**Template for Business Plan Proposal**

**Points to Note:**

* + - 1. Business Plan Proposal is expected to contain the information as specified below. To facilitate a comprehensive and accurate assessment of the proposal, the Proponent is strongly recommended to adopt the framework of the template below in preparing the proposal and provide all the information required. Failing to provide as specified may obtain low or no marks in the assessment.
      2. In case the proposal is submitted by an alliance/consortium comprising two or more parties, each should complete Part I in separate sheets. Please also indicate which one of the parties is authorised to take up the overall coordination role and, on behalf of the alliance/consortium, liaise with the Trustee of the SIE Fund on all matters relating to this invitation exercise.
      3. In submitting the Business Plan Proposal, please ensure that the following information has been included in the proposal:
  1. Part I – Particulars of the Proponent  
     (one form for each party in case of an alliance/consortium)
  2. Part II(a) – Details of Proposal (Form)
  3. Part II(b) – Details of Proposal (Free Format)

**Part I - Particulars of the Proponent**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Registered Name of Entity:** | | | | (Chi) |  | | |
| (Eng) |  | | |
| *If the Proponent is an alliance/consortium, please indicate if the above entity is authorised to take up the overall coordination role and, on behalf of the alliance/consortium, liaise with the Trustee on all matters relating to this invitation exercise* | | | | Yes | | No | |
| **Correspondence Address** | | | |  | | | |
| **Website (if any)** | | | |  | | | |
| **Business Registration No. (if applicable)** | | | |  | | | |
| **Name of the Contact Person** | | | | (Chi) |  | | |
| (Eng) |  | | |
| **Post title of the Contact Person** | | | |  | | | |
| **Telephone No.** | | | |  | | | |
| **Fax No.** | | | |  | | | |
| **Email Address** | | | |  | | | |
| **Mode of Entity:** | | | | | | | |
|  | Charitable institution of a public character exempted from tax under section 88 of the Inland Revenue Ordinance (Cap 112) | | | | | | |
|  | Company (private or public) formed and registered under the Companies Ordinance  (Cap 622) | | | | | | |
|  | Statutory body established under the legislation in Hong Kong (please specify the ordinance below) | | | | | |  |
|  | |  | | | |
|  |  | | | | |  |
|  | Others (please specify) | | | | | | |
|  |  | | | | |  |
|  |  | | | | |  |

**Please sign and stamp your chop below**

|  |
| --- |
|  |
| (Name of Authorised Signatory)  (Date) |

**Part II(a) – Details of the Proposal (Form)**

Please fill in the form below.

**A. Proposed Stream of Intermediary Service**(See paragraph 3.1 of the Invitation Brief)

Select ONE stream of intermediary service below. Proponent (if desired to be engaged in more than one stream) is required to submit separate proposals for applying each stream of intermediary service.

|  |  |  |
| --- | --- | --- |
| (i) Ideation Programme |  |  |
| (ii) Incubation Programme |  |  |
| (iii) Tech for Good Programme |  |  |

For (i) and (ii), please specify the theme of the innovative programme (e.g. health care) or “No specific theme” for accepting all themes of social innovation projects.

|  |
| --- |
|  |

**B. Proposed Duration of Engagement Period**(See paragraph 3.11 and 8.1 of the Invitation Brief)

|  |  |
| --- | --- |
|  | Years |

**C. Proposed Stage of Innovation Development and Type of Target Applicants**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| (i) Ideation Programme | | - Please fill in Section (A) or (B) | | | |
| (ii) Incubation Programme | | - Please fill in Section (A) or (B) | | | |
| (iii) Tech for Good Programme | | - Please fill in Section (A) or (B) | | | |
| For (B), please specify target cluster/segment of applicants. | | | | | |
| **Stage of Innovation Development** | **Type of Target Applicants** | | | |
| (A) | | (B) | |
| Entire social innovation community | | Specific cluster | |
| Idea generation |  | |  | (Please specify cluster/segment here) |
| Prototype |  | |  |
| Start-up |  | |  |
| Scale-up |  | |  |

**D. Proposed Number of Tiers for the Tiered and Incentive-based Payment Structure** (See paragraph 5.12 and Annex 4 of the Invitation Brief)

|  |  |
| --- | --- |
|  | tier(s) |

*Note: The proposed number should fall within the range of 1 to 3, i.e. Tier 0 (baseline) plus a maximum of 2 upper tiers (Tiers 1 and 2).*

**E. Proposed Key Performance Indicators (KPIs) of the Intermediary and Innovative Programme**(See paragraph 5.12 and Annex 4 of the Invitation Brief)

| **Proposed KPIs** (Note) | **Tier 0**  **(baseline)** | **Tier 1**  (Optional) | **Tier 2**  (Optional) |
| --- | --- | --- | --- |
| **For Ideation Intermediary ONLY** | | | |
| 1. Total no. of participants completed elementary training |  |  |  |
| 1. Total no. of funding applications received and processed |  |  |  |
| 1. Total no. of funding applications supported by the Trustee |  |  |  |
| **For Incubation and Tech for Good Intermediary ONLY** | | | |
| 1. Total no. of funding applications received and processed |  |  |  |
| 1. Total no. of funding applications supported by the Trustee with a grant up to $300,000 |  |  |  |
| 1. Total no. of funding applications supported by the Trustee with a grant from $300,001 to $1,000,000 |  |  |  |
| 1. Total no. of funding applications supported by the Trustee with a grant from $1,000,001 to $2,000,000 |  |  |  |
| 1. Total no. of funding applications supported by the Trustee with a grant exceeding $2,000,000 |  |  |  |
| 1. Percentage of matching fund secured for funding applications recommended to the Proposal Assessment Committee/Task Force of the SIE Fund | % | % | % |
| *The above are mandatory KPIs to be specified by each Proponent. Other KPIs proposed by the Proponent should be set out below:* | | | |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

*Note:*

*The Trustee will negotiate with the proponent to finalise a set of KPIs to be adopted for appointment as and when the Proponent is selected under the assessment process.*

**F. Indicative Amount of Matching Fund to be Secured for Funded Social Innovators/Ventures**(See paragraph 3.9(a) of the Invitation Brief)

|  |  |
| --- | --- |
| In cash | |
| Funding source for matching fund | Indicative Amount (HK$) |
|  |  |
|  |  |
| In kind | |
| Source and description of the in-kind matching fund | Estimated Value (HK$) |
|  |  |
|  |  |

**G. Conflict of Interest**

(See paragraph 5.10 of the Invitation Brief)

|  |  |
| --- | --- |
| Please specify below any circumstances which may reasonably be considered to give rise to a situation where the interests of the Proponent or each of the relevant persons conflict or compete with the IP Intermediary’s duties to the Trustee in the performance of the intermediary services.   |  | | --- | |  | |

**H. Double Funding**

By submitting and signing in this Business Plan Proposal, the Proponent declares that the IP Intermediary (including the Proponent) has not received and/or is not applying for and/or are not receiving fundings from other publicly funded schemes for the proposed intermediary service.

**I. Validity Period of the Proposal**

(See paragraph 5.2 of the Invitation Brief)

|  |  |  |
| --- | --- | --- |
| |  |  | | --- | --- | |  | months from the Proposal Closing Date | |

**Please sign and stamp your chop below**

|  |
| --- |
| (Name of Authorised Signatory)  (Date) |

**Part II(b) – Details of the Proposal (Free Format)**

Please provide the information as required below in free format having regard to the detailed assessment criteria as set out at **Annex 5**.

|  |  |
| --- | --- |
| **1. Vision and Objectives** | |
| (a) | **Understanding of the social innovation ecosystem and roles of intermediary**  Please articulate your understanding on:   1. the local social innovation ecosystem and, if your proposed innovative programme is theme-based/segment-specific, the specific theme/segment covered by your proposed programme as well; 2. the development of the local social innovation ecosystem and SIE Fund in coming years and, if your proposed innovative programme is theme-based/segment-specific, the development of the specific theme/segment covered by your proposed programme in coming years as well; and 3. the gaps and opportunities of the social innovation ecosystem and, if your proposed innovative programme is theme-based/segment-specific, those of the specific theme/segment covered by your proposed programme as well. |
| (b) | **Objectives of the proposed intermediary services**  Please state the objectives of the proposed intermediary services and describe how the proposed services would:   1. align with and further SIE Fund’s objectives and positioning; 2. facilitate SIE Fund in addressing the gaps and opportunities of the social innovation ecosystem, facilitating innovation and further supporting and developing the social innovation ecosystem; 3. help incubate innovative ideas, ventures and programmes; 4. the innovativeness of the proposed intermediary services; 5. the target outcomes and expected social impacts of the proposed intermediary services; 6. the critical success factors which are essential for achieving (ii) above; and 7. the potential risks of the proposed intermediary services and proposed risk management/mitigation measures. |
| **2. Capability** | |
| (a) | **Capability of proponent\***  *\* Including all the parties involved if the proponent takes the form of an alliance/consortium comprising two or more parties*   1. Please provide information to demonstrate your capability, experience and track records in social innovation and, if your proposed innovative programme is theme-based/segment-specific, the specific theme/segment covered by your proposed programme as well. 2. Please set out the support and resources that you would commit for designing and administering the proposed innovative programme. |
| (b) | **Capability of project and finance team**   1. Please set out the proposed structure, composition and line of command of the project team as well as the roles and responsibilities of the project team leader and members individually. 2. Please provide information to demonstrate the capability, experience, track records, credentials and qualification of the project team leader and members in social innovation and, if your proposed innovative programme is theme-based/segment-specific, the specific theme/segment covered by your proposed programme as well. 3. Please set out the proposed structure and composition of the finance team as well as the roles and responsibilities of the finance team leader and members individually. 4. Please provide information to demonstrate the capability, experience, credentials and qualification of the finance team leader and members. |
| (c) | **Expertise from corporate/business sectors**   1. Please provide information to demonstrate the capability, experience, track records, credentials and qualification of the project team leader and members in providing corporate/business support to funded ventures. |
| **3. Service Design** | |
| (a) | **Funding scheme design and management**  (i) Please provide details of the funding scheme under the proposed innovative programme including, without limitation:   * + eligibility and vetting criteria   + application invitation, processing and vetting mechanism   + estimated number of applications to be received and projects to be funded   + estimated size of grant to be funded for each funded social innovator/venture and in total   + project monitoring and evaluation mechanism   (ii) Please, if applicable, set out the strategy, plan, activities, funders’ network, etc. for sourcing and securing matching funds.   1. Please describe the innovativeness, outcomes and social impact of the funding scheme. |
| (b) | **Elementary training programme (Ideation Intermediary ONLY)**   1. Please set out the objectives, design, plan, activities, etc. for providing elementary training programme for no/less experienced individuals and organisations to learn and explore the social innovation space and equip with basic skills on idea generation, proposal preparation, pitching, marketing, etc. 2. Please elaborate on how the above elementary training integrated with the incubation, coaching and support to funded innovators/ventures in project implementation stage. |
| (c) | **Incubation**   1. Please set out the strategy, plan, activities, network, etc. for providing tailored advice and support to funding applicants for refining their applications, and describe the types of advice and support to be provided. 2. Please set out the strategy, plan, activities, network, etc. for providing tailored and hands-on incubation, coaching and support to funded innovators/ventures, and describe the types of incubation, coaching and support to be provided during project implementation. 3. If the proposed innovative programme targets only at providing stage-specific incubation (see paragraph 3.1 of the Invitation Brief), please set out the strategy, plan, activities, network, etc. for providing bridging support for those funded innovators/ventures with potential to proceed to the next stage of innovation development upon completion of their funded projects, and describe the types of bridging support to be provided. |
| (d) | **Measures to solicit more innovative application and projects**   1. Please set out the strategy, design, plan, activities, network, etc. for attracting participants with creative talents, soliciting more innovative funding proposals and facilitating generation of innovative ideas during the project formulation stage. 2. Please set out the methodology, activities, network, etc. for inspiring individual funded ventures to generate more innovative ideas during the product/service development stage. |
| (e) | **Marketing and promotion**   1. Please set out the strategy, plan, activities, etc. to market and promote the proposed innovative programme as well as source and solicit quality applications with innovation, diversity and impact for the funding scheme under the proposed programme. 2. Please provide information to demonstrate your network and connection with different players and stakeholders of social innovation ecosystem including, for example, businesses, NGOs and, if your proposed innovative programme is theme-based/segment-specific, the relevant practitioners of that specific theme/segment. |
| (f) | **Performance management**   1. Please set out the performance management mechanisms to monitor, measure and evaluate the performance of (1) the intermediary and (2) the proposed innovative programme against the KPIs and target outcomes/impacts proposed by the Proponent. |
| (g) | **Support and collaboration with corporate/business sectors**   1. Please set out the design, plan and activities for engaging corporate/business sectors on inspiring participants in terms of business operation and viability during training and funding application stage. 2. Please set out the plan and activities for leveraging resources, connection, expertise, etc. from corporates/business sectors on supporting funded ventures during the product/service development stage. |
| (h) | **Optional innovative service(s) (if applicable)**   1. Please set out the objective, strategy, design, plan, activities, network, etc. for the proposed innovative service and how the proposed service further the objective of the intermediary service. |
| **4. Implementation/Execution** | |
| (a) | **Application management and processing**   1. Please set out the proposed end-to-end mechanism for processing funding applications received under the funding scheme, including, without limitation:  * calling and receiving; * vetting and recommending; * approving; and * others (e.g. calling cycle, structure and composition of the proposed vetting committee).  1. Please set out the proposed mechanism for handling enquiries and complaints about the proposed innovative programme and your intermediary services. 2. Please set out the proposed system for recording and retrieving information and statistics related to the proposed innovative programme. 3. Please provide information to demonstrate your capacity and readiness to implement any referral and collaboration mechanism with the Trustee, other intermediaries of the SIE Fund or any other parties as directed by the Trustee |
| (b) | **Work plan and corporate governance**   1. Please provide the work plan for the entire engagement period covering all the major activities and milestones as well as the expected outcomes and deliverables at different stages of the engagement period. 2. Please set out the potential risks in the execution of your work plan and the proposed risk management/mitigating measures. 3. Please set out your corporate governance plan with reference to the guidelines set out in **Annex 2** to demonstrate that your organisation will act in the best interest of the Trustee and use and handle the funds properly if you are engaged as an Intermediary to design and administer the proposed innovative programme for the Trustee. |
| (c) | **Grant disbursement and monitoring (for ideation intermediary ONLY)**   1. Please set out the mechanism for monitoring the financial position of the intermediary’s programme and spending position of individual funded projects, and preparation of financial reports to the Trustee. 2. Please set out your work plan for disbursement of grant to funded projects, including whether a designated bank account solely for disbursement grants will be created. 3. Please set out your policies and work plan for monitoring purchases of equipments for funded projects and subsequent disposals. 4. Please set out your work plan for refund of unspent balances of completed projects. 5. Please set out your control mechanism for ensuring that funds provided for the projects are spent solely for the projects and that unspent funds are returned to the Trustee without delay. |

**Template for Fee Proposal**

Please provide the information as required below with reference to paragraph 3.8, 5.11, 5.12, 5.13 and Annex 4 of the Invitation Brief.

|  |
| --- |
|  |
| * + - * 1. Please state the **fixed, all-inclusive lump sum service fee**\* (in Hong Kong Dollars) to be charged for designing and implementing the proposed innovative programme covering the entire engagement period.  |  |  | | --- | --- | |  | **Fixed, all-inclusive lump sum service fee\* (HK$)** | | Tier 0 (baseline) |  |   *\* Should be no less than HK$1* |
| * + - * 1. If the proposed number of tiers for the tiered and incentive-based payment structure as set out in Part II(a)(D) of the Business Plan Proposal is 2 (i.e. involving Tiers 0 & 1) or 3 (i.e. involving Tiers 0, 1 & 2), please set out the proposed level(s) of additional service fee(s) required to cover the additional resources for delivering the better/ideal levels of performance above baseline. The proposed level(s) of additional service fee(s) should be **expressed as a percentage of the fixed, all-inclusive lump sum service fee** set out in Part A above and link to the corresponding KPIs proposed in Part II(a)(E) of the Business Plan Proposal:  |  |  | | --- | --- | | **Proposed Tier  above Baseline** | **Additional Service Fee** (as a percentage of  the fixed, all-inclusive lump sum service fee) | | Tier 1 | % | | Tier 2 | % |  * + - * 1. Please provide **high-level breakdown** of the key cost components of the service fee set out in Part A above (and Part B as appropriate) including, for example, staff cost, accommodation cost, fees for engaging implementation partners and hiring sub-contractors, if any, fees for preparing financial reports (including audited annual/financial reports), incidentals, insurance, etc. Proponent is strongly recommended to adopt the template at **Appendix to this Annex 3** in preparing the high level cost breakdown and provide all the information required.   **Optional innovative service (if applicable)**   * + - * 1. Please state the **extra service fee** (in Hong Kong Dollars) to be charged for providing optional innovative service. The proposed extra service fee should not exceed 10% of the all-inclusive lump sum service fee quoted in Part A.  |  |  | | --- | --- | | **Proposed innovative service**  (details to be provided in the proposal) | **Extra service fee (HK$)** | |  |  | |  |  | |

**Please sign and stamp your chop below**

|  |
| --- |
| (Name of Authorised Signatory)  (Date) |

**Consent to Disclosure**

**To: Secretariat, Social Innovation and Entrepreneurship Development Fund (“SIE Fund”) Task Force**

**Re: Provision of Intermediary Services to Design and Administer Innovative Programmes for the Trustee of the SIE Fund (“Trustee”)**

We, *[please insert the name of the proponent. If the proponent is in the form of an alliance/consortium comprising two or more parties, please insert the name of the party who authorized by all other parties to take up the overall coordination role and on behalf of the alliance/consortium, liaise with the Trustee on all matters relating to this invitation exercise]*, hereby irrevocably authorise, consent and agree that if the Trustee agrees to engage us as an Intermediary to design and administer an innovative programme for the SIE Fund, the Trustee, may, whatever it considers appropriate or upon request by any person (written or otherwise) and without any further reference to us, disclose to any person in such form and manner as the Trustee deems fit:

(a) the service fee and any other fees, costs and expenses payable to us by the Trustee pursuant to the legally binding agreement to be signed between the Trustee and us covering the intermediary engagement (“Engagement Agreement”);

(b) the fee proposal submitted by us to the Trustee on *[please insert the relevant date]* in relation to the provision of the intermediary services; and

(c) the engagement of us by the Trustee under the Engagement Agreement; the names of the Intermediary, members of the Intermediary and other persons appointed or engaged by us to assist in the provision of the intermediary services in accordance with the Engagement Agreement; and details of the intermediary services.

We hereby waive and forego our right, if any, to make any claims against the Trustee for any losses, damages, costs, charges, liabilities, demands, proceedings and actions that may arise out of or in consequence of such disclosure by the Trustee.

|  |  |  |
| --- | --- | --- |
| Dated this day of  \* SEALED with the Common Seal of  *[please insert the name of the proponent]* and  SIGNED by *[please insert the name(s) of the Signator(ies)]*, the *[please insert the post title(s) of the Signatories]* of the Intermediary in the presence of: | )  )  )  )  ) |  |

Signature of Witness:

Name of Witness:

Occupation:

Address:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\* To be adopted if the proponent is a limited company.