



Research Excellence & Innovation Grant- Strengthening Industry-Academia Partnership (REIG-SIAP)

“SECURING WATER FOR SHARED PROSPERITY”

GUIDELINE FOR APPLICANTS

(February 2020)

**Research Excellence & Innovation Grant-Strengthening Industry-Academia
Partnership (REIG-SIAP)**

UCSI University reserves the right to modify these guidelines at any time without notice

**RESEARCH EXCELLENCE & INNOVATION GRANT-STRENGTHENING
INDUSTRY-ACADEMIA PARTNERSHIP (REIG-SIAP)
GUIDELINE FOR APPLICANTS**

TABLE OF CONTENTS

1. INTRODUCTION	4
2. OBJECTIVES	4
3. PRIORITY AREAS	4
4. ELIGIBLE APPLICANT	4
5. ELIGIBILITY CRITERIA	6
6. APPLICATION PROCESS	7
7. QUANTUM AND DURATION OF FUNDING.....	9
8. SCOPE OF FUNDING	9
9. EVALUATION CRITERIA.....	13
10. PAYMENT	14
11. PROJECT MONITORING.....	14
12. OWNERSHIP AND USE OF R&D EQUIPMENT	16
13. INTELLECTUAL PROPERTY RIGHTS.....	16
14. INCENTIVE FOR INTELLECTUAL PROPERTIES	16
15. TERMINATION.....	17
16. EXPENDITURE STATEMENTS AND UNEXPENDED GRANT	18
17. MALAYSIAN CODE OF RESPONSIBLE CONDUCT IN RESEARCH	18
18. ETHICAL APPROVAL, INSTITUTIONAL BIOSAFETY COMMITTEE (IBC) APPROVAL/NOTIFICATION AND COMPLIANCE TO OTHER RELATED REGULATIONS.....	18

1. INTRODUCTION

In line with UCSI SIAP Conference in Strengthening Industry-Academia Partnership, the UCSI University Center for Research, Value Innovation and Entrepreneurship (CERVIE) has initiated the REIG-SIAP which is open to businesses and researchers interested in obtaining a matching fund to carry out projects for water security, economic growth and societal benefit.

Proposed projects should be well- designed, scientifically valid, and competitive with current technologies and research works. The project output shall be new products, processes or systems by which value can be created for customers, businesses and society.

2. OBJECTIVES

2.1 The aims of the REIG-SIAP Fund are:

2.1.1 to undertake experimental development towards commercialisation of solutions towards water related issues; and

2.1.2 to stimulate the growth, increase capability and capacity following cross collaboration efforts between Industry and the UCSI University.

3. PRIORITY AREAS

3.1 The proposed projects must be within the framework of the priority areas as follows and the details as stated in **Appendix 1**:

3.1.1 Water and Wastewater Management;

3.1.2 Water in Food Security;

3.1.3 Water in Manufacturing Industries;

3.1.4 Water Issues in Health and Tourism;

4. ELIGIBLE APPLICANT

4.1 The fund is open to **UCSI academic staffs in collaboration with related industrial partners.**

4.1.1 Related industrial partners refer to companies registered with the either of the following bodies:

- I. Companies Commission of Malaysia (SSM) either under Registration of Company Act (1965) or Limited Liability Partnerships (LLP) Act 2012; or
- II. Respective authorities or district offices in Sabah and Sarawak; or
- III. Respective statutory bodies for professional service providers.

4.2 Proposals must include collaboration between CERVIE/UCSI University and related industrial partners.

5. ELIGIBILITY CRITERIA

5.1 All categories of companies must have a minimum of **51% equity held by Malaysians**.

5.2 Companies must be in **operation for at least 2 years** from date of application. Companies shall provide audited financial report as proof. Start-up Company can be considered on case by case basis.

5.3 None of the **company directors or project team members** have been convicted of any fraudulent activities or the company has been declared bankrupt, under liquidation or placed under receivership.

5.4 Only **UCSI University academic staff can be the leader of the project**.

5.5 **Academic staff** working under **contract** with CERVIE/UCSI University and related industrial partners must ensure that their **employment contract is still valid during the project duration**.

5.6 The project team should consist of members who are qualified and competent on the technical aspects of the whole project. Each team member must provide a curriculum-vitae clearly stating their previous research and highlighting their experience and achievements.

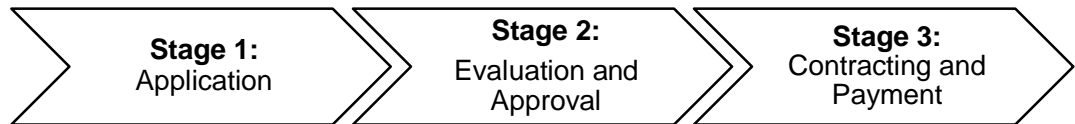
5.7 Applicants are allowed to **lead only one project at any time**.

5.8 Projects must be **conducted in Malaysia**.

5.9 Elements of experimental development **potentially leading to commercialisation** is highly encouraged.

6. APPLICATION PROCESS

6.1 There are three (3) stages to the REIG-SIAP application as shown below:



6.2 **Stage 1: Application** process are as follows:

- 6.2.1 The application starts with **submission of the full paper proposal**.
- 6.2.2 Full proposal submission shall be submitted by signed hardcopy to CERVIE/UCSI University and by emailing the signed softcopy to the manager of CERVIE/UCSI at hongsl@ucsiuniversity.edu.my. Applicants and collaborators must provide documents as listed in **Appendix 2**.
- 6.2.3 In the application, applicant needs to provide a concise **summary of their project** which should ideally answer the following questions:
 - 6.2.3.1 What are the problems being addressed?
 - 6.2.3.2 How to solve the problem?
 - 6.2.3.3 Who will benefit from your solution?
 - 6.2.3.4 What are the anticipated outcomes?
 - 6.2.3.5 What are the potential impacts?

6.2.4 The proposal submitted will then be vetted by CERVIE to ascertain whether the application and documents submitted fulfils **all** basic requirements. Incomplete or non-eligible proposal will be returned to the applicant.

6.3 **Stage 2: Evaluation** process is as follows:

6.3.1 The complete proposal will be **reviewed** by CERVIE/UCSI University for elements of their commercial potential and technical aspect.

6.3.2 **Applicants** will be invited to **present (pitch)** their full paper proposal to the CERVIE/UCSI University. The applicant may be required to amend or revise the full paper to improve the proposal. In some instances, **due diligence may be required** after the evaluation process for verification purposes.

6.3.3 Once due diligence has been carried out, **results** will be **assessed** by CERVIE/UCSI University for approval.

6.3.4 Decisions made by the Approval Committee is **FINAL** and **any appeal on the results will not be entertained.**

6.3.5 The overall application and evaluation process including notification of results will take approximately **30 days** after all responses and information have been received from the applicant.

6.4 **Stage 3: Contracting and Payment Process** are as follows:

6.4.1 Fund recipients are required to submit letter of acceptance upon receiving the offer letter from CERVIE/UCSI University. Heads of the fund recipient companies are required to sign the Project Agreement.

6.4.2 The signed agreement will then be signed by CERVIE/UCSI University's top management and the agreement will be sent back to the fund recipient for stamping.

6.4.3 Activity 6.4.1 and 6.4.2 are expected to be completed within **30 days**. Once the Secretariat has received the stamped agreement, the first payment to the fund recipient will be processed.

6.4.4 Memorandum of Understanding/ Letter of Intent between collaborating Institutions **must accompany the application**. However, should the grant be approved, an **agreement between the collaborating parties** stating the respective scope of work,

ownership of IP and all equipment purchased during the tenure of the project must be submitted to the Secretariat **within 30 days** from the date of the offer letter, failing which CERVIE/UCSI University has the right to revoke the approval.

7. QUANTUM AND DURATION OF FUNDING

7.1 CERVIE/UCSI University would co-fund the project based on merits of each application, not exceeding the quantum on RM50,000.00 on UCSI University's side. No maximum cap amount will be imposed on the industrial partner's contributions.

7.2 Successful application will be funded for maximum project duration of 24 months.

8. SCOPE OF FUNDING

8.1 The scopes of funding for REIG-SIAP are as stated in Table 2:

Table 2: Scope of Funding for REIG-SIAP

Scope	Notes
Vote 11000	Salary & Wages Allowance for research assistant Not more than RM1,100 per month for a maximum of up to 12 months
Vote 21000	Travelling & Transportation Not more than 40% of the Grand Total Only allowed for travelling such as in field trips and research collaboration meetings
Vote 24000	Rental Rental for equipment, software or lab space related to research. Justifications for rental must be provided.
Vote 27000	Research Materials & Supplies Research materials and supplies Stationeries are allowed

Vote 29000	<p>Professional Services / Consultancy Not more than 10% of the Grand Total Article processing charge is allowed (for SCOPUS, ISI, WOS, ERA, and MyCite indexed journals only) or fee of the product related to the production of the creative output</p>
Vote 35000	<p>Accessories & Equipment Equipment (which includes analysis software) not more than RM5,000. Quotations must be provided. Assets belong to the University at the end of the project. Strong justification must be provided with the approval from the dean. Electronic devices may be considered with strong justification provided and with the approval from the dean.</p>

Application for vote virement is allowed only once for every REIG-SIAP project, and is subject to approval by the Director of CERVIE.

9. EVALUATION CRITERIA

The criteria used for the evaluation right from the beginning will consider the following aspects as in Figure 2.

Figure 2: REIG-SIAP's Evaluation Criteria

<p>Commercial</p> <ul style="list-style-type: none"> i. Competitive advantages ii. Market potential and demand iii. Appropriateness of time to market iv. Sustainability v. Diffusion vi. Cost Effectiveness vii. Marketing Strategy / Business Model viii. Standard and Certification (if applicable) 		<p>Technical</p> <ul style="list-style-type: none"> i. Proof of concept ii. Uniqueness / Innovativeness / Inventiveness of technology iii. Viability of project objectives & Appropriateness of methodology iv. Scalable Potential/Manufacturability v. Regulatory and Standard compliance 		
<p>Social Impact</p> <ul style="list-style-type: none"> i. Affordability ii. Creation of Skill Employment and Knowledge Worker iii. Problem Solving iv. Improvement of safety v. Conducive work and living environment 	<p>Economic Impact</p> <ul style="list-style-type: none"> i. Cost reduction ii. Optimum consumption of resources iii. Export potential iv. Increasing productivity and quality of product/services 	<p>Environmental Impact</p> <ul style="list-style-type: none"> i. Ecological/Carb on Footprint ii. Circular Economy iii. Compliance with environment quality act iv. Optimise usage of resources 	<p>Financial</p> <ul style="list-style-type: none"> i. Potential to generate return on investment ii. Value for money iii. Financial Sustainability 	<p>Management</p> <ul style="list-style-type: none"> i. Professional qualification / Experience of project leader & Team Member ii. Relevancy of key milestones iii. Risk Management

10. PAYMENT

- 10.1 The payment mode of approved application(s) will be based on Single Lump Sum Disbursement.
- 10.2 The initial payment will be paid after signing of agreement.

11. PROJECT MONITORING

- 11.1 The fund recipient is required to **submit periodic reports based on milestone** (technical and audited financial reports) and documents as specified in the REIG-SIAP Agreement. If the project shows non-compliance to the agreement and non-adherence to timelines, CERVIE/UCSI University reserves the right to suspend or withdraw the funding.
- 11.2 Monitoring activities may include **site visits** and meetings to assess progress of the project.
- 11.3 Project shall not begin until the project agreement has been signed by both parties and document stamped. Cost incurred for all activities prior to signing of the agreement is not claimable and not considered as part of project costs.
- 11.4 **End of Project Report (EOP) and audited financial report** should be **submitted within three (3) months** after project completion. All output of the project must acknowledge CERVIE/UCSI University's contribution as a fund provider. The End of Project Report shall have the following information:
- 11.4.1 Deliverables and direct outputs of the project;
 - 11.4.2 Achievement of the original project objectives;
 - 11.4.3 Commercialisation/ technology transfer plan;
 - 11.4.4 Benefits of the project;
 - 11.4.5 National impacts of the project; and
 - 11.4.6 List of equipment/facilities purchased.

- 11.5 CERVIE/UCSI University reserves the right to request for periodic information on the progress or to invite for seminar presentation and exhibition or to conduct site visits even after the project has been completed.
- 11.6 All variation is subjected to CERVIE/UCSI University's approval. The fund recipient needs to **submit an application in to CERVIE/UCSI University for approval before the variations are made.**

12. OWNERSHIP AND USE OF R&D EQUIPMENT

- 12.1 All R&D equipment purchased under the grant must be recorded and tagged with the project number for monitoring and verification purposes. The equipment belongs to the fund recipient and the maintenance of the equipment is under the responsibility of the fund recipient once the project has been completed. However, such equipment are not for the sole use of the fund recipient, and must be made available to other researchers as and when the need arises.
- 12.2 Equipment purchased using REIG-SIAP shall not be sold and transferred within 2 years after project completed.

13. INTELLECTUAL PROPERTY RIGHTS

- 13.1 The end products developed under the REIG-SIAP are **encouraged to be registered under Intellectual Property laws and Regulations (if necessary).**
- 13.2 The IP rights of the project shall be **wholly owned by the recipients** as specified in the REIG-SIAP's Agreement.
- 13.3 All Intellectual Property derived under REIG-SIAP may be transferred to other party/parties if the project has been completed and all ownership of Intellectual Property has been granted to the recipient, subject to prior approval from CERVIE/UCSI University.
- 13.4 Any provisional activities using the output of the project should acknowledge CERVIE/UCSI University as the fund provider.

14. TERMINATION

- 14.1 CERVIE/UCSI University reserves the right to withdraw the grant in the event of the following:
- 14.1.1 Any false information provided by the recipient.
 - 14.1.2 Changes in scope of the project without the prior written consent of CERVIE/UCSI University;
 - 14.1.3 Change of project leader without the prior written consent of CERVIE/UCSI University;
 - 14.1.4 Any misuse of grants;
 - 14.1.5 Achievement / progress are not as specified in the Agreement of the Fund; and
 - 14.1.6 Any breach of the agreement.
- 14.2 Upon termination by CERVIE/UCSI University, recipients are required to pay back the amount of fund that has been disbursed.
- 14.3 CERVIE/UCSI University reserves the right, at any time, to review, suspend or withdraw approval of any grant or payment if such measures are deemed necessary; and
- 14.4 CERVIE/UCSI University reserves the right to make a claim against the recipient for any losses incurred as a result of any default by the recipient as specified in the agreement.

15. EXPENDITURE STATEMENTS AND UNEXPENDED GRANT

- 15.1 CERVIE/UCSI University reserves the right to request the grant recipient to submit a statement of expenditure at any time during the course of a grant, or to provide supplementary information in support of an interim or final expenditure statement.
- 15.2 The fund recipient must return the unexpended grant (disbursement mode) to CERVIE/UCSI University **within three (3) months after the completion of the project. For terminated projects, fund recipient shall return the amount disbursed to CERVIE/UCSI University within one (1) month from date of termination notice.**

16. MALAYSIAN CODE OF RESPONSIBLE CONDUCT IN RESEARCH

Everyone involved in the project shall comply with the principles and practices as stated in the Malaysian Code of Responsible Conduct in Research.

17. ETHICAL APPROVAL, INSTITUTIONAL BIOSAFETY COMMITTEE (IBC) APPROVAL/NOTIFICATION AND COMPLIANCE TO OTHER RELATED REGULATIONS

- 17.1 Project Leader must obtain and furnish a copy **of approval from** relevant authorities when necessary.
- 17.2 For a project which requires **tests on human beings or animals**, the Project Leader must obtain and furnish a copy of **ethical clearance**.
- 17.3 For a project involving **living modified organisms (LMOs)**, the Project Leader must obtain and furnish a copy of **clearance by the appropriate/ relevant Institutional Biosafety Committee** and also a submission of notification or submission of application for approval to the National Biosafety Board.
- 17.4 Information on the use of biological resources and associated traditional knowledge must also be furnished by filling in the form as in **Appendix 3**.

REIG-SIAP's Priority Areas

Priority Area	Examples of Thematic Areas	Gaps
Area 1	Water and Wastewater Management	Develop and enhance local industrial alternatives for water and wastewater treatment using cross cutting technology and utilizing advanced chemistry, robotics, sensors, real-time data systems.
Area 2	Water in Food Security	Moving towards a more robust food system for the nation which aims to eradicate food shortage whilst developing a low carbon, resource efficient, sustainable and competitive economy.
Area 3	Water in Manufacturing Industries	Developing and providing access to quality and quantity of water source specific to the needs of the industry.
Area 4	Water Issues in Health and Tourism	Improve water quality by healthcare technologies application using future therapies, frontiers of physical intervention and optimising treatment.

List of Documents

Companies		Type of Documents	Mode of submission	Applicant	Collaborator (if applicable)
1	Completed and signed REIG-SIAP application form	Both Hardcopy and Softcopy	<i>Hardcopy:</i> Submit to CERVIE/UCSI office <i>Softcopy:</i> Email to hongsl@ucsiuiversity.edu.my	√	
2	Latest SSM Search (Corporate Information)	Softcopy	Email to hongsl@ucsiuiversity.edu.my	√	√
3	Curriculum Vitae of project team members			√	√
4	Ethical / biosafety approval (if applicable)			√	
5	One quotation for each equipment listed to be purchased			√	

INFORMATION ON USE OF BIOLOGICAL RESOURCES AND ASSOCIATED TRADITIONAL KNOWLEDGE (IF RELATED)

1. Were biological resources or traditional knowledge associated with biological resources or information relating thereto utilised in the invention applied for.

Yes No

2. If yes, provide details:

- i. Country :
- ii. State :
- iii. Permit date :
- iv. Benefit sharing agreement date:

A certified copy of the permit accompanies this form.

3. Date of notification of this application for a patent to the National Competent Authority under the Access to Biological Resources and Benefit Sharing Act 2016.

A certified true copy of the receipt of the notification accompanies this form.