



edtea

Department :

Economic Development, Tourism and
Environmental Affairs

PROVINCE OF KWAZULU-NATAL

KZN TECHNOLOGY TRANSFER FUND

Application Guidelines

5/11/2016

TABLE OF CONTENTS

1. OBJECTIVES OF THE KZN TECHNOLOGY TRANSFER FUND.....	2
2. FINANCIAL ALLOCATION FOR THE CALL FOR PROPOSAL.....	2
3. RULES OF THE CALL FOR PROPOSALS.....	2
3.1 Duration:.....	2
3.2 Eligibility Criteria:	2
3.3 Non-Fundable/Ineligible Projects	2
3.4 Eligible Geographical Area.....	3
4. HOW TO APPLY AND PROCEDURES TO FOLLOW	3
5. OBTAINING THE APPLICATION FORM AND DOCUMENTATION	3
6. DOCUMENTS TO BE SUBMITTED WITH APPLICATION FORM	4
7. SUBMISSION OF APPLICATION FORM	4
8. DEADLINE FOR RECEIPT OF APPLICATION DOCUMENTATION.....	4
9. EVALUATION AND SELECTION OF INNOVATIONS/TECHNOLOGIES.....	5

1. OBJECTIVES OF THE KZN TECHNOLOGY TRANSFER FUND

- To support the development of commercially viable technology innovations
- To facilitate and support the development of a knowledge base to enhance the knowledge economy
- To promote public private partnerships that assist in bridging financing gaps and help translate university research outputs into fundable ideas for commercialization.

2. FINANCIAL ALLOCATION FOR THE CALL FOR PROPOSAL

A maximum amount of R500 000 will be allocated per transaction in the first year with a possibility of review in the following two years of the partnership. Consideration will however be given to transactions that warrant funding exceeding R500 000 but should not exceed R1 000 000.

3. RULES OF THE CALL FOR PROPOSALS

3.1 Duration:

Funding is for one year. Depending on the innovation, the funding period can be extended for a further two years.

3.2 Eligibility Criteria:

All sectors of the economy are eligible for support that have a high potential to boost employment but not limited to:

- Agro-processing
- Tourism
- Clothing and textiles
- Wood and wood products
- Arts, crafts, cultural and creative industries
- Automotive and components industry
- Chemicals industry
- Green economy initiatives
- Any other sector relevant to KZN

3.3 Non-Fundable/Ineligible Projects

The KZN Technology Transfer Fund will **not** fund the following:

- Innovations/technologies involving the purchase and resale of innovations/technologies without value-adding activity;
- Training costs that are not linked to specific innovations/technologies activities;
- Innovations/technologies that lack comprehensive business plans that describe the innovations/technologies status and needs, and demonstrate the innovations/technologies financial viability and sustainability;
- Innovations/technologies that are wholly funded by another organ of state or donor;

- Innovations/technologies that require funding for the bailout or rescue of distressed companies, partnerships and applicant;
- Innovations/technologies that seek to expand the following markets: tobacco, liquor.

3.4 Eligible Geographical Area

The geographic area covered by a project must be clearly defined and only projects taking place within the province of KwaZulu Natal are eligible for funding support.

NB: Partnership group member's need not all be located within KwaZulu Natal but only those entities whose primary location is within KwaZulu Natal may be recipients of support under the fund.

4. HOW TO APPLY AND PROCEDURES TO FOLLOW

The application process shall be as follows:

- 1) Applicants must obtain an application form from EDTEA or KZNROTT.
- 2) Return a completed application form that will undergo an evaluation together an extensive business plan for funding.
- 3) Applicants can be contacted any time during the application process, whether for more clarity or more information that may be required.

5. OBTAINING THE APPLICATION FORM AND DOCUMENTATION

The application form can be downloaded from the department's website, EDTEA; www.kznded.gov.za and from KZNROTT offices. The deadline for the submission of the application form is **13 June 2016**.

The objective of the application form is to provide sufficient information that will allow the Evaluation Committee to form an opinion regarding the suitability and viability of the project proposal. Thereafter, a decision will be made as to whether the application is successful or not. The indicative date by which applicants will be notified of the outcome of the application shall be no more than 2 months after the closing date.

Eligible applicants will work through the Technology Transfer Office at their respective universities on an ad-hoc basis to lodge their application for funding. The Regional Technology Transfer Office would facilitate and package all applications and present them to both the Technical and Steering Committee for screening and approval.

Each applicant will be required to complete an application form which includes a detailed concept of the innovation, project plan detailing timelines for activities and project costs

Failure to submit a comprehensive business plan within the specified timeframes may lead to the proposal being rejected.

6. DOCUMENTS TO BE SUBMITTED WITH APPLICATION FORM

The applicant must submit the following documents to Technology Transfer Office at their respective universities at the time of application:

- A comprehensive business plan that is no more than 12 months old and which includes projected financial year(s)
- The correct application form, completed in English, with the signed Declaration by the applicant and the signed partnership statement, completed by each partner.
- One original of the application form.
- Proof of academic registration
- Evidence of co-funding (if applicable)
- Any other documentation that would assist in motivating the project application, and assist the Evaluation Committee in assessing its feasibility and sustainability

7. SUBMISSION OF APPLICATION FORM

Upon completion, the application form should be printed and bearing the relevant signatures obtained from the authorized signatories for the applicant organization and the partners. The signed application form should then be submitted, together with a comprehensive business plan and the required supporting documents. Completed application forms are to be submitted at the local technology transfer offices located in each of the four participating institutions of higher education in KwaZulu Natal (DUT, MUT, UNIZULU, UKZN). All applications must be submitted in English. And applicants should complete the application form as thoroughly as possible. The objective of this document is to provide sufficient information to enable the Evaluation Committee to form an opinion as to the suitability of the project.

Once the application form has been completed and submitted, KZNROTT will forward the application to the technical committee and steering committee for approval. The submission will include a single page on the applicant, including a summary of the technology, the team as well as the proposed funding amount. It is proposed that the submission will be presented to both the Technical and Steering Committees for approval. Applicants will be informed of the outcome by the KZNROTT through the TTO and the HEI will enter into an agreement with EDTEA and the successful applicant.

The University will submit a drawdown schedule to EDTEA; funds will be advanced directly to the HEI's bank account where a 'cost center' specific to each investment is created. Once approved, HEI raises an invoice for the full amount to Senior Manager: Research & Development - EDTEA. Payment made by EDTEA Finance to an account identified by the HEI.

8. DEADLINE FOR RECEIPT OF APPLICATION DOCUMENTATION

Activity	Date
1. Opening of Call for Proposals	13 May 2016
2. Closing date for receipt of application forms	13 June 2016
3. Indicative date on decision on the approval and non-approval of success application forms	4 July 2016

Any application form received after the deadline will be rejected automatically.

9. EVALUATION AND SELECTION OF INNOVATIONS/TECHNOLOGIES

The application form will be evaluated by the KZN Technology Transfer's Project Steering Committee with technical assistance provided by the Technical Committee.

All applications submitted by applicants will be evaluated according to the following steps and criteria:

- Relevance to the Call for Proposal
- Administrative and eligibility assessment of application form
- Current stage in the innovation chain and the planned path for innovation.
- Alignment with national and provincial objectives
- The potential of social and economic impact
- The technical and commercial viability
- Intellectual merit and innovativeness
- Technical assessment of the application form
- Feasibility of the work plan
- Relevance of qualifications of the applicant, coordinator(s), wider research team and knowledge partners
- Extent of capacity building
- Adequacy of communication/outreach/engagement strategy
- Adequacy of monitoring, evaluation and learning plan
- Appropriateness of budget