

## 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		HEI = 11		Regional	Responses
	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."</i> - (XU)</p> <p><i>"Establishment of the Technology Promotion and Commercialization Office."</i> - (USTP)</p> <p><i>"Primary goal is to transfer research output for commercialization or adoption or utilization of the community or industry."</i> - (USTP)</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"</i> (CITU)</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."</i> - (USTP)</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."</i> - (USC)</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."</i> - (TIP)</p>

Sustaining the collaboration refers to keeping close contact and engagement among partners.	2	18.18	<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>
Reviewing Curriculum Design refers to crafting modules on research and technology transfer	1	9.09	<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>
Fees for the training Refers to the fees during training.	1	9.09	<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>
Funding resources refers to agencies that can provide grants or programs.	1	9.09	<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>

### 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 = 11		Regional		Responses
	n=						
	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><i>“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)</i></p>

			<i>“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)</i>
Interorganizational Collaboration. Increased linkages between different actors in the Innovation Ecosystem (Government, Industry and Academe)	5	45.45	<i>“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)</i>  <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			<p><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></p> <p><i>"Big HEIs have bigger budget which allow them to hire more personnel compared to smaller HEIs." - (UPCebu)</i></p>
Context-specific approaches. Each HEI has its own different strategies in institutionalizing capacity-building programs. (i.e., administrative or financial problems are contextual to each HEI)			2	18.18			<p><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 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></p> <p><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></p>
Leadership and supportive admin refer to the initiative and motivation of the project leader to lead innovation ecosystem initiatives			2	18.18			<p><i>"Leadership is a vital factor." - (USC)</i></p>

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		HEI = 11		Regional		Responses
	n=						
	f	%	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			<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>  <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, 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			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</i>



actors in the Innovation Ecosystem (Government, Industry and Academe)				<i>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.”</i> - (DLSU)
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.”</i> - (BSU)
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.”</i> - (UPLB)
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.”</i> - (UPD)

### 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.”</i> - (XU)

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>