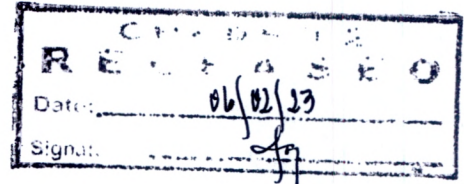




Republic of the Philippines  
OFFICE OF THE PRESIDENT  
**COMMISSION ON HIGHER EDUCATION**  
Region 02



**REGIONAL MEMORANDUM**

**No. 139, Series of 2023**

**FOR : ALL PRESIDENTS/ OFFICERS-IN-CHARGE/HEADS OF PUBLIC  
HIGHER EDUCATION INSTITUTIONS IN REGION 02**

**SUBJECT : DISSEMINATION OF THE CALL FOR PROPOSALS FOR THE 2023  
INNOVATION GRANTS OF THE NEDA NATIONAL INNOVATION  
COUNCIL**

**DATE : May 31 2023**

Attached is a copy of the memorandum issued by **DR. J. PROSPERO E. DE VERA III**, Chairperson, Commission on Higher Education, requesting to aid in the dissemination of the Call for Proposals for the 2023 innovation Grants, to be posted through all available official channels.

Interested proponents must authorize a primary focal person to create an account complete the grant application forms, and provide the supporting documents at the NEDA Electronic Innovation Grants Information System (EIGIS) <https://eigis-innovation.neda.gov.ph/>. The deadline for submission of proposals is on **June 13, 2023 at 11:59PM**.

The relevant reference materials, publication materials and proposed captions may be accessed through: [https://bit.ly/NEDANIC\\_2023InnoGrantPubMats](https://bit.ly/NEDANIC_2023InnoGrantPubMats).

Queries may be directed to the Innovation Fund Management Division at (02) 8631-0960 local 21615 or through email at [innovationfund@neda.gov.ph](mailto:innovationfund@neda.gov.ph).

Digitally signed by Atty.  
Marco Cicero F. Domingo  
Date: 2023.06.01 16:56:18  
+08'00'

**ATTY. MARCO CICERO F. DOMINGO**  
OIC-Director IV

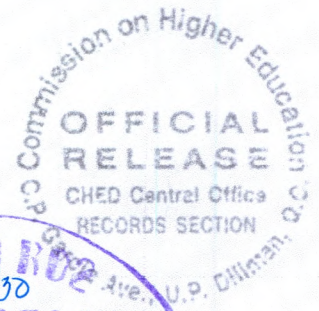
Encl: as stated

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Republic of the Philippines  
OFFICE OF THE PRESIDENT  
**COMMISSION ON HIGHER EDUCATION**



**MEMORANDUM FROM THE OFFICE OF THE CHAIRPERSON**

**TO :** PRESIDENTS/HEADS OF STATE UNIVERSITIES AND COLLEGES  
AND LOCAL UNIVERSITIES AND COLLEGES

**CHED CENTRAL AND REGIONAL OFFICE DIRECTORS AND  
OFFICERS-IN-CHARGE**

**SUBJECT :** DISSEMINATION OF THE CALL FOR PROPOSALS FOR THE 2023  
INNOVATION GRANTS OF THE NEDA NATIONAL INNOVATION  
COUNCIL

**DATE :** 17 MAY 2023

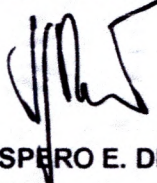
In accordance with Section 10.1 of the NEDA-DBM Joint Memorandum Circular No. 2023-01, entitled "Implementing Guidelines on the Grants for Innovation Programs, Activities, and Projects, pursuant to Special Provision No. 5 of the National Economic and Development Authority, under Republic Act No. 11936, or the Fiscal Year 2023 General Appropriations Act", the National Innovation Council (NIC) Secretariat of the National Economic and Development Authority (NEDA) shall issue a call for proposals for such. Section 10.1 goes further, to mandate that the Commission on Higher Education (CHED) be responsible for endorsing the call for proposals to State Universities and Colleges (SUCs).

In this light, we are thus requested to aid in the dissemination of the Call for Proposals for the 2023 Innovation Grants, to be posted through all available official channels. Interested proponents must authorize a primary focal person to create an account, complete the grant application forms, and provide the supporting documents at the NEDA Electronic Innovation Grants Information System (EIGIS): <https://eigis-innovation.neda.gov.ph/>. The deadline for submission of proposals is on **June 13, 2023, 11:59 PM**.

The relevant reference materials, publication materials, and proposed captions may be accessed through: [https://bit.ly/NEDANIC\\_2023InnoGrantPubMats](https://bit.ly/NEDANIC_2023InnoGrantPubMats).

Queries may be directed to the Innovation Fund Management Division at (02) 8631-0960 local 21615, or through email at [innovationfund@neda.gov.ph](mailto:innovationfund@neda.gov.ph).

Wide dissemination of this memorandum is desired.

  
**J. PROSPERO E. DE VERA III, DPA**  
Chairman  
Commission on Higher Education

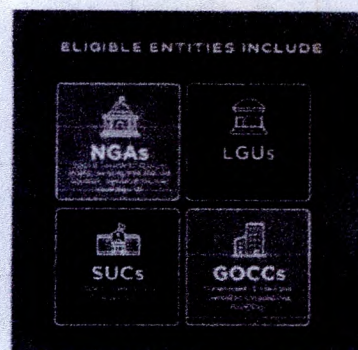


# CALL FOR PROPOSALS

FY 2023 INNOVATION GRANTS

NEDA-DBM Joint Memorandum Circular (JMC) 2023-01

Implementing Guidelines on the Grants For Innovations Programs, Activities, and Projects,  
Pursuant to Special Provision No. 5 of the National Economic and Development Authority,  
under Republic Act No. 11293, or the Fiscal Year 2023 General Appropriations Act



## CALL FOR PROPOSALS 2023 Innovation Grants

The Philippine Innovation Act, also known as Republic Act 11293, recognizes the importance of innovation in national development and sustainable economic growth. As part of the effective implementation of this law, the National Economic and Development Authority (NEDA) is authorized to issue grants for innovation programs, activities, and projects, subject to guidelines issued by NEDA and the Department of Budget and Management (DBM).

NEDA is now opening the Call for Proposals for the 2023 Innovation Grants until **June 13, 2023, 11:59 PM**. Interested proponents from various government agencies are required to authorize primary and/or alternate focal persons to create an account, complete the grant application forms, and provide supporting documents through the Electronic Innovation Grants Information System (EIGIS), accessible at: <https://eigis-innovation.neda.gov.ph/>.

For more detailed information, please refer to the attached guidelines or visit [eigis-innovation.neda.gov.ph/resources1](https://eigis-innovation.neda.gov.ph/resources1). For inquiries, you may reach the Innovation Fund Management Division through [eigis-innovation.neda.gov.ph/contactus](https://eigis-innovation.neda.gov.ph/contactus).

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## ELIGIBLE ENTITIES

Entities eligible for the submission of proposals are the following:

- Must be an agency of the government, including departments, bureaus, offices, other government instrumentalities, local government units (LGUs), state universities and colleges (SUCs), constituent units, or government-owned or controlled corporations (GOCCs), capable of receiving and managing grants
- Attached agencies, regional offices, and operating units are eligible to submit a proposal separate from their respective central offices or parent agencies if all the following criteria are met:
  - i. Directly receiving funds from the DBM;
  - ii. Must have an existing Modified Disbursement System (MDS) trust account;
  - iii. Must have a separate organization code based on the Unified Account Code Structure (UACS);
  - iv. Recipient of fund transfers from higher-level agencies; and



- v. Authorized to receive grants and/or collect revenues.

In the absence of the abovementioned requirements, regional offices and operating units should submit proposals through their respective central offices or parent agencies.

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## ELIGIBLE PROGRAMS, ACTIVITIES, AND PROJECTS

The following types of programs, activities, and projects may qualify for innovation grants. Applicants may choose to combine elements from each type as they deem relevant:

- a. **Pre-commercialization, Commercialization, or Diffusion Projects** – refers to the pre-commercialization and commercialization activities of research and development (R&D) outputs; it includes activities beyond the ideation phase, such as prototyping, testing, intellectual property development and registration, production, and promotion activities.

It also pertains to the public sector, inclusive, or grassroots innovation, and social innovation that a proponent may undertake with the aim of introducing product innovation or enhancing existing services and processes.

- b. **Innovation Facilities and Services** – refers to the establishment of new or enhancement of existing infrastructure or properties to strengthen the innovation ecosystem, including operating expenses for innovation centers, co-working spaces, incubation support, or shared business services, among others.
- c. **Innovation Culture Promotion** – refers to activities which foster a culture of innovation and strengthen the innovation ecosystem such as educational programs, capacity-building activities, trade exhibits, expositions and missions, hackathons, or other platforms for networking and collaborative partnerships.
- d. **Innovation Policy Research** – refers to research studies which aim to introduce new or significantly improved solutions relating to innovation policy and governance.

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## FUNDING THRESHOLD AND LIMITATIONS

The funding support threshold for the implementation of new or existing innovation-related programs, activities, and projects **shall not exceed five million pesos (PHP 5 million)**.

The following items shall comprise the negative list for access to the funds appropriated for grants for innovation programs, activities, and projects:

- a. Mandatory provision of health and social services;
- b. Mandatory provision of water supply and sanitation services;



- c. General construction and public works;
  - d. General services and administration;
  - e. Standalone computerization or installation of IT and telecommunications equipment;
  - f. Livelihood seed capital and training programs;
  - g. Conduct of research studies, support to ongoing theses or dissertations, or other investigatory projects involving experimental procedures to acquire new knowledge or search for application of new findings; and
  - h. Tourism promotion activities.
- 

## **PROPOSAL SUBMISSION PROCESS**

- I. General Criteria:
  - a. Proposals must be aligned with sections or themes in the Philippine Innovation Act, such as MSME innovation, regional innovation and cluster policy, strategic RD&E, innovation centers and business incubators, innovation instruments, diaspora for innovation, advocacy and community education, and with the priority areas in the National Innovation Agenda Framework.
  - b. The proposal must exhibit novelty, relevance to the constituency's needs, and the ability to create new opportunities for economic growth or social development. It must also be viable and sustainable, and its expected outcomes must result in positive changes for the target beneficiaries.
  - c. Proponents are assessed based on their competence exhibited through experience, capability, and compliance.
  - d. Proposals must be gender-responsive, gender-sensitive, or with promising GAD components.
  - e. The primary and alternate focal persons should be part of the staff/personnel of the proponent agency, preferably holding a plantilla position.
  - f. Proposals should be endorsed by the Head of the Agency.
- II. Proposal submission, evaluation and approval:
  - a. To apply for funding, proponents are required to authorize a primary and/or alternate focal person to create an account, complete the application forms, and provide the supporting documents through the NEDA Electronic Innovation Grants Information System (EIGIS), accessible at *eigis-innovation.neda.gov.ph*.
  - b. Proposals that are not submitted through EIGIS will not be accepted nor reviewed.
  - c. The Program, Activity, and Project Leader/Focal Person or Alternate Focal Person shall accomplish and submit the following forms:
    - i. Form 1 – Grant Application Form
    - ii. Form 2 - Summary of Previous Innovation-related PAPs
    - iii. Form 3 – Work and Financial Plan
    - iv. Form 4 – Line-Item Budget (auto-generated by EIGIS based on the answers on Form 3)
    - v. Form 5 – Undertaking



- d. The primary and/or alternate focal persons shall also upload technical drawings (if applicable), the proponent's most recent Agency Scorecard (or any proof of compliance to performance and reporting standards, such as Transparency Seal, ISO Quality Management System, FOI, Citizen's Charter, etc.), and other supporting documents
- e. Proposals shall be screened through the proposal evaluation process set under NEDA-DBM Joint Memorandum Circular (JMC) No. 2023-01, and shall be endorsed by the NIC Executive Director to the NIC Executive Technical Board for approval.
- f. The proposed program, activity, and components must be completed within 12 months, on or before September 30, 2024.

Resources:

1. [Philippine Innovation Act](#)
2. [National Innovation Agenda Document](#)
3. [NEDA-DBM Joint Memorandum Circular No. 2023-01 \(2023 Innovation Grants Guidelines\)](#)
4. [Sample Form 1: Grant Application Form](#)
5. [Sample Form 2: Summary of Previous Innovation-related Programs/Activities/Projects](#)
6. [Sample Form 3: Work and Financial Plan and Line-Item Budget](#)



## CALL FOR PROPOSALS

NEDA is now accepting proposals for the 2023 Innovation Grants.

Funding support can be provided to new or existing innovative programs, activities, or projects implemented by an agency of the government. This includes departments, bureaus, offices, other government instrumentalities, local government units (LGUs), state universities and colleges (SUCs), constituent units, or government-owned or controlled corporations (GOCCs), capable of receiving and managing grants, subject to the guidelines by NEDA and the Department of Budget and Management (DBM).

Interested proponents must authorize primary focal person/s to create an account, complete the grant application forms, and provide the supporting documents at the NEDA Electronic Innovation Grants Information System (EIGIS), accessible at: [eigis-innovation.neda.gov.ph/](https://eigis-innovation.neda.gov.ph/). The deadline for submission of proposals is on June 13, 2023, 11:59 PM.

For the guidelines, sample forms, and other references, visit: [eigis-innovation.neda.gov.ph/resources1](https://eigis-innovation.neda.gov.ph/resources1). For inquiries, you may reach the Innovation Fund Management Division through [eigis-innovation.neda.gov.ph/contactus](https://eigis-innovation.neda.gov.ph/contactus).

#PHinnovation

#2023InnovationGrants

#Filipinnovation

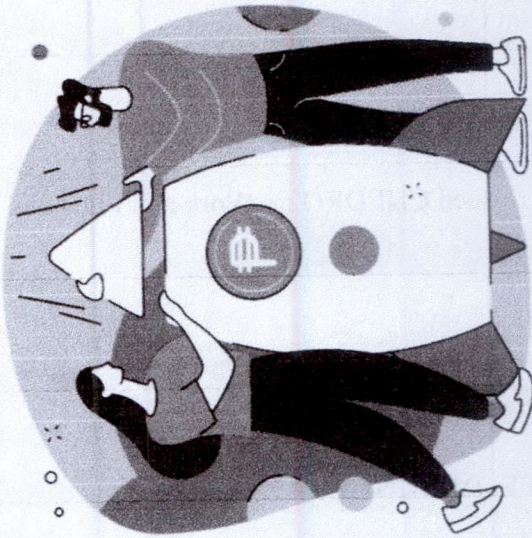


# CALL FOR PROPOSITIONS

## 2023 INNOVATION GRANTS

**NEDA-DBM Joint Memorandum Circular (JMC) 2023-01**

Implementing Guidelines on the Grants For Innovation Programs, Activities, and Projects, Pursuant to Special Provision No. 5 of the National Economic and Development Authority, under Republic Act No. 11936, or the Fiscal Year 2023 General Appropriations Act

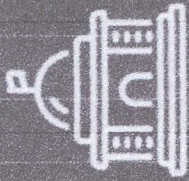


### ELIGIBLE ENTITIES INCLUDE:





WHO CAN SUBMIT A PROPOSAL? Q



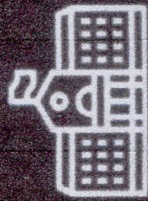
**NGAS**

National Government Agencies,  
including their attached  
agencies, regional offices, and  
operating units



**LGUS**

Local Government Units



**SUCS**

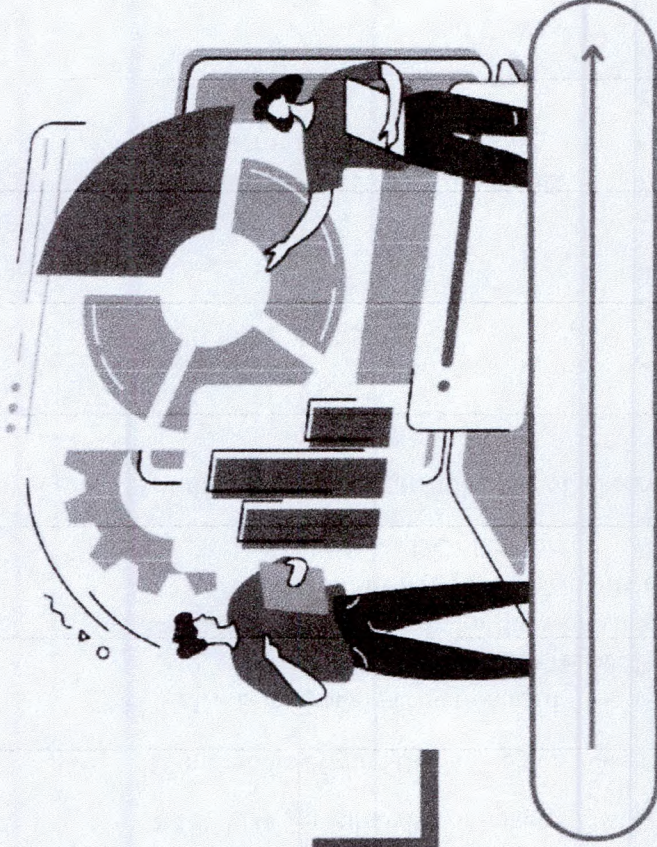
State Universities and  
Colleges



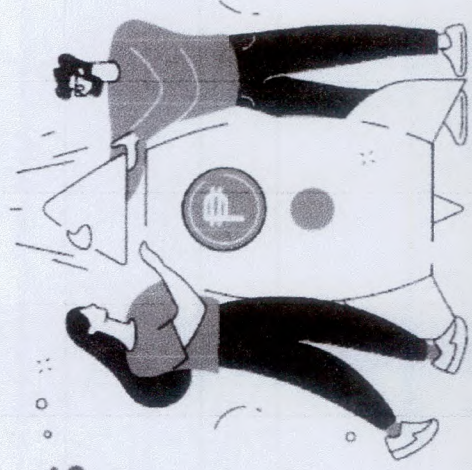
**LGUS**

Government-Owned and  
Controlled Corporations





# CALL FOR PROPOSALS



## 2023 INNOVATION GRANTS

The Philippine Innovation Act, also known as Republic Act 11293, recognizes the importance of innovation in national development and sustainable economic growth. As part of the effective implementation of this law, NEDA is authorized to issue grants for innovation programs, activities, and projects, subject to guidelines issued by NEDA and the DBM.



WHAT TYPES OF INNOVATION PROPOSALS CAN BE SUBMITTED?



1



Pre-commercialization, Commercialization, or Diffusion Projects

2



Innovation Facilities and Services

3



Innovation Culture Promotion

4



Innovation Policy Research



HOW DO WE SUBMIT A PROPOSAL?



## ELECTRONIC INNOVATION GRANTS INFORMATION SYSTEM

Proponent agencies are required to authorize a focal person to create an account, complete the grant application forms, and provide the supporting documents at the NEDA Electronic Innovation Grants Information System (EIGIS), accessible at:

[eigis-innovation.neda.gov.ph](http://eigis-innovation.neda.gov.ph)

For inquiries, send a message at [eigis-innovation.neda.gov.ph/contactus](http://eigis-innovation.neda.gov.ph/contactus)





**Republic of the Philippines  
NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY  
DEPARTMENT OF BUDGET AND MANAGEMENT**

**NEDA-DBM JOINT MEMORANDUM CIRCULAR (JMC) No. 2023-01**

Date: 10 MAY 2023

**FOR : ALL HEADS OF DEPARTMENTS, AGENCIES, BUREAUS, OFFICES, COMMISSIONS, STATE UNIVERSITIES AND COLLEGES, GOVERNMENT-OWNED AND CONTROLLED CORPORATIONS, OTHER INSTRUMENTALITIES OF THE NATIONAL GOVERNMENT, AND ALL OTHERS CONCERNED**

**SUBJECT : IMPLEMENTING GUIDELINES ON THE GRANTS FOR INNOVATION PROGRAMS, ACTIVITIES, AND PROJECTS, PURSUANT TO SPECIAL PROVISION NO. 5 OF THE NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY, UNDER REPUBLIC ACT NO. 11936, OR THE FISCAL YEAR 2023 GENERAL APPROPRIATIONS ACT**

**1.0 BACKGROUND**

Republic Act (RA) No. 11293, otherwise known as the "Philippine Innovation Act", adopts innovation as a vital component of national development and sustainable economic growth. Innovation refers to the creation of new ideas that result in the development of new or improved policies, products, processes, and services which are then spread or transferred across the market.

For the effective implementation of RA No. 11293, Special Provision (SP) No. 5 on Grants for Innovation Programs, Activities, and Projects, of the National Economic and Development Authority (NEDA) – Office of the Secretary (OSEC), under RA No. 11936 or the Fiscal Year (FY) 2023 General Appropriations Act (GAA), authorized the appropriation of an amount of One Hundred Million Pesos (PHP 100,000,000.00) to be used for the issuance of grants for innovation programs, activities, and projects in accordance with RA No. 11293.



Pursuant to SP No. 5 thereof, the release of funds shall be subject to the guidelines to be issued jointly by NEDA and the Department of Budget and Management (DBM).

## **2.0 PURPOSE**

This JMC is being issued to provide the rules and regulations for the utilization of the funds appropriated for grants for innovation programs, activities, and projects, pursuant to SP No. 5, NEDA-OSEC, under the FY 2023 GAA.

## **3.0 SCOPE**

This JMC shall apply to innovation grants for programs, activities, and projects that work on promoting and implementing all potential types and sources of innovation proposed by an agency of the government, subject to existing budgeting, accounting, and auditing rules and regulations.

These include product innovation, process innovation, organizational innovation, social innovation, marketing innovation, academic or educational innovation, or policy innovation.

## **4.0 DEFINITION OF TERMS**

**4.1 Absorptive capacity** – the ability of a proponent to utilize and maximize its current and available financial resources. It is measured by the obligation budget utilization rate.

**4.2 Agency of the government** – any agency of the government, including departments, bureaus, offices, other government instrumentalities, local government units (LGUs), state universities and colleges (SUCs), constituent units, or government-owned or controlled corporations (GOCCs), capable of receiving and managing grants.

**4.3 Innovation grants** – non-repayable transfers<sup>1</sup> to implementing entities for particular innovation programs, activities, and projects.

**4.4 Implementing entity** – a proponent with a project proposal approved by the National Innovation Council (NIC)-Executive Technical Board (ETB).

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<sup>1</sup> DBM Glossary of Terms, p. 800.



**4.5 Innovation centers** – centers of competence and innovation activities, either housed in academic, educational, or non-academic facility that supports collaborative research, development, and extension (RD&E) initiatives and innovation-related activities between and among academic or educational institutions, RD&E centers, and business.<sup>2</sup>

**4.6 Programs, activities, and projects** – any work process or group of work processes undertaken to realize the outputs and outcomes of an agency.<sup>3</sup>

**4.7 Proponent** – an agency of the government that intends to submit or has submitted a proposal for innovation grant. It is capable of receiving and managing grants to implement innovative programs, activities, and projects.

## 5.0 ELIGIBILITY REQUIREMENTS

The following are the proponent's eligibility requirements:

- a. Must be an agency of the government, including departments, bureaus, offices, other government instrumentalities, LGUs, SUCs, constituent units, or GOCCs, capable of receiving and managing grants.
- b. Attached agencies, regional offices, and operating units are eligible to submit a proposal separate from their respective central offices or parent agencies if all of the following criteria are met:
  - i. Directly receiving funds from the DBM;
  - ii. Must have an existing Modified Disbursement System (MDS) trust account;<sup>4</sup>
  - iii. Must have a separate organization code based on the Unified Account Code Structure (UACS);
  - iv. Recipient of fund transfers from higher-level agencies; and
  - v. Authorized to receive grants and/or collect revenues.

<sup>2</sup> Section 3(h) of RA No. 11293.

<sup>3</sup> DBM Glossary of Terms, p. 807.

<sup>4</sup> This account is used to recognize in the agency books the Notice of Cash Allocation (NCA) received for trust receipts/fund transfers deposited with the National Treasury (NT).



In the absence of the abovementioned requirements, regional offices and operating units should submit proposals through their respective central offices or parent agencies.

## 6.0 TYPES OF FUNDING SUPPORT

6.1 In its statement of policy, RA No. 11293 provides that the State shall harness innovation efforts to help the poor and the marginalized and to enable MSMEs to be part of the domestic and global supply chain. As such, funding support can be provided to new or existing programs, activities, and projects implemented by an agency of the government, that qualify for innovation grants, which include, but are not limited to the following:

- a. MSME innovation programs;<sup>5</sup>
- b. Innovation centers and business incubators;<sup>6</sup>
- c. Regional innovation and cluster policy;<sup>7</sup>
- d. Strategic research, development, and extension programs;<sup>8</sup>
- e. Innovation instruments;<sup>9</sup>
- f. Diaspora for innovation and development;<sup>10</sup>
- g. Advocacy and community education;<sup>11</sup> or
- h. Other related innovation development activities.

6.2 Further, the following types of programs, activities, and projects may qualify for innovation grants. Applicants may choose to combine elements from each type as they deem relevant:

- 6
- a. **Pre-commercialization, Commercialization, or Diffusion Projects** – refers to the pre-commercialization and commercialization activities of research and development (R&D) outputs; it includes activities beyond the ideation phase, such as prototyping, testing, intellectual property development and registration, production, and promotion activities.

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<sup>5</sup> Section 12 of RA No. 11293.

<sup>6</sup> Section 13 of RA No. 11293.

<sup>7</sup> Section 14 of RA No. 11293.

<sup>8</sup> Section 15 of RA No. 11293.

<sup>9</sup> Section 16 of RA No. 11293.

<sup>10</sup> Section 18 of RA No. 11293.

<sup>11</sup> Section 20 of RA No. 11293.



It also pertains to the public sector, inclusive, or grassroots innovation, and social innovation that a proponent may undertake with the aim of introducing product innovation or enhance existing services and processes.

- b. **Innovation Facilities and Services** – refers to the establishment of new or enhancement of existing infrastructure or properties to strengthen the innovation ecosystem, including operating expenses for innovation centers, co-working spaces, incubation support, or shared business services, among others.
- c. **Innovation Culture Promotion** – refers to activities which foster a culture of innovation and strengthen the innovation ecosystem such as educational programs, capacity-building activities, trade exhibits, expositions and missions, hackathons, or other platforms for networking and collaborative partnerships.
- d. **Innovation Policy Research** – refers to research studies which aim to introduce new or significantly improved solutions relating to innovation policy and governance.

6.3 Grant funding shall be provided such that the duplication of initiatives is prevented. Such support should also consider a proponent's absorptive capacity and should not be in conflict with other related laws, rules, and regulations.

6.4 Double funding, or the situation where the same activity for the same set of beneficiaries is funded twice through the use of public funds, is not allowed. Project proponents shall ensure that any component of the proposed program, activity, and project has not received any other type of funding support from the FY 2022 and FY 2023 GAAs or any other sources involving public funds.

## **7.0 FUNDING THRESHOLD AND LIMITATIONS**

7.1 The funding support threshold for the implementation of new or existing innovation-related programs, activities, and projects shall not exceed five million pesos (PHP 5,000,000.00).



7.2 The following items shall comprise the negative list for access to the funds appropriated for grants for innovation programs, activities, and projects:

- a. Mandatory provision of health and social services;
- b. Mandatory provision of water supply and sanitation services;
- c. General construction and public works;
- d. General services and administration;
- e. Standalone computerization or installation of IT and telecommunications equipment;
- f. Livelihood seed capital and training programs;
- g. Conduct of research studies, support to ongoing theses or dissertations, or other investigatory projects involving experimental procedures to acquire new knowledge or search for application of new findings; and
- h. Tourism promotion activities.

## 8.0 GRANT APPLICATION REQUIREMENTS

To apply for funding, proponents are required to complete application forms and provide the supporting documents through the NEDA Electronic Innovation Grants Information System (EIGIS), accessible at *eigis-innovation.neda.gov.ph*. The form includes the following details:

- a. **General Information** – includes the agency or organization's identification, contact details, and focal personnel.
- b. **Proposal** – describes the concept, rationale, objectives, impact, duration, and relevance of the program, activity, and project, whether it aligns with the priority sectors and has the best potential to benefit the poorest of the poor. It also includes the implementation strategies, expected outcomes, and sustainability aspects of the proposal.



- c. **Work and Financial Plans** – details the program, activity, and project's work and financial plans, which determine the soundness and feasibility of execution and implementation. It also includes a timeline with an implementing period not exceeding one year.
- d. **Technical Drawing (if applicable)** – contains detailed drawings that communicate how the proposed innovation functions or how it will be constructed.
- e. **Undertaking** – contains the terms and conditions that the applicant must certify and agree with.
- f. **Authorization Letter** – authorizes the program, activity, and project focal person and alternate focal person to submit a proposal on behalf of the proponent through EIGIS. It should be signed by the following authority:

<b>Proponent</b>	<b>Level</b>	<b>Signatory</b>
National Government Agency (NGA)	Central office	Secretary or Undersecretary
	Attached agency or Operating unit	Head of Agency
	Regional, provincial, or field offices	Regional Director
	Department of Education (DepEd) Schools and Learning Centers	Schools Division Superintendent
LGU including Local Universities and Colleges (LUCs)	Provincial government	Governor
	City or municipal government	Mayor
	Local university or college	President or Chancellor
SUC	University or college	President or Chancellor
GOCC	Central	Head of Agency
	Regional, provincial, or field offices	Regional Director or its equivalent



## 9.0 ASSESSMENT CRITERIA FOR EVALUATION OF PROPOSALS

The following set of criteria shall serve as the tool to evaluate the qualifications of proponents and the implementation readiness of their proposals.

### 9.1 Technical Criteria – a metric of technical merits of the proposed programs, activities, and projects:

- a. The following technical criteria shall be used for proposals with regional or local scope:

Criteria	Weight	Description
Novelty	30 percent	A clear description of the new idea, approach, or technology being proposed; an explanation of how the proposed innovation differs from existing solutions in the same field or market; and a demonstration of the potential impact of the proposed innovation.
Relevance	40 percent	Identification of the specific problem or challenge that the proposed innovation aims to address in the region or province; demonstration of a clear understanding of the innovation needs and gaps in the region or province; and explanation of how the proposed innovation has been designed to be responsive to the unique needs and requirements of the region or province, and how it will address the identified gaps.



Opportunity	30 percent	Demonstration of the potential for the proposed innovation to create new opportunities for economic growth or social development in the region or province; explanation of how the proposed innovation can leverage existing resources, assets, or capabilities in the region or province to create new value, including potential collaboration with local organizations, businesses, or institutions; and plans to explore new markets or partnerships that can support the growth and expansion of the proposed innovation, such as licensing agreements or joint ventures with other organizations or businesses.
<b>Total</b>	<b>100 percent</b>	

- b. The following technical criteria shall be used for proposals with national or inter-regional scope; proposals with regional or local scope within the National Capital Region (NCR) and the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM); and shortlisted proposals endorsed by the NEDA Regional Directors:

Criteria	Weight	Description
1. <b>Strategic alignment</b>	<b>10 percent</b>	The proposal demonstrates alignment with the strategic priorities set under RA No. 11293 and the National Innovation Agenda, contributing to the country's development goals and



		vision for innovation-driven growth.
<b>2. Innovativeness</b>		
<b>2.1. User-centered</b>	<b>20 percent</b>	The proposal showcases a user-centered approach to solving a problem, with unique implementation or delivery methods, or an improved or alternative solution to an existing product, service, or process, ensuring that the innovation meets the needs and expectations of its users and other relevant stakeholders.
<b>2.2. Responsive and scalable</b>	<b>20 percent</b>	The proposal demonstrates a market-driven approach to problem-solving, with a clear and compelling value proposition that resonates with the needs of the target market or population. The proposal should exhibit a deep understanding of the intended constituency, and the proposed innovation should have high potential for adoption and commercial success. Additionally, for pre-commercialization, commercialization, or diffusion projects, the proposal should have a clear plan for scaling up, including investment plans, partnerships, and resource mobilization.

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<b>2.3. Game-changing</b>	<b>20 percent</b>	The proposal is transformative, game-changing, with the potential to generate positive socioeconomic and environmental outcomes for the specified target beneficiaries, contributing to inclusive growth, sustainability, and the well-being of the community.
<b>3. Feasibility and Sustainability</b>	<b>30 percent</b>	The proposal demonstrates feasibility with a clear and realistic plan for implementation within the proposed timeline and budget. It also proposes a sustainability plan where activities will be continued even beyond the initial funding support.

**9.2 Organizational Criteria – a qualitative measure to gauge the proponent’s capacity to implement the proposed program, activity, and project. It considers the level of the proponent, whether it is poor (one star), satisfactory (two stars), or outstanding (three stars), based on the following:**

<b>Criteria</b>	<b>Description</b>
<b>1. Competence</b>	The proponent has experience in implementing innovation-related programs, activities, and projects.
<b>2. Capability</b>	The proponent has at least 70 percent absorptive capacity, or the ability to effectively utilize its financial resources.
<b>3. Compliance</b>	The proponent complies with various good governance standards reflected in the following: <ul style="list-style-type: none"> <li>• NGAs and SUCs - Results-based Performance Management System (RBPMS) administered by</li> </ul>



	<p>the Inter-Agency Task Force on the Harmonization of National Government Performance Monitoring, Information and Reporting Systems (Administrative Order No. 25, s. 2011)</p> <ul style="list-style-type: none"> <li>• LGUs - Seal of Good Local Governance (SGLG) or Seal of Good Financial Housekeeping (SGFH) administered by the Department of the Interior and Local Government (DILG)</li> <li>• GOCCs - Corporate Governance Scorecard (CGS) administered by the Governance Commission for GOCCs (GCG)</li> </ul>
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## **10.0 GRANT ADMINISTRATION**

### **10.1 Proposal Submission**

The NIC Secretariat shall issue a call for proposals and communicate the guidelines through various channels, including the EIGIS, the official websites of NIC member agencies, and other relevant communication platforms. It is imperative that all proposals are submitted through the EIGIS to ensure transparency and accountability in the review process. Proposals that are not submitted through the EIGIS will not be accepted nor reviewed.

The DILG shall endorse the call for proposals to LGUs. Likewise, the Commission on Higher Education (CHED) shall endorse the call for proposals to SUCs.

### **10.2 Proposal Evaluation**

10.2.1 NEDA Regional Directors, Technical Evaluation Panels (TEPs) composed of representatives from the NEDA Central Office, and the NIC Secretariat shall be responsible for the screening, rating, and ranking of the proposals, to be submitted to the NIC Executive Director for revalidation and endorsement to the NIC-ETB.



<b>Action</b>	<b>Responsible</b>
<b>Screening, Rating, and Ranking</b>	
a. Technical Criteria Rating and Ranking of proposals with regional and local Scope	Concerned NEDA Regional Directors
b. Technical Criteria Rating of proposals with national or inter-regional scope; proposals with regional or local scope within the NCR or BARMM; and shortlisted proposals endorsed by the NEDA Regional Directors	TEPs
c. Organizational Criteria Rating	NIC Secretariat
<b>Endorsement to the NIC-ETB</b>	NIC Executive Director
<b>Approval of Proposals</b>	NIC-ETB

10.2.2 Only proposals with complete documents shall undergo further screening and review. Proposals with incomplete or insufficient documents may be terminated by the respective TEPs due to lack of basis for evaluation. Proposals included in the negative list identified in Section 7.4 shall also be terminated by the respective TEPs.

10.2.3 NEDA Regional Directors shall rank proposals with regional or local scope. The TEPs shall then rate proposals considering the rankings submitted by the respective NEDA Regional Directors. In cases where the scope of the proposal is national, inter-regional, or within NCR or BARMM, screening, rating, and ranking shall be conducted by the TEPs. All NEDA Regional Directors and TEPs shall use the technical criteria identified in Section 9.1 as the basis for evaluation.

10.2.4 The NIC Secretariat shall consolidate and further evaluate proposals based on the organizational criteria identified in Section 9.2. The NIC Secretariat shall also solicit comments/inputs from the following agencies, to be used as the basis for further screening of proposals:



Agency	Action
Intellectual Property Office of the Philippines (IPOP HL)	Identifying potential intellectual property issues that may arise from the proposed programs, activities, and projects
CHED	Screening proposals submitted by SUCs, including identifying potential double funding issues
Department of Science and Technology (DOST), and Department of Agriculture-Bureau of Agriculture Research (DA-BAR)	Identifying potential double funding issues and/or possible legal or auditing concerns on publicly-funded research and development outputs

10.2.5 The NIC Executive Director shall revalidate the consolidated evaluation results and endorse proposals to the NIC-ETB for approval.

10.2.6 Project proposals approved by the NIC-ETB in the previous grant cycle which have not commenced implementation nor utilized previous grants may submit revised proposals, subject to the review of the NIC Executive Director and approval of the NIC-ETB.

10.2.7 The NIC-ETB shall convene to deliberate the approval and/or disapproval of proposals. Proposals shall be deemed approved if they receive at least two-thirds of affirmative votes from NIC-ETB members or their authorized representatives present during the meeting. Subject to the approved appropriation, proposals with the highest number of votes shall be prioritized for funding, and in case of ties, the NIC-ETB Chairperson shall decide accordingly.

10.2.8 The NIC-ETB reserves the right to accept or reject any proposal, or separable portions thereof, and to waive any minor irregularity, technicality, or omission as needed.



### **10.3 Grant Awarding**

- 10.3.1 The NIC Secretariat shall notify proponents with approved proposals for their acceptance or rejection of the grant. Proponents who accepted the grants shall commence with the preparation of documentary requirements.
- 10.3.2 The NIC Secretariat shall conduct consultations to assess whether the terms and conditions are legally enforceable to protect all party's interests. If the legal review identifies no issues, the NIC Secretariat shall complete the execution of the agreement and notify the grant recipient. However, if the legal review identifies any issues with the terms and conditions of the award, the NIC Secretariat shall notify the grant recipient and may consult the NIC-ETB Chairperson to resolve the matter.
- 10.3.3 The NIC-ETB Chairperson has the prerogative to negotiate the award and choose which proposal components will be funded.
- 10.3.4 If the proponent and the NIC-ETB cannot arrive at a mutually agreeable position, the proponent may choose not to accept the award. The proponent, through written correspondence, shall clearly specify the reasons why the award is being declined. Failure to provide a reasonable justification for a decline of the award shall mean future proposals for funding from the proponent will be less prioritized.

### **10.4 Fund Transfer and Utilization**

- 10.4.1 In accordance with General Provision 70 of the FY 2023 GAA, the grant released to implementing entities shall be available for obligation and disbursement until 31 December 2024. After the end of the validity period, all unreleased appropriations and unobligated allotment shall lapse, while unexpended or undisbursed funds shall revert to the unappropriated surplus of the General Fund and shall not thereafter be available for expenditure except by subsequent legislative enactment.



10.4.2 The transfer of funds shall be in accordance with the terms of the memorandum of agreement (MOA) executed between NEDA and the implementing entity. Project funds shall be deposited in any authorized government depository bank. The grant awarded through these guidelines shall not be used for money market placement, time deposit, purchase of real property, or other forms of investment not related to the program, activity, and project.

10.4.3 In the course of implementation, and as the need demands, any modifications by implementing entities in the utilization of the fund shall be communicated in writing to secure the concurrence from the NIC-ETB Chairperson.

10.4.4 Furthermore, implementing entities shall abide by the procurement rules and guidelines, pursuant to RA No. 9184, otherwise known as the Government Procurement Reform Act, and its Revised IRR.

### 10.5 Monitoring and Reporting

10.5.1 The implementing entities shall submit the following reports to the NIC Secretariat on the indicated timelines:

Report	Timeline
1. Monitoring Report	Every end of the quarter during the implementation
2. Financial Accountability or Liquidation Report with the necessary supporting documents	Every end of the quarter during the implementation
3. Terminal Report	Not later than six (6) months after the final implementation of the project

10.5.2 The implementing entities shall regularly provide the NIC Secretariat with status updates (*i.e.*, stories, pictures, press releases, announcements, or reports) if available. The NIC



Secretariat shall consolidate the reports for submission to relevant authorities.

10.5.3 The implementing entities shall also authorize the NIC Secretariat to include information on the project details and outputs, partially or entirely, in its website and database and for use in the NIC's promotional efforts, reports, and other collateral materials as the NIC deems necessary, per Section 16 of RA No. 11293.

10.5.4 The NIC Secretariat may undertake field validation, whenever necessary.

10.5.5. If a problem arises from the field validation, a project facilitation meeting shall be undertaken by the NIC Secretariat to discuss and resolve issues encountered and reach important agreements.

## **11.0 INTELLECTUAL PROPERTY**

11.1 Matters affecting intellectual properties or intellectual property rights such as their ownership, protection, and utilization, technology disclosure, the exclusivity of the license, use of commercialization, the establishment of spin-off firms, technologies for research use and sharing of income, and benefits from technology commercialization shall be in accordance with RA No. 8293, otherwise known as the Intellectual Property Code of the Philippines, as amended, and related laws such as RA No. 9168, otherwise known as the Philippine Plant Variety Protection Act of 2002, RA No. 8792, otherwise known as the Electronic Commerce Act, RA No. 10055, otherwise known as the Philippine Technology Transfer Act of 2009, and RA No. 8371, otherwise known as the Indigenous Peoples Right Act of 1997.

11.2 Full information shall be disclosed to the NIC Secretariat in case the project or program results are published or presented in various fora, seminars, and meetings. Such presentation should not prejudice the proprietary/confidential nature of the information for intellectual property protection purposes.



## 12.0 MISCELLANEOUS PROVISIONS

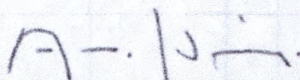
**12.1 Amendment.** The provisions, exhibits, and annexes of this JMC may be amended or supplemented as deemed necessary and agreed upon by NEDA and DBM, and in accordance with the FY 2023 GAA, RA No. 11293, its IRR and other relevant laws, rules and regulations, and issuances.

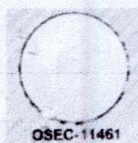
**12.2 Separability Clause.** If for any reason, any provision of this JMC is declared unconstitutional or invalid, such parts which are not affected thereby shall remain in force and effect.

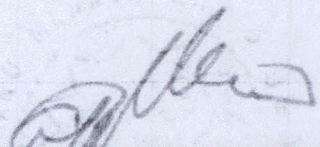
**12.3 Repealing Clause.** All other issuances or parts thereof that are inconsistent with this JMC are hereby repealed, amended, and/or modified accordingly.

## 13.0 EFFECTIVITY

These guidelines shall take effect immediately.

  
**ARSENIO M. BALISACAN**  
Secretary  
National Economic and  
Development Authority



  
**AMENAH F. PANGANDAMAN**  
Secretary  
Department of Budget  
and Management

