitations are, and for transparency. STRIDE says that IP policy is needed, and clear to all partners. University has to present. Tripartite then needs to have transparent IP policy. STRIDE helped univ to have IP transfer service office. (ITSO)	2	DOST 7	
Policy	Collaboration, Intellectual Property Right (IPR) policy is part of the RIIC		DTI 4-A	

Branding	On IP – RIIC Calabarzon has branding, trademark so that RIIC can claim Calabarzon.	1	DOST 4-A
Procurement	STRIDE is the opportunity to share the best practice on procurement, champions on procurement, organized meeting with the DBM procurement unit on GPPD, and also invited govt institutions that shared their best practice.	1	DOST 4-A
R&D	I think it is on Entrepreneurship and R and D funding, because the intervention has led to quality of proposals.	1	DOST 10

2.2.2 What are some of the challenges for doing industry- responsive innovative research?

CHALLENGES FOR DOING INDUSTRY- RESPONSIVE INNOVATIVE RESEARCH

CODES	RESPONSE	COUNT	KI	CATEGORY	THEME
Policy	Changing of the policy, Phil Innovation Act through IP policy, established innovation centers, to assist inventors and entrepreneurs, established the techno transfer board in the region, products to be transferred fairness opinion board. RDC nag initiate, Regional Development Innovation Committee.	2	DOST 7	Changes in the implementation of policies	Industry-responsive innovative research is challenged by the changing policies, delays in the purchase of equipment, facilities, supplies, and services due to problems in procurement, and the lack of time of teachers to actively engage in research due to teaching overload
Policy	Yung protecting the product through IP policies. We already encourage protection and the institutionalization of IP policies. There are already some innovation centers done by the government, DOST has already established these already to assist our inventors and entrepreneurs. We have established the part of the innovation technology transfer we have established the “Opinion Board”. When we have a set of products to be marketed, we need the advice of the “Opinion Board”. In RDC, we have initiated to have a regional innovation committee to be part of the RDC. These are all done to support the Philippine Innovation Act.		DOST 7		

I ask this question in the context of the changing policies, given the national policy now would there be some minimal changes at the regional level when it comes to operational policies? - from the RDC? – Agnes Commented [10]: DOST Secretary

Teaching load of the academe	I had those fablabs and we're already doing with MSMEs prototype but it's not really on research. When we say industry-responsive innovative research, to me, the challenges are really with the academe's schedules. They're really busy. I have a problem with my fablabs, I have fablabs in three Cebu Technological Campuses I am pushing them. We have already put in millions of pesos in their equipment, but they have not been providing innovation because they do not have time. I do not have a problem working with the Academe, but they are just very busy	2	DOST 10	Teaching overload
Teaching load of the academe	Maybe the teaching load of the faculty will reduce (de-loading). We had mentoring activities. I talked to the participants, and they said that they lack time and hopefully their loads will be reduced. This could be a policy in CHED. I asked the university on how much they allocate for Research and Development, they allocate only small budget, some only 1%.		DTI 7	
Procurement	There must be a separate policy on procurement for research and development. Procurement is a problem in the R & D. There is a need for supplies and researchers cannot for two months, the most is two weeks. Then the capital outlay limit of 15,000 is a problem also because researchers usually go beyond this. Research is different from normal office	2	DOST 7	Purchase of equipment, supplies, and services
Procurement	As usual there are delays especially now that there is a pandemic. Though we supported research proposal under USTP in developing specific machines for food processing. There are delays that they find it hard on the process of procurement (e.g., parts). And then, the alignment dynamics for startups. We understand that there is a gestation period. Sometimes we find it hard to pay. Our COA observation is increasing. The new DOST Usec for Regional Operations, Usec Sancho Maborang and I talked about it, and I asked if there is a possibility that the guidelines will be amended. Though there are no interest charges but there is strict implementation of the amortization. If you miss it, there will be restructuring and penalties.		DOST 10	
Entrepreneurship/ Commercialization	MSEs are finding ways through research and development to strengthen their operations but have difficulties focusing on	2	DTI 4-A	

	research and development because of the pandemic. One stockholder is an industrial engineer who manually fabricated their equipment asked the help of DOST. DOST has programs on company led technology.	
Entrepreneurship/ Commercialization	Laguna MSMEs collaborated with a school- and took courses relevant to their company's products	DTI 10

2.2.3 What still needs to be done in R&D grant's policies to promote an improved innovation ecosystem?

NEEDS TO BE DONE IN R&D GRANT'S POLICIES TO PROMOTE AN IMPROVED INNOVATION ECOSYSTEM					
CODES	RESPONSE	COUNT	KI	CATEGORY	THEME
Policy	I think we already have good policies in DOST. It is flexible. Our grant in aid for research is not limited to government institutions, even private research and companies can avail of the grant. So tinitingnan niya how can we really be relevant or how can we improve innovation? I am just not sure if this will be changed with the shift of administration. Sa mga prominent bills, kailangan may implementing rules and regulations. Good policy in R and D, Usec Gev, makes relevant to all, even private research and companies get money from DOST.	2	DOST 7	Policy on research funds	The DOST policy in research grants are accessible to both private and public institutions.
Policy/R&D	Local GIA funds go to MSME, encourage R and D needs of the region. Specific R and D can be funded, projectized by phase. Prioritization is needed. Convergence ang pag identify ng priority, then DTI and DA priority ay coffee din. Innovation funding, DTI wala ng problem. There are issues on overlap programs but can still be resolved.		DOST 4-A		

2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?

CONTRIBUTION OF STRIDE IN IMPROVING POLICY ENVIRONMENT ON PROCUREMENTS OF R&D-RELATED TRANSACTIONS					
CODES	RESPONSE	COUNT	KI	CATEGORY	THEME

Procurement	There are improvements in the implementation of the procurement law. There are options which facilitate procurement for highly technical or specialized R&D project, but I am not sure it if was due to STRIDE. The region follows the national law. Ang pupuntahan ng STRIDE ay ang DBM because we follow DBM.	2	DOST 4A	Purchase of equipment, supplies, and services	With the procurement law, partners have to follow its provisions.
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2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)

STRIDE INTERVENTIONS INFLUENCED THE IMPROVEMENT OF EXISTING RULES AND GUIDELINES ON GENERATING BIDS AND QUOTATIONS FOR R&D ITEMS/ EQUIPMENT IN YOUR INSTITUTION

CODES	RESPONSE	COUNT	KI	CATEGORY	THEME
Procurement	Even if STRIDE extends help to DOST region, we cannot still move or adopt any suggestion because of the national law on procurement. So far, there is no intervention, yet.		DOST 4A		With the procurement law, partners have to follow its provisions.

2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?

NEEDS TO BE DONE IN PROCUREMENT POLICIES TO PROMOTE AN IMPROVED INNOVATION ECOSYSTEM

CODES	RESPONSE	COUNT	KI	CATEGORY	THEME
Procurement	There must be a separate policy on procurement for research and development. Procurement is a problem in the R & D. There is a need for supplies and researchers cannot for two months, the most is two weeks.		DOST 7	Buying/acquisition of equipment, facilities, supplies, and services	All need to follow the procurement law but buying/acquisition can be facilitated by having a detailed database on the of supplies, equipment, and facilities; and directory of partners including their skills and backgrounds by industry.

Procurement	On shared services facilities program, our challenge is to have information on the service providers. These are administrative matters which are very important. We want to know who the suppliers of these specific equipment are, specifications, models, and we also want to have technical persons to evaluate this equipment. Sometimes, if it is not in our team, we can source out other resource person from outside. We also have in our institutional structure; we have Regional Technical Working Group for SSF. One of the chairs is the president of the Oro Chamber and we have representatives from the academe and also from the Metalworking Industries Association of the Philippines (MIAP), Misamis Oriental Chapter, the engineers are also there to help us evaluate the project, we also have from Xavier University.	DTI 10
Procurement/database	Maybe something that needs to be improved is to come up with a directory that includes academe partners with their skills and backgrounds in a particular industry.	DTI 7
Procurement	Many. There is need for huge improvement because innovation cannot wait. There is time element when it comes to research. Research/innovation is not a normal [regular] service being provided that is predictive. It cannot be boxed because it follows a process based on the outputs of activities. There are certain protocols that are responsive unique to the process of promoting the innovation because the results are not boxed. Can plan but you should respond to the output of what was done.	DOST 4-A

2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?

STRIDE INTERVENTIONS INFLUENCED THE IMPROVEMENT OF INTERNAL POLICIES AND MANUALS IN YOUR INSTITUTION ON INTELLECTUAL PROPERTY RIGHTS						
CODES	RESPONSE	COUNT	KI	CATEGORY	THEME	
Branding	It is through the RIIC which crafted the branding for recall of the stakeholders. Meron nang konting initiatives for protection - MSMEs trademarking of their name. We also help SUCs by facilitating the seminars and initiatives to talk about IP protection.	1	DOST 4-A	Putting a name on the RIIC for easy recall	The influence of STRIDE is demonstrated in naming the RIIC for easy recall, promotion of intellectual property	

				rights at the region, and improvement in mapping of resources for better linkages not only on technology innovation but also in other fields.
IPR	DOST 4A is starting up on IPR. Unti-unti nang ibinababa na sa region on how to promote intellectual property promotion among the stakeholders. Before, IPR is being handled specifically by each agency. With the IPR Law, it was downloaded to the region. We handle technology application and promotion.	1	DOST 4-A	
Technical Assistance	STRIDE did not influence us to change policies, but there was an improvement such as mapping of resources which was very important to us so we would know what would be needed i.e., physical or manpower resources, would know what the physical manpower are, improve mapping, linking, aligning, consolidation of resources. We already had an initial policy, but we are improving on this through the influence of STRIDE. We are doing this to other sectors as well.	1	DOST 7	

ANNEX G

EFFECTIVENESS REGIONAL.2

2.1. Which of the following STRIDE strategies contributed more to the improved capacity to innovate in your university? Rank among the following: Strategies, technical assistance and its various forms, strengthening links between innovation stakeholders, Policy improvements, and Institutionalization of STRIDE capacity building programs

STRIDE STRATEGIES CONTRIBUTED MORE TO THE IMPROVED CAPACITY TO INNOVATE IN YOUR UNIVERSITY							
Theme	National =		HEI =		Regional		Responses
	f	%	f	%	f	%	
Technical assistance as the venue to adopt the tools shared by STRIDE to guide the MSMEs, government and partner academe to recover from uncertainties like the pandemic.					6		<p><i>"I can feel the technical assistance in IBR and through FGDs; mapping IBR." – DTI 7</i></p> <p><i>"Provided guidance and facilitated discussions and FGDs, and workshops to come up with a framework for the coffee industry" - DOST 4-A</i></p> <p><i>"The technical assistance would really focus on the adoption of the STRIDE tools that were shared to us, for example the Ideation Workshop tools as initiated by STRIDE. We also introduced the Bridge Program under OROBEST. The Bridge Program guided the MSMEs to help them recover the effects of pandemic, through the initiatives of STRIDE and partners, Xavier University and Ateneo de Manila. Actually, this is ongoing with OROBEST and Jill (one of the DTI representatives who are present during the interview) is part of the technical working group which regularly conducts this Bridge Program. They usually assess the problems of a certain MSME, and they come up with a plan for business recovery" - DTI 10</i></p>

“Champions on the local government unit? In Cagayan de Oro, it is Councilor Goking. I already tried to ask him. He is supportive but what I see is, there a gap because of the lack of competence of his staff and an ordinance that will capture. Just 2 weeks ago, Councilor Nacaya just finished his Ph.D., he called for a meeting and wanted to have research on Cagayan de Oro, and we talked about the innovation. I think he can be a good champion as well.” - DOST-10

<p>Attendance to workshops, conferences, and other related fora not only enhances the capacity of the partners but also where linkages are established, and commitments are documented.</p>	<p>4</p>	<p><i>“The technical assistance would really focus on the adoption of the STRIDE tools that were shared to us, for example the Ideation Workshop tools as initiated by STRIDE. We also introduced the Bridge Program under OROBEST. The Bridge Program guided the MSMEs to help them recover the effects of pandemic, through the initiatives of STRIDE and partners, Xavier University and Ateneo de Manila. Actually, this is ongoing with OROBEST and Jill (one of the DTI representatives who are present during the interview) is part of the technical working group which regularly conducts this Bridge Program. They usually assess the problems of a certain MSME, and they come up with a plan for business recovery. In the plan, it identifies the intervention areas, whether it is for DTI or DOST. This is the whole process being shared by STRIDE as far as this assessment tool that they are introducing. Of course, the networking and collaboration with the methodologies that they are sharing until now. That is as far as the technical assistance of STRIDE.” – DOST 4-A</i></p> <p><i>“STRIDE brought the stakeholders together for the coffee industry. Formal linkage is the greatest where commitments are documented for the industry to work.” – DTI 10</i></p>
<p>Collaboration that harmonizes the mechanisms on how the RIIC can serve as venue for technology innovations.</p>	<p>2</p>	<p><i>“RIIC is the mechanism where NEDA is one of the signatories as secretariat of the RDC. RDC provides venues for interventions, regional development planning, approval of STI related projects, allocates funding, conduct of annual regional statistics forum. Given the STRIDE project, the signatories of the RIIC are also members of the RDC. Thus, harmonize mechanism, convergence and collaboration.” - NEDA 4-A</i></p> <p><i>“STRIDE is successful in convincing RIIC and RDC on the value of RIIC; One is the FabLab in the University of Rizal System where all the food</i></p>

products of the MSMEs are processed. It has the latest state of the art laboratory on food processing.” - DTI 4-A

M & E Practice refers to M & E that can also be used to gauge the performance of RIIC	1	<p><i>“NEDA as an external evaluator of Community Empowerment through Science and Technology (CEST) of DOST, Competitive Municipalities and Cities Index (CMCI) – innovation pillars or innovation matrix to gauge the performance of LGUs when it comes to STI. DTI in partnership with SUCs disseminate information while NEDA helps in the data gathering from the LGUs” – NEDA 4-A</i></p>
Capacity building strengthens the links among partners. Funding is needed for joint activities to sustain the link.	8	<p><i>“Strengthening the link with DOST.” – DTI 7</i></p> <p><i>“Strengthening links between innovation stakeholders” – DOST 4A</i></p> <p><i>“RDC provides the venue for exchanges on STI- related projects. Projects included in the Regional Development Plan are reviewed and approved by RDC and where budgets are allocated.” – NEDA 4-A</i></p> <p><i>“STRIDE brought the stakeholders together for the coffee industry. Formal linkage is the greatest where commitments are documented for the industry to work” – DOST 4-A</i></p> <p><i>“Enhances collaboration among STI stakeholders for a more cohesive, effective and synergistic efforts towards innovative economy.” - NEDA 10</i></p>
Technical knowledge on innovation in support to policy improvements	3	<p><i>“We have reached the RDC, nakapasok na kami sa policy since the RDC is supporting RIIC. The support is now formalized, thus facilitating the discussion on the RIIC proposals.” - DOST 4-A</i></p> <p><i>“We have been talking about innovation since time immemorial but this time it has become an intrinsic part of the RDC. RIIC is an example to showcase that innovation is a must.” – DTI 4-A</i></p> <p><i>“RDC is the highest policy making body which advocate technologies – endorses new technologies. There are resolutions to adopt the technologies that are disseminated through the concerned agencies. RIIC is always there when STI concerns are needed to be included and discussed in the agenda of the RDC” – NEDA 4-A</i></p>

<p>The technical knowledge shared by STRIDE motivated national partners to cascade innovations on new fields like data science, artificial intelligence, and block change</p>	4	<p>STRIDE was endorsed by RDC where investment promotion and academe industry linkage are included in their activities as well as the webinar by DICT [Department of Information and Communication Technology] and the Regional Research Agenda for 2018-2022 – NEDA 4-A</p> <p>AT DOST Central Office, one innovation is the one repository of all project proposals for funding was created under the BMPS [DOST Project Mgt Information System]. When there is call for proposal all the submissions are coursed through this portal and project proponents can visit the website to monitor the progress of their submission. It also facilitates the evaluation process that the staff of Usec. Guevara can monitor how many proposals were submitted – DOST 4-A</p>
<p>Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)</p>	3	<p><i>“It’s easier to talk and to find partners now. We really see the value of collaboration, the value of IT and getting connected through networking only. So that’s a good factor.” - (R12)</i></p> <p><i>“Because that is collaborative and with great partnership with the government, industry and academe.” - (R10)</i></p>
<p>Behavioral Change. Shift in IE actors in terms of attitude and outlook on programmatic and institutional functions and processes.</p>	1	<p><i>“Commitment dedication and having one goal and that is to help our region. From start we are very clear that what direction we want and particularly with the RIIC we see it as an innovative approach that all our actions in the region will be implemented in the most efficient and organized and cost-effective way.” - (R10)</i></p>

2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact in your university? Please explain

2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your university?

EXTENT TO WHICH THE STRIDE INTERVENTIONS IMPROVE STRATEGIES TO INCREASE R&D FUNDING IN YOUR UNIVERSITY

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	
STRIDE has been instrumental in tapping funds for R&D and extension activities, strengthening the collaboration among partners, and policy improvements.					7		<p><i>“In the case of Region X, STRIDE may have made the greatest impact on collaboration and R&D funding” – NEDA 10</i></p> <p><i>“Availability of more R&D funding has been facilitated by implementation of STRIDE in the Philippines. Apart from the R&D funding directly provided by STRIDE, through its collaboration with various agencies of the Philippine Government, it induced availability of funding from these agencies.” – NEDA 10</i></p>
STRIDE has been instrumental in the cooperation with other agencies					6		<p>Collaboration, entrepreneurship, and intellectual property policy. STRIDE has been very particular with intellectual property policy, you have to describe this to your partner, what is your policy para at the start you already know what your limitations are and what are your ganun, so if you want to collaborate you already know these things. You need to be transparent. If you don’t have intellectual property policy, then you cannot start collaboration. If you were able to generate something, then it would be clear to understand who owns it. I think they don’t have the Intellectual Property Transfer Office, but now many are encouraged. STRIDE helped in the IPTO. – DOST 7</p> <p>Then the capital outlay limit of 15,000 is a problem also because researchers usually go beyond this. Research is different from normal office operations. Sometimes research is dependent on the season so that is a problem as well. – DTI 10</p> <p>Evident in terms of collaboration through various fora, meetings related to STI. The RDC and RIIC – are consistent with the project objectives of STRIDE. – NEDA 4-A</p>

2.2.2 What are some of the challenges for doing industry- responsive innovative research?

CHALLENGES FOR DOING INDUSTRY- RESPONSIVE INNOVATIVE RESEARCH

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	
Industry-responsive innovative research is challenged by the changing policies, delays in the purchase of equipment, facilities, supplies, and services due to problems in procurement, and the lack of time of teachers to actively engage in research due to teaching overload					2		<i>“Changing of the policy, Phil Innovation Act through IP policy, established innovation centers, to assist inventors and entrepreneurs, established the techno transfer board in the region, products to be transferred fairness opinion board. RDC nag initiate, Regional Development Innovation Committee.” – DOST 7</i>

2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?

NEEDS TO BE DONE IN R&D GRANTS POLICIES TO PROMOTE AN IMPROVED INNOVATION ECOSYSTEM

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	
The DOST policy in research grants are accessible to both private and public institutions.					2		<i>“I think we already have good policies in DOST. It is flexible. Our grant in aid for research is not limited to government institutions, even private research and companies can avail of the grant. So tinitingnan niya how can we really be relevant or how can we improve innovation? I am just not sure if this will be changed with the shift of administration. Sa mga prominent bills, kailangan may implementing rules and regulations. Good policy in R and D, Usec Gev, makes relevant to all, even private research and companies get money from DOST.” – DOST 7</i> <i>“Local GIA funds go to MSME, encourage R and D needs of the region. Specific R and D can be funded, projectized by phase. Prioritization is needed. Convergence ang pag identify ng priority, then DTI and DA priority ay coffee din. Innovation funding, DTI wala ng problem. There are issues on overlap programs but can still be resolved” – DOST 4-A</i>

2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?

CONTRIBUTION OF STRIDE IN IMPROVING POLICY ENVIRONMENT ON PROCUREMENTS OF R&D-RELATED TRANSACTIONS

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	
With the procurement law, partners have to follow its provisions.					2		<p>There are improvements in the implementation of the procurement law. There are options which facilitate procurement for highly technical or specialized R&D project, but I am not sure it if was due to STRIDE. The region follows the national law. Ang pupuntahan ng STRIDE ay ang DBM because we follow DBM.</p> <p>Even if STRIDE extends help to DOST region, we cannot still move or adopt any suggestion because of the national law on procurement. So far, there is no intervention, yet. – DOST 4-A</p>

2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)

STRIDE INTERVENTIONS INFLUENCED THE IMPROVEMENT OF EXISTING RULES AND GUIDELINES ON GENERATING BIDS AND QUOTATIONS FOR R&D ITEMS/ EQUIPMENT IN YOUR INSTITUTION

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	

2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?

NEEDS TO BE DONE IN PROCUREMENT POLICIES TO PROMOTE AN IMPROVED INNOVATION ECOSYSTEM

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	

All need to follow the procurement law but buying/acquisition can be facilitated by having a detailed database on the of supplies, equipment, and facilities; and directory of partners including their skills and backgrounds by industry

2

“There must be a separate policy on procurement for research and development. Procurement is a problem in the R & D. There is a need for supplies and researchers cannot for two months, the most is two weeks.”

– DOST 7

“In shared services facilities program, our challenge is to have information on the service providers. These are administrative matters which are very important. We want to know who the suppliers of these specific equipment are, specifications, models, and we also want to have technical persons to evaluate this equipment. Sometimes, if it is not in our team, we can source our other resource person from outside. We also have in our institutional structure; we have Regional Technical Working Group for SSF. One of the chairs is the president of the Oro Chamber and we have representatives from the academe and from the Metalworking Industries Association of the Philippines (MIAP) (to be checked), Misamis Oriental Chapter, the engineers are also there to help us evaluate the project, we also have from Xavier University.”– DTI 10

“Maybe something that needs to be improved is to come up with a directory that includes academe partners with their skills and backgrounds in a particular industry”– DTI 7

“Many. There is need for huge improvement because innovation cannot wait. There is time element when it comes to research. Research/innovation is not a normal [regular] service being provided that is predictive. It cannot be boxed because it follows a process based on the outputs of activities. There are certain protocols that are responsive unique to the process of promoting the innovation because the results are not boxed. Can plan but you should respond to the output of what was done.”– DOST 4-A

2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?

WAYS OF STRIDE INTERVENTIONS THAT INFLUENCED THE IMPROVEMENT OF INTERNAL POLICIES AND MANUALS IN YOUR INSTITUTION ON INTELLECTUAL PROPERTY RIGHTS

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	
The influence of STRIDE is demonstrated in naming the RIIC for easy recall, promotion of intellectual property rights at the region, and improvement in mapping of resources for better linkages not only on technology innovation but also in other fields.							<p>It is through the RIIC which crafted the branding for recall of the stakeholders. Meron nang konting initiatives for protection - MSMEs trademarking of their name. We also help SUCs by facilitating the seminars and initiatives to talk about IP protection. – DOST 4A</p> <p>STRIDE did not influence us to change policies, but there was an improvement such as mapping of resources which was very important to us so we would know what would be needed i.e., physical or manpower resources, would know what are the physical manpower, improve mapping, linking, aligning, consolidation of resources. We already had an initial policy, but we are improving on this through the influence of STRIDE. We are doing this to other sectors as well. – DOST 4-A</p>

ANNEX G.2 EFFECTIVENESS

LINKAGES AND COLLABORATION AS STRATEGIES IN PROMOTING A WHOLE OF GOVERNMENT AND COMMUNITY APPROACH		
	National	Responses
Linkages	HEI	<i>“Linkages with stakeholders (the government, industry chamber, MSMEs, etc.) have been rewardingly promoted to converge knowledge assets to sustain local development.” (CITU)</i>
	Regional	<i>“RIIC is the mechanism where NEDA is one of the signatories as secretariat of the RDC. RDC provides venues for interventions, regional development planning, approval of STI related projects, allocates funding, conduct of annual regional statistics forum. Given the STRIDE project, the signatories of the RIIC are also members of the RDC. Thus, harmonize mechanism, convergence and collaboration.” (Region 10 DTI)</i>
	GIA	<i>Region 3 Government (PSTC DOST-Pampanga): It’s easier to talk and to find partners now. We really see the value of collaboration, the value of IT and getting connected through networking only. So that’s a good factor.” (Region 4-DOST)</i>
	RIICs	<i>What RIIC provides is the linkage and the ability to include everyone in one room so they can collaborate. (Region 3)</i>
	National	<i>“STRIDE did not impose any program or activity on us. Parang both of us we tried to discover kung anong solutions in identified problems. Kailangan agree kayo ng development partner mo tapos ikaw sa govt may sarili kang idea. From the start nag covnerge kami as we try to unravel and discover and validate iyong sinasabi naming problema. KAsama sila sa pag identify ng solutions. It really came from the discussion. Unlie iyong ibang project may dala ng solusyon iyong partner mo. Ito ang gawin mo, sihuro it may work or may not. But for us awhat worked is we were with developmetn parteners from the start. Kasi ganoon from the past parang dini dictate ng partner kung ano ang gagawin. I know what approach will work in the country.”(DTI)</i>
Collaboration	Regional	<i>I agree with DTI. The most important factor is the collaboration. The RDC is not an implementing arm, they are just focused on monitoring so if we have collaborations through MOUs and MOAs then we already have formal documents. If you want to look for big money, you ask that for the DBM so it would be good to have that RDC resolution. RDC is not an implementing arm, only monitoring, collaböration should be strong, Important is when we get money from DBM, then we need RDC resolution.” (Region 4-DOST)</i>

ANNEX G.3 EFFECTIVENESS

CHALLENGES ON EFFECTIVENESS OF STRIDE							
Challenges	National n= 6		HEI = 9*		Regional = 5*		Responses
	f	%	f	%	f	%	
Mismatch of competencies and capacity between the academe and the industry. This challenge pertains to differences in the innovation competencies of GI partnerships specifically on mindsets, timeline of institutions, expertise of faculty, and scalability of product after it is developed by academe and industry.	3	50.00	6	66.67	4	80	<p>" From the Planning Office of CHED, some of the challenges in doing industry-innovative research are availability of experts and researchers on HEIs, again this is, capacity. Then connecting the researchers to potential industry partners, and the funding for these kinds of researches. It is time to rationalize all these funding." (CHED).</p> <p>When we say industry-responsive innovative research, to me, the challenges are really with the academe's schedules. They're really busy. I have a problem with my fablabs, I have fablabs in three Cebu Technological Campuses I am pushing them. We have already put in millions of pesos in their equipment, but they have not been providing innovation because they do not have time. I do not have a problem working with the Academe, but they are just very busy. (Region 7-DTI)</p> <p>"The challenge is what we do after. When we presented our product to Monde Nissin, they had it tested, and it met their quality parameters. They get they dehydrated vegetables in China, so they are hoping that there is a local supplier, but they have not been successful. So, they asked us, what's next? The idea of what to do." (XU)</p>
Protection of outputs (patenting/ indigenous knowledge). Protection of knowledge products/technology (patenting and IKSP)	--	--	2	22.22	--	--	"When we engage research with the industry and we have a project that is patentable, the industry wants to have a share of the patent. That is not on our look-out, that is on our KTTO. There are no existing policies. The university wants the patent solely; however, the industry wants to have a share. The industry shared funds and some chemicals." (DLSU)

Unresponsive policies. Policies pertaining to processes of purchasing supplies, equipment, contract services, other services, and financing program	2	33.33	--	--	1	20	"CRADLE for new normal." (DOST) "Trust, resources and changing of policies – as mentioned above. How flexible are you with the changing policies? I could not say that. There are some orders that come from the central office. What I was mentioning is that if the secretary changes, then it would be a problem." (Region 10-DTI)
Lack of coordination.	1	16.67	--	--	----		"Lack of coordination, adequate funding, electronics roadmap." (MSME)

Note: * NA = 2HEI, 4 Regional

ANNEX H

SUSTAINABILITY FGD.1 CRT

3.1 What might be the factors that can promote the sustainable linkages with the beneficiaries of innovations and R&D outputs?

FACTORS THAT CAN PROMOTE THE SUSTAINABLE LINKAGES WITH THE BENEFICIARIES OF INNOVATIONS AND R&D OUTPUTS				
Code	Response	KI	Category	Theme
Attitude	People are ready to share mutual values, so parang ano ba to, and trust. So hopefully they can provide adding value. Para sa akin trust talaga yung pinaka importante	Academe (DLSU)	support and trust from the key players of the innovations and R&D outputs.	Support and trust this refers to the reliance of partners to one another for the innovations and R&D outputs.
Attitude	Fully supported po yung RIIC from the Regional GIAs.	Government (PSTC Pampanga)		
Leadership	IND14A: PCCI is working with coffee processors and end users. Within PCCI there is an expert working with big coffee shops in Indonesia, Singapore, and Malaysia. PCCI is working to ensure that the coffee products of the beneficiaries will be marketed. The number of seedlings distributed does not matter and the area planted, what is important is that the seedlings planted are the true varieties of Liberica to come up with their own brand. “Hindi kailangan ang thousand hectares, kailangan lang ay 100 hanggang 200 ektarya to achieve high quality Liberica coffee followed by processing. Maganda nga ang coffee, hindi naman marunong magroasting, hindi marunong magpakaging, hindi kayo marunong magbrand, then you cannot go elsewhere.	Industry 4A	Leadership and initiative from the administration or project leader	
Awareness	Iba po tong commerce, in fairness with DTI DOST and other government agencies, ang nagiging problema po kasi siguro is lack of access which the STRIDE has provided for most of the MSMEs now. Kami, we only do what is within our reach and with our partnerships with DTI and DOST. Marami po kaming activities na ginagawa with MSMEs along with DA and DOST, so parang with BRIDGE BICOL and USAID STRIDE natulungan po nating magkaaccess yung mga ibang MSMEs na nangangailangan.	Industry (CamSurCCI)	awareness of the activities and programs for innovations and R&D outputs	Grounded mechanisms this refers to the actions that driven based on the needs of the community and industry through awareness raising and collaboration.
Collaboration	It really bridged the gap on the lack of access of these MSMEs so they can avail of the government services.	Industry (CamSurCCI)	collaboration between key players.	
Disaster resilience	Resilient programs. We need to look at the resiliency of the region.	Academe (BULSU)	the resiliency of the programs	

Friendly/Responsive policies (research engagement and linkages established)	Region 10 Industry: Activities should be demand driven, industry driven, and community driven researches. Those alone one can have many clients.	Industry (OROBEST)	demand driven, industry driven, and community driven researches	
Branding	BSU: Batangas State University has two planned projects which need the assistance of the innovation actors in the region. First is an inventory of resources including human and physical facilities like laboratories of the different universities and agencies in the Calabarzon. Second, with the presence of many industries in Calabarzon, there is the target to come up with an operation manual on innovation because other academic institutions might have their own start-ups to harmonize these initiatives.	Academe (BSU) R4A	branding	
Funding	Region 11 Government: The benefits and support to the institutions especially the private higher education institutions must be established, because honestly speaking, the present landscape for the higher sectors, especially for private schools is quite unfavorable as of the present [time]. The trend right now is the enrolment in private higher education is really decreasing unlike state universities where their budgets are steady. So, assistance in this area in terms of research, development and production, as far as the private HEIs are concerned. SUCs have no problems because the budgets are provided by the state but private HEIs rely on the enrollment. The K-12 transition and then the flexible learning education, that is the situation of private HEIs.	Government (CHED)	providing research grants to all key players	Establish Research funds this refers to the provision of research grants
Funding	Region 11 Government: Yes, we currently have this with project with NRCP and DOST 11, 10 and 13 and we can provide private institutions with research grants through this project. As mentioned by Ma'am Betty, she is part of our CRADLE together with ADDU. Unfortunately, despite many follow-ups with PCIEERD, they have not received any reply. We are verifying status of the proposal with the project leader as the response of PCIEERD will be directly from the project leader.	Government (DOST)		
Funding	Right now, we are funding our own TBI after the DOST PCIEERD had already run out of funds [as engagement ended]. The establishment of KTTO, the operation is funded by the university. We funded research centers to focus on one area, to whatever field the researchers are at. We have funded research centers because the enabling program of STRIDE and aligned with the mission of the university.	Academe (USTP)		
Industry responsive	My personal take on what USAID has done is that they presented opportunities not only for production but also for management in the understanding a good kind of governance can support the industry better	Industry (PhilExport)	able to respond the concern of the industry partner	Industry-Academe relations

Industry responsiveness	Region 10 Industry: It is important that the organizations should be proactive, not wait for clients to come. They have to search for them like what they did to us.	Industry (Oro Handmade)		refers to the rapport of the academe and industry in the development of the project.
Industry responsiveness	Region 10 Academe: The quality was okay for Monde Nissin but we were not able to produce. On Santiago Fresh Miki Factory, we were able to produce but it was not sustained. It was not sustained because we do not have the capacity. Our dryer is for pilot stage only.	Academe (XU)		
Technology potential	IND24A: The group works because of the trust for each other. “We believe in the capability of each member of the group. We are pursuing a lot of activities with the Batangas State University including the moringa, pepper, and inland and marine fisheries projects. We are having livelihood projects for the poorest of the poor. We have brought a lot of personalities in our linkages including the Indian ambassador. We are not only relying on government funding but also donors from other countries.	Academe (BSU) 4A		
R&D Ecosystem	IND4A1: There are beneficiaries who are wives of soldiers. Because of that project, the local farmers became engaged in the local cattle industry. The farmers no longer butcher their cattle during fiesta time. The ACDI is willing to buy the products not intended for the gene pool of the program. Anytime it will be paid. Pwede na silang bigyan ng pera na any time they can withdraw. Meron na syang source of cash they can also monetize at a later period.	Industry R4A		
Institution building	The RIIC is a national initiative of the DTI. I just joined the regional office, but there really was a priority for pilinut way back. In fact, yung fablabs namin is supporting the innovation projects.	Government (DTI)	able to create and upgrade operations manual, facilities, and programs to encourage researchers to create researches start-up programs	Enhancement of harmonization of activities this refers to the improve and continue the congruence of the activities for the project
Institution building	They were able to create the acceptance and recognition of the HEIs through a regional higher education plan under a Memorandum of Understanding (MOU).	Government (CHED)		
Institution building	Additional factors that we were able to see in promoting sustainability is an Innovation Guidebook led by STRIDE. Like an operation manual. So mawala man po yung tao na naginitiate if there’s a guide the programs can still work.	Academe (BULSU)		
Institution building	We had inputs yung partners sa innovation guidebook.	Academe (BULSU)		
Institution Building	Maybe we can integrate this with the RIIC. Councilor Pilar was correct earlier, we need to harmonize as we have several innovation facilities in the region, harmonization is lacking. The Davao City Innovation center was created so we need to harmonize all the projects with different RIIC partnered agencies.	Government (DOST)		
Institution building	Region 11 Academe: Continuing development and upgrading of facilities at the academe level, especially in terms of R&D centers, FabLab, as well as	Academe (UP Mindanao)		

the incubation centers. If the academe continues to develop these kinds of facilities, then it would be a big help for the innovation center to sustain its operation in Davao City as well as in the entire Davao Region.

Institution building	Region 10 Academe: The programs that were facilitated by USAID STRIDE; KTTO, TBI, Ideation, research activity, those were the things that the university has a drive/push on how to promote research outputs. Encourage students and researchers to startup company on the startup program. The university has the vision and the intent to provide funding on these areas, thus this would lead us to sustainability.	Academe (USTP)		
M&E Tool	Region 11 Government: Maybe one factor is on the M&E integration of the RIIC, we need to have this Monitoring and Evaluation tool to be ingrained in the system so that we can monitor in terms of our projects and programs later on. The second one is that we have developed this with UNESCO, or the score card for the Sustainable Development Goals where we can assess the contribution of the program with the SDGs.	Government (DOST)	the need to have an M&E tool to monitor projects and programs	Pathway to stability this refers to the mechanisms that will be employed to sustain the partnership and programs that was done.
Capacity building	UPLB2: The common goal. The academe, ACDI, and the Province of Siquijor continued the effort even after the funding from STRIDE ended.	Academe (UPLB) R4A	Capacitating continued efforts	
Partnership	That's how I think BU fablab started working with us. DTI helped us coordinate.	Industry (PhilExport)	continue the collaboration and long-term commitment within the key players	
Partnership	UPLB2: The DNA testing output of the project was applied to commercial breed, Holstein cattle under the project funded by PCAARRD and the National Dairy Authority which adopted the technology which originated with the STRIDE project.	Region 4A		
Partnership	We signed a MOA on how to sustain the START Center. For Filipinovation, itutuloy din po naming yun gamit ng START Center. So, STRIDE really enabled sustainability.	Academe (DLSU)		
Partnership	Region 11 Government: We have it already. Last January 2020 it was duly signed by the partners.	Government (DOST)		
Partnership	Region 11 Industry: Continue the collaboration. It is very important, especially for small MSMEs because we lack resources, that is why we need the help of various sectors.	Industry (Healthy Sweets)		
Partnership	Region 11 Industry: Long-term commitment from stakeholders as well as MSMEs who are the target of several RIIC programs.	Industry (Davao City Chamber of Commerce and Industry, Inc.)		
Pathways to policy/Stability	Walang permanence, kung napalitan na si RD, are they equally going to be supportive of the program? So, for example for me, I only have 2 terms, will the priorities shift and would I be able to pass on the linkages to receptive people? Baka mawalan ng bwelo yung team.	Industry (BCCI)		

Supportive admin	Isang laudable thing po is that they made it a point that all the projects they're making they make sure merong sumasalo.	Academe (DLSU)	The projects that are being implemented are supported by the respective administrations of the institutions / organizations
Supportive admin	We really appreciate the RD's leadership with 2020's main theme of higher education.	Government (CHED)	
Supportive admin	Tama si sir Erwin, it really is the people.	Government (DTI)	
Supportive admin	Greatest factor to sustainability is the people. It is the greatest asset. We need to find champions.	Academe (BULSU)	
Common goals	IND72] common understanding and common goals in helping the community by GIA stakeholders. The shared KPI (key performance indicators) will sustain us in the partnership.	Industry R7	
Inclusive	<p>IND71] We have a lot of projects in the past that have been sustained. We have a project with DOST where we have trained a private group that is now called the Cebu Food Consultancy group under the chamber, (2013) which is on food safety measures. We have another with DTI. In other words, The group is willing to come up with money to have the assistance.</p> <p>The mechanisms and the success story are important.</p> <p>(Agnes) Who was the leader? Who was the champion?</p> <p>The chamber has a different leader in every two years mostly voluntary.</p> <p>Financial capacity to procure technical and advisory services (i.e., some industry players are willing to pay for these services)</p> <p>Agnes- When you say, mechanism, is that a written agreement?</p> <p>[IND71] – no more written agreement, only when there is a need.</p> <p>Agnes – so its very demand-driven?</p>	Industry R7	Inclusivity of projects

3.2 What emerging partnerships, initiated by institutions as brought by their connection to USAID STRIDE, may support the sustainability of the project? E.g., Cities Development Initiative (CDI) and other USAID projects nearby; and the political economy challenge (political/power connections, social capital, policy support)

EMERGING PARTNERSHIPS, INITIATED BY INSTITUTIONS AS BROUGHT BY THEIR CONNECTION TO USAID STRIDE, MAY SUPPORT THE SUSTAINABILITY OF THE PROJECT				
Code	Response	KI	Category	Theme
Awareness	Region 11 Academe: A suggestion for the RIIC to consider. It is good that we have an increase collaboration with LGUs. Hopefully the experience of Davao City creating RIICs can influence other LGUs in the region in creating the same. At the LGU level, I think it would be nice to use the Davao experience in having its own innovation center will be translated to others.	Academe (UP Mindanao)	awareness of other LGUs in the region in creating the same framework as the RIIC.	Inter-LGU collaboration this refers to the increase awareness of other LGUs in the region in creating the same framework as the RIIC.
Capacity building	Recently we had an ICANVAS tool training so we're holding an event like this and we're offering to train you and your network. Wala pong MOA, but more on offering na lang kung may icoconduct sila na event.	Government (DOST)	enhancing the capability of the people who are involved.	Enhancing networks refers to the expansion of current key players through capacity building workshops of other untapped players
Capacity building	I would like to emphasize that the lining of topics as a result of the prefeasibility or market scanning that UP Ignite has done should definitely remain and continue.	Industry (VistaLand)		
Capacity building	Another sustainability factor mentioned by Jomar is the training of trainers. The most recent initiative of stride - the START centers, is addressing this	Academe (UPD)		
Collaboration	If the project is something that addresses a certain technology for example that we will be using over a long period of time, then the sustainability question is quite long-term just like what we're doing now with some projects with DOST, so that's in collaboration with DLSU. That's another point, but for sustainability on per project, that will really just be based on the life of the project, since we're addressing industry issues, then I can probably say that once we've addressed the problem then the sustainability will depend on if we'll use it or whether we'll advance to a new technology.	Industry (IMI)	to increase networks and partners from the current key players.	
Collaboration	To work with a whole industry group would be good. Starting with Networking, this will help sustain collaborations.	Academe (UPD)		
Collaboration	We are looking forward to involving the DA in the agriculture side, the other industry associations.	Government (CHED)		
Collaboration	Dito po sa Bulacan, if we can include the farmer cooperatives, sana they will be considered in the future.	Government (DTI)		
Collaboration	It really is the partnership with the SUCs and the Regional Cybernetic Centers for Innovation. Kasi nasa HEIs po yung innovation factors, ito po yung untapped assets natin yung mga innovation players.	Academe (BULSU)		

Collaboration	Region 11 Government: RIIC also is working closely with our school-based technology business innovation hubs funded by DOST, namely UP Mindanao UPGRADE, um UMASENSO, USEP AGILAB, and ADDU innovation hub. TBI is technology business incubation hub	Government (DTI)		
Commercialization	Establishing a framework for benefit sharing Continuous Product Development for expansion of value chain	Industry (PhiliPILI)	Establishing a framework for benefit sharing Continuous Product Development for expansion of value chain	
Communication strategies	from the gov't po siguro yung continuous communication kahit sa engagements. For example, tapos na yung KTTO workshop namin with them pero ngayon po meron kasing mga hindi naka submit ng proposal sa amin under the IMPACT program so hindi pa po sila sinukuan ni STRIDE and right now we're developing a support program with 2 RDIs, so STRIDE is still providing workshops outside the program. So sana po continuous engagement lang sana kasi nagsusupport pa naman sila. In exchange of this, susupportahan pa din kahit na supposedly tapos na sa program.	Government (DOST)	continuous communication among partners to furtherly collaborate with future endeavors.	
Context specific approaches	So, sustainability kasi has a different meaning eh, but if it's the sustainability on the project it will all depend on what the project is all about.	Industry (IMI)	the project is aligned to the context of the partner	
Curriculum	Marami po kami sa COB depende sa CMO ang CHED kasi marami nang ganun na binubukod yung professional track. Sa college of business po. Sa ngayon kasi suspended lahat ng autonomous status, so ngayon bawat galaw po naming kailangan ng permiso sa CHED.	Academe (DLSU)	review of curriculum	Revisiting of the curriculum refers to the review of the curriculum in relation to the interventions that were made.
Funding	We have several programs. We have advanced technology commercialization (ADTECHCOM) where our researchers can submit proposals to our office, and we can fund.	Academe (MSU-IIT)	programs where researchers can submit proposals to the office and can be funded.	Provision of research grant this refers to the programs of the HEI where their researchers can submit proposals and can be funded.
Gender and development	Region 10 Industry: Women development in SURGE.	Industry (OROBEST)	Women development	Gender Inclusion refers to the involvement of all genders in the project.

Grounded academic actors	The researcher is also doing another work/job. As much as we want to continue the project and sustain it. In the project, there are no money, we cannot even use the administrative cost to repair the unit in case it needs to be fixed. If there is a policy that will look into the whole chain of technology development up to commercialization, that would be very helpful for projects like this. The project helps the researcher to reach its output to commercialization. We don't have the "business attitude", only as a researcher. If there is a program that could support us, sustain us to develop that mindset. We have the fear that what if the business will fail? Up to now, the technology is just in the pilot scale. If we produce 1 kilo of powdered squash, it is very expensive. The one that we gave to Mr. Teope are subsidized by the project. There is still the need to optimize the technology and be ready for the supply. Also, the production supply should follow from the quality standards of the industry.	Academe (XU)	to review academic policies that involves faculty researchers and to continue to enhance their capacity in doing research and innovation	review academic policies this refers to the revisiting of the academic policies that involves faculty researchers and to continue to enhance their capacity in doing research and innovation
Inclusive	Region 10 Government: We see complementation especially with the CMCI because for this year aside from the 4 pillars, the innovation cluster is added. So, this is a complementation that is added relative to the CMCI (Cities and Municipalities Competitive Index). This year they include for monitoring the innovation, but it will be included in the ranking by next year.	Government (DTI)	the inclusion and collaboration of all key players and other institutions / organizations / agencies in creating programs and activities	Inclusive mechanisms refers to all action that will sustain the intervention thus it will involve all key players in other LGUs/organizations/agencies through effective collaboration
Inclusive / Collaboration	Region 10 Industry: One of the activities that the Oro chamber or OROBEST can get into with other projects is the intervention with the BIR on the Small Business Information Portal. We are into this with the USAID SURGE project and LGU. Out of the desire to help our MSMEs, we have this collaboration with the LGU and try to encourage our members to be engaged in this Small Business Information Portal of the LGU.	Industry (OROBEST)		
Inclusive / Collaboration	Region 10 Academe: In addition to sustainability, if we try to look on sustainability, we always look at the 3Ps; people, process and program. In the case of MSU-IIT, STRIDE has directly or indirectly influenced us to also craft some programs that we can have in MSU-IIT that can be funded by MSU-IIT.	Academe (MSU-IIT)		
Industry responsiveness	We'd go to the food innovation center on how to package it then to the DOST to provide an FDA. Yung packaging ng mga bulacan products ginagawa yun sa food innovation center. BULSU is really pushing that for the academe and the students, andito na tayo eh, so let's become the top not only for the region but also for the Philippines. On Thursday we would be having a MOA signing with BCCI and BULSU so we're strengthening our ties with the academe. We're providing them a means that we're providing an online OJT to the students to work for the industry partners. Before in my company, I was accepting 30 students in my companies, so mostly yung kinukuha ko mga engineering,	Industry (BCCI)	connect researchers to MSMEs and strengthening our ties with the academe	

	architecture and accounting. So, around mga 20-30 students talaga, mostly they're from BULSU. Sa ibang schools naman mostly HRM yung amin.		
Industry responsiveness	We also have a program, research and researches for MSMEs, where we connect our researchers to MSMEs. Our researchers can submit a proposal and they have to identify an MSME as their beneficiary of that proposal. That is also part of ILIGANiCE. The ILIGANiCE will help smoothen the process when we try to connect with MSME and MSMEs we try to connect our research related innovation infrastructures at MSU-IIT.	Academe (MSU-IIT)	
Industry responsiveness	Many liked the output here in Pagadian and we used it every time we make pancit.	Industry (Santiago Fresh Miki Factory)	
Institution building	Meron na pong dalawang natapos na Filipinovation run. So sino po ba yung third-party na tutulong sa GIA linkage. Si STRIDE po kasi yung nageserve as a conduit so we are really able to bond, STRIDE really informs us of opportunities for projects. That is our worry, how can we take part if they're leaving.	Academe (DLSU)	establish a unit or office that will help researchers and create a link among GIA.
Institution building	START Center where we are one of two. So that's just this year. We have a briefing document that we use for all upper-level briefings for DEANS Chancellors etc, and you can see the fingerprints of STRIDE that comes from the KTTO. These are my own experiences noh, but the form by which the practice is becoming sustained when it becomes encoded on the manuals number 1 siguro also is the KTTO I think that's also the second part where the learning and the knowledge from STRIDE would continue.	Academe (UPD)	
Institution building	Region 10 Academe: It would really help if there were KTTOs. A unit in the university that will help the researchers. One way is to continue engagement with the community. Consciousness to build the work.	Academe (XU)	
Inter-province expansion	Region 11 Government: we are expanding the coverage of the RIIC initiatives to other provinces. Recently, we designated also innovation point person in 5 provinces of Davao Region.	Government (DTI)	expanding the coverage of the RIIC initiatives to other provinces
Partnership	Region 11 Industry: Davao Chamber has an ongoing partnership with a New Zealand organization to promote entrepreneurship among IP women. Right now, we're working with groups like Obo Manuvu, TCHAD, and Matigsalug for product development.	Industry (Davao City Chamber of Commerce and Industry, Inc.)	creating partnerships for the development of programs and activities
Partnership	IND24A: Because Liberica is concentrated in the province of Batangas, other possible partners from other provinces of the region can be engaged in other commodities like moringa.	Industry 4A	

Partnership	IND24A: There is a big project by the Committee on Agricultural Modernization Project which was adopted as signature project of the Department of Agriculture. An executive order will be issued by the Department of Agriculture as a province led agriculture and extension system [AES]. This is based on the province commodity investment plan. Liberica coffee is one of the 10 commodities in the plan which the province, city, and municipal LGUs will implement. This will be most noticeable when the Mandanas ruling will be implemented next year [2022]. The program on coffee will be supported by the AES and the Mandanas ruling. Mr. Caedo is the financial adviser of the provincial government of Batangas on agricultural affairs.	Industry 4A		
Partnership	Region 10 Industry: We have one supplier before in Baguio. In Luzon, Benguet is the one who produces carrots. We were buying from one company, and it buys carrots from Benguet then that company will process the carrots. However, its technology did not have good quality outputs. That is why when we learned that XU is willing to help, they were able to consistently achieve the quality.	Industry (Monde Nissin)		
Partnership	IND24A: Because Liberica is concentrated in the province of Batangas, other possible partners from other provinces of the region can be engaged in other commodities like moringa.	Industry 4A		
Partnership / Institution Building	Region 11 Government: Maybe the most recent is on the Knowledge Innovation Science and Technology Park, to be hosted by UP Mindanao. We partnered with Kyushi University in Japan to establish the KIST park for the Davao Region. One partnership that arose in the RIIC implementation is the Davao Innovation Center together with Councilor Braga. This center was created through a city ordinance sponsored by Councilor Braga. For DOST XI, before, the RIIC is somewhat like an adhoc committee of the institution, but we are planning for next year that we have to ingrain the system, the RIIC, in our division, so we will allot a budget for the RIIC in DOST XI. So that there is a division devoted for RIIC.	Government (DOST)		
Partnership / Institution Building	Region 11 Government: We would like to express our desire to help other LGU to come up with a similar ordinance	Government (LGU)		
Institutionalized programs	LGU4A: Out of STRIDE project, there were other projects which branched out like the research which found that the native cattle are also a good source of meat. The whole province is engaged in this project. The LGU is doing a proposal for beef choice marketing to produce good meat.	LGU R4	Programs being institutionalized	
Protection of outputs (patenting/indi	When we started this, we don't have KTTO. At the end of the project, we were able to build the design. If this would be upscale, and if there is a group that who wants to take on the technology, one concern is how will we protect the ownership of the researcher. Right now, we are trying to	Academe (XU)	protect the ownership of the researcher	Review ownership protection policies refers to the streamlining of the

genous knowledge) R&D ecosystem	apply for the patent, the process is long and there is no office that is assisting. However, the ecosystem that will include choosing, prototyping, funding and commercialization and the IPR issues need to be streamlined.	Industry (VistaLand)	IPR issues need to be streamlined	policies that safeguards the ownership of the projects.
Policies	IND14A: The local farmers understood and appreciated not only the potential of the promise that it could give higher income but also the quality due to the gene improvement. Dati maliit lang ang native cattle ang may good quality meat, wala syang size, and milk sourcing capacity. Now they can attain the size and produce milk as well and may support from the LGU. Pag inalagaan mo ang baka the effort of the farmers will be paid off. Thus, ACDI support the project.	Industry 4A	Policies on providing awareness to profitability	
Scalability of projects-programs	As a matter of fact, we don't have any more squash powder, so we made our own, however the squash here is very expensive unlike there in Cagayan de Oro, as a result, there will be an income loss. That is why we stopped making powdered squash.	Industry (Santiago Fresh Miki Factory)	assistance when the projects need to be scaled up to the needs of the industry.	Development of the offshoot of the technology refers to the sustainable actions to be done in the facilitation and in the formation of final output of the project that needs to be scaled-up or in the creation of start-ups and spin-offs
Start-ups – spin-offs, commercialization/licensing	Region 11 Government: 2 Davao start-ups are beneficiaries of DOST startup grant, namely: infinit LMS and obx solutions [NOTE: IN YELLOW HIGHLIGHT MENTIONED BY JD BUT NOT IN THE RECORDING AND IN MY NOTES]	Government (DTI)	creation of start-ups and spin-offs	
Technical assistance	Food innovation center with BULSU that is directly supported by USAID STRIDE and DOST	Industry (BCCI)	facilitating in the formation of programs and activities	
Technology self-life	Mas technology talaga, sometimes it's the process and sometimes we are of course since we are a tech company, most of it is really based on that. Technologies really have a shelf-life, once it's done and the shelf-life is over even if you have it, you might not be able to use it because it's obsolete. We are also looking at the process on a way that makes it sustainable because that of course will help us when it comes to providing efficiency and faster outputs.	Industry (IMI)	shelf-life sustainability of the technology in order to continuously provide efficient and faster outputs.	
R&D Ecosystem	LGU4A The potential for the increase in income overall benefit of the dairy industry of the whole Philippines. It would be the pride of Bohol that the native cattle are being used by the cattle industry of the country.	LGU 4A	Providing an ecosystem conducive to producers	
Sustainability	LGU4A The native male inseminated with genotype from the STRIDE project is spared. It is the source for artificial insemination of native cattle.	LGU 4A	Sustainability in farming processes	
Technology	IND14A: The local farmers understood and appreciated not only the potential of the promise that it could give higher income but also the quality due to the gene improvement. Dati maliit lang ang native cattle ang may good quality meat, wala syang size, and milk sourcing capacity. Now they can attain the size and produce milk as well and may support	Industry 4A		

	from the LGU. Pag inalagaan mo ang baka the effort of the farmers will be paid off. Thus, ACDI support the project.		
Potential	IND24A: PCCI is ready with the seedlings before the nursery because of the problem of procurement.	Industry 4A	Potential effects of procurement policies/delays

3.3 What are the challenges and opportunities needed to achieve sustained improvements in the partnership? (RIICs)

3.3, Given your USAID STRIDE connection, what emerging partnership/networks may support the sustainability of the project? i. e. other USAID projects nearby.

The political economy (political connections, social capital). (HEIs)

CHALLENGES AND OPPORTUNITIES NEEDED TO ACHIEVE SUSTAINED IMPROVEMENTS IN THE PARTNERSHIP				
Code	Response	KI	Category	Theme
Actualization of the output	Region 10 Industry: The biggest challenge is to see the actual realization of the efforts. To see that it actually happens. Because as of today, we are still waiting. Once we will be receiving the technology, there will be unlimited opportunity. With this experience, we rely so much with our partners. The sooner, the more active participation our partners, will be really helpful in attaining this ultimate objective, the fruition of all our efforts.	Industry (OROBEST)	challenge is to see the actual realization of the efforts	issues on the accomplishment of the output refers to the challenge if the tangible output will be achieved.
R&D Ecosystem	HEI4A: It is a dilemma among the universities wherein after the funds from government and international agencies, it is also the end of the project. This is a question of sustainability.	Industry 4A	Unsustainable funds from projects	
Collaboration	Dito po sa Bulacan talagang involved nap o yung academe and yung BULSU, sa mga development councils naming talaga pong involved yung BULSU sa planning and meetings kasi napakaimportant po nila in addressing the needs of our MSMEs, technology, training and researchers, ang laki po ng contribution nila. In SMED councils, BULSU president has been participating hopefully in other regional and provincial HEIs this would be included.	Government (DTI)	the collaboration between key players is established. However, there are concerns when there is a change of LGU officials, the participation of the LGU might be affected.	discontinuity of partnerships refers to the gap of the collaboration that will happen from the partnerships that is well-established
Collaboration	Region 10 Industry: On the level of sustaining collaborative mechanism, first is to develop advocates, create institutional support, create policy environment, create financial environment.	Industry (OROBEST)		

Collaboration	Region 10 Academe: If we try to look at the entire ecosystem, the ecosystem does not only consist of academic institution but also consist of the LGU. But the LGU has a timeline like in every 3 years they change officials. If that set of officials that are managing the city will not have the same mindset., that is one challenge there. So, we have to mainstream this mindset so that who will ever take the office in the future, we can still smoothly implement the programs that we have started. The main challenge is the mindset. If we don't have the same mindset and if don't share the same values, then that will be a big challenge. Of course, the partnerships and collaborations, if we have the same goals and objectives, there might be challenges that we can share and embrace.	Academe (MSU-IIT)		
Commercialization	This will be something that has to be arranged by the teachers, students and the businessmen, but this is usually a case-to-case basis. For me, personally, not as part as BCCI, because the Dean from BULSU is a good friend of mine, if the kids	Industry (BCCI)	commercialization of the technologies is a case-to-case basis.	context-specific commercialization this refers that commercialization of the technologies is a case-to-case basis.
Digitalization	Business Recovery. How is business going to move forward in the future? Everything is digital now; everything is going online now is the time to innovate.	Industry (BCCI)	a challenge in the transition of a different platform in business operations cause by the pandemic.	Digital platform issues refers to the challenges in the transition of a different platform in business operations cause by the pandemic.
Digitalization	DOST4A: For the coffee industry. DTI has a working group on the coffee industry of which the composition comes from the different agencies to assess the producers the number of coffee farmers and the marketing practices. But this is not only for Barako coffee of RIIC. This project covers all the coffee producers in the Calabarzon.	DOST 4A		
Inclusive	Second one is on deployment, all of our projects should be deployed to all partners, and also our stakeholders, and with this, there is a gap in our deployment and project. For this to be sustained we need to fix the gaps when it comes to deployment.	Government (DOST)	all of our projects should be deployed to all partners, and also our stakeholders	enhancing inclusive actions refers to the development of mechanisms that will strengthen the active collaboration of all key players.
Industry responsiveness	Actually, the MOA signing on Thursday is very important with us because it gives us a door to the academe, and the professors in BulSU, particularly on the college of information technology nila, magaling yung mga estudyante nila, pero hindi nila alam yung mga kailangan na program ng end user for example accounting programs custom made with BIR inputs. Yun po yung connect	Industry (BCCI)	strengthen Academe and Industry collaboration	
Industry responsiveness	Region 11 Academe: There is this issue of Industry-Academe gap that the academe is not responsive with the needs of the industry. With the	Academe (UP Mindanao)		

	RIIC, I hope it would be able to further strengthen Academe and Industry collaboration. The perennial issue of collaboration can be resolved.			
Industry responsiveness	from the Bridge program that I am engaged in, there is real time in adoption of their recommendation. Their recommendations are good in terms of business development and expansion. We are looking it like a “bible”. We are looking at it every day on how we can adopt whatever mentioned there by ADMU. because you cannot avail such expertise every day. We have followed the majority of the recommendations, so far. For example, in our market development, it is doing very well except we are still waiting for another recommendation which is still we can hopefully do something about. Everything is in real time. It is not a matter of receiving a report or recommendation, but an actual implementation of the recommendation. That is why STRIDE is alive, it evolves, it has good mutation.	Industry (Oro Handmade)		
Institution building	Yung SMED council of DTI (Provincial SME Development Council), kasama po si LGU, chairperson siya ng SMED council. Tapos po yung ibang partners. SMED – provincial and regional SME development council.	Government (PSTC Pampanga)	programs, activities and discussions that create opportunities and would help sustain the program	involvement of all key players refers to the active participation of all key players in the discussions and activities for the sustainability of the program
Institution building	BULSU would have the KTTO, this would bring in these good opportunities and would help sustain the program. As long as businesses have access to the KTTO.	Industry (BCCI)		
Institution building/Industry responsive	Re the Innovation Guidebook, MSMEs already have the guidebook. Next thing to do is for stakeholders to sit down, discuss action plan per MSME and firm up commitment by organizations involved. Hence, everything stated in the plan, based on the needs of the concerned MSME, will be implemented accordingly.	Government (DTI)		
Branding	DOST4A: There are attached agencies to DTI which provided funds to BSU like PCIERRD. In a recent meeting with STRIDE, there is an ongoing website of RIICs being developed by BSU which aims to post all the research projects of BSU, and other line agencies included in the RIIC. But the representative from DOST4A was not sure on the status of the activity.	DOST4A	Pertains to branding	
Integration	Lastly, on integration since we have a strategic plan towards 2030, we have to integrate our programs and projects relevant to the target and strategic objectives of the strategic plan.	Government (DOST)	programs and projects relevant to the target and strategic objectives of the strategic plan that was created	Growth of collaboration this refers to the expansion of partnerships to other organizations and offices guided from

Inter-province expansion / Collaboration	on 11 Government: It was already mentioned that the effort of expanding the membership or participation of other organizations in RIIC is already mentioned, and we appreciate that, as this would further expand the reach of RIIC. At the same time, we could say that its implementation in Davao is successful, and we need to expand that especially on the part of NGAs, because our function as regional offices must not only be in Davao but for the entire region. This was mentioned earlier, and we are happy for that. In terms of the involvement of the academe vis-à-vis the industry, I think that is really innate upon the initiatives of the individual institutions. We would that there are quite a number of institutions, both private and public, who are quite successful in terms of their reach and collaboration with industries. That is why it is important, and we are quite happy that the RDC had been very active in terms of policy direction and at the same time in the implementation of the programs of the national government agencies.	Government (CHED)	expanding the membership or participation of other organizations	the plans and objectives that were established.
Common goals	[HEI71] Application with the CRADLE, with the partner industry	HEI R7	Common goals when it comes to collaborating	
Common goals	UPLB1: The project participated in the milk festival in Bohol during the second year of the project. This served as information dissemination about the project who were surprised that there is a project for native cattle of Siquijor. UPLB1: Sikat ang native cattle of Siquijor in Bohol. Moreover, the taste of pure Siquijor native cow's milk is different. People were asking to buy milk from pure Siquijor cattle. The Stock Farm is continuously producing milk.	UPLB R4A		
M&E Tool	Third would be on learning, we need to have an M&E tool to revisit the gaps and learn from it in benchmarking from other RIICs, DOST X, who are doing well.	Government (DOST)	a need to have an M&E tool to revisit the gaps and learn from it in benchmarking from other RIICs	development of M&E Tool refers to the need to have an M&E tool to revisit the gaps and learn from it
Partnership	As mentioned earlier the KTTO network is one thing. Kumbaga ito yung parehong pinagdaanan when it comes to the program. Another would be the FEC network, there's a slight difference lang on the composition of participants but recently when we were doing the START Pilot workshops ang una namin tanong is yung itatap namin na FEC alumni as speakers to share their success stories. Just the sharing of stories is one way of sustaining the practices.	Academe (UPD)	to see more parties brought into the network/conversation. Also, have approaches to solve any gap pointed out in the strategic planning especially on how we can sustain the partnerships.	Develop more partnerships refers to the expanding and sustaining the collaboration
Partnership	Would like to see more parties brought into the network/conversation. Linkages to USAID projects that speak to environment protection, climate change adaptation. I would like to see how research could be used to support various platforms for carbon trading.	Industry (PhilipiLI)		

Partnership	In approach, the RIIC should have approaches to solve any gap pointed out in the strategic planning especially on how we can sustain the partnerships.	Government (DOST)		
Partnership	IND71] The reason why DTI asked permission from Chamber to use RISE, that is our logo for the Cebu business month which is a onthly activity for the rest of the year. If it's a demand driven. 6 MSMEs access the academic orgs. Emerging partnerships by type of technology, services, or products (e.g., creative animation technology) Emerging industries like the creative innovation. Bring investors from Manila and international. These are all digital technology. Bring into the STRIDE for Creative animation.	Industry R8		
Partnership	DOST4A: For the coffee industry. DTI has a working group on the coffee industry of which the composition comes from the different agencies to assess the producers the number of coffee farmers and the marketing practices. But this is not only for Barako coffee of RIIC. This project covers all the coffee producers in the Calabarzon.	DOST 4A		
Pathway to policymakers	a pathway that we can connect with the policymakers that we can have the same mindset. Connecting how policymakers can be actively involved in our conversation when building a sustainable innovation ecosystem.	Academe (MSU-IIT)	Connecting policymakers to be actively involved in the conversation when building a sustainable innovation ecosystem	involvement of policymakers refers to the participation of the policymakers in the conversation when building a sustainable innovation ecosystem
Resources/Funding	Problem would be on infrastructure. Once we increase the programs, we need to build on the existing infrastructures. Malaking tulong kung magkakaroon ng grants particularly in enhancing the center.	Government (CHED)	funds are more needed when there is an increase of programs to be implemented.	Enhancement of funds refers to the increase of funds needed as more programs are implemented
Funding	HEI4A: Majority of the big universities in Manila got the grant from the first phase of STRIDE.	HEI 4A		
Funding	HEI4A: Another organization, is the Philippine Development Fund where BSU got funding for their projects at BSU.	HEI 4A		
Funding	HEI4A: Equal opportunities should be given to the regions to level the support. The request of their group is for the central offices to give the funding to the region which in turn will in turn allocate the funds.	HEI 4A		
Resources	[HEI71] Funding opportunities from different sources (e.g., NICER CRADLE)	HEI R7	Resources in the region	
Resources	[DTI7] the Brand of the RIIC is the RISE	DTI R7		

Procurement	IND14A: Assist the BSU with funding for research and development not only for coffee but for other crops as livelihood. Industry can provide technology transfer/vocational training. What the RIIC needs are research projects similar to the works of Dr. Menchie Lagman of CLSU who is a genome expert.	DOST 4A	Procurement of funds	
Scalability of projects- programs	Region 11 Government: through STRIDE, RIIC has a plan to institutionalize the innovation assistance service of key partners from Davao Chamber, DOST, DTI and CHED etc.	Government (DTI)	institutionalize the innovation assistance service of key partners	institutionalize the innovation assistance service refers to creating a system in assisting innovation mechanisms.
Start-ups - spin-offs	Sinabi na po lahat ni Doc Sison KTTO participants po. They are now forced to talk to the industry, nakita po natin na may mga nanganganak. They have projects now when it comes to licensing.	Government (DOST)	the academe and the investors should be sharing the success stories in having this innovation. Also, to have more Start-ups - spin-offs as these companies mature, we need to understand how best to support them	developing more start-ups - spin-offs refers to encouraging the key players to create start-ups - spin-offs and make the culture part of the economy
Start-ups - spin-offs	May I suggest that success stories of startups in terms of economic gains to the company in terms of valuation and sustainability of these companies as well individual gains of the inventor, the academe and the investors should be worth telling to the public so that they know that a version of Silicon Valley type of ecosystem is already here. And we need to accelerate and yes make the culture part of the economy.	Industry (VistaLand)		
Start-ups - spin-offs	So probably raising the kids, for example spin-off companies. We hope to have more, as these companies mature, we need to understand how best to support them. As a parent, raising a toddler is different from raising a teenager, similar when the older and more mature industry partners will have problems. The same goes for industry partnerships, so maybe right now the collaborations are very simple, as we go towards complexity i.e., systems of technologies of a whole supply chain, that's something we haven't started on yet. We've gotten glimpses of it, but this is something that we have to fast-track our learning, how to support the industries and innovating on their supply chains.	Academe (UPD)		
Technology potential	IND14A: Assist the BSU with funding for research and development not only for coffee but for other crops as livelihood. Industry can provide technology transfer/vocational training. What the RIIC needs are research projects similar to the works of Dr. Menchie Lagman of DLSU who is a gnome expert.	Industry 4A	Industry providing more start-ups	
Supportive admin	Just go on what we have, and we are doing well. Sustain the momentum. The same program will be placed or enhanced, the MSME will be really grateful.	Industry (OROBEST)	sustaining the momentum in doing innovation programs and activities.	sustaining the momentum refers to the continuity of doing innovation programs and activities

Attitude	HEI4A: We only got support on capacity building.	HEI 4A	Behavioral changes and trust
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3.4 What are the challenges and opportunities needed to achieve sustained improvements in the partnership? (HEIs)

CHALLENGES AND OPPORTUNITIES NEEDED TO ACHIEVE SUSTAINED IMPROVEMENTS IN THE PARTNERSHIP				
CODE	RESPONSE	KI	CATEGORY	THEME
Attitude	LGU4A The LGU is happy that UPLB discovered the potential of the native cattle of Siquijor. It has also led to the mushrooming of other projects. The LGU of Siquijor is all out in support for this project. The LGU now has semen collection for 80 cattle and has a building being funded by the local government.	LGU R4	Behavioral changes be it individually or in the organization	Behavioral shift a paradigm shift in organizational behavior or perspective
Attitude	[IND71] Only about 50% of our entrepreneurs in Cebu operates only 50% of their operational capacity If the consumer confidence improves then we can revive the enthusiasm, then there can be a resurgence of the remaining 50% to operate. Accomplishing these needs paying attention to the ecosystem.	Industry R7		
Leadership	UPLB1: STRIDE Instilled the need to partner with the industry. ACIDI is still a partner in the DOST-PCAARRD funded projects and ACIDI is now applying for the IPR.	UPLB R4A	Initiative brought by a strong leader	
Collaboration	Tita Med, we have an ongoing project with BU FABLAB on Webinar Series and Product Development dubbed as Connect to Create. We will provide you the list and please share it among your colleagues po. FYI, we've already shared the list of webinars with OKB.	Government (DTI)	Increased linkages with other organizations in a formal or informal capacity	Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)
Collaboration	"Fostering mutual cooperation and openness among institution and industry stakeholders. Collective and collaborative efforts to address common needs, issues/conflicts. Clear/open communication lines; agreed roles and responsibilities"	Industry (PhiliPIL)		
Capacity building	BSU: We only got support on capacity building.	BSU R4	Increased capacity	
R&D Ecosystem	[DOST7] as Filipino we are innovative and resilient. Gifted na ta.	DOST 7	Research and development ecosystems	Commitment of R&D ecosystem actors refers to an improvement to R&D Ecosystem players
R&D Ecosystem	[IND71] Our ongoing two programs start with the entrepreneurial mindsets, after which the development of their business improvement plans follows. At the end of this year, we will have over 3,200 entreps in Cebu City alone and over a hundred in the region whom we will filter through for other technical	Industry 7		

requirement our assistance needs which we may introduce to this program. But they have to go through the process because that's the only way we can build commitment. And that we have seen that happened in the last two years where our clients are committed people at the end of the program. It is true, if it is not demand driven, they might ask why are spending so much time to this?

Communication strategy	Region 3 Academe (BULSU): What we do sa region 3 is to adequately plan and overcome disruptions especially in this pandemic. So, what we do is to structure the innovation program for region 3.	Academe (BULSU)	Strategies pertaining to organizational communication	Communication strategy. Strategic structuring of communication plan for programmatic functions.
Communication strategy	[HEI72]- increase the info drive to the clientele the success stories. There are those who do not appreciate at all. For instance, digital marketing, etc. lack of appreciation of the ability.	HEI R7		
Communication strategy	HEI72]- Increase information to others about the success of MSMEs to encourage them to seek assistance from the academe	HEI R7		
Communication strategy	HEI72]- Lack of appreciation by MSMEs for the capacity of academe to provide technical assistance.	HEI R7		
Communication strategy	[HEI72]- Maybe they can see things that can be neutralized	HEI R7		
Resiliency	Institutionalized contingency planning (even well- thought plans are bound to break, especially when there are a number of independent players involved)	Government (CHED)	Strengthened resilience on disasters and unforeseeable events that might affect business and conduct of innovation initiatives	Resilience. Institutional resilience on maintaining the same level of impact and initiative regardless of external circumstances.
Institutionalized programs	UPLB1: For the community-based project, UPLB Chancellor Camacho granted DTRI 6M pesos for the purchase of 70 head of Siquijor dairy cattle. UPL1 convinced the Siquijor LGU o to allow UPLB to procure the cattle despite the ordinance which bans the transport of cattle outside of Siquijor because this is for research for the whole country. An agreement was executed between UPLB and Siquijor that it will still carry the name Siquijor cattle. This is an innovation because UPLB did not have native cattle for breeding. The crossbreeding under STRIDE has produced second filial generation in Ubay which will then produce the first Philippine Dairy Cattle strain from Siquijor.	UPLB R4A	Institutional building that promotes project resilience and sustainability	
Resources	IND71] There is always a need for money but the determination whether you need that money comes only after when you have decided where to go - you know your direction. Whether you need to change your business model, whether you need to change your market. That soul-searching is what STRIDE is all about. At the end of the soul-searching, you will determine what are your financial requirements.	Industry R7	Need for funding to sustain partnership	Funding. Financial requisites for programs to continue

ANNEX H

SUSTAINABILITY FGD.2 ST

3.1 What might be the factors that can promote the sustainable linkages with the beneficiaries of innovations and R&D outputs?

FACTORS THAT CAN PROMOTE THE SUSTAINABLE LINKAGES WITH THE BENEFICIARIES OF INNOVATIONS AND R&D OUTPUTS							
Theme	National n=		FGD (GIA and RIIC) n=		Regional		Responses
	f	%	f	%	f	%	
Support and trust this refers to the reliance of partners to one another for the innovations and R&D outputs.			3				<p>“People are ready to share mutual values, so parang ano ba to, and trust. So hopefully they can provide adding value. Para sa akin trust talaga yung pinaka importante” Academe (DLSU)</p> <p>“Fully supported po yung RIIC from the Regional GIAs.” Government (PSTC Pampanga)</p>
Grounded mechanisms this refers to the actions that driven based on the needs of the community and industry through awareness raising and collaboration.			5 (4)				<p>“Resilient programs. We need to look at the resiliency of the region.” Academe (BULSU)</p> <p>“It really bridged the gap on the lack of access of these MSMEs so they can avail of the government services.” Industry (CamSurCCI)</p> <p>“Activities should be demand driven, industry driven, and community driven researches. Those alone one can have many clients.” Industry (OROBEST)</p>
Establish Research funds this refers to the provision of research grants			3				<p>“Right now, we are funding our own TBI after the DOST PCIEERD had already run out of funds [as engagement ended]. The establishment of KTTO, the operation is funded by the university. We funded research centers to focus on one area, to whatever field the researchers are at. We have funded research centers because the enabling program of STRIDE and aligned with the mission of the university.” Academe (USTP)</p> <p>“The benefits and support to the institutions especially the private higher education institutions must be established, because honestly speaking, the present landscape for the higher sectors, especially for private schools is quite unfavorable as of the present [time]. The trend right now is the enrolment in private higher education is really decreasing unlike state universities where their budgets are steady. So, assistance in this area in terms of research, development and production, as far as the private HEIs are concerned. SUCs have no problems because the budgets are provided by the state</p>

		but private HEIs rely on the enrollment. The K-12 transition and then the flexible learning education, that is the situation of private HEIs” Government (CHED)
Industry-Academe relations refers to the rapport of the academe and industry in the development of the project.	4	<p>“It is important that the organizations should be proactive, not wait for clients to come. They have to search for them like what they did to us.” Industry (Oro Handmade)</p> <p>“The quality was okay for Monde Nissin, but we were not able to produce. On Santiago Fresh Miki Factory, we were able to produce but it was not sustained. It was not sustained because we do not have the capacity. Our dryer is for pilot stage only.” Academe (XU)</p>
Enhancement of harmonization of activities this refers to the improve and continue the congruence of the activities for the project	7 (6)	<p>“Additional factors that we were able to see in promoting sustainability is an Innovation Guidebook led by STRIDE. Like an operation manual. So mawala man po yung tao na naginitiate if there’s a guide the programs can still work.” Academe (BULSU)</p> <p>“Maybe we can integrate this with the RIIC. Councilor Pilar was correct earlier, we need to harmonize as we have several innovation facilities in the region, harmonization is lacking. The Davao City Innovation center was created so we need to harmonize all the projects with different RIIC partnered agencies.” Government (DOST)</p> <p>“Continuing development and upgrading of facilities at the academe level, especially in terms of R&D centers, FabLab, as well as the incubation centers. If the academe continues to develop these kinds of facilities, then it would be a big help for the innovation center to sustain its operation in Davao City as well as in the entire Davao Region.” Academe (UP Mindanao)</p> <p>“The programs that were facilitated by USAID STRIDE; KTTTO, TBI, Ideation, research activity, those were the things that the university has a drive/push on how to promote research outputs. Encourage students and researchers to startup company on the startup program. The university has the vision and the intent to provide funding on these areas, thus this would lead us to sustainability.” Academe (USTP)</p>
Pathway to stability this refers to the mechanisms that will be employed to sustain the partnership and programs that was done.	13 (12)	<p>“Maybe one factor is on the M&E integration of the RIIC, we need to have this Monitoring and Evaluation tool to be ingrained in the system so that we can monitor in terms of our projects and programs later on. The second one is that we have developed this with UNESCO, or the score card for the Sustainable Development Goals where we can assess the contribution of the program with the SDGs.”</p> <p>“Continue the collaboration. It is very important, especially for small MSMEs because we lack resources, that is why we need the help of various sectors.” Industry (Healthy Sweets)</p> <p>“Isang laudable thing po is that they made it a point that all the projects they’re making they make sure merong sumasalo.” Academe (DLSU)</p>

“Greatest factor to sustainability is the people. It is the greatest asset. We need to find champions.” Academe (BULSU)

3.2 What emerging partnerships, initiated by institutions as brought by their connection to USAID STRIDE, may support the sustainability of the project? E.g., Cities Development Initiative (CDI) and other USAID projects nearby; and the political economy challenge (political/power connections, social capital, policy support)

EMERGING PARTNERSHIPS, INITIATED BY INSTITUTIONS AS BROUGHT BY THEIR CONNECTION TO USAID STRIDE, MAY SUPPORT THE SUSTAINABILITY OF THE PROJECT

Theme	National n=		FGD (GIA and RIIC) n=		Regional		Responses
	f	%	f	%	f	%	
Inter-LGU collaboration this refers to the increase awareness of other LGUs in the region in creating the same framework as the RIIC.			1				“A suggestion for the RIIC to consider. It is good that we have an increase collaboration with LGUs. Hopefully the experience of Davao City creating RIICs can influence other LGUs in the region in creating the same. At the LGU level, I think it would be nice to use the Davao experience in having its own innovation center will be translated to others.” Academe (UP Mindanao)
Enhancing networks refers to the expansion of current key players through capacity building workshops of other untapped players			12 (8)				<p>“Recently we have an ICANVAS tool training so we’re holding an event like this and we’re offering to train you and your network. Wala pong MOA, but more on offering na lang kung may icoconduct sila na event.” Government (DOST)</p> <p>“To work with a whole industry group would be good. Starting with Networking, this will help sustain collaborations.” Academe (UPD)</p> <p>“We are looking forward to involving the DA in the agriculture side, the other industry associations.” Government (CHED)</p> <p>“If the project is something that addresses a certain technology for example that we will be using over a long period of time, then the sustainability question is quite long-term just like what we’re doing now with some projects with DOST, so that’s in collaboration with DLSU. That’s another point, but for sustainability on per project, that will really just be based on the life of the project, since we’re addressing industry issues, then I can probably say that once we’ve addressed the problem</p>

		then the sustainability will depend on if we'll use it or whether we'll advance to a new technology." Industry (IMI)
Revisiting of the curriculum refers to the review of the curriculum in relation to the interventions that were made.	1	"Marami po kami sa COB depende sa CMO ang CHED kasi marami nang ganun na binubukod yung professional track. Sa college of business po. Sa ngayon kasi suspended lahat ng autonomous status, so ngayon bawat galaw po naming kailangan ng permiso sa CHED." Academe (DLSU)
Provision of research grant this refers to the programs of the HEI where their researchers can submit proposals and can be funded.	1	"We have several programs. We have advanced technology commercialization (ADTECHCOM) where our researchers can submit proposals to our office, and we can fund." Academe (MSU-IIT)
Gender Inclusion refers to the involvement of all genders in the project.	1	"Women development in SURGE." Industry (OROBEST)
review academic policies this refers to the revisiting of the academic policies that involves faculty researchers and to continue to enhance their capacity in doing research and innovation	1	"The researcher is also doing another work/job. As much as we want to continue the project and sustain it. In the project, there are no money, we cannot even use the administrative cost to repair the unit in case it needs to be fixed. If there is a policy that will look into the whole chain of technology development up to commercialization, that would be very helpful for projects like this. The project helps the researcher to reach its output to commercialization. We don't have the "business attitude", only as a researcher. If there is a program that could support us, sustain us to develop that mindset. We have the fear that what if the business will fail? Up to now, the technology is just in the pilot scale. If we produce 1 kilo of powdered squash, it is very expensive. The one that we gave to Mr. Teope are subsidized by the project. There is still the need to optimize the technology and be ready for the supply. Also, the production supply should follow from the quality standards of the industry." Academe (XU)
Inclusive mechanisms refers to the all action that will sustain the intervention thus it will involve all key players in other LGUs/organizations/agencies through effective collaboration	18 (16)	"We see complementation especially with the CMCI because for this year aside from the 4 pillars, the innovation cluster is added. So, this is a complementation that is added relative to the CMCI (Cities and Municipalities Competitive Index). This year they include for monitoring the innovation, but it will be included in the ranking by next year." Government (DTI) "We also have a program, research and researches for MSMEs, where we connect our researchers to MSMEs. Our researchers can submit a proposal and they have to identify an MSME as their beneficiary of that proposal. That is also part of ILIGANiCE. The ILIGANiCE will help smoothen the process when we try to connect with MSME and MSMEs we try to connect

		<p>our research related innovation infrastructures at MSU-IIT.” Academe (MSU-IIT)</p> <p>“We are expanding the coverage of the RIIC initiatives to other provinces. Recently, we designated also innovation point person in 5 provinces of Davao Region.” Government (DTI)</p> <p>“We’d go to the food innovation center on how to package it then to the DOST to provide an FDA. Yung packaging ng mga bulacan products ginagawa yun sa food innovation center.</p> <p>BULSU is really pushing that for the academe and the students, andito na tayo eh, so let’s become the top not only for the region but also for the Philippines. On Thursday we would be having a MOA signing with BCCI and BULSU so we’re strengthening our ties with the academe. We’re providing them a means that we’re providing an online OJT to the students to work for the industry partners. Before in my company, I was accepting 30 students in my companies, so mostly yung kinukuha ko mga engineering, architecture and accounting. So, around mga 20-30 students talaga, mostly they’re from BULSU. Sa ibang schools naman mostly HRM yung amin.” Industry (BCCI)</p>
Review ownership protection policies refers to the streamlining of the policies that safeguards the ownership of the projects.	3	<p>“When we started this, we don’t have KTTO. At the end of the project, we were able to build the design. If this would be upscale, and if there is a group that who wants to take on the technology, one concern is how will we protect the ownership of the researcher. Right now, we are trying to apply for the patent, the process is long and there is no office that is assisting.” Academe (XU)</p> <p>“However, the ecosystem that will include choosing, prototyping, funding and commercialization and the IPR issues need to be streamlined.” Industry (VistaLand)</p>
Development of the offshoot of the technology refers to the sustainable actions to be done in the facilitation and in the formation of final output of the project that needs to be scaled-up or in the creation of start-ups and spin-offs	8	<p>“As a matter of fact, we don’t have any more squash powder, so we made our own, however the squash here is very expensive unlike there in Cagayan de Oro, as a result, there will be an income loss. That is why we stopped making powdered squash.” Industry (Santiago Fresh Miki Factory)</p> <p>“Mas technology talaga, sometimes it’s the process and sometimes we are of course since we are a tech company, most of it is really based on that. Technologies really have a shelf-life, once it’s done and the shelf-life is over even if you have it you might not be able to use it because it’s obsolete. We are also looking at the process on a way that makes it</p>

sustainable because that of course will help us when it comes to providing efficiency and faster outputs.” Industry (IMI)

3.3 What are the challenges and opportunities needed to achieve sustained improvements in the partnership? (RIICs)

3.3, Given your USAID STRIDE connection, what emerging partnership/networks may support the sustainability of the project? i. e. other USAID projects nearby.

The political economy (political connections, social capital). (HEIs)

CHALLENGES AND OPPORTUNITIES NEEDED TO ACHIEVE SUSTAINED IMPROVEMENTS IN THE PARTNERSHIP

Theme	National n=		FGD (GIA and RIIC) n=		Regional		Responses
	f	%	f	%	f	%	
issues on the accomplishment of the output refers to the challenge if the tangible output will be achieved.			2				“The biggest challenge is to see the actual realization of the efforts. To see that it actually happens. Because as of today, we are still waiting. Once we will be receiving the technology, there will be unlimited opportunity. With this experience, we rely so much with our partners. The sooner, the more active participation our partners, will be really helpful in attaining this ultimate objective, the fruition of all our efforts.” Industry (OROBEST)
discontinuity of partnerships refers to the gap of the collaboration that will happen from the partnerships that is well-established			3				“If we try to look at the entire ecosystem, the ecosystem does not only consist of academic institution but also consist of the LGU. But the LGU has a timeline like in every 3 years they change officials. If that set of officials that are managing the city will not have the same mindset., that is one challenge there. So, we have to mainstream this mindset so that who will ever take the office in the future, we can still smoothly implement the programs that we have started. The main challenge is the mindset. If we don’t have the same mindset and if don’t share the same values, then that will be a big challenge. Of course, the partnerships and collaborations, if we have the same goals and objectives, there might be challenges that we can share and embrace.” Academe (MSU-IIT)
context-specific commercialization this refers that commercialization of the technologies is a case-to-case basis.			1				“This will be something that has to be arranged by the teachers, students and the businessmen, but this is usually a case-to-case basis. For me, personally, not as part as BCCI, because the Dean from BULSU is a good friend of mine, if the kids” Industry (BCCI)

Digital platform issues refers to the challenges in the transition of a different platform in business operations cause by the pandemic.	2	“Business Recovery. How is business going to move forward in the future? Everything is digital now; everything is going online now is the time to innovate.” Industry (BCCI)
enhancing inclusive actions refers to the development of mechanisms that will strengthen the active collaboration of all key players.	4	<p>“Second one is on deployment, all of our projects should be deployed to all partners, and also our stakeholders, and with this, there is a gap in our deployment and project. For this to be sustained we need to fix the gaps when it comes to deployment.” Government (DOST)</p> <p>“There is this issue of Industry-Academe gap that the academe is not responsive with the needs of the industry. With the RIIC, I hope it would be able to further strengthen Academe and Industry collaboration. The perennial issue of collaboration can be resolved.” Academe (UP Mindanao)</p> <p>“From the Bridge program that I am engaged in, there is real time in adoption of their recommendation. Their recommendations are good in terms of business development and expansion. We are looking it like a “bible”. We are looking at it every day on how we can adopt whatever mentioned there by ADMU. because you cannot avail such expertise every day. We have followed the majority of the recommendations, so far. For example, in our market development, it is doing very well except we are still waiting for another recommendation which is still we can hopefully do something about. Everything is in real time. It is not a matter of receiving a report or recommendation, but an actual implementation of the recommendation. That is why STRIDE is alive, it evolves, it has good mutation.” Industry (Oro Handmade)</p>
involvement of all key players refers to the active participation of all key players in the discussions and activities for the sustainability of the program	4	“Re the Innovation Guidebook, MSMEs already have the guidebook. Next thing to do is for stakeholders to sit down, discuss action plan per MSME and firm up commitment by organizations involved. Hence, everything stated in the plan, based on the needs of the concerned MSME, will be implemented accordingly.” Government (DTI)
Growth of collaboration this refers to the expansion of partnerships to other organizations and offices guided from the plans and objectives that were established.	4	“It was already mentioned that the effort of expanding the membership or participation of other organizations in RIIC is already mentioned, and we appreciate that, as this would further expand the reach of RIIC. At the same time, we could say that its implementation in Davao is successful, and we need to expand that especially on the part of NGAs, because our function as regional offices must not only be in Davao but for the entire region. This was mentioned earlier, and we are happy for that. In terms of the involvement of the academe vis-à-vis the industry, I think that is really innate upon the initiatives of the individual institutions. We would that there are quite a number of institutions, both private and public, who are quite successful in terms of their reach and collaboration with industries. That is why it is important, and we are quite happy that the RDC had been very active in terms of policy direction and at the same time in

		the implementation of the programs of the national government agencies.” Government (CHED)
development of M&E Tool refers to the need to have an M&E tool to revisit the gaps and learn from it	1	“Third would be on learning, we need to have an M&E tool to revisit the gaps and learn from it in benchmarking from other RIICs, DOST X, who are doing well.” Government (DOST)
Develop more partnerships refers to the expanding and sustaining the collaboration	5	“Would like to see more parties brought into the network/conversation. Linkages to USAID projects that speak to environment protection, climate change adaptation. I would like to see how research could be used to support various platforms for carbon trading.” Industry (PhiliPILI)
		“In approach, the RIIC should have approaches to solve any gap pointed out in the strategic planning especially on how we can sustain the partnerships.” Government (DOST)
involvement of policymakers refers to the participation of the policymakers in the conversation when building a sustainable innovation ecosystem	1	“a pathway that we can connect with the policy-makers that we can have the same mindset. Connecting how policy-makers can be actively involved in our conversation when building a sustainable innovation ecosystem.” Academe (MSU-IIT)
Enhancement of funds refers to the increase of funds needed as more programs are implemented	7	“Problem would be on infrastructure. Once we increase the programs, we need to build on the existing infrastructures. Malaking tulong kung magkakaroon ng grants particularly in enhancing the center.” Government (CHED)
institutionalize the innovation assistance service refers to creating a system in assisting innovation mechanisms.	1	“Through STRIDE, RIIC has a plan to institutionalize the innovation assistance service of key partners from Davao Chamber, DOST, DTI and CHED etc.” Government (DTI)
developing more start-ups - spin-offs refers to encouraging the key players to create start-ups - spin-offs and make the culture part of the economy	4	“Sinabi na po lahat ni Doc S. KTTO participants po. They are now forced to talk to the industry, nakita po natin na may mga nanganganak. They have projects now when it comes to licensing.” Government (DOST)
sustaining the momentum refers to the continuity of doing innovation programs and activities	2	“Just go on what we have, and we are doing well. Sustain the momentum. The same program will be placed or enhanced, the MSME will be really grateful.” Industry (OROBEST)

3.4 What are the challenges and opportunities needed to achieve sustained improvements in the partnership? (HEIs)

CHALLENGES AND OPPORTUNITIES NEEDED TO ACHIEVE SUSTAINED IMPROVEMENTS IN THE PARTNERSHIP

THEME	NATIONAL		FGD (GIA AND RIIC)		REGIONAL		RESPONSES
	N=		N=				
	f	%	f	%	f	%	
Behavioral shift a paradigm shift in organizational behavior or perspective			3				“LGU4A The LGU is happy that UPLB discovered the potential of the native cattle of Siquijor. It has also led to the mushrooming of other projects. The LGU of Siquijor is all out in support for this project. The LGU now has semen collection for 80 cattle and has a building being funded by the local government.”
Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)			2				<p>“Tita Med, we have an ongoing project with BU FABLAB on Webinar Series and Product Development dubbed as Connect to Create. We will provide you the list and please share it among your colleagues po. FYI, we've already shared the list of webinars with OKB.” Government (DTI)</p> <p>"Fostering mutual cooperation and openness among institution and industry stakeholders Collective and collaborative efforts to address common needs, issues/conflicts Clear/open communication lines; agreed roles and responsibilities" Industry (PhilPILI)</p>
Commitment of R&D ecosystem actors refers to an improvement to R&D Ecosystem players			2				“Our ongoing two programs start with the entrepreneurial mindsets, after which the development of their business improvement plans follows. At the end of this year, we will have over 3,200 entrepes in Cebu City alone and over a hundred in the region whom we will filter through for other technical requirement our assistance needs which we may introduce to this program. But they have to go through the process because that’s the only way we can build commitment. And that we have seen that happened in the last two years where our clients are committed people at the end of the program. It is true, if it is not demand driven, they might ask why are spending so much time to this?”
Communication strategy. Strategic structuring of communication plan for programmatic functions.			5	(2)			“What we do sa region 3 is to adequately plan and overcome disruptions especially in this pandemic. So, what we do is to structure the innovation program for region 3.” Academe (BULSU)
Resilience. Institutional resilience on maintaining the same level of impact and initiative regardless of external circumstances.			1				“Institutionalized contingency planning (even well- thought plans are bound to break, especially when there are a number of independent players involved)”
Funding. Financial requisites for programmes to continue			1				“There is always a need for money but the determination whether you need that money comes only after when you have decided where to go - you know your direction. Whether you need to change your business model, whether you need to change your market. That soul-searching is what STRIDE is all about. At the end of the soul-searching, you will determine what your financial requirements are.”

ANNEX H

SUSTAINABILITY HEI.1 CRT

3.1 Which STRIDE initiatives will likely continue?

STRIDE INITIATIVES THAT WILL BE LIKELY TO CONTINUE				
CODE	RESPONSE	KI	CATEGORY	THEME
Alignment to the thrust of university	Initiative on dried vegetables will continue. As long as it is anchored well in the agenda of the university, passion of the faculty, aligns the objective of the department, I think it will continue.	XU	Projects will continue as long it is anchored well in the agenda of the university, passion of the faculty	Alignment to the thrust of university refers to the agenda of the university, passion of the faculty, aligns the objective of the department
Alignment to the thrust of university	The existing of the projects that we have are aligned and supports the university's research agenda. For me, they should and given a chance and opportunity to continue and just qualify on they should continue, would it be more on development or collaboration.	XU		
Capacity building	by conducting capacity-building or workshops	USTP	conducting capacity-building or workshops	Sustained capacity building and collaboration refers to the enhancement of capacity and collaboration that was established
Collaboration	With the project, it has opened its relationships with different institutions. While it is not really articulated as a policy, even these relationships will continue even beyond the project. It is like opening the window for this opportunity.	XU	opened its relationships with different institutions	
Collaboration /Capacity building	In addition, in the Department of Chemical Engineering, the Pyrolysis project that we started with STRIDE is still being continued and in fact we were also able to invite a "balik scientist", although our engagement with "balik scientist" is not on biomass, but it paved the way to our collaboration because he is now with University of San Carlos (USC). We had a collaboration with him in USC. An improvement of our pyrolysis project is that we collaborated with a refinery with the USC and Dr. Tan, our "balik scientist".	XU		
Collaboration	Academe industry linkage			UPLB
Collaboration	Fostering IE linkages			UPLB

Collaboration	Yes, because STRIDE was able to amplify that perspective that we have to be relating or linking with the industry.	UPLB		
Curriculum	In identifying the innovative programs to be offered. STRIDE helped us in determining the innovative programs	USTP	crafting an innovative program	Curriculum design refers to the academic programs offered and the academic instructions that will be implemented.
Curriculum	Our on-the-job placement in the University is already present.	BSU		
Curriculum	PSM	UPLB		
Curriculum	STRIDE had two sessions on curriculum development conference at the UPLB Graduate School where we invited David Hall, Chief of Party of USAID STRIDE Phase 1 and the American Professors to talk about PSM and the concrete/direct IE relationship.	UPLB		
Curriculum	like we did in offering PSM. Aside from that, STRIDE also helped us crafting an innovative program that we just offered recently, Master of Public Sector Innovation. We just offered it on the 2nd semester, January 2021. That is a master program that is enrolled by many government officials. More than 30 students have enrolled in that program. That is the product in collaborating with STRIDE crafting that program with other university also in USA, especially on the Golden Gate University. If they can continue to have that initiative that they help us in identifying these innovative programs, in response to the need of the industry.	USTP		
Curriculum	Aside from research and social development, I think it is also important that research impacts our instruction. In the College of Agriculture, we are incorporating our results into our classroom instruction.	XU		
Curriculum	There are also PSM and CHED policies.	TIP		
Curriculum	Master's program – BSM. We have several students that are under the PSM programs	UPD		
Curriculum/Institution building	We have two newly instituted master programs - Master in Food Engineering and Master in Animal Nutrition. It has a PSM flavor although the word Professional was deleted. These programs highlighted IE which contributed to the BOR and the President to easily approve these proposals.	UPLB		
Funding	We had funding with NRCP for the Biomass Project. Beyond the Biomass Project we want to go ahead with our refinery project. With the enthusiasm with our partner from USC, I'm pretty sure that we can continue with our Biomass and refinery projects and also on the Pyrolysis Project that we had with STRIDE	XU	hopefully to continue the funding support and research grants	
Funding	Sana po continued pa din yung support sa basic research since na discontinue to eh since gusto lang nila applied research.	UPD		
Funding	Some benefits that would accrue to us and other universities would be the research grants from 2014 and onward. These have been adopted by DOST, we are getting hundreds of millions of pesos through research grants. This is the	DLSU		

	next generation of adaptation of STRIDE grants. As long as DOST will be giving these grants, this should ensure the STRIDE initiatives to continue.			
Funding	Yes, funding this kind of initiative, understanding the underlying concerns.	UPD		
Institution building	KTTO, Career Center Program	USTP	established offices and programs	Establishing enabling factors refers to the creation of infrastructures, programs, and policies for the project.
Institution building	The Career Center is now in its 3.0 edition. So, it should go into its 4.0 eventually. The PSM degree is a continuing concern. The KTTO is also happening. We hope the visiting professors will continue	TIP		
Institution building	KTTO will sustain (we will sustain to make our research output more relevant to the society – as a commercialized product)	USC		
Institution building	KTTO will be sustained by the university to make research more relevant to society	USC		
Institution building	The CARWIN, because of it we were able to have the CRADLE from DOST	MSU-IIT		
Institution building	Our Career Center. STRIDE supported the existing Career Center of the University by enhancing the placement of our student in the industry.	BSU		
Institution building	he evolving work in progress Career Center Policy on the creation of the Career Center.	TIP		
Knowledge creation and increase in KAP on innovation and technology	We developed the apps for the farmers but were are developing it now for the students. The dehydration facility is part of the laboratory exercise of students.	XU	developing technologies for the industry	
Policies	KTTOs are covered by marketing and commercializing policies	TIP	continue established policies.	
Policies	Policies on commercialization because they helped us on that and they gave inputs for that.	MSU-IIT		
Procurement	We need public policies from DOST and DTI since our grants are funded publicly. They will enable us, DLSU, and other universities to go for laboratory products and see things in future products.	DLSU	review procurement policies	
Procurement	Influence policy makers for new procurement policy, many policy papers on procurement (wala pa rin) if STRIDE will push for this, malaking bagay ito.	UPLB		
Procurement	If STRIDE would be successful in influencing policymakers to craft a new RA on procurement policy	UPLB		
Protection of outputs (patenting/indigenous knowledge)	I think legislation, STRIDE intellectual property, rules on collaboration with overseas partners. These have provided us a permanent effect. Next would be human resource development. I think we have made significant improvements. Study tours and lessons learned have either gone into the policy of the university or have become part of the recipients' DNA now.	DLSU	review on intellectual policy and human resource development	
Protection of outputs (patenting/indigenous knowledge)	Within DLSU, I'll categorize them into two.Changes that happened in DLSU – Intellectual Property Policy, Knowledge Transfer Policy and Public Policies.	DLSU		

Technology transfer	Siguro yung Tech Transfer Ecosystem or IP which is being done right now with UP START program.	UPD	review on intellectual policy
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3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay or providing internal funding to continue STRIDE’s interventions.)

STRIDE INTERVENTIONS WITHIN THE HEIS/GOVERNMENT RESEARCH AGENCIES/INDUSTRY THAT ARE RECOGNIZED				
CODE	RESPONSE	KI	CATEGORY	THEME
Awareness	Yes, I don’t know if they’re formally implemented. I’m not sure if people like me are aware of this.	DLSU	Formal intervention of the project	Awareness Refers if the people were conscious on the programs that were implemented
Capacity building	Yes, of course. Pag may tatak STRIDE Malaki ang pagtingin. I think yong example, is that the outputs of DAME faculty members who attended case writing sessions were recognized in the promotion.	UPLB	Activities that increase capacity	Sustained capacity building and collaboration
Institution building	Yes, the fact that we have a KTTO Building. USAID’s intervention made the KTTO.	MSU- IIT	Creation of offices/Institutional changes brought about by STRIDE	Refers to the recognition of STRIDE initiatives that improved capacity and collaboration.
Partnership	STRIDE further supported BSU by giving direction and introduced us to other networks	BSU	Initiatives that strengthened collaboration	
Attitude	There is more confidence attached to the HEI if there are/were USAID STRIDE-supported projects/programs in the University.	CITU	A shift in attitude in the innovation ecosystem stakeholders	Behavioral change or institutional trust refers to the trust or attitude towards institutions

3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?

3.3.1 What is the likelihood that these can be included?

ACTIVITIES OF STRIDE INCLUDED IN THE LONG- TERM R&D PLANS OF THE HEIS				
CODE	RESPONSE	KI	CATEGORY	THEME
Friendly/Responsive policies	In terms of the R&D Plan, the incentivization of research outputs is already included where publications are included in the promotion system, IPA [International Publication Award], and a host of other incentives.	UPLB	Activities aimed at implementing or improving certain policies	Enabling policies refers to the set of policies that would help

Friendly/Responsive policies	Enabling mechanisms? There should be an increased presence of infrastructure and flexible policy.	BSU		improve R&D plans of HEIs
Policy	Policy on incentive mechanisms for sustained research productivity	CITU		
Policy	1. Embed IP in research policy; also, 2. Separate policy specifically on IP; IP sharing scheme	USC		
Attitude	Our faculty should have the same mind-set especially to those who are in the College of Engineering. We need to have a product out of research. We also involve faculty who are in a different college. That is our challenge, to have our faculty to have that mind-set.	USC	A shift in attitude in the innovation ecosystem stakeholders	Behavioral shift refers to the shift in attitude when it comes to publication, industrialization of R&D outputs and the like.
Attitude	1. As mentioned, mindset is still limited to publication of research (needed to balance between patenting research and publication of researches) 2. Change mindset of student for IP protection of technologies they developed (with the help of the university)	UPCebu		
Attitude	There is willingness to incorporate. However, the likelihood that it will be included will depend on information (they can gather) about STRIDE programs	UPCebu		
Alignment to the thrust of university	The culture of the university that research is not yet mainstreamed	XU	Research agenda will likely to be included in research universities	University's thrust refers to the university's agenda if research could be included as one of its programs.
Alignment to the thrust of university	These are likely to be included in research universities. The TIP is not a research university, it is a professional institution, and their focus is more on teaching, but they are doing collaborative applied research.	TIP		
Capacity building	Capacitate our faculty to go into entrepreneurship into start-up. Our faculty's aim is just to publish; how can we go beyond that? How can we capacitate this faculty? I think STRIDE can help us on that. Maybe providing skills on entrepreneurship.	USTP	Enhance the capacity of the faculty to go into entrepreneurship into start-up	Enhancing Capacity building refers to the capacity of the researcher to go into start-up
Capacity building /Technical assistance /Financial assistance	So, the enabling mechanisms would be technical assistance in its various forms. Maybe loans, capacity building and etc.	TIP		
Capacity building/Fees	Online part. Although this is favorable for people in the province. The problem is spacing the training days, and another would be how interaction would be done. The fees could possibly be a challenge especially for other SUCs. Their feedback however is good, since they are willing to pay.	UPD		
Capacity building	Trained pool of faculty who can carry out projects with external funding and/or collaboration with innovation stakeholders	CITU		
Collaboration	Yes, with Industry Engagement.	DLSU	Keeping the collaboration between key players	Sustaining the collaboration refers to keeping close contact and
Collaboration	Industry Engagement – what this means is that we have a significant number of our engineers and scientists keeping close contacts with industry partners. We	DLSU		

	kept this program going. (catalyst is the STRIDE grant) (IMI technologies) (There are CRADLE project)			engagement among partners.
Partnership	STRIDE can improve IE by Identifying different players	UPCebu		
Curriculum	Yes, especially with the START program. We are currently making 2 modules, one on research the other on technology transfer. We are serving other universities and SUCs. Actually, these are our targets for the tech transfer, for the research naman pwedeng kahit sino.	UPD	Crafting modules on research and technology transfer	Reviewing Curriculum Design refers to crafting modules on research and technology transfer
Fees (training)	Hopefully ma sustain, since now it already is online. We also have a fee to make it sustainable. It has a training fee, sa ngayon we are looking it to be discounted since it is still the initial part.	UPD	Fees for training	Fees for the training Refers to the fees during training.
Funding	No. The one earlier I talked about was AMI technology. The funding initially was coming from the AGUILA grants; it was partially funded by STRIDE. This was a few years ago. We had a continuation using that model of cooperation, with the same team. The more recent projects were funded by the DOST. They have this cradle program. There are cradle projects both in Laguna and Manila campuses.	DLSU	Research grants or funding from government or other institutions	Funding resources refers to agencies that can provide grants or programs.
Funding	Some government agencies need to devolve grants and funding to private HEIs, not just to state universities	CITU		
Funding	Have not read the report of the previous administration. But there are documents indicating the STRIDE funded researches in UPLB. [Note (added by MMP: Six of these projects were conducted between 2013-andJanuary of 2018)]	UPLB		
Funding/Financial Assistance	We involve them on research so that they can also apply for a research grant.	MSU		
Institution building	Establishment of the Technology Promotion and Commercialization Office.	USTP	Establishment of programs and offices	Establishing an enabling environment refers to the activities that promotes the sustainability of the programs that were implemented.
Institution building	Research Centers and Innovation Centers that we have established, FIC, the FabLab	USTP		
Institution building	We have a research office under the office of the president. We can start from there and coordinate with the work of the project leaders. Maybe we can also get comments and recommendations so that the university. I think the research office is an enabling mechanism. We just have to make sure what we will do there is based also on the needs or results of the evaluation like STRIDE program	XU		
Institution building	100% included in our plans. They are currently doing it.	DLSU		
Institution building /Collaboration	We have social-development centers in each college and this is being coordinated our Institute for Societal Engagement, in terms of relating to other institutions, government or private.	XU		
Knowledge transfer	Primary goal is to transfer research output for commercialization or adoption or utilization of the community or industry.	USTP	Transfer research output for commercialization or adoption or	
Knowledge transfer	On technology transfer, one of the areas that we need to improve is how we	USTP		

			utilization of the community or industry.
Resources	Sourcing and utilization of resource funds. Balancing the teaching workload and research-workload of teachers. Allocation of man-power resources. Capacity to do research.	TIP	Balancing the teaching workload and research-workload of teachers.
Resources	There are things that are unplanned, possibly if the academic partners would use these. We're very space constrained and of course STEM research needs space. That's why we expanded our Laguna campus. An internal problem is infrastructure to house these labs.	DLSU	Allocation of man-power resources. Capacity to do research.
Supportive Admin	One is support of the UP Admin, the OVPAA is really supportive. Another is that USAID STRIDE is really supportive.	UPD	Support from the admin in every institution/organization
Supportive admin	Governance of the University to guide and monitor the results and learning from engagements with USAID STRIDE	CITU	
Industry linkage	Expanding the pipeline of technologies that are commercially viable to continually connect with the industries	CITU	Academic links to industry
Awareness	Awareness of processes - Need for awareness of STRIDE programs	UPCebu	Awareness of processes
Procurement	Procurement of equipment from abroad.	UPCebu	Procurement policies

3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred?

3.4.1 Community

3.4.2 Government

3.4.3 and Industry?

PRINCIPAL LINKAGES FOR INNOVATIONS AND R&D OUTPUTS TO BE ADOPTED/TRANSFERRED				
CODE	RESPONSE	KI	CATEGORY	THEME
Collaboration	Community, Government and Industry: Linkages are through the KTTO under the catalyst of the TechnoCore.	TIP	Increased linkages with other organizations in a	Interorganizational Collaboration.
Collaboration	Community – through LGUs. The CLEAN Gem project, the university gave a non-bearing royalty to LGU partners. Government – through DOST and DTI. Well kami sa	UPD		Increased linkages between different

	department active kami with DTI because of the standards they're trying to establish.		formal or informal capacity	actors in the Innovation Ecosystem (Government, Industry and Academe) would improve the adoption or transferring of R&D outputs.
Collaboration	Community Linkages – it depends on the business model that you adopt. One is you could use technology and makes a commercial product out of it. Some technologies might be different; some might be humanitarian in orientation. I have a colleague who developed technologies to allow crab farmers to be more productive such as A.I. and off the shelf cameras. We still have no marketability for these technologies. In some cases, industry partners may have the initiative to provide the technological innovation. It really depends on the nature of the technology. Government Linkages – Linkage to the government is mostly advisory in nature. This has nothing to do with STRIDE, but I can use it as an example of what can be done. We had a team who developed a vaccine allocation program. The intent was to optimize vaccine allocation. We invited USEC for the launch. This is what we can do. We can offer our expertise for government for problems that come along. Industry Linkage – It's a matter of bringing them in the grants. By involving the industry earlier, we avoid dead ends.	DLSU		
Collaboration	We are engaged in the three (3); (1) community, because of our student organization; (2) government, with LGUs and government agencies and we even sit in the Regional Development Council of Northern Mindanao, (3) industry, this is where STRIDE opened the door for us where we are not very much engaged with Chamber of Commerce and with the different businesses.	XU		
Friendly/Responsive policies (research engagement and linkages established) /Collaboration	We will see what our activities inside the academe, not only in teaching but also in research, and then they will trust us that we are doing well and probably engage with them to have first with smaller activities, later on if we are satisfied of the outcome or the output, probably we will adopt one of their technologies.	USTP		
Partnerships	Currently, we are having research collaboration with two (2) industries on DOST - CRADLE,	MSU	Increased partnerships with other institutions	
Partnerships	University has already established strong ties with the chamber of commerce.	USC		
Scalability of projects-programs	Industry – UPSCALE, sila po yung nag iinvite ng industry for the reverse pitching. UPSCALE is a DOST funded project but based siya sa UP Diliman, nasa NEC po siya. It caters not only to UP but also other universities.	UPD	Mechanism made by key players to scale up the project. A tool that can measure the success rate of the project	Program scalability is needed in order to ensure adoption of R&D outputs.
Start-ups - spin-offs	UP-Cebu shares government processes (grants, procurement) with start-ups but may differ by government agency	UPCebu	Support for start-up and spin-off	Intellectual property and commercialization

			creation/improvements or for commercialization	incentives to start-ups and spin-offs. Pertains to the protection for original works, inventions or the appearance of research and other scientific developments.
Start-ups - spin-offs	STRIDE can help in identifying start-ups	UPCebu		
Start-ups – spin-offs commercialization/licensing	Last week, we were able to sign the Technology Licensing Agreement with an industry, four (4) technologies. It didn't happen overnight, because the source of the research or innovation center is our food innovation center. It was long established around 2014, they created a name, and the industry was able to notice the expertise of the researchers on that food innovation. Before this commercialization, that particular industry or company has some collaboration with our researchers. They were able to use the equipment in our FIC, with some consultation. Over the years, they were able to see that our FIC is really good institution that could help them move their product to the market -- that they could innovate their product, so that it could open so many product lines. Last year, we decided that if there is a new technology that will be coming out from the FIC, we want to take a look and if it is feasible, economically viable for us, so we are going to adopt that. I think that is one principal linkage that we really to advertise the capacity of the university to the industry, so that we will have the confidence.	USTP		
Commercialization	Create addition revenue stream generated by research	USC		
Commercialization	Yes, especially on the commercialization. Because of the one grant, wherein a research project was commercialized and was funded by the USAID.	MSU-IIT		
Commercialization	Since CRADLE is for commercialization	MSU-IIT		
Commercialization	The community gains income since the rice straws are discarded.	MSU-IIT		
Commercialization	We want to have more commercialized products based on research. Usually, this happens in the College of Engineering because we are on Applied Science. As you noticed, there were three (3) of us who had grants. USAID wants Applied Research proposals and to have a product that can be commercialized.	MSU-IIT		
Industry responsiveness	One industry collaborator that we have is in Bulacan, they will adapt this technology in their plant. They are very aggressive. The equipment that we bought is owned by the university. Now, they are working with the community and the LGU since the raw materials, rice straw, they are reaching out to the community in Bulacan. The project title: Poly-ol from Rice Straw for Roofing as Bio Polymer.	MSU-IIT	Academe improvements that make it more responsive to industry needs	
Friendly/Responsive policies	Malaki pa rin ang pagtingin sa research, mas incentivize. There is a need to revisit the policy on transferring the R&D outputs and better incentive system.	UPLB	Policies that promote incentives	
Knowledge transfer	To translate research output into extension activities because these are not very well-thought out in the government.	UPLB	Assistance needed to translate research output	Knowledge and capacity building assistance refers to programs that increase

				capacity and knowledge base.
Technical assistance	The technical assistance provided by STRIDE has made the Regional Innovation Inclusive Centers (RIIC) possible wherein the University has been very active through the participation in the Innovation for Business Recovery (IBR) program, and consortia.	CITU		
R&D Ecosystem	Yes. RIIC is just a brand. We have R&D program. BSU has a TBI (Technology Business Incubator] and already talking with the industry on what the students can develop. The students are deployed in different municipalities.	BSU		
Lack of expertise/Low capacity	The industry should have more capacity to absorb the invention of the university (there is weak absorptive capacity)	USC	Lack of capacity to absorb inventions	Different approaches to provide the transfer and adoption of R&D outputs would be capacity, institutional attitude and each institution would have a different approach
Attitude	The university has the perception that RIICs are only being promoted to SUCs, not with private. Same with the Fablab (Fabrication laboratory), offered only to the State U. There is a Fablab of the university but different to what is being offered/provided by the government	USC	Lack of perception or attitude towards adoption	
Context specific approaches	Identify community- based groups women group, LGUs-landslide, used maps Chamber of commerce-assessment with start-ups Link with barangays and LGUs through the utilization of previous programs (e.g., LIDAR). UP-C also links with the industry through the chamber of process (e.g., for assessment of start-ups)	UPCebu	Varying institutions leads to varying approaches to adoption.	

3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?

DIFFERENCE IN STRATEGIES TO INSTITUTIONALIZE CAPACITY-BUILDING PROGRAMS BETWEEN SMALL AND BIG HEIS				
CODE	RESPONSE	KI	CATEGORY	THEME
Context specific approaches	In my opinion, not really. Before STRIDE implements an activity or a program, they conduct needs assessment. If they would approach an academy or an institution, they would say where are you in terms of the concept tech transfer? Do you have existing policies now? So that STRIDE will be able to craft a program that is suited for the particular institution.	USTP	Strategies towards institutionalizing capacity-building are contextual to each different	Context-specific approaches. Yes. Each HEI has its own different strategies in institutionalizing

Context specific approaches	Yes, because you're dealing with different magnitudes, so the strategies would vary on the size of the HEIs.	TIP	situation/problem/institution.	capacity-building programs. (i.e., administrative or financial problems are contextual to each HEI)
Funding	For small SUCS which might be grappling with resources, their main concern to what extent they can fund capacity building program for their staff	BSU	Institutionalizing capacity-building programs entails funding assistance	Resource difference refers to the different levels of financial support HEIs are getting as well as resources and capacity building initiatives.
Funding	Financial support from the HEI to incentivize faculty's engagement with the projects; laboratory facilities; etc.	CITU		
Funding/Resources	Big HEIs have bigger budget which allow them to hire more personnel compared to smaller HEIs	UPCebu		
Resources	I think we are a "medium" university. For example, UP is a big university with 20,000 or 30,000 students. The consensus talked about that it is more on the SUCs and private and not on small and big HEIs. A distinction between public and privately funded. The money that we have is from the students. Our revenues are from fees from the students. We don't have big research fund from a big source. We only have a minimal funding for our research faculty. This research should go back to the students for the instruction, but we cannot spend that much. That is our handicap.	XU	Balancing the teaching workload and research-workload of teachers. Allocation of manpower resources. Capacity to do research.	
Resources	The problem with smaller HEI institutions is expansion. Probably they do not have the right person for the job. They have a smaller talent pool to work with just by the virtue of having a smaller faculty.	DLSU		
Institution building	A lot of it has to do with financial or human resources. Human resources i.e., if you decide to create a research office with a particular function it is important who you put as the lead in such office should be competent for the role.	DLSU	Established offices and programs	
Capacity building	HEIs of varied sizes may differ in strategizing capability-building programs because of, but not limited to: the roster of faculty researchers who can successfully accomplish collaborative projects	CITU	Assistance that increases capacity improves institutionalization	
Lack of expertise/Low capacity	For smaller SUCs, institutionalization of capacity building may not be possible yet.]	BSU	Institutionalization of capacity building is low	
Supportive admin	I think based on our KTTO, halos wala. It really is in the implementation. It's just a matter of translating things into actual implementation.	UPD	Administration is supportive	Leadership and supportive admin refer to the initiative and motivation of the project leader to lead innovation ecosystem initiatives
Leadership/Supportive admin	Leadership is a vital factor	USC		

Inclusive	Yes. When I was approached then by Manny Uy [Manager of STRIDE Scholarship]. Sir Manny ano kaya bigyan mo kami ng malaking pondo. However, the response of Dr. Manny Uy was. “Hindi, we should make it more inclusive for small universities to participate. It should be open specifically to regions which are underserved or to those which are emerging.”	UPLB	Inclusive approaches	Inclusivity refers to an inclusive approach done by the HEI
Policies	It depends on enforcement of policies and extent of reach of the policy to the members of the university; in terms of the aggressiveness of management to implement/enforcement policies.	USC	Enforcement of policies	Policy enforcement refers to the differences in how a policy is implemented in each HEI

3.6 How can mentoring programs as introduced by STRIDE be sustainable?

MENTORING PROGRAMS AS INTRODUCED BY STRIDE BE SUSTAINABLE				
CODE	RESPONSE	KI	CATEGORY	THEME
Capacity building	Several of the faculty members have joined Ideation Sessions. Some faculty members were partnered with the industry, MSMEs. However, nobody would take the time to write the proposal. Everybody was encouraged to be partners with the industry to have collaborative research that has direct applications to the industry. In the enabling environment, one SUC in the city their faculty do not have a teaching load during summer, but they are required to make proposals, maybe we can follow that, not necessary that all faculty members but only to some. The university may select faculty and be mentored	XU	Activities that increased or developed an organization’s capability to produce perform or deploy.	Overall capacity building. refers to the increase or regularity of mentoring programs or institutionalization of particular programs such as the KTTO or Career Centers.
Capacity building	We can have more regular conduct of mentoring programs and capacity building programs which would enable sustainability.	TIP		
Capacity building	Mentoring program can be and must be replicated in the University inculcating the culture of coaching junior faculty researchers thru proper incentivization Holding of fora to showcase the HEI’s success stories in their innovation programs due to the mentoring program of STRIDE	CITU		
Capacity building	There must be a continuous short-term capability building which slowly building up the capacity of the universities.	UPLB		
Capacity building	KTTO was translated into the IMPACT program. Hopefully DOST will take this on. Hopefully more universities will be involved, especially research universities. Hopefully STRIDE will be able to support The Alliance of tech transfer (ATOP) professionals. Yung mga IMPACT grantees po ma’am. So, it’s about promoting technological transfers within universities. Earlier grantees of IMPACT formed an alliance and are now mentoring? -Agnes The program is focused on promoting tech-	UPD		

	transfers. Ecosystem po talaga to may mga lawyers may engineer and etc. Yung IP officer nila is from Lasalle. In DLSU is a lawyer			
Institution building	They were also able to train other Career Centers in other campuses. It makes it sustainable. Through the programs that we learned from the trainings of STRIDE, we were able to recreate and innovate program, one example, in Florida State University, they offer an academic program of career to their students, and we were able to offer that in our Cagayan de Oro Campus. That makes it sustainable because that program runs from 1st year until 4th year. We call it Career Success Development program. It is not a one-shot activity. Before we all set for a career center, a one-shot activity, an OJT program or OJT Orientation or a Job Fair, because of the trainings of STRIDE, we were able to innovate the programs. We were able to have modular program and we pattern it with the Florida State University. We offered to all campuses of USTP.	USTP	Institutional building addresses capacity building beyond the provision of educating and training of professionals – often leading to organizational changes.	
Collaboration	Our experience in the US. We also have funds to do this. If we were a boat, we would have our own engines. The resources are in place. We have enough people who have been the beneficiaries of good mentoring who understand that this should be a continual human resource development. So even if it costs money to implement continuously these programs, it is needed. Also bringing in mentors through the Balik-Scientist program from the US and other countries so they would be able to provide newer perspectives and insights when it comes to STEM.	DLSU	Increased linkages with other organizations in a formal or informal capacity	Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe) would improve the adoption or transferring of R&D outputs.
Partnership	At the UPB Graduate School, we were able to link with the Universities in the United Kingdom for a 4-year PhD by research program. Mentoring is just part of program where students go to the UK to observe how research mentoring is done. The output of students can be in the form of publication or paper read in a conference. This is funded by CHED.	UPLB	Increased partnerships	
Partnership	In NICER, it involves HEIs and researchers that are collaborating with us. There are collaborators from Ateneo de Davao, Xavier, MSU-Gen San, MSU-Naawan, MSU-Marawi, and big industries. It is a big research program with many activities. Hopefully, before I will retire, that is my contribution to mentor the budding scientists. Afterwards, they can apply for their own research program after their training in NICER.	MSU		
Supportive admin	There has to be champion in the university for the mentoring program. If there is a champion, he/[she] will think of a program, searches for fund, and other resources, otherwise; it will only be pure advocacy.	BSU	High initiative from the administration or the project leader/manager	Leadership and supportive admin refer to the initiative and motivation of the project leader to lead innovation ecosystem initiatives

Curriculum	There should be a banner program for STRIDE initiatives like PSM na pwede incorporate the mentoring program linking the academe and the industry	UPLB	Incorporation of mentoring programs into the curriculum	Curriculum integration refers to the integration of mentoring programs as part of the curriculum
Policies	Wala pa po, so I think yung mentoring yung mga coaching nila with resource persons on how to handle this data on how we can discuss and to write the white paper proposal, pwede na yun. I do not know how long they would be happening this, always ba? Mawawala na yung budget.	UPD	Policies on how to handle and use data taken from mentoring	Policy enforcement refers to the differences in how a policy is implemented in each HEI

3.7 What is the requisite policy environment for sustainability of STRIDE interventions in the HEIs?

REQUISITE POLICY ENVIRONMENT FOR SUSTAINABILITY OF STRIDE INTERVENTIONS IN THE HEIS

CODE	RESPONSE	KI	CATEGORY	THEME
Capacity building	A policy that will support the faculty/researchers that will encourage them that they will go to spin-off or start-up since we are not able to implement this yet. We are looking on how to attract the faculty to go into start-up or spin-off. Also, for the students on what support that we can give to them. If the university is allowed to give capital for those students who are interested to go into entrepreneurship or start-up.	USTP	Activities that increased or developed an organization's capability to produce perform or deploy.	Policies conducive to increasing capacity refers to policies that would increase institutional capacity in HEIs
Capacity building/Attitude	The enabling mechanisms are to have a mentoring. Even if everything is in place but we do not train researchers that have a mindset the same with the USAID and PCIEERD training, they cannot get any grants, even if they just got their PhDs abroad, we have a different context in the Philippines. I really saw that there is a need to have a mentoring on the new PhD graduates	MSU		
Institution building	For the KTTO, naging active ako sa tech transfer ng university or sa business dev ng technology, so yun po yung nag start.	UPD	Institutional building addresses capacity building beyond the provision of educating and training of professionals – often leading to organizational changes.	

Curriculum	Transplantation. I do not think of STRIDE as a fixture, but it should be transplanted to a permanent fixture. One of the things we tried to transplant using stride is the Professional Science Masters. Some institutions were able to implement this, but it did not take root in DLSU. Because there was a higher wall between STI and Business faculties. There really was a different culture between the two before.		Changes or improvements in the curriculum particularly for HEIs.
Alignment to the thrust of university	Definitely, appropriate funding and alignment of the research agenda of the HEIs with STRIDE's priority areas.	UPD	Alignment in organizational objectives and priorities
Institution building	They were also able to train other Career Centers in other campuses. It makes it sustainable. Through the programs that we learned from the trainings of STRIDE, we were able to recreate and innovate program, one example, in Florida State University, they offer an academic program of career to their students, and we were able to offer that in our Cagayan de Oro Campus. That makes it sustainable because that program runs from 1st year until 4th year. We call it Career Success Development program. It is not a one-shot activity. Before we all set for a career center, a one-shot activity, an OJT program or OJT Orientation or a Job Fair, because of the trainings of STRIDE, we were able to innovate the programs. We were able to have modular program and we pattern it with the Florida State University. We offered to all campuses of USTP.	USTP	Institutional building addresses capacity building beyond the provision of educating and training of professionals – often leading to organizational changes.
Policies	The recognition within the university, understanding, and appreciation that research is important. Faculty and admin offices may have different understanding of research; they see it as not important as teaching because it is not really bringing it money. Understanding and appreciation that research, along with social development, functions of the faculty are equally important	XU	Making use of policies in order to improve processes. Includes anything pertaining to policy challenges and opportunities. Research policy Improvements refers to improvements to research policies.
Policies	Procurement system that is responsive to building research capacities. Malaki ang masustain na efforts like retaining the best and brightest researchers	UPLB	
Policies	At BSU, it can be monitoring and evaluation of implemented policies	BSU	
Friendly/Responsive policies	University to adopt mandated policies by government agencies (e.g., CHED's CMO 46, 56, 15) that can help the university achieve goals on technology development and IP (e.g., publication of research) Policies when seriously applied can fulfil the mandate	USC	

Policies/Research/Commercialization	We have research and commercialization policy	MSU		
Resources /Friendly/Responsive policies (research engagement and linkages established)	The culture and the policy to be clear because we are still in the transition. I think it is not just the money but the thrust of the university. If we focus on research and we allow faculty to do research, the teaching will be affected. For me, it is not just money but how it will affect the teaching. UP and to some extent Ateneo de Manila can do that because they have many human resources for people who can do the work. Maybe we can start with few and see the turnout. We recognize the problem or gap.	XU		
Protection of outputs (patenting/indigenous knowledge)	He was the first one to patent technologies in the Universities, so we are trying to look at this as a good case study to learn best practices from.	UPD	Ownership of technology/research outputs.	Mechanisms for intellectual property protection and incentives to start-ups and spin-offs would enable sustainability.
Funding	Yes hopefully, the College of Business is actually taking in grants from DOST	DLSU	Financial-related support	Financial Assistance. Increased grants and funding would enable sustainability
Funding	I think leadership, government support in terms of budget which is gasgas na,.	UPLB		
Funding	I can understand STRIDE. STRIDE cannot monitor because it did not provide fund. Government agencies like DOST can monitor because of their grant.	BSU		
Awareness	Promotion and visibility, DOST call for proposal. It should be similar like the way DOST does it (i.e., call for proposals)	UPCebu	Awareness and information access	Awareness refers to visibility of ongoing programs that would be increase via policies.

ANNEX H

SUSTAINABILITY HEI.2 ST

3.1 Which STRIDE initiatives will likely continue?

STRIDE INITIATIVES THAT WILL LIKELY CONTINUE							
Theme	National n=		HEI = 11		Regional		Responses
	f	%	f	%	f	%	
Alignment to the thrust of university refers to the agenda of the university, passion of the faculty, aligns the objective of the department			1	9.09			<i>“Initiative on dried vegetables will continue. As long as it is anchored well in the agenda of the university, passion of the faculty, aligns the objective of the department, I think it will continue.” - (XU)</i>
Sustained capacity building and collaboration refers to the enhancement of capacity and collaboration that was established			3	27.27			<i>“With the project, it has opened its relationships with different institutions. While it is not really articulated as a policy, even these relationships will continue even beyond the project. It is like opening the window for this opportunity.” - (XU)</i>
Curriculum design refers to the academic programs offered and the academic instructions that will be implemented.			6	54.54			<i>“In identifying the innovative programs to be offered. STRIDE helped us in determining the innovative programs.” - (USTP) “Aside from research and social development, I think it is also important that research impacts our instruction. In the College of Agriculture, we are incorporating our results into our classroom instruction.” - (XU)</i>
Continuing support through funding refers to the continuation of the funding support			3	27.27			<i>“Some benefits that would accrue to us and other universities would be the research grants from 2014 and onward. These have been adopted by DOST, we are getting hundreds of millions of pesos through research grants. This is the next generation of adaptation of STRIDE grants. As long as DOST will be giving these grants, this should ensure the STRIDE initiatives to continue.” - (DLSU)</i>
Establishing enabling factors refers to the creation of infrastructures, programs, and policies for the project.			9	81.82			<i>“We need public policies from DOST and DTI since our grants are funded publicly. They will enable us, DLSU, and other universities to go for laboratory products and see things in future products.” - (DLSU)</i>

“I think legislation, STRIDE intellectual property, rules on collaboration with overseas partners. These have provided us a permanent effect. Next would be human resource development. I think we have made significant improvements. Study tours and lessons learned have either gone into the policy of the university or have become part of the recipients’ DNA now.” - (DLSU)

3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay, or providing internal funding to continue STRIDE’s interventions.)

STRIDE INTERVENTIONS WITHIN THE HEIS/GOVERNMENT RESEARCH AGENCIES/INDUSTRY THAT ARE RECOGNIZED

Theme	National n=		HEI = 11		Regional		Responses
	f	%	f	%	f	%	
Awareness Refers if the people were conscious on the programs that were implemented			2	18.18			<i>“Yes, I don’t know if they’re formally implemented. I’m not sure if people like me are aware of this.” - (DLSU)</i>
Sustained capacity building and collaboration Refers to the recognition of STRIDE initiatives that improved capacity and collaboration.			3	27.27			<i>“STRIDE further supported BSU by giving direction and introduced us to other networks.” - (BSU)</i>
Behavioral change or institutional trust refers to the trust or attitude towards institutions			1	9.09			<i>“There is more confidence attached to the HEI if there are/were USAID STRIDE-supported projects/programs in the University.” - (CIT)</i>

3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?

3.3.1 What is the likelihood that these can be included?

3.3 Sustainability Summary Table

ACTIVITIES OF STRIDE INCLUDED IN THE LONG- TERM R&D PLANS OF THE HEIS

Theme	National n=	HEI = 11	Regional	Responses
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	f	%	f	%	f	%
Establishing an enabling environment refers to the activities that promotes the sustainability of the programs that were implemented.	8	72.73				
					<p><i>"We have a research office under the office of the president. We can start from there and coordinate with the work of the project leaders. Maybe we can also get comments and recommendations so that the university. I think the research office is an enabling mechanism. We just have to make sure what we will do there is based also on the needs or results of the evaluation like STRIDE program." - (XU)</i></p> <p><i>"Establishment of the Technology Promotion and Commercialization Office." - (USTP)</i></p> <p><i>"Primary goal is to transfer research output for commercialization or adoption or utilization of the community or industry." - (USTP)</i></p>	
Enabling policies refers to the set of policies that would help improve R&D plans of HEIs	4	36.36				
					<p><i>"Policy on incentive mechanisms for sustained research productivity" (CITU)</i></p>	
Enhancing Capacity building refers to the capacity of the researcher to go into start-up	4	36.36				
					<p><i>"Capacitate our faculty to go into entrepreneurship into start-up. Our faculty's aim is just to publish; how can we go beyond that? How can we capacitate this faculty? I think STRIDE can help us on that. Maybe providing skills on entrepreneurship." - (USTP)</i></p>	
Behavioral shift refers to the shift in attitude when it comes to publication, industrialization of R&D outputs and the like.	2	18.18				
					<p><i>"Our faculty should have the same mind-set especially to those who are in the College of Engineering. We need to have a product out of research. We also involve faculty who are in a different college. That is our challenge, to have our faculty to have that mind-set." - (USC)</i></p>	
University's thrust refers to the university's agenda if research could be included as one of its programs.	2	18.18				
					<p><i>"These are likely to be included in research universities. The TIP is not a research university, it is a professional institution, and their focus is more on teaching, but they are doing collaborative applied research." - (TIP)</i></p>	
Sustaining the collaboration refers to keeping close contact and engagement among partners.	2	18.18				
					<p><i>"Industry Engagement – what this means is that we have a significant number of our engineers and scientists keeping close contacts with industry partners. We kept this program going. (Catalyst is the STRIDE grant) (IMI technologies) (There are CRADLE project)." - (DLSU)</i></p>	
Reviewing Curriculum Design refers to crafting modules on research and technology transfer	1	9.09				
					<p><i>"Yes, especially with the START program. We are currently making 2 modules, one on research the other on technology transfer. We are serving other universities and SUCs. Actually, these are our targets for the tech transfer, for the research naman pwedeng kahit sino." - (UPD)</i></p>	
Fees for the training Refers to the fees during training.	1	9.09				
					<p><i>"Hopefully ma sustain, since now it already is online. We also have a fee to make it sustainable. It has a training fee, sa ngayon we are looking it to be discounted since it is still the initial part." - (UPD)</i></p>	
Funding resources refers to agencies that can provide grants or programs.	1	9.09				
					<p><i>"No. The one earlier I talked about was AMI technology. The funding initially was coming from the AGUILA grants; it was partially funded by STRIDE. This was a few years ago. We had a continuation using that model of cooperation, with the same team. The more recent projects were funded by the DOST. They have this cradle program. There are cradle projects both in Laguna and Manila campuses."</i></p>	

3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred?

3.4.1 Community

3.4.2 Government

3.4.3 and Industry?

PRINCIPAL LINKAGES FOR INNOVATIONS AND R&D OUTPUTS TO BE ADOPTED/TRANSFERRED							
Theme	National n=		HEI = 11		Regional		Responses
	f	%	f	%	f	%	
Intellectual property and commercialization incentives to start-ups and spin-offs. Pertains to the protection for original works, inventions or the appearance of research and other scientific developments.			5	45.45			<p>“Last week, we were able to sign the Technology Licensing Agreement with an industry, four (4) technologies. It didn’t happen overnight, because the source of the research or innovation center is our food innovation center. It was long established around 2014, they created a name, and the industry was able to notice the expertise of the researchers on that food innovation. Before this commercialization, that particular industry or company has some collaboration with our researchers. They were able to use the equipment in our FIC, with some consultation. Over the years, they were able to see that our FIC is really good institution that could help them move their product to the market -- that they could innovate their product, so that it could open so many product lines. Last year, we decided that if there is a new technology that will be coming out from the FIC, we want to take a look and if it is feasible, economically viable for us, so we are going to adopt that. I think that is one principal linkage that we really to advertise the capacity of the university to the industry, so that we will have the confidence.” - (USTP)</p> <p>“We want to have more commercialized products based on research. Usually, this happens in the College of Engineering because we are on Applied Science. As you noticed, there were three (3) of us who had grants. USAID wants Applied Research proposals and to have a product that can be commercialized.” - (MSU)</p>
Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)			5	45.45			<p>“We are engaged in the three (3); (1) community, because of our student organization; (2) government, with LGUs and government agencies and we even sit in the Regional Development Council of Northern Mindanao, (3) industry, this is where STRIDE opened the door for us where we are not very much engaged with Chamber of Commerce and with the different businesses.” - (XU)</p>

				<i>"We will see what our activities inside the academe, not only in teaching but also in research, and then they will trust us that we are doing well and probably engage with them to have first with smaller activities, later on if we are satisfied of the outcome or the output, probably we will adopt one of their technologies." - (USTP)</i>
Knowledge and capacity building assistance refers to programs that increase capacity and knowledge base.	3	27.27		<i>"The technical assistance provided by STRIDE has made the Regional Innovation Inclusive Centers (RIIC) possible wherein the University has been very active through the participation in the Innovation for Business Recovery (IBR) program, and consortia." - (CITU)</i>
Different approaches to provide the transfer and adoption of R&D outputs would be capacity, institutional attitude and each institution would have a different approach	2	18.18		<i>"Identify community- based groups women group, LGUs-landslide, used maps Chamber of commerce-assessment with start-ups Link with barangays and LGUs through the utilization of previous programs (e.g., LIDAR). UP-C also links with the industry through the chamber of process (e.g., for assessment of start-ups)" - (UPCebu)</i>
Program scalability is needed in order to ensure adoption of R&D outputs.	1	9.09		<i>"Industry – UPSCALE, sila po yung nag iinvite ng industry for the reverse pitching. UPSCALE is a DOST funded project but based siya sa UP Diliman, nasa NEC po siya. It caters not only to UP but also other universities." - (UPD)</i>

3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?

DIFFERENCE IN STRATEGIES TO INSTITUTIONALIZE CAPACITY-BUILDING PROGRAMS BETWEEN SMALL AND BIG HEIS

Theme	National		HEI = 11		Regional		Responses
	n=						
	f	%	f	%	f	%	
Resource difference refers to the different levels of financial support HEIs are getting as well as resources and capacity building initiatives.			5	45.45			<i>"I think we are a "medium" university. For example, UP is a big university with 20,000 or 30,000 students. The consensus talked about that it is more on the SUCs and private and not on small and big HEIs. A distinction between public and privately funded. The money that we have is from the students. Our revenues are from fees from the students. We don't have big research fund from a big source. We only have a minimal funding for our research faculty. This research should go back to the students for the instruction, but we cannot spend that much. That is our handicap." - (XU)</i> <i>"Big HEIs have bigger budget which allow them to hire more personnel compared to smaller HEIs." - (UPCebu)</i>
Context-specific approaches. Each HEI has its own different strategies in			2	18.18			<i>"In my opinion, not really. Before STRIDE implements an activity or a program, they conduct needs assessment. If they would approach an academy or an institution, they</i>

institutionalizing capacity-building programs. (i.e., administrative or financial problems are contextual to each HEI)				<i>would say where are you in terms of the concept tech transfer? Do you have existing policies now? So that STRIDE will be able to craft a program that is suited for the particular institution.”</i>
				<i>“The problem with smaller HEI institutions is expansion. Probably they do not have the right person for the job. They have a smaller talent pool to work with just by the virtue of having a smaller faculty.”</i>
Leadership and supportive admin refer to the initiative and motivation of the project leader to lead innovation ecosystem initiatives	2	18.18		<i>“Leadership is a vital factor.” - (USC)</i>
Inclusivity refers to an inclusive approach done by the HEI	1	9.09		<i>“Yes. When I was approached then by Manny Uy [Manager of STRIDE Scholarship]. Sir Manny ano kaya bigyan mo kami ng malaking pondo. However, the response of Dr. Manny Uy was. “Hindi, we should make it more inclusive for small universities to participate. It should be open specifically to regions which are underserved or to those which are emerging.” - (UPLB)</i>
Policy enforcement refers to the differences in how a policy is implemented in each HEI	1	9.09		<i>“It depends on enforcement of policies and extent of reach of the policy to the members of the university; in terms of the aggressiveness of management to implement/enforcement policies.” - (USC)</i>

3.6 How can mentoring programs as introduced by STRIDE be sustainable?

MENTORING PROGRAMS AS INTRODUCED BY STRIDE BE SUSTAINABLE						
Theme	National n=		HEI = 11		Regional	Responses
	f	%	f	%		
Overall capacity building. refers to the increase or regularity of mentoring programs or institutionalization of particular programs such as the KTTO or Career Centers.			6	54.55		<p><i>“Several of the faculty members have joined Ideation Sessions. Some faculty members were partnered with the industry, MSMEs. However, nobody would take the time to write the proposal. Everybody was encouraged to be partners with the industry to have collaborative research that has direct applications to the industry. In the enabling environment, one SUC in the city their faculty do not have a teaching load during summer, but they are required to make proposals, maybe we can follow that, not necessary that all faculty members but only to some. The university may select faculty and be mentored.” - (XU)</i></p> <p><i>“They were also able to train other Career Centers in other campuses. It makes it sustainable. Through the programs that we learned from the trainings of STRIDE,</i></p>

				<i>we were able to recreate and innovate program, one example, in Florida State University, they offer an academic program of career to their students, and we were able to offer that in our Cagayan de Oro Campus. That makes it sustainable because that program runs from 1st year until 4th year. We call it Career Success Development program. It is not a one-shot activity. Before we all set for a career center, a one-shot activity, an OJT program or OJT Orientation or a Job Fair, because of the trainings of STRIDE, we were able to innovate the programs. We were able to have modular program and we pattern it with the Florida State University. We offered to all campuses of USTP.” - (USTP)</i>
Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)	3	27.27		<i>“Our experience in the US. We also have funds to do this. If we were a boat, we would have our own engines. The resources are in place. We have enough people who have been the beneficiaries of good mentoring who understand that this should be a continual human resource development. So even if it costs money to implement continuously these programs, it is needed. Also bringing in mentors through the Balik-Scientist program from the US and other countries so they would be able to provide newer perspectives and insights when it comes to STEM.” - (DLSU)</i>
Leadership and supportive admin refer to the initiative and motivation of the project leader to lead innovation ecosystem initiatives	1	9.09		<i>“There has to be champion in the university for the mentoring program. If there is a champion, he/[she] will think of a program, searches for fund, and other resources, otherwise; it will only be pure advocacy.” - (BSU)</i>
Curriculum integration refers to the integration of mentoring programs as part of the curriculum	1	9.09		<i>“There should be a banner program for STRIDE initiatives like PSM na pwede incorporate the mentoring program linking the academe and the industry.” - (UPLB)</i>
Policy enforcement refers to the differences in how a policy is implemented in each HEI	1	9.09		<i>“Wala pa po, so I think yung mentoring yung mga coaching nila with resource persons on how to handle this data on how we can discuss and to write the white paper proposal, pwede na yun. I do not know how long they would be happening this, always ba? Mawawala na yung budget.” - (UPD)</i>

3.7 What is the requisite policy environment for sustainability of STRIDE interventions in the HEIs?

REQUISITE POLICY ENVIRONMENT FOR SUSTAINABILITY OF STRIDE INTERVENTIONS IN THE HEIS

Theme	National n=		HEI = 11		Regional		Responses
	f	%	f	%	f	%	

Research policy Improvements refers to improvements to research policies.	5	45.45	<i>“The culture and the policy to be clear because we are still in the transition. I think it is not just the money but the thrust of the university. If we focus on research and we allow faculty to do research, the teaching will be affected. For me, it is not just money but how it will affect the teaching. UP and to some extent Ateneo de Manila can do that because they have many human resources for people who can do the work. Maybe we can start with few and see the turnout. We recognize the problem or gap.” - (XU)</i>
Policies conducive to increasing capacity refers to policies that would increase institutional capacity in HEIs	3	27.27	<i>“A policy that will support the faculty/researchers that will encourage them that they will go to spin-off or start-up since we are not able to implement this yet. We are looking on how to attract the faculty to go into start-up or spin-off. Also, for the students on what support that we can give to them. If the university is allowed to give capital for those students who are interested to go into entrepreneurship or start-up.” - (USTP)</i>
Financial Assistance. Any form of financial assistance or financial grant	3	9.09	<i>“Yes hopefully, the College of Business is actually taking in grants from DOST.” - (DLSU)</i>
Mechanisms for intellectual property protection and incentives to start-ups and spin-offs would enable sustainability	1	9.09	<i>“He was the first one to patent technologies in the Universities so we are trying to look at this as a good case study to learn best practices from.” - (UPD)</i>
Awareness refers to visibility of ongoing programs that would be increase via policies.	1	9.09	<i>“Promotion and visibility, DOST call for proposal. It should be similar like the way DOST does it (i.e., call for proposals).” - (UPCebu)</i>

ANNEX H

SUSTAINABILITY NATIONAL.1

3. Sustainability (new context of the extension): What is the likelihood that initiatives and gains will continue after completion of the project?
- 3.1 What gaps need to be addressed, within the Mission and externally, by the host government? (Noriel)
- 3.2 Were sustainability mechanisms integrated in the design and implementation of STRIDE? What were the intended or unintended results? (Note: Based on the 2019 MEL Plan, page 35, the recommendations will be made during project closeout meetings.) (Noriel to validate with the RTI).

KII NATIONAL LEVEL 3.1.1 QUESTION: NEDA-N/A

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
DOST 3.1.1: Has an impact evaluation	R&D Ecosystem	1	
DTI 3.1.1: Impact evaluation/monitoring is done by NEDA as head of the Secretariat		1	
DTI 3.1.1: DTI has its own internal monitoring		1	
DTI 3.1.1: Capacity building (from STRIDE), RIIC	Capacity building	1	

KII NATIONAL LEVEL 3.2 QUESTION (NOTE IF APPLICABLE TO THE INFORMANT'S CONTEXT, E.G. PASUC) NEDA-N/A

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with	DOCUMENT
		with	

		appropriate code)
DTI 3.2: Yes. Enabling mechanism is collaboration	Partnership	1
DTI 3.2: Support fund from DTI for RIICs (lack of resources)	Resources	1
DTI 3.3: RIICs in the long term, ask regional office to commit resources, and also using internal resources		1
DTI 3.3: Some regions don't have the funds but can get funds from RAPID program soft loan from IFAD, get some supplement, to give funds from the four RIICs. Government funds also can be tapped. For capacity building, stride is the source of funds., to improve skills		1
DTI 3.2: CHED developed mentoring on research – SUCs have different programs and focus but sometimes overlap as SUCs have deliverables. It is good that STRIDE, being a non-partisan entity, can link with the industry but have limited funds. Huge R&E funds can come from government agencies like DOST, DTI, and CHED. STRIDE introduced opportunities for the national government agencies to link, network,	Context specific approaches	0
DTI 3.2: Invest in high level- low level SUCs- capability building, less access, investment in people, high level people,		

KII NATIONAL LEVEL 3.3.1 QUESTION

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
DOST 3.3.1: RDIs are part of the communication competency framework	Communication strategies	1	
MSME 3.3.1: Communication and linkage		1	
DOST 3.3.1: USAID, apolitical, pagpalit ng admin baka wala na. how to make it stick? Dean -Engineering Energy for Technology (scholarship program for engineering) Niluklok sa DOST para meron money always. Secretary is incorruptible	Non-partisan program	1	

DOST 3.3.1: STRIDE will be completed by 2022; with the change in administration all will change; the main challenge is how to continue with the change in administration		1
DOST 3.3.1: Special order, R and D com team created by special order	Policies	1
DOST 3.3.1: Research com, research institutes. R and D com, business process analysis	R&D ecosystem	1
MSME 3.3.1: Collaboration, with DTI and the DOST	Partnership	1

3.3 What were the lessons learned that may support the sustainability of the project in the context of HEI, regulatory environment, and government capacity for innovation? (I, A,C)

KII NATIONAL LEVEL 3.6 QUESTION

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
DOST 3.6: Through the R&D Communication Group where each unit under DOST is represented (12 units: 4 Councils, 7RDIs, and TAPI)	Communication strategies	1	
MSME 3.6: Funding for coaching/mentoring (government-industry-academe)	Resources	1	
NEDA 3.6: Diversity of faculty members should be encouraged (like Singapore), or foreign Universities to put up a Campus in the Philippines		1	
PASUC 3.3: CHED and PASUC are linked; willing to work with CHED, stronger IES more collaboration	Partnership	1	
PASUC 3.6: STRIDE has supported PASUC a lot. Build an inclusive improved relevant R and D ecosystem	R&D Ecosystem	1	
NEDA 3.6: Catch up plan: send students abroad to study and return to Philippines Schools could not hire foreign Professors in courses with or without Board examination	Catch-up plan	1	

KII NATIONAL LEVEL 3.7 QUESTION

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
DOST 3.7: Personality – willingness/openness of the person	Attitude		
DOST 3.7: Madami- Competency framework, communicating R and D, digital, and entrepreneurship (researcher who will become entrepreneur)	Communication strategies	1	
DTI 3.7: Phil Innovation Act, things that are in the PIA are already being done, i.e., the RIICs, F and E R, implementing the elements in the law. As long as we will be able to get regular support, can sustain these innovation activities. 300M ,100M DTI, from innovation fund		1	
NEDA 3.7 Human capital	Resources	1	
MSME 3.7: Vaccine, ease of doing business, government policies on corruption, vaccination affecting electronics industry		1	
NEDA 3.7Regulatory environment for innovation	Policies	1	

3.4 In what ways will innovations and R&D outputs be adopted/transferred to the community, government, and industry? (Sustainability, IR2 learning question in the AMELP.) Are partnerships emerging, initiated by STRIDE-related institutions, that may support project sustainability? (C)

KII NATIONAL LEVEL 3.4 QUESTION:

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT

CHED 3.4: The collaboration should be made at the onset with the identified beneficiaries of the project. There should be a clear understanding that should community to be tapped for particular research then the outputs should be shared to the community through dissemination activities like training and knowledge transfer	Collaboration	1
DTI 3.4: NEDA 300M budget	Resources	1
DTI 3.4: DTI 100M budget		1
MSME 3.4: Electronics Industry have their own R&D	R&D Ecosystem	1

3.5 What effect have the KTTO and Career Center activities had on university-industry-government collaboration? How can KTTOs be further developed and improved to meet industry needs and expectations? (Sustainability, IR1 learning question in the AMELP.) How has the PSM contributed to sustainability of the STRIDE interventions? (C, I)

KII NATIONAL LEVEL 3.5 QUESTION:

RESPONSES OF KI	CODE	REMARKS 1 = agree 0 = disagree (Please replace with appropriate code)	DOCUMENT
DOST 3.5: R and D com, tuloy tuloy ang mentoring, best way to maintain sustainability is when people feel good, agency R and D team, walang base (virtual) before COVID nag kikita sa Tagaytay (eah agency has a rep in the R and D com) 12 R and D agencies, 4 councils, 7 rdis and TAPI	R&D Ecosystem	1	
DTI 3.5: Yes. For small SUCS which might be grappling with resources, their main concern to what extent they can fund capacity building program for their staff. For medium-higher level SUCs, faculty development needs to be institutionalized because they have access to funding and have the needed infrastructure. Budget for capacity building must be included in their annual budget, establishment of an office to monitor the capacity building, and develop programs for further development. For smaller SUCs, institutionalization of capacity building may not be possible yet.	Context specific approaches	0	
CHED 3.5 There should be different strategies to consider the distinct characteristic of HEIs not just on whether they are small or big but because of their capacity, location, and availability of experts within their HEIs as well as			

their financial resources. The strategy should not be a one size fits in their approach but focus more on building the capacity of small HEIs for them to become more competitive and research-oriented

3.6 In what ways has STRIDE provided equal access to opportunities for research and innovation to men and women in the STI sector? (C, I)

ANNEX H

SUSTAINABILITY REGIONAL.1

3.1 Which STRIDE initiatives will likely continue?

3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?

POLICIES IN PLACE TO CONTINUE WITH THESE STRIDE INITIATIVES AFTER 2021				
CODE	RESPONSE	KI	CATEGORY	THEME
Resources	The IBR. I really want innovation. The problem is not with policy but with funding. We are doing IBR, but we do not have extra funding for it. I just apportioned some office budget. IBR is with STRIDE and DTI this is for MSMEs. Now we're launching DREAM Project. Dream is an acronym for Digital Services Entrepreneurship Advancement Mentoring. This is for entrepreneurs who are in the free-lance business. So, it's a mentoring program established for this mission. Bottom line, problem is the source of extra funds. Funding is needed. Mentoring me IBR with STRIDE., MSMEs, DREA	DTI 7	Challenges to resources	The institutionalization of RIIC through the passage of resolution and the strengthened collaboration will ensure the sustainability of STRIDE intervention. The national and local policies in place as well as the sustained partnership will ensure the continuity of STRIDE initiatives after 2021.
Policies	Enabling mechanism would be a regional policy so it would be included in the national budget. If that's not there, Regional Director can come up with their own programs on their own initiative e.g., Start-up Island; (regional programs)	DTI 7	Establishment of RIIC through a resolution	
Policies	With policy in place, it can be sustained by having at the region down to province and city to embrace innovation. Innovation cuts across, it is a discipline always thinking out of the box; it is a mindset.	DTI 4A		
Policies	The RDC resolution. We are answerable to one agency; hence there is the assurance to sustain the partnership even if the agencies will not gel, there is no choice but to act. There is a need to report the accomplishments.	DOST 4A		
Policies	The resolution of the RDC to create the RIIC.	NEDA 4A		
Policies	The RIIC was endorsed by RDC. Using the endorsement, an authorization to craft more projects and programs. I am not sure by our partners, but they are encouraged to package programs and projects. I came from DTI, and I noticed that most of our projects not locally generated.	DOST 10		
Catch up plan	Yung RIICs. For us in DOST we like and believe in the idea of that, and we would want to continue it still. We are currently looking for partners because COVID has already became manageable. We will be continuing what we started as mentioned earlier to maximize the value.	DOST 7	Extending RIIC to all regions	

Catch up plan	The RIIC was endorsed by RDC. Using the endorsement, an authorization to craft more projects and programs. I am not sure by our partners, but they are encouraged to package programs and projects. I came from DTI, and I noticed that most of our projects not locally generated.	DOST 10	
Partnership	Most evident is on collaboration. The resolution of the RDC to create the RIIC.	NEDA 4A	Sustained partnership to continue the initiatives of STRIDE
Partnership	There is a memorandum of agreement, it is already binding. Next is the RDC resolution which will update and remind the commitments per agency	DOST 4A	
Partnership	The RDC resolution. We are answerable to one agency; hence there is the assurance to sustain the partnership even if the agencies will not gel, there is no choice but to act. There is a need to report the accomplishments.	DOST 4A	
Partnership	With the OROBEST and ILIGANice are in place, these 2 organizations will be the beneficiaries of the tools and assistance by STRIDE. Definitely this will continue. This will be translated into the implementation of programs and the use of these tools. Strengthening and collaborating of all players in the innovation ecosystem.	DTI 10	
Partnership	BSU as the center is answerable to the Board of Regents [BOR] of the University. Because RIIC is endorsed by BOR, BSU reports the highlights of their annual accomplishments. There is annual reporting of the President of the Board.	DOST 4A	
Attitude	Innovation cuts across, it is a discipline always thinking out of the box; it is a mindset.	DTI 4A	
Aligned with agency program	Yes, because these aligns with the DTI's goal to really drive for innovation. That is in our MSME development plan. That is the blueprint of our MSME development agenda. That is part of the goal that we really drive for innovation, especially with that national strategy on the RIIC program, together with the STRIDE initiative, we are now in that task of implementing of all these interventions.	DTI 10	

3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay or providing internal funding to continue STRIDE's interventions.)

STRIDE INTERVENTIONS WITHIN THE HEIS/GOVERNMENT RESEARCH AGENCIES/INDUSTRY THAT ARE RECOGNIZED					
CODE	RESPONSE	KI	CATEGORY	THEME	
Catch up plan	Yes, RIIC is recognized at the region. RIICs will become nationwide. Sec Ramon Lopes in their planning workshop stated that this will be the intervention nationwide not only at the region but also in the provinces. It is one of the ten commandments of Sec Ramon Lopez.	DTI 4A	Extending RIIC to all regions	The STRIDE interventions are aligned with the programs of	

Aligned programs	Yes, because the activities of STRIDE were aligned with what we were doing, and we already pursued that. It is already in our programs, so it already became part of the companies who we talked about.	DOST 7	Alignment of STRIDE programs with the government agencies	government agencies; hence, the likelihood of not only being sustained but expanded nationwide.
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3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?

3.3.1 What is the likelihood that these can be included?

ACTIVITIES OF STRIDE INCLUDED IN THE LONG- TERM R&D PLANS OF THE HEIS				
CODE	RESPONSE	KI	CATEGORY	THEME
Resources	Enabling mechanism really is funds.	DTI 7	Financial resources	The establishment of RIIC and the presence of policies, joint research and development programs, projects, and activities, and leadership are the enabling mechanisms that the interventions of STRIDE can be included in the long-term plan of partners.
Attitude	Funding of course is a challenge. We have to pay the honorariums and so on. I am an optimistic so I'm sure we will get funding since they're not that expensive also.	DTI 7	Leadership and attitude	
Non-partisan program	As long as I am the Regional Director.	DTI 7		
Non-partisan program/Leadership	If this is something that's just here in a few hands, then it really depends on who is sitting and making decisions. For me, if I have the funds to do it then I will. I have been an advocate for innovation way before RIICs and is very important in Region 7.	DTI 7		
Policies	Our existing policies are there, and they are for 2021 onward.	DOST 7	Policies and partnership in place	
Policies	Enabling mechanism would be a regional policy so it would be included in the national budget. If that's not there, Regional Director can come up with their own programs on their own initiative e.g., Start-up Island; (regional programs). Enabling mechanisms really is funds.	DTI 7		
Policies	The mechanism is there. At the regional level is the BSU RIIC. What is important is that the model can be replicated and can attract why RIIC is good. The only requirements of Sec. Ramon Lopez are a creative, smarter, and innovation oriented MSMEs.	DTI 4A		
R&D Ecosystem	Definitely. Our mandate is on R&D, we are committed to RIIC, we support the initiatives of RIIC. In the coffee proposal. I want to include a technology road map as part of the deliverables of the project so that we know we are going, where we are in coffee processing, product development, and agricultural production.	DOST 4A	Specific roles for RIIC stakeholders in the transfer of technology in the community	

R&D Ecosystem	Enduring the pandemic. Will the pandemic end? That's the challenge. The challenge is how do we see the future in this condition? Currently we can't forecast the situation for future scenarios.	DOST 7	
Catch up plan	Yes, because the activities of STRIDE were aligned with what we were doing, and we already pursued that. It is already in our programs, so it already became part of the companies who we talked about.	DOST 7	Extending RIIC to all regions
Collaboration	Sustain the activities, programs, and projects for RIIC. Dapat masustain ang init ng collaboration. Masusustain both the growth is not what is expected. It will not die but it will affect the growth ng program	DOST 4A	Continuing collaboration and support to RIIC
Partnership	Sustain the activities, programs, and projects for RIIC. Dapat masustain ang init ng collaboration. Masusustain both the growth is not what is expected. It will not die but it will affect the growth ng program	DOST 4A	

3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred?

3.4.1 Community

3.4.2 Government

3.4.3 and Industry?

PRINCIPAL LINKAGES FOR INNOVATIONS AND R&D OUTPUTS TO BE ADOPTED/TRANSFERRED				
CODE	RESPONSE	KI	CATEGORY	THEME
Partnership	There is still needed to put on board DA because it is an important enabler. The beneficiaries also include the LGUs, which should also be actively engaged to transfer any innovation. It is possible that innovations are existing but not yet cascaded where technology is needed. This is where the LGUs and industry must be actively involved with. As such, technology generation from the RDIs and SUCs generation to utilization by the industry will be part of the RIIC plus the support of the government.	DOST 4A	Continuing collaboration and support to RIIC	There are specific roles that the partners, including the SUC, LGU and government agencies and industry, play in transferring the outputs of research and development to the community, government, and industry. Moreover, possible partners as investors like cooperative and
Partnership	RIIC as driver for innovation, branding and marketing. Most important is involving all the stakeholders through the industry clustering. DTI planning is through value chain approach to see how all the players connected to each other.	DTI 4A		
Partnership	When we talk about on Innovation Eco-system investors or capitalist, that is what we need more to find a further engagement. There is a	DOST 10		

	possibility of participation of First Community Cooperative (FICCO.) Maybe we can tap them as a non-traditional source of venture capital. There are also Cagayan de Oro overseas workers, they can also be a source of investments.			returning overseas Filipino workers who could be tapped to sustain the gains of RIIC.
Partnership	These 3 are part and parcel of the RIIC program. The RIIC consolidates all the innovation stakeholders in 1 ecosystem/ each agency would have specific roles. In term of adoption of transfer of these outputs to the community, as far as DTI the MSME has assisted in this sector, how many SSF have been established, we have specific performance metric as far as innovation.	DTI 10		
Partnership	For OROBEST, the LGU has an important role because there is a bigger perspective here on the competitiveness of the local government. Innovation is one of the pillars. LGUs would have a significant role in the innovation ecosystem. In fact, they are part and parcel of these things. For OROBEST, the LGU is already there.	DTI 10		

3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?

DIFFERENCE IN STRATEGIES TO INSTITUTIONALIZE CAPACITY-BUILDING PROGRAMS BETWEEN SMALL AND BIG HEIS				
CODE	RESPONSE	KI	CATEGORY	THEME
NA	No responses			

3.6 How can mentoring programs as introduced by STRIDE be sustainable?

MENTORING PROGRAMS AS INTRODUCED BY STRIDE BE SUSTAINABLE				
CODE	RESPONSE	KI	CATEGORY	THEME
Resources	Funding and adoption into the National Program done in Manila. We can do it here, but we will adopt it as per our own initiative.	NEDA 4A	Need funding for mentoring activities	Sustaining the capacities gained from STRIDE through the integration of promotion of

Early implementation	It would be best if the RIIC started early, same as in Bicol. There will be more mentoring. At present, mentoring in Calabarzon is not as extensive as in Region 5. Time element is the challenge.	DOST 4A	Need time for mentoring for sustained STRIDE innovation	technology innovations as part of the extension function of universities; encouraging companies to search for outside consultants; and applying the lessons learned in previous activities. Moreover, timing and funding are important in sustaining the mentoring programs from STRIDE.
Capacity-building	Before STRIDE, mentoring program of DTI is through Go Negosyo up to present.	DTI 4A	Engaging local colleges to capacitate the stakeholders	
Capacity-building	Building up local capabilities. They also engage on local colleges, Xavier University, to prepare business plan for recovery. I know that the faculty members will learn new things.	DOST 10		
Capacity-building	Yes, part of the STRIDE assistance is actually sharing all these tools and methodologies of which we have also adopted in our programs. That is what I meant in saying that the tools of USAID STRIDE gave us and shared to us, some of it are being applied in our programs as well. Sustainability is assured in terms of seeing to it that the STRIDE lessons are being applied accordingly.	DTI 10		
Communication strategies	It is really on the application and implementation of these programs. Making it sustainable is the application and implementation of these tools.	DTI 10	Better communication plans	

3.7 What is the requisite policy environment for sustainability of STRIDE interventions in the HEIs?

REQUISITE POLICY ENVIRONMENT FOR SUSTAINABILITY OF STRIDE INTERVENTIONS IN THE HEIS				
CODE	RESPONSE	KI	CATEGORY	THEME
Institutionalized programs	Regular programs at the National Level so it could be included in the budget. Regular programs in national program	DTI 7	Regular programs should be institutionalized	Sustaining the gains of STRIDE interventions require programs, projects, and activities consistent with the national policies. These can be formulated into medium term development plan and specified through process manuals,
Institutionalized programs	Maybe the institutionalization, like the fund that we started to integrate in the budget. It is because if the funds are adhoc, there could be a change in commitment.	DOST 10		
Partnership	Polices and mechanisms are in place, with monitoring and evaluation- RIIC targeting the SMEs and additional policies would be most welcome;	NEDA 4A	Continuing collaboration and support to RIIC	

Partnership	Continuing collaboration and support of RDC to RIIC, investment promotion group and sectoral committees which can address the challenges to continue the operationalization of the STIs should be included.	NEDA 4A		projects, products, and services. Moreover, collaboration and budget are necessary
Aligned with agency program	The inclusion of the STRIDE in DTI innovation program, as far as DTI [is concerned] is already part and parcel of our innovation program.	DTI 10		
R&D Ecosystem	NEDA can do a post evaluation study of STRIDE to determine immediate results and outcomes. Meanwhile, to determine the long-term benefits STRIDE, NEDA may conduct an impact evaluation after five years of implementation. NEDA encourages the conduct of impact evaluation on priority projects in the region to determine its sustainability.	NEDA 4A	Prior engagement in research with government and private industries	
Policies	At the LGU level, an ordinance is needed in order to advocate for the enhancement of the coffee industry. The concept of IPR geographical indication, though at the moment IPOPHIL [Intellectual Property Office of the Philippines] does not have, is similar to Swiss Chocolate, is also needed. DOST national is also advocating for geographical indication. The nearest of what we have is trademark in terms of policy.	DOST 4A	Consistent policy across administration	
Catch up plan	RIIC is a specific intervention for the improvement of the regional IE. US STRIDE can help more on how to contextualize IE not only to a specific industry but the IE in the region. The IE is general, but the uniqueness of industries is large. Worth pursuing in the RIIC is to cascade the Regional Innovation System to other industry setting. Moreover, there is a need to cascade the NIS to contextualize it at the RIS [Regional Innovation System].	DOST 4A	Cascading of the Regional Innovation System to other industries	
Catch up plan	There has to be medium term plan for RIIC, for 2022 to 2030 anchored in the Ambisyon Natin 2040 which needs to be adjusted because of the pandemic.	DTI 4A		
Resources	Maybe the institutionalization, like the fund that we started to integrate in the budget. It is because if the funds are adhoc, there could be a change in commitment.	DOST 10	Need funding for mentoring activities	

ANNEX H

SUSTAINABILITY REGIONAL.2

3.1 Which STRIDE initiatives will likely continue?

3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?

STRIDE INITIATIVES THAT WILL LIKELY TO CONTINUE

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	
The institutionalization of RIIC through the passage of resolution and the strengthened collaboration will ensure the sustainability of STRIDE intervention. The national and local policies in place as well as the sustained partnership will ensure the continuity of STRIDE initiatives after 2021.					6	54.55	<p><i>“Enabling mechanism would be a regional policy so it would be included in the national budget. If that’s not there, Regional Director can come up with their own programs on their own initiative e.g., Start-up Island; (regional programs)”- (DT17)</i></p> <p><i>“The RDC resolution. We are answerable to one agency; hence there is the assurance to sustain the partnership even if the agencies will not gel, there is no choice but to act. There is a need to report the accomplishments.” - (DOST 4A)</i></p>

3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay, or providing internal funding to continue STRIDE’s interventions.)

STRIDE INTERVENTIONS WITHIN THE HEIS/GOVERNMENT RESEARCH AGENCIES/INDUSTRY THAT ARE RECOGNIZED

Theme	National =		HEI =		Regional = 11		Responses
	f	%	f	%	f	%	

The STRIDE interventions are aligned with the programs of government agencies; hence, the likelihood of not only being sustained but expanded nationwide.	2	18.18	<i>“Yes, RIIC is recognized at the region. RIICs will become nationwide. Sec Ramon Lopes in their planning workshop stated that this will be the intervention nationwide not only at the region but also in the provinces. It is one of the ten commandments of Sec Ramon Lopez.” - (DTI 4A)</i>
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3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?

3.3.1 What is the likelihood that these can be included?

ACTIVITIES OF STRIDE INCLUDED IN THE LONG- TERM R&D PLANS OF THE HEIS							
Theme	National		HEI =		Regional = 11	Responses	
	f	%	f	%			
The establishment of RIIC and the presence of policies, joint research and development programs, projects, and activities, and leadership are the enabling mechanisms that the interventions of STRIDE can be included in the long-term plan of partners.					4	36.36	<i>“Enabling mechanism would be a regional policy so it would be included in the national budget. If that’s not there, Regional Director can come up with their own programs on their own initiative e.g., Start-up Island; (regional programs). Enabling mechanisms really is funds.” - (DTI 7)</i>

3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred?

3.4.1 Community

3.4.2 Government

3.4.3 and Industry?

PRINCIPAL LINKAGES FOR INNOVATIONS AND R&D OUTPUTS TO BE ADOPTED/TRANSFERRED						
Theme	National		HEI =		Regional = 11	Responses
	f	%	f	%		

	f	%	f	%	f	%	
There are specific roles that the partners, including the SUC, LGU and government agencies and industry, play in transferring the outputs of research and development to the community, government, and industry. Moreover, possible partners as investors like cooperative and returning overseas Filipino workers who could be tapped to sustain the gains of RIIC.	3	27.27					<i>“There is still need to put on board DA because it is an important enabler. The beneficiaries also include the LGUs, which should also be actively engaged to transfer any innovation. It is possible that innovations are existing but not yet cascaded where technology is needed. This is where the LGUs and industry must be actively involved with. As such, technology generation from the RDIs and SUCs generation to utilization by the industry will be part of the RIIC plus the support of the government.” - (DOST 4A)</i>

3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?

DIFFERENCE IN STRATEGIES TO INSTITUTIONALIZE CAPACITY-BUILDING PROGRAMS BETWEEN SMALL AND BIG HEIS							
Theme	National =		HEI =		Regional =		Responses
	f	%	f	%	f	%	
NA							NA

3.6 How can mentoring programs as introduced by STRIDE be sustainable?

MENTORING PROGRAMS AS INTRODUCED BY STRIDE BE SUSTAINABLE							
Theme	National =		HEI =		Regional =		Responses
	f	%	f	%	f	%	
Sustaining the capacities gained from STRIDE through the integration of promotion of technology innovations as part of the extension function of universities; encouraging companies to search for outside consultants; and applying the lessons learned in previous activities.	5	45.45					<i>“Building up local capabilities. They also engage on local colleges, Xavier University, to prepare business plan for recovery. I know that the faculty members will learn new things.” - (DOST 10)</i>

Moreover, timing and funding are important in sustaining the mentoring programs from STRIDE.

“Yes, part of the STRIDE assistance is actually sharing all these tools and methodologies of which we have also adopted in our programs. That is what I meant in saying that the tools of USAID STRIDE gave us and shared to us, some of it are being applied in our programs as well. Sustainability is assured in terms of seeing to it that the STRIDE lessons are being applied accordingly.” - (DTI 10)

3.7 What is the requisite policy environment for sustainability of STRIDE interventions in the HEIs?

REQUISITE POLICY ENVIRONMENT FOR SUSTAINABILITY OF STRIDE INTERVENTIONS IN THE HEIS

Theme	National		HEI =		Regional		Responses
	=				= 11		
	f	%	f	%	f	%	
Sustaining the gains of STRIDE interventions require programs, projects, and activities consistent with the national policies. These can be formulated into medium term development plan and specified through process manuals, projects, products, and services. Moreover, collaboration and budget are necessary					6	54.55	<p><i>“Initiative on dried vegetables will continue. As long as it is anchored well in the agenda of the university, passion of the faculty, aligns the objective of the department, I think it will continue.”(XU)</i></p> <p><i>“RIIC is a specific intervention for the improvement of the regional IE. US STRIDE can help more on how to contextualize IE not only to a specific industry but the IE in the region. The IE is general but the uniqueness of industries is large. Worth pursuing in the RIIC is to cascade the Regional Innovation System to other industry setting. Moreover, there is a need to cascade the NIS to contextualize it at the RIS [Regional Innovation System].” - (DOST 4A)</i></p>

ANNEX I.1

CASE STUDY/RIIC DOST REGION 3

(Storyline: What are the elements that bring key players in Science, Technology and Innovation (STI) from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the Regional Inclusive Innovation Centers (RIICs)

RESPONDENT INFO

Date: 07/08/2021

Name: Julis Caesar Sicat

Sex: Male

Agency: Department of Science and Technology (DOST) Region 3

Designation: Regional Director

Role in RIIC: I belong in the core group called Technological Hive of Regional Innovation for Vibrant Ecosystem (THRIVE) Central Luzon which is currently based in Bulacan State University in Malolos. What we plan to establish in the RIIC, and while the concept is web-based, we wished to create a physical space to house the man power.

Project Setting: Suburban

Specify location unit of analysis (city, province, whole region?): Region 3 Central Luzon - RIICs

We were able to have a MOA with the Bulacan State University so it includes all of it but the physical space would be in Malolos.

Questions	Answers
A. PLANNING THE RIIC	
1. Why did you establish an RIIC in the region?	I liked the idea of RIICs. This is a problem I've seen in Central Luzon when it comes to collaboration since there are agencies who would want to take the lead role and that creates the misunderstanding. It is a very good strategy to bring in an external organization that brings together different government agencies. I immediately committed to STRIDE and to have this established in Central Luzon. Back then STRIDE Philippine project was only supposed to be done in half a year, so ang hinabol namin yung idea and guidance to start the ball rolling to start putting up the system and the concept of RIIC in Central Luzon. We were very happy to know afterwards that STRIDE was extended. The good thing is that the intention we have in trying

	<p>to put up a system of providing assistance to the MSMEs. I found that the RIIC is a very good vehicle to which government projects can be channelled. Similar to a one- stop shop where they could scout the specific assistance for the MSMEs.</p> <p>RD can you tell us the estimated or exact time kung kelan nagsimula yung RIICs? – Agnes Sept of 2020</p>
2. For partners, why did you join the RIIC in the region?	N/A
3. Why was your location chosen for the RIIC implementation?	As we mentioned earlier I volunteered to negotiate the hosting of the RIIC in Central Luzon since I found this to be a good intervention. The specific area would be Malolos City, and we arrived at this because we were thinking that it was supposed to be an SUC who would host the RIIC. Ang pinagpipilian namin is Bulacan and Pampangga. Now the good thing is that Bulacan Chamber was able to enable partnerships. With the willingness of the Bulacan State University’s president, dun na din napunta yung physical space.
4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location?	No
4.1 If yes, how did the CDI influence RIIC formation?	NA
5. Are there other similar projects as the RIICs in your location?	No
5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?	NA
6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)	With respect to the project earlier, I allotted funds so we were able to solve the problems when it comes to budgeting. But when it comes to collaboration in research outputs I talked to the director of CHED. CHED supervises all state universities so my coordination was made easier. Having CHED as an institutional network made it easier for us. They even committed direct partnership with us.

	<p>May I know how much GIA did you provide for the first year operation? -Cecilia</p> <p>For 2020 we gave them more than 700,000 and for 2021 it is 1.5 million.</p>
<p>7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?</p>	<p>Currently nasa infancy stage ang ating RIIC. Initial partnership natin is with Bulacan Chamber of Commerce and Industry and the Philippine Chamber of Commerce North Luzon, so sila po yung immediate beneficiaries of our initiatives. Sila yung ready to take on the opportunities of the RIIC. Likewise, we just launched the web-based THRIVE Central Luzon app, and I believe that with that we can increase the coverage of assistance of the RIIC by removing the physical boundaries. Initially I could safely say that members of the Bulacan Chamber of Commerce would be the main beneficiaries.</p>
<p>8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools)?</p>	<p>Yes as I mentioned earlier all the 11 SUCs in Central Luzon have signed a MOA through CHED Regional Office for the support in terms of the R&D and all these innovation initiatives to help the RIIC soar high.</p>
<p>9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)</p>	<p>Yes although in a limited scale through the regional aid and grants program they constantly submit funding to us and I instruct them as mandated by law as the DOST regional office I provide them direction on the particular R&D focus. Through this we get engagements which of course may be similar to what the RIIC can provide but on a very limited but focused commodity.</p>
<p>B. IMPLEMENTATION</p>	
<p>1. What have been the gains of the RIIC so far?</p>	<p>As I mentioned, we were able to establish a network of Higher Education Institutions mostly state universities and colleges. This is one big accomplishment. Aside from this we were able to put in information from DOST from R&D institutions of the region, and all these information are already encoded or being</p>

	<p>encoded in the RIIC website and being processed by our hired personnel such that it can be prepared and ready for the use of the target clientele which is the MSMEs.</p> <p>1.1 (probe) Please compare to the initial condition, i. e. without the RIIC.</p> <p>Before the RIIC I provided the funds for a database for all the information I mentioned earlier. The problem here is that it only covers the R&D output and businesses initiatives of that region, it does not include the interventions provided by DTI and other government agencies. Medyo limited siya, kaya with the coming of the RIICs mas magiging madali yung pag-access ng information and innovation of the different clients, it also makes it easier for governments to find customers. With the RIICs I can foresee that all these MSMEs would go to the RIIC website and would be the conduit for them to access much needed services to survive or prosper in this very competitive world.</p>
<p>2. Towards Convergence: What are the implementation challenges? (i.e. funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)</p>	<p>Nagkaroon din kami ng mga challenges for example the negotiation with the Angeles University Foundation, nagkaproblema kami when it comes to having the Project Management leader provide the needed information because of Intellectual Property.</p>
<p>2.1 How were these overcome?</p>	<p>But we were able to coax the Project Leaders. We simply had to assure them that IPRs would be respected.</p>
<p>3. What are the partnership challenges? Please specify.</p>	<p>The RIIC concept was pushed by DTI and DOST, DTI is very particular in terms of building, dun nagkakaroon ng konting challenge but lucky for me because the DTI regional director is a friend of mine. I was telling her that it is about time we need to talk about the issues that hounded the different agencies before and we need to go away with the building focus. We try to remove the EPAL mentality so collaboration would be easier.</p>

C. EVALUATING EFFECTIVENESS	
<p>1. What are the roles of partners as follows:</p> <p>1.1 government</p> <p>1.2 academe</p> <p>1.3 industry</p> <p>1.4 civil society</p> <p>1.5 Other partners?</p>	<p>1.1 government</p> <p>Ang vision ko dito is that the government line agencies to provide the necessary support to operationalize the RIIC.</p> <p>1.2 academe</p> <p>The SUCs and the CHED would be the workforce at the current set up, with respect to putting up the information, setting up the database and everything.</p> <p>1.3 industry</p> <p>I would be happy to see the industry partners to be very active in encouraging its members to use the RIIC platform so their businesses and members can make use of the RIIC platform.</p> <p>1.4 civil society</p> <p>The MSMEs should follow the particular provisions of the particular programs that could be beneficial to them. These engagements entail MOAs to follow the specific stipulations. These are the obligations of our project beneficiaries.</p> <p>1.5 Other partners?</p> <p>We would be welcoming the participation of the LGU.</p>
<p>2. What were the essential initial conditions that made this project successful?</p>	<p>I think very critical dito yung active participation of Bulacan State University, not only the President's commitment but also having a VP who believes in the system is a critical factor. Even with the projects of DOST, having a passionate partner is ensuring the success of a project. The passion of Bulacan State University particularly the President and the VPs is very high.</p>

	<p>Bakit ba sila nag engage dito? Ano ba background nila? -Ivy</p> <p>Natutuwa ako dito kasi yung president nila si Ma'am Cecile (Gascon) subscribes to the potentials of science and technology. In all the planning workshops of her University personnel parati kaming naiinvite to commend the initiatives that their university crafts. The components of these programs are aligned with the objectives of the RIICs. Naka-align na talaga itong establishment ng RIIC sa kanilang plans.</p>
<p>5. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?</p>	<p>Di pa po ganun ka visible but for increased network, better relationship of partners is something that we can call as a success measure of the project with the Angeles University Foundation actively participating in the activities of the RIIC. The Pampanga furniture industry foundation which before would not want to host the RIIC is now very much interested. I mentioned earlier we presented these to Pampanga or Bulacan, hindi naging maganda yung sagot ng President ng Pampanga Furniture Industry Foundation because his answer was lukewarm. Now that RIICs have been implemented Pampanga wants to be on it.</p>
<p>D. MAKING IMPROVEMENTS</p>	
<p>1. What strategies do you have in mind to strengthen collaboration among agencies?</p>	<p>Ang nakikita ko kasi kailangan dito, although sinasabi ko na walang-epal, is that the agencies need a sense of ownership. Yung sa activities dapat immersed sila. I'm very happy that in the launching activities we had all the partner agencies are actively participating showing their commitment for the project. I'm not so keen on expanding this right away, what I see is that we should be able to show proof of how we're able to deliver something. I was telling our RIIC personnel to pursue the Business Recovery Plan of Central Luzon. Once we're able to do this and we can show that the RIIC can provide good avenues to pursue the Business Recovery Plan</p>

	then people would start trusting the program and its initiatives.
1.1 Strategies to attract more partners?	This is what I said earlier that we have to prove to them that the program works. If we would operate it right now with CHED, DOST and the Chambers, controllable pa siya eh if you have more partners maybe it might be more difficult. Once we can prove that it works, we can pull in our LGUs and our prospective angel investors and our Senators who can help in funding and expansion of the services of the RIICs and its impact to the MSMEs.
1.2. Strategies to sustain the partnership/convergence?	Marami na kaming convergence programs sa Central Luzon and hindi naman namin kailangan problemahin to. With regards to the sustainability of the project, the RIICs should be supported by the Chambers of Commerce. I envision funding this for 5 more years and then the Chamber would be in a better position to handle it. I was looking into this similar to Netherlands and Germany’s system where the MSMEs are empowered. I don’t subscribe to the government bankrolling projects for the rest of time. Probably 5 years lang okay na.
1.2 Any challenges with the sustainability of partnership?	None. The Chambers already have their own good partnerships as they saw the potential to push the MSMEs to serve not only their regions but also in greater Metro Manila.
E. SHARING THE BENEFITS	
1. For Region 3, what inspired you to establish your RIIC?	Yung nakita kong presentation of OROBEST nakita ko agad yung potential nito. Especially when they showed us their business recovery plan, I saw this as something very good and doable. It would be a good bible for MSMEs. Yung problem ng MSMEs is that naliligaw sila sa operation lalo na kung may challenge, and with a bible to guide them parang operations manual

	<p>ng isang machine – a business recovery plan – then it would be very easy for them.</p>
<p>1.1 What lessons were learned from the pilot RIICs?</p>	<p>Hindi ko gaanong review kung may malaki silang problema pero one thing that really stood out was the business recovery plan.</p>
<p>Follow-up Questions</p>	<p>I was just wondering if the SUCs in Region 3 would have clear Intellectual Property Rights sa mga R&D outputs nila? Cause if not yet, baka kailangan nilang gawin so they can have better transparecny and they can partner better? - Agnes</p> <p>Most if not all SUCs here now have their own Intellectual Property Offices. Even PhilRice had one. Even private higher educational institutions have their own IPOs. Even in DOST we were mandated to establish their own IPs to safeguard the R&D output.</p> <p>Meron na bang existing template na andun yung industry since hindi sila usually nasa MOA? - Cecilia</p> <p>Ininvoke na po yun, kasama na sa mga MOA namin.</p> <p>To push for the agenda of the DOST we bait them with the money. We tell them what good research would be and then I'll tell them we have funds, all they have to do is submit proposals.</p> <p>So meron pa kayong umbrella MOA kung saan naka saad ang financing and IPR provision?- Noriel</p> <p>Yung sa mga programs namin, meron na po yun sa mga template.</p> <p>Commodity for 700k and 1.5million projects? - Cecilia</p> <p>700k would be for the staff we have to hire and the equipments needed, overhead costs basically.</p>

	<p>So ano po yung mga activities or projects right now that are funded by the 700k and the 1.5 million, aside from the coordination of course?</p> <p>Yung pang input po ng information we have to really spend for that, communication expenses, internet and licensing materials. Once the situation warrants face-to-face we will start workshops now with capacity building capacities.</p> <p>Yung commodity orientation?-Agnes</p> <p>Kapag nag-aaccess na po nila ng programs.</p>
<p>END OF CASE STUDY QUESTIONS</p>	
<p>Notetaker: Juan Gabriel T. Daray</p>	

ANNEX I.2

CASE STUDY/RIIC DTI REGION 03

(Storyline: What are the elements that bring key players in Science, Technology and Innovation (STI) from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the Regional Inclusive Innovation Centers (RIICs)

RESPONDENT INFO

Date: 07/22/2021

Name : Leonila T. Baluyut

Sex : Female

Agency : Department of Trade & Industry-Region 3

Designation : Regional Director

Role in RIIC : Core Group Member

Project Setting (Urban, Suburban, Rural) : Urban

Specify location unit of analysis (city, province, whole region?) : Region 3. Central Luzon

Questions	Answers
A. PLANNING THE RIIC	
1. Why did you establish an RIIC in the region?	<p>We believe in what convergence among key stakeholders from government, industry and academe can do to harmonize all resources for innovation towards competitiveness of local businesses and economic development in the region.</p> <p>The Department of Trade & Industry-Region 3 is one of the prime movers of RIIC-3, taking on this project both as an opportunity and a challenge towards GIA collaboration for innovation.</p> <p>It is part and parcel of DTI's mandate to support and assist Micro, Small and Medium Enterprises (MSMEs) thru innovation by means of making available to entrepreneurs modern machines, equipment and technologies that are seen to increase their productivity and profit.</p>
2. For partners, why did you join the RIIC in the region?	

	<p>We have been in partnership with DOST-3, CHED-3, other government agencies, the business sector, and academic institutions for years, and we continue to extend our support and commitment to synergize and align government efforts to what the industry needs.</p>
<p>3. Why was your location chosen for the RIIC implementation?</p>	<p>Central Luzon is an ideal region to infuse innovation into fields that aim to enhance growth among businesses that would benefit a greater part of the population because of its distinct advantages, namely:</p> <ul style="list-style-type: none"> • Centrality of location • Expanding infrastructure • Available investment locations • Economic and market spheres of influence • Reliable Manpower Support • Major base of MSMEs with a variety of products and services based on their cultures and abundant raw materials <p>Strong government support</p>
<p>4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location?</p>	--
<p>4.1 If yes, how did the CDI influence RIIC formation?</p>	--
<p>5. Are there other similar projects as the RIICs in your location?</p>	<p>The partners that compose the core group of RIIC- 3, particularly those from the government and academe, have always been implementing programs towards innovation.</p>
<p>5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?</p>	<p>For DTI-3, we have our Shared Services Facilities (SSF) Program that aims to improve the competitiveness of MSMEs by providing them with machinery, equipment, tools, skills and knowledge under a shared system.</p> <p>Our two SUC-based Fabrication Laboratories strengthen the provision of business incubation services to business students and business startups through GIA.</p> <p>We have about 120 Negosyo Centers spread across the region established to provide and facilitate access to various business</p>

	<p>development services for MSMEs.</p> <p>The One Town One Product (OTOP) Next Generation Program refers to the package of assistance to capacitate MSMEs with the goal of levelling up their products in terms of design, quality and volume.</p> <p>DTI-3 has also assisted MSMEs transition in sustaining market accessibility from physical to virtual or online platforms through various webinars and capacity-building training programs and virtual trade fairs.</p> <p>For the establishment of RIIC in Central Luzon, STRIDE has been instrumental in bringing together and enabling the confluence of relevant government agencies’ efforts towards innovation and progress; in soliciting the support and participation of partners from the academe, and the business sector.</p>
<p>6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)</p>	<p>The call to commitment, collaboration and cooperation pushed DTI-3 to participate and meet the requirements of RIIC-3, which basically involved the provision of information/databases, time for meetings and exchanges of inputs and information, among others.</p>
<p>7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?</p>	<p>The RIIC will benefit users from all sectors – MSMEs, existing locators, potential investors; government, industry, academe.</p> <p>Central Luzon as a prime investment priority area and had a lion’s share in GRDP ranking third (in 2018) with NCR and CALABARZON in 1st and 2nd place respectively. It enjoys both local and foreign market shares in trade.</p> <p>For prospective local and foreign investors and businessmen planning to establish businesses in the region, Central Luzon’s economic and market spheres of influence extends to Metro Manila, CALABARZON, and the North Luzon region with a total potential of 37.49 million people (population).</p>

	<p>As Central Luzon is home to a big number of SMEs, the region promotes industry clusters to encourage inclusive growth among key stakeholders and industry players. Central Luzon has the priority industry clusters for Bamboo, Cacao, Coco Coir, Coffee, Processed Fruits & Nuts and Wearables & Homestyle.</p> <p>Central Luzon also offers business opportunities for investors and entrepreneurs in the areas of:</p> <ul style="list-style-type: none"> ▪ Manufacturing & Subcontracting ▪ Infrastructures & Support Infrastructure Projects ▪ Agriculture, Agribusiness, Fishery & Forestry ▪ Fresh & Processed Food ▪ ICT & BPO Services ▪ Healthcare & Wellness ▪ Training & Learning Institutions ▪ Power Generation ▪ Logistics <p>Waste Management Facilities</p> <ul style="list-style-type: none"> ▪ Crafts & Products Industries ▪ Social Enterprise ▪ Tourism <p>Aerospace</p>
<p>8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools)?</p>	<p>Central Luzon has numerous state universities at present, among them, the Philippine Science High School-Central Luzon Campus and Don Honorio Ventura State University have fabrication labs. Other technology-based services like food testing labs, agri-based research and development centers are present in the Philippine Carabao Center at the Central Luzon State University in the Science City of Muñoz, Nueva Ecija, among others.</p> <p>Pre-pandemic figures tell us:</p> <ul style="list-style-type: none"> ▪ There is available manpower supply in Central Luzon with over 7.8 million labor force ▪ Employment rate at 94.6% ▪ Literacy rate at 98.2% (basic) and

	<p>92.3% (functional)</p> <ul style="list-style-type: none"> ▪ There are 236 HEIs, 12 main SUCs, 40 satellite SUCs, 12 LUCs and 169 private universities and colleges
<p>9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)</p>	<p>Yes. There have been engagements.</p> <p>These include DTI’s collaboration for the SSF program where some state universities have become cooperators for the shared service facility and have thus, become stewards of modern equipment for common use (fabrication laboratories).</p> <p>There was also a time when GIA worked towards the enhancement of curriculum to address the requirements of ICT-BPO industry.</p>
<p>Is there a need that DTI will be part of the Board of Regents?</p>	<p><i>What is the Board of Regents and what is expected from DTI if it becomes part of the board?</i></p>
<p>1. What have been the gains of the RIIC so far?</p>	
<p>1.1 Please compare to the initial condition, i. e. without the RIIC.</p>	<p>Being at its early stage, it has achieved a higher level of cooperation between the government and private sector. It is hoped that with the recent creation and launching of its website, more people will be made aware of its presence in the region and avail of the services it has to offer.</p>
<p>2. Towards Convergence: What are the implementation challenges? (i.e. funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)</p>	<p>Promotion and maintenance of the RIIC and its website should be strong and consistent to materialize the purpose for which it was created. Keep people informed, keep information updated, and keep networks active.</p>
<p>2.1 How were these overcome?</p>	
<p>3. What are the partnership challenges? Please specify.</p>	<p>The partnerships built around RIIC-3 were successfully brought about by the commitment of each core member and the project monitoring team to reach out to MSMES and deliver innovation initiatives. Hence, the success of the project lies on the presence of the GIA partners in terms of time, provision of data and information, and promotion efforts.</p>
<p>C. EVALUATING EFFECTIVENESS</p>	
<p>1. What are the roles of partners as follows:</p> <p>1.1 government</p> <p>1.2 academe</p> <p>1.3 industry</p>	<p>The individual and group roles of government, academe, industry and civil society are collaboration and commitment to match what the government and academe</p>

1.4 civil society 1.5 Other partners?	provide are what the industry needs and to make sure these all contribute to economic development for all.
2. What were the essential initial conditions that made this project successful?	Together with the government’s wherewithal, the willingness of the parties (public and private) to cooperate and collaborate for a common and noble pursuit made this project worthwhile.
3. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?	Initially, we can measure access to information based on the information that we are opening to the target users. It is important to know that people are accessing our website, for example. Next that we can measure are queries made, business matches created from the information, and networks established, etc.
D. MAKING IMPROVEMENTS	
1. What strategies do you have in mind to strengthen collaboration among agencies?	<p>The following may be key strategies:</p> <ul style="list-style-type: none"> ▪ Open and active networks thru regular meetings, consultations ▪ Updating and enhancement of information/databases ▪ RIIC forums, webinars and conferences to gather key stakeholders from government, industry and academe
1.1 Strategies to attract more partners?	
1.2. Strategies to sustain the partnership/convergence?	
1.1 Any challenges with the sustainability of partnership?	
2. What inspired you to establish your RIIC?	<p>Inspiration is its goal: THRIVE Central Luzon sets out to strengthen the region's innovation ecosystem by improving stakeholder access to innovation and creating platforms for dialogue, collaboration and partnerships that would contribute to inclusive and sustainable development.</p> <ul style="list-style-type: none"> ▪ It aims to reach MSMEs and other stakeholders and investors ▪ The effort is a clear manifestation of “Coming together is a beginning; keeping together is progress; working together is success.” – Henry Ford
2.2 What lessons were learned from the pilot RIICs?	
E. SHARING THE BENEFITS	
1. How and with whom do you plan to share the impact your project?	<ul style="list-style-type: none"> ▪ We make our project and its impact known through meetings and forums

	<ul style="list-style-type: none"> ▪ We update our partners for further collaboration ▪ We inform our stakeholders to entice them to continue to access our project
2. What recommendations do you have for regions interested in replicating your project?	<ul style="list-style-type: none"> ▪ They should go for it. ▪ It is another venue to strengthen partnerships and collaboration, and to provide access for stakeholders to innovation, especially at this time.
2. Describe any sustainability plan of the RIIC to allow continued implementation once the grant period has ended.	<ul style="list-style-type: none"> ▪ Strengthening of institutional arrangements, within the Core Group to the Project Monitoring Team through updating meetings ▪ Regular updating and massive promotion of THRIVE and its projects, such as the THRIVE website and THRIVE CLINC portal ▪ Conduct of THRIVE advocacies with stakeholders through webinars, conferences
END OF CASE STUDY QUESTIONS	

ANNEX I.3

KII NEDA REGION 3

Objective: To describe how national innovation policies are articulated at the regional/local levels of STI related agencies and how STRIDE regional activities influenced these.

Date:

Agency/Office: NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY REGIONAL OFFICE 3

Respondent: GINA T. GACUSAN

Gender (M/F): F

Designation: REGIONAL DIRECTOR

Nature of Engagement with STRIDE (current or previous years): Technical assistance in the establishment of the Regional Inclusive Innovation Center in Central Luzon

1. RELEVANCE

To what extent has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the PDP, 2017–2022, USAID Policy on Education, and USAID/PH's new higher education program framework?

Item	Answer
1.1 Did your agency have programs on innovation capacity before the STRIDE intervention?	Yes ___ No X
1.2 What was the value addition of the STRIDE intervention?	The establishment of the RIIC with the assistance of STRIDE has provided a mechanism to strengthen industry-academe innovation collaboration in the region

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your agency? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

IE element	Rating (H,M,L)	Explain enabling Environment
human capital and education	L	Because NEDA 3 is not a stand-alone innovation implementing agency, all elements are rated LOW.
research and knowledge creation	L	

knowledge transfer	L	However, the STRIDE intervention that was implemented in the region through the RDC, DOST 3, DTI 3, and CHED 3 has contributed improvements in in collaboration and knowledge transfer in the region through their mapping, linking, and aligning activities
start-ups and spin-offs	L	
collaboration	L	

1.4 What are the challenges and opportunities for NEDA to foster a robust innovation ecosystem?	
Challenges	The challenge is always on the adaption and implementation of the plans and policies being pushed by the administration.
Opportunities	As a socioeconomic planning agency, NEDA 3 is at the best position to introduce and push for policies that would foster an enabling environment for innovation in the region.

2. EFFECTIVENESS

To what extent did STRIDE achieve the three (3) intermediate results (IRs) on improved higher education institutions’ capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate? Rank among the following:		
Strategies	Rank 1=highest 4 lowest	Please explain the ranking
technical assistance and its various forms	3	THE ESTABLISHMENT OF THE RIIC’s main contribution is in the strengthening of network, increasing synergy and resource-sharing among innovation programs and services through their mapping-related activities
strengthening links between innovation stakeholders	4	
policy improvements	2	
institutionalization of STRIDE capacity-building programs	1	

Questions	Answers
2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact? Please explain	The establishment of the RIIC has greatly impacted the collaboration of stakeholders in the region. By establishing a business innovation unit in the region, MSMEs now have access to information on the technical expertise and capabilities of the HEIs, partners who can provide resources or supply requirements of the industry, and availability of facilities and innovation resources. This information can help the stakeholders make better business decisions.
2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your agency?	(NA)
2.2.2 What are some of the challenges for doing industry- responsive innovative research?	NA
2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?	NA
2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?	NA
2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)	NA
2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?	NA
2.2.7 In what ways has STRIDE interventions influenced the improvement	NA

of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?	
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3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Question	Answer
3.1 Which STRIDE initiatives will likely continue?	The operation of the Business Innovation Unit under the RIIC
3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?	Yes, the DOST 3 and DTI 3, as co-leads, are on top of making sure the initiatives will continue after program completion
3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay, or providing internal funding to continue STRIDE's interventions.)	(NA)
3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?	(NA)
Of research institutions?	(NA)
Of industry?	(NA)
3.3.1 What is the likelihood that these can be included?	(NA)
Enabling mechanisms?	(NA)
Challenges?	(NA)
3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred to the community, government, and industry? (Sustainability, IR2 learning question in the AMELP.)	NA
3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?	(NA)

3.6 How can mentoring programs as introduced by STRIDE be sustainable?	NA
3.7 What is the requisite policy environment for the sustainability of STRIDE interventions?	NA

(NA means Not Applicable)

END of KII

Note taker- Name _____

ANNEX I.4

CASE STUDY/RIIC REGION 11

(Storyline: What are the elements that bring key players in Science, Technology and Innovation (STI) from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the Regional Inclusive Innovation Centers (RIICs)

RESPONDENT INFO

Date: 07/01/2021

Name: RD Anthony Sales

Sex: Male

Agency: Department of Science and Technology

Designation: Regional Director

Role in RIIC:

We actually mirrored the structure of in the Region with DTI, DOST, DICT, CHED as members of RIIC in Davao and were on board during the planning of RIICs even the strategic planning that we conducted, to determine the direction of RIIC's Davao. We serve as one of the key members of the group that spearheaded the planning and implementation of RIIC in the region.

No lead agency/partner. We tried to mirror the structure with the Regional R&D and Innovation Committee (RRDIC) under the Regional Development Council (RDC). The role of RRDIC is to translate the results of R&D and innovations into policies and programs that will benefit our stakeholders in Davao. RIIC is one of the development initiatives that were endorsed to the RDC for approval and adoption by the members of the council. We have an R&D Innovation Agenda for Davao Region as part of the output of the RIIC.

Project Setting: (Urban, Suburban, Rural): Urban

Specify location unit of analysis- (city, province, whole region?) whole region (Region 11)

A. Planning the RIIC	
QUESTIONS	ANSWERS
1. Why did you establish an RIIC in the region?	<p>First of all, we wanted to integrate all efforts on the R&D in the Region, Before the innovation players did their thing on their own in isolation with each other. Two main reasons why we wanted to establish RIIC is to:</p> <ol style="list-style-type: none"> 1. Harmonize all these efforts and work on the same goal towards the end. Preferable strategic objectives and

A. Planning the RIIC	
QUESTIONS	ANSWERS
	<p>contribute to the overall development of the region</p> <p>2. Map out the key players, to identify resources, expertise, and facilities that can be used in innovative activities and link them all. It is important to be connected in one ecosystem; else we cannot achieve the objectives</p> <p>INTEGRATION MAP out and take stock</p>
2. For partners, why did you join the RIIC in the region?	<p>DOST is in the crux of all these things; we have the facilities:</p> <ol style="list-style-type: none"> 1. food processing innovation center, the very first in the country –anchored in an academic institution, in R&D as well as in the innovation. 2. complementary food production center, anchored in the academe, 3. shared services of the DTI, that can help the industry. For example, FABLAB-supported by DOST and DTI anchored at the University of Southeastern Philippines (USEP), an academic institution that will help micro, small, and medium-sized enterprises (MSMEs).
3. Why was your location chosen for the RIIC implementation?	<p>STRIDE – Davao is a leading region that has generated so much output; specifically, in government and industry collaboration. This is evidenced by the number of projects funded by DOST under Collaborative Research and Development to Leverage Philippine Economy (CRADLE) to support and address the problems that industries encounter in their business through R&D. Example is a project that with Hijo Resources and Corporation (HRC). Through CRADLE and a collaborative research with USEP through internet of things (IOT). They were able to diagnose banana disease in real time. Thus, the use of pesticide on bananas can be regulated – a lot of savings can be made in terms of</p>

A. Planning the RIIC	
QUESTIONS	ANSWERS
	pesticide usage and has an implication on the environment. In Davao, there are many Multi-National Companies (as well as chemical companies), as Davao is considered as the fruit basket in the Philippines.
4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location?	yes
4.1 If yes, how did the CDI influence RIIC formation?	Davao is the admin and financial center of Mindanao; we consider that the city's development initiative has an implication in the development of the other cities in Mindanao. There is a close relationship with Davao and the rest of Mindanao. Considered the CDI to have implications as there are interlinkages among cities. There are implications in development. In Mindanao, we have city ecosystem one island, one science. One Island, One Science- integrate all the development in all the regions of Mindanao. We want to harmonize methodologies – that is comparable across the whole island, to easily consolidate R&D results and innovation. This also includes the BARRM. DOST Davao established ecosystems to integrate all R and D efforts. We convened major R&D innovation players in Mindanao, we call them now “Mindanao Science Engineering Technology and Innovation Ecosystem” that are aligned in the Mindanao Development corridors
5. Are there other similar projects as the RIICs in your location?	Yes. Mindanao-wide ecosystem was planned; its objective is to cascade this down to the regional level. We wanted to develop a Mindanao-wide ecosystem. We have ecosystem on renewable energy, food processing, aquatic resources, genomics consortium, all aligned with over all Mindanao ecosystem. In all, there are 8 or 9 thematic areas. CRADLE is Science for change program-bilateral collaboration between two organizations. Example: Hijos is in collaboration with USEP. Similar to RIIC ecosystem.

A. Planning the RIIC	
QUESTIONS	ANSWERS
	<p>We employ the penta-helix approach to development, engaging all 5 sectors (government, industry, academe, civil society and communities, and media). Media is important in communicating the messages. DOST is suffering from low visibility, due to lack of expertise in communication.</p> <p>NICER, the engagement is limited to academic and RDIs (Research and Development Institutions)</p> <p>RIICs, this is multi sectoral.</p> <p>DOST-S4CP-NICER Program is not multi sectoral. In Davao we have 2 NICER centers, (1) renewable energy Ateneo de Davao University (ADDU is the hub), (2) Infectious diseases. Mindanao in scope. What happens in Davao will have implications in the whole island. Inclusiveness of all efforts in all of the regions in Mindanao.</p>
5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?	<p>RIIC clarified the different mechanisms that we put in place and use. In RIIC Davao, we focused on functional foods and processed fruits and are aligned to the Mindanao Development Corridors. One of the thematic areas is food. We wanted to focus on functional foods and processed fruits due to the (1) abundance of raw materials and (2) we have the technology and facilities that is complementary food centers in almost all the state universities in the Davao region. (3) We have facilities that will help us assessing the safety for consumption.</p>
6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)	<p>What we agreed on was that each agency of RIIC will contribute resources, in the case of DOST we have one division assigned to take care..., R&D division named ReDID (Research for Development and Innovation Division) - the same thing is done by DTI they have assigned Staff and so do DICT and CHED as well.</p>
7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?	<p>We see the market of the products as well as the technology of RIIC not just for local market but also for the export market; the recent products that we have developed is Bucolite -from fresh or young coconut water. They want this not just for</p>

A. Planning the RIIC	
QUESTIONS	ANSWERS
	local consumption but also for export. We have considered one adopter of the technology. It has the potential not only in the local but also in the global market.
8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools)?	<p>ADDU, UP Mindanao, USEP</p> <p>Davao del Norte State College, Davao Oriental State University, Davao del Sur State College, Southern Philippines Agri-Business and Marine and Aquatic School of Technology (SPAMAST) in Davao Occidental.</p> <p>Big private universities: University of Immaculate Conception, ADDU, University of Mindanao</p> <p>My dream is that both public and private HEIs will become active in the R&D. ...and we did this thru RIIC.</p>
9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)	<p>Yes, there were collaboration between industry and academe through the programs of DOST.</p> <p>The advantage with RIIC was we were able to bring all the possible players in our innovation. We made sure that we are inclusive in the representations of the HEIs, industry, government agencies, NGOs, and POs – who can all can be a part of the ecosystem</p> <p>I sit in all the six board of regents of the state universities and state colleges in Davao Region.</p>
Is there a need that DTI will be part of the Board of Regents?	

B. Implementation	
QUESTIONS	ANSWERS
<p>1. What have been the gains of the RIIC so far?</p> <p>1.1 (probe) Please compare to the initial condition, i. e. without the RIIC.</p> <p>-</p> <p>1.2 Towards Convergence: What are the implementation challenges?</p>	<p>Gains:</p> <p>Identified collaborative project between industry and academe (through the ideation workshop)- a matching activity, of academe and industry. What expertise is available in academe and what are the needs of the industry. Identified a number</p>

B. Implementation	
QUESTIONS	ANSWERS
(i.e., funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)	of projects, there are many products that were developed. (can give a list of these products)
2. Towards Convergence: What are the implementation challenges? (i.e., funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)	<p>Initial resistance, as agencies have their own respective agenda. When RIIC came in, there were already regular programs. Local grants in aid, as part of the General Appropriations Act (GAA). When RIIC came in, annual budget/funds were already subscribed. Eventually I decided to let go some of the projects so that RIIC can come in. in fact we decided to provide around 1 M for RIICs (as innovation funds) for grassroots innovation, from the grassroots community (IPs, women, farmers, and fisher folks). The fund from Grassroots Innovation for Inclusive Development (GRIND) Program through UNDP was used for ethnobotanicals, and is related to RIIC.</p> <p>(The Innovation Council has not been activated, so innovation funds from NEDA is not yet available).</p> <p>Funds from other sources are aligned with the RIIC such as foreign funds having activities similar to RIIC. There is good relations with the DTI RD, there may be problems in other regions but not in Davao.</p>
2.1 How were these overcome?	
3. What are the partnership challenges? Please specify.	

Added Summary from Dr. Chona Echavez:

I really just like to highlight that the problem was on harmonization and integration in all of these initiatives and Dir Sales was able to do that. It is a best practice that needs to be highlighted in the case study, because putting together all funds from other agencies (e.g. UNDP etc.) and putting it with a perspective under RIIC, this could help in making others learn from it and adopt it. This is really very good. I would just like to highlight that because harmonization and integration is always a problem in all of these initiatives. Putting together all the funds from all the actors for the region is a good

mechanism. With the corridor wide approach, other regions could also benefit because of this mechanism not just Region 11 but the entire Mindanao.

C. Evaluating Effectiveness	
QUESTIONS	ANSWERS
<p>1. What are the roles of partners as follows:</p> <p>1.1 government –</p> <p>1.2 academe –</p> <p>1.3 industry –</p> <p>1.4 civil society –</p> <p>1.5 Other partners?</p>	<p>Government –</p> <ol style="list-style-type: none"> 1. Policy; policy, regulatory and statutory requirements for all programs and projects, if there are new policies, government will help in the RDC 2. Financial support – many of these innovators are grassroots innovators. They don't have much access to the formal R&D an innovation fund for financing mechanisms. DTI, DOST, DICT, and CHED will have those funding windows at the regional level. 3. Providing the direction for innovation; defined at the RDC level; well - orchestrated <p>Academe – the expertise on R&D and they have the facilities; anchor these hubs in the academe as they have the facilities and a certain degree of autonomy how to use the funds to support the innovation</p> <p>Industry – we have SETUP (Small Enterprise Technology Upgrading Program) of DOST. We closely interphase with the industry, particularly in the industry that we cover: metals and engineering, food processing, aquaculture and agriculture, GHD (Gifts, Housewares, and Decors), halal products and services, related to functional food and processed fruits.</p> <p>Marketed in the global market</p> <p>We do not operate the Technology Business Incubation (TBI) but we fund and they are members of the ecosystem.</p>
<p>2. What were the essential initial conditions that made this project successful?</p>	<p>Champions are very crucial – I had reservations initially. Because I thought this is a duplication of what we are doing. We had similar platforms and arrangements. In hind sight, I realized RIIC help in</p>

C. Evaluating Effectiveness	
	integrating efforts. Before, I was operating alone and to collaborate with other agencies at a minimal extent and advancing my own agenda as DOST but through RIIC, it is a collective effort of many agencies or sectors to reach out further.
5. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?	Increase network through expanded and enhanced cooperation with ecosystem players

D. Making Improvements	
QUESTIONS	ANSWERS
1. What strategies do you have in mind to strengthen collaboration among agencies?	<p>Good that we have defined the strategic direction that extend up to 2025, guided by these, we know what areas to focus on, and major programs and projects to pursue, in the medium term, then we identify players to be part of the RIICs. DA and TESDA they should be part of RIIC because they also provide capability building programs and projects on food processing. DA can help in providing/ensuring raw materials that will be used be available, and TESDA (1B for the LCAP), can provide start up kits.</p> <p>NGOs-Indigenous Peoples (IPs) are the stewards of our indigenous materials, ethno-botanicals, that we need in our functional food market or sector. On processed fruits, we need to work with industry associations and intensify our efforts to engage them, particularly in providing investments for shop floor R&D to address problems to production floor; to provide investment of shop floor or production floor-to provide counterparts for research and development and counterpart from them, more industry partners and;</p> <p>The local government unit, with Mandana’s ruling, there will be an increase in the Internal Revenue Allotment (IRA) of the Local Government Units (LGUs). LGU can help in</p>

D. Making Improvements	
QUESTIONS	ANSWERS
	<p>matter of funds and facilities. Davao City passed an ordinance for the establishment of the Davao City Innovation and Invention Center. This is considered as an offshoot of the RIIC because of collaboration and engagement with the city and partners. Mindanao Science and Technology Centrum, will be the site- put in the materials and technologies. Centrum is in UP Mindanao, funded by the congressional funds, but DOST initiated.</p>
<p>1.1 Strategies to attract more partners? 1.2 Strategies to sustain the partnership/convergence? 1.3 Any challenges with the sustainability of partnership?</p>	
E. Sharing the Benefits	
QUESTIONS	ANSWERS
<p>1. How and with whom do you plan to share the impact your project?</p>	<p>We want to see the impact is on the grassroots. Grassroots as active players in the innovation process, not just a beneficiary. We are engaging them on with three bottom lines- social, economic, environmental.</p> <ol style="list-style-type: none"> 1. Economic for gainful pursuit. For sustainable livelihood. They themselves can produce the functional foods or ethnobotanicals. 2. Social benefits, functional foods have health benefits that would address the health requirements as malnutrition is still a problem. 3. environmental benefits- intensify production of raw materials for functional fruits and processed fruits, we can protect the environment. We also need to look on the environmental protection. If we only look at the economic benefits, it is not sustainable. <p>Multiplier effects - can rely on other regions for raw materials. To expand food processing, go beyond the region to engage the whole of Mindanao.</p>

D. Making Improvements	
QUESTIONS	ANSWERS
<p>2. What recommendations do you have for regions interested in replicating your project?</p>	<ol style="list-style-type: none"> 1) Try to recruit champions. Try to recruit champions as without the champions nothing will happen; if you have no partners and people in influential positions in LGUs, nothing will happen. These champions could include in LGUs esp. in the legislative council, national government agencies, and industry associations, chambers of commerce. Strong advocate in the Davao legislative council. Maybe this has to do with gender (Female champions), and Financing availability. 2) helps if you sit in the boards of academic institutions, you can influence resource allocation. We have been quite successful in doing this. 3) engage consortia (ecosystem has to be complete and vibrant), people should provide the impetus to work together and active in pursuing our agenda in research and innovation. <p>Ideally, one should have an own Project Management Office (PMO). In the case of RIIC Davao, we are looking at the Davao City Innovation and Invention Center as PMO; no physical facility for RIIC office. The Davao City Innovation and Invention Center (DCIIC) can serve as the physical facility and office of the RIIC.</p>
<p>3. Describe any sustainability plan of the RIIC to allow continued implementation once the grant period has ended.</p>	<p>I can mention a few strategy</p> <ol style="list-style-type: none"> 1. working with the city government for the approval of an executive order or ordinance making as the Centro Mindanao the Mindanao Science and Tech Park as the physical office or center of the DCIIC and also the RIIC center 2. Funding- every year, provide at least 1M for innovation fund for RIIC local GIA. There are other programs like the GRIND program, SET UP, funds for the innovation center to be accessible to the RIIC. Solicit from DTI as they have other

D. Making Improvements	
QUESTIONS	ANSWERS
	<p>programs that can support RIIC Funds for the innovation center from the LGU that is tapped for the RIIC operation and management.</p> <p>NEDA in the near future, 2022 or 2023, from the Innovation Fund.</p> <p>The SUCs – as they have their own autonomy identifying the areas where they can fund. SUCs can be another source of fund. There is a circular from CHED if how many percent for R and D.</p> <p>Private HEIs- Free, Prior and Informed Consent (FPIC) - provided the building for the innovation center. They have pledged to invest for the expansion of food processing innovation center.</p> <p>LGUs - Mandana’s ruling means bigger IRA.</p> <p>3. In terms of people, permanent contract of service staff (COS) staff can be provided so management issues can be lessened. Permanent office and permanent staff.</p>
<p>END OF CASE STUDY QUESTIONS</p> <p>Other comments:</p> <p>Influence in the curriculum of the demands for RIICs- a number of SUCs who offer food tech programs, no need to revise the curriculum, akma na sa needs of the industry. Graduates can aptly provide the needs of the industry.</p> <p>Example- UPMindanao graduate- solve the yeast and molds problem, and the company was able to register with the FDA. This is example of the shopfloor problem and solution by the academe.</p>	

[Note on HRC - A pioneer and pillar of the Philippine banana industry, Hijo Resources Corporation (HRC), based in Madalum, Tagum City, Davao del Norte was established in 1959].

Key points:

1. On the essential key initial condition: Champions on the RIIC are important (innovation ideas and funding will follow)

- a. Narrative from the transcript (Response from: question 2, Part E. Sharing the Benefits, 1st paragraph):

“Try to recruit champions. Try to recruit champions without the champions nothing will happen; if you have no partners and people in influential positions in LGUs, nothing will happen. These champions could include in LGUs esp. in the legislative council, national government agencies, and industry associations, chambers of commerce. Strong advocate in the Davao legislative council. Maybe have to do with gender (Female champions), and Financing availability.”
 - b. Summary:
 - Recruit people/agencies/institutions who are influential and can help in creating innovative ideas and opportunities. These actors may also create financial windows for funding certain projects/programs.
2. On improvements: Attract more partners ((a) DA (production of raw materials, food processing technologies, funding, etc.), (b) TESDA starter kits for entrepreneurs, generate more start-ups, funding), (c) Other NGOs (who are also helping the katutubo, as stewards of ethnobotanical plants, etc.) (d) More industry players (sharing solutions to shop-floor problems, etc))
 - a. Narrative from the transcript (Response from: question 1, Part D. Making Improvements):

“Good that we have defined the strategic direction that extend up to 2025, guided by these, we know what areas to focus on, and major programs and projects to pursue, in the medium term, then we identify players to be part of the RIICs. DA and TESDA they should be part of RIIC because they also provide capability building programs and projects on food processing. DA can help in providing/ensuring raw materials that will be used be available, and TESDA (1B for the LCAP), can provide start up kits.

NGOs- IPs are the stewards of our indigenous materials, ethno-botanicals, that we need in our functional food market or sector. On processed fruits, we need to work with industry associations and intensify our efforts to engage them, particularly in providing investments for shop floor R&D to address problems to production floor; to provide investment of shop floor or production floor-to provide counterparts for research and D and counterpart from them, more industry partners and

The local government unit, Mandana’s ruling, increased the IRA of the LGUs. LGU can help in funds and facilities. Davao City passed an ordinance for the establishment of the Davao City Innovation and Invention Center. This is considered as an offshoot of the RIIC because of collaboration and engagement with the city and partners. Mindanao Science and Technology Centrum, will be the site- put in the materials and technologies. Centrum is in UP Mindanao, funded by the congressional funds, but DOST initiated”
 - b. Summary:
 - The much-needed programs and projects has already been identified as per indicated in the strategic direction for the year 2025. Areas that need to be improved were also identified. In the meantime, there is a need to recruit

partners in RIIC that could provide capability building programs and projects. DA could provide raw materials and ensuring its availability. In addition, TESDA could provide start up kits. Moreover, the IPOs can help as they are stewards of indigenous materials, the ethnobotanicals. These indigenous materials are needed for the functional food market and sector. There is also a need to intensify efforts to engage with industry associations, especially in providing shop floor R&D investments to address problems in production floors. As the Mandana's ruling will be implemented, the role of the LGUs could help in financing and creating venues for facilities. An example, the LGU of Davao City has passed an ordinance in creating the Davao City Innovation and Invention Center. This mechanism was said to be an offshoot of RIIC due to the collaboration with the city and its partners.

3. Sharing of benefits: whole of Mindanao; grassroots - IP communities (not just as beneficiaries but also producers of ethnobotanical products and ethnic foods

a. Narrative from the transcript (Response from: question 1, Part E. Sharing the Benefits):

“We want to see the impact is on the grassroots. Grassroots as active players in the innovation process, not just a beneficiary. We are engaging them on with three bottom lines- social, economic, environmental.

- Economic for gainful pursuit. For sustainable livelihood. They themselves can produce the functional foods or ethnobotanicals.
- Social benefits, functional foods have health benefits that would address the health requirements as malnutrition is still a problem.
- environmental benefits- intensify production of raw materials for functional fruits and processed fruits, we can protect the environment. We also need to look on the environmental protection. if we only look on the economic benefits, it is not sustainable.

Multiplier effects - can rely on other regions for raw materials. To expand food processing, go beyond the region to engage the whole of Mindanao.”

b. Summary

- The impact should be realized from the grassroots level. The actors on the grassroots level should actively participate on the programs and projects as they should not just be a beneficiary. In order to do this, the grassroots actors must be engaged on the three-bottom line approach; economic, social, and environmental. Economic benefits indicate the people should be able to have a sustainable livelihood, thus considered as a gainful pursuit. On the other hand, for social benefits, as they have their own livelihood, they must also address social issues that are still present. For example, functional foods have health benefits that would address health requirements as malnutrition is still a problem. This approach should be also shared to all other regions in Mindanao, to make all other regions engage and collaborate.

4. Recommendations to other regions on RIIC ((a) recruit champions (LGUs, national agencies, industry associations), (b)Explore and access financing windows, (c) As part of the Board of

SUCs (to help influence where to put R&D money), (d) Ecosystem has to be vibrant, people to provide the impetus for research and innovation.)

- a. Narrative from the transcript (Response from: question 2, Part E. Sharing the Benefits and question 3, Part E. Sharing the Benefits, 2nd and 3rd answer):

“Try to recruit champions. Try to recruit champions without the champions nothing will happen; if you have no partners and people in influential positions in LGUs, nothing will happen. These champions could include in LGUs esp. in the legislative council, national government agencies, and industry associations, chambers of commerce. Strong advocate in the Davao legislative council. Maybe have to do with gender (Female champions), and Financing availability.

It helps if you sit in the boards of academe, you can influence resource allocation. We have been quite successful in doing this.

Engage consortia (ecosystem has to be complete and vibrant), people should provide the impetus to work together and active in pursuing our agenda in research and innovation.”

“2. Funding- every year, provide at least 1M for innovation fund for RIICs, local GIA. There are other programs like the GRIND program, SET UP, funds for the innovation center to be accessible to the RIICs. Solicit from DTI as they have other programs that can support RIICs. Funds for the innovation center from the LGU that is tapped for the RIICs operation and management.

NEDA in the near future, 2022 or 2023, from the Innovation funding.

The SUCs – as they have their own autonomy identifying the areas where they can fund. SUCs can be another source of fund. There is a circular from CHED if how many percent for R&D.

3. In terms of people, permanent contract of service staff (COS) can be provided so management issues can be lessened. Permanent office and permanent staff.”

- b. Summary

- To recruit actors who are very crucial and who are in influential positions in the LGU. These champions could include in LGUs esp. in the legislative council, national government agencies, and industry associations, chambers of commerce. As a part of the Board of Regents in the Academe, one can influence the budget allocation of a HEI. SUCs have their own autonomy identifying the areas where they can fund. As per CHED circular, HEIs can allocate certain percentage for R&D. An agency may also allocate certain amount of fund for RIIC. LGUs may allocate more funds because of Mandana’s ruling. Also, agencies should hire permanent contract of service staff to address management issues. Finally, engage people who could provide the impetus to work together and active in pursuing our agenda in research and innovation.

ANNEX I.5

CASE STUDY/RIIC REGION 11

(Storyline: What are the elements that bring key players in Science, Technology and Innovation (STI) from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the Regional Inclusive Innovation Centers (RIICs)

RESPONDENT INFO

Date: 06/29/2021

Name: Maria Belenda Q. Ambi

Sex: Female

Agency: Department of Trade and Industry

Designation: Regional Director

Role in RIIC: Prime movers or Core Group in RIICs together with agency partners such as DOST, CHED and DICT.

Project Setting: Urban - The seat of the RIIC is in the Davao City but the initiatives under RIIC, we include academe and MSMEs coming from other parts of Davao Region. In the initial stages of identification of priority sectors, we involve the other Provincial stakeholders but the seat is in Davao City since this is where you can find the support facilities for support innovation such as research institutes, FabLab, Technology Business Incubators and other facilities that support innovation and all the regional offices are also located here so we meet together in Davao City. Hub of RIIC is in Davao City but the coverage is the whole region

Specify location unit of analysis- (city, province, whole region?) Region 11 - RIICs

Questions	Answers
A. PLANNING THE RIIC	
1. Why did you establish an RIIC in the region?	We were one of the four pilot regions identified at the national level. We also said readily that we were interested to be one of the four pilot regions since Davao region is one of the biggest road centers when it comes to level of competitiveness. Davao City has been consistently in the top 5 of the most competitive highly urbanized cities.
2. For partners, why did you join the RIIC in the region?	Partners: Academe – Ateneo de Davao University, UP Mindanao, University of Southeastern Philippines, University of Immaculate Conception and other state universities as well as

	<p>in the provinces that have partnered MSMEs within their own area not in Davao City.</p> <p>Private – Davao City Chamber of Commerce and Industry.</p> <p>MSMEs – Healthy Sweets Mindanao Corporation, Malagos Foods, As&Rs Food products, D’Farmer’s Market, and King’s Baked Food . These are located in majority in Davao City. Healthy Sweets production is in Panabo City.</p>
3. Why was your location chosen for the RIIC implementation?	(Answered in Number 1)
4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location?	No
4.1 If yes, how did the CDI influence RIIC formation?	NA
5. Are there other similar projects as the RIICs in your location?	<p>Yes. If you’re talking about collaboration where we converge with other industries and academes, we have one back in 2004 our industrial development strategy is Industry Cluster Development Strategy. For this strategy to be implemented we had to converge with other stakeholders since we realize that by doing it ourselves (in DTI) we cannot push for industry development. We are looking at the whole value chain of the industry and we understand the need for interventions from other agencies such as Department of Agriculture, for production, Philippine Coconut Authority, for coconut industry, Department of Tourism, for tourism related programs and projects, and other equally important agencies. We prioritized 8 industries in Davao Region and the approach we did to improve these industries is to get the commitment of partner agencies. We have industry cluster teams composed of government, industry, academe, and private (chamber of commerce and other industry partners). It is similar to the RIICs because we collaborate in the same way with other stakeholders within the innovative ecosystem of the Davao Region, when we push through with our projects under RIIC.</p>

	<p>For each industry, we have an Industry Innovation Plan that indicates the participation of the agencies, on what they can offer for the industry to grow/upgrade.</p> <p>In Industry Cluster Approach, we have an RDC (Regional Development Council) resolution since we wanted to make the collaboration of other government agencies official. Under the RDC we can support the Industry Cluster Development Strategy. RDC resolution in pushing for the RIICs have been integrated into the Industry Cluster Strategy. If you look at the RDC resolution it says there that we are adopting the inclusive innovation center as a strategy to develop the innovative potential of the industry clusters. So, it looks to be an alignment to our industry initiatives.</p>
<p>5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?</p>	<p>Something new with STRIDE- RIIC is the focus on the innovation on industry development. RIIC has the emphasis on innovation for the industry to be more competitive. Aside from the alignment, RIIC have also introduced tools where we had assessed the capacity of the region or Davao City for that matter, as far as programs and projects are concerned on innovation. They also assess the innovation capacities of our MSMEs. They used the landscape innovation of Davao Region as a whole for their assessment. (So parang ginawa nilang assessment yung landscape of innovation on Davao Region as a whole.)</p> <p>On innovation on Business Recovery Program - This in in line with the pandemic. When the pandemic set in, hindi na maka move ang mga MSMEs because of the restrictions, they have encountered many challenges in terms of marketing, accessing supplies and raw materials for their value adding activities. Meron din challenges in terms of logistics kasi nga very strict yung movement ng people and services within the island of Mindanao and even other parts of the country. The IBR (Innovation for Business Recovery) plan is to provide, inform, and assess the MSMEs on how are their businesses is doing and provide them strategies</p>

	<p>on how they can overcome these challenges in the face of the pandemic.</p>
<p>6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)</p>	<p>The structure is loose; we have an equal structure so we put our services on the table. For example, there's research specific to a product of a certain MSME then we look for academic partners who would want to do such research. Through series of consultations and write shops, they developed the project idea, then we make a team where they can access funding from DOST, if it is funded the project proceeds but if it is not funded, we channel other support to our MSMEs such as the IBR. There are certain funds from the DTI for the preparation of IBR for certain MSMEs and we contact universities.</p> <p>Specific projects – If projects funded by the agency, we usually monitor and facilitate or supervise the implementation of those and we of course ensure the project is completed by the providers which is the universities.</p> <p>As to the alignment meetings, DTI usually convenes meetings so we act as the secretariat for the RIIC in the Davao Region. During Alignment Meetings we report on innovation. There is no structure or program, but it really is a network of agencies.</p> <p>Flat Organization Budget – DTI provides the budget on the projects they do. DOST has also their own innovation programs and they also allocate budget for that. For example, the Technology Business Incubators is funded by the DOST and are located in universities. Davao Region has 3 or 4 TBIs. DTI has funded a FabLab and we hosted the University of the Southeastern Philippines (USEP). University of the South Eastern Philippines is also a host of a TBI. The TBIs have also innovation programs for start-ups that they collaborate with both DTI, DOST, and DICT in some cases.</p> <p>This type of set-up has emanated from the RIIC. The RIIC has provided the platform where we can talk about innovation projects.</p>

	<p>The Department of Agriculture has been part of the conversation. It depends on the need of the MSME where we engage other agencies. But the core is really what I mentioned earlier – the 4, CHED, DOST, DTI, and DICT.</p>
<p>7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?</p>	<p>Market for the products – when we identified processed fruits and functional foods what we have in mind is the market. There really is a market potential and the Davao Region has capacity. It has potential for expansion not only in the domestic market but also in the export market, we also have the capacity to sustain that particular sector. We have the skills, raw materials, and etc. Considering all these factors we identified processed fruits and functional foods. Davao has a variety of fruits, banana, mangoes, pomelo, durian and etc. So, market potential is really local regional and foreign.</p>
<p>8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools?)</p>	<p>We have a lot of SUCs. All the provinces have SUCs and then majority of these facilities or these institutes are found in Davao City.</p>
<p>9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)</p>	<p>There was no purposive link before. Usually, the academe identifies its own R&D priorities/areas. There was no formal link and the MSMEs were not aware that they could make use of R&D programs/services from the academe. Specifically, the R&D is industry wide but not for a specific enterprise. This is one thing that’s lacking in the linkage.</p> <p>DOST in the region, which is also true in other regions, is that they have consortia of research institute. NEDA also has research and development program under the RDC (Regional Development Council). Under RDC, there is Economic Development Council, where it has a Research and Innovation Committee. There is also Economic Development Committee where national government agencies which are under productive sectors (DTI, DA, DOST, etc.). There is a venue that we can discuss the priority R&Ds by the universities. We lack identification of a specific requirements on specific enterprise. We have no purposive matching.</p>

	<p>Sharing of information is something that is lacking before. Academic institutions have research but are not used by the MSMEs.</p>
<p>Is there a need that DTI will be part of the Board of Regents?</p>	<p>Maybe it is not necessary that DTI will be part of the Board of Regents because identification of R&D is very general but there is an avenue where their priority are resilient projects that address the resiliency of the enterprise. Maybe on the dissemination to enterprise on what are the available research potential of the schools so that this can be accessed.</p> <p>CHED is part of the RIIC. During the consultation with CHED and schools, they agreed that the R&D inputs should be purposive. But this has improved now because there is prioritization and identification of specific R&D projects that can help industry players and enterprises.</p>
<p>B. IMPLEMENTATION</p>	
<p>1. What have been the gains of the RIIC so far?</p>	<p>RIIC established in 2019. Actually, late 2018 and then 2019, we started identification of projects with Government-Industry-Academe (GIA) but comes with 2020 we were stopped by the pandemic.</p> <p>I think it has increased awareness on the need for collaboration on innovation. I think our collaboration has also strengthened with DTI and SUCs supporting the SMSEs. DTI has no R&D component, we depend so much on the SUCs and on the DA, DOST because they have R&D funds, because of the RIICs we are more aware of the need of R&D for the development of products, processes.</p> <p>In terms of convening, for Davao RIIC, information is downloaded to the various representatives so they can participate well in their alignment meetings. The secretariat and convener should be dedicated and committed. Innovation is now part of the major areas for interventions that's why we are taking the RIIC initiatives seriously. It's being handled right now by the DTI in one division. The division is Industry Development Division, where the industry</p>

	<p>division, as well as innovation and ICT, are under this division.</p> <p>Another gain in implementation – we came up with a website for information sharing. So, we have a website which we launched last year during Davao Agri Trade Expo 2020. This project is being done by the Chamber every year. The website is a repository of all the programs and services with regard to innovation on partner agencies. We also have the mapping in all the facilities in the Davao Region, all the SUCs, TBI, FabLabs, Negosyo Centers, offices of agencies, so that the MSMEs would know where to go and can avail of services from these agencies. We also have the links to the R&D outputs of SUCs. This is a consolidated information repository. So, it is a knowledge database. Website – RIIC.Davao.ph</p> <p>DTI Mindanao has a project, the Rural Agro Enterprise Partnership for Inclusive Development and Growth (RAPID Project). One of the components of the project is on innovation. With regards to innovation, we started early this year. We mainstreamed the innovation activities for the beneficiaries of RAPID project in the RIIC. So, the mechanism here is that the RIIC will be the platform to identify the projects for innovation that will support the beneficiaries of the RAPID project. This project will be until 2026. This will support the RIIC when it comes to mobilization. The RIIC can support the RAPID project objectives in assisting/support farmers and SMSEs</p> <p>1.1 (probe) Please compare to the initial condition, i. e. without the RIIC.</p> <p>-</p> <p>2. Towards Convergence: What are the implementation challenges? (i.e. funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)</p>
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	<p>- It is not apparent to me because the academe is funded through a government fund. There are R&D initiatives that the academe has in partnership with big companies. So, I think they have an agreement funding for that. Under the RIIC, our priority to support are the MSMEs, because the large company can manage R&D.</p> <p>RIIC can be mobilized if we have projects to talk about. The network is active if there are projects that are going on that require the collaboration between the industry and the academe and the government. RAPID is a project which has a funding and part of its component is on innovation projects that will support the development of farmers' organizations and participating MSMEs. In identification of innovation projects, the platform that we can use is the RIIC. We have discussion group that discuss possible projects for the RIIC. It's a win-win solution as it mobilizes the RIIC at the same time it is a platform for RAPID Innovation.</p>
<p>2. Towards Convergence: What are the implementation challenges? (i.e. funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)</p>	<p>- It is not apparent to me because the academe is funded through a government fund. There are R&D initiatives that the academe has in partnership with big companies. So, I think they have an agreement funding for that. Under the RIIC, our priority to support are the MSMEs, because the large company can manage R&D.</p> <p>RIIC can be mobilized if we have projects to talk about. The network is active if there are projects that are going on that require the collaboration between the industry and the academe and the government. RAPID is a project which has a funding and part of its component is on innovation projects that will support the development of farmers' organizations and participating MSMEs. In identification of innovation projects, the platform that we can use is the RIIC. We have discussion group that discuss possible projects for the RIIC. It's a win-win solution as it mobilizes the RIIC at the same time it is a platform for RAPID Innovation.</p>

2.1 How were these overcome?	
3. What are the partnership challenges? Please specify.	<p>We accomplish our targets by making use of RIIC and making use of our own resources. For example, the DOST have targets for R&D, they have a target for technology development. In the process of RIIC networking, we collaborate in identifying SMEs who can avail. We collaborate in terms of other services. For example, if we (DTI) have product development which can also support the technology development of DOST, we do so, but we use our own resources. So as far as partnership is concerned there is not much concern. Each agency has its own targets and objectives to accomplish, we are just making use of the partnership so that we can attain our targets and objectives of our program. In the process we don't depend on each other's resources. We collaborate on certain project.</p> <p>For example, an MSME supported by DTI. For example, the Healthy Sweets Mindanao Corporation. DOST has a project set-up where it is the provision of machinery and equipment, a soft loan that is interest-free, DTI is supporting them (Healthy Sweets) through packaging, product development, and market access. At the same time, DOST is also supporting them (Healthy Sweets) in terms of set-up program. The DOST was able to accomplish because it was able to mobilize their SET UP (Small Enterprise Technology Upgrading Program) funds for the particular MSME. In the side of DTI, we have supported (Healthy Sweets) in terms of improving their product and packaging at the same time, accessing the market. The focus on the RIIC is more on the R&D.</p> <p>As per partnerships, there is no problem in RIIC. The LGUs are supportive of innovation. The Davao City LGU passed a policy creating the Davao City Innovation and Invention Council and the creation of Davao City Innovation and Invention Center. These centers have been leveraging on existing partnerships.</p>

	<p>As per DOST, the Civil Society is included especially in the consultation process. Information is important so we include PIA (Philippine Information Agency), especially in disseminating information. As projects grow more complex, more partners need to be included.</p> <p>Challenges in convening especially in the pandemic.</p>
<p>C. EVALUATING EFFECTIVENESS</p>	
<p>1. What are the roles of partners as follows: 1.1 government – Covered earlier 1.2 academe – Covered earlier 1.3 industry – Covered earlier 1.4 civil society – Covered earlier 1.5 Other partners?</p>	
<p>2. What were the essential initial conditions that made this project successful?</p>	<p>Initial conditions are that there were already existing partnerships and collaboration agreements in the Davao Region, before RIIC. Since we have an industry approach, we focused on few priorities. We worked together in achieving those priorities. Existing facilities are already there as well in the region. We also have a strong Information and communications Technology (ICT) council here in Davao. Our private sector is active as well.</p>
<p>5. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?</p>	<p>On Increased Network Coordination, If the pandemic didn't set in maybe, we could have produced impact when it comes to productivity and sales but due to the pandemic the industries have been affected. In partnership with STRIDE, we undertake the IBR project. We have marketing seminars (Alternative Ways of Marketing Products). The IBR project really has tried to alleviate this given the challenges of the pandemic.</p>
<p>D. MAKING IMPROVEMENTS</p>	
<p>1. What strategies do you have in mind to strengthen collaboration among agencies?</p>	<p>Strengthen the collaboration and sustainability. We wanted to come out with a strategic innovation plan for the next 5 years (2021-2025). We also want to expand our priorities beyond STRIDE particularly beyond processed foods and functional foods. There are a lot of industries</p>

	<p>worth developing and innovating on. Earlier this year, 1st quarter, through the support of STRIDE we undertook strategy planning where we invite a variety of stakeholders from the government, academe and civil society. We came up with our own Davao Region Innovation Strategic Plan. We identified what strategies we are going to adopt to strengthen and sustain the collaboration. We have to see to it that the network is a functional one wherein agencies will be sustaining their projects and programs towards innovation. To support MSMEs in terms of innovation capacities, because the bottom-line is to help the region grow with the MSMEs to upgrade their processes, increase their productivity and sales, and be able to expand their market. For local and national government to harmonize implementation and delivery of focus programs and services. To maximize on media capacities and CSOs for promotion and innovation in the Davao Region. The network should be functional to support SMSEs with innovation strategies with the end goal of increased sales, productivity and market-size increase.</p>
<p>1.1 Strategies to attract more partners? 1.2 Strategies to sustain the partnership/convergence? 1.3 Any challenges with the sustainability of partnership?</p>	
<p>E. SHARING THE BENEFITS</p>	
<p>1. How and with whom do you plan to share the impact your project?</p>	<p>To all the stakeholders of Davao Region so that they are aware of the results. This includes government, industry and academe and other support stakeholders such as the accelerators, the incubators, the funders, etc. At the regional level, we need to know what has happened with the RIIC initiative. Later on, sharing of best practices with other regions would be a good method.</p> <p>Here in Mindanao, under RAPID we have included them in the participating regions in innovation since they can already make their own RIICs. If they have RAPID resources, maybe their own RIICs can take off, and their own RIICs can help</p>

	<p>support their RAPID initiatives. RAPID is entire Mindanao including region 8.</p>
<p>2. What recommendations do you have for regions interested in replicating your project?</p>	<p>They should go through the process of identifying the innovation capacities i.e., what STRIDE has done with us when it comes to capacity, priorities and focuses. DTI should take the lead given that they have their own resources, it will be important that either DTI or DOST that takes the lead. Universities can also lead, but the convener should have a dedicated staff for all the coordination and evaluation.</p> <p>They need to have regional or city conveners.</p> <p>Business Chambers could also lead. This is the model of Cagayan de Oro. They have a program in their Chamber where innovation is really required.</p>
<p>3. Describe any sustainability plan of the RIIC to allow continued implementation once the grant period has ended.</p>	<p>We would be able to sustain innovation initiatives even without STRIDE. We will sustain the collaboration with other agencies because we need them. When we support our MSMEs we are now conscious that they really have to improve their products, systems, and processes on how they do business for them to be more competitive. For now, we have programs for innovations but admittedly we have programs from other government agencies that we need to tap to complete the support to our MSMEs. We also know that we have a lot of facilities that can support innovations, we have a lot of start-ups. We have TBIs, FabLabs, incubators and even common work spaces in the private sectors. We really have a lot of innovation projects of MSMEs, so we just have to make use of all these available resources in Davao Region to push for development for our MSMEs and we want to see the region grow. We need to be aggressive in this pandemic, so we have to expand our reach in other markets. For RAPID, we thought that it needs to focus on market. Our approach is value chain so that we can see the gaps within the value chain and then identify where to improve on for it to be more productive and competitive.</p>

	Innovation journey is here to stay. We cannot continue to do what is usual and we have to level-up.
END OF CASE STUDY QUESTIONS	

ANNEX I.6

CASE STUDY/RIIC REGION 11

(Storyline: What are the elements that bring key players in STI from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the RIICs)

RESPONDENT INFO

Date: July 7, 2021

Name: Maria Lourdes D. Lim, CESO II

Sex: F

Agency: National Economic and Development Authority (NEDA) Regional Office XI

Designation: Regional Director

Role in RIIC: Partner

Project Setting: Urban

Specify location unit of analysis- (city, province, whole region?) Davao Region

A. Planning the RIIC

1. Why did you establish an RIIC in the region?

One of Davao Region's development directions is to advance science, technology, and innovation (STI), as contained in Chapter 14 of the Davao Regional Development Plan (DRDP), 2017-2022. The RIIC was established in the Region since this collaboration initiative among the government, industry, and academe (GIA) has been considered as an important strategy to stimulate innovation and accelerate technology adoption, particularly among MSMEs.

A more advanced STI will improve productivity, and contribute to expanded economic opportunities for the agriculture, industry, and services sectors, which are also development priorities as reflected in Chapters 8 and 9 of the Plan. Empowering the MSMEs in these sectors will lead to a more vibrant, inclusive, and resilient Davao Region. These were the primary considerations when the NEDA XI, as Secretariat to the Regional Development Council (RDC) XI, advocated for the establishment of an RIIC in Davao Region through the RDC XI's Economic Development Committee (EDC) back in 2019.

2. For partners, why did you join the RIIC in the region?

It has since been NEDA XI's mission to support any initiative that would contribute to inclusive and sustainable development in the region. Given that the Fourth Industrial Revolution (Industry 4.0) is within our reach, innovations, and disruptive systems and technologies will define our future.

I believe that RIIC will be crucial in accelerating Davao Region's adoption of the Industry 4.0. If sustained, this initiative will provide a positive and lasting impact on the growth of MSMEs and the Region in general. Following recent policy developments, NEDA's lead role in the implementation of the RA 11293 or the Philippine Innovation Act puts the NEDA Regional Office

XI in a better position to influence the Region's innovation direction. We established and maintain an active partnership in the implementation of the RIIC because we anticipate that this is one of the game-changers for regional development.

3. Why was your location chosen for the RIIC implementation?

Davao Region was identified as one of the four pilot RIIC areas alongside Bicol, Cebu, and Cagayan de Oro. I believe the selection had something to do with growth potential, as Davao Region's economy consistently ranked the highest in Mindanao and among the top performers in the country in terms of the GRDP, with growth rates at 10.9% in 2017, 8.6% in 2018, and 7.1% in 2019.

The prospects on global competitiveness might have also been considered in the selection of pilot RIIC areas. Davao Region is a top producer of agriculture-based export commodities and a major player in the international trade. From 2017-2019, the Region has had an increasing export performance, peaking at about US\$2.1 billion in 2019 (1st-3rd quarter data), coming from its top export commodities such as banana, coconut, pineapple, rubber, gold, and other fruits and nuts, among others.

4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location? Yes _ No ✓

Highly urbanized/component cities in the Davao Region are not included nor in close proximity to the USAID's eight CDI partner cities,¹ namely Batangas, Cagayan de Oro, General Santos, Iloilo, Legazpi, Puerto Princesa, Tagbilaran, and Zamboanga.

4.1. If yes, how did the CDI influence RIIC formation? N/A

5. Are there other similar projects as the RIICs in your location? Yes ✓ No _

There is a Food Processing Innovation Center (FPIC) in Davao which was established in 2014. The FPIC is a partnership among the government (DOST XI, DTI XI, LGU-Davao City), industry [Food Processors Association of Davao, Inc. (FPAD)], and academe and is currently based in the Philippine Women's College. It serves as an innovation hub in the Region, providing technical expertise, technologies, and facilities that specializes in the product development of both fresh and processed foods.

Moreover, although this is not a project but a related initiative, the RDC XI, as the highest policymaking body in the region, created the Regional Research, Development, and Innovation Committee (RRDIC) in 2017 to ensure that research, innovation and S&T projects and initiatives are aligned and responsive to the regional development thrusts as contained in the DRDP, 2017-2022. The RRDIC XI (chaired by the DOST XI with members coming from the GIA) serves as a venue to discuss RDI issues and concerns and formulates and supports the implementation of RDI policies in the Region.

One of the major deliverables of the RRDIC XI is the formulation of the Davao Regional Development Research Agenda (DRDRA), 2017-2022, which contains the priority research topics

¹ USAID (2018). Cities Development Initiative. Accessed at <https://www.usaid.gov/philippines/partnership-growth-pfg/cdi>

that would contribute to the achievement of the Plan objectives. NEDA XI coordinates the formulation, updating, and monitoring of the DRDRA, 2017-2022.

5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?

The RIIC built on the work of the FPIC, given that DOST XI and DTI XI are at the forefront of both these initiatives. Currently, the RIIC focuses on processed fruits & nuts and functional food, but this will likely expand to other sectors soon. Having been integrated in the RIIC's innovation networks, the FPIC benefits from the expanded linkages with MSMEs and other innovative products and service providers, specifically by increasing its clientele and improving its services.

Likewise, NEDA XI foresees that the RIIC will contribute to the funding and implementation of priority research, as well as add relevant research agenda in the Davao Regional Development Research Agenda (DRDRA), 2017-2022 through its pool of RDI experts, as well as, the availability of financial and other resources.

The document may be accessed through:

<https://nro11.neda.gov.ph/wp-content/uploads/2020/04/Davao-Region-Development-Research-Agenda-DRDRA-2017-2022-Midterm-Update.pdf>

6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)

From a partner standpoint, the planning challenge was mainly on the coordination among the lead implementors and partners. Any new initiative will encounter such hurdle, especially since the RIIC is a joint initiative of the DTI, CHED, DOST and DICT, four government agencies that have different mandates and priorities. The technical assistance provided by the USAID STRIDE is crucial especially in identifying the innovation players, as well as building the innovation collaboration among the key agencies/partners.

7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?

Aside from its export potential, the Region also hosts 16 operating ecozones² for manufacturing, information technology, and agro-industrial activities, bringing in local and foreign investments. In 2018, Board of Investment (BOI)-registered projects by local and foreign investors amounted to ₱17.2 billion. The 2019 figure was lower at ₱8.3 billion, and much lower in 2020 at ₱4.9 billion due to the COVID-19 pandemic.

The Davao RIIC currently focuses on processed fruits & nuts and functional food, but there are opportunities to expand given recent developments in the Region. For instance, RA 11547 was recently enacted, declaring Davao City as the chocolate capital and the Davao Region as the cacao capital of the country. This is a big opportunity for the RIIC to channel its innovation efforts on expanding the cacao production and processing and improve the Region's participation in the global cacao (and its by-products) trade.

The Region is also poised to leverage its location, as it not only participates in the ASEAN Economic Community but is also an important gateway to the Brunei Darussalam-Indonesia-Malaysia-Philippines East ASEAN Growth Area (BIMP-EAGA). This sub-regional economic

² PEZA (2017). Operating Economic Zone Map. Accessed at <http://www.peza.gov.ph/index.php/economic-zones/list-of-economic-zones>

cooperation is seen to boost connectivity, facilitate the cross-border movement of goods, services, and people, facilitate tourism development, and ensure environmental conservation and protection in Mindanao. This is another opportunity for the RIIC to assist in strengthening product diversification, production upscaling, productivity improvement, and participation in global production networks, as well as enhancing the quality of the region's commodities and resources through innovation and entrepreneurship.

8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools)?

There are 7 state universities and colleges (SUCs), and around 78 higher education institutions (HEIs) in the Region. As earlier mentioned, the priority research agenda and topics that support the development thrusts of the region are contained in the DRDRA, 2017-2022. While the R&D opportunities will largely depend on the availability of R&D funding, the DRDRA serves as a guide for the SUCs, HEIs, other R&D institutions, and the RIIC on the possible research topics that will contribute to the achievement of the Regional Development Plan's goals.

9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)

Davao Region adopted the Industry Clustering (IC) Strategy way back in 2006, as a development platform in advancing its agriculture and industry sectors and to enable the region to participate in the ASEAN Economic Community and the global value chains. As among the earliest to adopt the IC strategy in the country, the Region's trailblazing efforts has prepared a solid foundation for the RIIC to thrive, with key stakeholders from the national and local government offices, private sector industry players, and the academe having been on board and currently playing active roles in improving the Region's then 8 priority industries to now 15 clusters, namely Abaca, Banana, Bangus, Cacao, Coconut, Durian, ICT, Livestock and Poultry, Mango, Mining, Renewable Energy, Rice, Seaweed, Tourism, and Wood.

As Secretariat to the RDC XI, the NEDA Regional Office XI provided technical assistance and support in the formulation of the Region's IC strategy as contained in the Davao Region Industry Cluster Roadmap (DR-ICR), 2014-2030, which includes the assessment, action plans, and targets for the priority industries. Through NEDA XI's initiative under the auspices of the Economic Development Committee (EDC) of the RDC XI, the document was updated in 2020 –incorporating the changes to the environment and other developments in the programs and interventions in the region. Moreover, the action plans and targets were also recalibrated to consider the updated DRDP, 2017-2022 and the effects of the COVID-19 pandemic.

B. Implementation

1. What have been the gains of the RIIC so far?

I believe that we (in the Region) have yet to fully reap the benefits of the Davao RIIC given that it has not yet reached its full potential; but I can speak of the RIIC's 3 pivotal accomplishments that will certainly impact its future.

First is on the mapping of the innovation landscape in the Region. The Davao RIIC or the Innovation thru Science, Technology, and Risk-resilient based Initiatives toward Knowledge Economy (iSTRIKE) Davao was able to develop a web-based, geo-mapped website containing

the list and location of services and innovation program providers, as well as access to key information which shall enable easier access to data and services for the public.

Second is on the Innovation for Business Recovery (IBR) project which shall help businesses survive, recover, and thrive amid the pandemic. The IBR provides direct consultancy services to struggling MSMEs through partnerships with the faculty members of graduate schools (e.g., UP Mindanao and Ateneo de Davao University) in creating business strategic action plans to mitigate the impact of the pandemic. Ten initial MSMEs were assisted by the Davao RIIC on this project.

Third and last is on the formulation of the iSTRIKE Davao Strategic Plan for 2021-2025, which will define the strategic direction of the RIIC for the next five years. While this is still being finalized, the strategic plan shall contain the feasible targets, strategies and plans of the RIIC in ensuring that the collaborative efforts of its innovation networks will be maintained and improved towards the further adoption and mainstreaming of RDI, as well as the integration of the regional economy into the Industry 4.0.

- 1.1. (probe) Please compare to the initial condition, i. e. without the RIIC. (Refer to Section A, Questions 5 and 9)
2. Towards Convergence: What are the implementation challenges? (i.e. funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)

From our viewpoint, the initial acceptability, as well as developing a culture of innovation, were the major blockades in the RIIC implementation, since the stakeholders and some partners lack awareness and/or are indifferent to RDI, and there were difficulties in the promotion and dissemination of the RIIC to the public due to lack of institutional bases.

- 2.1. How were these overcome?

To provide policy support, NEDA XI advocated for the establishment of the RIIC in the Region. This was coursed through the EDC and subsequently passed by the RDC XI through Resolution No. 13, Series of 2019, "ADOPTING THE ESTABLISHMENT OF THE RIICs TO SUPPORT THE UPSCALING OF THE DAVAO REGION'S INDUSTRY CLUSTER." The RIIC shall serve as a platform to introduce innovation in the Region and advance its priority industry clusters.

Moreover, the enactment of the Philippine Innovation Act and Innovative Startup Act in 2019, as well as the recent establishment of the Davao City Inventions and Innovations Center (DCIIC), are seen to boost the awareness and support to the RDI and the RIIC. As earlier mentioned, NEDA XI shall ensure the implementation of the Philippine Innovation Act in the region through a regional innovation body that shall act as the counterpart of the National Innovation Council (NIC) in the formulation, development, implementation, and monitoring of the region's innovation goals, priorities, and long-term strategy.

On the other hand, the DCIIC was established through a landmark ordinance and will complement the initiatives of the RIIC in providing innovators and start-ups with a venue for accessing goods, services, and capital to develop and promote their inventions and innovations. Hopefully, this initiative of the Davao City will also be replicated by other provinces/cities in the region.

3. What are the partnership challenges? Please specify.

One of the partnership challenges that I observed in relation to the RIIC is the need for a well-defined organizational structure, particularly on the delineation of roles and functions of the partners and stakeholders, as well as the budgetary, human resource, and other institutional requirements. Another would be the different policy issuances and directions of the government agencies as regards the RIIC. However, I believe that these will be addressed by the RIIC in the immediate future, with the finalization of the strategic plan.

C. Evaluating Effectiveness

1. What are the roles of partners as follows:

1.1 Government

The main role of the national government agencies (NGAs) is to provide an enabling environment and ensure the sustained operation of the RIIC. To this end, they shall establish a mechanism to harmonize and link their programs and services to the RIIC in accordance with their mandates and in line with the regional development thrusts and priorities. NEDA XI shall provide technical assistance, and policy recommendations and support through the RDC XI on matters concerning the RIIC.

Likewise, the NGAs shall provide the necessary technical support and assistance through policies, capacity development, and information, communication, and education, to properly implement, manage, and monitor the RIIC and develop a conducive business environment for the innovation based MSMEs to thrive and scale up.

The local government units, on the other hand, shall support the implementation of the RIIC by actively participating in its programs and activities. They may also initiate programs and policies to promote innovation and entrepreneurship in their respective jurisdictions.

1.2 Academe

The academe shall identify, develop, and provide the appropriate R&D, and support the adoption and commercialization of research-based technologies that will address the actual needs of the industries. They shall also endeavor to prioritize the research agenda as contained in the DRDRA, 2017-2022.

Moreover, the academe shall incorporate relevant courses/programs in the academic curriculum. The extension and production programs of HEIs shall likewise mainstream innovation and entrepreneurship.

1.3 Industry

The industry players shall support the implementation of the RIIC by actively participating in its programs and activities. They shall support the adoption and commercialization of technologies that are considered beneficial to their growth and development. They shall likewise extend their expertise and resources, and assist in technology transfers, especially to help the MSMEs. Industry players shall also provide opportunities through apprenticeships, trainings, and scholarships.

1.4 Civil society

The civil society organizations (CSOs) shall support the implementation of the RIIC by actively promoting and participating in its programs and activities.

1.5 Other partners?

Other partners such as the media will be crucial in the promotion and mainstreaming of the RIICs in the Region.

2. What were the essential initial conditions that made this project successful?

By far, the measure of the RIIC's success is the formalization of the collaboration among the GIA in the Region through the memorandum of understanding (MOU) among the Davao Chamber of Commerce and Industry (DCCCII), DTI XI, DOST XI, CHED XI, DICT Mindanao Cluster 3, NEDA XI, USAID STRIDE, and the FPAD, inked in 2020.

The initial conditions for the success of this formalized collaboration are 1) the established network of key stakeholders to implement and improve the Region's IC strategy; 2) the technical assistance provided by the USAID STRIDE; and 3) the increasing demand for innovation following the emergence of the Industry 4.0, as well as the rise of digital economies and the advent of technology and digitalization.

5. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?

Currently, we do not have the empirical data on the contribution of the Davao RIIC to the growth of the MSMEs, or to the improvement of the industries' overall productivity. However, the RIIC implementation has been identified as a key strategy in boosting the capacities of institutions for innovation, and the development and scaling up of the MSMEs and start-ups per the Updated Philippine Development Plan (PDP), 2017-2022 and the Updated DRDP, 2017-2022.

Nevertheless, we are optimistic that the RIIC will receive further attention from the national and local governments and will be replicated in other areas. Hopefully, the RIIC success indicators will be included in the monitoring tool or the Results Matrices (RMs) of the Philippine and regional development plans in the next planning period.

D. Making Improvements

1. What strategies do you have in mind to strengthen collaboration among agencies?

1.1 Strategies to attract more partners?

Attracting more partners would depend on how deep the culture of innovation is set in the Region. In other words, the RIIC must build the innovation culture by first upgrading the partners' capacities and capabilities through a capacity building program. Ideally, innovation starts with the partners and will ripple to other organizations and stakeholders. When the current partners (as leaders) are already capable of innovating, it is much easier to encourage others to do as they did. A communication plan should likewise be formulated and implemented for this purpose.

1.2 Strategies to sustain the partnership/convergence?

An effective way of sustaining the partnerships/convergence is by building an innovation management system or framework and institutionalizing or formalizing such collaborative framework. The iSTRIKE Davao has already done the latter, by undertaking an MOU with its partners. The MOU undertaking must be expanded to cover other subsequent partner organizations.

The RIIC must also ensure the harmonization of the programs and initiatives of the partner organizations in relation to the RIIC. In addition, sustaining the convergence will depend on the assessment of the effectiveness of the management measures being implemented. Hence, there needs to be a monitoring and evaluation plan that will ensure improvements to the RIIC.

For continuity, the said system/framework should also consider changes in leadership, as in the case of the local government units. Organizational priorities are mainly influenced by their leaders. To maintain a lasting partnership, partner organizations must establish cohesiveness in terms of having a shared vision and the proper implementation and management of the RIIC.

1.3 Any challenges with the sustainability of partnership? N/A

E. Sharing the Benefits

1. How and with whom do you plan to share the impact your project?

As a pilot RIIC, it is an institutional responsibility of the iSTRIKE Davao to share as much information as possible with other potential partners. Foremost, the impacts of the RIIC shall be shared to the regional stakeholders, and the best practices as well as the learning experiences shall be shared to other regions, for possible replication.

Fora and information sharing sessions can be organized by the RIIC partners. On our part, we can cascade this to other RDCs through the NEDA Board - Regional Development Committee (NB-RDCom). If the opportunity presents itself and should the RIIC succeed, the impacts/results may even be shared to international institutions.

2. What recommendations do you have for regions interested in replicating your project?

Like any other initiative, there is a certain degree of commitment and persistence that other regions will have to demonstrate in order to establish their own RIIC. Efforts should be strategic to be efficient and effective in the use of resources. USAID STRIDE's technical assistance is a 'golden' opportunity, so other regions may avail of the same.

Other regions may start by leveraging partnerships that they have already established with the development partners and stakeholders. They must then establish a harmonized framework i.e., a strategic plan to identify the roles and responsibilities of each partner. This will enable them to focus on what really matters and avoid the unnecessary confusion and inefficiencies. Lastly, other regions should ensure that the partners are driven by a shared vision since this will most likely determine the success of the RIIC.

3. Describe any sustainability plan of the RIIC to allow continued implementation once the grant period has ended.

The sustainability plan, at least for the next five years, shall be reflected in the iSTRIKE Davao Strategic Plan, 2021-2025. The actions of the partners and stakeholders relative to the RIIC shall be anchored on this plan from here on out.

END OF CASE STUDY QUESTIONS

Name of Note taker: _____

ANNEX J

HIGHER EDUCATION AND PHILIPPINE SOCIAL STATISTICS

Education is one pathway to get out of poverty. Getting an education means employment opportunities will be high. The data in this section shows the poverty situation in the country, the level of employment/unemployment and the status of higher education that supplies the manpower for industry and other sectoral employment.

From 2012 to 2019, GDP rate of increase (in constant 2018 prices) was constant at about 6%, but this suffered a negative growth in 2019 to 2020, of -9.6 (Figure 1). This is directly related to the lockdowns due to COVID-19. During the same period, poverty incidence was seen to decline (Figure 2). Average poverty incidence rate during 2006- 2018 ranged from 3.7% in NCR to 54.3% in the BARMM (Figure 4). Next to NCR, the two regions with the lowest average poverty incidence for the same period are the Region 4- A and Region 3. These are the highly urbanized regions. These data tend to show that highly urbanized regions have lower poverty incidence that may be due to the employment opportunities in these areas.

Employment rate in the country from 2013 to 2019 have been respectable at higher than 90%. However, this dipped to below the 90% level in 2020 (Figure 5), which again could be due to the COVID-19. Average employment rate of change during the period 2013-2016 and 2017-2019, showed a positive 1.16%, which means an increasing rate. However, the only regions with the positive rate of change (greater than 1) in average employment are those urban and urbanizing types. These are Regions NCR, 3, 4-A, 11, 10 and 13 (Table 6). These regions have major cities such including Davao City, Cagayan de Oro City and Butuan City. Seemingly, employment opportunities are located more in urban setting.

Based on CHED record, during AY 2017 to 2018, total college graduates is 751, 310, of which 59% are women. Available data at CHED also showed that in the same AY 2017-2018, 274, 499 (or 36%) graduated with Science Technology, Agriculture and Math (STEAM) degrees (Table 7). Recent data also show that 24% of the college graduates are unemployed¹.

¹ <https://newsinfo.inquirer.net/1377399/batch-2020-how-filipino-college-graduates-job-hunted-through-the-pandemic#:~:text=3,.are%20junior%20high%20school%20graduates>.

TABLE 1. RATE OF INCREASE IN GDP

YEAR	AT CURRENT PRICES	AT CONSTANT 2018 PRICES
2012-2013	9	6.8
2013-2014	9.6	6.3
2014-2015	5.6	6.3
2015-2016	8.5	7.1
2016-2017	9.4	6.9
2017-2018	10.3	6.3
2018-2019	6.9	6.1
2019-2020	-8.1	-9.6

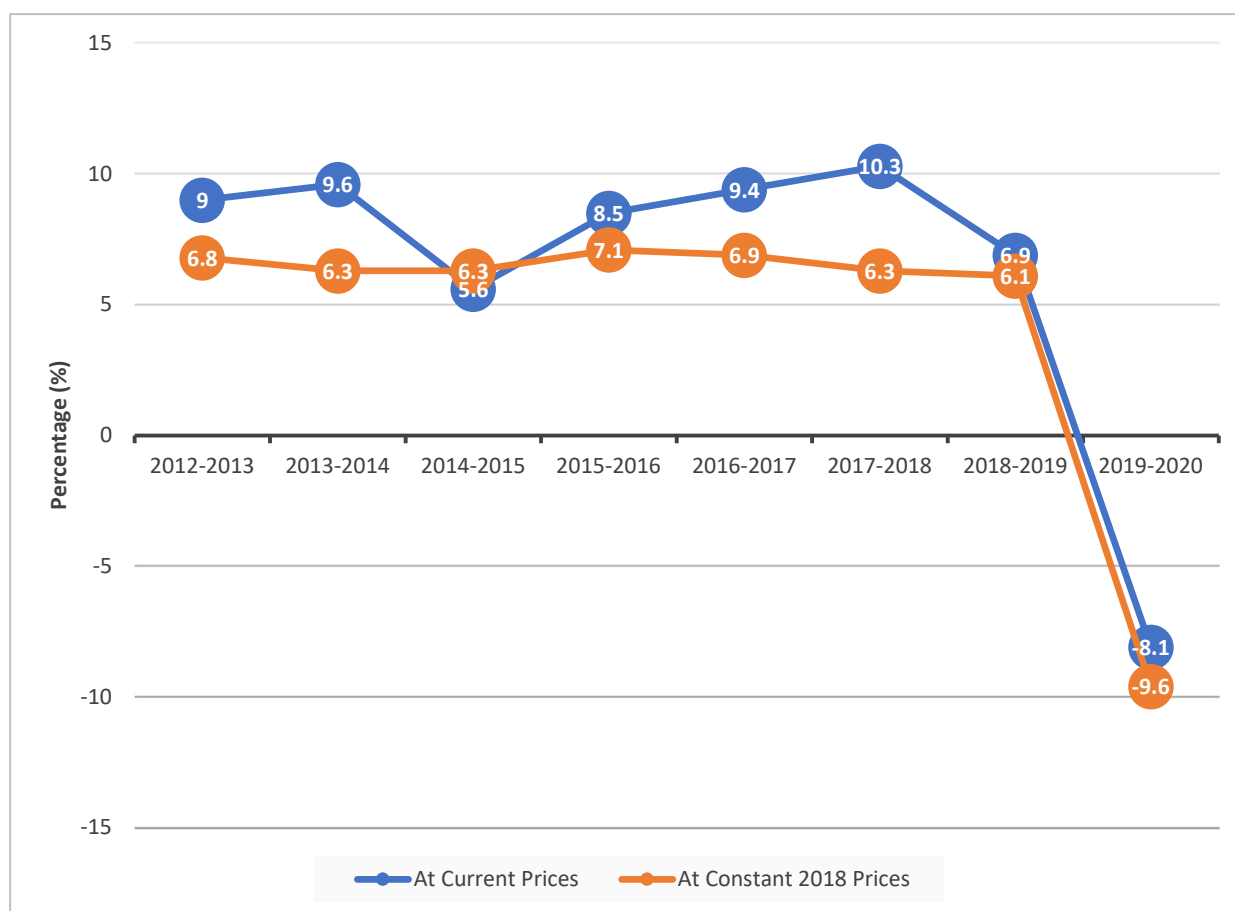


Figure 1. Gross Domestic Product of the Philippines
 Source: Philippine Statistics Authority

TABLE 2. POVERTY INCIDENCE TRENDS	
YEAR	POVERTY INCIDENCE
2006	26.6
2009	26.3
2012	25.2
2015	23.5
2018	16.7

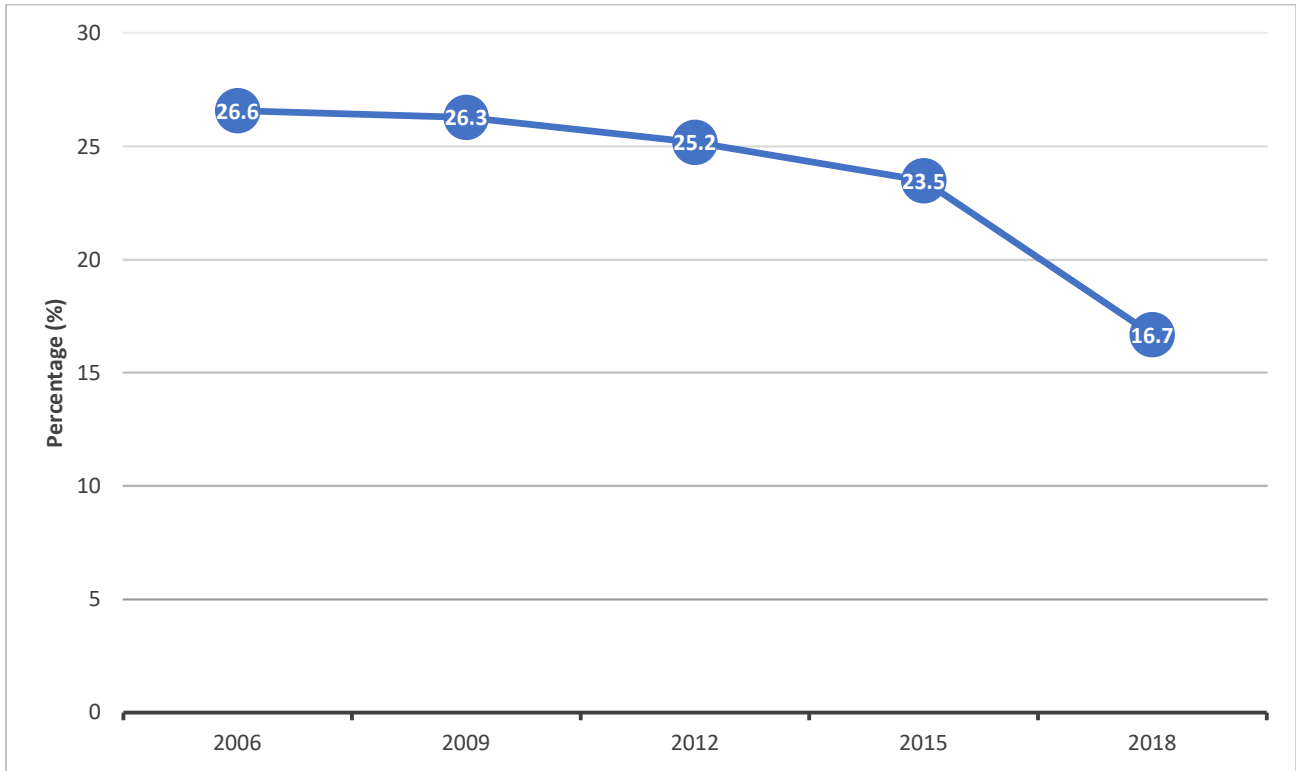


Figure 2. Poverty Incidence
 Source: Philippine Statistics Authority

TABLE 3. POVERTY INCIDENCE RATE BY REGION 2006- 2018

Region	2006	2009	2012	2015	2018
PHILIPPINES	26.6	26.3	25.2	23.5	16.7
NCR	4.7	3.6	3.9	4.1	2.2
CAR	26.0	25.1	22.8	22.7	12.0
Region I	25.9	22.0	18.5	18.8	9.9
Region II	26.8	25.5	22.1	17.8	16.3
Region III	13.1	13.7	12.9	10.5	7.0
Region IV-A	10.3	11.9	10.9	12.5	7.1
Region IV-B	40.6	34.5	31.0	25.2	15.1
Region V	44.2	44.2	41.1	39.8	27.0
Region VI	29.1	30.8	29.1	24.6	16.3
Region VII	35.9	31.0	30.2	29.4	17.7
Region VIII	41.5	42.6	45.2	41.3	30.7
Region IX	45.0	45.8	40.1	37.7	32.7
Region X	39.0	40.1	39.5	38.7	23.1
Region XI	30.6	31.4	30.7	23.5	19.1
Region XII	37.9	38.3	44.7	38.1	28.2
CARAGA	49.2	54.4	40.3	39.7	30.5
BARMM	47.1	47.4	55.8	59.4	61.8

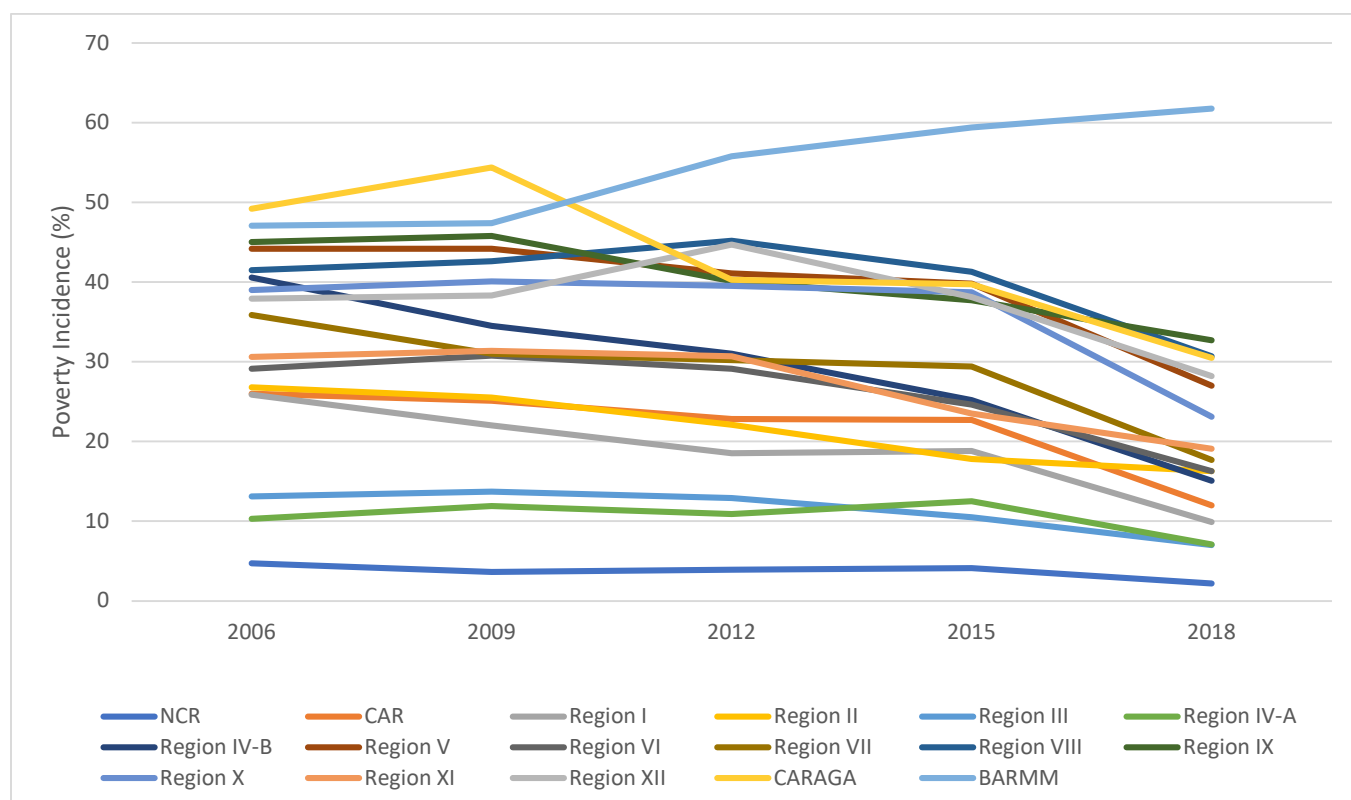


Figure 3. Poverty Incidence Rate, By Region based on 2006, 2009, 2015, 2015 and 2018 Family Income and Expenditure Survey (FIES)

Source: Philippine Statistics Authority

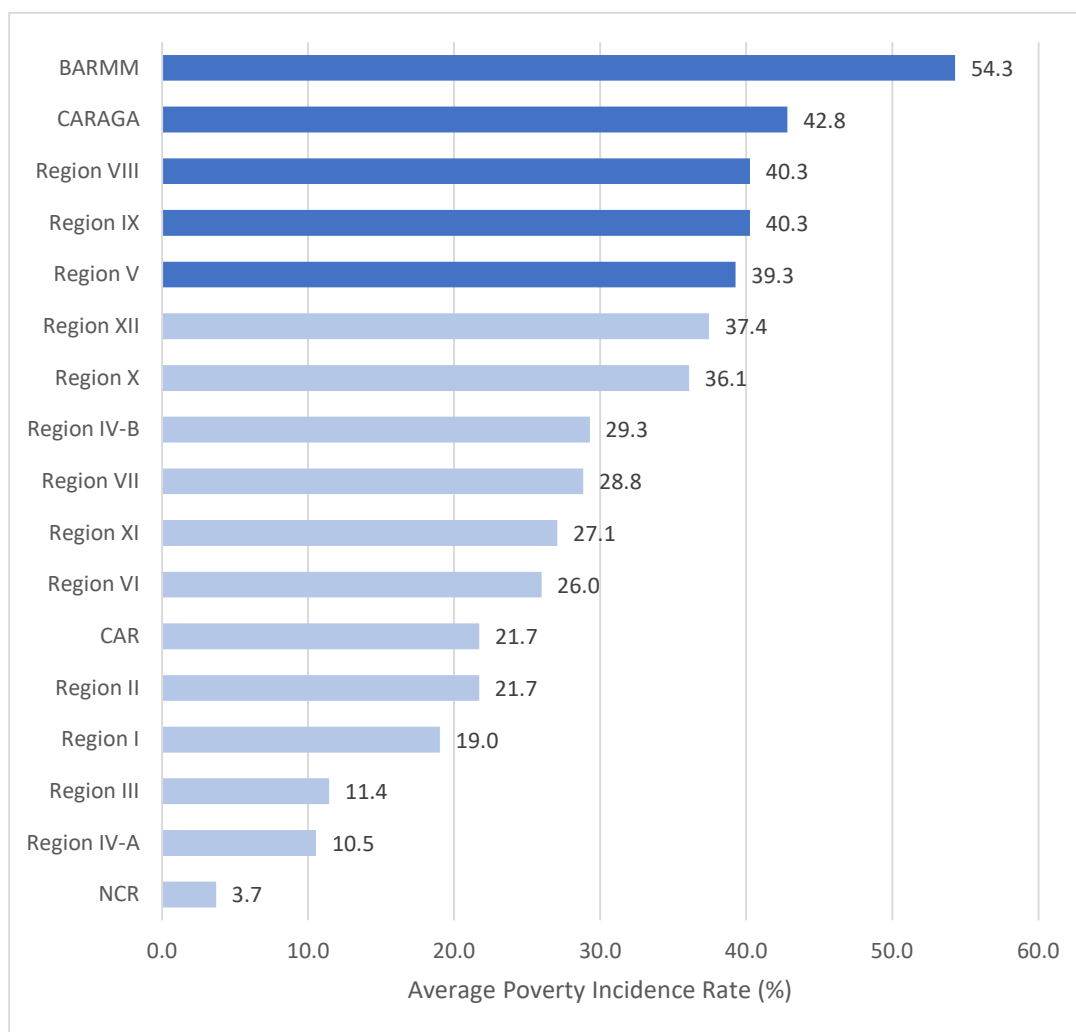


Figure 4. Average Poverty Incidence Rate, By Region based on 2006, 2009, 2015, 2015 and 2018 Family Income and Expenditure Survey (FIES)

Source: Philippine Statistics Authority

TABLE 4. EMPLOYMENT RATE	
YEAR	EMPLOYMENT RATE
2013	92.8
2014	93.2
2015	93.7
2016	94.5
2017	94.3
2018	94.7
2019	94.9
2020	89.7

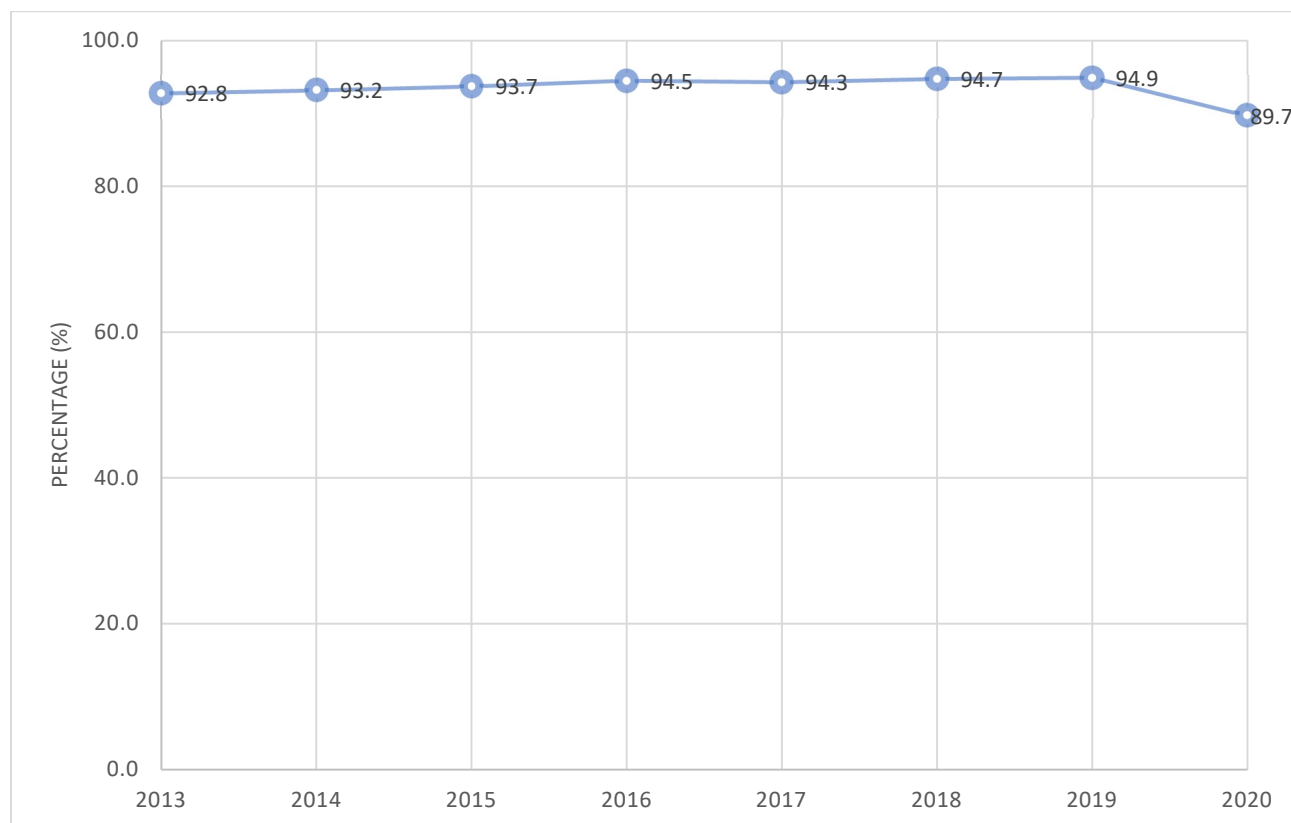


Figure 5. Employment rate of the Philippines from 2013-2020

Source: Philippine Statistics Authority

TABLE 5. EMPLOYMENT RATE BY REGION								
REGION	2013	2014	2015	2016	2017	2018	2019	2020
Philippines	92.8	93.2	93.7	94.5	94.3	94.7	94.9	89.7
National Capital Region (NCR)	89.7	89.6	91.5	93.4	92.6	93.4	94.0	88.3
Cordillera Administrative Region (CAR)	95.4	94.5	95.2	95.5	95.7	95.9	96.5	89.6
Region I (Ilocos Region)	91.7	91.6	91.6	93.7	91.1	93.2	94.7	86.6
Region II (Cagayan Valley)	96.8	96.3	96.8	96.9	96.8	97.0	96.4	91.3
Region III (Central Luzon)	91.3	91.7	92.2	93.4	93.4	94.2	94.9	86.9
Region IV-A (CALABARZON)	90.8	91.8	92	92.8	93.0	93.4	93.8	88.4
MIMAROPA Region	95.9	95.4	96.7	95.9	95.2	95.3	95.7	92.7
Region V (Bicol Region)	93.5	93.8	94.4	95.3	95.4	95.1	94.9	90.5
Region VI (Western Visayas)	93.1	94	94.6	95.1	94.6	94.7	95.3	92.2
Region VII (Central Visayas)	93.7	94	94.1	95.0	95.5	94.7	94.8	89.7
Region VIII (Eastern Visayas)			94.6	95.5	95.6	95.8	95.6	92.0

Region IX (Zamboanga Peninsula)	96.6	96.3	96.5	96.1	96.0	95.9	96.3	90.1
Region X (Northern Mindanao)	94.3	94.2	94.4	94.7	94.7	95.9	95.6	93.6
Region XI (Davao Region)	93.1	94.2	94.2	95.5	95.1	95.7	96.2	90.8
Region XII (SOCCSKSARGEN)	95.6	96.4	96.5	95.8	96.0	96.1	95.6	90.9
Region XIII (Caraga)	94	94.2	94.3	94.9	94.9	96.0	95.2	92.4
Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)	95.4	96.5	96.5	96.2	96.6	96.3	93.7	91.0

TABLE 6. AVERAGE EMPLOYMENT RATE BY REGION (2013-2016, AND 2017-2019)

Region	2013-2016	2017-2019	Percent Change
Philippines	93.55	94.63	1.16
National Capital Region (NCR)	91.05	93.33	2.51
Cordillera Administrative Region (CAR)	95.15	96.03	0.93
Region I (Ilocos Region)	92.15	93.00	0.92
Region II (Cagayan Valley)	96.70	96.73	0.03
Region III (Central Luzon)	92.15	94.17	2.19
Region IV-A (CALABARZON)	91.85	93.40	1.69
MIMAROPA Region	95.98	95.40	-0.60
Region V (Bicol Region)	94.25	95.13	0.94
Region VI (Western Visayas)	94.20	94.87	0.71
Region VII (Central Visayas)	94.20	95.00	0.85
Region VIII (Eastern Visayas)	95.05	95.67	0.65
Region IX (Zamboanga Peninsula)	96.38	96.07	-0.32
Region X (Northern Mindanao)	94.40	95.40	1.06
Region XI (Davao Region)	94.25	95.67	1.50
Region XII (SOCCSKSARGEN)	96.08	95.90	-0.18
Region XIII (Caraga)	94.35	95.37	1.08
Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)	96.15	95.53	-0.64

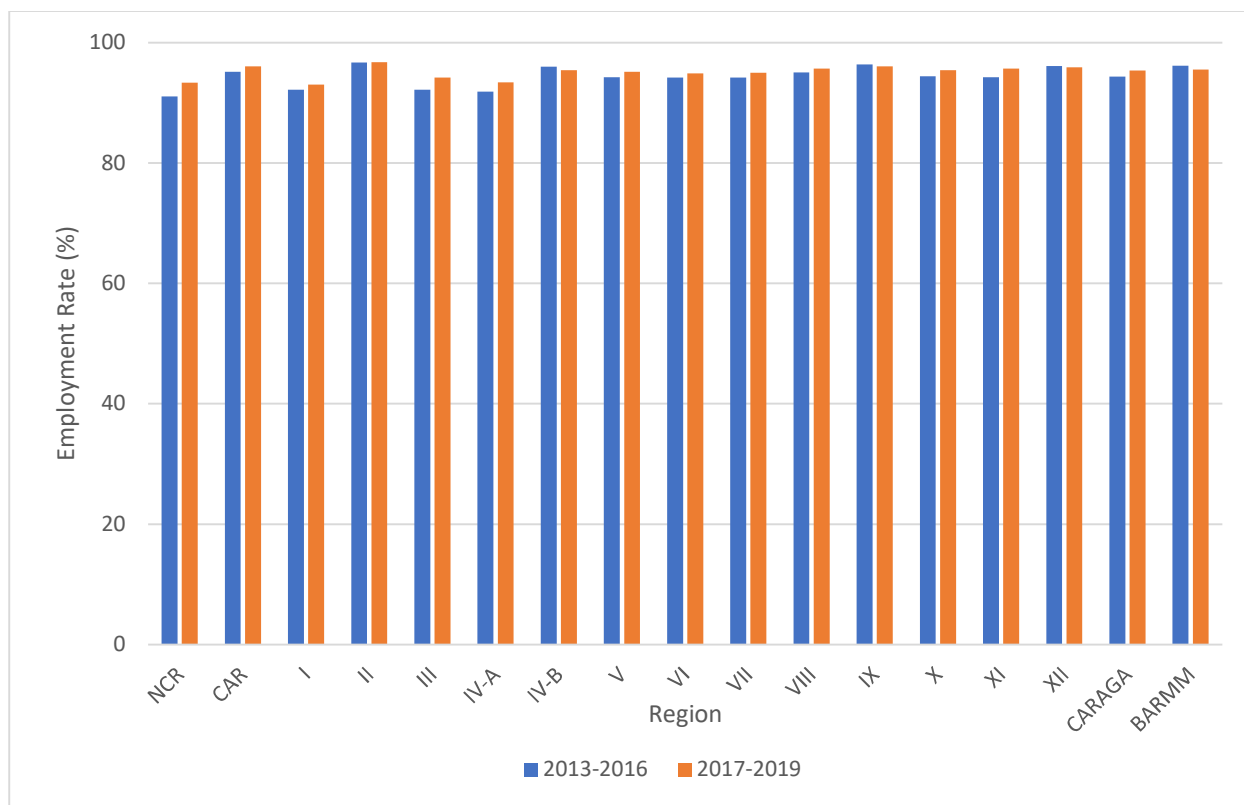


Figure 6. Employment rate of the Philippines by Region
Source: Philippine Statistics Authority

TABLE 7. NUMBER OF GRADUATES IN STEAM BY DISCIPLINE AND INSTITUTION TYPE: AY 2017-18					
DISCIPLINE	SUCS	LCUS	OGS	PRIVATE	GRAND TOTAL
Science	15,550	1,989	341	45,425	63,305
Technology	67,002	6,965	115	55,590	129,672
Engineering	25,192	858	-	25,135	51,185
Agriculture	25,688	349	183	641	26,861
Mathematics	2,916	211	-	319	3,446
Grand Total	136,348	10,372	639	127,110	274,469

SUC- State universities and colleges; LCUs= Local Colleges and Universities; OGS= other government schools

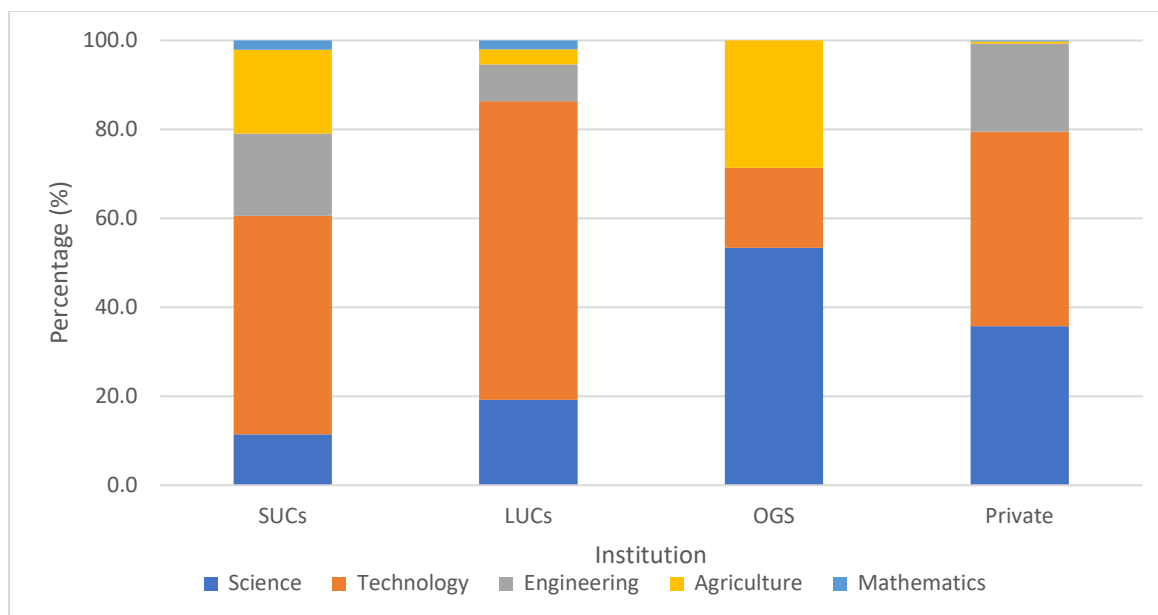


Figure 7. Higher Education Graduates by STEAM Discipline and Institution Type
 Source: Commission on Higher Education

TABLE 8. POPULATION BY REGION	
REGION	POPULATION
Cordillera Administrative Region (CAR)	1,797,660.00
Region I (Ilocos Region)	5,301,139.00
Region II (Cagayan Valley)	3,685,744.00
Region III (Central Luzon)	12,422,172.00
National Capital Region (NCR)	13,484,462.00
Region IV-A (CALABARZON)	16,195,042.00
Region IV-B (MIMAROPA)	3,228,558.00
Region V (Bicol Region)	6,082,165.00
Region VI (Western Visayas)	7,954,723.00
Region VII (Central Visayas)	8,081,988.00
Region VIII (Eastern Visayas)	4,547,150.00
Region IX (Zamboanga Peninsula)	3,875,576.00
Region X (Northern Mindanao)	5,022,768.00
Region XI (Davao Region)	5,243,536.00
Region XII (SOCCSKSARGEN)	4,901,486.00
Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)	4,404,288.00
Region XIII (Caraga)	2,804,788.00
PHILIPPINES	109,033,245.00

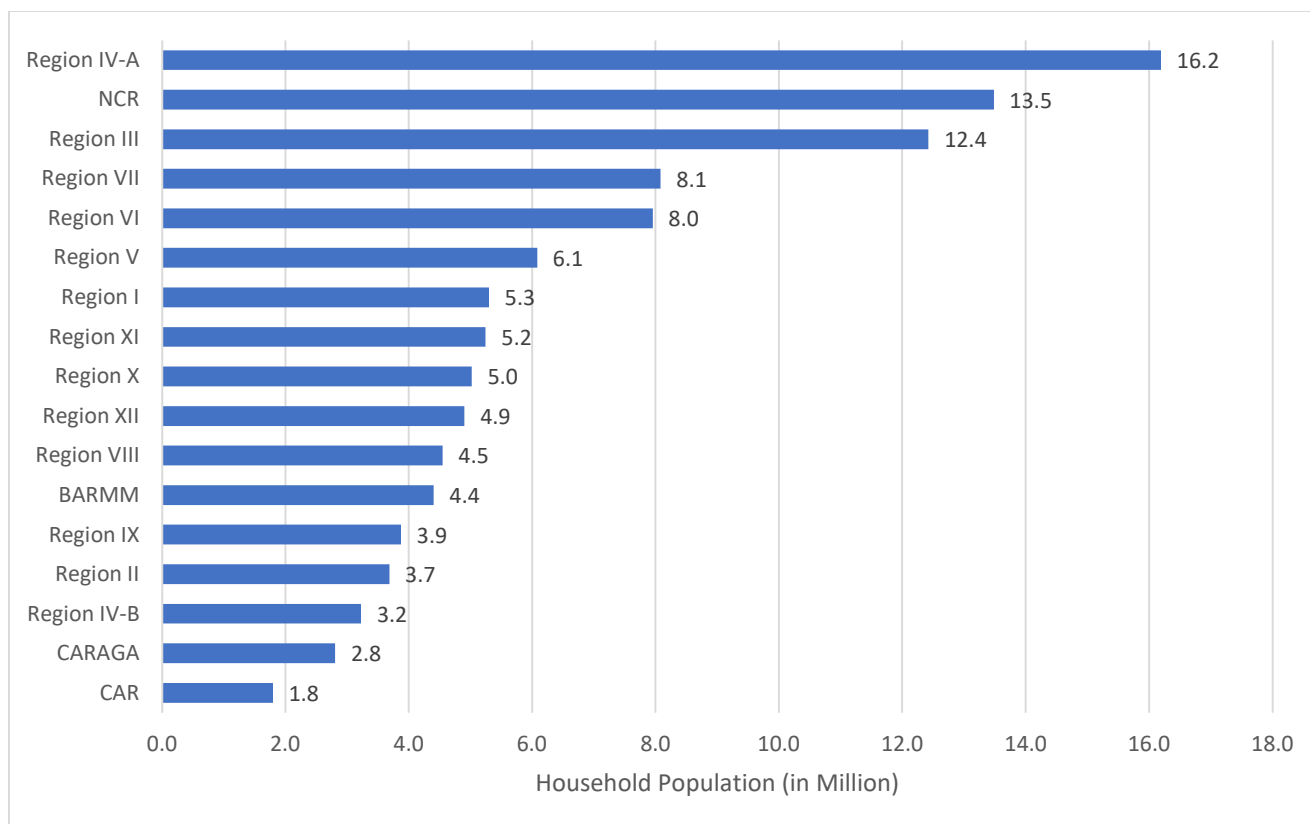


Figure 8. Population of the Philippines by Region: 2020

Source: Philippine Statistics Authority

TABLE 9. POPULATION GROWTH RATE, 2000-2020

REGION	2000-2010	2010-2015	2015-2020
NCR	1.78	1.58	0.97
CAR	1.70	1.21	0.91
I	1.23	1.09	1.13
II	1.39	1.27	1.39
III	2.14	1.95	2.17
IV-A	3.07	2.58	2.48
IV-B	1.79	1.47	1.82
V	1.46	1.29	1.02
VI	1.35	1.13	1.14
VII	1.77	1.61	1.88
VIII	1.28	1.52	0.50
IX	1.87	1.21	1.39
X	2.06	1.68	1.46
XI	1.97	1.74	1.46
XII	2.46	1.94	1.60
CARAGA	1.49	1.28	1.63
BARMM	1.51	2.89	3.26

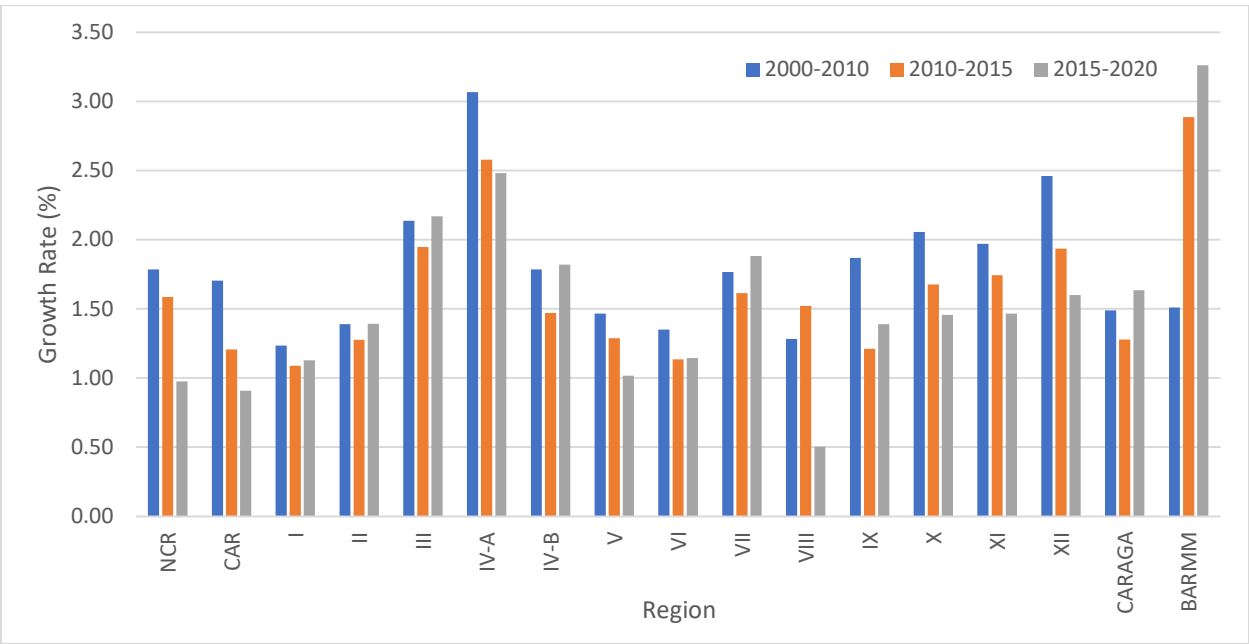


Figure 9. Population growth rate of the Philippines by Region based on the 2000, 2010, 2015 and 2020 censuses
 Source: Philippine Statistics Authority

TABLE 10. NUMBER OF HEIS BY REGION, (PUBLIC VS PRIVATE)

Region	State Universities and Colleges (SUCs)		Other Gov't HEIs				Gov't Total (Excluding Satellite Campus)	Gov't Total (Including Satellite Campus)	Private		Private Total	Total (Excluding Satellite Campus)	Total (Including Satellite Campus)
	Main	Satellite*	LUCs	CSI	OGS	Special HEI			Sectarian	Non-Sectarian			
Cordillera Administrative Region (CAR)	6	14				1	7	21	6	27	33	40	54
Region I (Ilocos Region)	6	21	4				10	31	15	66	81	91	112
Region II (Cagayan Valley)	5	20					5	25	11	37	48	53	73
Region III (Central Luzon)	12	39	14				26	65	26	149	175	201	240
National Capital Region (NCR)	8	8	16			4	28	36	64	244	308	336	344
Region IV-A (CALABARZON)	5	56	16			1	22	78	54	211	265	287	343
Region IV-B (MIMAROPA)	6	43	2				8	51	8	31	39	47	90
Region V (Bicol Region)	9	24	23				32	56	13	101	114	146	170
Region VI (Western Visayas)	11	54	10		1		22	76	28	52	80	102	156
Region VII (Central Visayas)	5	23	10				15	38	29	98	127	142	165
Region VIII (Eastern Visayas)	10	27	3				13	40	16	33	49	62	89
Region IX (Zamboanga Peninsula)	6	22	1				7	29	14	42	56	63	85
Region X (Northern Mindanao)	5	25	12				17	42	18	48	66	83	108
Region XI (Davao Region)	6	9	6				12	21	22	59	81	93	102
Region XII (SOCCSKSARGEN)	3	11	2				5	16	12	70	82	87	98
Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)	5	14	1	6			12	26	10	75	85	97	111
Region XIII (Caraga)	4	11	1				5	16	10	30	40	45	56
Total	112	421	121	6	1	6	246	667	356	1,373	1,729	1,975	2,396

Source: CHED

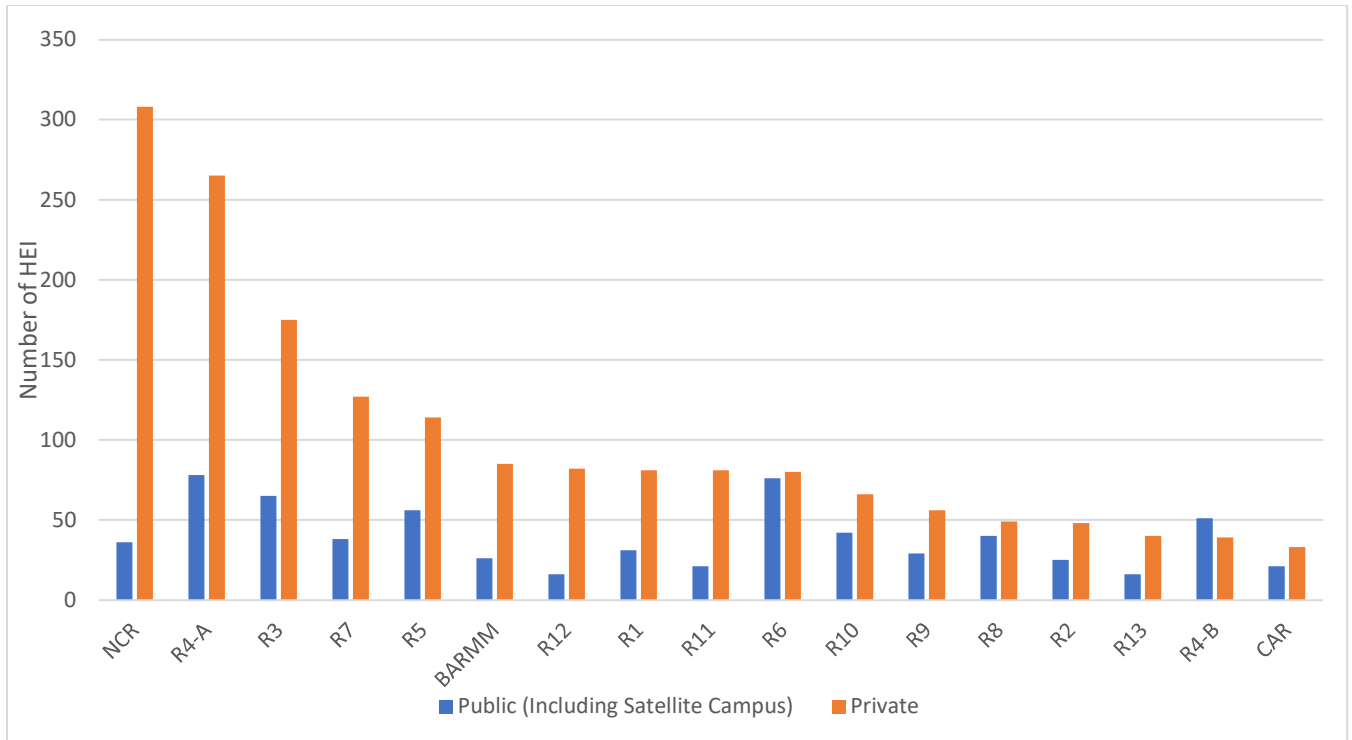


Figure 10. Distribution of Higher Education Institutions by Region: AY 2019-20
 SOURCE: Commission on Higher Education

TABLE 11. CLASSIFICATION OF STUDENT POPULATION OF THE SAMPLED HEIS BY PUBLIC AND PRIVATE, LARGE AND SMALL			
CLASSIFICATION	PUBLIC	PRIVATE	TOTAL
Large (more than 10k students)	4	2	6
Small (less than 10k students)	2	3	5
Total	6	5	11

TABLE 12. STUDENT POPULATION IN SAMPLED UNIVERSITY

SAMPLED UNIVERSITY	TYPE	SIZE (SMALL < 10K; LARGE >10K)	NO. OF STUDENTS
University of the Philippines Los Baños	Public	Large	14160 (a)
Batangas State University	Public	Large	27246
Cebu Institute of Technology	Private	Small	8064
University of San Carlos	Private	Large	12496
UP Cebu	Public	Small	1611 (a)
Mindanao State University-Iligan Institute of Technology	Public	Large	10274
University of Science and Technology of Southern Philippines	Public	Small	9965
Xavier University	Private	Small	6120
Technological Institute of the Philippines	Private	Small	6209
University of the Philippines Diliman	Public	Large	26453
De la Salle University	Private	Large	15899

Source: CHED AY 2017-2018; a= 2013 figu

ANNEX J.1

KII RESPONSES FOR IPOPHIL

Objective: To describe how STRIDE IP-related interventions have contributed to the improvement of the innovation ecosystem and how this has contributed to the capacity to innovate of its stakeholders.

Agency/Office: IPOPHIL

Respondent: Rowel Barba

Gender (M/F): Male

Designation: Director General (DG)

Date: September 17, 2021

Nature of Engagement with STRIDE (current or previous years, as partner, resource person):

I came from DTI, I'm former undersecretary of DTI. I was part of study tour in 2017 together with Sec. Ramon Lopez, Usec. Guevarra, Usec. Fita, Dr. Rotor, Naph Juanillo, Dr. Ric, Dr. Hall and others from USAID. I think that was the start of active collaboration of STRIDE. Prior to 2000 (not clear the year, inaudible), no action from the government kasi matagal na din nagstart ang STRIDE. According to Dr. Hall, he was impressed by the collaboration and the reception being given by the government in this administration. I was just appointed as DG last year February 2020. But even before that, the IPOPHIL mayroon na ring projects especially the capacity building of academe. I think they call it KTTP. We were part of foresight study sponsored by STRIDE.

Naikotan ko po lahat as Undersecretary sa DTI. I handled Competitiveness and Ease of Doing Business for a year. Then after that I was assigned to work on the Construction Group before I left and the group after the Secretary composed of the Foreign Trade Service Core.

IPOPHIL is an attached agency of DTI.

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

1.1 To what extent has STRIDE contributed to addressing the IP concerns in the context of commercialization/ technology transfer in the Philippines?

I can cite three major contributions:

- Enlightening the academe on the importance of IP in the larger innovation agenda. We also have the Innovation Technological Services Office (ITSO) and currently we have 80+ schools and universities included in that program
- Enhancing institutional capacity and management capacity especially ITSO

- Improving collaborative science and technology research output for broad based sustainable economic growth

With that trip sa US namin, there was greater collaboration between DTI and DOST. Kaya nga po nung lipat ko dito sa IPOPHIL, medyo matagal na nga na hinihingi na superhighway for projects funded by DOST nangyari po yun last year. After our trip sa US, nagmapping muna kami yung environment the ecosystem dito sa Philippines because at that time parang wala pang nasisisimulan.

Can we really attribute the collaboration between the national agencies to the effort of STRIDE to connect innovation actors?

Yes. In fact, when we had an audience with USAID in the US, we requested for an extension of the project because at that time the project is ending. Hopefully, they can give more projects in the Philippines.

Dagdag ko lang po dun sa three major contributions ng STRIDE, focus on one of our IPOPHIL's goals which is to educate more colleges and universities on how IP can turn their research and development their products that really matter as well as how can help them generate more capital for their innovation and for them to get bigger R&D projects. Nakita po kasi natin dito sa Philippines more of supply driven, walang coordination between academe and industry. Ang academe gawa sila ng gawa ng research for the sake of research (not aligned). Kaya nga po yung result ng trip na yun is to really align the needs of industries with the academe. Hopefully, we can have more projects or venues where the government, academe and industries can work together.

How can SUC have ITS0?

Dati kasi walang buy in ang mga president kaya pag wala na yung president wala na din yung opisina. Ngayon we institutionalized it and we required the SUCs from dedicated office to have dedicated personnel.

Under ITS0 2.0, we required SUCs to have dedicated office and dedicated personnel pati trainings na binibigay namin para tuloy tuloy. Currently, there are 80+ active ITS0 in our network.

1.2 What do you think is STRIDE's value addition in the innovation ecosystem space given the answer in 1.1?

STRIDE IP's education effort brought positive impact to the entrepreneurship side of innovation by helping set the foundation that will improve the socio-economic condition of the Philippines and cultivating the business development and IP management skills of our innovators so we can now ensure that their innovations are solutions to real problems and can be business endeavor that will generate jobs and provides income to them and for their worker.

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem, in terms of commercialization activities (i.e., IPR training to stakeholders, help in start-ups and spin offs)

It helps create the relationship between academe and industry kasi nga po before yung industry walang pakialam sa academe. Ang academe naman walang pakialam sa industry. Nakita po namin that there is large gap between these two sides kaya nga po yung lack of collaboration has been a big problem in innovation. And alam naman po natin that the industry needs academe for technical and R&D concerns and the academe needs the private sector/industry who has the financial means. Kaya nga po malaking bagay talaga yung value adding to be able to at least mawala yung gap between the

academe and industry. Ang pinakaimportante po dyan is to be able to help them both the academe and industry formed partnership built on trust as provided for by the IP system.

2. EFFECTIVENESS

2.1 Has STRIDE interventions made some impacts on the IP policy?

Yes. Yung experts provided by STRIDE and deployed to the Philippines and the knowledge shared to us are invaluable. These have helped set our policy direction to generate more technology transfer activities and build greater relationships between the academe and industry. Sinabi ko na po before yung study tour naming in 2017 with Sec. Mon. It was truly a catalyst. The relationship between government-industry-academe were strengthened. These were reflected in many joint innovation programs and policies including the landmark Philippine innovation act that we are implementing today. After the trip the government side resolve to pass the innovation act at that time. I can also say that with the strategic foresight training which as a result of the covid19 pandemic the challenge for us policy makers to better adapt to sudden changes. IPOPHIL is one of early partners. We sent four participants to join the training with DOST, NEDA and DTI.

2.2 Has STRIDE interventions made some impacts on entrepreneurship in the country?

Yes. All the accomplishment of STRIDE happened in the 2nd phase. No buy in phase 1. I think dito sa phase 2 nasolidify yung commitment of the government to really push for innovation. Dito naman po sa impact on the entrepreneurship, by helping the academe appreciate the value of their IP products and other intangible assets, STRIDE has definitely cultivated the culture of entrepreneurship among our innovators. It has also elevated our MSMEs by emphasizing how innovative products and services can put them ahead in a fiercely tight competition. Nakita natin ito sa joint project ng US Embassy, USAID STRIDE and DTI yung set up ng fab labs all over the country. We recognize naman that fab labs play vital role in providing technical prototyping especially for our start-ups and MSMEs and sharing expertise on start up mentoring and design development.

STRIDE strengthened DTI and academe partnerships. I think halos lahat ng mga SUCs ay may mga shared services like Fab Labs na din which manufactured face shields last year nung nagkaubusan ng face shields sa market that's the contribution ng Fab labs at ITSOs.

2.3 What nature of interventions can be introduced to improve commercialization in the country?

I think yung most important problem/challenge is financing. So hopefully, we will be able to help them source. While we have started collaboration between academe and industry, I think we should bolster more para talagang solid while we are having increase ITSO network and increase interaction with the industry more is needed to build their capacity, marketing naman their portfolios.

DTI don't have R&D. We're working together with DOST since R&D is with them talagang close collaboration. I think ang expertise of DTI as they work with private store. Wala rin po yan sa mandate ng IPOPHIL. We started some work in commercialization pero napagsabihan po kami ng DOST since it's their mandate.

More on financial ang nakikita natin problema ngayon which we can assist our innovators to finance their project and alam naman po natin because of this pandemic na nabawasan ang R&D ng DOST for

this year. But hopefully, they will be able to increase their research budget nila. Hopefully, we can ask DA to be active especially with the production. Malaking bagay po ang production nila because ang DTI will only come in upon commercialization kapag may processing but yung production talaga ay sa DA talaga.

Yung ITSO Nueva Ecija naming ay isa sa mga active ITSO's in the Philippines. Marami din po sila award. Ang plano ko po sana ay ikotan ang mga ITSO but due to travel protocols (inaudible).

2.4 What are some of the challenges for doing industry- responsive innovative research?

Challenges yun pa rin po ano increasing collaboration between academe and industry. It remains a challenge while we have done something but not yet ideal situation. While we have made significant strides, promoting, and forming this partnership there's remain a lot of work to be done (inaudible). Yung 2019 STRIDE assessment on innovation ecosystem of the Philippines. Nakita po nil ana engagement remains to be on the individual basis meaning industry would only go to specific faculty member they know from the university kung may kakilala lang po. So, we would like the initiatives mas centre on holistic approach were we involve university and its innovators as a whole yan po that's one of the initiatives our ITSO program is implementing.

Nabanggit nyo po kanina madami pong accomplishments and STRIDE during the 2nd phase and you've mentioned that the government is committed na. Halimbawa, hindi po pandemic, sa tingin nyo po mataas pa din po kaya ang commitment ng government?

Kung walang pandemic, I think all the programs ay tuloy tuloy. We could have done more kasi all of us have been sidetrack by the COVID19. Ngayon po under the situation where face to face are limited and may mga limitations sa travel we just accomplish what we can accomplish. Kung wala pong COVID, we could have done more.

3. SUSTAINABILITY

3.1 What is the likelihood that IP initiatives and gains, if any, will continue after the completion of the project?

Yes, kami po dito sa IPOPHEIL we see many of the IP initiatives carrying on as STRIDE programs really made deep impact. Many here see the need to preserve or even scale up these initiatives. In 2020, yung beneficiaries karamihan sa mga KTTO they created local organization yung Alliance of Tech Transfer Professionals of the Philippines (ATOP) under the leadership of Atty. Cruz of La Salle. That is aim professionalizing and growing the capacity of individuals in tech transfer and IP management. We see ATOP as very active player in helping develop IP commercialization of capabilities in the country. Yan po yung concrete example na nagawa ng KTTO program.

We must preserve or even scale up. We continue to preserve of the synergy event, yun daw po yung synergy annual event under KTTO to bring industry, academe, and government together to come up with institutional cooperation in promoting innovation and technological development in the Philippines. Yung pitching event has been mainstay in our ITSO activities. We replicated po namin sa lahat ng ITSO activities. Before pre-covid we used to have ITSO convention or general assembly. Hindi

na po natuloy yan starting last year. Hopefully, we can hold the soonest possible time. Its difficult to have develop relationship dito sa virtual. Hopefully, after pandemic we can meet with them.

3.2 What is the requisite IP policy environment for sustainability of STRIDE interventions?

Based on our experience, main factor would be the willingness of others to cooperate in order for us to sustain this momentum. On the government side, I just hope that the next administration and the secretary of DTI, DOST, DA and Neda will have the same enthusiasm and perspective shown by this administration. I just hope that the coming administration will be more enthusiastic and passionate in promoting innovation and creativity in the Philippines. Kami naman po dito sa IPOPHIL, we have been fortunate in our work na we have been expanding innovation and creativity numerous partners across the government, private sector, academe, policy makers and even the youth.

Thanks to STRIDE, we were able to advance further in enjoining more people in our cause. Kami naman po dito sa IPOPHIL, our services have dramatically improved even during this pandemic. IPOPHIL is the 1st government that is fully digitized. Starting last year, pinagbawal na po namin ang manual filing. Nirequire na po namin online from application until payment. Ang portal po namin ay available 24/7 and can be reached anywhere from the Philippines. Even the hearings po namin sa mga cases dito is conducted virtually. Siguro po kami lang ang government agency in the Philippines that is digitized. And we are proud of that achievement. Meron na po nung mga pre-pandemic and na improve pa po namin until now na pandemic and we even have mobile application so pwede na pong mag-apply and check ng status ng mga applications through telephones. Lahat ng processes po namin ay online thru emails kasi nagkaproblema kami sa mga notices especially yung snail mail natin. Dahil sa mga ECQ yung mga notices dumadating sa kanila 2-3 months late. Before po kasi wala pong nabigay na email addresses yung mga applicants but we are requiring them to provide us with their addresses para yun na din yung means po namin of communicating with them and hopefully we are looking at issuing e-certificates na walang hard copy. Mag-issue na lang po kami if may magrequest ng hard copy.

I'm confident to say that the fundamentals are here to continue STRIDE's initiatives and we welcome more initiatives in the program. We would like to see happen. Hopefully may phase 3 po naman.

What do you think would be the activities that could really improve the innovation ecosystem pag nagkaphase 3?

There's still big work to do in capacitating our MSMEs and our start-ups. Yun po yung malalaki pa ring markets natin especially our start-ups na tech. Yan po yung hopefully gusto natin madevelop. Si Sec. Mon Lopez has identified the creative sector as one of the bright aspects of the Philippines by next year. So hopefully, we will be able to develop more that sector yung mga creatives po natin kasama po dyan ang mga game developers and tech start-ups. Kaya po kami ngayon dito sa IPOPHIL we are starting to capacitate them, informing them about their rights, obligations and hopefully, we will be able to make a difference in their lives and to help the sector contribute to the economic development of the Philippines.

END of KII

APPENDIX A.1

CAPACITY FOR INNOVATION SURVEY (TRAINEES/GRANTEES)

Good day!

We would like to let you know that as a recipient of Science, Technology, Research and Innovation for Development (STRIDE) Program of USAID, you were selected to take part on the survey. This activity is part of the evaluation study of the STRIDE Program.

Before you decide to participate in this study it is important that you understand why this is being done and what it will involve. Please read the following information carefully and ask the evaluator if there is anything that is not clear or if you need more information.

PROCEDURE

In this survey, we will be asking you some questions on the nature of your participation and outputs attributed to the STRIDE Program. The survey can be completed in 10-15. Your participation in this evaluation study can provide insights on how the STRIDE program can move forward to strengthen capacity for innovation of HEI's faculty and staff, regulatory environment for innovation, and government capacity for innovation.

CONFIDENTIALITY

For the purposes of this study, your identity will be anonymous. Every effort will be made by the evaluator to preserve your confidentiality.

CONTACT INFORMATION

If you have questions at any time about this study, you may contact the evaluator whose contact information is provided below:

MS. INDIRA NICANOR
indiranicanor@panagoraphilippines.net

VOLUNTARY PARTICIPATION

Your participation in this study is voluntary. It is up to you to decide whether or not to take part in this study. If you decide to take part in this study, you will be asked to sign a consent form by entering your name in the consent section of this google form.

CONSENT

I have read and I understood the provided information. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving a reason and without cost. I understand that I will be given a copy of this consent form. [PLEASE ENTER YOUR NAME BELOW]

I. DEMOGRAPHIC PROFILE

Name (Optional): _____
 Age: _____
 Sex at birth (Male/Female): _____
 Highest Educational Attainment: _____
 Institutional Affiliation:
 Town/City: _____
 Province: _____
 Region: _____
 Designation: _____

A. GENERAL INFORMATION

Please complete all questions below, unless otherwise instructed.

A. General Information Questions	YES	NO	I HAVE NO IDEA
A.1. In 2018 up to present, were you or your institution part of the Science Technology Research and Innovation Development (STRIDE) interventions of USAID?			
A.2. If your answer is yes IN A1, please answer all further questions about you/your institution. During the three years 2018 to 2021, did you/your institution participate in the development of Skills in Technical and Advance Research Training modules?			
A.3. During the three years 2018 to 2021, did you/your institution participate in USG-supported program to increase knowledge in research and development (e.g., scholarship)?			
A.4. If your answer is yes in number A.3, what specific USG-supported program? Please enumerate: _____			
A.5. During the three years 2018 to 2021, did you/your institution, develop materials for Professional Science Masters Curriculum?			
A.6. During the three years 2018 to 2021, did you/your institution, participate in Knowledge Technology Transfer Office (KTTO) training of USAID?			
A.7. If your answer is yes in number 6, what were the succeeding activities did you or your institution organize as a result of the KTTO training? _____			
A.8. Did you/your institution apply for research grants under STRIDE within 2018-2021?			
A.9. If your answer is yes in A.8, how many research grant applications were approved from 2018-2021? _____			
A.10. Number of completed approved research under STRIDE from 2018-2021 _____			

B-1. PRODUCT INNOVATION [GOODS]

A product innovation is the market introduction of a new or significantly improved good or service with respect to its capabilities, user friendliness, components or sub-systems.

Goods innovations pertain to a tangible object such as a COVID 19 testing kit, contract tracer application, journal publication (etc). A service innovation is usually intangible, STI courses, training, workshop, modules, partnerships etc.

B.1. During the three-year extension, 2018 to 2021, did your institution introduce the following Goods innovations under STRIDE Project:

B-1. Product Innovation [Goods] Questions	YES	NO	I HAVE NO IDEA
B.1.1. Equipment			
B.1.2. Journal publications			
B.1.3. Software applications			
B.1.4. Others [Please describe] _____			

B.2. Who developed these Goods innovations?

- _____ Your institution by itself
- _____ Your institution together with other organizations
- _____ Your institution by adapting or modifying goods or services originally developed by other institutions/organizations
- _____ Other institutions or organizations

B-3. PRODUCT INNOVATION [SERVICE]

B.3. During the three-year extension, 2018 to 2021, did your institution introduce the following service innovations under STRIDE Project:

B-3. Product Innovation [Service] Questions	YES	NO	I HAVE NO IDEA
B.3.1. Professional Science Master Curriculum			
B.3.2. Knowledge Technology Transfer Office			
B.3.3. Career Centers			

B.4. Who developed these Service innovations?

- _____ Your institution by itself
- _____ Your institution together with other organizations
- _____ Your institution by adapting or modifying goods or services originally developed by other institutions/organizations

B.5.1 Were any of your product innovations (goods or services) under the STRIDE Program during the three years, 2018 to 2021, new to your discipline? _____ Yes _____ No _____ I have no idea

B.5.2 Were any of your product innovations (goods or services) under the STRIDE Program during the three years, 2018 to 2021, only new to your institution? _____ Yes _____ No _____ I have no idea

C.1 RANK INTERVENTIONS

Which of the following STRIDE strategies contributed more to the improved capacity to innovate?
From 1-4, rank the following interventions of STRIDE:

Strategies	Rank 1	Rank 2	Rank 3	Rank 4
Technical assistance and its various forms				
Strengthening links between innovation stakeholders				
Policy improvements				
Institutionalization of STRIDE capacity building programs.				

Please explain ranking:

APPENDIX A.2

CAPACITY FOR INNOVATION SURVEY (RIIC/GIA)

Good day!

We would like to let you know that as a recipient of Science, Technology, Research and Innovation for Development (STRIDE) Program of USAID, you were selected to take part on the survey. This activity is part of the evaluation study of the STRIDE Program.

Before you decide to participate in this study it is important that you understand why this is being done and what it will involve. Please read the following information carefully and ask the evaluator if there is anything that is not clear or if you need more information.

PROCEDURE

In this survey, we will be asking you some questions on the nature of your participation and outputs attributed to the STRIDE Program. The survey can be completed in 10-15. Your participation in this evaluation study can provide insights on how the STRIDE program can move forward to strengthen capacity for innovation of HEI's faculty and staff, regulatory environment for innovation, and government capacity for innovation.

CONFIDENTIALITY

For the purposes of this study, your identity will be anonymous. Every effort will be made by the evaluator to preserve your confidentiality.

CONTACT INFORMATION

If you have questions at any time about this study, you may contact the evaluator whose contact information is provided below:

MS. INDIRA NICANOR
indiranicanor@panagoraphilippines.net

VOLUNTARY PARTICIPATION

Your participation in this study is voluntary. It is up to you to decide whether or not to take part in this study. If you decide to take part in this study, you will be asked to sign a consent form by ENTERING YOUR NAME in the consent section of this google form.

Email: _____

CONSENT

I have read and I understood the provided information. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving a reason and without cost. I understand that I will be given a copy of this consent form. [PLEASE ENTER YOUR NAME BELOW]

I. DEMOGRAPHIC PROFILE

Name (Optional): _____

Age: _____

Sex at birth (Male/Female): _____

Highest Educational Attainment: _____

Institutional Affiliation:

Town/City: _____

Province: _____

Region: _____

Designation: _____

Role in the RIICs/GIA (generator of technology, user of technology, funder, facilitator, etc.):

B-1. PRODUCT INNOVATION [GOODS]

A product innovation is the market introduction of a new or significantly improved good or service with respect to its capabilities, user friendliness, components or sub-systems.

Goods innovations pertain to a tangible object such as a COVID 19 testing kit, contract tracer application, journal publication (etc.). A service innovation is usually intangible, STI courses, training, workshop, modules, partnerships etc.

B.1. During the three-year extension, 2018 to 2021, did your institution introduce the following Goods innovations under STRIDE Project:

B-1. Product Innovation [Goods] Questions	YES	NO	I HAVE NO IDEA
B.1.1. Equipment			
B.1.2. Journal publications			
B.1.3. Software applications			
B.1.4. Others [Please describe] _____			

B.2. Who developed these Goods innovations?

_____ Your institution by itself

_____ Your institution together with other organizations

_____ Your institution by adapting or modifying goods or services originally developed by other institutions/organizations

_____ Other institutions or organizations

B-3. PRODUCT INNOVATION [SERVICE]

B.3. During the three-year extension, 2018 to 2021, did your institution introduce the following service innovations under STRIDE Project:

B-3. Product Innovation [Service] Questions	YES	NO	I HAVE NO IDEA
B.3.1. Professional Science Master Curriculum			
B.3.2. Knowledge Technology Transfer Office			
B.3.3. Career Centers			

B.4. Who developed these Service innovations?

- _____ Your institution by itself
- _____ Your institution together with other organizations
- _____ Your institution by adapting or modifying goods or services originally developed by other institutions/organizations

B.5.1 Were any of your product innovations (goods or services) under the STRIDE Program during the three years, 2018 to 2021, new to your discipline? _____ Yes _____ No _____ I have no idea

B.5.2 Were any of your product innovations (goods or services) under the STRIDE Program during the three years, 2018 to 2021, only new to your institution? _____ Yes _____ No _____ I have no idea

C. PROCESS INNOVATION

During the three years 2018 to 2021, did your institution introduce the following:

C. Product Innovation Questions	YES	NO	I HAVE NO IDEA
C.1.1 New or significantly improved methods of manufacturing for producing goods or services under STRIDE			
C.1.2. New or significantly improved logistics, delivery or distribution methods for your inputs, goods or services under STRIDE			
C.1.3 New or significantly improved supporting activities for your processes, such as maintenance systems or operations for purchasing, accounting, or computing under STRIDE			

B.4. Who developed these Goods innovations?

- _____ Your institution by itself
- _____ Your institution together with other organizations
- _____ Your institution by adapting or modifying goods or services originally developed by other institutions/organizations
- _____ Other institutions or organizations

D. ACTIVITIES AND EXPENDITURES FOR PRODUCT AND PROCESS INNOVATIONS

During the three years 2018 to 2021:

D. Activities and expenditures for product and process innovations Questions	YES	NO	I HAVE NO IDEA
D.1 Did your institution engage in in-house R&D activities to create knew knowledge or solve scientific or technical problems?			

D.2. If yes, did your institution perform R&D during the three years 2018 to 2021: _____ Continuously (your institution had permanent R&D staff in-house) _____ Occasionally (as needed only)			
D.3 Did your institution engage in external R&D by contracting-out R&D to other institution or to public or private research organizations?			
D.4 Did your institution acquire advanced machinery, equipment, software and buildings to be used for new or significantly improved products or processes?			
D.5. Did your institution acquire existing know-how, copyrighted works, patented and non-patented inventions, etc. from other institution or organizations for the development of new or significantly improved products and processes			
D.6. Did your institution carry out in-house/contracted out training for your personnel specifically for the development and/or introduction of new or significantly improved products and processes			
D.7 Did your institution carry out in-house/contracted out activities for the market introduction of your new or significantly improved goods or service.			
D.8 Did your institution carry out in-house/contracted activities to alter the shape, appearance or usability of goods or services			

E. PUBLIC FINANCIAL SUPPORT FOR INNOVATION ACTIVITIES

During the three-year extension, did your institution receive any public financial support for innovation activities from the following levels of government?

E. Public Financial Support for Innovation Activities Questions	YES	NO	I HAVE NO IDEA
E.1 Local or regional authorities			
E.2 Central government (including central government agencies or ministries)			

F.1. CO-OPERATION FOR PRODUCT AND PROCESS INNOVATION ACTIVITIES

During the three years, did your institution co-operate on any of your innovation activities with other institution or organizations NOT related to Project STRIDE? _____ Yes _____ No _____ I have no idea

F.2 TYPE OF INNOVATION COOPERATION PARTNER

Please indicate the type of innovation co-operation partner by location.

F.2. Type of innovation cooperation partner	Philippines	Other Countries	Not Applicable

A. Other institution within your institution group			
B. Suppliers of equipment, materials, components, or software			
C. Clients or customers from the private sector			
D. Clients or customers from the public sector			
E. Competitors or other enterprises in your sector			
F. Consultants or commercial laboratories			
G. Universities or other higher education institutes			
H. Government, public or private research institutes			

F.2.1 Which type of co-operation partner was the most valuable for your institution's innovation activities?

.....

F.2.2 Reason for your answer in F.2.1:

G. REGULATORY ENVIRONMENT FOR INNOVATION

During the three years of interventions of STRIDE Project, did your institution introduce:

G. Regulatory environment for innovation Questions	YES	NO	I HAVE NO IDEA
G.1 Improved procurement policy			
G.2 improved policies for research incentives			
G.3 Improved policies for extension services			
G.4 Improved application for utility model			
G.5 Improved approval for utility model			
G.6 Improved approval for IP patent			
G.7 Improved scientific workforce (people services)			
G.8 Science-based guidelines			
G. 9 New laboratories, institutions, and training programs			

H. INTELLECTUAL PROPERTY RIGHTS AND LICENSING

During the three years, did your institution:

H. Intellectual property rights and licensing	YES	NO	I HAVE NO IDEA
H.1 Apply for a patent			
H.2 Register an industrial design right			
H.3 Register a trademark			
H.4 License out or sell a patent, industrial design right, copyright or trademark to another enterprise, university or research institute			

H. 5 License in or buy a patent, industrial design right, copyright or trademark owned by another enterprise, university or research institute			
--	--	--	--

H. RANK INTERVENTIONS

Which of the following STRIDE strategies contributed more to the improved capacity to innovate?
From 1-4, rank the following interventions of STRIDE:

Strategies	Rank 1	Rank 2	Rank 3	Rank 4
Technical assistance and its various forms				
Strengthening links between innovation stakeholders				
Policy improvements				
Institutionalization of STRIDE capacity building programs.				

Please explain ranking:

DEGREE OF COLLABORATION

How would you rate the degree of collaboration in the RIICs/GIA? From 1 to 5, where 1= not close (does not meet regularly) 5=very close (meets regularly; sends/shares reports regularly):

1 2 3 4 5

APPENDIX B.1 CASE STUDY/RIIC REGIONS 3

(Storyline: What are the elements that bring key players in STI from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the RIICs)

CASE STUDY QUESTIONS (KII) WITH RIIC LEAD

RESPONDENT INFO

Date: _____

Name: _____

Sex: M/F _____

Agency: _____

Designation: _____

Role in RIIC: _____

Project Setting: (Urban, Suburban, Rural): _____

Specify location unit of analysis- (city, province, whole region?): _____

A. PLANNING THE RIIC

1. Why did you establish an RIIC in the region?
2. For partners, why did you join the RIIC in the region?
3. Why was your location chosen for the RIIC implementation?
4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location?
Yes ___ No ___
 - 4.1 If yes, how did the CDI influence RIIC formation?
5. Are there other similar projects as the RIICs in your location? Yes ___ No ___
 - 5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?
6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)?

7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?
8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools)?
9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)

B. IMPLEMENTATION

1. What have been the gains of the RIIC so far?
 - 1.1 (probe) Please compare to the initial condition, i. e. without the RIIC.
2. Towards Convergence: What are the implementation challenges? (i.e., funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)
 - 2.1 How were these overcome?
3. What are the partnership challenges? Please specify.

C. EVALUATING EFFECTIVENESS

1. What are the roles of partners as follows:
 - 1.1 government
 - 1.2 academe
 - 1.3 industry
 - 1.4 civil society
 - 1.5 Other partners?
2. What were the essential initial conditions that made this project successful?
3. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?

D. MAKING IMPROVEMENTS

1. What strategies do you have in mind to strengthen collaboration among agencies?

1.1 Strategies to attract more partners?

1.2 Strategies to sustain the partnership/convergence?

1.3 Any challenges with the sustainability of partnership?

2. What inspired you to establish your RIIC?

2.1 What lessons were learned from the pilot RIICs?

END OF CASE STUDY QUESTIONS

Name of Note taker: _____

APPENDIX B.2

CASE STUDY/RIIC REGIONS 11

(Storyline: What are the elements that bring key players in STI from government, industry and academe together (or apart) towards strengthening innovation ecosystem and collaboration/partnership via the RIICs)

CASE STUDY QUESTIONS (KII) WITH RIIC LEAD

RESPONDENT INFO

Date: _____

Name: _____

Sex: M/F _____

Agency: _____

Designation: _____

Role in RIIC: _____

Project Setting: (Urban, Suburban, Rural): _____

Specify location unit of analysis- (city, province, whole region?): _____

A. PLANNING THE RIIC

1. Why did you establish an RIIC in the region?
2. For partners, why did you join the RIIC in the region?
3. Why was your location chosen for the RIIC implementation?
4. Is the proximity to the Cities Development Initiative (CDI) a factor in the selection of your location?
Yes ___ No ___
 - 4.1 If yes, how did the CDI influence RIIC formation?
5. Are there other similar projects as the RIICs in your location? Yes ___ No ___
 - 5.1. If yes, how did the STRIDE initiated RIIC add value to your projects?
6. Towards convergence: What were the planning challenges and how were these overcome? (project management, budget, capacities etc.)?

7. What are the market opportunities (local, regional, foreign, etc.) of the RIIC in your area?
8. What are the R and D opportunities of the RIIC in your area? (Probing: are there SUCs, knowledge creation centers, technical schools)?
9. Before the RIICs, was there any link between the academe and the industry in your location? (i. e. through the GIA program of the academe/DOST?)

B. IMPLEMENTATION

1. What have been the gains of the RIIC so far?
 - 1.1 (probe) Please compare to the initial condition, i. e. without the RIIC.
2. Towards Convergence: What are the implementation challenges? (i.e., funding, capacities, distrust, lack of policies, lack of matching between academe and industry, etc.)
 - 2.1 How were these overcome?
3. What are the partnership challenges? Please specify.

C. EVALUATING EFFECTIVENESS

1. What are the roles of partners as follows:
 - 1.1 government
 - 1.2 academe
 - 1.3 industry
 - 1.4 civil society
 - 1.5 Other partners?
2. What were the essential initial conditions that made this project successful?
3. Are there other data to demonstrate the impact of the RIIC (indicators or measures of success such as increased productivity, increased network, increased sales, increased participation of MSME, others)?

D. MAKING IMPROVEMENTS

1. What strategies do you have in mind to strengthen collaboration among agencies?

1.1 Strategies to attract more partners?

1.2 Strategies to sustain the partnership/convergence?

1.3 Any challenges with the sustainability of partnership?

E. SHARING THE BENEFITS

1. How and with whom do you plan to share the impact your project?

2. What recommendations do you have for regions interested in replicating your project?

3. Describe any sustainability plan of the RIIC to allow continued implementation once the grant period has ended.

END OF CASE STUDY QUESTIONS

Name of Note taker: _____

APPENDIX C.1

FGD QUESTIONS AND ANSWER SHEET/ HEI

Date: _____

Region: _____

HEI: _____

Lead Person: _____

Designation: _____

Engagement with the STRIDE: _____

SET A: GOVERNMENT-INDUSTRY-ACADEME PARTICIPANTS

Participants: 10 to 15 persons/set

- 1) University (administrator, faculty member, staff, graduate student) = 4 pax
- 2) Industry partners (agri-business, energy, semiconductor and electronics, healthcare, smart manufacturing, transportation, etc.) = 3 pax
- 3) Government: 3 pax

OBJECTIVE:

Analyze the challenges and opportunities in the process of convergence or breaking the silos of the various partners (GIA) for a whole-of-community approach in using R&D outputs for regional/local inclusive growth.

1. RELEVANCE

In what ways has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the Philippine Development Plan (PDP, 2017–2022), USAID Policy on Education, and USAID higher education program framework? (Document Review)

Question	Government	Industry	Academe
1.1 What are the industry sectors your institution/town/city is engaged with? (agri, electronics, etc)			
1.2 What are the additional sectors/program/assistance introduced by STRIDE to strengthen your partnership as GIA?			
1.2.1 What are programs to encourage entrepreneurship in the HEIs and in the community?			
1.3 Which of these received funding (infrastructure, research grants, capacity building, etc.) from STRIDE, government, or private organizations? (i.e., to meet gap in funding?)			
1.3.1 Follow up: Challenges of partnership in terms of Capacities?			

Do the HEIs have the capacities needed by the partner industry?			
1.3.1.1 If none, how are these addressed and what is the role of the STRIDE?			
1.3.2. Challenges of partnership in terms of Policies? Yes ___ No ___			
1.3.2.1 How are these addressed by the GIA as a team?			
1.4 What was/is an enabling environment for the GIA linkages to take place and be strengthened? (Select below and pls explain)			
1.4.1 coherence of policies across the institutions			
1.4.2 leadership			
1.4.3 curriculum matching the needs of industry			
1.4.4 funding			
1.4.5. others, pls specify			
1.5 How did STRIDE address the challenges in strengthening the			

GIA linkages (through workshops, influencing policies, others)?			
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2.EFFECTIVENESS

In what ways did STRIDE contribute to the achievement of the three IRs on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and Improved government capacity for innovation?

Questions	Government	Industry	Academe
2.1 Describe your role in the STRIDE and industry-supported activities of the University's KTTO and/or Career Center that promote faculty, staff, and student welfare.			
2.2 What factors were identified that strengthened linkages among the university, industry, and government in the innovation ecosystem?			
2.3 Which of these programs/activities across the IRs contributed to a more robust STI ecosystem? Explain.			
2.3.1 Improved higher education institutions capacity to innovate?			
2.3.2 Improved regulatory and policy environment for innovation?			

2.3.3 Improved government capacity for innovation?			
2.4 How has the STRIDE-assisted program provided equal access to opportunities for STI to men, women, LGBTQ, and indigenous people in the academe/industry?			

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Questions	Government	Industry	Academe
3.1 To what extent are the R&D outputs adapted/adopted by the community, government, other HEIs, and industry?			
3.2 What might be the factors that can promote the sustainable linkages with the beneficiaries of innovations and R&D outputs?			
3.3 What emerging partnerships, initiated by institutions as brought by their connection to USAID STRIDE, may support the sustainability of the project?			

3.3.1 Role of CDI and other USAID projects nearby.			
3.4 R&D funding from government to academe but proposal is done in partnership with the industry. What are the policy challenges-absence of contribution by partners to decision-making?			
3.4.1 Capacity challenges?			
3.4.2 The political economy challenge (political connections, social capital).			
3.5 What are the obstacles, and opportunities needed to achieve sustained improvements in the partnership?			

Are there anything that you would like to share that we were not able to ask but may help us to understand more the convergence among GIA?"

END of FGD

Note taker- Name _____

APPENDIX C.2

FGD QUESTIONS AND ANSWER SHEET/ RIIC

Date:

Region:

RIIC Name:

Lead Person:

Designation:

Engagement with the STRIDE:

Participants: 10 to 15 pax/set

- 1) DOST (Regional Director and Director of Provincial S&T Center)
- 2) NEDA/RDC (Regional Director)
- 3) DTI (Regional Director)
- 4) CHED (Regional Director)
- 5) University (President)
- 6) Industry/Business chamber
- 7) Industry/Starts-up/MSMes
- 8) Related agencies: DA/DICT/DepEd)
- 9) Department of the Interior and Local government
- 10) Civil Society/NGO/NPO

OBJECTIVE:

Analyze the challenges and opportunities in the process of convergence or breaking the silos of the various partners (RIICs) for a whole-of-community approach in using R&D outputs for regional/local inclusive growth.

1. RELEVANCE

In what ways has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the Philippine Development Plan (PDP, 2017–2022), USAID Policy on Education, and USAID higher education program framework?

Question	Government	Industry	Academe
What are the industry sectors your institution/town/city is engaged with? (i.e., Agri, electronics, etc.)			
1.2 What are the additional sectors/program/assistance introduced by STRIDE to strengthen your partnership?			
1.2.1 To encourage entrepreneurship?			
1.2.2 Role of CDI and other USAID projects in strengthening RIIC?			
1.3 Which of these received funding (infrastructure, research grants, etc.) from STRIDE, government, or private organizations? (i.e., gap in funding?)			
1.3.1 Follow up: Challenges of partnership in terms of Capacities?			
1.3.2 Challenges of partnership in terms of Policies?			

1.4 How did STRIDE address the challenges in putting up the RIICs?			
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2. EFFECTIVENESS

In what ways did STRIDE contribute to the achievement of the three IRs on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and Improved government capacity for innovation?

Questions	Government	Industry	Academe
2.1 What factors were identified that strengthened linkages between the university, industry, and government in the innovation ecosystem?			
2.2 Which of these programs/activities across the IRs contributed to a more robust STI ecosystem? Explain.			
2.3 How has the STRIDE-assisted program provided equal access to opportunities for STI to men, women, LBTQ, and indigenous people in the academe/industry?			
2.4 How has the RIIC contributed to changes in the innovation ecosystem?			
Questions	Government	Industry	Academe

<p>2.4.1 Describe your RIIC (commodity, age, number of member agencies, % of private sector agencies in the membership, goals and aspirations) (Also collect secondary information)</p>	<p>(to be gathered by RFAs)</p>		
<p>2.4.2 What is the support of STRIDE in establishing and implementing RIIC?</p>			
<p>2.4.3 Explain how the RIIC facilitates productive collaborations between, and among industries and</p> <ul style="list-style-type: none"> a) universities, b) government agencies, c) LGUs, d) startups, e) MSMEs, f) R&D laboratories, g) S&T parks, incubators, h) Fabrication Laboratories (Fab Labs), i) investors, j) others, among many other agents in the innovation ecosystem. 			
<p>2.4.4 Explain the RIIC relationship, and the level (new, old) of industry participation in</p>			

the University's program/activities.			
2.4.5 What R&D outputs were transferred to the RIIC partners?			
2.4.6 In what way were they transferred?			

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Questions	Government	Industry	Academe
3.1 To what extent are the R&D outputs adapted/adopted by: 3.1.1 the community, 3.1.2 government, 3.1.3 other HEIs, and 3.1.4 industry? (Rate from 1 to 5, 5 being the highest)			
3.2 What might be the factors that can promote the sustainable linkages with the beneficiaries of innovations and R&D outputs?			
3.3 What emerging partnerships, initiated by institutions as brought by their connection to USAID STRIDE, may support the sustainability of the project?			
3.4 R&D funding from government to academe but			

proposal is done in partnership with the industry. 3.4.1 What are the policy challenges-absence of contribution by partners to decision-making?			
3.4.2 Capacity challenges?			
3.4.3 The political economy challenge (political/power connections)			
3.5 What are the obstacles needed to achieve sustained improvements in the partnership?			
3.5.1 What are the opportunities needed to achieve sustained improvements in the partnership?			

Are there anything that you would like to share that we were not able to ask but may help us to understand more the convergence among RIICs?"

End of FGD

Note taker- Name _____

APPENDIX D.1

KII QUESTIONNAIRE/ ANSWER SHEET/ DOST REGIONAL

Objective: To describe how national innovation policies are articulated at the regional/local levels of STI related agencies and how STRIDE regional activities influenced these.

Date: _____

Agency/Office: _____

Respondent: _____

Gender (M/F): _____

Designation: _____

Nature of Engagement with STRIDE (current or previous years): _____

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

To what extent has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the PDP, 2017–2022, USAID Policy on Education, and USAID/PH’s new higher education program framework?

Document Review

Item	Answer
1.1 Did the regional DOST have programs on innovation capacity before the STRIDE intervention?	Yes ___ No ____
1.2 What was the value addition of the STRIDE intervention?	

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in the regional DOST? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

IE element	Rating (H,M,L)	Explain enabling Environment
human capital and education		
research and knowledge creation		
knowledge transfer		
start-ups and spin-offs		
collaboration		

1.4 What are the challenges and opportunities for regional DOST to foster a robust innovation ecosystem given STRIDE interventions?

Challenges	1. 2. 3
Opportunities	1. 2. 3

2. EFFECTIVENESS

To what extent did STRIDE achieve the three (3) intermediate results (IRs) on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate? Rank among the following:		
Strategies	Rank 1=highest	Please explain the ranking

	4 lowest	
technical assistance and its various forms		
strengthening links between innovation stakeholders		
policy improvements		
institutionalization of STRIDE capacity-building programs		

Questions	Answers
2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact? Please explain	
2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your agency?	
2.2.2 What are some of the challenges for doing industry- responsive innovative research?	
2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?	
2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?	
2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment	

in your institution? (i.e., too long process and the reasons for this?)	
2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?	
2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?	

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Question	Answer
3.1 Which STRIDE initiatives will likely continue?	
3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?	Yes ___ No ____
3.1.1.1 If yes, what are these policies?	
3.1.1.2 If no, what policies will be needed?	
3.2 Are STRIDE interventions within the DOST recognized? (This can include giving a favorable environment for trained faculty and staff to stay, or providing internal funding to continue STRIDE’s interventions.)	Yes ___ No ____
3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?	NA
Are activities of STRIDE included in the long-term R&D plans of research institutions- DOST Region?	
Are activities of STRIDE included in the long-term R&D plans of industry?	NA
3.3.1 What is the likelihood that these can be included?	
Enabling mechanisms?	
Challenges?	

<p>3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred to</p> <p>3.4.1 the community,</p> <p>3.4.2 government,</p> <p>3.4.3 industry?</p> <p>(Sustainability, IR2 learning question in the AMELP.)</p>	
<p>3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?</p>	<p>NA</p>
<p>3.6 How can mentoring programs as introduced by STRIDE be sustainable?</p>	
<p>3.7 What is the requisite policy environment for sustainability of STRIDE interventions?</p>	

END of KII

Note taker- Name _____

APPENDIX D.2

KII QUESTIONNAIRE/ ANSWER SHEET/ DTI REGIONAL

Objective: To describe how national innovation policies are articulated at the regional/local levels of STI related agencies and how STRIDE regional activities influenced these.

Date: _____

Agency/Office: _____

Respondent: _____

Gender (M/F): _____

Designation: _____

Nature of Engagement with STRIDE (current or previous years): _____

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

To what extent has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the PDP, 2017–2022, USAID Policy on Education, and USAID/PH’s new higher education program framework?

Document Review

Item	Answer
1.1 Did your DTI regional office have programs on innovation capacity before the STRIDE intervention?	Yes ___ No ____
1.2 What was the value addition of the STRIDE intervention?	

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your agency? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

IE element	Rating (H,M,L)	Explain enabling Environment
human capital and education		
research and knowledge creation		
knowledge transfer		
start-ups and spin-offs		
collaboration		

1.4 What are the challenges and opportunities for DTI to foster a robust innovation ecosystem?

Challenges	1. 2. 3
Opportunities	1. 2. 3.

2. EFFECTIVENESS

To what extent did STRIDE achieve the three (3) intermediate results (IRs) on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate? Rank among the following:		
Strategies	Rank	Please explain the ranking

	1=highest 4 lowest	
technical assistance and its various forms		
strengthening links between innovation stakeholders		
policy improvements		
institutionalization of STRIDE capacity-building programs		

Questions	Answers
2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact? Please explain	
2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your agency?	NA
2.2.2 What are some of the challenges for doing industry- responsive innovative research?	
2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?	NA
2.2.4 What was the contribution of STRIDE in improving policy environment on	NA

procurements of R&D-related transactions?	
2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)	NA
2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?	
2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?	

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Question	Answer
3.1 Which STRIDE initiatives will likely continue?	
3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?	
3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for	

trained faculty and staff to stay, or providing internal funding to continue STRIDE’s interventions.)	
3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?	NA
Of research institutions?	NA
Of industry?	
3.3.1 What is the likelihood that these can be included?	
Enabling mechanisms?	
Challenges?	
3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred to the 3.4.1community, 3.4.2. government, 3.4.3 industry? (Sustainability, IR2 learning question in the AMELP.)	
3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?	NA
3.6 How can mentoring programs in DTI as introduced by STRIDE be sustainable?	
3.7 What is the requisite policy environment for sustainability of STRIDE intervention?	

END of KII

Note taker- Name _____

APPENDIX D.3

KII GUIDE QUESTIONS FOR IPOPHIL

Objective: To describe how STRIDE IP-related interventions have contributed to the improvement of the innovation ecosystem and how this has contributed to the capacity to innovate of its stakeholders.

Agency/Office: IPOPHIL_____

Respondent: _____

Gender (M/F): _____

Designation: _____

Nature of Engagement with STRIDE (current or previous years, as partner, resource person):

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

1.1 To what extent has STRIDE contributed to addressing the IP concerns in the context of commercialization/technology transfer in the Philippines?

1.2 What do you think is STRIDE's value addition in the innovation ecosystem space given the answer in 1.1?

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem, in terms of commercialization activities (i.e., IPR training to stakeholders, help in startups and spin offs)

2. EFFECTIVENESS

2.1 Has STRIDE interventions made some impacts on the IP policy?

2.2 Has STRIDE interventions made some impacts on entrepreneurship in the country?

2.3 What nature of interventions can be introduced to improve commercialization in the country?

2.4 What are some of the challenges for doing industry- responsive innovative research?

3. SUSTAINABILITY

3.1 What is the likelihood that IP initiatives and gains, if any, will continue after the completion of the project?

3.2 What is the requisite IP policy environment for sustainability of STRIDE interventions?

END of KII

APPENDIX D.4 KII QUESTIONNAIRE/ ANSWER SHEET/ HEIS

Objective: To describe how national innovation policies are articulated at the HEIs and how STRIDE regional activities influenced these.

Date: _____

Agency/Office: _____

Respondent: _____

Gender (M/F): _____

Designation: _____

Nature of Engagement with STRIDE (current or previous years): (i.e. KTOs, Career Centers, PSM, etc.):

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

To what extent has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the PDP, 2017–2022, USAID Policy on Education, and USAID/PH’s new higher education program framework?

Document Review (NA)

Item	Answer
1.1 Did your university have programs on innovation capacity before the STRIDE intervention?	Yes ___ No ____
1.2 What was the value addition of the STRIDE intervention?	

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your university? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

IE element	Rating (H,M,L)	Explain enabling Environment
human capital and education		
research and knowledge creation		
knowledge transfer		
start-ups and spin-offs		
collaboration		

1.4 What are the challenges and opportunities for your university to foster a robust innovation ecosystem given the STRIDE interventions?

Challenges	1. 2. 3
Opportunities	1. 2. 3

2. EFFECTIVENESS

To what extent did STRIDE achieve the three (3) intermediate results (IRs) on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate in your university? Rank among the following:		
Strategies	Rank 1=highest 4 lowest	Please explain the ranking

technical assistance and its various forms		
strengthening links between innovation stakeholders		
policy improvements		
institutionalization of STRIDE capacity-building programs		

Questions	Answers
2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact in your university? Please explain	
2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your university?	
2.2.2 What are some of the challenges for doing industry- responsive innovative research?	
2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?	
2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?	
2.2.5 How has STRIDE interventions influenced the improvement of existing	

rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)	
2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?	
2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?	

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Question	Answer
3.1 Which STRIDE initiatives will likely continue?	
3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?	Yes ____ No ____
3.1.1.1 If yes, what are these policies?	
3.1.1.2 If no, what policies will be needed?	
3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay, or providing internal funding to continue STRIDE’s interventions.)	Yes ____ No _____
3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?	
Of research institutions?	(NA)
Of industry?	(NA)
3.3.1 What is the likelihood that these can be included?	
Enabling mechanisms?	

Challenges?	
3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred to the 3.4.1 community 3.4.2 government, 3.4.3 and industry? (Sustainability, IR2 learning question in the AMELP.)	
3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?	
3.6 How can mentoring programs as introduced by STRIDE be sustainable?	
3.7 What is the requisite policy environment for sustainability of STRIDE interventions in the HEIs?	

(NA means Not Applicable)

END of KII

Note taker- Name _____

APPENDIX D.5 KII QUESTIONNAIRE/ ANSWER SHEET/ NATIONAL/CHED, DOST, DTI, NEDA, PASUC, MSME

Agency/Office: _____

Respondent: _____

Gender (M/F): _____

Designation: _____

Nature of Engagement with STRIDE (current or previous years): _____

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

To what extent has STRIDE contributed to addressing the development challenges as outlined in the Filipino innovation Roadmap of the PDP, 2017–2022, USAID Policy on Education, and USAID/PH’s new higher education program framework? Document Review (NA)

Item	Answer
1.1 Did your agency have programs on innovation capacity before the STRIDE intervention?	Yes ___ No ____
1.2 What was the value addition of the STRIDE intervention?	

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your agency? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

IE element	Rating (H,M,L)	Explain enabling Environment
human capital and education		
research and knowledge creation		
knowledge transfer		
start-ups and spin-offs		

collaboration		
---------------	--	--

1.4 What are the challenges and opportunities for CHED to foster a robust innovation ecosystem?

Challenges	1. 2. 3
Opportunities	1. 2. 3

2. EFFECTIVENESS

To what extent did STRIDE achieve the three (3) intermediate results (IRs) on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate? Rank among the following:		
Strategies	Rank 1=highest 4 lowest	Please explain the ranking
technical assistance and its various forms		
strengthening links between innovation stakeholders		
policy improvements		
institutionalization of STRIDE capacity-building programs		

Questions	Answers
2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual	

property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact? Please explain	
2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your agency?	
2.2.2 What are some of the challenges for doing industry- responsive innovative research?	
2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?	
2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?	
2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)	
2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?	
2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?	

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Question	Answer
3.1 Which STRIDE initiatives will likely continue?	
3.1.1 Are impact evaluation policies in place to continue with these STRIDE initiatives after 2021?	
3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay or providing internal funding to continue STRIDE’s interventions.)	
3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?	
Of research institutions?	
Of industry?	(NA)
3.3.1 What is the likelihood that these can be included?	
Enabling mechanisms?	
Challenges?	
3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred to the community, government, and industry? (Sustainability, IR2 learning question in the AMELP.)	
3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?	
3.6 How can mentoring programs as introduced by STRIDE be sustainable?	
3.7 What is the requisite policy environment?	

(NA means Not Applicable)

END of KII

APPENDIX D.6

KII QUESTIONNAIRE/ ANSWER SHEET/ NEDA REGIONAL

Objective: To describe how national innovation policies are articulated at the regional/local levels of STI related agencies and how STRIDE regional activities influenced these.

Date: _____

Agency/Office: _____

Respondent: _____

Gender (M/F):

Designation: _____

Nature of Engagement with STRIDE (current or previous years): _____

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

To what extent has STRIDE contributed to addressing the development challenges as outlined in the Filipinnovation Roadmap of the PDP, 2017–2022, USAID Policy on Education, and USAID/PH’s new higher education program framework?

Document Review

Item	Answer
1.1 Did your agency have programs on innovation capacity before the STRIDE intervention?	Yes ___ No ___
1.2 What was the value addition of the STRIDE intervention?	

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem in your agency? Rate according to high, medium, or low the influence of the five elements. Explain the enabling environments for each rating.

IE element	Rating (H,M,L)	Explain enabling Environment

human capital and education		
research and knowledge creation		
knowledge transfer		
start-ups and spin-offs		
collaboration		

1.4 What are the challenges and opportunities for NEDA to foster a robust innovation ecosystem?

Challenges	1. 2. 3
Opportunities	1. 2. 3

2. EFFECTIVENESS

To what extent did STRIDE achieve the three (3) intermediate results (IRs) on improved higher education institutions' capacity for innovation, improved regulatory and policy environment for innovation, and improved government capacity for innovation?

2.1 Which of the following STRIDE strategies contributed more to the improved capacity to innovate? Rank among the following:		
Strategies	Rank 1=highest 4 lowest	Please explain the ranking
technical assistance and its various forms		
strengthening links between innovation stakeholders		

policy improvements		
institutionalization of STRIDE capacity-building programs		

Questions	Answers
2.2 Revisiting the Innovation Ecosystem Assessment, on which mechanisms (procurement, R&D funding, intellectual property policy, collaboration, entrepreneurship) has STRIDE made the greatest impact? Please explain	
2.2.1 To what extent did the STRIDE interventions improve your strategies to increase R&D funding in your agency?	(NA)
2.2.2 What are some of the challenges for doing industry- responsive innovative research?	NA
2.2.3. What still needs to be done in R&D grants policies to promote an improved innovation ecosystem?	NA
2.2.4 What was the contribution of STRIDE in improving policy environment on procurements of R&D-related transactions?	NA
2.2.5 How has STRIDE interventions influenced the improvement of existing rules and guidelines on generating bids and quotations for R&D items/ equipment in your institution? (i.e., too long process and the reasons for this?)	NA

2.2.6 What still needs to be done in procurement policies to promote an improved innovation ecosystem?	NA
2.2.7 In what ways has STRIDE interventions influenced the improvement of internal policies and manuals in your institution on Intellectual Property Rights (IPR)?	NA

3. SUSTAINABILITY

What is the likelihood that initiatives and gains will continue after the completion of the project?

Question	Answer
3.1 Which STRIDE initiatives will likely continue?	
3.1.1 Are policies in place to continue with these STRIDE initiatives after 2021?	
3.2 Are STRIDE interventions within the HEIs/government research agencies/industry recognized? (This can include giving a favorable environment for trained faculty and staff to stay or providing internal funding to continue STRIDE’s interventions.)	(NA)
3.3 Are activities of STRIDE included in the long- term R&D plans of the HEIs?	(NA)
Of research institutions?	(NA)
Of industry?	(NA)
3.3.1 What is the likelihood that these can be included?	(NA)
Enabling mechanisms?	(NA)
Challenges?	(NA)
3.4 What are the principal linkages for innovations and R&D outputs to be adopted/transferred to the community, government, and industry? (Sustainability, IR2 learning question in the AMELP.)	NA

3.5 Is there a difference in strategies to institutionalize capacity-building programs between small and big HEIs?	(NA)
3.6 How can mentoring programs as introduced by STRIDE be sustainable?	NA
3.7 What is the requisite policy environment for the sustainability of STRIDE interventions?	

(NA means Not Applicable)

END of KII

Note taker- Name _____

ANNEX D.7

KII GUIDE QUESTIONS FOR IPOPHIL

Objective: To describe how STRIDE IP-related interventions have contributed to the improvement of the innovation ecosystem and how this has contributed to the capacity to innovate of its stakeholders.

Agency/Office: IPOPHIL_____

Respondent: Rowel Barba_____

Gender (M/F): M

Designation: Exec Director_____

Nature of Engagement with STRIDE (current or previous years, as partner, resource person):

EVALUATION CRITERIA QUESTIONS:

1. RELEVANCE

1.1 To what extent has STRIDE contributed to addressing the IP concerns in the context of commercialization/technology transfer in the Philippines?

1.2 What do you think is STRIDE's value addition in the innovation ecosystem space given the answer in 1.1?

1.3 Based on your perception, how has the STRIDE intervention contributed to improvement of the innovation ecosystem, in terms of commercialization activities (i.e. IPR training to stakeholders, help in start-ups and spin offs)

2. EFFECTIVENESS

2.1 Has STRIDE interventions made some impacts on the IP policy?

2.2 Has STRIDE interventions made some impacts on entrepreneurship in the country?

2.3 What nature of interventions can be introduced to improve commercialization in the country?

2.4 What are some of the challenges for doing industry- responsive innovative research?

3. SUSTAINABILITY

3.1 What is the likelihood that IP initiatives and gains, if any, will continue after the completion of the project?

3.2 What is the requisite IP policy environment for sustainability of STRIDE interventions?

END of KII