

# **Nano and Advanced Materials Institute Ltd.**

## **R&D Projects: Application, Review and Vetting Procedures**

*Please note: All items are subject to change if necessary.*

### 1. Preamble

#### 1.1. Project Objectives -----

The research and development (R&D) projects sponsored by Nano and Advanced Materials Institute Ltd. (NAMI) should target market-driven products that are scheduled to appear in the market and/or expected to possess strong IP position with multiple licensees.

#### 1.2. Scope of R&D Project -----

NAMI will focus on market segments in the areas of nanotechnology and advanced materials that are suitable for HK and Mainland companies. These may generally fall into the following five Market Sectors:-

- a) Energy;
- b) Electronics
- c) Environmental
- d) Construction
- e) Healthcare

#### 1.3. Industrial Partnership -----

Each R&D project shall be supported by an industrial champion(s) who provides cash matching funds, business plan, manufacturing logistics, and marketing plan, taking the product from conceptualization to market.

### 2. Classification of Projects

#### 2.1. General Schemes -----

The research and development (R&D) projects sponsored by NAMI are classified into the following three categories:

- “Platform research projects” refer to those projects that are primarily aimed to benefit the industry or a certain sector of industry in a general manner. There should be at least one industrial partner making cash contributions to the project. The aggregate industry cash contributions should constitute at least 10% (flexibility may be allowed for highly meritorious projects) of the

total project cost, and such contributions should be made available at the commencement of the project.

- “Collaborative research projects” refer to those projects having an R&D objective that is consistent with NAMI’s technology roadmap in the five market sectors. The industrial partner should make a cash contribution that constitutes no less than 30% (flexibility may be allowed for highly meritorious projects) of the total project cost.
- “Contract research projects” refer to those projects initiated by a company to commission NAMI to conduct research for its own particular needs. The company pays NAMI the full cost for the R&D work, including overhead (to be determined by the NAMI Board of Directors).

### 3. Review and Vetting Procedures

#### 3.1. General Vetting Criteria -----

The vetting criteria for project proposals will generally follow the Assessment Framework in the Innovation and Technology Support Programme-Guide to Filling in the Application Forms which will be updated by Innovation and Technology Commission from time to time:-

The assessment framework comprises 7 components. Their weightings are as follows-

- (a) Innovation and Technology Component(20%);
- (b) Technical Capability(20%);
- (c) Financial Considerations(16%);
- (d) Existence of a Holistic Plan to Realisation/Commercialisation(16%);
- (e) Relevance with Government Policies or in Overall Interest of the Community(12%);
- (f) IP Rights and Benefit Sharing(8%);and
- (g) Management Capability(8%)

For Contract Research projects, no vetting shall be required.

#### 3.2. Proposal Handling Procedure -----

Once a project proposal is submitted, it will be reviewed by Technology Directors of NAMI and External Reviewers where necessary. The review comments and recommendation will be forwarded to the NAMI’s Technology Committee (TC) for vetting. The final approval of project will rest on the Commissioner for Innovation & Technology (CIT).

## 4. Application Procedure and Schedule

### 4.1. Indication of Intention for Proposal Submission -----

Before submitting the official proposal, the applicants are required to fill a concise 2-page form of “Indication of Intention for Proposal Submission”. The purpose of this form is to help NAMI officers to determine whether the intended project matches with the scope and objectives of NAMI R&D project funding schemes. After this preliminary evaluation form, NAMI may give suggestions to the applicant for proposal preparation or direct the applicant to another R&D centre. For selected applications, applicants will be informed to submit full proposal. It should be noted that the submission of “Indication of Intention for Proposal Submission” is mandatory, without which the applicants cannot proceed to submit proposals. The electronic copy of “Indication of Intention for Proposal Submission” can be downloaded from NAMI website at <http://www.nami.org.hk>.

### 4.2. Submission of Proposals -----

The proposals should be submitted to ITC’s on-line system *ITCFAS*, which is an internet-based information system for electronic submission of proposals, on-line management of approved projects and dissemination of project outcomes. It should be noted that, regardless whether the applicants have previous user accounts with *ITCFAS* or not, the applicants should register a new user account associated with NAMI at *ITCFAS*. The applicant may visit the *ITCFAS* website at <https://www3.itf.gov.hk> for more details.

### 4.3. Contract Research Projects -----

These projects should be highly product-oriented, market-driven and technology ready. The sponsoring company shall contribute 100% of the project cost (including overhead). This category of proposals will be collected all year round for internal review. No vetting by the NAMI TC shall be required.