2nd Phase – KU-IRDP/NTIC Project

**Operational Plan**

SBE Program

March 2022



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# Background

One of Nepalese Government’s major strategic goals in the science and technology field is to promote future economic growth through the new and advanced technologies development. Recently, Nepalese government and Korean government agreed to cooperate to achieve this strategic goal and signed an agreement on building a research and development infrastructure for integrated rural development. In accordance with this agreement, KOICA (Korea International Cooperation Agency) on the behalf of Korean Government has launched a project, “Integrated Rural Development of Nepal through Strengthening Research and Development Capacity of Kathmandu University (IRDP).” After the successful completion of the first phase, now KOICA will provide USD 1.38 million worth of human and financial supports in the second phase for the following activities; i) Research and Business Development, ii) Technology Data Base and Networking, iii) Smart Health Technology, iv) Testing and Accreditation, v) Education and Training Services vi) Startup and Incubation vii) School Based Enterprises. Kathmandu University is the exclusive local partner of IRDP project and all activities of IRDP project will be carried out in collaboration with Kathmandu University.

School Based Enterprise (SBE) as one of the support programs of KU-IRDP/NTIC aims to support school based enterprises. The core scope of the program is to contribute to the financial sustainability of NTIC & enhance KU brand image. The Enterprises Unit should already be under operation, have produced viable product and service, should have already tested their product among customers & have proper plan to scale up their production.

# Objectives of the Program

The objectives of this program as a part of the IRDP project are:

* To contribute to the financial sustainability of Kathmandu University
* To enhance KU brand image
* To provide the opportunity of participation in R&D for KU faculty and students
* Revenue creation and enhance industry-friendly education
* To offer on-site training for KU students and to strengthen the capability of startups

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# Total Supporting Fund and Period of Program

|  |  |
| --- | --- |
| **Category** | **Details** |
| Total Support Fund | NRs10,000,000 |
| Support Period | 2022.04 ∼ 2023. 06 (Within 14 months) |
| Support Fund | Up to NRs 5,000,000 per project |
| Selection Method | Open Competition within all schools of KU |

# Program Implementation System

**Kathmandu University**

 **IRDP Host Institution**

**Jeonbuk National University)**

**Project Management Consulting**

**(PMC)**

 **KOICA**

**Nepal Technology Innovation Center (NTIC)**

 **Program Execution and Performance management**

**Evaluator Pool**

**(KU + PMC)**

**Project selection Committee**

**Project Execution Teams**

#

# The Thematic Areas

1. Agriculture and Rural Development

2. Alternative and Renewable Energy

3. Health-Related Livelihood

4. Rural Natural Resource Management

5. Rural Economy Uplifting Projects

6. Other Projects Related to the Rural Development

# Eligibility for the Application

Each proposal to be eligible for a SBE should have one main applicant and may have one or more partner applicant both based in Nepal. The main applicant will be the Principal Investigator who will be responsible for the execution of overall project, including its technical and administrative coordination as well as timely submission of technical and financial project reports. The project may have more than one individual or institutional partner. The specific eligibility criteria for PI and partner institution are as follows:

**For Principal Investigator/s (PIs):**

1. Must be a Nepalese citizen
2. PI may be any individual faculty or staff of KU or any functional business unit within Kathmandu University
3. The project team is preferred to be organized into a consortium of PI as a main applicant and partner or co-PI from different schools within Kathmandu University.

**For Partner Institution**

* 1. Individual partner must be a Nepalese citizen
	2. A partner institution must be based in Nepal
* **The project application will not be accepted or will be disqualified if the following conditions applied**
1. PI restricted from participation of the research fund program by Kathmandu University or any other Nepalese or overseas institution.
2. PI has already received research fund on same or similar project to carry out the same work.
3. The proposed project does not match to any of the application areas.
4. The proposed project does not have any commercialization scope.
5. The proposed project is same or similar compared to the projects that have been supported earlier.
6. PI previously failed to carry out obligation such as: submission of reports, payment of royalties/the balance/claw back, and so on for another different technology development projects.

# Eligible Types of Projects

* The eligible projects can be of the following types:
* The project that deals with any one of the above-mentioned thematic areas
* The technology development project that links all the above mentioned thematic areas and the project having a cross cutting areas will be given priority.

**Project Budget**

* The project budget consists of the supported fund by KOICA and matching fund by the lead research institution.
* The matching fund must be counted in kind or, in cash.
* The ratio of matching fund and KOICA fund should be 10:90.

**Calculation of Project Expenses**

* The fund shall support the labor cost and required materials cost (consumables, raw materials) for the project. The KOICA fund cannot be used to purchase equipment. However, in the case that the participating institution requests to purchase required equipment that has regular uses in the project can be considered with the joint approval of the authorized team from KOICA, PMC and KU-IRDP/NTIC.
* The salary of the PI and associated research personnel as a full-time employee or an external institution shall be calculated as the matching fund in kind.
* A lead research institution can claim the overhead cost up to 10% of the total fund which must be included in their matching fund.
* Any unspent or excess or difference fund must be returned.
* The final project budget can be adjusted after budget review.
* Calculation of the project expenses should be in compliance with the "Guidelines for SBE Budgeting and Accounting" attached herewith.

**Evaluation of Project Proposals (including bonus and negative points)**

* The evaluation for selecting projects to be supported consists of two stages; evaluation of project proposal and presentation (project site visit could be done if required).
* Six thematic areas specific experts will be nominated from the evaluator pool for each application areas.
* The PI or the representatives from the lead research institution must submit the required documents including the project proposal within the deadline. The proposal or documents received after the deadline will not be accepted.
* The total score of project proposal evaluation is calculated by combining the scores from the evaluation of the documents and presentation.
* The evaluation criteria of project proposal are as follows;

|  |  |
| --- | --- |
| **Criteria (Score)** | **Details** |
| Goals and significance (10) | * Goals, significance and details of technology development (5): challenging level of goals, relevance of contents
* Possibility of business development (5): feasibility, relevance to the areas, development needs, commercialization
 |
| Characteristics of technology (20) | * Innovativeness (15): technological innovativeness and business model
* Differentiation (5): technological differentiation
 |
| Development strategies (20) | * Business & Technology development system (10): appropriateness of the development system and current market needs
* Risk control measures (5): feasibility of risk control measures
* Budgeting (5): validity of budgeting for the technology development project
 |
| Development capacity (10) | * Capacities of the project team including the PI (10): researchers, research & development infrastructure, etc.
 |
| Possibility of Commercialization/Propagation and Economic Feasibility(35) | * Plan for commercialization/propagation (10): utilization of investment strategies, etc.
* Relevance of commercialization/propagation plan (15): implementation strategies for commercialization, etc.
* Economic feasibility (10): patent, profitability, sensitivity analysis, job creation, etc.
 |
| Expected outcomes (5) | * Additional impacts (5): technological, economic, social impacts
 |

* Bonus points in evaluating project proposal are provided when:
* PI has obtained a patent on or an experience to develop and commercialize results of their SBE project (2 points)
* A female PI or female researchers accounting for 20% of the total take part in the project and maintain throughout the project (2 points)
* Any collaborative projects with any Korean University or, any Korean research institution or, any Korean Industry or any Korean researchers/faculties. (2 points)
* Any collaborative projects with any non-Korean universities or, research institutions or, industries or, researchers/faculties (1 point)
* PI has collected royalties for his work based on the royalty agreement with other organizations (industries) (1 point)

※ The evaluation committee combines all the bonus points according to the above criteria though the total score must not exceed 5 points.

* Negative points in evaluating project proposal are provided when:
* PI has previously implemented a technology development project funded by Nepalese or other countries’ institutions but the project was suspended due to negligence or considered as negligence in the results of project evaluation. (3 points)
* PI has previously abandoned the agreement on technology development project funded by Nepalese or other countries’ institutions without justifications, after being selected as or during the course of project implementation. (3 points)
* PI has committed any kind of research misconduct. (3 points)

※ The evaluation committee combines all the negative points according to the above criteria though the total deduction must not exceed 5 points.

# Application Processes

* The period of application and place of submission are as follows;

|  |  |
| --- | --- |
| **Category** | **Period and Method** |
| Call for application | Announcement in the Kathmandu University website and KU-IRDP/NTIC website.March 4 to April 4, 2022.Virtual announcement of the call on March 2, 2022.Briefing Session will also be organized to clear the queries of the applicant on March 25, 2022. |
| Application form and relevant templates | Available at the website of Kathmandu University and KU-IRDP/NTIC (for download)March 4 to April 4, 2022. |
| Submission of project proposal and required documents | Drop off hard copy at KU-IRDP/NTIC office at KU or Send electronic copy via email at ntic@ku.edu.np March 4 to April 4, 2022. |

* In case of multi-disciplinary project type, the proposal will be registered by the PI.
* PI should sign and submit the ethics pledge form in the application process.
* If any misconduct found in submitted documents such as data fabrication, falsification, plagiarism, etc., projects that have committed such acts will be penalized like forfeiting the selection, terminating the agreement, and so on according to the relevant guidelines.

# Document List for Application

* The documents to be submitted are as follows;

|  |  |  |
| --- | --- | --- |
| **Document type** | **No. of copies** | **Notes** |
| Application for technology development project support&Project proposal | 1 | Prescribed form, hard copy or electronic |
| Budget sheet | 1 | Prescribed form, hard copy or electronic |
| Certificates of eligibility for application(for example, main incorporation establishment permit or organization registration certificate, audit report etc.)In case of individual applicant, certificate of citizenship or passport | 1 for each lead research institution and lead applicant | Hard copy or scan to PDF |
| Letter of intent for the participation by representative of partner research institution(s) | 1 for each representative | Hard copy or scan to PDF |
| Project participation agreement | 1 for each participant | Prescribed form, Hard copy or electronic |
| Project participant’s employment certificate. Certificate of citizenship of passport for individual participant | 1 for each participant | Hard copy or scan to PDF |
| Project participant’s profile | 1 for each participant | Prescribed form, hard copy or electronic |
| Certificates of bonus or negative points | optional | Hard copy or scan to PDF |

# Procedures for Program Implementation

|  |  |  |
| --- | --- | --- |
| **Procedure** | **Major Activities** | **Subject** |
| Posting announcement calling for project proposals | 1. Announce application for development projects fund support.
2. Virtual press meets
3. Post on KU website and KU-IRDP/NTIC website
4. Announcement of call will be published in national newspaper
 | KU-IRDP/NTIC Team |
| Receiving project proposals | Receive main project proposal and other required documents | KU-IRDP/NTIC Team |
| Organizing evaluation committee | 1. Select evaluation committee members by each sector
2. PMC, KU-IRDP/NTIC and Nepalese experts
 | Evaluation committee |
| Evaluation project proposal and submitted documents | 1. Check eligibilities, evaluation score preferences and evaluation score deductions
2. Selection of the potential project
 | KU-IRDP/NTIC TeamEvaluation Committee and Experts |
| Evaluating presentations of project proposal | 1. Present main project proposal by each PI
2. 10 mins presentation and 20 mins questions and answers
 | Evaluation Committee and Experts |
| Selecting project | 1. Review the evaluation results
2. Confirm projects to be supported
 | Evaluation Committee |
| Obtaining Approval from KOICA | Approve the result of projects selection | KOICA |
| Notifying final selection result to lead research institutions | 1. Notifying final selection result to lead research institutions
2. Giving guide on the procedures and documentation for project contract
 | KU-IRDP/NTIC Team and PMC |
| Making project contracts and depositing KOICA fund | 1. Check all documents for project execution agreement
2. Make agreement between the PI, head of lead research institution, KU-IRDP/NTIC, PMC and KOICA
3. Deposit KOICA's fund by PMC
 | KU-IRDP/NTIC Team and PMC |

**Collection of Royalty**

* A lead research institution shall pay basic royalty and ordinary royalty to KU-IRDP/NTIC in KU if the organization(s) utilizes the technology development result wherever appropriate.
* The ordinary royalty is calculated by multiplying sales obtained from the utilization of technological development result by the ratio of ordinary royalty in following table.

|  |  |  |
| --- | --- | --- |
| **Lead research Institution/ Participating Organization** | **Basic royalty** | **Ordinary royalty** |
| Kathmandu University  | **2**% of fund supported by KOICA | **2**% of Profit |

* The royalty collection period is for five years since the time when the revenue occurs or for seven years after the project ends, whichever comes first.
* ﻿The project that is unable to generate a revenue till the seven years of time period bonded, the project should compensate the KOICA support fund as per the decision of steering committee of NTIC.

# Other Notifications

* If any project that has been submitted or after signing the agreement is found to have been already developed or supported, the issue of duplication of projects can be raised.
* From the date of the project competition announcement to the end of interim evaluation period to PMC or Project Management and Support Team.
* By submitting the official letter (relevant ground materials attached) in the name of the representative of the organization or the person that is raising the issue.
* Though bonus points given in the evaluation process regarding the participation of female researchers, if the respective organization fails to maintain the conditions for obtaining bonus points such as the number and proportion of female researchers, the labor cost that cover female researchers are subject to disapproval.
* During project implementation, funding can be subjected to changes resulted from KOICA’s policies and budgeting, or selection committee’s judgment, or evaluation committee’s evaluation results until and unless reasonable justification is made.
* Tangible deliverables, such as equipment, research facilities, prototype products, etc. that are created during project implementation and intangible deliverables, such as intellectual property rights, copyrights of papers, research notes, etc. that are created during the project implementation are owned jointly by lead research institution and KU-IRDP/NTIC. Yet, in cases where multiple organizations are involved in joint development of an tangible and intangible deliverables, the deliverables is subject to joint ownership of those involved institutions; whether a tangible and intangible output is solely or jointly owned depends on the involved institutions’ contributions to the development of the deliverables, based on the details of their project plan (implementation methods, contribution level, research area of each implementing organization, composition of the budget, etc.)
* The project proposal should use the templates provided.
* Budget allocation, adjustment, management, execution and settlement should be in compliance with attached “Guidelines on SBE Budgeting and Accounting.”
* Project agreement and on-site inspections, interim and final evaluations of a project and etc. should comply with “Management and Operational Guidelines.”
* Those cases that are not mentioned in this plan, attached guidelines or other relevant materials as well as different views should follow the decisions made by the Steering Committee with the consent from KOICA.

# Contacts

* For further information and templates, please refer to the website of KU-IRDP/NTIC; <http://ntic.ku.edu.np/>
* For further information and enquiries about this program, please email;
* Project Management and Support Team at ntic@ku.edu.np & irdp@ku.edu.np
* Contact Person in SBE Support Team at KU-IRDP/NTIC dipesh@kusom.edu.np
* Contact Person in PMC at jinsoo75@gmail.com

**NOTE: The operation plan shall be amended considering the current COVID-19 pandemic.**