

# **BRUNEI RESEARCH COUNCIL (BRC)**

## **Research Funding Guidelines**

## GUIDELINE REVISION CONTROL

No.	Amendment	Description	Effective Date
1.	-	Initial Publication	October 2017
2.	Annex F – Eligible Expenses	Allowance for local and international graduate students no longer eligible under BRC	December 2017

The Brunei Research Council (BRC) reserves the right to modify this guideline at any time without prior notice.

# Purpose of this Document

This document provides practical information to potential applicants in preparing and submitting an application for a Brunei Research Council (BRC) Grant or Funding Programme.

The document is divided into the following different parts:

1. BRC Grants
2. Grant Application and Administration
3. Evaluation and Selection of Grant Proposals
4. Successful Applicants
5. Post-Award Grant Administration
6. Annexes

The contents of the present document are based on the Financial Regulations of the Government of Brunei Darussalam and its Governmental Orders. This document does not supercede any such existing policies and is also governed by the Laws of Brunei Darussalam. Should there be any discrepancies between aforementioned regulations, policies, guidelines or laws, and this document, the former will prevail. The Brunei Research Council, the Brunei Research Council Secretariat or any person or body acting on their behalf cannot be held responsible for the use made of this document.

**Conduct of grantees in relation to BRC-funded projects shall be governed by this document. Failure to comply are grounds for termination and withdrawal of the BRC funding. The BRC reserves the right to select, approve, modify, terminate, withdraw and perform other such action in relation to the BRC funding and projects funded at its discretion.**

This Research Funding Guidelines document may be further modified based on the experiences gained from preceding calls for proposals, on changes applied to the grants and the submission processes, or for other reasons as may be required.

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# 1. BRC Grants

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## 1.1 Areas of Funding

1.1.1 The Brunei Research Council (BRC) funds are aimed at fostering research and development in science, technology and innovation to support national development efforts towards realising “Wawasan Brunei 2035” and beyond. It is presently focused on the generation of economic output to support economic diversification and sustainability.

1.1.2 The BRC’s funds are currently focused on projects with high commercial value and have high potential to be translated into commercial output in the following four (4) priority research clusters:

- a) Food Sciences and Technology
- b) ICT and Digital Economy
- c) Health and Biotechnology
- d) Energy

However, should there be projects outside these priority research clusters with high commercial value and high potential to be translated into commercial output, then they may also be considered based on the merits of the project(s). The priority research clusters may be updated from time-to-time depending on the national priorities at the time.

1.1.3 The types of activities funded by the BRC and the purposes of BRC funding vary. Consequently, the degree of BRC responsibility for, and management control of, such activities also varies. BRC traditionally uses grants for R&D and other support activities.

## 1.2 BRC Grant Periods

1.2.1 **START DATE** is the date specified in the grant notice on or after which, except for fixed amount awards, expenditures may be charged to the grant. The start date used by BRC is either the 1st or the 15th day of the month, unless otherwise specified in the grant notice.

1.2.2 **END DATE** is the date specified in the grant notice after which expenditures may not be charged against the grant except to satisfy obligations to pay allowable project costs committed on or before that date. The end date is the last day of a month.

1.2.3 **AWARD DATE** is the date when the BRC award is signed by the relevant BRC Official(s) or any such representative as may be assigned. Award shall also be conditioned upon signing of the relevant Grant Agreement(s) by the BRC and the Grantee.

## 1.3 Types of Funding

1.3.1 The BRC offers three (3) different types of funding schemes as follows:

- a) Applied Research Fund
- b) Industrial Research Fund
- c) Research and Development (R&D) Commercialisation Support Programme

### 1.3.2 Applied Research Fund

The **Applied Research Fund** funds research involving the use of scientific knowledge that is conducted to develop new products and services that has high return on investment (ROI) or commercial potential.

The fund is open to all researchers who are employed on a permanent or contractual basis from the following organisations such as:

- a) Brunei based Institutes of Higher Learning (IHLs)
- b) Brunei based Research Institutes (RIs)
- c) Government agencies (subject to collaboration with IHLs or RIs)
- d) Non-profit organisations (subject to collaboration with IHLs or RIs)

The maximum BRC funding for each research project under the Applied Research Fund amounts to BND 300,000.00.

The project duration, including completion of Final Report and all miscellaneous project activities, shall not exceed two (2) years.

### 1.3.3 Industrial Research Fund

The **Industrial Research Fund** is a 50:50 cost sharing grant that funds R&D activities directed at producing new products, technologies and/or services, or to improve existing products, technologies and/or services in industrial sectors for the purpose of commercialisation.

The Industrial Research Fund is open to:

- a) Private companies locally registered as Private Limited Companies (*Sendirian Berhad*)
- b) Foreign companies / institutes of higher learning (IHLs) / research institutes (RIs) in joint-venture or partnership with any of the following local entities based in Brunei Darussalam:
  - (i) Local companies registered as *Sendirian Berhad*

- (ii) Institutes of Higher Learning (IHLs)
- (iii) Research Institutions (RIs)
- (iv) Government agencies
- (v) Cooperatives
- (vi) Non-profit organisations

The maximum funding for each research project under the Industrial Research Fund amounts to BND 2,000,000.00.

The project duration, including completion of Final Report and all miscellaneous project activities, shall not exceed two (2) years.

#### 1.3.4 **Research and Development (R&D) Commercialisation Support Programme**

The **Research and Development (R&D) Commercialisation Support Programme** is to assist in commercialisation of R&D outputs and revenue generating activities from these outputs in the form of monetary support and providing access to services that may assist in commercialisation. The recipient shall also have access to entrepreneurship advice, venture capital networks and where appropriate depending on the level of product / service maturity, automatic access to business incubation and start-up programmes.

The maximum funding for each project under R&D Commercialisation Support Programme amounts to BND10,000.00.

The R&D Commercialisation Support Programme is open to private and government entities based in Brunei Darussalam intending to commercialise their R&D outputs, which may include:

- a) Institutes of Higher Learning (IHLs)
- b) Research Institutions (RIs)
- c) Government Agencies
- d) Business registered in Brunei Darussalam, including:
  - (i) Corporations
  - (ii) Cooperatives
  - (iii) Micro, Small and Medium Enterprises (MSMEs)
  - (iv) Other enterprises
  - (v) Non-profit Organisations

The project duration, including completion of Final Report and all miscellaneous project activities, shall not exceed two (2) years.

## **1.4 Key Performance Indicators (KPIs) for BRC Projects**

1.4.1 The Key Performance Indicators (KPIs) for all BRC funded projects should include among others as follows:

- a) Contribution to Gross Domestic Product
- b) Export contribution
- c) Job creation
- d) Financial return such as government revenue

## **1.5 Location of Research & Development (R&D) Activities**

1.5.1 All projects funded by the BRC shall be conducted wholly in Brunei Darussalam, unless express permission has been granted by the BRC in writing.

1.5.2 Should the applicant(s) seek to conduct any part of the project(s) overseas, applicants are required to declare in the proposal application such activity(ies) that the applicant intends to conduct outside Brunei Darussalam, expected locations and justification for conducting the activity(ies) outside of Brunei Darussalam. The BRC reserves the right to reject any request to conduct project activity(ies) overseas.

1.5.3 In the event that applicants are granted express approval by the BRC to conduct a part of their project outside Brunei Darussalam, the BRC shall only cover costs incurred for activities and eligible expenses in Brunei. Such costs pertaining to activities being conducted by the applicant outside of Brunei shall be borne by the applicant(s). The BRC is expressly relieved of the responsibility of the activities and costs as may be incurred by the applicant for activities conducted outside of Brunei Darussalam.

1.5.4 The researcher shall submit a written request to the BRC to test any materials and equipment outside Brunei Darussalam and approval shall be in the form of a written approval from the BRC.

1.5.5 Publications arising from projects funded by the BRC shall state Brunei Darussalam as the primary site of research and development activities.

## **1.6 Intellectual Property (IP) Rights Protection and Ownership**

1.6.1 “**Intellectual Property**” (IP) shall mean the subject matter listed in Article 2 of the Convention Establishing the World Intellectual Property Organization, done at Stockholm, 14 July 1967. This includes, but is not limited to:

- a) Patent(s)
- b) Trademark(s)
- c) Industrial Design(s)
- d) Plant Varieties
- e) Copyrights

- 1.6.2 The protection of IP rights shall be enforced in conformity with the governing law of Brunei Darussalam, and national rules and regulations governing intellectual property in Brunei Darussalam and the applicable international agreements.
- 1.6.3 Any intellectual property developed as a result of the BRC projects shall be registered in Brunei Darussalam with the Brunei Intellectual Property Office (BruiPO).
- 1.6.4 Any IP rights and ownership of rights in respect of any technological development, and any product and services development from the funding schemes shall be as follows:
- a) For **Applied Research Fund**: 100% owned by awarded local organization subject to their respective IP ownership policies
  - b) For **Industrial Research Fund**:
    - (i) If specified and mutually agreed by the collaborating applicants, then the IP ownership shall be as mutually agreed and captured in the Grant Award Agreement; or
    - (ii) If not specified, then ownership is equally distributed among the partnering / collaborating applicants.
    - (iii) For collaborating applicants, IP ownership shall register all names of the applicants shall be registered for IP, unless otherwise specified and mutually agreed upon by the collaborating applicants. This mutually agreed arrangement shall be captured in the Grant Award Agreement
  - c) For **Research and Development (R&D) Commercialisation Support Programme**: Where applicable and dependent on a case-by-case basis, co-ownership with venture capitalist(s) or investor(s) as may be determined based on discussions between awardee and any applicable venture capitalist(s) or investor(s).
- 1.6.5 Each party shall ensure, through contracts or other legal means, if necessary, that the participants, including those of any third parties who may participate in any of the joint activities pertaining to the BRC projects, agree to the parties' rights to intellectual property.

## 1.7 Key Characteristics of Different BRC Funding Schemes

1.7.1 The table below summarizes the key features of the BRC Funding Schemes.

	Applied Research Fund	Industrial Research Fund	R&D Commercialisation Support Programme
<b>Description</b>	Fund research involving the use of scientific knowledge that is conducted to develop new products and services that has high commercial potential.	A 50:50 cost-sharing grant that funds R&D activities directed at producing new products, technologies and/or services, or to improve existing products, technologies and/or services in industrial sectors for the purpose of commercialisation.	To assist in commercialisation of R&D outputs and revenue generating activities from these outputs in the form of monetary support and providing access to services that may assist in commercialisation.
<b>Eligibility</b>	<p>Brunei based Institutes of Higher Learning (IHLs)</p> <p>a) Brunei based Research Institutes (RIs)</p> <p>b) Government sector (subject to collaboration with IHLs or RIs)</p> <p>c) Non-profit organisations (subject to collaboration with IHLs or RIs)</p>	<p>a) Private companies locally registered as Private Limited Companies (Sendirian Berhad)</p> <p>b) Foreign companies / institutes of higher learning (IHLs) / research institutes (RIs) in joint-venture or partnership with any of the following local entities based in Brunei Darussalam:</p> <p>(i) Local companies registered as Sendirian Berhad</p> <p>(ii) Institutes of Higher Learning (IHLs)</p>	<p>Private and government entities based in Brunei Darussalam intending to commercialise their R&amp;D outputs which may include:</p> <p>a) Institutes of Higher Learning (IHLs)</p> <p>b) Research Institutions (RIs)</p> <p>c) Government Agencies</p> <p>d) Businesses registered in Brunei Darussalam, including:</p>

	Applied Research Fund	Industrial Research Fund	R&D Commercialisation Support Programme
		(iii) Research Institutions (iv) Government agencies (v) Cooperatives (vi) Non-profit Organisations	(i) Corporations (ii) Cooperatives (iii) Micro, Small and Medium Enterprises (MSMEs) (iv) Other enterprises (v) Non-profit Organisations
<b>Funding Limit and Distribution</b>	<ul style="list-style-type: none"> <li>• Maximum BND 300,000.00 per project</li> <li>• 100% from BRC Fund.</li> </ul>	<ul style="list-style-type: none"> <li>• Maximum BND 2,000,000.00 contribution per project from BRC Fund</li> <li>• 50:50 Co-matching Grant (50% of financial resources or in-kind contribution from grantee(s))</li> </ul>	<ul style="list-style-type: none"> <li>• Maximum BND 10,000.00 per project</li> <li>• 100% from BRC Fund</li> </ul>
<b>Duration</b>	Maximum up to two (2) years.		
<b>Fund disbursement structure</b>	<ol style="list-style-type: none"> <li>1. Mobilisation Payment (25% maximum amount) – Upfront cost to enable start of project, but awardee shall be required to keep complete and accurate records of utilisation.</li> <li>2. Progress Payments (maximum of 90% depending on mobilisation payment rate) – Milestone-based payments, subject to the verification of successful achievement of the Milestones in the Grant Agreement by the BRC.</li> </ol>		

	Applied Research Fund	Industrial Research Fund	R&D Commercialisation Support Programme
	3. Final Progress Payment (10% fixed amount) – disbursed upon verification of the achievement of ALL Milestones and deliverables in the Grant Agreement and submission of the completion and submission of the Final Project Report to BRC, to the BRC's satisfaction.		
<b>IP Rights and Ownership</b>	100% owned by awarded local organisation subject to their respective IP ownership policies.	<p>Either:</p> <ul style="list-style-type: none"> <li>• If specified and mutually agreed by the collaborating applicants, then the IP ownership shall be as mutually agreed and captured in the Grant Award Agreement; or</li> <li>• If not specified, then ownership is equally distributed among the partnering / collaborating applicants.</li> </ul> <p>For collaborating applicants, IP ownership shall register all names of the applicants shall be registered for IP, unless otherwise specified and mutually agreed upon by the collaborating applicants. This mutually agreed arrangement shall be captured in the Grant Award Agreement.</p>	Where applicable and dependent on a case-by-case basis, co-ownership with venture capitalist(s) or investor(s) as may be determined based on discussions between awardee and any applicable venture capitalist(s) or investor(s).

	Applied Research Fund	Industrial Research Fund	R&D Commercialisation Support Programme
<b>Expected Outcomes</b>	<ol style="list-style-type: none"> <li>1. Generation of research and development output directly contributing to new prototype products, devices, processes, systems, and services or to improve substantially those already produced or installed.</li> <li>2. Provide human capital development for the locals in terms of employment, training, skills, education and guidance.</li> </ol>	<ol style="list-style-type: none"> <li>1. Development of new products or improvement of existing products, process, systems or services that may lead to increase commercial and economic output and/or the development of industrial sectors.</li> <li>2. Provide human capital development for the locals in terms of employment, training, skills, education and guidance.</li> <li>3. Knowledge transfer and development of industrial R&amp;D infrastructure and ecosystem.</li> </ol>	<ol style="list-style-type: none"> <li>1. Translate R&amp;D output into commercial products and services.</li> <li>2. Development of new products or improvement of existing products, process, systems or services that may lead to increase commercial and economic output and/or the development of industrial sectors.</li> <li>3. Encourage increase in commercially-viable IP generation and protection.</li> <li>4. Bridge innovation and entrepreneurship for sustainable product development.</li> <li>5. Provide human capital development for the locals in terms of employment, training, education and guidance.</li> <li>6. Encourage prototyping, proof of concept and technical validation</li> </ol>

	Applied Research Fund	Industrial Research Fund	R&D Commercialisation Support Programme
			<p>activities to improve likelihood of commercial success.</p> <p>7. Business-matching of technology providers with potential technology demanders / investors.</p>
<b>Project KPIs (among others)</b>	<ol style="list-style-type: none"> <li>1. Contribution to Gross Domestic Product</li> <li>2. Export contribution</li> <li>3. Job creation</li> <li>4. Financial return such as government revenue</li> </ol>		

## **1.8 Project Team**

- 1.8.1 A Principal Investigator shall be assigned for each project funded by the BRC Fund. The Principal Investigator is required to hire local researchers as part of the project team.
- 1.8.2 The term “local” refers to Bruneian citizens and permanent residents.
- 1.8.3 Applicants are required to ensure that at least 70% of their project team consists of locals.
- 1.8.4 Knowledge transfer to local team members shall be required. The applicant must provide a clear knowledge transfer plan with clear, measurable, time-bound deliverables and outcomes. The achievement of these deliverables and outcomes shall be monitored and shall be a condition for the completion and closure of the project. Failure to achieve knowledge transfer deliverables and outcomes are grounds for withholding payment.

### **Principal Investigator**

- 1.8.5 The Principle Investigator is the researcher responsible for the overall management of the project and is accountable for the project and its deliverables. The Principle Investigator has to oversee the research project, manage the project budget, monitor project key performance indicators (“KPI”) and submit project updates.
- 1.8.6 Eligible researchers are full-time researchers employed on a permanent or contractual basis for a minimum of the entire project period and duration. Researchers will not be eligible if their employment term does not sufficiently cover the entire project period and duration.
- 1.8.7 Principal Investigator must be based in Brunei Darussalam, with a minimum presence of 80% of the duration of the proposed project.
- 1.8.8 Each Principal Investigator can only lead one (1) project at any time but can be involved in multiple projects (maximum of three (3)) at a time.

### **Foreign Researchers**

- 1.8.9 Expatriates based in Brunei and working under contract with any of the above institutions shall be eligible to apply if approved by their respective institutions.
- 1.8.10 The project must have a permanent Bruneian co-researcher from the same institution, well-versed with the project, to ensure its completion in the event the expatriate’s contract is terminated.

- 1.8.11 The service of an expatriate or foreign contract researcher must be valid during the period of research proposed and the contract should be attached with the proposal as proof of employment period. In the case of termination of the foreign contract by the respective agencies, the respective agencies are liable to reassign the project to a new researcher within six (6) months. Extension of the project will only be given for a maximum of six (6) months.

## **1.9 Publications**

- 1.9.1 Publications and other publicly distributed copies of copyrighted work shall indicate the names of the authors of the work unless an author explicitly declines to be named.
- 1.9.2 Publications arising from projects funded by the BRC shall state Brunei Darussalam as the primary site of research and development activities.

## **1.10 Ethical Issues**

- 1.10.1 BRC project activities and methodologies will require sound ethical assessment in order to ensure that projects supported by a BRC grant respects the fundamental ethical principles, especially if potential issues may arise in the following areas:
- a) Human protection (including study participants and researchers)
  - b) Animal protection and welfare
  - c) Data protection and privacy
  - d) Environment protection
  - e) Participation of any country with potential political and diplomatic sensitivity(ies)
  - f) Malevolent use of research results

## **1.11 Research Integrity**

- 1.11.1 Cases of scientific misconduct such as fabrication, falsification, plagiarism or misrepresentation of data will be considered as breach of fundamental ethical principles and may result in rejection of the proposals concerned from evaluation or from the grant. The BRC reserves the right to use plagiarism detection software to analyse proposals submitted to the BRC.

## **1.12 Applicant Personal Conduct**

- 1.12.1 Any direct or indirect contact about the substantive evaluation of a BRC call between an applicant, entity or a Principle Investigator submitting a proposal on behalf of an applicant, and any independent expert involved in the peer review evaluation under the same call, in view of attempting to influence the evaluation process, is strictly

forbidden. Such contact can constitute an exclusion situation and will result in the decision of the BRC to reject the proposal concerned from the call in question.

1.12.2 Conduct of grantees in relation to BRC-funded projects shall be governed by this document. Failure to comply are grounds for termination and withdrawal of the BRC funding. The BRC reserves the right to select, approve, modify, terminate, withdraw and perform other such action in relation to the BRC funding and projects funded at its discretion.

1.12.3 Throughout the duration of implementation of a project, BRC and/or its authorised personal and representatives reserve the right to request all information pertaining to the project. All information shall be provided promptly and in any case, no later than two (2) weeks from the time the request is made, which includes verbal requests.

### **1.13 Other Relevant Information**

1.13.1 Any additional terms and conditions that apply to each type of Grant Scheme that are additional to this document and grant-specific shall be additionally detailed in the relevant Annexes to this document.

1.13.2 The service of a contract researcher seeking to be a Principal Investigator or Co-Investigator shall be valid during the period of research proposed and the contract should be attached with the proposal as proof of employment period.

1.13.3 Research proposals shall not be already funded by other agencies locally or internationally. Private companies or institutions are required to declare any other funding resources (if any) during application.

1.13.4 The proposed project must not have commenced at the time of application.

1.13.5 The duration of each project shall not exceed two (2) years from the approved project start date. The completion of the project is marked by the successful completion of the final report to the BRC's satisfaction. The project shall not be deemed "completed" until the BRC is satisfied with the final report and the completion of all the project deliverables.

1.13.6 As part of the application, the host institution, company, entity and/or agency shall provide a binding statement according the template annexed in this document (Annex A), proving its engagement and commitment to ensure that the Principal Investigator for the project shall be present to implement the project from start to completion, and in any case, for a maximum period of 2 years from the expected start date of the project. Proposals that do not include this institutional, company, entity or agency statement may be deemed ineligible and not considered for evaluation.

1.13.7 The BRC also reserves the right to terminate and/or withdraw funding for projects whose principal investigators leave prior to the end of the agreed project period and duration.

## 2. Grant Application and Administration

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### 2.1 Preparing and Submitting a Grant Application

2.1.1 Grant applications can be submitted only in response to a “Call for Proposals”. Call announcements shall be made by the BRC and disseminated accordingly. The times and dates shall be updated as required by the BRC.

2.1.2 An applicant shall only be permitted to submit ONE application per grant per call.

2.1.3 The specific document and forms required for each type of grant is as set out in the following:

- a) Form A: “Proposal Submission Form” (for administrative purposes) (Annex B)
- b) Form B: The project proposal template (Annex C)
- c) Form C: The Pre-Qualification Questionnaire for each private sector entity applying singularly or jointly for a grant (Annex D)
- d) Supporting Documents:
  - (i) Host Organisation / Entity statement of support and commitment (Annex A)
  - (ii) Any ethics assessment where required (Annex E)
  - (iii) Any company / entity related supporting document for private sector applicants

2.1.4 The proposal format and number of pages are strictly applied. Submissions shall be written in the English language.

2.1.5 Failure to include the required forms, documents and/or information shall be treated as an incomplete application. The BRC reserves the right to reject incomplete applications at its discretion.

2.1.6 Applicants shall submit:

- a) **One (1) signed hardcopy** of the application addressed to and marked either in Malay or English as follows, AND:

[Malay]

**Yang Mulia  
Setiausaha  
Majlis Penyelidikan Brunei  
Jabatan Perdana Menteri  
Jalan Menteri Besar  
Bandar Seri Begawan BB3913  
Negara Brunei Darussalam**

**PERKARA: “Grant Application”**

OR

[English]

**Secretary  
Brunei Research Council  
Prime Minister’s Office  
Jalan Menteri Besar  
Bandar Seri Begawan BB3913  
Negara Brunei Darussalam**

**RE: “Grant Application”**

- b) **One (1) electronic copy** of the application sent to [secretariat@brc.gov.bn](mailto:secretariat@brc.gov.bn), with subject of the email being written as **“Grant Application”**.

2.1.7 Any additions, deletions or modifications to these applications shall not be accepted after submission or after the close of the “Call for Proposal” period, unless express permission has been provided by the BRC in writing.

## **2.2 Project Financial and Payment Information**

2.2.1 Eligible expenditures under the BRC grants are as set out in Annex F. Only direct costs associated with the project will be deemed eligible under the grants. Costs outside the eligible expenditures shall be borne by the applicant.

2.2.2 The funding limits for each project under each of the grants is as follows:

- a) Applied Research Fund: Maximum BND 300,000.00 per project contributed by BRC
- b) Industrial Research Fund: Maximum BND 2,000,000.00 contribution per project from the BRC
- c) R&D Commercialisation Support Programme: Maximum BND 10,000.00 per project contributed by BRC

2.2.3 Applicants shall provide details of the project financial information, including, but not limited to:

- a) Total project scheme value

- b) List of items by type of eligible expenditures to be claimed under the BRC grant scheme with clear descriptions of items, per unit and total costs, quantity, and expected duration and timeframe of expenditure

2.2.4 The final total project scheme value and its breakdown shall be subject to approval by the BRC. The BRC reserves the right to obtain all the project financial information as required and determine which expenditures it chooses to fund as part of the project. Any costs or expenditures that fall outside the approved expenditures and breakdowns shall be borne by the applicant.

### **Matching Funds under the Industrial Research Fund**

2.2.5 The Industrial Research Fund is a 50:50 co-matching grant, whereby 50% of the total project costs shall be borne by the applicant(s). The distribution of cost shall be based on the project financial information provided as set out in Articles 2.2.1 and 2.2.3.

2.2.6 Matching fund contribution by the applicant(s) can be in-kind contributions or cash contributions deposited in a bank account set up in Brunei Darussalam.

2.2.7 Eligible in-kind or cash contributions shall also be in accordance with Article 2.2.1. Costs outside the eligible expenditures shall be borne by the applicant and shall not count towards the applicant's contribution to the matching fund.

### **Fund Disbursement and Payment Schedule**

2.2.8 The applicant shall only be entitled to utilise the BRC grant funds for the expenditures approved by the BRC as set out in Article 2.2.4.

2.2.9 The payment schedule for all project fund disbursements shall be as follows:

**a) Mobilisation Payment (not more than 25% of Total Project Scheme Value in Article 2.2.3(a)):**

- (i) This is a fixed upfront payment to enable the start of the project.
- (ii) Awardee shall be required to keep complete and accurate records of utilisation which must be submitted to the BRC.

**b) Progress Payments (not more than 90% depending on mobilisation payment rate of Total Project Scheme Value in Article 2.2.3(a)):**

- (i) These are milestone-based payments, subject to the verification of successful achievement of the Milestones in the Grant Agreement by the BRC.

- (ii) The total sum of milestone-based payments shall not exceed more than 90% depending on mobilisation payment rate of the total project scheme value of the total project scheme value.
- (iii) The applicant shall list out clear milestone deliverables that are specific, measurable, attainable, relevant and time-bound with corresponding percentage values of the total project scheme ascribed to its completion and its expected completion date. These milestones deliverables shall serve as project KPIs. The applicant shall propose milestone deliverables as may apply to the specific requirements of the project.

Example for Progress Payments:

#	Milestone Deliverable	% of Total Project Scheme Value	Delivery Date
1	Down-selection of compound X with highest efficacy out of candidate compounds in Family Y	10%	To + 3 months (July 2018)
2	Development of stable drug-delivery compound with stably-bound compound X	20%	To + 9 months (Jan 2019)
3	Completion of Efficacy trials	25%	To + 12 months (Mar 2019)
4	Proof of efficacy of drug-delivery compound with compound X	10%	To + 15 months (June 2019)
	TOTAL	65	

- (iv) The total sum of milestone-based payments shall not exceed more than 90% depending on mobilisation payment rate of the total project scheme value.
- (v) The Applicant shall also be required to list out all other project deliverables and expected outcomes, even if they may not act as milestones for progress payments. They shall be considered for the disbursement of the Final Progress Payment as set out in Article 2.2.9(c).

**c) Final Progress Payment (10% of Total Project Scheme Value in Article 2.2.3(a) - fixed amount)**

This fixed amount is disbursed upon verification of:

- (i) The achievement of all deliverables and outcomes in the Grant Agreement, including those not directly tied to Progress Payments; and,

- (ii) The completion and submission of the Final Project Report to BRC, to the BRC's satisfaction.

## **2.3 Confidentiality of Information**

- 2.3.1 The BRC undertakes to observe the confidentiality of the documents, information and other data received from or supplied by the applicant(s) in their Grant Applications.
- 2.3.2 In the event that information identified as “commercial-in-confidence” is furnished or created under the implementation of the project(s) funded by the BRC, each party and its participants shall protect such information and not disclose such information to any third party without the prior consent of the other party in writing. Information may be identified as “commercial-in-confidence” if a person having the information may derive an economic benefit from it or may obtain a competitive advantage over those who do not have it. However, this provision does not supercede the obligation to supply the BRC with all and any information as may be requested by the BRC for those projects approved and funded by the BRC.
- 2.3.3 The transfer of unclassified export-controlled information, materials or equipment between the parties for the purpose of implementing the BRC projects shall be in accordance with laws of Brunei Darussalam and Brunei Darussalam's rules, regulations and national policies to prevent the unauthorised transfer or retransfer of such information, materials or equipment provided or produced under the BRC projects. Parties shall identify export-controlled information, materials and equipment as well as any restrictions on further use or transfer of such information, materials or equipment.
- 2.3.4 The provisions of this Article shall continue to be binding between the relevant parties notwithstanding the termination and/or completion of projects.

## **2.4 Completing the Grant Application**

### **Form A: “Proposal Submission Form”**

- 2.4.1 In the Proposal Submission Form, the Principal Investigator is asked to fill administrative information as follows:
  - a) Section 1: General Information
  - b) Section 2: Participants & Contacts – Administrative data of participating organisations containing information about the Principal Investigator and the Principal Investigator's host institution.

- c) Section 3: Budget contains information about the total estimated project costs and the requested BRC contribution. The amount given in this section must correspond exactly to the information provided in the proposal text (Form B).

Please ensure that all costs are in Brunei Dollars (BND). If there are currency conversions, please state the exchange rate used.

- d) Section 4: Ethics serves to identify any ethical aspects of the proposed work. This table has to be completed even if there are no issues (simply confirm that none of the ethical issues apply to the proposal). Please note that, in case you answer YES to any of the questions, you are requested to provide an Ethics Self-Assessment and additional ethics documentation – if applicable, as detailed in the Ethics Issues Table checklist (in Annex E to this document).
- e) Section 5: Call-specific questions.

### **Form B: “Project Proposal Form”**

2.4.2 In the submission of the Project Proposal Form, the Principal Investigator is asked to use the template provided. Use of the template and prescribed format is mandatory.

2.4.3 The information to be included in each of the sections, as well as, the maximum length of each section or its sub-sections, which needs to be respected strictly, is described below.

2.4.4 In fairness to all applicants, the page limits below will be applied strictly. Only the material that is presented within these limits will be evaluated (external experts will only be asked to read the material presented within the page limits, and will be under no obligation to read beyond them).

2.4.5 Each proposal page shall carry a header presenting the Principal Investigator’s last name and the Grant Scheme type (i.e. Applied Research Fund, Industrial Research Fund or R&D Commercialisation Support Programme) Each page shall also be numbered.

2.4.6 The following parameters shall be respected for the layout:

Page Format	Font Type	Font Size	Line Spacing	Margins
A4	Times New Roman or Arial	At least 11 pt	Single	- 2 cm side - 1.5 cm top and bottom

**a) Section 1: The Concept – Innovation and Commercial Potential (max. 2 pages)**

This section is about describing the research to be undertaken for the Applied Research Fund and Industrial Research Fund; or for R&D Commercialisation Support Programme, the idea to be taken to proof of concept, prototyping or commercialisation in a few words (abstract) and the innovation potential of the proposed idea. It will be used to assess the evaluation criterion #1: Excellence in Innovation Potential.

**(i) Succinct description of the research or idea to be taken to proof of concept, prototyping or commercialisation.**

**Problem Statement:** Description of the problem or the need that the idea is aiming to solve or alleviate.

**The Solution:** Explanation of how the idea will solve or alleviate the problem or the need and the meaning that this will make. A clear value proposition should be included.

Write here an "abstract-like" description of your project, explaining what the idea is all about and what the expected outcomes of the project are. This description should be understandable for a non-specialist in your field.

**(ii) Demonstration of Innovation & Commercial Potential**

Indicate the expected priority Research Cluster the proposed project is expected to contribute to (select of the priority research clusters, where applicable. If it falls outside these research clusters, then select "Other" and write the applicable field).

Please give a detailed description of how the project outcomes will be innovative or distinctive and their commercial appeal. This should include a clear explanation of why the solution proposed is new, compared to what already exists.

**b) Section 2: Expected Impact (max. 2 pages)**

This section is about describing the expected impact of the project and will be used to assess the evaluation criterion #2: Impact.

Please, describe in detail the following:

**(i) Identification and description of any effect or benefit to the economy, society, culture, public policy and/or services.**

- (ii) **Outline of the value creation process** (plans for the knowledge transfer, the commercialisation or any other process foreseen to generate the above listed benefit).

This should include proposed plans to:

- Assess and validate the effectiveness of the project's outcomes (testing, technical reports or any other form of validation to confirm that the solution is effective, efficient, sustainable, or just). **This is required for all grant types.**
- Clarify the Intellectual Property Rights (IPR) position and strategy or knowledge transfer strategy, where applicable. **This is required for the Industrial Research Fund and R&D Commercialisation Support Programme.**
- Set up contacts with industrial partners, societal or cultural organisations, policy makers or any other potential users or sponsors of the projects' results. **This is required for the Industrial Research Fund and R&D Commercialisation Support Programme.**

**c) Section 3: Implementation Plan (max. 2 pages)**

It will be used to assess the evaluation criterion #3: Quality and Efficiency of the Implementation.

This section is about describing the planning of the proposed activities, the project-management plan and the team that will conduct the activities. You should demonstrate the relevance of the approach chosen for establishing the technical and commercial / societal feasibility of the project:

- Plan of the activities
- Methodology
- Project management plan, including risk and contingency measures
- Description of the team

For the Applied Research Fund and Industrial Research Fund, this plan refers to the Research and Development Plan for the project to be undertaken.

For the R&D Commercialisation Support Fund, this should be a plan of the technology transfer and/or commercialisation-related activities that the applicant intends to undertake over a maximum period of 2 years, which may include activities related to:

- Intellectual Property Protection, including patent searches, filing, granting, and others

- Intellectual Property Licencing
- Proof of Concept
- Prototyping
- Technical Validation
- Market Testing
- Venture Capitalist / Investor matching

This list is not exhaustive and other commercial-related activities may be considered by the BRC on a case-by-case basis.

**d) Section 4: Budget (max. 1 page and the costing table)**

This section is about describing the resources needed for the project. You should demonstrate that the requested budget is necessary for the implementation of the proposed activities and properly justified. Emphasis should be placed on 'cost effectiveness', 'value for money', potential financial returns and common use (sharing facilities).

You should refer to the appropriate Annexes for the eligible expenditures for each type of grant.

**(i) Resources (incl. project costs):**

It is strongly recommended to use the budget table template included in the form to facilitate the assessment of resources by the panel. The project cost estimation should be as accurate as possible. Significant mathematical mistakes may reflect poorly on the credibility of the budget table and the proposal overall.

The evaluation panels assess the estimated costs carefully. The requested contribution should be in proportion to the actual needs to fulfil the objectives of the project. The BRC funds up to 100% of the total eligible expenditures for the Applied Research Fund and the R&D Commercialisation Support Programme; and up to 50% of the total eligible expenditures for the Industrial Research Fund. In case the total costs differ from the requested grant, it should be specified in the proposal what exactly is funded from other sources.

Please use whole Brunei Dollar integers only when preparing the budget table.

Specify briefly your commitment to the project and how much time you are willing to devote to the proposed project.

Please note that there is no minimum commitment percentage of the working time required to the Principal Investigator. However, in the grant agreement, Principal Investigators must enter a minimum of their working time, as they are responsible for managing the BRC projects. Please take into account the

percentage of your dedicated time to run the BRC funded activity when calculating your personnel costs.

Describe the size and nature of the team, indicating, where appropriate, the key team members and their roles. The participation of team members engaged by another host institution should be justified in relation to the additional financial cost as this may impose to the project.

Specify any existing resources that will contribute to the project. Describe other necessary resources, such as infrastructure and equipment. It is advisable to include a short technical description of the equipment requested, a justification of its real need, as well as, the intensity of its planned use. When estimating the costs for travel, please also consider participation of the Principal Investigator and team members in conferences and dissemination events.

The terms and conditions laid down in the BRC Grant Agreement address how scientific publications must be made readily available in the public domain. Applicants should be aware that it will be mandatory to provide open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to results from BRC projects funded through this call. This includes long-text publications such as monographs and book chapters.

Costs for providing immediate open access to publications (article processing charges / book processing charges) are eligible and can be charged against the BRC grant if they are incurred during the lifetime of the project. When drafting the budget, it is highly advisable to consider the need to include such expenditure, and if that is the case, to make a realistic estimation of the amount needed. In addition, the BRC recommends that all funded researchers follow best practice by retaining files of research data produced and used, and are prepared to share these data with other researchers when not bound by copyright restrictions, confidentiality requirements, or contractual clauses.

***Budget table (provided as a template):***

Please include the direct costs of the project.

Please include a breakdown of the budget subdivided in personnel costs, travel, equipment, consumables, publication costs, other direct costs, and any envisaged subcontracting costs.

**(ii) Justification (description of the budget):**

Describe the necessary resources and specify any existing resources that will contribute to the project.

Please include a short technical description of the equipment requested, a justification of its need as well as the intensity of its planned use.

You must indicate whether the equipment is currently available in Brunei Darussalam. If such equipment exists in any institute, agency, company or other entity in Brunei Darussalam, then strong justification shall be required for BRC to consider purchase of equipment.

Please note that a properly and correctly compiled budget with a sufficiently detailed and reasoned justification is necessary to facilitate the evaluation on criterion #3.

Subcontracts may only cover the execution of a limited part of the project and recourse to the award of subcontracts must be duly justified having regard to the nature of the project and what is necessary for its implementation. Hence, in the case of subcontracting please include the tasks and budget for each subcontract, as well as, a brief justification for this.

Attention is also drawn to the specificities of the conditions which apply to subcontracting in terms of the award of the contract and implementation. It is therefore noted that in certain specific contexts it may be appropriate to consider what the most suitable modality to include the costs for third parties may be.

#### **Form C: “Pre-Qualification Questionnaire”**

2.4.7 The host of organisation / entity for applicants from the private sector shall be required to complete the Pre-Qualification Questionnaire, which includes a description of the private sector entity’s financial information, legal information, background in expected field in which the project is conducted and ability to deliver. The Pre-Qualification Questionnaire consists of the following sections:

- a) Section 1: Company / firm / entity description
- b) Section 2: Minimum eligibility that considers the company / firm / entity’s financial health, litigation background and project history
- c) Section 3: Financial status information
- d) Section 4: Additional legal information would be captured in this section should there be litigation history from Section 2
- e) Section 5: Background experience
- f) Section 6: Quality assurance standards by the company / firm / entity
- g) Section 7: Sample of a statement of acknowledgement by the company / firm / entity stating the accuracy and correctness of the details that you have shared.

## **Supporting Documentation**

2.4.8 Any additional annexes, including the host institution support letter (and where relevant in case of ethical issues) should be provided in both hard copy and electronic documents. These annexes do not count towards the maximum page limit for Form B.

2.4.9 A scanned copy of the following supporting documentation needs to be submitted:

- a) The host institution (applicant legal entity) must confirm its association with and its support to the project and the Principal Investigator, and its assurance that the Principal Investigator will at minimum be present for the entire duration of the project. As part of the application, the institution must provide a binding statement that the conditions of independence are already fulfilled or will be provided to the Principal Investigator if the application is successful. The host institution support letter needs to be printed on the paper with the official letterhead of the Host Institution, originally signed, stamped and dated by the institution's legal representative. Proposals that do not include this institutional statement may be declared ineligible.
- b) For foreign private sector companies / entities:
  - (i) A certified true copy of company / entity registration certificate in Brunei Darussalam
- c) For local private sector companies / entities:
  - (i) A certified true copy of Certification of Incorporation
  - (ii) A certified true copy of Memorandum and Articles of Association
- d) Any additional supporting documents which may be required following the indications provided in this document (i.e. ethical self-assessment and supporting documentation for the ethics review procedure).

2.4.10 Please provide only the documents requested above. Unless specified in the call, any hyperlinks to other documents, embedded material, and any other documents (company brochures, supporting documentation, reports, audio, video, multimedia etc.) will be disregarded.

## **2.5 Checking if the Proposal is Complete for Evaluation**

2.5.1 Incomplete proposals (where parts or sections of the proposal and/or the host institution's commitment statement are missing) may be declared ineligible and will not be evaluated.

2.5.2 The proposal must be submitted before the relevant deadline of the call.

2.5.3 Where there is a doubt on the eligibility of a proposal, the evaluation may proceed pending a decision by an eligibility review committee. If it becomes clear before, during or after the evaluation phase, that one or more of the eligibility criteria has not been met, the proposal is declared ineligible and is withdrawn from any further examination.

Table 1: Checklist for Proposal Completeness

<p>Checking Your Submission</p> <p>The submission of a complete proposal for each of the grants will require the following documents:</p>
<p><b>A. <u>Applied Research Fund</u></b></p> <ul style="list-style-type: none"><li><input type="checkbox"/> Form A: Administrative “Proposal Submission Forms” (1 hard copy + 1 soft copy, via email)</li><li><input type="checkbox"/> Form B: Project Proposal (1 hard copy + 1 soft copy, via email)<ul style="list-style-type: none"><li><input type="checkbox"/> Section 1: The Concept – Innovation and Commercial Potential</li><li><input type="checkbox"/> Section 2: Expected Impact</li><li><input type="checkbox"/> Section 3: Implementation Plan (R&amp;D Plan)</li><li><input type="checkbox"/> Section 4: Budget</li></ul></li><li><input type="checkbox"/> Supporting Documents (1 hard copy + 1 soft copy, via email)<ul style="list-style-type: none"><li><input type="checkbox"/> Institutional Statement Letter of support from the host institution / agency affirming the support of the project and Principal Investigator and its assurance that the Principal Investigator will at minimum be present for the entire duration of the project</li></ul></li><li><input type="checkbox"/> Any additional documents (e.g. ethics assessment) where required.</li></ul>

## **B. Industrial Research Fund**

- Form A: Administrative “Proposal Submission Forms” (1 hard copy + 1 soft copy, via email)
  
- Form B: Project Proposal (1 hard copy + 1 soft copy, via email)
  - Section 1: The Concept – Innovation and Commercial Potential
  - Section 2: Expected Impact
  - Section 3: Implementation Plan (R&D Plan)
  - Section 4: Budget
  
- Form C: Pre-Qualification Questionnaire for every company / firm / entity participating in the project grant application (1 hard copy + 1 soft copy, via email)
  - Section 1: Company / firm / entity description
  - Section 2: Minimum Eligibility
  - Section 3: Financial Status Information
  - Section 4: Additional legal information (if required)
  - Section 5: Background experience
  - Section 6: Quality assurance standards
  
- Supporting Documents (1 hard copy + 1 soft copy, via email)
  - Host Organisation / Entity Statement of support and commitment affirming the support of the project and Principal Investigator and its assurance that the Principal Investigator will at minimum be present for the entire duration of the project
  
- For foreign private sector companies / entities:
  - A certified true copy of company / entity registration certificate in Brunei Darussalam
  
- For local private sector companies / entities:
  - A certified true copy of Certification of Incorporation
  - A certified true copy of Memorandum and Articles of Association
  
- Any additional documents (e.g. ethics assessment) where required

### **C. The R&D Commercialisation Support Programme**

- Form A: Administrative “Proposal Submission Forms” (1 hard copy + 1 soft copy, via email)
- Form B: Project Proposal (1 hard copy + 1 soft copy, via email)
  - Section 1: The Concept – Innovation and Commercial Potential
  - Section 2: Expected Impact
  - Section 3: Implementation Plan (Technology Transfer and Commercialisation Plan)
  - Section 4: Budget
- Form C: Pre-Qualification Questionnaire for every company / firm / entity participating in the project grant application (1 hard copy + 1 soft copy, via email)
  - Section 1: Company / firm / entity description
  - Section 2: Minimum Eligibility
  - Section 3: Financial Status Information
  - Section 4: Additional legal information (if required)
  - Section 5: Background experience
  - Section 6: Quality assurance standards
- Supporting Documents (1 hard copy + 1 soft copy, via email)
  - Host Organisation / Entity Statement of support and commitment affirming the support of the project and Principal Investigator and its assurance that the Principal Investigator will at minimum be present for the entire duration of the project
- For foreign private sector companies / entities:
  - A certified true copy of company / entity registration certificate in Brunei Darussalam
- For local private sector companies / entities:
  - A certified true copy of Certification of Incorporation
  - A certified true copy of Memorandum and Articles of Association
- Any additional documents (e.g. ethics assessment) where required

## 3. Evaluation and Selection of Grant Proposals

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### 3.1 Eligibility Check

3.1.1 Proposals are first checked to ensure that all of the eligibility criteria are met.

3.1.2 A proposal must fulfill all of the following eligibility criteria:

- a) It must be submitted before the submission deadline.
- b) It must be complete (i.e. all of the requested forms, parts or sections of the proposal, and supporting documents must be completed and present).
- c) It must meet the eligibility requirements of the respective BRC grant, as well as, other criteria mentioned in the relevant call for proposals (e.g. the project must not already be under implementation at the time of the call, the same project must not already be funded through other means without the BRC's consent).

3.1.3 For applicants required to submit the Form C: Pre-Qualification Questionnaire, eligibility will also be assessed based on company / firm / entity financial, legal and other commercial status information.

### 3.2 Technical Evaluation of Proposals

3.2.1 Proposals will be evaluated by an expert panel against the criteria in Table 2.

Table 2: Technical Evaluation Criteria

Evaluation Criterion	Description	Weightage (%)	Details
#1	Excellence in Innovation and Commercial Potential	30	<ul style="list-style-type: none"> <li>• Research project must show potential for further development and commercialisation. Where possible,               <ul style="list-style-type: none"> <li>○ Identify target market and market size</li> <li>○ Identify potential commercialisation partners</li> </ul> </li> <li>• Novel, innovative, internationally competitive and can lead to breakthrough results</li> <li>• Future growth potential</li> <li>• High market-readiness state / potential</li> </ul>
#2	Impact	30	<ul style="list-style-type: none"> <li>• The project yields economic impact, especially in any of the priority clusters.</li> </ul>

Evaluation Criterion	Description	Weightage (%)	Details
			<ul style="list-style-type: none"> <li>• Project provides a novel solution to a problem relevant to Brunei Darussalam or internationally</li> <li>• The likelihood and closeness-to-market of expected output</li> <li>• Value creation process</li> <li>• Nature and quality of expected output and deliverables (e.g. intellectual property, GDP &amp; export contribution, job creation and potential revenue to Brunei government)</li> </ul>
#3	Quality and Efficiency of Implementation	20	<ul style="list-style-type: none"> <li>• Realistic, measurable and achievable project activities, milestones, research allocations and timelines</li> <li>• Project team must have relevant and suitable experience and expertise with a good track record</li> <li>• Team members have the relevant expertise</li> <li>• Team members show commitment towards project's successful completion</li> <li>• Team members have strong execution capability</li> <li>• Ability to deliver to high standards and quality</li> <li>• Clear expected deliverables, output and milestones</li> <li>• Clear project planning and management</li> </ul>
#4	Scientific and Technical Merit	20	<ul style="list-style-type: none"> <li>• The project must be scientifically sound and technically feasible</li> <li>• High-technical-merit science and technology</li> </ul>

### 3.3 Ethics Review

3.3.1 Applicants should be aware of the ethical aspects of their proposed work and should declare any ethical issues and submit all relevant ethics documentation available for their proposals.

3.3.2 Proposals should comply with general ethical principles and address any ethical issues that may arise in relation to the following and will be assessed as such:

- a) Human protection (including study participants and researchers)

- b) Animal protection and welfare
- c) Data protection and privacy
- d) Environment protection
- e) Participation of any country with potential political and diplomatic sensitivity(ies)
- f) Malevolent use of research results

## **4. Successful Applicants**

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### **4.1 Award of Grant & Project Commencement**

- 4.1.1 Recommendations of Applications to be funded and the amount of funding to be awarded will be submitted to the BRC Committee for their final determination. Where a project is approved for funding, the Administering Organisation will be notified in writing and advised of the Funding to be offered.
- 4.1.2 Meanwhile for unsuccessful applications, the BRC will notify them of the status of their application after a final decision on the BRC proposals has been made.
- 4.1.3 Successful applicants then have the right to accept or reject the offer. Their decision must be provided in writing to the BRC within two (2) weeks of receiving the offer.
- 4.1.4 If they accept the offer, the BRC and the successful applicant shall sign a Grant Agreement stating the Project Commencement or Start Date. Projects are not to commence until the Grant Agreement is signed, however, grantees may begin preparatory activities, such as seeking out potential manpower candidates.
- 4.1.5 If the successful applicant wishes to defer commencement of a Project beyond the approved start date, a letter justifying the requested deferral in terms of special circumstances must be submitted to the BRC for approval.

## 5. Post-Award Grant Administration

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### 5.1 Monitoring Project Performance

#### Grantee Responsibilities

- 5.1.1 A grantee has full responsibility for the conduct of the project or activity supported under a BRC grant and for the results achieved. The grantee should monitor the performance of the project to assure adherence to performance goals, time schedules or other requirements as appropriate to the project or the terms and conditions of the grant. In order to carry out these responsibilities, each grantee organisation shall agree to comply with the requirements for grants and this document, and to the prudent management of all expenditures and actions affecting the grant. Documentation for each expenditure or action affecting the grant shall reflect appropriate organisational reviews or approvals, which should be made in advance of the action. Organisational reviews are intended to help assure that expenditures are allowable, necessary and reasonable for the conduct of the project, and that the proposed action:
- a) Is consistent with grant terms and conditions;
  - b) Is consistent with BRC and grantee policies;
  - c) Represents effective utilisation of resources; and
  - d) Does not constitute changes in objectives or scope.
- 5.1.2 Notwithstanding these responsibilities, BRC continues to encourage communication between BRC and Principal Investigators on the progress of projects supported by BRC, as well as, on project changes.
- 5.1.3 The BRC, through authorised representatives, has the right, at all reasonable times, to make audits and conduct site visits to review project accomplishments, grantee management control systems and administration and management of the grant and to provide technical assistance as may be required.
- 5.1.4 The grantee must submit the following reports according to the templates specified by the BRC:
- a) Progress reports (i.e. every 6 months)
  - b) Final Report after the completion of all milestones and deliverables
  - c) Any other reports as may be required by the BRC upon request.

## Technical Reporting Requirements

- 5.1.5 The BRC requires reports on all projects funded to monitor the progress of the projects. Information in these reports may be made available to the general public as required. However, sensitive information shall be governed by the confidentiality provisions in Article 2.3. The BRC has the right to request information from grantees at any time regarding any matter pertaining to the grant projects and the grantees shall be required to provide the information to the BRC in no later than two (2) weeks from the date of request. Such requests include verbal requests.
- 5.1.6 Please submit technical reports on time. **Failure to provide reports on a timely basis may delay BRC review and processing.**

## Progress Reports

- 5.1.7 Unless otherwise approved by the BRC, the grantee must provide Progress Reports in respect of each ongoing Project:
- a) At the end of the third month if the research period is six (6) months or less; or
  - b) At the end of each six (6)-month period if the research period exceeds six (6) months.

## Final Report

- 5.1.8 Unless otherwise approved by the BRC, the grantees must ensure that Final Reports are provided for each Project within thirty (30) days of completion of the last project deliverable or outcome. The report becomes overdue the day after the thirty (30)-day period ends.
- 5.1.9 The Final Report should address progress in all activities of the project, including any activities intended to address the expected impact and outcomes as declared in the proposal.
- 5.1.10 In addition, the grantee also shall provide the BRC, within thirty (30) days following the expiration of the grant:
- a) Any unique reports or other end items specified in the award referenced in the award as being directly related to either the award or the administration of the award;
  - b) A final cost share notification documented and certified by the grantee's organisation for awards where there is mandatory cost sharing established for the program.

## **Preparing Project Reports**

- 5.1.11 In preparing the Progress Report and the Final Report, please refer to Annexes G and H, respectively.
- 5.1.12 The BRC may review the outcomes reported against the objectives of the Project as stated in the Proposal, or any approved revised budget, aims and research plan. Any Principal Researcher who was involved in a Project for which a Progress Report was deemed inadequate or unsatisfactory may be contacted for further information. The BRC will take into account the progress reports when considering the application for extension of the research period.
- 5.1.13 If the BRC is not satisfied with the progress of any Project, further payment of Funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the Funding may be terminated and all outstanding monies will be recovered by the BRC.

## **Project Outcomes Report for the General Public**

- 5.1.14 No later than thirty (30) days following expiration of the grant, a project outcomes report for the general public must be submitted to the BRC in both hardcopy and softcopy. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. The BRC may post this report electronically exactly as it is submitted and will be accompanied by the following disclaimer:

*“This Project Outcomes Report for the General Public is displayed verbatim as submitted by the Principal Investigator (PI) for this award. Any opinions, findings, and conclusions or recommendations expressed in this Report are those of the PI and do not necessarily reflect the views of the Brunei Research Council (BRC); the BRC has not approved or endorsed its content.”*

- 5.1.15 Grantees are to ensure that the report does not contain any confidential, proprietary business information; unpublished conclusions or data that might compromise the ability to publish results in the research literature; or invention disclosures that might adversely affect the patent rights or those of the organisation, in a subject invention under the award. Project Outcomes Reports are not to contain any personally identifiable information such as home contact information, individual demographic data or individually identifiable information collected from human research participants.
- 5.1.16 Grantees from sensitive sectors, such as defence, may seek the BRC’s approval to waive this requirement to produce the Project Outcomes Report for the General Public. Any waiver shall be subject to the BRC’s approval.
- 5.1.17 In projects pertaining to the defence and security sector, in the case where there are dual-use applications for project outcomes, the grantee shall be required to the civilian aspects of this and may omit the sensitive aspects pertaining directly to the defence and security sector.

5.1.18 Contents of this Project Outcomes Report for the General Public include:

- a) A description of the project outcomes or findings that address the intellectual merit and broader impacts of the work. This description should be a brief (generally, two to three paragraphs) summary of the project's results that is written for the lay reader. Principal Investigators are strongly encouraged to avoid use of jargon, terms of art, or acronyms.
- b) The BRC will automatically include all publications associated with the award that are reported in annual and final reports. Other products that have resulted from the award may also be listed. Examples of other products include collections, data sets, software, as well as, educational materials.
- c) Information regarding anticipated publication of project results, as well as any other information that would be of interest to the public also may be included in this section.

## **5.2 Changes in Project Direction or Management**

### **Changes in Objectives, Scope or Methods / Procedures**

#### **Changes in Objectives or Scope**

5.2.1 The objectives or scope of the project may not be changed without prior BRC approval. Such change requests must be signed and submitted in writing by the grantee's organisation to the BRC. If approved by the BRC, the Grant Agreement will be amended to reflect the change to the grant project.

This also applies to changes to the facilities, equipment, and other resource expenditures from the approved project proposal.

#### **Significant Changes in Methods or Procedures**

5.2.2 The Principal Investigator(s) operating within the established policies of the grantee organisation, should feel free to pursue interesting and important leads that may arise during the conduct of a research (or other grant-supported) project or to adopt an alternative approach which appears to be a more promising means of achieving the objectives of the project. However, significant changes in methods or procedures should be reported to BRC. Significant changes to the methods shall be captured as an amendment to the approved proposal plan.

## **Significant Changes, Delays or Events of Unusual Interest**

- 5.2.3 In the event there are problems, delays or adverse conditions that will materially impact the ability to attain the objectives of the project or to meet such time schedules as may have been proposed, the grantee must notify the BRC immediately.
- 5.2.4 The BRC should be informed of any events of unusual interest that occur during the course of the implementation of the BRC projects. Reports, communications or photographs should be submitted to the BRC.

## **Changes and Disengagement of the Principal Investigator or Lead Project Team Members**

- 5.2.5 The BRC's decision to support a proposed project is in part based upon its evaluation of the proposed Principal Investigator and any identified co-Investigator(s)'s knowledge of the field of study and his / her capabilities to conduct the project in an efficient and productive manner. The named Principal Investigator (and co-Investigator(s)) should be continuously responsible for the conduct of the project and be closely involved with the effort.
- 5.2.6 If the Principal Investigator or co-Investigator(s) plans to, or becomes aware that he / she will:
- a) Devote substantially less effort to the project than anticipated in the approved proposal;
  - b) Be disengaged from the project for an extended period greater than three (3) months regardless of their intent to return;
  - c) Sever his / her connection with the grantee organisation; or
  - d) Otherwise relinquish active direction of the project,

the grantee shall be required to inform the BRC in writing and seek approval, no later than one (1) month from the date the Principal Investigator or co-Investigator(s) are to cease working on or be disengaged from the project. The BRC shall consider the appropriate action taken based on the circumstances and reserves the right to terminate the project and claim the return of funds to the BRC if requested.

- 5.2.7 The grantee shall also submit their notification of a change in Principal Investigator or co-Investigator(s):
- a) At least one (1) replacement who is qualified for the role that he / she is intended to perform and has a good track record commensurate with the standard of the original research team which was awarded the project; and
  - b) The potential replacement(s)'s curriculum vitae and track record details.

5.2.8 If in the event approval is given for a change in Principal Investigator as a result of their pending withdrawal or disengagement, the grantee shall:

- a) Nominate at least one (1) replacement for the BRC's review and approval;
- b) Submit an interim report detailing all the information, activities and results to date, including, but not limited to:
  - (i) Brief summary of the progress to date;
  - (ii) Description of work yet to be accomplished;
  - (iii) Details of all project finances, including total disbursements, unpaid obligations to date and anticipated costs yet to be incurred; and
  - (iv) Detailed line item budget for the transfer amount and any outstanding grant increments
- c) Initiate the transfer of all the grant information and records to the approved elected replacement;
- d) Conduct a handover with the approved elected substitute for a minimum of two (2) weeks; and
- e) Relinquish their role in the grant project as evidenced through an amendment to the Grant Agreement.

### **5.3 Subawarding, Transferring or Contracting Out Part of BRC Grant Project**

5.3.1 Excluding the purchase of items such as commercially available materials and supplies, equipment or general support services allowable under the grant, no part of a BRC award may be subawarded, transferred, or contracted out to another organisation without prior BRC authorisation. The intent to enter into such arrangements should be disclosed in the proposal. Discovery of undeclared and unapproved subawarding, transferring or contracting out part of the project after award may be grounds for termination and withdrawal of the BRC fund.

5.3.2 If it becomes necessary to subaward, transfer or contract out part of a BRC award after a grant has been made, the grantee shall submit, at a minimum:

- a) A clear description of the work to be performed by each subrecipient;
- b) A separate budget for each subaward; and
- c) If funding is requested to support a postdoctoral researcher, and the original proposal did not include a mentoring plan, then the request must include the requisite mentoring plan. The plan must be included as part of the Implementation Plan in Form B. The Principal Investigator must report on the mentoring activities provided to the individual(s) in progress and final project reports.

5.3.3 The request must be signed and submitted in writing to the BRC for consideration. If approved, BRC authorisation will be indicated by an amendment to the Grant Amendment.

## 5.4 Requesting for Fund Disbursements

5.4.1 Details of the fund disbursement and project payment schedule is as set out in Article 2.2 - Fund Disbursement and Payment Schedule.

5.4.2 Grantees may seek payment for disbursements for **Progress Payments** by submitting the “Request for Disbursement” form (Annex I), with:

- a) An accompanying cover letter from the **host organisation** stating their support of the grantee’s request for disbursement.
- b) Cover letter from the **grantee** requesting for disbursement. In the letter, please state:
  - (i) State the milestone(s) achieved according to the approved project proposal;
  - (ii) Its corresponding payment according to the approved project proposal;
  - (iii) The actual date of achievement / completion of the milestone deliverable;
  - (iv) All supporting evidence to prove the achievement of the milestone, including data, photos, statistical calculations, and all other supporting documents.
- c) Progress Report to the BRC’s satisfaction

If required, physical verification and inspection shall be performed by the BRC’s representative(s). The grantee shall provide full access to the BRC to verify and inspect the site, documents and all other items as may be necessary to the BRC’s satisfaction.

5.4.3 Grant disbursements for progress payments shall only be made upon approval by the BRC after the BRC is satisfied that the milestones have been achieved. Satisfaction with the completion of the milestone and associated payment shall be evidenced through the countersignature of the “Request for Disbursement” form.

5.4.4 Grantees may seek payment for disbursements for **Final Payment** by submitting the “Request for Disbursement” form (Annex I), with:

- a) An accompanying cover letter from the **host organisation** stating their support of the grantee’s request;
- b) An accompanying cover letter from the **grantee** requesting for final payment
- c) The Final Report to the BRC’s satisfaction (Article 5.1 – Final Report);
- d) The Project Outcomes Report for the General Public (Article 5.1 – Project Outcomes Report for the General Public);

- e) The complete record of project expenditures and supporting documents, receipts and invoices to verify that the expenditures had been made for the project;
- f) The complete record of equipment purchased with equipment reference number (where applicable, Nato Stock Number shall be provided), certificates of acceptance, supporting documents, receipts, invoices, photos and location of the said equipment;
- g) An inventory of all items made, obtained or collected during the research undertaken in the country, e.g. recordings, films, photographs, manuscripts, plants, wild-life specimens, etc., indicating clearly items which are to be taken out of the country;
- h) A copy, at no cost to the Council, of every recording, film, photograph or manuscript (unedited and clearly annotated) made, obtained or collected during the research undertaken in the country; and
- i) All supporting evidence to prove the achievement of the milestones, deliverables and outcomes from the approved project proposal, including data, photos, statistical calculations, and all other supporting documents.

If required, physical verification and inspection shall be performed by the BRC's representative(s). The grantee shall provide full access to the BRC to verify and inspect the site, documents and all other items as may be necessary to the BRC's satisfaction.

5.4.5 The final payment may be adjusted based on the project record of expenditure. In the event that the total project expenditure is less than the expected total project scheme value in the approved project proposal, then:

- a) If the difference is less than the final payment, then the difference will be deducted from the final payment amount (this resulting amount is known as the "adjusted final payment").

E.g. If the final payment (10%) is \$5,000, but the project has seen savings worth \$2,000, then the adjusted final payment is \$3,000 (= \$5,000 - \$2,000);

or

- b) If the difference is greater than the final payment, then the difference will be deducted from the final payment and the grantee shall be required to reimburse the BRC the amount excess to the value of the final payment.

E.g. If the final payment (10%) is \$5,000, but the project has seen savings worth \$6,000, then the excess from the final payment is \$1,000 (i.e. \$5,000 - \$6,000 = - \$1,000). The grantee shall be required to return and reimburse \$1,000 to the BRC.

Such funds shall be returned to the BRC within ninety (90) calendar days after the submission of the Final Report to the BRC.

- 5.4.6 Grant disbursement for the final payment shall only be made upon approval by the BRC after the BRC is satisfied that all the milestones, deliverables and outcomes from the approved project proposal have been achieved. Satisfaction with the completion of the milestones, deliverables and outcomes, and the associated payment shall be evidenced through the countersignature of the “Request for Disbursement” form.
- 5.4.7 Deviations from the approved expenditures in the approved project proposal shall constitute a change to scope or objective and shall require prior written BRC approval as set out in Article 5.2.1.
- 5.4.8 Any additional expenditure incurred by the grantee for the project outside the approved amount by the BRC is the responsibility of the grantee. The BRC shall not bear any additional costs outside what is stipulated in the approved project proposal.

## **5.5 Annual Project Continuity**

- 5.5.1 The BRC shall on an annual basis review the projects under implementation and shall determine whether a project should:
  - a) Continue;
  - b) Be terminated;
  - c) Put on hold for a specified period, during which grant disbursements may be put on hold; or
  - d) Be extended if approval is given by the BRC for the project to be extended, due to reasons deemed valid by the BRC.
- 5.5.2 If it becomes necessary to subaward, transfer or contract out part of a BRC award after a grant has been made, the grantee shall submit, at a minimum:
  - a) A clear description of the work to be performed by each subrecipient;
  - b) A separate budget for each subaward; and
  - c) If funding is requested to support a postdoctoral researcher, and the original proposal did not include a mentoring plan, then the request must include the requisite mentoring plan. The plan must be included as part of the Implementation Plan in Form B (Project Proposal). The Principal Investigator must report on the mentoring activities provided to the individual(s) in annual and final project reports.
- 5.5.3 The request must be signed and submitted in writing to the BRC for consideration. If approved, BRC authorisation will be indicated by an amendment to the Grant Amendment.

## **5.6 Facilities, Equipment, Hardware, Software and Consumables**

5.6.1 Facilities, equipment, hardware, software and consumables purchased with the BRC grant shall be:

- a) New;
- b) Fit for purpose;
- c) Genuine, unused, free from defects, and be free from any defect from design at the time of delivery;
- d) Where there is a specified shelf life, have at least eighty per cent (80%) of its specified shelf life remaining as of the date of delivery; and
- e) Where there is a specified calibration period / date, have its calibration fully up to date as of the date of delivery.

5.6.2 Ownership and title of new facilities, equipment, hardware, software and consumables purchased under the BRC grant vests in the Government of Brunei Darussalam throughout the BRC projects and after completion of the BRC projects, unless expressly specified otherwise. Any transfer of ownership and title shall be evidenced in writing by the BRC.

5.6.3 However, foreign companies / entities shall submit a request to transfer assets (facilities, equipment, hardware and software) belonging to the foreign companies / entities to Brunei Darussalam to conduct the project(s) provided that the equipment fulfills all of the following criteria:

- a) Only if existing asset(s) is not available for use for the projects in Brunei Darussalam;
- b) Fit for purpose;
- c) The company / entity agrees to allow third-party users to utilise the asset(s) during the project period and after the completion of the project - but the company / entity may charge a reasonable minimal fee for third-party usage;
- d) The company / entity plans on using the assets even after the completion of the project for other activities (e.g. commercial activities); and
- e) The asset(s) is no more than three (3) years old, calculated from the date of delivery of the asset(s) to the foreign companies / entities and this must be evidenced through the appropriate company asset acceptance documents.

5.6.4 For such foreign-company-owned assets that the BRC approves to be transferred to Brunei Darussalam, the following shall apply:

- a) The BRC shall not be obliged to purchase the equipment from the foreign company;

- b) Only the costs of transport of the assets from the foreign company's premises to the primary project site shall be borne by the BRC;
- c) The value of the equipment shall not be accepted as part of the company / entity's contribution to the total project scheme value;
- d) The company / entity, and its local partner(s), if applicable, shall be responsible for the costs of operation, maintenance and calibration;
- e) The ownership and title of the assets shall vest in the foreign company at all times, unless otherwise specified by the foreign company;
- f) The company / entity agrees to allow third-party users to utilise the equipment during the project period and after the completion of the project;
- g) The company / entity plans on using the assets even after the completion of the project for other activities (e.g. commercial activities).

5.6.5 The host organisation of the grantee shall act as the steward of the facilities, equipment, hardware, software and consumables during implementation and after the completion of the project. The host organisation shall be entitled to continue to use the equipment, hardware, software and consumables after the project. Operational upkeep and maintenance of the facilities, equipment, hardware and software shall be the responsibility of the host organisation. The costs associated with this operational upkeep, maintenance and utilisation of the facilities, equipment, hardware and software shall be borne by the host organisation.

5.6.6 In the event that the BRC requires the assets (facilities, equipment, hardware, software) and consumables be made available to a third-party, the host organisation shall comply with this request(s). BRC reserves the right to stipulate a minimal fee for use of the assets after the completion of the projects, if it sees fit.

5.6.7 A complete list of assets purchased using the BRC Funds must be submitted together with the Final Report.

## 5.7 Grant Closeout and Completion

5.7.1 "**Grant closeout**" is the process by which the BRC determines that all applicable administrative actions and all required work of the grant have been completed. The close out amount will be based on the costs recorded at that time. Grants are administratively closed after receipt of the Final Report and after determination that any other administrative requirements in the grant have been met, and when the BRC has declared in writing that these have been completed to the BRC's satisfaction.

5.7.2 Grant closure shall be evidenced by a "Project Closure" statement from the BRC.

5.7.3 In the event a final audit has not been performed prior to the closeout of the grant, the BRC reserves the right to recover appropriate amounts after fully considering the recommendations on disallowed costs resulting from the final audit.

## **5.8 Grant Termination and Withdrawal**

5.8.1 A grant for a project may be automatically terminated, ended or withdrawn under the following circumstances:

- a) When the approved project period has lapsed;
- b) Breach of research integrity (Article 1.11);
- c) Grantee personal misconduct (Article 1.12);
- d) Poor grant project and financial management;
- e) Change and/or disengagement of the Principal Investigator and/or co-Investigator(s) (Article 5.2 - Changes and Disengagement of the Principal Investigator or Lead Project Team Members);
- f) Undeclared and/or unauthorised subawarding, transferring or contracting (Article 5.3);
- g) During annual project review(s), where the BRC at its discretion decides to terminate a project for any number of reasons (Article 5.5); and
- h) Any other grounds deemed by the BRC that are necessary to terminate the grant(s).

5.8.2 Upon termination, the BRC may endeavour to provide notification to the affected grantee(s) and perform any or all of the following:

- a) Stipulate the date of termination;
- b) Not pay the Administering Organisation any further Funds for that project;
- c) Recover all or some of the Funds paid under this Agreement for that project, including all unspent Funds and any Funds not spent in accordance with this Agreement within ninety (90) calendar days after the termination date; and
- d) Any other action it may deem appropriate.

5.8.3 The BRC shall be entitled to recover the following costs upon termination:

- a) The full cost of any facilities, equipment, hardware, software or assets purchased for the project in exchange; and
- b) The full value of direct personnel costs for the project for the duration of the project, from the start date up until termination date.

5.8.4 Upon termination, the ownership and title for any resulting property is as follows:

- a) Ownership and title facilities, equipment, hardware, software and consumables purchased for the direct purpose of the project shall fully vest in the Government of Brunei Darussalam;

- b) Ownership of any resulting intellectual property shall be retained by the grantee;
- c) Ownership of data and information generated from project activities up until the date of termination shall be retained by the grantee.

5.8.5 Upon termination, the ownership and title for any resulting property is as follows:

- a) Ownership and title facilities, equipment, hardware, software and consumables purchased for the direct purpose of the project shall fully vest in the Government of Brunei Darussalam;
- b) Ownership of any resulting intellectual property shall be retained by the grantee;
- c) Ownership of data and information generated from project activities up until the date of termination shall be retained by the grantee.

5.8.6 If the project is discontinued or put on hold by the grantee for any reason, the grantee and host organisation(s) will be held accountable and shall consult the BRC to discuss possible resolutions. In the event that discontinuance results in termination of the grant by the BRC, the provisions of this Article 5.8 shall apply.

## **5.9 Project Extension Requests**

5.9.1 Extensions to ongoing projects may be requested by submitting the "Project Extension Request Form" (Annex J), if:

- a) No term of award specifically prohibits the extension,
- b) No additional funds are required to be obligated by the BRC, and
- c) There are no changes to the project's originally approved scope.

Requests for extension shall be subject to the BRC's review and approval.

5.9.2 Extension requests must be submitted no later than six (6) month before the expected project completion date. Late submissions can be disregarded by the BRC.

5.9.3 A grantee may request a maximum period of extension up to six (6) months only.

5.9.4 Extension request will only be granted once during the project period.

5.9.5 If approved, the Grant Agreement will be amended to reflect the approved extension period.