



## **COMPETITION GUIDANCE FOR APPLICANTS**

# **Newton-Ungku Omar Coordination Fund Research and Innovation Bridges**

**A bilateral framework providing financial support for  
Malaysian and UK Organisations**

**Malaysia Industry-Government Group  
for High Technology (MiGHT), Innovate UK and  
Research Councils UK**

**June 2015**

## Executive Summary

Innovate UK, the Research Councils UK (RCUK) and the Malaysia Industry-Government Group for High Technology (MIGHT) are to invest up to £14.4 million in collaborative industrial research and development projects to stimulate innovation in response to Malaysia's urbanisation challenges.

The scope is focused on finding new commercial solutions to challenges that Malaysia is facing as climate change increasingly impacts upon its cities and its urbanisation trajectory – these solutions emerging through the translation of existing, excellent research. The competition will support projects that bring together businesses, academic and other research organisations, public sector bodies and other organisations from Malaysia and the UK to collaborate on the development of innovative products, processes or services.

This programme marks the first engagement between the public agencies responsible for driving forward business-led innovation backed by excellent research in Malaysia and the UK: the Malaysia Industry-Government Group for High Technology (MIGHT), Innovate UK and the Research Councils UK.

## Newton Fund Background

The Newton Fund is a Ministerial-led, high profile programme managed by the UK's Department for Business, Innovation and Skills which aims to strengthen research and innovation partnerships between the UK and 15 emerging (knowledge) economies. The partnership countries are Turkey, Brazil, Chile, China, Colombia, Egypt, India, Indonesia, Kazakhstan, **Malaysia**, Mexico, Philippines, South Africa, Thailand, and Vietnam. £375 million will be spent by the UK through the Fund over a 5-year period (2014-2019), with matched funding/effort being provided by the partner countries. The Fund forms part of the UK's Official Development Assistance (ODA), i.e. the UK's support to developing and emerging economies for their socio-economic development ([www.newtonfund.ac.uk](http://www.newtonfund.ac.uk)).

The Newton Fund comprises of 3 broad pillars of activity:

- Pillar 1 (People): improving capacity in research and science, individually and institutionally
- Pillar 2 (Research): facilitating research collaborations on critical socio-economic development challenges in partner countries
- Pillar 3 (Translation): facilitating the creation of collaborative, innovative solutions to socio-economic development challenges through the translation of research into policy, commercial products, processes, services or other mechanisms; and creating the conditions for those solutions.

With Malaysia, the Newton Fund is called the Newton-Ungku Omar Coordination Fund – Professor Dato' Ungku Omar bin Ahmad being a Malaysian scientist who made great contributions to the advancement of medical science. This call sees Innovate UK, RCUK and the Malaysia Industry-Government Group for High Technology (MIGHT) coming together to fund and deliver a new type of programme, called Research and Innovation Bridges (R&I Bridges). The R&I Bridges call with Malaysia will focus on tackling challenges that exist in relation to *climate change related to urbanisation*.

This Newton Fund competition will help UK industry and research organisations working on sustainable urbanisation and smart cities agendas to form collaborative partnerships with Malaysian counterparts and translate the outputs of excellent research into new solutions to the challenges urbanisation poses in Malaysia, specifically commercial products, processes and services fit for the Malaysian market. The aim is to deliver benefit to all participants and, more broadly, to both nations.

## **About the Funders**

### **Malaysian Industry-Government Group for High Technology (MIGHT)**

The Malaysian Industry-Government Group for High Technology (MIGHT) is an independent, industry-driven non-profit organization formed in 1993 and formally incorporated as a company limited by guarantee on 15th October 1994. MIGHT serves as an agency under the purview of the Science Advisor to the Prime Minister of Malaysia and serves under the Prime Minister's Department, Government of Malaysia. MIGHT is governed by a Board of Directors, helmed through the joint-chairmanship of a prominent private sector personality and the Science Advisor to the Prime Minister.

MIGHT's core purpose is to address the country's needs in response to the effects of globalisation and trade liberalisation on future economic growth through the accelerated use of high technology. MIGHT is subscribed to by private and public sector membership and has no shareholder. It exists to serve the needs of its members who represent the industry, government and academia. MIGHT also acts as a key interlocutor, bringing together policy and technology nurturing to advance high technology interests in Malaysia.

MIGHT champions the nation's high technology agenda and supports the Science Advisor to the Prime Minister through the Science to Action (S2A) initiative. Unveiled by the Prime Minister in November 2013, the initiative has provided a new impetus for MIGHT in its effort to ensure a wider reception of Science, Technology and Innovation (STI) by its key stakeholders in the nation - the industry, the people and the policymakers. Under this initiative, the focus will be on the growth targeted under the National Focus Standards by building strategic partnerships and alliances, technology acquisition and nurturing, capacity building as well as strengthening the growth of these sectors through policy interventions and flagship programmes.

MIGHT also leverages on its unique position as the lead agency for the internationalisation of science, technology and innovation in Malaysia. It provides members unparalleled access to global thought-leadership in technology centres of excellence around the world, through its role as the co-secretariat of the Global Science and Innovation Advisory Council (GSIAC).

### **Innovate UK**

Innovate UK is an executive non-departmental public body established by the UK Government in 2007, and sponsored by the Department for Business, Innovation and Skills (BIS). The activities of Innovate UK are jointly supported and funded by BIS and other government departments, the devolved administrations (Scotland, Wales and Northern Ireland) and research councils.

The role of Innovate UK is to support and stimulate business-led innovation in the areas which offer the greatest scope for boosting UK growth and productivity. It promotes, supports and invests in technology research, development and commercialisation. It also spreads knowledge, bringing people together to solve problems or make new advances. Innovate UK advises Government on how to remove barriers to innovation and accelerate the exploitation of new technologies, and works in areas where there is a clear potential business benefit, helping today's emerging technologies become the growth sectors of tomorrow.

Innovate UK will work with Malaysia to fund industrial R&D, capacity building and networking of organisations in technology and innovation through collaborative projects. For more information about Innovate UK, please visit our website at:

<https://www.gov.uk/government/organisations/innovate-uk>.

### **Research Councils UK**

Research Councils UK (RCUK) are responsible for investing public money in research in the UK to advance knowledge and generate new ideas which lead to a productive economy, healthy society and contribute to a sustainable world. Each year the Research Councils invest around £3bn in research covering the full spectrum of academic disciplines from the medical and biological sciences to astronomy, physics, chemistry and engineering, social sciences, environmental sciences and the arts and the humanities. RCUK supports over 50,000 researchers including 19,000 doctoral students, around 14,000 research staff, and 2,000 research fellows in UK universities and in their own Research Institutes.

Research Councils UK are the main UK delivery partner for the Newton Fund and are working strategically with partner countries to develop a series of research activities to address challenges defined by the overarching ambitions of the Fund. For more information about RCUK, please visit our website at [www.rcuk.ac.uk](http://www.rcuk.ac.uk).

# Table of Contents

## SECTION ONE

1.1 Competition Overview .....	7
1.2 Finding Partners .....	7
1.3 Competition Scope.....	8
1.3.1 Malaysia Context.....	8
1.3.2 Scope.....	8
1.3.3 A Research and Innovation Bridge (R&I Bridge).....	10
1.4 Eligibility.....	11
1.4.1 Common Eligibility Criteria.....	11
1.4.2 Applicants from Malaysia.....	12
1.4.3 Applicants from the UK.....	12
1.4.4 Malaysia/UK Partnerships.....	13
1.5 Funding.....	13
1.5.1 Financial Support – MIGHT (Malaysia) .....	13
1.5.2 Financial Support – Innovate UK (UK).....	15
1.6 Process Overview and Timeline for Submission.....	16
1.7 Key Dates.....	18
1.8 The Assessment and Evaluation Process for this Competition.....	18
1.8.1 Competition Process.....	18
1.8.2 Evaluation and Selection of R&D Projects.....	19

## SECTION TWO

2.1 Information for Applicants.....	20
2.1.1 How to Apply for this Competition.....	20
2.1.2 Finance Forms and Project Costs.....	21
2.1.3 How to find out more (Data Protection Act 1998, Information Security, etc.).....	22

## SECTION THREE

3.1 The Application Form and Submission Documents.....	23
3.1.1 The Application Form.....	23
3.2 Partner Finance Forms.....	33
3.3 Project appendices – applicable to both Malaysian and UK applicants.....	33
3.4 Project Plan.....	34
3.5 Project Finances.....	35
3.6 Exchange Rate.....	35

## Section 1

### 1.1 Competition Overview

Funding under this competition will be made available for collaborative research and development projects (what we are calling “Research and Innovation Bridges”), that propose solutions to key challenges Malaysia is facing as climate change increasingly impacts upon its cities and its urbanisation trajectory. Successful Research and Innovation Bridge projects must demonstrate the clear translation of existing, excellent research into products, processes and services with high industrial relevance and commercial potential.

Under the grand challenge of climate change related to urbanisation, the competition will fund projects seeking commercial solutions to challenges within the following sectors:

1. Health and well-being
2. Improving environmental resilience and energy security
3. Future cities
4. Agritech (used to solve explicit urban food and nutrition issues)
5. Digital, innovation and creativity.

Projects will be identified through a two-stage application and assessment process involving the submission of an expression of interest, followed by submission of an application by successful shortlisted applicants.

Up to £14.4 million will be made available under the competition (up to £7.2m from Innovate UK and RCUK to UK participants and up to £7.2m from MIGHT to Malaysian participants). We expect total eligible project costs on each side of the application (i.e. UK and Malaysian) to be between £1m and £1.75 million on each side, although we would consider projects outside of this range. The competition is expecting to support bilateral high-impact projects with an average of £1m - £3m pounds total combined grant funding (UK and Malaysia) per project. (Larger awards may be considered.)

Projects should last 24-34 months.

### 1.2 Finding partners

#### In Malaysia

The S2A web platform has a group to help potential collaborators find partners. The group can be found at: <http://www.s2a.gov.my>

#### In the UK

The \_connect web platform has a group to help potential collaborators find partners. The group can be found at: <https://connect.innovateuk.org/>

## 1.3 Competition Scope

### 1.3.1 Malaysia Context

Malaysia is a predominantly urban nation with over 70% of its population living in cities (more than 20 million people). This total is expected to grow to over 80% in 10 years time. The rate of urbanisation has been quite rapid: urban Malaysia has grown from 40% in 1980 to 60% in 2000. Whilst Kuala Lumpur (and its hinterlands) remains by far the largest urban agglomeration, other cities have also experienced rapid growth: George Town and Johor Bahru have also grown to be centres of more than 1 million, and other smaller towns such as Ipoh and Melaka expanding almost exponentially. Urbanisation is spread across the country: it has more than 15 urban centres of around between 200,000 to 1 million people.

For many years now, the Government of Malaysia has recognised the grand challenges that urbanisation and climate change present to each other and to the country's growth. The Government understands that tackling these challenges jointly through a coordinated approach is critical to sustaining its impressive economic growth. Malaysia is one of 13 countries identified by the Commission of Growth and Development of the World Bank in its 2008 Growth Report to have recorded average economic growth of more than 7 per cent per year for 25 years or more; whilst at the same time seeing the share of households living below the national poverty line fall to less than one per cent currently.

Today Malaysia is a multi-sector economy, having transformed away from a producer of raw materials at it was in the 1970s. Under the 11<sup>th</sup> Malaysian Plan (2016-2020), the country's vision is to achieve high-income status by 2020, moving further up the value-addition production chain by attracting high technology industries and services. The Plan recognises cities as "growth poles" in re-engineering this desired economic growth in the country. It also recognises green growth being at the heart of the Plan. The goals of the Plan are ambitious; and Malaysia recognises 'smart solutions' including smart city technology as a critical component achieving the Plan and of cities' future growth and improvement.

The purpose of Innovate UK's partnership with RCUK and MIGHT in Malaysia is to build upon excellent science, research and business skills-sets existing in both the UK and Malaysia, translating that science and research into new commercial solutions that support Malaysia's green urban growth agenda.

### 1.3.2 Scope

The competition aims to tackle the issue of rapid urbanisation along with a drastically changing climate. Based on the deliberations between the competition funding partners and relevant stakeholders, the following priorities under the broad theme have been identified:

1. Health and well-being
2. Improving environmental resilience and energy security
3. Future cities
4. Agritech (used to solve explicit urban food and nutrition issues)
5. Digital innovation and creativity.

Tackling these issues would help remove a critical barrier in Malaysia's drive towards becoming a developed nation, while at the same time ensuring that it does not have to sacrifice its rich and

irreplaceable biodiversity and natural resources. Equally these are not single nation issues and therefore, ways to manage and mitigate these issues could potentially be applied in different cities, thereby promoting a global push towards sustainable and long-term progress and development that is harmonious with nature.

Proposals submitted to this joint competition should clearly identify one or more of the priorities as the focus of the project.

### **Health and Well-being**

As urbanisation increases the urban environment will be a primary determinant of health and well-being for the majority of the world's population. Countries like Malaysia, with a growing urban population are faced with a number of challenges including: the risk of communicable diseases, the health implications of environmental change and climate induced disasters; as well as planning for urban environments that enhance individual and community well-being and resilience.

Challenges arise in this priority area to address the topic of health and well-being in an urban setting and also the effect that climate change has on it. The rapid identification and management of diseases and their vectors is a top priority, as well as measures to reduce or eliminate communicable diseases in an urban setting.

### **Improving Environmental Resilience and Energy Security**

Rapid area expansion is a natural effect of urbanisation. As population centres grow, surrounding areas are quickly absorbed and developed into urban systems. This creates a unique urban ring, with the inner circle comprising mainly of corporate and commercial activity centres, and an outer ring which consists of urban dwellings and industrial areas. In the midst of this, substantial areas of forest and other irreplaceable ecosystems are often destroyed to make way for urban expansion, while previous rural communities shrink in size and even become abandoned. The challenge that arises here is to promote urban growth while at the same time ensuring environmental resilience and sustainability. Self-contained technologies and solutions, such as vertical farming and efficient waste management systems become the focus of this priority area.

The focus on environmental resilience also goes hand-in-hand with the issue of energy security. Rapidly developing urban centres put substantial strain on current energy delivery infrastructure as they struggle to cope with demand, and many ad-hoc solutions being implemented sacrifice environmental sustainability for energy security. In this context, the challenge lies in ensuring energy security while at the same time preserving the environment. Technologies and solutions such as clean-coal, solar and wind energy become the focus of this priority area, as well as energy generation and delivery systems that are resilient to climate change induced disasters, such as flash floods and haze.

### **Future Cities**

As the pace of urbanisation overtakes the ability of the government to respond, substantial logistical issues arise as urban areas expand. These issues manifest themselves in the form of inadequate housing, traffic congestion and pollution, along with increasing crime rates. The concept of future

cities is seen to be the solution towards addressing these issues, engaging local communities to identify publicly-acceptable, innovatively-designed solutions, many of which will be built on the deployment of smart technologies such as: waste to energy and waste conversion solutions; tele-presence and virtual communications systems; efficient mass transportation and intelligent logistics management systems.

The focus of this priority area is on the development of planning models, technologies and co-designed solutions and fostering of social and technological innovation that will enable the development of future cities that meet the needs and aspirations of both city businesses and resident communities, and also promote the transformation of current urban centres into future / smart cities. Underlying support systems such as smart waste management and conversion technologies as well as disaster and emergency management systems will be the primary focus of the priority area.

### **Agritech**

While the issue of rapidly developing urban areas is a pressing concern, supporting these developing centres represents a significant challenge as well. Increased urban populations results in substantial demands for food, which can strain surrounding agricultural areas as they struggle to cope with demand. This, combined with climate change induced phenomena such as drought, flooding and haze conspire to put substantial strain on the agricultural sector to cater to the demands of urban populations.

The challenges of this priority area is to develop agri-technologies and solutions that will allow the agricultural sector to continue to support urban centres even in the face of climate change and increasing demand. Disease and pest resistant crops, fast growing crops and crops capable of surviving in less than ideal climates are among the technologies and solutions sought by this priority area. Food delivery systems also become a major focus, with attention being paid to methods and means of preserving and transporting efficiently to distribution centres.

### **Digital Innovation and Creativity**

The development of urban centres presents a unique opportunity in which education, learning and creativity are now actively promoted and nurtured. Digital media and systems will play a substantial role in this aspect, providing students and creators multiple tools and potential content upon which they can develop innovation and creativity. Leveraging on the advanced information infrastructure and cultural, educational and creative assets and organisations present in urban areas, digital innovation and creativity as well as the tools that will promote this particular priority area becomes the focus.

#### **1.3.3 A Research and Innovation Bridge (R&I Bridge)**

Innovate UK/RCUK/MIGHT will fund consortia collaborations of businesses, research organisations, and non-profit organisations from the UK and Malaysia (each consortium containing participants from both the UK and Malaysia), which seek to nurture innovative solutions in response to Malaysia's urbanisation challenge, through the translation of existing, excellent research. Each grant made to a single consortium under the competition will be called an R&I Bridge.

It is recognised that solutions to socio-economic challenges come in several shapes and forms: the primary focus of a Bridge will be on enabling innovative *commercial* solutions to emerge, in the form of new products or services to address the challenge of climate change related to urbanisation, or new processes that enable commercial cost-efficiency in the challenge.

It is anticipated that the Bridges will build upon existing areas and models of academia-industry translation strength in the UK, currently being propagated by Innovate UK and RCUK, or other significant funders such as the EU or Wellcome Trust; and similar on the Malaysian side.

An R&I Bridge should:

- Accelerate the deployment of knowledge and the exploitation of research in order to create new products, services and processes that are solutions to real challenges Malaysia is facing.
- Encourage economic development by improving knowledge exchange between academia, businesses, public services, and non-profit sectors in and between the UK and Malaysia, with the objective of creating relationships that should last longer than the grant funding available.
- Enable the acquisition of new innovative research skills/methodologies.
- Draw attention of businesses to new and emerging opportunities and challenges.

The planned results of the competition are as follows:

- Innovative technology-based solutions to climate change-urbanisation challenges that have primary applicability in Malaysia, are developed and commercialised. These solutions positively impact upon the particular challenge they seek to address, thereby and ultimately improving socio-economic development in the country.
- The bilateral R&D community, in targeted markets and sectors, demonstrates an increased awareness of Malaysian and UK science and innovation capabilities.

## 1.4 Eligibility

### 1.4.1 Common Eligibility Criteria

A collaboration proposing an R&D project that meets the requirements in this section is eligible to apply to this competition and does so in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

#### Project Composition

- Projects must be collaborative, containing partners from both Malaysia and the UK.
- Project duration should be 24-34 months.
- Projects must be innovative and market-driven, leading to the proposed development of a new product, service or process, leading ultimately to commercialisation.
- Projects must articulate clear commercial goals and associated commercialisation strategies.
- Projects must have identical start and end dates for both UK and Malaysian applicants (both funders reserve the right to withdraw the grant if these dates are not kept to).

**Each proposal must include as a minimum:**

- A **Malaysian** business partner
- A **Malaysian** research organisation
- A **UK** business partner

- A **UK** research organisation
- A **Malaysian** registered organisation Project Lead (**MAPL**), leading the Malaysian part of the project and communicating with the UK Project Lead. The MAPL can be a business, Research Organisation (RO) or Academic Organisation (AO). The collaboration must be led by organisations in Malaysia whose primary focus is on the translation and commercialisation of research and/or knowledge. This competition is not about funding basic research.
- A **UK** Project Lead (**UKPL**), who is a UK registered organisation, leading the UK side of the project and communicating with the Malaysian Project Lead. The UKPL can be a business or an RO who can demonstrate a clear route to commercialisation and whose primary focus is on the translation of research and/or knowledge. This competition is not about funding basic research. It is envisaged the UKPL organisation will build a consortium approach between UK stakeholders and Malaysia stakeholders to deliver market-based solutions and are looking for longer-term collaborations with partner countries.

### 1.4.2 Applicants from Malaysia

Eligible Malaysian applicants must be:

- Micro, Small, Medium and Large companies that operate and are headquartered in Malaysia, and/or
- Research centres (ROs), and/or
- Academic organisations (AOs).

Ineligible Organisations:

- Companies headquartered and owned outside Malaysia and their subsidiaries in Malaysia, or vice versa, are not eligible to receive funding from MIGHT under this programme.
- Research centres and academic organisations headquartered and owned outside Malaysia and their subsidiaries in Malaysia, or vice versa, are not eligible to receive funding from MIGHT under this programme.

In the case in Malaysia where business entities are participants in a project, but with no initial involvement in R&D activities, the project must show a plan of how capabilities are going to be developed in the business entity in the following years in order to:

- a) perform future R&D projects
- b) develop the human resource capability within the business
- c) take technologies that are being developed to market
- d) develop new intellectual property
- e) enhance the Malaysian technology based companies ecosystem

### 1.4.3 Applicants from the UK

Eligible UK applicants are:

- UK companies of any size, registered, based and operating in the UK.
- Academic institutions, other research organisations, public sector bodies (that might include city governments for example) and charities/non-profit organisations undertaking research activity in the UK are also eligible to participate as per Innovate UK's funding rules: <https://interact.innovateuk.org/guidance-for-applicants>

UK institutions must be able to demonstrate that the Research and Innovation Bridge will build upon a portfolio of research and development funded either by Innovate UK and/or Research Councils UK or other significant funders, such as the EU and the Wellcome Trust, for example.

#### **1.4.4. Malaysia/UK Partnerships**

- To be eligible for this competition, projects must be focused on industrial research. A full definition of this research category is available here: <https://interact.innovateuk.org/-/funding-rules>. Work packages that include elements of Experimental Development will be considered within projects that predominantly target Industrial Research.
- UK project leads must collaborate with a Malaysian project lead to form a consortium to deliver the project. There is no restriction on the number of partners in either the UK or Malaysia.
- Projects must articulate clear commercial goals and associated commercialisation strategies.
- Proposals must demonstrate the joint Malaysian-UK project team's expertise and capacity to manage the proposed project in their respective countries.
- Building on the principles of a true bilateral partnership, all projects should demonstrate equivalence in effort from the Malaysian and UK partners.
- Successful project participants will be expected to demonstrate that all partners contributing to the R&D project have agreed on IP Rights and the commercialisation plan as part of the final grant agreement process.
- Innovate UK and MIGHT will expect successful project participants to put in place a collaboration agreement amongst all project partners as part of the conditions of taking up the grant offer.

### **1.5 Funding**

MIGHT, Innovate UK and RCUK will implement an integrated, merit-based project evaluation and selection process using their existing assessment processes. MIGHT, Innovate UK and RCUK will then together identify the final list of successful applicants. A positive funding decision for R&D projects that request funds from all organisations will trigger:

- Innovate UK and RCUK to allocate funds to industry, research and other UK participants; and
- MIGHT to allocate funds to Malaysian participants.

Funds will be provided in accordance with the applicable laws, rules, regulations and procedures established by each organisation, and/or in each jurisdiction/country.

Although the individual type and value of individual contributions allocated to a Malaysia-UK R&D project may vary, each bilateral project must demonstrate equivalent total effort from each participating country.

### 1.5.1 Financial support – MIGHT (Malaysia)

The Malaysian funding element will be part of the Newton Fund and therefore Malaysian applicants must be able to demonstrate that there is a clear economic and societal benefit to Malaysia from their proposed project. This is in line with the Newton Fund forming part of the UK Government's Official Development Assistance budget. More details here:

<http://www.newtonfund.ac.uk/about/what-is-oda/>.

**Expected costs:** We expect total Malaysia total eligible project costs to be between £1m and £1.75m although we would consider projects outside of this range.

#### **Proportion of total eligible cost per type of applicant**

- The business proportion of total eligible project costs must be 50% or higher.
- Research organisations, public sector organisations and charities (undertaking non-economic activity) can participate in the project up to a maximum of 50% of the total eligible project costs.

#### **Type of research and percentage of eligible costs funded**

- Projects must be focused on industrial research. A full definition of this research category is available at: <https://interact.innovateuk.org/-/funding-rules>
- Work packages that include elements of Experimental Development will be considered within projects that predominantly target Industrial Research.
- In alignment with Innovate UK's rules, Malaysian businesses can attract the following percentages of eligible costs from public funding for Industrial Research and Experimental Development:

<b>Applicant Business Size</b>	<b>Industrial Research</b>	<b>Experimental Development</b>
Micro/small <sup>1</sup>	70%	45%
Medium	60%	35%
Large	50%	25%

- A Research Organisation (RO) is an organisation that exclusively undertakes research and development, and can be either a public organisation or privately owned organisation. ROs can claim up to 100% of eligible costs. Public Sector Organisations undertaking non-economic activity may also claim up to 100% of eligible costs which are not already being paid by the public sector (for example: labour costs of a full time employee).
- An Academic Organisation (AO) is defined as an Institution of Higher / Tertiary Learning, and can be either a Public Institution of Higher Learning (Institut Pengajian Tinggi Awam or IPTA) or a Private Institution of Higher Learning (Institut Pengajian Tinggi Swasta or IPTS). AOs can claim 80% of their eligible costs.
- All non-business (i.e. not for profit activity) costs must add up no more than 50% of total eligible project costs.

---

<sup>1</sup> SME definition is based on the Bank Negara Malaysia definition for Malaysian applicants.

### **Official Development Assistance (ODA) Compliance**

- All submitted applications must be checked for ODA compliance. Details on ODA compliance for Newton Ungku Omar Fund projects can be found here: <http://www.newtonfund.ac.uk/about/what-is-oda/>.

### **1.5.2. Financial support – Innovate UK (UK)**

The UK funding element will also be part of the Newton Fund and therefore UK applicants must be able to demonstrate that there is a clear economic and societal benefit to Malaysia from their proposed project. This is in line with the Newton Fund forming part of the UK Government’s Official Development Assistance budget. More details here: <http://www.newtonfund.ac.uk/about/what-is-oda/>.

**Expected costs:** We expect total UK project costs to be between £1m and £1.75m although we would consider projects outside of this range.

#### **Proportion of total eligible cost per type of applicant**

- The business proportion of total eligible project costs must be 50% or higher.
- Research organisations, public sector organisations and charities (undertaking non-economic activity) can together claim up to 50% of total eligible project costs.

#### **Type of research and percentage of eligible costs funded**

- Projects must be focused on industrial research. A full definition of this research category for UK applicants is available at: <https://interact.innovateuk.org/-/funding-rules>.
- Work packages that include elements of Experimental Development will be considered within projects that predominantly target Industrial Research.
- As per Innovate UK’s rules, businesses can attract the following percentages of eligible costs from public funding for Industrial Research and Experimental Development:

<b>Applicant Business Size</b>	<b>Industrial Research</b>	<b>Experimental Development</b>
Micro/small <sup>2</sup>	70%	45%
Medium	60%	35%
Large	50%	25%

- ROs including Research and Technology Organisations undertaking non-economic activity) can claim up to 100% of eligible costs (Universities – 80% of Full Economic Costs as determined via the JeS application system); Public Sector Organisations or Charities undertaking non-economic activity: 100% of eligible costs.

---

<sup>2</sup> The definition of micro, small and medium-sized enterprises used by Innovate UK is contained in the European Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (2003/361/EC), which took effect on 1 January 2005 or any subsequent definition provided by the Commission. This can be found at: [http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index\\_en.htm](http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm)

### **State Aid**

- The funding percentages outlined above are compliant with EU State Aid rules.
- For more information on funding and state aid definitions please see:  
<https://interact.innovateuk.org/-/funding-rules>

## **1.6 Process Overview and Timeline for Submission**

This is a two-stage competition that opens for applicants on 30 June 2015:

- Stage 1: Expression of Interest – Applicants collaborate to submit a single application per project which is assessed separately by Innovate UK and MIGHT assessors. Assessment results for Innovate UK and MIGHT will be compared and a joint ranked list of results produced.
- Stage 2: Full Stage – Top ranking applications from Stage 1 will be invited to submit a full stage application and supporting documentation. This will again be assessed separately by Innovate UK and MIGHT Assessors.

Applicants must first register via the Innovate UK website:

<http://tinyurl.com/NewtonMalaysiaUK>

A single application should be submitted in English (either by the UKPL or the MAPL) for each project.

The joint proposal must reflect a combined effort from both the UKPL and MAPL, be written in English, and submitted to Innovate UK using the proscribed process by the stated application submission date 12 noon UK time.

### **Competition Registration:**

Each applicant consortium must nominate one of their 2 Project Leads to register for the competition. The nominated Project Lead must register through the Innovate UK competition website, at least one week before the competition closes.

Upon registration the nominated Project Lead will be emailed an application form template which must be completed in collaboration with their consortium partners in UK & Malaysia.

### **Ineligible/Rejected Applications**

- Applications that do not meet the stated competition eligibility criteria as set out in this document, including ODA compliance.
- Project proposals that are not in the prescribed template. Hand-written or email submission
- Applications submitted to the incorrect organisation or use the incorrect application form for the competition
- Applications submitted after the deadline for submissions as stated in this document.
- Applications in which only one side (i.e. one country) has contributed its part of the proposal/application.
- Applications not submitted in English

Should you require any further information or have any query regarding the joint submission process, please contact the helpdesk for your country for further information – details of which are at the end of this document.

## 1.7 Key Dates

If you are intending to submit an application to this competition, please make a note of the key dates below.

The deadlines below are absolute and final. **Please note that submission deadlines are 12 noon UK time.** Any applications after this time will not be accepted.

Competition opens	30 June 2015
Registration deadline for UK applicants	Noon 30 September 2015
Expressions of Interest (EOI) deadline	Noon 7 October 2015
Stage 2 opens for invited applicants	30 November 2015
Deadline for invited applicants	Noon 27 January 2016
Release date of Competition results	March 2016

### **Important Note:**

***Please do not leave your submission to the last minute.***

If any technical difficulties arise or if you identify any errors in your submission, we will not be able to grant an extension to the above deadlines.

It is your responsibility to ensure you follow the competition guidance rules and in doing so allow sufficient time to complete all of the competition requirements described in this document.

## 1.8 The Assessment and Evaluation Process for this Competition

Innovate UK will operate the competition process on behalf of Innovate UK, RCUK and MIGHT.

### 1.8.1 Competition process

It is the responsibility of the appointed Project Lead to ensure that all of the necessary information for the application has been gathered from UK and Malaysian partners and is uploaded to the Innovate UK secure site prior to the application deadline. If there is specific information missing in an eligible application, Innovate UK may at its discretion contact the applicant point of contact (as indicated in their application form) requesting the missing information within a specified timescale.

Innovate UK will initially screen all the applications received by the application deadline for completeness of information as per the competition guidelines. Applications which do not meet the basic/key criteria as outlined in these guidelines will be excluded from the on-going competition process.

Innovate UK will then share the first-screening eligible applications with MIGHT. These applications will then undergo assessment in their respective countries.

### **1.8.2 Evaluation and selection of R&D projects**

To ensure the effective delivery of the Competition and reinforce the principles of bilateral partnership, MIGHT (for Malaysia) and Innovate UK/RCUK (for UK) will conduct parallel but independent evaluations of all applications based on the project criteria and requirements specified in the competition guidance, followed by a joint review. Together, the funding partners will make a joint recommendation on projects to be shortlisted for funding, based on the feedback and recommendations received from MIGHT (Malaysia) and Innovate UK expert assessors.

Assessors in both countries will review the common application form and associated supporting documentation.

#### **Assessment Process in Malaysia and UK**

All applications will be evaluated by MIGHT and Innovate UK according to a standard assessment process, full details of which are available at: <https://interact.innovateuk.org/-/what-happens-when-you-have-submitted-your-application>

Each application is assessed by up to five independent expert assessors against the same set of gateway and criteria questions. Each assessor completes and submits a score-sheet with comments for each application they assess. A report is then compiled to identify ranked order of all applications.

A panel of independent assessors may be convened to discuss any applications that require clarification around scope, quality, feasibility or fundability. Applicants are not required to attend.

#### **Joint Review**

Following the independent evaluations in Malaysia and UK, a joint review committee will be held, comprising representatives from the Malaysian and UK funding agencies. Final decisions on joint approvals will be made at that time.

MIGHT (Malaysia) and Innovate UK/RCUK will communicate the final decision in writing (via e-mail/letter) to all the MAPL and UKPL applicants respectively.

---

## Section 2

---

### 2.1 Information for applicants

#### 2.1.1 How to apply for this competition



REGISTER

To enter this competition, your project should appoint one of the Project Leads who must register via the competition website at <https://interact.innovateuk.org/>

You will receive an email acknowledgement of your registration immediately and then an additional email containing a username and password for our secure upload facility, along with a unique application form and number. Following your registration acknowledgement, please allow up to 48 hours for receipt of your email application form

**Please note: As stated in the above Key Dates section, the last date to register for a competition is noon UK time, 7 days prior to the close date.**

#### ***Multiple project applications***

If you wish to apply for funding for more than one project, register once and then request additional application forms by emailing Innovate UK's Customer Support Service [support@innovateuk.gov.uk](mailto:support@innovateuk.gov.uk). You will then be able to make separate submissions by completing a unique application form for each separate project, ensuring the appropriate application form is uploaded to the site under the correct application number.

Please note: repeat applications for the same project will be classed as ineligible and not sent for assessment.



DOWNLOAD  
documents

Once you have received your unique username and password, you can log into the secure website to access additional documentation relevant to the competition.



COMPLETE  
documents

#### **Stage 1 – Expression Of Interest**

This stage requires you to submit the following documents:

- EOI Application Form - supplied with your unique application number for this competition

#### **Stage 2 – Full Stage (invited applicants only)**

This stage requires you to submit the following documents:

- Application Form - supplied with your unique application number for this competition

- Project Appendices - (please see Section 3 of this document for more information)
- Partner Finance Form - for every non-academic partner in your project
- Academic Partner Finance Form - for every academic partner in your project (if any)
- Je-S Submission pdf Output Document - for every UK academic partner in your project (if any)

The appendices allow you to provide additional supporting information on your project. The finance forms provide details on your project costs for each partner in your project consortium. For information on eligible project costs and the partner finance forms please click here <https://interact.innovateuk.org/-/project-costs>



Please ensure that you allow plenty of time to upload your completed documents for submission to the competition. Our submission close dates can be very busy which means that upload can take some time. We recommend that you upload your application in plenty of time as the deadline is final.

To upload your application documents, log on to the secure website using the details supplied with your secure username and password. See detailed instructions here: <https://interact.innovateuk.org/-/submitting-your-application>

If repeat applications for the same project are submitted, then only the repeat applications will be ineligible and not assessed.



Once the competition submission deadline is reached, your application is sent for assessment. We will notify the nominated Lead (who registered for the competition) of the outcome of your application on the date stated in the timeline.



You will be able to access feedback on your application from the assessors by logging into the secure site on or after the date published in the key dates section. For further information on what happens after you submit your application please click here: <https://interact.innovateuk.org/-/what-happens-when-you-have-submitted-your-application->

We will give feedback to unsuccessful applicants approximately 4 weeks after you have been notified of the decision. The lead applicant can access the feedback by logging on to the secure website where you uploaded your application documents. It is the responsibility of the lead partner to communicate the feedback with the rest of the consortia. No additional feedback can be provided and there will be no further discussion on the application.

### **2.1.2 Finance forms and project costs**

Information on project finances is available in the guidance 'Your Project Costs' on our website:  
<https://interact.innovateuk.org/-/project-costs>

### **2.1.3 How to find out more (Data Protection Act 1998, Information Security, etc.)**

If you require further information or have a query regarding this competition, please contact the Customer Support Services on:

E-mail: [support@innovateuk.gov.uk](mailto:support@innovateuk.gov.uk)

Tel: 0300 321 4357

---

## Section 3

---

### 3.1 The application form & submission documents

#### 3.1.1. The application form

This section explains the structure of the application form and offers guidance on the information to include in each section.

Submission of a completed application form is mandatory. Applications in any other format will not be accepted. Upon registration, the Project Lead nominated to register on behalf of the applicants will receive a unique application form and user ID for the proposal.

**The Malaysian and UK project leads for a project should ensure that they collaborate with all consortium members to complete the application form and appendices.**

Applications should include a technical, business and financial component. The technical component describes the innovation, gives details of the proposed technical approach and contains a research Program Plan. The business component covers the market analysis, commercialization plans, and benefits to project participants, project organization, and the management plan. The financial component covers the cost of the project, the funding required and why public support is needed.

The proposal will also provide a description of the companies and other participants. It is important to be clear, concise, and to the point when filling each section so to best present the merit of your project in an effective manner.

The structure of the application form is as follows:

- Application details
- Summary of proposed project
- Gateway question: scope
- **Section 1 – The business proposition (4 questions)**
- **Section 2 – Project details (4 questions)**
- **Section 3 – Funding and added value (2 questions)**
- Public description of the project
- Other funding from public sector bodies
- Finance summary table

Sections 1 to 3 of the application form, highlighted above, address specific questions: these are listed in the following tables with guidance notes. When you submit your application form, it will be assessed according to how well it answers the specific questions. Each question has an equal weighting of 10 marks per question.

It is important that you address and respond to each question clearly. To help you, the guidance below provides an explanation of what is required for each question. The guidance notes are not intended to be exhaustive; you should develop your own responses based on your own skills, knowledge and experience.

When completing the application form it is important to take into account that the space provided is to enable you to give the specific amount of information for each question as you feel appropriate

for the application. You are encouraged, therefore, to utilise fully all available space and any appendices at your disposal.

### Key tips

- number the answers to each question
- use headings for the answer to each question

### Important: Please note the following process requirements for the application form:

- You may only use the application form provided. It contains specific information including a unique reference number for your project.
- The application form contains specific fields and it is important that you complete each field and present a fully completed form. Incomplete forms will be rejected.
- The application form must not be altered, converted or saved as a different version of Microsoft Word.
- The space provided in each field of the form is fixed and you must restrict the content of your responses in each of the fields to the space provided. The typeface, font size and colour are predetermined and cannot be changed. Illustrations and graphics cannot be included in the application form. **Please check your completed application form in PRINT VIEW: any text that can't be seen in this view or when the form is printed will not be assessed.**
- The light grey shaded fields are completed automatically from other information entered on the form, e.g. the total columns of a table. These cannot be overwritten.

Application details	
Field	Guidance
Competition title	This field will show the full name of the Competition to which the form applies. You do not need to enter anything here
Project title	Enter the full title of the project.
Project timescales	Enter the estimated start date and its planned duration. These are indicative at this stage and are not guaranteed
UK Project Lead (UKPL) organisation name	Enter the full registered name of the UK lead partner for the project and the company number (as provided by Companies House). <b>Please note that (if your application is successful) the lead organisation will be the main point of contact between the Innovate UK and the UK project team.</b>
UK Project Lead (UKPL) organisation contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between the Innovate UK and the UK Project Lead (UKPL).
Malaysian Project Lead (MAPL) organisation name	Enter the full registered name of the Malaysian project lead (MAPL) organisation for the project and the company number (as provided by Suruhanjaya Syarikat Malaysia (SSM) if applicable.
Malaysian Project Lead (MAPL) contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between MIGHT (Malaysia) and the MAPL.
Appendices	The specific requirements for Appendices are provided in Section 3.3 of this document.

### Summary of proposed project (not scored)

Question	Guidance
Please provide a short summary of the content and objectives of the project including what is innovative about it.	<p>This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and its innovative nature.</p> <p><b>This summary is not scored, but provides an introduction of your proposal for the benefit of the assessors.</b></p>

### Gateway question: Scope (not scored, Yes/No answer)

#### Important note:

If the majority of evaluators/assessors consider that the answer to the Scope Gateway question is 'No', then the application will not be approved for funding. Guidance on the 'Gateway Question: Scope' question is, therefore, critically important and is provided below

Question	Guidance
Gateway question: Scope - How does this application align with the specific competition scope?	<p>All applications must align with the specific competition scope criteria as described in the relevant competition Brief.</p> <p><b>Note:</b> To demonstrate alignment, you need to show that a clear majority of the project's objectives and activities are aligned with the specific competition. In forming their judgment on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to. It is important, therefore, for you to understand fully the background, challenge and scope of the competition, as outlined in this document.</p>

### Section 1: The business proposition

(10 points per question = 40 points in total)

Question	Guidance
1. What is the business opportunity that this project addresses?	<p>Outline the business opportunity and what the project team needs to do to successfully address it within the desired timeframe and cost.</p> <p>Describe the nature of the problems or issues facing you and/or your potential customers and how the intended outputs of the project will address these problems and issues.</p>
2. What is the size of the market opportunity that this project might open up?	<p>Describe the size of the market opportunities that this project might open up, including details of:</p> <ul style="list-style-type: none"><li>• current nature of the specific market(s) at which the project is targeted (for example, is it characterised by price competition amongst commoditised suppliers? Is it dominated by a single leading firm?)</li><li>• the dynamics of the market including quantifying its current size, actual and predicted growth rates</li></ul>

	<ul style="list-style-type: none"> <li>the projected market share for the project outcome, with justification in the light of any potential competitors</li> <li>the potential to create value-added for the UK and/or Malaysia.</li> </ul> <p>Describe and clearly quantify the return on investment that the project could achieve and provide relevant source data references.</p> <p>Where possible, provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p> <p>For highly innovative projects (see question 6) where the market may be unexplored, explain:</p> <ul style="list-style-type: none"> <li>what the route to market could or might be</li> <li>what its size might be</li> <li>how the project will seek to explore the market potential.</li> </ul>
<p>3. How will the results of the project be exploited and disseminated?</p>	<p>List or describe the potential exploitable outputs of the project such as:</p> <ul style="list-style-type: none"> <li>products or services</li> <li>processes</li> <li>applications</li> </ul> <p>Then describe how these outputs will be exploited including, where applicable, the route to market; protection of intellectual property rights; reconfiguration of the value system; changes to business models and business processes and other methods of exploitation and protection.</p> <p>Where helpful to the exchange of best practice, and not damaging to commercial interests, the results from this work should be made public on a voluntary basis and a strategy for dissemination of generic outputs from the funded project should be included.</p> <p><b>PLEASE NOTE:</b> Where <b>UK research organisations</b> are involved in a project and funded for undertaking non-economic activity, we will expect to see evidence in the answer to this question of plans to disseminate their project outputs over a reasonable timescale. The requirement for dissemination of research results intends to secure wider benefit from the higher level of public support given to research organisations. For further information, please click here: <a href="https://interact.innovateuk.org/-/funding-rules">https://interact.innovateuk.org/-/funding-rules</a></p>
<p>4. What economic, social and environmental benefits is the project expected to deliver to those inside and outside of the consortium, and over what timescale?</p>	<p>Explicitly identify all benefits that will accrue inside and outside of the consortium as a result of the proposed project. Truly sustainable development balances economic growth with social impacts and benefits and the protection of the environment.</p>

Benefits to those outside the consortium and to consortium participants should be considered and you should make a clear distinction between the two.

The Newton Fund is part of the UK Government's Official Development Assistance (ODA) funding. To meet ODA funding requirements, grants made under this Newton Fund competition have to be administered with the promotion of the economic development and social welfare of Malaysia as their main objective. More on ODA is available here <http://www.newtonfund.ac.uk/about/what-is-oda/>. This means that in order to be considered for funding, all applications must clearly demonstrate that wider socio-economic benefits will accrue outside of the consortium in Malaysia in a short- to medium-timeframe (3-15 years); and clearly elaborate what those benefits are and to whom.

**Economic** – This is the real impact the organisation has on its economic environment. This is not simply traditional corporate accounting profit, and can include cost avoidance, so you should highlight any expected 'spill over' benefits external to the project, e.g. benefits to users (intermediaries and end users), suppliers, the broader industrial markets and the UK and Malaysian economies. The application should identify and quantify where possible the benefit to each of the beneficiaries.

**Social** - Quantify any expected social impacts, either positive or negative, on, for example, the quality of life, social inclusion/exclusion, education, public empowerment, health and safety, regulation, diversity, and any expected impact on Government priorities. The application should include a sufficiently detailed analysis of social impacts, noting if possible any particular impacts on any particular socio-economic groups.

**Environmental** – Demonstrate how your project will benefit the natural environment as much as possible or at the least do no harm and curtail environmental impact. For example, this could include careful management of energy consumption and reductions in carbon emissions whilst reducing manufacturing and materials waste, rendering waste less toxic before disposing of it in a safe and legal manner (cradle to grave) or re-manufacturing (cradle to cradle).

Section 2: The project details	
(10 points per question = 40 points in total)	
Question	Guidance
5. What technical approach will be adopted and how will the project be managed?	<p>Provide an overview of the technical approach including the main objectives of the work. Describe the main areas of work together with their resource and management requirements.</p> <p>In evaluating this the assessors will consider these questions:</p> <ul style="list-style-type: none"> <li>• is the technical approach and methodology appropriate to the needs of the project and are the innovative steps achievable through the proposed approach?</li> <li>• is the project plan sufficient in comparison to the complexity of the project? For example, is there sufficient detail to understand the tasks involved and the resources required?</li> <li>• is the timing of key milestones realistic?</li> <li>• is there demonstration of sufficient resource commitment and capability to undertake the project?</li> <li>• are clear management reporting lines identified?</li> </ul> <p>Describe rival technologies and alternative R&amp;D strategies and describe why your proposed approach will offer a better outcome.</p> <p><b>You must provide a milestone based project plan for the project. Please submit it using Appendix B, not in the space provided to answer this question. For detailed guidance on what to include in the plan, please see Section 3.4.</b></p>
6. What is innovative about this project?	<p>Identify the extent to which the project is innovative both commercially and technically.</p> <p>In evaluating this section assessors will consider these questions:</p> <ul style="list-style-type: none"> <li>• does it push boundaries over and beyond current leading-edge world science and technology?</li> <li>• is it looking to apply existing technologies in new areas?</li> </ul> <p>Highlight and explain the timeliness and novelty of the research aspects of the project in an industrial and/or academic context.</p> <p>Describe any evidence you have to substantiate your belief that the intended work is innovative. This could include the results of patent searches, competitor analyses, literature surveys etc. If applicable, you should also outline your own background intellectual property rights, as related to the project.</p> <p>You may additionally consider:</p> <ul style="list-style-type: none"> <li>• What is current "best practice"?</li> <li>• What are current limitations to innovation and how will the project overcome them? This is an opportunity to elaborate on the shortcomings that exist in the proposed area of innovation as a prelude to the description of the innovation and how it can overcome these shortcomings. Current limitations could include: high cost, sub-optimal performance,</li> </ul>

	<p>lack of attention to specific market opportunities, e.g. poor suitability to high-or-low-end markets, size, compatibility, nonconformance to standards, etc.;</p> <ul style="list-style-type: none"> <li>• Diagrams and tables could be included in Appendix B to help describe the innovation. What is the patent situation, including background patents and the potential for new patents? Are there any obligations to other agencies which have supported any part of the innovation development?</li> <li>• Which standards relate to the developed product? Will the proposed product meet current and/or emerging standards?</li> </ul>
<p>7. What are the risks (technical, commercial and environmental) to project success? What is the project's risk management strategy?</p>	<p>MIGHT (Malaysia) and Innovate UK both recognise that projects of this type are inherently risky, but seek assurance that the projects they fund have adequate arrangements for managing this risk. Focus, therefore, on the arrangements for managing and mitigating risk as follows:</p> <ul style="list-style-type: none"> <li>• identify the key risks and uncertainties of the project and provide a detailed risk analysis for the project content and approach, including the technical, commercial, managerial and environmental risks as well as other uncertainties (e.g. ethical issues) associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L)</li> <li>• state how the project would mitigate these key risks. You should address all significant and relevant risks and their mitigation</li> <li>• identify key project management tools and mechanisms that will be implemented to provide confidence that sufficient control will be in place to minimise operational risk and, therefore, promote successful project delivery. This should include the arrangements for managing the project team and its partners.</li> </ul>
<p>8. Does the project team have the right skills and experience and access to facilities to deliver the identified benefits?</p>	<p>Describe the track record of the project team members in UK and Malaysia undertaking and exploiting the results of research and development projects, to show your capability to develop and exploit the technology.</p> <p>In evaluating this, the assessors will consider whether:</p> <ul style="list-style-type: none"> <li>• the project team has the right available mix of skills and experience (in both countries) to deliver the project successfully</li> <li>• the project team's formation objectives are clear and if it would have been formed without this funding support</li> <li>• there is additional benefit demonstrated from the collaboration, for example, increased knowledge transfer; and if the consortium is greater than the sum of its parts – how the organisations working together will achieve more than if they were working individually.</li> </ul>

**Section 3: Funding and added value**

**(10 points per question = 20 points in total)**

**Question**

9. What is the financial commitment required for the project?

**Guidance**

Indicate the anticipated project cost making clear the level of contribution from any project participants and the level of funding required from MIGHT (Malaysia), RCUK and Innovate UK. This information should be provided in the financial summary table in the application form.

If a project partner is not proposing to claim grant, then it must still show its costs in the finance summary table and describe them in the answer to this question so that the assessors can evaluate the whole project. However, the detailed finance forms will not be required for UK partners not requesting grant.

Supporting information and explanation for project costs should be provided in this section of the form. Detailed cost information is required in the finance forms for each country. The information and explanation must be consistent with the category of research & development being undertaken within each work package.

**UK partners:** Please see the guidance section of the Innovate UK website for further details on UK funding:

<https://interact.innovateuk.org/-/funding-rules>

**Malaysian partners:** Please see the FAQs at

<http://www.s2a.my/index.php/programs/nuof>

**Important:** If the project spans more than one type of funding (for example, because significant work packages are in both industrial research and experimental development), you must describe and justify the breakdown of costs between them within the answer to this question.

In evaluating this the assessors will consider the following questions:

- Is the budget realistic for the scale and complexity of the project?
- Does the financial support from this competition fit within the limits set by the specific competition?
- Is a financial commitment from other sources demonstrated for the balance of the project costs?
- Has a realistic budget breakdown been provided?
- Have any work package breakdowns been described and justified adequately?

**UK partners:** detailed guidance on eligible and ineligible project costs is provided on the Innovate UK website:

<https://interact.innovateuk.org/-/project-costs>

	<p><b>Please note: For UK Research Organisations, the costs of Post Graduate Research Students are no longer eligible to be included in project costs. This is in line with current Research Council guidelines. Please refer to the guidance via the above link for further details</b></p> <p><b>Malaysian partners:</b> Please see the FAQs at: <a href="http://www.s2a.my/index.php/programs/nuof">http://www.s2a.my/index.php/programs/nuof</a></p> <p>Ensure that all key points relating to the finances of your project that you wish the assessors to consider are included in the main body of your application form, or in the relevant appendix, as these are the key documents used within the assessment process.</p>
<p>10. How does financial support from MIGHT (Malaysia) and the Innovate UK add value?</p>	<p>The project should have an obvious advantage and added value resulting from the technological cooperation between the participants from the two countries (e.g. increased knowledge base, commercial leads, access to R&amp;D infrastructure etc.)</p> <p>You will need to provide evidence that:</p> <ul style="list-style-type: none"> <li>• successful delivery of your project will increase the total amount of money the project team spends on research &amp; development in UK and Malaysia</li> </ul> <p>And either:</p> <ul style="list-style-type: none"> <li>• why the funding is required for the project to be able to proceed</li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>• how MIGHT (Malaysia) / Innovate UK &amp; RCUK funding would allow you to undertake the project differently (e.g. more quickly, on a larger scale etc.) and why this would be beneficial to Malaysia and the UK</li> </ul> <p>The project should demonstrate the contribution of the participants from both countries on an equal base, and the project must be equally significant to both UK and Malaysian participants.</p>

<b>Public description of the project (not scored)</b>	
<b>Question</b>	<b>Guidance</b>
<p>If your application is successful, MIGHT (Malaysia) and the Innovate UK will publish the following brief description of your proposal. <b>Provision of this description is mandatory but will not be assessed.</b></p>	<p>To comply with MIGHT (Malaysia) and UK Government practice on openness and transparency of public-funded activities, MIGHT (Malaysia), Innovate UK and RCUK will publish information relating to funded projects. Please provide a short description of your proposal in a way that will be comprehensible to the general public. Do not include any commercially confidential information, for example intellectual property or patent details, in this summary.</p> <p><b>Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.</b></p>

## UK Partners Finance summary table

<b>Column 1</b> Organisation name	Please provide the full names of the (lead) organisation and any participants in the project consortium (organisation names as noted in Companies House/CIN) on separate rows below.																
<b>Column 2</b> Organisation Registration Number	Companies should provide the Company Registration Number (as noted in Companies House). UK Research Organisations should enter their RC number/Charitable status/legal entity registration number etc.																
<b>Column 3</b> Enterprise Category	<p>Please select your Enterprise Category. SME definition below is based on the EU definition for UK applicants. For other definitions, please check the competition website:  <a href="https://interact.innovateuk.org/-/funding-rules">https://interact.innovateuk.org/-/funding-rules</a></p> <table border="1"> <thead> <tr> <th>Enterprise category</th> <th>Headcount</th> <th>Turnover</th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium sized</td> <td>&lt;250</td> <td>&lt;= €50 million</td> <td>&lt;= €43 million</td> </tr> <tr> <td>Small</td> <td>&lt;50</td> <td>&lt;= €10 million</td> <td>&lt;= 10 million</td> </tr> <tr> <td>Micro</td> <td>&lt;10</td> <td>&lt;= €2 million</td> <td>&lt;= 2 million</td> </tr> </tbody> </table>	Enterprise category	Headcount	Turnover	Balance sheet total	Medium sized	<250	<= €50 million	<= €43 million	Small	<50	<= €10 million	<= 10 million	Micro	<10	<= €2 million	<= 2 million
Enterprise category	Headcount	Turnover	Balance sheet total														
Medium sized	<250	<= €50 million	<= €43 million														
Small	<50	<= €10 million	<= 10 million														
Micro	<10	<= €2 million	<= 2 million														
<b>Column 4</b> Postcode	Please provide the postcode of each organisation participating in the project.																
<b>Column 5</b> Contribution to the project by each organisation (£)	Please list the total contribution to be made to the project by each organisation in £.																
<b>Column 6</b> Funding sought from Innovate UK Value in (£)	Please enter the funding sought from Innovate UK/RCUK for each <b>UK</b> participant organisation in the consortium for this competition in £.																
<b>Column 7</b> Other funding from public sector bodies (£)	<p>Please include any funding for the project from any other public sector bodies which has been applied for separately, and not as part of this competition in £. Funding from other public sector bodies might include other applications to research councils, other government departments, devolved administrations, other public sector organisations and some charities.</p> <p>The purpose of this column is to provide Innovate UK with information on the total public funding for the project.</p>																
<b>Column 8</b> Total (£)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.																
<b>Bottom Row</b> Total (£)	The total of each column will be entered automatically.																

## Malaysian Partners Finance summary table

<b>Column 1</b> Organisation name	Please provide the full names of the (lead) organisation and any participants in the project consortium (organisation names as noted in Companies House/CIN) on separate rows below.																																				
<b>Column 2</b> Organisation Registration Number	Companies should provide the Corporate Identity Number (CIN).																																				
<b>Column 3</b> Enterprise Category	<p>Please select your Enterprise Category. (SME definition below is based on the Bank Negara Malaysia definition for Malaysian applicants). For other definitions, please check the competition website:  <a href="http://www.s2a.my/index.php/programs/nuof">http://www.s2a.my/index.php/programs/nuof</a></p> <p><b>Manufacturing Sector (RM – Malaysian Ringgit)</b></p> <table border="1"> <thead> <tr> <th>Enterprise category</th> <th>Headcount</th> <th>Turnover</th> <th></th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium sized</td> <td>&lt;200</td> <td>&lt;= RM 50 million</td> <td rowspan="3">or</td> <td>&lt;= RM 50 million</td> </tr> <tr> <td>Small</td> <td>&lt;75</td> <td>&lt;= RM 15 million</td> <td>&lt;= RM 15 million</td> </tr> <tr> <td>Micro</td> <td>&lt;5</td> <td>&lt;= RM 300,000</td> <td>&lt;= RM 300,000</td> </tr> </tbody> </table> <p><b>Services and Other Sectors</b></p> <table border="1"> <thead> <tr> <th>Enterprise category</th> <th>Headcount</th> <th>Turnover</th> <th></th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium sized</td> <td>&lt;75</td> <td>&lt;= RM 20 million</td> <td rowspan="3">or</td> <td>&lt;= RM 20 million</td> </tr> <tr> <td>Small</td> <td>&lt;30</td> <td>&lt;= RM 3 million</td> <td>&lt;= RM 3 million</td> </tr> <tr> <td>Micro</td> <td>&lt;5</td> <td>&lt;= RM 300,000</td> <td>&lt;= RM 300,000</td> </tr> </tbody> </table>	Enterprise category	Headcount	Turnover		Balance sheet total	Medium sized	<200	<= RM 50 million	or	<= RM 50 million	Small	<75	<= RM 15 million	<= RM 15 million	Micro	<5	<= RM 300,000	<= RM 300,000	Enterprise category	Headcount	Turnover		Balance sheet total	Medium sized	<75	<= RM 20 million	or	<= RM 20 million	Small	<30	<= RM 3 million	<= RM 3 million	Micro	<5	<= RM 300,000	<= RM 300,000
Enterprise category	Headcount	Turnover		Balance sheet total																																	
Medium sized	<200	<= RM 50 million	or	<= RM 50 million																																	
Small	<75	<= RM 15 million		<= RM 15 million																																	
Micro	<5	<= RM 300,000		<= RM 300,000																																	
Enterprise category	Headcount	Turnover		Balance sheet total																																	
Medium sized	<75	<= RM 20 million	or	<= RM 20 million																																	
Small	<30	<= RM 3 million		<= RM 3 million																																	
Micro	<5	<= RM 300,000		<= RM 300,000																																	
<b>Column 4</b> Postcode	Please provide the postcode of each organisation participating in the project.																																				
<b>Column 5</b> Contribution to the project by each organisation (RM)	Please list the total contribution to be made to the project by each organisation in Malaysian Ringgits (RM).																																				
<b>Column 6</b> Funding sought from MIGHT (Malaysia): Value in (RM)	Please enter the funding sought from MIGHT (Malaysia) for each <b>Malaysian</b> participant organisation in the consortium for this competition in RM (Malaysian Ringgit).																																				
<b>Column 7</b> Other funding from public sector bodies (£)/(RM)	<p>Please include any funding for the project from any other public sector bodies which has been applied for separately, and not as part of this competition in RM. Funding from other public sector bodies might include other applications to research councils, other government departments, devolved administrations, other public sector organisations and some charities.</p> <p>The purpose of this column is to provide MIGHT (Malaysia) with information on the total public funding for the project.</p>																																				
<b>Column 8</b> Total (RM)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.																																				
<b>Bottom Row</b> Total (£)/(RM)	The total of each column will be entered automatically.																																				

## 3.2 Partner Finance Forms

You will be asked to submit a finance form for each industry and academic participant in your project, which provides more detailed information on the total costs listed in your finance summary table.

## 3.3 Project appendices – applicable to both Malaysian and UK applicants

Appendices can be submitted, and are in some cases mandatory, for this competition.

Appendices must be submitted with the application form. It is important to note that these are intended to contain supporting information and not substantive elements of answers to the application form questions. Do not, therefore, use the appendices as an overflow to the application form.

In order that evaluators/assessors can open and read the appendices, **for all applications** each appendix must:

- conform to the maximum length specifications listed below
- be submitted in Portable Document Format (.pdf)
- be legible at 100% zoom/magnification
- display prominently the 'Project title' as entered on page 1 of the application form
- be named as per the specifications given in the guidance 'Submitting your Application' click here: <https://interact.innovateuk.org/-/submitting-your-application>

If you submit appendices longer than specified below, they will be truncated and the excess discarded. Appendices may be printed or photocopied in black and white, so colour should not be used as the sole method of conveying important information.

Appendix	Guidance
<b>Appendix A</b> <b>Up to 5 sides of A4</b>	Use Appendix A to provide additional information to support Section 1 of the application form: The Business Proposition. You may wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans.
<b>Appendix B</b> <b>Up to 5 sides of A4 (7 sides of A4 for academic and business applications)</b>	<p><b>A project plan is Mandatory for this application, and must be included in this section.</b></p> <p>Use Appendix B to provide further information to support Section 2 of the application form: The Project Details. You may include, for example, a Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation.</p> <p>Academic and business applications may submit an additional 2 A4 sides for additional assessment information particularly for academics, such as the Pathways to Impact and Research Excellence. Please refer to separate guidance on your Project Costs for more information using the link below.</p>
<b>Appendix C</b> <b>Up to ½ side of A4 for each partner and subcontractor</b>	Use Appendix C to provide details of the specific expertise and track record of each project partner and each subcontractor to address Question 8 of the application form. Academic collaborators may wish to refer to their research standing.

### 3.4 Project Plan

In addition to your response to Question 6 on the application form, you are required to submit a mandatory project plan as part of Appendix B.

For UK partners, a more detailed project plan will be required by Innovate UK for monitoring project progress.

For Malaysian partners, a more detailed project plan will be required by MIGHT (Malaysia) for review and monitoring of project progress.

The project plan should consist of:

- A chronological schedule of project activities presented in graphical form (e.g. Gantt chart on one page), clearly indicating the estimated time required for the completion of each main task in addition to milestones. Specific participant assignments for each task should be identified in the Project Plan even if this information was provided elsewhere, and task assignments for subcontractors and consultants should be separately identified and described with location of work;
- A Work Breakdown Structure (WBS) detailing the planned time commitment for each task, covering the same project duration (see example in Table 1);

**Table 1: Example Work Breakdown Structure and Estimated Effort**

Task #	Title	Task Description	Start Date	End Date	Effort Days
1000	<b>Phase 1</b>				
1100	<b>Project Management</b>				
1110	Project Management and support	Plan and monitor project activities and progress Implement and monitor subcontracts Monthly and quarterly reports			70 Participant A
1120	Meetings	Kick-off meeting Quarterly review meetings			10 each
1200	<b>High-Level System Requirements and Design</b>				
1210	System requirements and design	Overall system requirement specifications Overall system conceptual architecture and design System components definition			60 Participant A 20 Participant B
1300	<b>Data Plan</b>				
1310	Data planning, acquisition and preparation	Data planning Data acquisition Data preparation and processing			20 Participant A 20 Participant C
1320	Model data integration	Integrate data into models Test models and analyze outputs			40 Participant A 40 Participant C
1400	<b>Model identification and definition</b>				
1410	Application crop model implementation	Model identification, development and testing			60 Participant A 60 Participant C
1420	Integrated intelligent model implementation	Model identification, development and testing Establish and test system communication			80 Participant A 10 Participant B
1430	Product generation model implementation	Model identification, development and testing			40 Participant A 10 Participant B
1500	<b>Hardware and Software Identification and Acquisition</b>				
1510	Sensors	Identify and purchase sensors Install, test and maintain sensors			10 Participant A 40 Participant C
1520	Software acquisition	Software development and testing			10 Participant B
1600	<b>Commercialization requirements</b>				
Total Effort (Person Days)					XX Participant A YY Participant B ZZ Participant C AA Participant D

### 3.5 Project Finances

In addition to the application form and appendices, you must submit a project budget / finance form for every partner in your project consortium applying for grant.

Participants should use the standard Innovate UK finance forms provided as part of the application form and submit the details in GBP (£).

Funding of the project begins from the effective start date agreed in the signed grant confirmation letter / project funding agreement. Expenses incurred by the participants prior to the effective start date of the project cannot be restructured to fit into the eligible expenditure for reimbursement.

**UK partners:** information on project finances is available in the guidance 'Your Project Costs' on our website: <http://www.innovateuk.org/competitions/guidance-for-applicants/project-costs.ashx>

**Malaysian partners:** information on project finances is available in the FAQs at <http://www.s2a.my/index.php/programs/nuof>

### 3.6 Exchange Rate

For the purposes of this competition. The stated exchange rate UK £ to Malaysian Ringgit (RM) is:

**UK £1 = Malaysian Ringgit 5.90667**

*Note: this exchange rate must be used in any calculations by applicants at all times during the competition process.*

### Contact Information

MALAYSIA	UNITED KINGDOM
<a href="http://www.might.org.my">www.might.org.my</a>	<a href="https://interact.innovateuk.org">https://interact.innovateuk.org</a>
Malaysian Industry Government Group for High Technology 3517, Jalan Teknokrat 5, 63000 Cyberjaya  Competition: +603 8315 7888: Email: <a href="mailto:kavin@might.org.my">kavin@might.org.my</a>	Innovate UK North Star House North Star Avenue Swindon SN2 1UE Wiltshire  Competition helpline: 0300 321 4357 Email: <a href="mailto:support@innovateuk.gov.uk">support@innovateuk.gov.uk</a>