



**BUILDING STRONGER UNIVERSITIES**  
IN DEVELOPING COUNTRIES

**Building Stronger Universities**  
**Phase II**

**Inception Report**  
**Submitted by**

**Kathmandu University**  
**Nepal**



**September 2014**

## 1. Summary Fact Sheet

The BSU II at Kathmandu University (KU) is undertaken by two partners:

The southern partner is **Kathmandu University, P. B. No. 6250, Dhulikhel, Kavre, Nepal.**

The Danish partner is a **Danish Consortium** consisting of the universities, namely, **Aarhus University, Aalborg University and University of Copenhagen.** This consortium will be lead by **Aarhus University.**

The KU BSU II programme will be lead by its **School of Arts**, from where Associate Professor **Sagar R Sharma** ([sagar@ku.edu.np](mailto:sagar@ku.edu.np)) will be coordinating the overall program.

The Danish consortium will be anchored by Senior Research Internationalization Adviser, **Torsten Rødel Berg** ([torsten.berg@au.dk](mailto:torsten.berg@au.dk)) from **Aarhus University.**

The duration of BSU II at KU will be from November 2014 to October 2016.

The budget for KU for BSU II is DKK 3,180,000 while the budget for the Danish consortium is DKK 2,120,000.

The partnership will be centred on developing research capacity within two major themes and the required administrative support systems (also referred to as work packages 1, 2 and 3).

## 2. Objectives, Outcomes, Outputs and Activities

The overall objective of the partnership programme is to strengthen Kathmandu University's (KU) capacity to carry out quality research and PhD education on major social, economic, and technical aspects of societal development in Nepal. There are two intermediate (2 years) objectives: The first is to lay the groundwork for strengthening KU's institutional capacity to carry out research in two major areas (urban futures and renewable energy). The second is to improve administrative research support services; smooth, transparent and demand-driven procedures in particular. The intermediate objectives reflect the fact that Kathmandu University (KU) is a new entrant to the BSU programme (it was added only from BSU II phase), something which has two main implications. Firstly, for KU, BSU II offers an excellent opportunity to strengthen the organizational, structural and technical aspects required to conduct quality research. Secondly, KU sees a need for a step-wise approach whereby the institutional and academic foundations needed for longer term research capacity development, including state of the art, ideas, paradigms, frameworks and methods are established before embarking on e.g. curriculum development, PhD courses and joint supervision

and research collaboration. The partnership also finds it important that, as part of laying the groundwork, needs and problem analyses, as well as mapping of research resources be carried out. The incremental approach obviously implies that the partnership for capacity building of KU looks beyond the BSU II phase.

Therefore, as outcomes of the partnership in the longer perspective, it is expected that KU will have two leading research centres and associated research groups within the liveable urban futures and renewable energy themes (where the focus will be on bio-based energy). These centres will have fully-fledged PhD programmes and will carry out externally funded research in collaboration with both Nepalese and international partners, helped along by smooth administrative systems. The centres and their research support systems will also serve as models for institutional capacity building at KU. As outcomes in the shorter (BSU II) perspective, research groups will have been formed around the themes; these groups will be characterised by clear state of the art level research foci. They will also be poised for embarking on joint research, including PhD level, with national and international partners. The research groups will be aware of the mutual responsibilities, the benefits of, and the rules and regulations associated with administrative support, and the administrative system will be equipped to provide such support.

The outputs from BSU II are as follows: A secretariat will be established and will be located at the School of Arts. Two reports that indicate state of the art in Nepal with respect to research within the two research themes will be produced. So will one baseline survey that highlights needs, problems and solutions with respect to university-wide research capacity, research policy and administrative research support systems. At least 4 training activities will have been carried out in Nepal in relation to the research themes, 2 of which have generic methodological content. Academic staff from the research groups will have spent time in Denmark developing joint research proposals and concept notes for pilot projects; at least 4 such pilot projects will have been initiated. A bio-based research centre will have equipment that matches its research ambition. In addition, researchers from both the themes will have been exposed to research communities in the South that are successfully coping with pressures of urbanization and exploiting opportunities of renewable energy. This will in turn result in the establishment, or development, of new South-South collaboration. In terms of enhancing the capacity of the research support structures, 3 training activities will be conducted in Nepal, and KU staff will have been exposed to research support systems run by peers in Ghana. Additionally, an e-library system will have been installed at KU, and a manual will have been developed and disseminated. A workshop, with a view of turning the findings and recommendations from the mapping and baseline exercises into action will be held. So will an end-of project workshop with the aim of evaluating progress and developing a roadmap for the next phase.

The long term ambition of the partnership of upgrading KU to a university with strengthened capacity to carry out quality research and PhD education on major social, economic, and technical aspects of societal development in Nepal must be understood in a context of alignment with priorities in Nepal's development agenda. Both the liveable urban futures and renewable energy

themes are of acute societal importance and subject to a great deal of attention in Nepal and, indeed, South Asia. In the Himalayan region, renewable energy is particularly gaining a lot of attention, where, for reasons of access, the vast proportion of rural energy consumption is bio-based. It is expected that an integrated (and integrating) understanding of the themes will emerge as the partnership proceeds and that cross-fertilization may lead to joint research, reflecting the skills involved in the partnership as well as the need for contributions from various disciplines to address the themes meaningfully. In this context the linkages between the rural and the urban, including the dynamics (social, economic, cultural etc) of migration that integrate the liveable urban futures and the renewable energy themes are central elements.

With respect to the outcomes and outputs, it is felt that in both thematic groups, BSU II should facilitate the establishment of state-of-the-art needed for the themes to consolidate the academic content of the themes and their research focus in Nepal as well as for applying for external funding. The training activities involved will serve to identify potential PhD candidates and pave the way for research proposal writers which, in turn, will be laying the groundwork for the next phase. The third theme, which aims for administrative and structural capacity building within KU, is focused solely on strengthening research support system within KU through enhancing the capacity of the relevant staff and units. The research support models developed through dissemination will gradually lead to strengthening the overall research capacity of the University.

As the BSU II program is primarily about capacity building and improving the context for research, Kathmandu University (KU) feels that the approach must be closely linked with actual research output.

It is important to point out that KU was not associated with the BSU I program, and as such needs to gradually develop the prerequisites for capacity building, before launching into more ambitious plans. Although KU has developed, over the years, a track record of high quality research, it is by and large a teaching focused university. A great deal of the infrastructure and structural components needed for high quality research that is relevant to society are still lacking. At the same time, as the number of research projects increases, proper management and support to those projects are becoming a major issue. The university management feels that the capacity of staff and faculty must be strengthened, especially amongst those who are directly handling research projects, in order to strengthen the overall research capacity of the university.

The following sections elaborate on the rationales, objectives, outcomes, outputs and activities in the context of each of these themes, organised into work packages.

**WP 1: Liveable urban futures**

Urban areas are already playing a major role in the economic transformation of the country. Not only are urban areas having an ever increasing share of the population but also they are important for generation of employment, market linkages, financial institutions and availability of basic services. Lack of access to different social services is an important aspect of increasing urban inequalities within urban areas. The Liveable urban futures theme shall address these inequalities of access to social services and thus respond to societal and political concerns for urbanization interest in Nepal. The changing nature of rural-urban linkages, the depopulation of rural areas and migration to urban areas, the role of sustainable financing of urban development, the emergence of peri-urban areas, effective urban governance, and urban health services are all important issues in Nepal's future development of urban areas. Urban development becomes especially important and crucial in the view of the proposed federal restructuring of the country, and demands a thorough research from socio-economic, political, infrastructural and environmental perspectives.

In this context the **long-term objective** for KU, together with its Danish partners, is to have a research centre within the School of Arts for conducting research and teaching on broader understanding of urbanization dynamics and liveable urban future. The long-term outcome, however, is for the School of Arts to become a major player in Nepal for research in urbanization and development. Thus, KU would like to make BSU II a platform for laying the foundations for future long-term research in the field, which will go much beyond BSU II, and eventually lead to achieving the long-term objective. For this KU stipulates as the first **short-term objective** to be achieved within BSU II timeframe, to develop a state-of-the-art of the research already done or being conducted by other institutions and academicians in Nepal. In other words, it will start by mapping the research capacity in Nepal within the research area. This would be done by hiring an expert (a senior researcher) who will conduct a general mapping of the research done in and around urbanization and development in Nepal to date. It will identify the major stakeholders in this field and network for collaboration and future recruitment, and also highlight the areas (and gaps) of research done by different institutions and individuals on the theme. It is hoped and expected that this initial study will be useful in consolidating and utilizing the findings of the study for KU (and its Danish partners) to identifying research needs and designing its own future plans for long-term collaborative research in the field.

The second short-term objective, based on the findings of the first objective, is to develop the research focus for KU within the thematic area. This will be achieved by conducting joint workshops to discuss and develop research focus within the theme. Also, because of the lack of ample number of qualified human resources in this particular field in KU, and especially in the School of Arts, KU believes that it is important to train young scholars who will become potential researchers in this field in future. To achieve this objective, KU (School of Arts) will develop formal training (see objective below) but also initiate a few small-scale pilot research projects within the thematic focus that would not only help in identifying a couple of themes for future PhD research at SOA, but would also be instrumental in developing joint research proposals within the theme for external funding and research beyond and outside BSU II.

Finally, as the third objective to be achieved within the timeframe of BSU II, KU School of Arts aims to develop research training for its junior staff. KU is still a young university that until now has

primarily focused on teaching, thus it is particularly important that its young staff and faculty are trained properly in conducting scientific and credible research in this field in particular and any other field in general. Thus, School of Arts would like to use BSU II to train its existing junior staff in writing and developing research proposals for future research projects. Young staff will be given trainings, by Danish partners, in scientific methods and ways of literature search and ethical academic conduct. Some of these faculties will also go to Denmark for short term study stays in one of the partner institutions where they will receive training in an international academic environment. Only by having an adequate number of properly trained faculties can KU, and in particular School of Arts, aim to become a research centre in this field. BSU II is an ideal opportunity for KU to pursue this goal.

This is summarised in the matrix given in the Annex (logical framework).

## **WP 2: Renewable energy and development**

The step-wise approach and logic of the liveable urban futures themes is repeated in the renewable energy theme. There are, however, some theme-specific concerns: Few nations have as acute energy access problems as Nepal, where remoteness and lack of access to energy is highly correlated with a national pattern where poverty tends to increase from east to west. Renewable energy continues to be an important issue for Nepal's energy needs in the context of both the pressures of growing population and a lack of fossil fuel resources. Establishing renewable energy infrastructure for both urban and rural areas that can be readily accessed and maintained by local people, holds the potential for enhancing sustainable growth and delivery of social services. With proper planning and integration many decentralized units can be part of a bigger national system that may be more responsive to the growing energy needs of the country than a few vulnerable mega projects. Revisiting this debate may be critical to provide new openings for Nepal's sustainable energy futures that could unlock the stalemate of blackouts and load shedding that has gripped Nepal for the past decade.

In Nepal, research and government programmes that address renewable energy challenges have predominantly focused on hydropower at all scales, and on small-scale solar power, technologies where KU has contributed significantly. However, in Nepal, where the major proportion of the energy share stems from biomass it makes sense to aim to improve rural living standards, reduce dependency on fossil fuel, alleviate poverty and optimize land use through better utilisation of biomass. Energy crops and biogas are particularly under-researched in Nepal in comparison with the region, and considerable potential exists for optimizing e.g. the use of forest, animal dung and agricultural residues in e.g. cooking stoves. Likewise, the energy potential of growing amounts of urban household waste needs to be optimized, and concepts, frameworks and methods associated with the bio-based cum green economy need to be developed. In this context, KU wants to utilize the platform given by BSU II to develop a bio-based energy research centre in the **long-term**, which will in all likelihood go well beyond BSU II. For that to happen key activities necessary for the establishment of the proposed bio-based energy research centre will be identified. These include – as in the case of the urban futures theme – mapping of state of the art in biomass research in Nepal,

researcher training and grooming, research group formation, initiation of pilot projects and drafting of research proposals. This also include physical infrastructure development such as laboratory equipment, location identification and space arrangement, a dedicated expert with PhD assigned to fully lead the centre as well as preparation of detailed guidelines for operation of the centre.

The next two years, during the implementation phase of BSU II, will see the laying of the foundations for the bio-based energy research centre, including design of a '*roadmap*' towards further disciplinary and methodological development involving theoretical and trans-disciplinary methods. This, it is expected, will enable the centre to adopt novel approaches to participatory design, collaborate with communities, carry out sustainability assessments and master important methods relevant to the green economy research realm.

This theme will be lead by the School of Engineering (SOE) of KU.

### **WP 3: Research Support System Capacity Building**

As capacity building is an integral component of BSU II, Kathmandu University is looking forward to making the best of this opportunity to upgrade and strengthen its support structures, especially those that help in creating a favourable environment for higher research. In order to do that however, first the university needs to conduct an internal assessment of its support system, identify its strengths and weaknesses, and prioritise efforts during the implementation phase of BSU II.

This will start with a needs assessment and problem identification on the current management systems in place at KU focusing on current strengths, opportunities and bottlenecks in the KU system's ability to support research and research activities. The approach will be participatory, ensuring that all staff at KU (management, researchers, admin staff & students) will contribute with viewpoints, experiences and opinions. The assessment will include interviews and questionnaires and also be based on 'on-site' demonstrations of the current systems in function at KU. In addition the assessment will include flowcharts of the processes in order to identify and document workflows, transactions and persons involved through-out the different processes of each of the priority areas. A report with clear recommendations, suggestions and ways forward on areas to improve will be written and introduced and shared with all KU staff. Based on the findings an action plan for the coming steps including the activities in details (when, how, who etc) will be developed and be the tool for guidance and monitoring onwards.

This assessment will be conducted fairly soon after the inception period as it will be the base-line for the onwards work and activities ensuring that actions are taken according to the problem identification and making sure that the onwards activities will support and improve the support systems at KU.

Once the assessment is made and a report compiled on the overall situation in at Kathmandu University, some activities would be undertaken based on the recommendations of the report as per the action plan.

However, a need for activities within the following areas has already been identified: For improving the overall financial management and project financing of different projects at KU, a couple of trainings (one per year), with the aim of enhancing the capacity of the relevant staff at KU, will be conducted in collaboration with Danish partners. Similar trainings will also be conducted for project management, for relevant staff and faculties (project leaders) with the aim of strengthening the overall project management capacity at KU. This will also be held twice, once in the first year of BSU II and once in the second year. As an integrated part of the training sessions several management tools will also be developed and implemented in order to enable more efficient and transparent management.

One other important activity that KU aims to achieve using the platform provided by BSU II is to build and strengthen South-south collaboration and increase opportunities to learn from each other. KU aims to gradually move towards a creating a research-support unit that would coordinate, keep records of, facilitate the process of, pre and post award projects and do the overall coordination needed for project management in the university. KU feels that it can learn from some of the other south universities within the BSU II framework that are also doing similar things under this framework.

The BSU II south partner at KNUST in Ghana already has some experience in this and the vision is to build up a long lasting collaboration of knowledge sharing and staff exchange. KU feels that with some exchange visits both from and to Ghana, the staff of KU would benefit tremendously, not only in terms of learning about project management but also in terms of building new collaboration with another south university. The main focus for the exchange of knowledge and staff will initially be brainstorming and sharing of actual experiences on setting up a Grant Management Office.

The vision of setting up a Grant Management Office is a high priority for KU and setting up this office will be initiated based on suggestions, recommendations and the action plan from the assessment. In addition the South-South collaboration with KNUST from Ghana will also support on decisions and structure for such an office. Throughout consultations within KU will be conducted regularly to ensure that all KU stakeholders are able to contribute to the process and the establishment of a Grant Management Office.

For enhancing the research capacity of the researchers, we feel that creating an environment that is conducive to doing innovative research is very important. One way to make the environment researcher-friendly is to have library facilities that allow the researchers to make use of e-library technology and get access to journals and documents electronically from throughout the world.

Even within KU, inter- and intra-library loans would be extremely useful, especially for interdisciplinary research. However, the researchers at KU are currently unable to do so as there is no e-library facility in the existing libraries of KU. Hence, one of the important activities as part of BSU II would be to install the e-library software/facilities in the different libraries of KU. The relevant staff would be given needed training for using the facilities.

It is hoped that with proper assessment of the research environment at KU followed by required trainings in project financing, project management and e-library uses, there would be a significant improvement in the overall research support capacity at KU. This would be a major and visible contribution of BSU II in strengthening the overall capacity of KU.

Towards the end of the project phase an internal dissemination meeting is planned to share all achievements and results during this BSU phase II.

Lastly investment in some capital cost will support the activities and initiatives under Theme 3. Capital cost will support purchase of software/systems for e-library and finance ledger to improve and enhance the KU institutional capacity.

### **3. Partnership Management and Governance**

To coordinate and steer the overall activities of BSU II, including that of the two research themes and administrative capacity building, a BSU II secretariat will be established at the School of Arts.

The BSU II project at Kathmandu University will be led by its School of Arts, from where it will be coordinated by Associate Dean Sagar Raj Sharma, who will be the main anchor to communicate with the partners of the Danish Consortium, DFC, as well as Danida as and when needed. The KU anchor will be responsible for technical coordination of BSU activities, including preparation of technical and financial reports. The Danish consortium will be led by the Department of Agroecology, Aarhus University, where it will be coordinated scientifically by Senior Research Internationalization Adviser, Torsten Rødel Berg as the anchor. The Kathmandu University and Danish Consortium anchors will have power for everyday decision-making, and will meet via Skype as needed. Aarhus University as the Danish lead institution will also be the legal entity that enters into the trilateral agreement with KU and DFC.

Apart from the overall coordination, both KU and the Danish Consortium will have team leaders responsible for coordinating the research, management, implementation and monitoring of the objectives, outputs, outcomes and activities. Together with the anchors, the team leaders constitute the programme Steering Committee. The latter coordinates (with the anchors) the involvement of core team members from participating departments and beyond in their academic and administrative hinterlands, as and when required. Experts from other sectors and institutions will be

invited as and when required. The steering committee and the anchors will meet over skype within a maximum of 6 months, or as needed.

Tensions within the respective partners will be dealt with locally, i.e. within the national groups of the steering committee. Tensions between the partners will be disclosed and dealt with at an early stage. It is expected that high levels of communication and constructive dialogue will minimize tensions. Should tensions need to be resolved, the anchors are responsible for finding agreeable solutions.

The following will be the core team for the themes:

<b>Liveable urban futures</b>	<b>Renewable energy</b>	<b>Research support systems capacity building</b>
Mahesh Banskota (Professor; School of Arts, Kathmandu University)	Bim Shrestha (Professor; School of Engineering, Kathmandu University)	Mukunda Upadhaya (Chief Administrative Officer; Kathmandu University)
Sagar Raj Sharma (Associate Professor, School of Arts, Kathmandu University)	Torsten Rødel Berg (Senior Advisor; Science and Technology, Aarhus University)	Jyoti Pradhan (HR Manager; Central Administration, Kathmandu University)
Jens Seeberg (Associate Professor, Aarhus University)	Uffe Jørgensen (Senior Scientist; Department of Agroecology, Aarhus University)	Chandeswor Shrestha (Finance Officer; Central Finance Division, Kathmandu University)
Jytte Agergard (Associate Professor, University of Copenhagen)	Søsser Brodersen (Post Doc; Department of Development and Planning, Aalborg University Copenhagen)	Christian Gregart (Financial Expert; CG Consultant)
Ulrika Enemark (Associate Professor, Department of Health, Aarhus University)	Signe Pedersen (PhD Candidate; Department of Development and Planning, Aalborg University Copenhagen)	Sagar Raj Sharma (Associate Professor, School of Arts, Kathmandu University)
Karen Valentin (Associate Professor, Aarhus University)	Tanka Kandel (Post Doc; Department of Agroecology, Aarhus University)	
	Ulrik Jørgensen (Professor; Department of Development and Planning, Aalborg University Copenhagen)	
	Susse Georg (Professor; Department of Development and Planning, Aalborg University Copenhagen)	
	Henrik Bjarne Møller (Senior Scientist; Department of Agroecology, Aarhus University)	

#### 4. Risks and Mitigating Measures

As in any collaboration, BSU II is also likely to its share of risks and uncertainties. The following are some of the likely risks that might be faced, along with some possible mitigating measures, during the BSU II implementation period.

##### External Risks:

- I. Political instability causing sudden closure of the University which in turn could disrupt certain planned activities  
Possible mitigating measure: Activities would be planned in such a way that they can be held even in the days of sudden closures
- II. high expectations from invited experts and stakeholders (in terms of international visits, incentives, etc)  
Possible mitigating measure: Expected contributions from the stakeholders, nature and durations of activities and remunerations for each of them will be explained clearly from the very beginning

##### Internal Risks:

- I. Limited number of faculties, especially at the School of Arts, might cause some delays in deliveries of planned outputs  
Possible mitigating measure: More young researchers could be recruited by KU to meet the need of the project.
- II. KU's administrative procedure might be lengthy resulting in delays  
Possible mitigating measure: The BSU II secretariat could coordinate and facilitate the procedures in the relevant departments of KU. For I and II: Engaging with university management so as to ensure ownership.
- III. Severe limitations of data related to the themes might slow down implementations of certain activities  
Possible mitigating measure: Comprehensive Baseline studies could be carried out and workshops held to collect relevant data
- IV. The duration of BSU II (2 years) might be too restrictive for any substantial outcome particularly considering the need for KU to develop policies and action plans that reflect institutional capacity efforts.  
Possible mitigating measure: long-term outcomes could be planned for beyond BSU II and the university leadership may be engaged through frequent progress consultations with anchors and donor representatives
- V. Budgetary restrictions might cause difficulties in implementation  
Possible mitigating measure: Danida/DFC rules will be clearly read for planning each of the activities
- VI. Government and other stakeholders might have different priorities (especially in the two research themes)

Possible mitigating measure: KU's priorities will be clearly explained in stakeholders' meetings and consultations

- III. VIII: Reduced availability of core staff in the partnership owing to heavy teaching load and administrative obligations/expertise in partnership is not available

May be mitigated through timely planning and sourcing of expertise outside of the partnership

Other risks: (related to working with international partners)

- I. Differences in inter-cultural work ethics/work approach might cause misunderstandings  
Possible mitigating measure: regular meetings and interactions would help mitigate these differences

## 5. Budget

### **Budget Form 3 (amount in DKK)**

**Total expenses in Nepal (KU) and Denmark**

	2014	2015	2016	Total
1. Inception Phase budget	531,200			531,200
2. Replacement Salaries and Emoluments	171,900	941,400	409,500	1,522,800
3. Educational Grants	0	0	0	0
4. Expenses for Trips Abroad and Fieldwork	30,000	460,000	355,000	845,000
5. Project and Research Materials	24,000	94,000	44,000	162,000
6. Capital costs (small scale investment costs and equipment)	0	300,000	124,000	424,000
7. Publication, Dissemination and Communication	0	385,000	230,000	615,000
8. Coordination costs (from Form 1)	22,701	108,232	58,400	189,333
9. Overhead costs - Partner(s) (from Form(s) 1 and 2)	128,719	327,848	174,100	630,667
10. DFC Expenses: Study stays in Denmark of researchers from the BSU country (Form 1)	0	150,000	150,000	300,000
11. External Audit (from Forms 1 & 2)	10,000	15,000	55,000	80,000
<b>Total Amount Requested (headings 1-11)</b>	<b>918,520</b>	<b>2,781,480</b>	<b>1,600,000</b>	<b>5,300,000</b>

*The details are provided in a separate file.*

## 6. Monitoring, Reporting and Auditing

Overall scientific coordination of BSU II will be done by Sagar Raj Sharma from KU and Torsten Rødel Berg from Aarhus University.

Once BSU II is launched in November 2014, its activities and programs will be coordinated through the BSU secretariat to be established at the School of Arts, which will be directly supervised by Sagar Raj Sharma, the BSU II coordinator.

Each of the three themes proposed will be directly coordinated by the team leaders at both sides. For KU, the following are the team leaders for each of the theme:

Theme 1 (liveable urban futures): Mahesh Banskota (School of Arts)

Theme 2 (renewable energy): Bim Prasad Shrestha (School of Engineering)

Theme 3 (administrative capacity building): Mukunda Upadhyaya (KU central management)

For the Danish consortium, the team leaders are drawn from the 4 entities involved in the consortium:

Jytte Agergaard (University of Copenhagen), Søsser Brodersen (Aalborg University), Uffe Jørgensen (Aarhus University) and Christian Gregart (CG Consult)

The respective team leaders will be responsible for monitoring all the activities and verifying the indicators for each of the respective themes.

All of the proposed activities will be planned and implemented as per the work plan given in section 2 of the annex below.

Regular reporting, as per the requirements of DFC, will be done by the BSU II coordinator, who will be working in close consultation with the Danish consortium. Progress reports and financial reports will be submitted at the required timings in the format provided by DFC.

At the end of each fiscal year, KU will see to it that the BSU II expenses will be audited both internally and externally by qualified auditors, and the reports will be sent to DFC in the prescribed format.

**Annexes:****1. Logical Frameworks****WP1: Liveable urban futures**

Impact		KU will develop a strong identity and position in research on liveable urban futures	
Impact indicator		Relevant research about urbanization dynamics in Nepal is produced	
Baseline	2014		Absence of any significant research on urbanization studies
Target	2021		KU has established research-based policy dialogue with relevant stakeholders on urbanization and development
Outcome		KU will be a leading institution in research and teaching on broader understanding of urbanization dynamics and liveable urban futures	
Outcome indicator		KU will have a separate unit (centre) under the School of Arts for undertaking research on urbanization dynamics and liveable urban futures	
Baseline	2014		No unit at KU to undertake research on urbanization dynamics
Target	2019		A research centre is functioning under the School of Arts

<b>Objective 1: Mapping research capacity in Nepal within the thematic area</b>			
Output		1.1.1 Interdisciplinary team to work on urban futures formed	
Output indicator		Number of experts represented in the team	
Baseline	2014		Lack of a interdisciplinary team to work on urbanization issues
Target	2015		A team of experts from academia, government, non-government, private sector, and Danish partners formed
Output		1.1.2 Document on state-of-the-art on research resources on urban futures developed to be consolidated and utilized for onwards activities	
Output indicator		A research document is produced through a commissioned research	
Baseline	2014		SOA does not have a baseline document to guide its research on urbanization
Target	2015		Baseline document on urbanization dynamics endorsed by KU
<b>Objective 2: Developing research focus at KU within thematic area</b>			
Output		1.2.1 Pilot research projects within the theme conducted	
Output indicator		Number of junior staff/researchers from SOA conduct pilot research on the themes identified by commissioned research	
Baseline	2014		SOA has not conducted any significant research on urban futures
Target	2016		SOA will have identified some key focus areas within the theme through pilot research
Output		1.2.2 Joint research proposals within the theme developed based on planning workshop on joint research focus	
Output indicator		KU and its Danish partners together develop joint research proposals on the theme	
Baseline	2014		The partnership does not have a joint proposal to be submitted for external funding
Target	2016		Joint proposals on urbanization developed and submitted to various funding bodies
Output		1.2.3 South-South collaboration/network developed	
Output indicator		SOA has built new collaboration with Southern countries that have more experience of doing	

		research on urbanization dynamics	
Baseline			Junior staff at SOA do not have proper training on Academic writing and proposal development
Target			PhDs and junior staff at SoA are trained in academic writing and proposal development
<b>Objective 3: Develop research training for junior staff</b>			
Output		1.3.1 Academic writing and proposal development course tailored to PhDs and junior staff at SoA and SoE developed	
Output indicator		Academic writing and proposal development workshops for PhD students conducted	
Baseline	2014		Junior staff at KU (SOA and SOE) lack sufficient academic and proposal writing skills
Target	2016		PhDs and junior staff at SoA and SoE are trained in academic writing
Output		1.3.2 Module for literature search and academic conduct developed	
Output indicator		Number of Junior staff and PhDs at SOA get trained in literature search and academic conduct	
Baseline	2014		Junior staff at SOA do not have proper training on literature search and academic conduct
Target	2016		PhDs and junior staff at SoA are trained in literature search and academic conduct
Output		1.3.3 PhDs and junior staff get to study in and exposure from Danish universities – staff mobility	
Output indicator		Three junior staff/PhDs go to Denmark for study stay programs and are supervised by Danish professors	
Baseline	2014		PhDs and junior staff do not have international exposure and supervision
Target	2016		PhDs and junior staff are trained in Denmark to do future research on the theme
<b>Objective 4: Develop a roadmap for further action/prepare next phase</b>			
Output		1.4.1 Develop a roadmap for further action/prepare next phase	
Output indicator		Dissemination workshop on achievements and results during the project period and strategic planning of the coming period	
Baseline	2014		No focus nor funds for capacity building
Target	2016		Upgrade on capacity building during the project period including knowledge sharing and dissemination of results

## WP2: Renewable energy

Impact		KU will develop a strong identity and position in bio-based energy	
Impact indicator		Relevant research in bio-based energy applicable for Nepal is produced	
Baseline	2014		Absence of any significant research on the theme
Target	2019		KU has established research-based policy dialogue series with relevant stakeholders on bio-based energy
Outcome		KU will be a leading institution in research and teaching on bio-based energy	
Outcome indicator		KU will have a separate unit (centre) under the School of Engineering for undertaking research on bio-based energy sector	
Baseline	2014		No separate unit at KU to undertake research on the theme

Target	2017		A bio-based research centre is functioning under the School of Engineering
<b>Objective 1: Mapping of research capacities in Nepal in bio-based energy</b>			
Output	2.1.1 Interdisciplinary team to work on bio-based renewable energy formed		
Output indicator	Number of experts represented in the team		
Baseline	2014		Lack of a interdisciplinary team to work on bio-based renewable energy
Target	2015		A team of experts from academia, government, non-government, private sector, and Danish partners formed
Output	2.1.2 Document on state-of-the-art on research resources on bio-based renewable energy developed to be consolidated and utilized for onwards activities		
Output indicator	A research document is produced through commissioned research		
Baseline	2014		SOE does not have a baseline document to guide its research on bio-based renewable energy
Target	2015		Baseline document on bio-based renewable energy endorsed by KU
<b>Objective 2: Developing research focus for a bio-based energy centre at KU</b>			
Output	2.2.1 Pilot research projects within the theme formulated		
Output indicator	Number of junior staff/researchers from SOE formulate pilot research on the themes identified by commissioned research		
Baseline	2014		SOE has not conducted any significant research on bio-based renewable energy
Target	2016		SOE will have identified some key focus areas within the theme through pilot research
Output	2.2.2 Joint research proposals within the theme developed based on planning workshop on joint research focus		
Output indicator	KU and its Danish partners together develop joint research proposals on the theme		
Baseline	2014		The partnership does not have any final joint proposals submitted for external funding
Target	2016		Joint proposals on biobased renewable energy developed and submitted to various funding bodies
Output	2.2.3 South-South collaboration/network developed		
Output indicator	SOE has built new collaboration with Southern countries that have more experience of doing research on renewable energy		
Baseline	2014		SOE has no South-South collaboration to work on the theme
Target	2016		SOE has developed a good network and collaboration within the region to work on the theme in the future
<b>Objective 3: Disciplinary development</b>			
Output	2.3.1 Participatory design module developed		
Output indicator	Through courses conducted SOE researchers have become well-versed in concepts and methods associated with participatory design approaches		
Baseline	2014		Participatory design approaches are not well known at SOE
Target	2016		SOE has adopted and applied novel approaches to participatory design
Output	2.3.2 Sustainability course tailored to PhDs and junior staff at SoE developed		
Output indicator	Through courses conducted SOE has become well-versed in concepts and methods associated with sustainability analysis		
Baseline	2014		Sustainability analysis is relatively new to SOE
Target	2016		SOE has adopted and applied novel approaches to sustainability analysis

Output		2.3.3 PhDs and junior staff get to study in and exposure from Danish universities – staff mobility	
Output indicator		Three junior staff/PhDs go to Denmark for study stay program and are supervised by Danish professors	
Baseline	2014		PhDs and junior staff do not have international exposure and supervision
Target	2016		PhDs and junior staff are trained in Denmark to do future research on the theme
<b>Objective 4: Upgrade Bio-based energy research centre</b>			
Output		2.4.1 Laboratory and selected study sites are installed with required equipment based upon needs assessment of the facilities in place	
Output indicator		Needed equipment, identified through a need assessment, installed at laboratory and selected study sites	
Baseline			SOE does not have Laboratory equipped for bio-based renewable energy
Target			SOE has a Laboratory with required equipment for bio-based renewable energy research
<b>Objective 5: Develop a roadmap for further action/prepare next phase</b>			
Output		2.5.1 Develop a roadmap for further action/prepare next phase	
Output indicator		Dissemination workshop on achievements and results during the project period and strategic planning of the coming period	
Baseline	2014		No focus nor funds for capacity building
Target	2016		Upgrade on capacity building during the project period including knowledge sharing and dissemination of results

### WP3: Research support system capacity building

Impact		KU 's research outcomes make meaningful contributions to the society at large	
Impact indicator		Increased number high quality research publications and policy dialogues	
Baseline	2014		KU's research is limited to a narrow sphere with limited institutionalisation
Target	2019		KU has a stronger and broader research networks with national and international partners supported by effective research support systems and high degrees of institutionalisation
Outcome		KU has developed a strong research project management (research support) unit	
Outcome indicator		Increased number of links to global research community, research collaborations and enhanced research capacity	
Baseline	2014		KU has a weak research project management system
Target	2018		KU becomes more effective and efficient in managing international research projects

<b>Objective 1: Assessment of KU management systems</b>			
Output		3.1.1 A baseline report on research experience in different Schools of the University is developed – includes data collection and data analysis	
Output indicator		Report based on a comprehensive survey on overall research situation at KU is compiled	
Baseline	2014		KU does not have a overall picture of its research status, issues, and challenges
Target	2015		KU has a clear picture of its research status, issues, and challenges

Output		3.1.2 Action plan and guidelines on enhancing research support system at KU is developed	
Output indicator		Action plan and guidelines, based on the baseline report findings, is prepared; number of relevant staff and faculty from KU participate	
Baseline	2014		KU does not have a Action plan and guidelines on enhancing research support system
Target	2015		KU has an Action plan and guidelines on enhancing research support system

**Objective 2: Strengthen overall research project management in KU**

Output		3.2.1 Structure, manual and guidelines for a Grant management office developed and ongoing KU stakeholder consultation during development and implementation	
Output indicator		Based on the needs assessment, KU develops objectives, structure, manuals and guidelines for a Grants management office	
Baseline	2014		KU does not have a Grants management office
Target	2016		KU has done preparatory work for establishing a Grants management office

**Objective 3: Enhance research support capacity of administrative staff at KU**

Output		3.3.1 Staff trained with Project Management skills and tools	
Output indicator		Number of relevant staff and faulty/project leaders from KU are trained in project management	
Baseline	2014		KU's overall project management capacity is weak
Target	2016		KU's overall project management capacity is enhanced

Output		3.3.2 KU has Staff trained with Financial management/project financing	
Output indicator		A number of relevant staff and faulty from KU are trained in financial management/project financing	
Baseline	2014		KU's overall capacity in financial management/project financing is weak
Target	2016		KU's financial management/project financing capacity is enhanced

Output		3.3.3 Installation of e-library software	
Output indicator		Different libraries at KU are installed with e-library software and facilities	
Baseline	2014		KU does not have an e-library system
Target	2016		KU's libraries are equipped with e-library facilities

Output		3.3.4 Training on e-library upgrading and uses is conducted	
Output indicator		A number of librarians and relevant staff trained on e-library upgrading and uses	
Baseline	2014		KU does not have staff trained with the knowledge of e-library uses
Target	2016		KU has several staff trained with the knowledge of e-library uses

Output		3.3.5 BSU II Secretariat is established at School of Arts	
Output indicator		Overall coordination and management of BSU II activities are conducted through the secretariat	
Baseline	2014		KU does not have a BSU II coordination office
Target	2016		KU has a BSU II coordination office

Output		3.3.6 South-South collaboration/network developed	
Output indicator		KU has built new collaboration with Southern countries that have more experience of grant management	
Baseline	2014		KU has no South-South collaboration to work on grant management
Target	2016		KU has developed good network and collaboration with some other southern

			countries to learn and share from each other
<b>Objective 4: Develop a roadmap for further action/prepare next phase</b>			
Output			3.4.1 Develop a roadmap for further action/prepare next phase
Output indicator			Dissemination workshop on achievements and results during the project period and strategic planning of the coming period
Baseline	2014		No focus nor funds for capacity building
Target	2016		Upgrade on capacity building during the project period including knowledge sharing and dissemination of results