**Request for Proposal (RFP) for Joint Applied R&D Projects (June 2014)**

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| Indian Implementation Agency | Indian Funding Ministry/Department  **International (Bilateral) Cooperation Division**  **Department of Science & Technology**  **Government of India** | C:\Users\ADmin\Desktop\미래부로고.jpgRepublic of Korea Funding Ministry/Department  **Ministry of Science, ICT &  Future Planning (MSIP)**  **Republic of Korea** | Republic of Korea Implementation Agency  C:\Users\ADmin\Desktop\CI_emblem.jpg |

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| Name of the Programme | **India-Republic of Korea Joint Applied R&D Programme** |
| Applications invited for | Funding support for challenging, collaborative and industry-led R&D Projects between India and Republic of Korea leading to  commercialization. |
| Important Dates | Announcement Date of Request for Proposal (RFP) : June 17 2014  Application Period : June 17 to August 30, 2014  Closing date of RFP : 30 August 2014  Announcement of Request for Proposal Results : End-October//Early-November 2014 (Tentative) |
| Who Can Apply? | Eligible Indian Applicants  Eligible Indian Project Lead (IPL)  Applicants from the industry are Indian companies, registered in India under the Indian Companies Act 1956 with a minimum of 51 percent Indian ownership. Other Eligible Indian applicants include: researchers and managers from academic institutions, research hospitals or other R&D institutions (including not-for-profit research institutes recognized by the Government of India) that are headquartered and operate in India. Sole proprietors, partnership firms and subsidiaries of firms headquartered and owned outside India are not eligible for support under this programme.  Preference will be given to:   * Companies that fall under the Micro, Small and Medium Enterprises (MSME) category, as defined by the Government of India. For definition of MSME, please refer to <http://www.dcmsme.gov.in/ssiindia/defination_msme.htm> * Companies having partnership with Government funded Indian academic and R&D institutions. * Companies having in-house R&D Centre which is recognized by the Department of Scientific and Industrial Research (DSIR), Government of India. For details, please refer to <http://www.dsir.gov.in/forms/irdpp/Application%20for%20R&D.pdf>   Eligible Republic of Korea Applicants   1. Government Research Institute or University 2. Small and Medium company at least 51% owned by Republic of Korea citizens |
| Eligible technology sectors | The RFP is open to projects in the following sectors, based on the merit, that include Science and Technology (S&T) development leading to commercial success, social good and benefit to both countries.   1. Cleantech: Waste Management, Clean Water and Energy Efficiency 2. Information & Communication Technologies (ICT) including Electronic System Design & Manufacturing (ESDM) 3. Robotics & Automation |
| Project funding support | **In India**  GITA will fund the awarded Indian project partners. Successful projects will have at least 50% industry R&D component. The active participation of industry (company) will be assessed from the project budget and the R&D performed by the company.   * Funding will be limited to 50% of the total eligible national cost of the project with a limit of INR 150 Lakhs per project. * Public funded academic and research organisation applicants may receive grants-in aid up to 100% of its part of eligible national cost in the project. * Industry may receive up to 50% of its part of eligible national cost by way of soft loan repayable upon successful completion of the project   **In Republic of Korea (ROK)**  Successful projects will be funded by KIST in Republic of Korea (ROK). On the ROK part of the project, normal funding criteria and funding instruments as well as the general funding terms of KIST will be applied. |
| Types of projects to be supported | 1. Joint Technology Development leading to pre-commercialisation prototype development, wherever applicable 2. Projects should be innovative, user–need based and market–driven, leading to new product or process and eventual commercialization 3. Duration of the project should not be more than 24 months |
| Selection Criteria | 1. **The project should be innovative aiming to lead to a new product or process with clear commercial potential** 2. **The project must have complementarity of effort of R&D activities both in India and in Republic of Korea** 3. **All projects must be upto 24 months duration** 4. **The industry partners in India must contribute at-least 50% of the total industry project cost** 5. **In India, the application will be strengthened by the participation of academic and institutional researchers and by including young researcher exchanges as a component of the R&D program** |

**Contact Information:**

**INDIA**

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**REPUBLIC OF KOREA**:

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| --- | --- |
| Lee, Kyung Soon  Global Cooperation Team  Korea Institute of Science & Technology (KIST)  [www.kist.re.kr](http://www.kist.re.kr)  Phone: 02-958-6320  E-mail: [kslee@kist.re.kr](mailto:kslee@kist.re.kr) | Min, Sung-Hee  Global Cooperation Team  Korea Institute of Science & Technology (KIST)  [www.kist.re.kr](http://www.kist.re.kr)  Phone: 02-958-6312  E-mail: [shmin@kist.re.kr](mailto:shmin@kist.re.kr) |

**Request for Proposals (RFP) for Joint Applied R&D Projects**

**(June 2014)**

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| Indian Implementation Agency    **International (Bilateral) Cooperation Division**  **Department of Science & Technology**  **Government of India** | Indian Funding Ministry/Department | Republic of Korea Funding Ministry/Department  C:\Users\ADmin\Desktop\미래부로고.jpg  **Ministry of Science, ICT & Future Planning (MSIP)**  **Republic of Korea** | Republic of Korea Implementation Agency  C:\Users\ADmin\Desktop\CI_emblem.jpg |

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**Request for Proposal (RFP) for Joint R&D Projects: June 2014 – Terms and Conditions**

1. **ABOUT THE PROGRAMME**

This programme is based on t**h**e officialRepublic ofKorea-India Summit - Joint Statement on large-scale joint academic and research projects, January 2014.

Within the context of the India-Republic of Korea S&T Agreement, the two governments have created a funding mechanism through which industries (companies) and collaborating R&D/academic institutes from India and research institutes/universities and collaborating companies in Republic of Korea may seek support for joint India-Republic of Korea applied research and development (R&D) projects and other activities intended to generate new or expanded research and technology-based partnerships between the two countries.

The objective of this programme is to respond to the global issues concerning science & technology while developing technologies that can be commercialized and localized within 2 years through joint cooperation between India and Republic of Korea.

In India, on behalf of DST, funding and other services will be provided through Global Innovation & Technology Alliance (GITA), a not-for-profit section 25 Company, promoted by the Confederation of Indian Industry (CII) and Technology Development Board of the Department of Science & Technology. In Republic of Korea, funding and other services will be provided through Korea Institute of Science & Technology.

Applicants are required to review the complete application guidelines before developing and submitting a complete proposal.

Please note that the proposal preparation guidelines should be seen as suggestions which will be helpful to applicants in preparing a proposal that addresses the issues on which the evaluation will be based. Applicants can choose to address the suggestions that they believe strengthen their proposal.

1. **ELIGIBLE TECHNOLOGY SECTORS – FOCUS AREAS IN WHICH APPLICATIONS ARE INVITED**

The collaboration aims to promote projects that are innovative and reflecting consumer demands, so that they are market-oriented at the same, and are focussed on creating a new product or process that will eventually lead to commercialization.

On this basis, this RFP 2014 is open to the applied R&D projects in three major strategic areas

1. Cleantech: Waste Management, Clean Water and Energy Efficiency
2. Information & Communication Technologies (ICT) including Electronic System Design & Manufacturing (ESDM)
3. Robotics & Automation

The RFP is open to projects in the above sectors, based on the merit that include Science and Technology (S&T) development leading to commercial success, social good and benefit to both countries.

1. **ELIGIBILITY CRITERIA – WHO IS ELIGIBLE TO APPLY**

Each proposal must include an eligible **Project Lead** Applicant from the Industry (company) in case of India and Government Research Institute or University in case of Republic of Korea, who would be responsible for application submission and leading the project in the two countries respectively. Although it is not mandatory, projects that engage a technology developer and a technology end-user/first customer are strongly encouraged.

Before submitting the proposal, the heads of the principal entities (Project Leads) of both countries shall have completed negotiations on details including payment of contributions, roles and mutual responsibilities.

**Indian Applicants**

The Indian Lead will be known as the **Indian Project Lead (IPL)**. Eligible Indian applicants must be researchers or managers of companies that operate and are headquartered in India.  Academic institutions, research hospitals, other R&D institutes (including not-for-profit research institutes recognized by the Government of India) that are headquartered and operate in India are strongly encouraged to participate in the projects as co-investigators.

**Please note:**

* Indian companies must be registered corporations in India under Indian Companies Act 1956 and maintain a minimum of 51% Indian ownership;
* Sole proprietors and partnership firms are not eligible for support under this RFP;
* Representatives from subsidiaries of firms headquartered and owned outside India are not eligible to receive funding or subsidies from GITA.
* Industry partners from India must contribute at least 50% of their participation cost in the project with own economic resources.

**Preference will be given to**:

* Companies that fall under the Micro, Small and Medium Enterprises (MSME) category, as defined by the Government of India. For definition of MSME, please refer to <http://www.dcmsme.gov.in/ssiindia/defination_msme.htm>
* Companies having partnership with Government funded Indian academic and R&D institutions.
* Companies having in-house R&D Centre which is recognized by the Department of Scientific and Industrial Research (DSIR), Government of India. For details, please refer to <http://www.dsir.gov.in/forms/irdpp/Application%20for%20R&D.pdf>

**Republic of Korea Applicants**

Institutions or the researchers of such institutions having research and development capabilities equivalent to those of the research institutions defined in Article 12 of the Regulations on the Management of the Research and Development Projects of the Ministry of Science, ICT and Future Planning (Jun.10, 2013).

1. **REQUIREMENTS – SELECTION CRITERIA**

**Applicants**: An industry-academia consortium

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| --- | --- | --- |
| **Description** | **India** | **Republic of Korea** |
| Project Lead  (Principal Entity) | Industry (Company)  {Indian Project Lead} | Government Research Institute or University  {Republic of Korea Project Lead) |
| Participating Entity  (Partner) | Government Research Institute or University | Company |

Applicants are required to meet all of the following criteria when applying for funding under this RFP. Each proposal for an India-Republic of Korea Joint Applied R&D project must:

* Identify an eligible lead from India and Republic of Korea respectively, responsible for leading the India-Republic of Korea project and consortium, developing the R&D joint project in each jurisdiction, and officially submitting the application for funding in their country to the respective implementing agency (GITA in India and KIST in Republic of Korea). Indian and Republic of Korea co-applicants must elaborate a joint and single project proposal application. Joint project proposals must be submitted in English to both implementing agency, based on the deadlines furnished. Unilaterally submitted proposals shall not be considered.
* Before submitting the proposal, the Project Lead/Principal Entities of both countries shall have completed negotiations on details including payment of contributions, roles and mutual responsibilities.
* **Indian Applicants:**
* Indian Project Lead company must be registered in India under Indian Companies Act 1956 and maintain a minimum of 51 percent Indian ownership;
* Although it is not mandatory, participation of an academic institution, research hospital or other R&D institution is strongly encouraged;
* **Republic of Korea Applicants:**

Institutions or the researchers of such institutions having research and development capabilities equivalent to those of the research institutions defined in Article 12 of the Regulations on the Management of the Research and Development Projects of the Ministry of Science, ICT and Future Planning (June.10, 2013).

* **Types of projects to be supported:**
* **Joint research, development and innovation activities including e.g. piloting, demonstration and testing.**
* **Projects should be innovative and user need-driven and they should lead to new products, services or processes with potential to commercialization.**
* **Duration of the project should not be more than 24 months**
* Demonstrate the joint India-Republic of Korea project team’s capacity to manage the proposed project;
* Articulate clear commercial goals, and associated commercialization strategies

**Collaboration and Roles:**

* The Indian and Republic of Korea applicants/participants contributing to the project should have detailed collaboration agreement including, *inter alia*, roles, responsibilities, contributions, IP rights, and freedom to operate commercially. This will demonstrate that all partners contributing to the R&D project have agreed in advance on IP rights and the commercialization plan for the jointly developed product or process, The draft of collaboration agreement (e.g. LOI) should be attached to the project funding application;
* Building on the principles of a true bilateral partnership, all projects should demonstrate equivalence in effort from the Indian and Republic of Korea partners. Each participant in the consortium should have a relevant, specified role in the project in order to add value to the joint collaboration;
* Projects involving both academia and industry must demonstrate active participation by industry partner.

**Please note:**

* Although it is not mandatory, projects that engage a technology developer and a technology end-user/first customer are strongly encouraged.
* In India, R&D projects that provide opportunities for young researchers to participate are strongly encouraged;

Any team proposing an R&D project that addresses the above criteria is eligible to apply to this RFP in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

1. **R&D PROJECT FUNDING – FINANCIAL SUPPORT TO SUCCESSFUL APPLICANTS**

Selected R&D project participants will receive funding from GITA (on behalf of Department of Science & Technology, Government of India) in India and from KIST in Republic of Korea respectively. Funds will be provided in accordance with the national laws, rules, regulations and procedures established by each organization, and/or each jurisdiction/country.

Although the individual type and value of individual contributions allocated to India-Republic of Korea R&D project may vary, each bilateral project must highlight the **total contribution from each participating country**. Total contribution may be defined as the combined value of cash, human resource effort, services and/or equipment that each country invests in an R&D project.

**Funding for R&D Project Participants in India**

All successful projects will have at least 50% industry R&D component. The active participation of industry will be assessed from the project budget and the R&D performed by the company.

* Funding will be limited to 50% of the total eligible national cost of the project with a limit of INR 150 Lakhs (INR 15,000,000) per project on the Indian Side. (This means, if the Indian Project Cost is 100 units, the Indian applicants would be eligible for an overall support of 50 units only. Moreover, the overall project support of 50 units is a maximum from Government of India, irrespective of its receipt from DST/GITA and/ or any other Government Funding Agency support. Once a project is funded with 50 units by DST/GITA, the project applicants are not entitled to request for further funding support from any other Government Funding Agency for the same project, with similar product/process and commercialization).
* Public funded academic and research organisation applicants may receive grants-in-aid up to 100% of its part of eligible national cost in the project.
* Industry (Company) may receive up to 50% of its part of eligible national cost by way of soft loan repayable upon completion of the project {with 3% interest per annum, repayable in 10 instalments approximately, with a project period as the moratorium period - subject to change as per the Government of India (GoI) norms and rules}. For more details in this regard, please visit Section 12: Funding Support Disbursement / Terms and Conditions of Repayment of Fund in India of this document.

**Funding for R&D Project Participants in Republic of Korea**

On the Republic of Korea part of the project, normal funding criteria and funding instruments as well as the general funding terms of KIST will be applied.

For each project: Government subsidy of KRW 150 million + corporate contribution (KRW 5 million in cash + KRW 45 million in-kind)

The criteria for corporate contributions shall be based on the Regulations on the Management of National Research and Development Projects, pertaining to SMEs. However, depending on each case cash contribution may be substituted by in-kind contribution.

1. **APPLICATION PROCESS – HOW TO APPLY**

Indian and Republic of Korea Co-Applicants must develop a unique project proposal application that shall be submitted in English using the Application Form, provided by the implementing agency, GITA and KIST, simultaneously within the deadline of the RFP.

The Application Form, Guidelines, and other relevant documents and information regarding the RFP are made available on GITA website for Indian Applicants and on the KIST website for Republic of Korea applicants for a specified period, till the last date of submission of the application.

**In India:**

Indian applicants can register on GITA website ([www.gita.org.in](http://www.gita.org.in)), access and download the application form template and the guidelines.

Completed application forms could be submitted to GITA by the Indian Project Lead (IPL) via email. Electronic signatures of authorised officials will be accepted on applications submitted to GITA.

Additionally, the IPLs are required to submit two original sets of documents to GITA, duly signed by their authorised officials, who are responsible for the implementation of the proposed R&D project, as well as duly endorsed by the Chief Executive or Head of the applicant organization or institute.

**In Republic of Korea:**

The applications can be submitted as follows:

* Via E-mail: One(1) full proposal
* Via Post mail: One(1) original hard copy of proposal, fourteen(14) copies of proposal, and one(1) application letter

**Timeline for Submission**

The Indian Project Lead (IPL) and counterpart Republic of Korea Project Lead (ROKPL) are required to submit a joint Application using the templates obtained from GITA and KIST respectively. Project proposals that are not in the prescribed template or are hand-written shall not be accepted.

Please note that application templates and requirements for Indian and Republic of Korea applicants may have variations; applicants should follow their local guidelines and should contact the local program manager in India / Republic of Korea, if they have any query regarding the application process and proposal submission.

All completed applications, along with requisite documents, must be submitted by Indian Project Lead (IPL) and Republic of Korea Project Lead (ROKPL) to GITA and KIST respectively on or before All above documents must be submitted by August 30, 2014.

IPL and ROKPL Applicants will receive confirmation from GITA and KIST respectively upon successful receipt of the applications.

Applicants should follow their local guidelines and contact the nodal persons at their national funding organisations, if any further clarification regarding the application process or proposal submission is required. Contact details are given below:

|  |  |
| --- | --- |
| **Indian side (GITA)** | **Republic of Korea side (KIST)** |
| Global Innovation & Technology Alliance(GITA)  4th Floor, IGSSS Building,  28 Institutional Area, Lodi Road,  New Delhi - 110003, INDIA  Phone: +91-11-45772043 / 45772029  Fax: +91-11-45772014  Contact person: Mr Vimal Kumar  Email: [vimal.kumar@gita.org.in](mailto:vimal.kumar@gita.org.in)  Website: <http://www.gita.org.in/> | Global Cooperation Team  Korea Institute of Science and Technology (KIST)  Hwarangno 14-gil 5, Seongbuk-gu, Seoul 136-791, Seoul, Korea  Contact person: Ms. Lee, Kyung Soon  E-mail : [kslee@kist.re.kr](mailto:kslee@kist.re.kr)  Website: [www.kist.re.kr](http://www.kist.re.kr) |

1. **ADDITIONAL SUPPORTING DOCUMENTS REQUIRED WITH APPLICATION FORM (FOR INDIAN APPLICANTS ONLY)**

Along with the Application Form which will be submitted online by Indian Project Lead (IPL), they will also be required to submit/upload the following additional supporting documents as part of the application form.

* Copy of Agreement (along with IP sharing agreement, if any) between all Indian Project Partners (as applicable), clearly specifying the roles/responsibilities/ deliverables of each of the project partners,
* Collaborative Agreement between the Indian and the Republic of Korea Project Partners along with IP sharing agreement (if any),
* In case of in-house R&D Centres recognized by the Department of Scientific and Industrial Research (DSIR), Government of India, copy of DSIR registration/recognition certificate. For details, please refer to <http://www.dsir.gov.in/forms/irdpp/Application%20for%20R&D.pdf>,
* KYC documents of IPL/Partners,
* Copy of the Company Registration Certificate of IPL/Partners,
* Audited Annual Reports (including Balance Sheet, Profit & Loss Account & Auditor’s Reports) of IPL/Partners for last three Financial Years. Annual Report can be exempted in case of institution managed by Government Agency.

Please note – the above list is indicative and GITA, in India, may seek additional documents/information from individual project applicants as well.

1. **IMPORTANT DATES AND DEADLINES**

Announcement Date of Request for Proposal (RFP) : June 17 2014

Application Period : June 17 to August 30, 2014

Closing Date of RFP : August 30, 2014

Announcement of Request for Proposal Results : End-October/Early-November 2014 (Tentative)

Note: The above timeline/schedule is indicative only and is subject to change.

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| Proposal Submission  (Jun. 1~Aug.30) | ➡ | Evaluation  (First Stage)  (Sept.1~) | ➡ | Joint Review (Second Stage)  (~ Oct..) | ➡ | Final Recommendation  (Oct.) | ➡ | Announcement of Results –  Projects Selected  (End Oct./Early Nov.-Tentative) |
| Submission of the Proposal to GITA and KIST |  | Parallel but Independent Evaluations in India and Republic of Korea for Selection of  candidate projects  (respective  document-based  evaluation in  each country) |  | Joint Review  by DST-GITA and KIST through meeting/ video conference |  | Final Recommendation by DST-GITA and KIST |  | Communications to Applicants |
|  |  |  |  |

1. **SCREENING OF APPLICATIONS**

All applications will be handled strictly confidentially.

GITA & KIST will initially screen all the applications received for completeness of information as per the RFP guidelines. If there are gaps in the information, GITA & KIST may contact the applicants requesting them to provide the information required to fill in the gaps.

Thereafter, GITA & KIST will create a list of the complete project proposals received against the RFP and share it with each other. After the deadline period, a joint cross-check will be executed by the RFP implementing agencies on receipt of proposals on both sides.

* This will result in identifying project proposals submitted only in one country.
* If certain project proposals do not meet the basic/key criteria, as outlined in the guidelines, GITA and counterpart implementing agency, KIST, will jointly discuss on whether to exclude such proposals from the ongoing RFP.

A separate communication will be sent by GITA and KIST to such applicants, informing them of the decision.

* Subsequently, for all the project proposals meeting the eligibility criteria, evaluation process will be initiated. Project applicants may be requested to submit additional documents/ information based on queries within a stipulated timeframe.

1. **EVALUATION AND SELECTION OF R&D PROJECTS**

**Evaluation Process**

Drawing on expert reviewers from both countries, GITA and KIST will carry out parallel but independent evaluations of all applications based on the project criteria and requirements specified in the RFP application form. Successful R&D projects will be jointly reviewed and selected by the two RFP implementing agencies based on the feedback and recommendations received from Indian and Republic of Korea expert reviewers. Together, these program implementing agencies will find a consensus on projects to be funded under this RFP/competition.

In India, all the applications will be evaluated by an independent panel of experts called the Project Evaluation Committee (PEC). The full proposal would be examined and reviewed by sectoral and financial experts. Project Evaluation Committee (PEC) meeting will be convened by GITA, where the Project Applicants will be invited for presentation and discussion. During the evaluation process, IPL/Partners would be required to present their project proposal to the Project Evaluation Committee (PEC) in a face–to–face meeting. Schedule/venue for the presentation will be communicated by GITA to the IPL/partners in advance, along with check–list of supporting documents to be produced. No Travel/Stay allowances will be paid to IPL/Partners for this purpose. IPL/Partners would be required to bring self–attested copies of the above documents along with their presentations.

**Evaluation/Assessment Criteria for Selection of R&D Projects**

The joint projects must meet the general requirements of the funding organisations. The projects to be funded are chosen by evaluating them as a whole. Projects are reviewed and evaluated against the evaluation criteria outlined in the agreed evaluation form, mainly:

* **Technological Features**
* Research plan: Research quality, appropriateness of research goals, and possibility of attaining research goals
* International cooperation: Necessity for international cooperation, synergistic effects, etc.
* Research capability: Capability of researcher/institution (Korea & India), technological capability, etc.
* **Commercial Feasibility**
* Possibility of commercializing research results, social/economic effects, etc.
* **Capacities of Project Partners and Cooperation**
* Financial Capacity of Partner
* Formal Agreement between Partners
* Well balanced partnership
* Added value through co-operation
* Technology Capacity of all Partners
* Managerial Capacity of all Partners
* **Project Structure**
* Methodology and Planning Approach
* Milestones and deliverables
* Cost and financing structure
* Financing Commitment of each partner
* **Technology and Innovation**

1. Technology Advance

* Degree of technological maturity and risk
* Technological achievements

1. Innovation

* Degree of innovation
* Geographical/Sectorial Impact
* **Market and Competitiveness**
* Market and profitability
* Market size
* Market access and risk
* Return on investment
* **Competitive Advantages**
* Strategic importance of the project
* Enhanced capabilities and visibility

Following the independent evaluations in India and Republic of Korea, a joint review committee will be held, made up of representatives from both the Indian and Republic of Korea funding and implementation agencies, and consensus on projects to be funded will be found. After that, the funding decisions will be made by the funding organisations according to their normal procedures.

**Announcement of the Results**

Project leads will be informed of the outcome of the review process by separate communications, individually. Funding would be awarded to the successful (selected) bilateral projects, by their respective RFP implementing agency.

**Administrative and Legal Requirements to be Addressed by Project Leaders (IPL) Prior to the Release of Funds**

Following award notification, GITA will advise project leaders in their jurisdiction of all administrative and legal requirements to be addressed prior to the release of funds.

Funding granted by KIST will be governed by the general terms and conditions of KIST.

**Funding Support (to Indian Applicants):**

The Indian Project Lead (IPL), as an Industry partner (company) and its other industry co-investigators will be supported with soft loan as per the terms and agreement. Please read carefully for the exact funding support to the Indian Project Partners, as mentioned in Clause 5: R&D Project Funding – Support to Successful Applicants.

The funding support is released to the Project Partners in Instalments. The first instalment may be released immediately after the GITA Due-Diligence process and Signing of the Agreement, and could range between 30-50% of the total fund to be supported. The subsequent funding / instalments to the Indian project partners will be released as per the (a) agreed milestones and deliverables laid down in the agreement between GITA and IPL and (b) on-site periodic project review (bimonthly or quarterly) by Experts nominated by GITA.

A Project Review cum Mentoring Committee, comprising of Technical and Financial Experts, shall be constituted by GITA for the purpose.

1. **APPLICATION GUIDELINES**

The purpose of this document is to provide applicants with guidance about how to develop a strong application for the bi-lateral R&D program managed by GITA and KIST. This includes relevant information to help potential applicants in understanding the various processes and steps needed to complete a funding application. Funding applications are usually accepted through specific Request for Proposal (RFP) Announcement. Additional details related to partner country, targeted priority sector(s), and participation of additional funders, will be clearly described in each Request for Proposal Announcement. Potential applicants are invited to regularly visit the GITA and KIST web sites to find out when the new RFPs are released.

# 11.1 Programme Overview

The key objectives of this programme are:

* to encourage domestic competitiveness through the transfer of technology and knowledge resulting from international S&T partnerships;
* to foster international S&T partnerships and collaborative research with an emphasis on industrial outcomes;
* to accelerate the commercialization of R&D that would benefit India and Republic of Korea, through international partnerships, with a focus on small and medium-sized enterprises;
* to access international technologies for Indian and Republic of Korea enterprises;
* to promote Indian and Republic of Korea R&D capacities and India and Republic of Korea as destinations for foreign technology-based investments;
* to encourage the mobility of researchers and to promote India and Republic of Korea as a career destination for foreign researchers and highly qualified personnel; and
* to strengthen overall bilateral S&T relations.

The Planned Results of the programme are as follows:

* Companies and Research Institutes/Universities participating in GITA and KIST – funded projects are positioned effectively in target markets and sectors to engage in innovative technology – driven R&D and/or adoption.
* Indian and Republic of Korea-based companies and Research Institutes/Universities have increased knowledge and understanding of global innovation and business networks.
* The international R&D community, in targeted markets and sectors, demonstrates an increased awareness of Indian and Republic of Korea technological capabilities.
* Indian and Republic of Korea-based companies have access to, and participate in, global R&D networks in targeted markets and sectors.
* Innovative technologies are developed and commercialized.

**India Budget**

All successful projects will have at least 50% industry R&D component. The active participation of industry (company) will be assessed from the project budget and the R&D performed by the company.

* Funding will be limited to 50% of the total eligible national cost of the project with a limit of INR 150 Lakhs (INR 15,000,000) per project on the Indian Side. (This means, if the Indian Project Cost is 100 units, the Indian applicants would be eligible for an overall support of 50 units only. Moreover, the overall project support of 50 units is a maximum from Government of India, irrespective of its receipt from DST/GITA and/ or any other Government Funding Agency support. Once a project is funded with 50 units by DST/GITA, the project applicants are not entitled to request for further funding support from any other Government Funding Agency for the same project, with similar product/process and commercialization).
* Public funded academic and research organisation applicants may receive grants-in-aid up to 100% of its part of eligible national cost in the project.
* Industry may receive up to 50% of its part of eligible national cost by way of soft loan repayable upon completion of the project (with 3% interest per annum, repayable in 10 instalments approximately, with a project period as the moratorium period - subject to change as per GoI norms and rules). For more details in this regard, please visit Section 12: Funding Support Disbursement / Terms and Conditions of Repayment of Fund in India of this document.

**Application Process**

Funding application will only be received following the official Request for Proposal Announcements on GITA and KIST websites. Each RFP will define the priority sector(s), if any, and establish the desired project parameter specific to that RFP. Normally, GITA support will be ~~(~~up to a maximum of 50% of the eligible Indian costs). Please refer to RFP guidelines, terms & conditions for specific amount of the upper limit. Project duration is typically upto 2 years, although longer project duration may be considered at exceptional basis on the project merit. Applications seeking funding support from GITA and KIST may be submitted in the following way:

* Jointly in an application by the Indian and Republic of Korea Project Leads (IPL and ROKPL) to the implementing organisation identified in the RFP Announcement

RFPs will normally involve a single stage process. Applicants will first be asked to submit a detailed Application Form which, amongst other requirements, outlines in greater detail the proposed work, identifies the project team, establishes the technical and commercial relevance and provides a summary of project funding from all sources, commercialization potential and IP management as well as additional information relating to the submitted proposal. In the RFP, applicants may also be directed to additional requirements specific to the implementation organizations in each country.

## Application Form Submission

Submission of a completed Application Form (in prescribed format) is mandatory. **Applications in any other format will not be accepted.** Proposals for the Collaborative R&D Programme will include a technical and a business component. The technical component describes the innovation, gives details of the proposed technical approach and contains a research Programme Plan. The business component covers the market analysis, commercialization plans, and benefits to project participants, project organization, and the management plan. The proposal will also provide a description of the companies and other participants along with detailed resumes of key project personnel. It is important to be **clear, concise, and to the point** when filling each section so to best present the merit of your project in an effective manner. Please refer to the following sections to get a better understanding of what will be covered in the application form:

11.2 The Innovation

* What is the current "best practice"?
* What are the current limitations? This is an opportunity to elaborate on the shortcomings that exist in the proposed area of innovation as a prelude to the description of the innovation and how it can overcome these shortcomings. Current limitations could include: high cost, sub-optimal performance, lack of attention to specific market opportunities, e.g., poor suitability to high-or-low-end markets, size, compatibility, nonconformance to standards, etc;
* What is the idea? Sketches, diagrams and tables could be included to help describe the innovation. This description should clearly identify in what way(s) the innovation overcomes current limitations. How the idea overcomes these limitations is to be contained in this section;
* How much will the proposed program cost and how long will it take to develop the product to the point of commercial readiness?
* What is the patent situation, including background patents and the potential for new patents? Are there any obligations to other agencies which have supported any part of the innovation development?
* Which standards relate to the developed product? Will the proposed product meet current and/or emerging standards?

11.3 Proposed R&D Program

This section of the proposal could be organized in two parts: "Analysis of the Problem" and "Proposed Approach".

#### Analysis of the Problem

The purpose of this section is to establish a credible basis for the proposed R&D program, with the intent of identifying specific problem areas. These are the problems or challenges that need to be overcome in order to achieve the program objectives. For example, at the start of the project, the companies and participants are at Position A, which relates to the current limitations highlighted in the preceding section. By the end of the project, at the point of commercial readiness, the companies and participants expect to be at Position B. What specific problems must be solved or overcome in order for the companies to reach Position B, consistent with the project budget and timetable? Clearly, these problems and their resolution should have been considered by the participants in formulating their Proposed Approach and in defining the Programme Plan.

The problems may focus on a variety of technical issues – for example, how to achieve lower power consumption or higher circuit speed with data indicating both the current situation and the target values for the innovation. Process challenges may include how to enhance measurement accuracy; improve manufacturing yield; make the software platform-independent; automate a process, etc. Product targets may relate to issues such as the design of a more streamlined system with fewer parts, improved temperature performance, greater reliability, smaller footprint, enhanced market appeal, or greater flexibility. In some cases, the problems may relate to the need for fundamental technological breakthroughs in order to develop a currently non-existent product. In others, for example, the technological problems may be relatively straightforward, with key issues relating to product integration into an existing line or management of a complex, inter-disciplinary, multi-task project.

Additional items to be addressed in this section may include:

* Definition of the required properties and functions of the end-product that will be used in the service environment. Often, this is referred to as "the specifications sheet". This is the “Position B” referred to previously in this section. What market input has contributed to formulating the end-product characteristics?
* Identification and description of problems associated with realizing the required properties and functions. This is an in-depth discussion of the problems that must be solved in order to achieve the program's objectives. The participants should confirm that any critical technologies required are firmly under control.

#### Proposed Approach

This section must be sufficiently detailed for expert reviewers to assess the approach being followed for the research. It should include:

* A general plan of the proposed effort setting the stage for the more detailed task descriptions. This overall plan includes the achievements that will make it possible to realize the program's objectives;
* Any technical or economic constraints;
* Identification and detailed description of each task. This is the heart of the technical part of the proposal, stating the objective for each task and identifying the participant with primary responsibility for the task;
* Describe - for each task - the specific approach that will be employed, i.e., detail the techniques to be used to solve the previously identified problems. In this section, the participants demonstrate that they are aware of current best practice, its limitations and the opportunities inherent in the proposed innovation. As well, this section should demonstrate that the proposer understands the problems associated with developing the idea of commercial readiness;
* Discuss alternate approaches to resolving problems and the basis for selecting the preferred solution. Even if a preferred solution has not yet been determined, the various alternatives should be reviewed along with their relative merits;
* The detailed description of the technical approach should provide the reviewers with sufficient information to perform a meaningful review of the proposal. For each task, provide supporting information that justifies the specific approach, where appropriate;
* Since the final objective is a product or process, tasks addressed should include compliance to standards (or why the product will not comply with applicable standards), prototyping, regulatory approvals, exhibitions, marketing activities, documentation, etc. Again, for those tasks relating to "testing", for example, details should be given as to what is to be tested, how many tests are needed, test objectives, test methodology, expected results, etc.

11.4 Programme Plan

Should the project be approved, the Program Plan section of the proposal will be incorporated into the Project Funding Agreement and will be used by GITA and KIST in monitoring/ mentoring project progress. For projects with duration 18 months or less, the effort should be organized into one project period. For longer projects, the effort should be organized into two periods of roughly equal duration. Note that regardless of the project duration, progress and financial reporting will be required every six months, if not earlier.

The Programme Plan should consist of:

* A chronological schedule of program activities presented in graphical form, clearly indicating the estimated time required for the completion of each task in addition to milestones. Specific participant assignments for each task should be identified in the Program Plan even if this information was provided elsewhere, and task assignments for subcontractors and consultants should be delineated;
* A one page summary Gantt chart;
* A Work Breakdown Structure (WBS) detailing the planned time commitment for each task, covering the same project duration (see example in Table 1);
* And encompass the entire duration of a multi-period program, including all activities that must be performed until commercial readiness.

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

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

11.5 The Market

Although there are uncertainties implicit in predictions of future markets and possible competition for any new product or process, it is important to demonstrate that the participants have made a thorough analysis of the market. Such an analysis can typically include the following considerations:

* What market needs are served? Are one or more participants currently active in developing, manufacturing and selling similar types of products in this market? What is the basis for this market need?
* What is the total addressable market for the product? What is the current position of the participants in this market? What is the expected growth of this market over the effective sales window of the product being developed, and what is the basis for this projection? What events could significantly alter this projection? What market share is expected to be captured in the year of market entry and over the product sales lifetime?
* What barriers, e.g., regulatory, might be encountered, and how will they be overcome?
* What competition exists or do you expect in the future? Provide an evaluation of the impact of competition on the commercialization of the proposed product.

This is not a complete list. The basic message is that developing innovative concepts for commercial gain is an intrinsically risky, uncertain, but occasionally highly rewarding undertaking whose prospects of success can be immeasurably improved by finely tuned, objective and early planning. The participants should present whatever additional information they consider relevant.

11.6 Commercialization – Plans and Prospects

It is obviously beneficial to those making investment decisions regarding new technology if a single index can be derived which provides a "figure of merit" for deciding on a particular investment, or for evaluating various alternatives.

A preliminary financial analysis which includes the potential gain from successful implementation of the proposed project should be made using a Cash Flow Analysis approach of your choice.

Should the project prospects be encouraging, the commercial program needs to be planned and implemented? Some of the questions to be discussed are:

* Will the participants be engaged in production? What are the existing manufacturing facilities and how can the proposed product manufacturing be incorporated into the existing infrastructure?
* Who will sell to which market regions? What is the current sales level of the participants in the primary target regions for the proposed product?
* Do any of the participants currently have a suitable sales and service network? If there is such a network, it should be described. Alternatively, does such a network need to be created from scratch? Describe the process by which the participants plan to establish such a network and the resources required;
* Considering the maximum cash requirements based on the cash flow analysis, to what extent are the necessary resources - financial or otherwise - available within the participating companies? If any additional resources will be required, how will they be mobilized? Describe all relevant potential sources.

11.7 Cooperation and Benefits

The clear expectation of risk and benefit sharing by participants during product development and commercialization is essential under this program. An important factor in evaluating the proposal, therefore, is the extent to which the participants will share in the research, product development and introduction to the marketplace, as well as the benefit to be derived by each participant during product commercialization. Also of importance are the expected socio-economic benefits in each participating countries in the form of new export markets, new employment opportunities, new capital formation, productivity improvements, etc.

Please elaborate these issues in the context of the agreement between the participants with respect to their agreed-upon roles during the various project stages including the commercialization process.

If there are plans for exchange of young researchers involved in this project, please indicate the length of exchange and the role(s) to be played in the R&D activities. Also explain how the exchange of young researchers adds value to the project goals.

11.8 Organization and Management Plan

This section should contain a presentation of the proposed management procedures for the program, including the internal review procedures and overall management plan that will ensure, barring unforeseeable circumstances, implementation to design specifications, on schedule and within budget.

* Describe the procedures to be implemented to maintain timely communications between lead participant's project team in each country. Indicate the role of review meetings (when, where, for what purpose, with whom) during the project;
* Provide an organization chart for the project, identifying each participant's project leader and the overall program manager, and indicate the relationship of this ad hoc organization to the formal hierarchies in the participant’s organization. Identify the program's key project personnel and their responsibilities;
* Regarding staff - indicate positions to be filled by new employees and identify the status of these staff;
* Identify the role of key consultants and subcontractors on the organization chart and indicate if a relationship between the consultants/subcontractors and the participants currently exist.

11.9 The Participants and the Project Personnel

In the final analysis, the determining factors in the successful commercialization of innovation are the people and the participating companies involved. Please provide information about each of the participants, including the following:

* In the case of industry (company) participants, please provide the year in which each company was established, company ownership and principal business of each company;
* Record of performance in similar/related undertakings. Describe the extent to which products similar or related to the proposed innovation have been developed and commercialized. What is the track record or history of each participant that also substantiates a positive prognosis for this proposed product's successful commercialization?
* Degree to which the proposed project can be absorbed into the existing structure of each participant. To what extent are the staff, equipment, facilities, etc., available for the project? Identify the need to hire staff, obtain (purchase, lease or rent) capital equipment, or expand manufacturing operations;
* Relationship of the proposed project to other participant projects that receive/have received support from any outside agency for development of the proposed innovation;
* In the case of company participants, the financial information validating that the companies cannot only contribute their share of the project cost, but have the resources available for the commercialization phase. Public companies can submit annual and quarterly reports rather than specially prepared information. At a minimum, annual revenues expected during the current fiscal year and realized during each of the last two fiscal years should be given, in addition to an indication of the profitability of the company participant during this period. Number of employees at home, at field locations and abroad should be given, along with an indication of changes in the employment picture during the past two years;
* Description of relevant facilities, equipment, infrastructure, etc., which are expected to be utilized during the project and during product commercialization;
* Resumes of key personnel/researchers who will work on the project. The resumes should include each individual's role in the project, e.g., project manager, senior software engineer, field engineer, etc. Include the person's current affiliation with the participant’s organization, job title, relevant job experience and significant accomplishments, starting from the most current position. List professional affiliations and committee memberships. Indicate higher education and degrees and provide a listing of relevant publications authored or co-authored (maximum, one page). Resumes of consultants should also be included. In general, the reviewers of the proposal need to see that the experience, education and capabilities of the professional staff are commensurate with the R&D tasks to be performed;
* Additional pertinent information, such as product brochures, expressions of interest from potential customers in the products or processes to be developed, marketing agreements, etc., should be included.

11.10 Intellectual Property Treatment

Most of the collaborative projects funded under this program are expected to produce new intellectual property (IP). The program also recognizes the value to the participants of any background IP they might bring into the project. In general, a participant’s background IP will remain vested with the owner.

Please provide a detailed list of the background IP brought into the project by all participants. The proposal must describe, to the extent possible, the new IP which is expected to result from the project and must address the proposed treatment of all the intellectual property. This includes the ownership of new IP and sharing of the new IP between the participants. Any IP agreement between the participants must respect the IP laws of each country along with the IP policies of the academic and other research institutions involved in the project. A signed IP agreement between all participants in the project is required before funds will be released to the project team.

1. **PROJECT BUDGET**

A separate budget should be presented for the project component in each country covering each participant's activities for each period of the project as proposed (Please use the appropriate budget sheets for each participant. Each participant should provide its budget detail in the prescribed budget sheet and the lead participants should provide an overall budget for the project’s national components.

Furthermore, the funding of the project begins from the effective start date agreed upon in the project funding agreement signed with the successful lead participants. Expenses incurred by the participants prior to the effective start date of the project cannot be restructured to fit into the eligible expenditures.

If the Indian Project Cost is 100 units, the Indian applicants would be eligible for an overall support of 50 units only. Moreover, the overall project support of 50 units is a maximum from Government of India, irrespective of its receipt from DST-GITA and/ or any other Government Funding Agency support. Once a project is funded with 50 units by GITA, the project applicants are not entitled to request for further funding support from any other Government Funding Agency for the same project, with similar product/process and commercialization.

**Project Agreement**

Lead participants of the projects are required to complete all necessary internal procedures for project implementation, and enter into an agreement or contract with their implementing organization.

1. **FUNDING SUPPORT DISBURSEMENT / TERMS AND CONDITIONS OF REPAYMENT OF FUNDS IN INDIA:**

**Terms and Conditions of Repayments of the Fund (for Indian Applicants) are as follows**

* + 1. The Indian Project Lead (IPL) would be given a soft loan {with 3% interest and subject to change as per Government of India (GoI) norms and rules}. The project period would be considered as the Moratorium Period. Once the project period is over, the repayment of the loan (if applicable) by IPL shall start. The general terms and conditions of the loan would be:
* The loan will be an unsecured loan carrying a simple interest of 3% per annum on the outstanding amount of the loan.
* Interest will become due from the date of release of funds under the project to industrial partners.
* The repayment of the loan will be in 10 annual equal installments.
* The project implementation period will be the moratorium period and will not be liable for repayment of installments and interest. However, the interest accrued during the implementation period will be amortized and will be payable in a maximum of 10 installments.
* The interest will be payable every year along with the loan installment of repayment.
* The Indian Project Lead (IPL)/ Industry Partner undertakes to ensure timely repayment of the loan along with installment of interest as per the schedule notified. Any delays in repayment will entail payment of penal interest @ 12% P.A. compounded monthly for the period of delay. Successive two defaults will entail recall of the total outstanding loan immediately.
* The Indian Project Lead (IPL)/ Industry Partner shall maintain a separate account for the expenditure from loan amount for the project.
* The Indian Project Lead (IPL)/ Industry Partner shall have the first right to avail / utilize the IPR /knowledge / technology / product / appliance developed in the project on the following terms and conditions, which shall be final and binding on the industry partner:
* The Industry Partner shall utilize the loan only for the purpose of the project and not for any other purpose including civil constructions & renovation of the R&D and associated facilities. Diversion of funds to other purposes will entail cancellation of the loan and immediate repayment of the outstanding loan amount with a penal interest @ 12% compounded monthly.
* The Indian Project Lead (IPL)/ Industry Partner will meet any expenditure incurred on the project over and above the loan amount.

* + 1. The Indian Project Lead (IPL)/ Industry Partner should preferably have an R&D Center, which has valid recognition of Department of Scientific and Industrial Research (DSIR), Government of India.
    2. In case of reorganization of the Indian Project Lead (IPL)/ Industry Partner through merger, acquisition, termination, closure etc., the Indian Project Lead (IPL)/ Industry Partner undertakes to settle the GITA loan even prior to initiating such measures.
    3. The provision of the grant to the institution or loan to Indian Project Lead (IPL)/ Industry Partner does not create any liability explicit / implicit on GITA of the manpower engaged for the project.
    4. In case the Indian Project Lead (IPL)/ Industry Partner decides to abandon the project or for breach of any of the terms and conditions, the entire amount of the loan outstanding on that date shall become recoverable forthwith and it shall be open to GITA to effect the recovery, in any manner it thinks fit, from the firm.
    5. In the event that Indian Project Lead (IPL)/ Industry Partner wishes to pay any amounts ahead of the schedule, there shall be no prepayment penalty levied.
    6. Notwithstanding anything contrary in the agreement, the terms conditions are subject to change as decided by the Government of India from time to time, the Industrial Partner agrees to abide and honour such directions and decisions of Government of India.

1. **KEY DOCUMENTS NEEDED (For Indian Applications)**

|  |  |
| --- | --- |
| **Stage** | **Documents** |
| Application Form Submission Stage | 1. Completed Full Project Proposal in Application Form along with all annexures (signed and stamped by Authorised signatory) 2. Memorandum of Understanding (MoU) between Indian Project Partners 3. Collaborative Agreement between the Indian and the Republic of Korea Project Partners 4. In case of in-house R&D Centres recognized by the Department of Scientific and Industrial Research (DSIR), Government of India, copy of DSIR registration/ recognition certificate. For details, please refer to <http://www.dsir.gov.in/forms/irdpp/Application%20for%20R&D.pdf> 5. Copy of the company registration and land ownership/lease papers for the company facility 6. Copy of the Registration Certificate, issued by competent authority of all Indian Project partner(s) 7. Audited Annual Reports (including Income Tax Return, Balance Sheet, Profit & Loss Account & Auditor’s Reports) of all Indian partners for the last three Financial Years. 8. Know Your Customer (KYC) documents of all Indian Project partner(s) 9. Covering letter   *Please refer to Section 7 of this RFP Guidelines document – Additional Supporting Documents Required with Application Form for more details about required documents for Indian Applications.* |
| Agreement Signing Stage | All successful project applicants (in India) will be informed before the agreement signing stage about the requisite documents to be submitted during the Agreement Signing stage. |

1. **CONTACT INFORMATION**

**INDIA**:

|  |  |
| --- | --- |
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