

INSTITUTIONAL LINKS

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NEWTON FUND INSTITUTIONAL LINKS – GUIDELINES FOR APPLICANTS April 2016 – Version 4 updated 19/05/2016

1. Background

The Newton Fund aims to build UK-partner country collaborations centred on these shared research and innovation challenges which have **direct** relevance to Newton partner countries' social welfare and economic development. It is managed by UK Government's Department of Business, Innovation and Skills, and delivered through 15 UK delivery partners in collaboration with 15 partner countries.

Tackling global challenges – such as extreme weather conditions, urbanisation, access to affordable health care, food and energy security, and meeting the social and economic needs of a growing population – requires an integrated research and innovation approach, bringing together communities from different disciplines, sectors, and countries in high-quality collaborations.

The Newton Institutional Links Programme is designed to establish links beyond the level of the individual researcher and innovation practitioner, opening up opportunities for sustainable, solution-oriented research and innovation collaborations between academic groups as well as with the private and third sector.

2. Overview of the funding opportunity

Newton Institutional Links grants provide small-scale seed funding for collaborations between the UK and the participating Newton Fund countries¹ in each call to:

- Initiate new research and innovation collaborations between academic groups, departments, and institutions in partner countries and the UK
- Develop existing collaborations at group, departmental, and institutional level
- Encourage these collaborations to work with non-academic organisations and individuals to support the exchange of research and innovation expertise and the translation of research knowledge into tangible benefits
- Establish local hubs for UK-partner country activity in a particular area, enabling engagement from the wider research and innovation community.

The Institutional Links Programme is designed to be flexible and responsive to in-country needs, allowing applicants to establish collaborations on specific areas linked to country priorities and development needs, and to bring in relevant private and third sector partners, including small- and medium enterprises (SMEs), non-governmental organisations (NGOs), technology transfer offices, and other not-for-profit organisations.

Grants range from £50,000 to £300,000 for up to two years, dependent on the country (see Annex 1 for country-specific limits).

For best fit to the local context and development needs, priority areas, specific innovation

¹ Links with particular additional countries may be possible in individual calls; please check Annex 1

challenges and additional application requirements have been set at a country level through discussion with national stakeholders. **Please refer to Annex 1 for country-specific guidance before you prepare your proposal.** Proposals which do not follow the country-specific guidance **cannot be considered for funding.**

3. Scope of the Programme

Grants under the Newton Institutional Links Programme allow partners to collaborate internationally, and gain access to new research environments, facilities, knowledge, and expertise, in order to enhance the quality of their research and enable them to translate research and innovation into economic and societal benefit.

All research and innovation collaborations funded by this Programme will:

- **Establish new research and innovation links, or significantly develop existing links, between research groups, departments or institutions with the potential for longer-term sustainability.** A key aim of the collaboration will be to support research and innovation capacity building in the partner institution, as well as to stimulate longer-term links between the UK and partner countries for research and innovation. We would encourage applicants to use this as an opportunity also to engage with the commercial and not-for-profit sectors.
- **Focus on topics or themes which have relevance to the economic development and welfare of the partner country.** Institutional Links grants are intended to support areas relevant to the economic development and social welfare of partner countries. **Before** preparing your proposal, please see section 4 for a definition of development-relevant research and Annex 1 for additional priority or challenge areas for individual countries.

Wherever possible, Institutional Links collaborations should demonstrate how they will benefit the wider research and innovation community in the partner country.

Collaborations may also be established as UK-partner country centres of excellence – based in the partner country – in a particular research area, acting as a resource hub for the wider research community in-country and a focal point for other activities (e.g. seminars, technical training workshops).

When designing your proposal, you should consider how best to involve early career researchers to promote their development and, more generally, to build researcher capacity especially in the partner country.

Newton Fund Institutional Links grants can cover costs which support research and innovation collaboration, including human resources costs; travel costs associated with exchange of researchers, students and staff from partners and other organisations; the costs of organising meetings, seminars, training; and other activities to establish and strengthen collaborative links. Grants can also include a limited contribution to other research-related costs (including equipment, consumables and non-staff fieldwork costs); however, this is capped at 30% of the total value of the grant. As funding for the project can be disbursed via both the UK and the partner country funding agencies, in some countries there may be restrictions on partner country costs – please refer to Annex 1 for details.

Institutional Links grants can also support the training of technical staff, or finance other activities necessary for the translation of the research into benefit, thereby laying the foundations for longer-term impact on the research and innovation landscape, and on economic development and social welfare. All expenditure must be detailed in the budget spreadsheet provided.

A summary of costs to be covered by the grant must be included in the online application form and must contain justifications (e.g. periods of research assistant time, why consumables or equipment are needed). Financial reporting on grant expenditure will be required, and a reporting template will be provided for this .

Please refer to Section 6 and Annex 1 for further details of funding available.

4. Relevance to economic development and social welfare (Official Development Assistance (ODA) eligibility)

For the purpose of the Newton Institutional Links Programme, we define research and innovation with development relevance as activities that have the potential to contribute to the economic development and social welfare of Newton Fund low- and middle-income countries², benefitting low-income and vulnerable populations in these countries.

In order to be considered for funding under the Newton Programme, **all proposals must clearly articulate a plausible pathway to positive impact on these populations within a short- to medium-term timeframe (3-15 years). Applications which do not meet this criterion cannot receive UK Newton Fund support.**

In some disciplines, development relevance can be longer-term and less direct than in other areas and impact may be societal. In all cases, it is the responsibility of the applicant to articulate how the research area or activity proposed will meet these criteria. Applicants should not expect reviewers to make assumptions about development impact that is not clearly described within the proposal.

Under this call, the following research and innovation challenge areas will be given priority (**unless specified further in Annex 1 for individual countries**). Multidisciplinary proposals are welcome, and may include Biological and Medical Sciences, Engineering and Physical Sciences, Environment, Agriculture and Food Sciences Social Sciences and Arts and Humanities. The challenge areas are as follows:

- Agriculture (e.g. irrigation, crop yields)
- Climate and environment (e.g. climate change, green technology, sustainable development, ecosystem services, resource scarcity)
- Sustainable energy for all
- Education research and innovation for development
- Economic growth (e.g. equitable growth, financial sector development, private sector development)
- Health (e.g. HIV/AIDS, malaria, tuberculosis, neglected tropical diseases, child mortality, maternal health)
- Water and sanitation
- Food and nutrition (including food security)
- Demographic change and migration
- Rural and urban development
- Infrastructure (including civil engineering, information and communication technologies, big data for social and economic development, transportation)
- Humanitarian disasters and emergencies, disaster risk reduction
- Resilient and connected communities
- Governance, society and conflict (e.g. transparency, accountability, effective institutions, land and natural resource rights, poverty alleviation, social development, structural inequalities, violence and security, peace building, civil society)

² As defined by the OECD DAC list of official development assistance (ODA) recipients
<http://www.oecd.org/dac/stats/documentupload/DAC%20List%20of%20ODA%20Recipients%202014%20final.pdf>

- Development-relevant data collection, quality and access (including administrative data and macroeconomic statistics).

Please see section 11 for a list of our review panels.

For more on our approach to ODA, please see <http://www.newtonfund.ac.uk/about/what-is-oda/>

In order to show development relevance within the context of their proposed project, applicants are advised to include within their application reference to any local or national consultation, links to government policies, and existing links with government institutions.

Agreements for ownership and exploitation of intellectual property generated through project activities must be consistent with the primary aim of addressing development issues.

5. Eligibility

Proposals must fulfil the following criteria in order to be eligible for funding under this Programme:

- Each proposal must have one Principal Applicant from the UK **and** one Principal Applicant from the partner country
- Both Principal Applicants must be Leading Researchers³ or Established Researchers³
- Principal Applicants are limited to one Institutional Links application per call.
- Principal Applicants must be based at one of the following:
 - A not-for-profit higher education institution with the capacity to undertake high-quality research, unless specified otherwise in Annex 1
 - A UK higher education institution (all UK higher education institutions are eligible)
 - A not-for-profit research organisation with the capacity to undertake high-quality research⁴
 - A Catapult Centre⁵ (in the case of the UK Principal Applicant)
- Both of the Principal Applicants' institutions (the 'Lead Institutions') must have the capacity to administer the grant.
- Individual departments within a single institution can make multiple applications per call provided that the proposed activities are clearly different and that each is led by separate Principal Applicants.
- Principal Applicants can apply for funding for the same activity in subsequent calls provided the project has not already been funded.
- Principal Applicants that have previously received Institutional Links grants can submit further applications for Institutional Links provided the proposed activities are clearly distinct from, or build on, any already funded through the Newton Fund.
- Organisations affiliated to UK higher education institutions (e.g. an overseas campus) may be the Lead Institution in the partner country provided that other eligible higher education institutions or research organisations not directly affiliated with UK higher education institutions in the country are also involved as Associated Partners. However, organisations

³ For an indication of profiles for the two categories, we suggest applicants refer to the European Commission document *'Towards a European framework for research careers'* http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf.

⁴ Please see the list here https://www.britishcouncil.org/sites/default/files/eligible_uk_research_organisations_v_3_november_2015.pdf for a list of eligible UK research organisations.

⁵ <https://www.innovateuk.org/-/catapult-centres>

cannot apply as Lead Institutions in Links with their *own* affiliates in other countries.

To support the translation of research and innovation into benefit, Principal Applicants are encouraged to include in their proposals Associated Partners affiliated with:

- Other research or higher education institutions
- Technology transfer offices
- Not-for-profit organisations (including non-governmental organisations (NGOs))
- For-profit/commercial organisations, including small and medium enterprises (SMEs).

For-profit organisations and not-for-profit organisations (other than not-for-profit higher education institutions or publicly-funded research organisations) are usually **not** eligible to apply as Lead Institutions. **Furthermore, for-profit organisations are not eligible to receive any grant funds except to cover travel-associated costs.**

Please contact us at UK-InstitutionalLinks@britishcouncil.org if you are in doubt about the eligibility of your organisation.

Eligibility checks will be applied to all proposals on receipt. Proposals which are not led by a recognised not-for-profit higher education institution or a publicly-funded research organisation (unless specified otherwise in Annex 1) will be rejected during these checks. Please see Annex 2 for a full list of eligibility criteria.

If you are unsure about your organisation's eligibility, for UK see the link at Footnote 4; for partner countries, please contact the local British Council office.

6. Funding available

The level of grant funding available from the Newton Fund depends on the country: please see Annex 1 for country-specific limits.

A condition for accessing funds from the Newton Institutional Links programme is that match funding is secured from partners in each country. For the April 2016 call, the British Council has secured match funding from most national funding agencies or other partners in each participating country.

Funds will be disbursed directly to the Lead Institution(s) (i.e. the Principal Applicants' institutions) according to the approved final budget. Applicants may be asked to adjust their budget if their request does not fit within funding guidelines.

In some cases the whole grant will be awarded to the UK Lead Institution, which will then disburse the grant to the Lead Institution in the partner country; in other cases there is a separate grant agreement with each Lead Institution. Lead Institutions may transfer funding to Associated Partners for activities which support the objectives of the collaboration and the overall Programme⁶.

An advance payment of 60% of the Newton Fund grant will be made on signature of the grant agreement, followed by two payments of 20% dependent on approval of reports by the British Council.

Institutional Links grants are intended to contribute to the direct costs of establishing and operating your collaboration (i.e. costs directly related to implementing activities contained in the proposal). The following section details the costs that can and cannot be included in your budget request.

Please note that Annex 1 specifies further, country-specific information on eligible and ineligible costs.

Please complete the budget spreadsheet as provided on the call website with details of all costs:

⁶ Note that for-profit organisations are only eligible to receive funds to cover travel-associated costs.

Please also complete the budget summary on the online application form with the totals from your budget spreadsheet and a brief justification for the amounts applied for.

Institutional Links grants **can cover**:

Category	Type	Percentage Limits	Notes
Human Resources costs	Staff costs for personnel working <u>directly</u> on the grant-funded project: salaries and fees of temporary research and research assistant personnel, and other staff employed for the project, for example data collection staff in partner country	None See country specific guidance for more details	This includes on-costs such as superannuation, and national insurance payments
	Staff costs for permanent staff	Limited to 30% of total human resources costs funded by the grant	This includes on-costs such as superannuation, and national insurance payments. If you would be unable to deliver your proposed project without a higher contribution to permanent staff costs, please contact UK-InstitutionalLinks@britishcouncil.org with a justification and we will consider your case. Please note that we would normally limit this to the stated 30% of HR costs of universities.
Other research related costs	Essential research equipment	Limited to 30% of total grant	If the applicant requests more than 30% of the total budget requested under this category, the project will be considered ineligible. Permission must be obtained from British Council before the purchase of equipment over £5,000. Criteria are normally: 1. Equipment is essential to delivery of the project and cannot be expected to be
	Consumables		
	Specialist software licences essential to the collaboration		

	Access fees to facilities or library services		provided by institutions 2. Equipment will be used in the partner country and will remain there on project completion.
Operational Costs	Travel (economy class) and subsistence costs	None See country specific guidance	In line with British Council policies and the criteria detailed in Annex 1.
	Visa fees, vaccinations and medical insurance for travel essential to collaboration		Only covers travel to the partner country or the UK
	Costs of meetings, training events, seminars and conferences integral to the collaboration		This can include short-term room hire, hire of audio-visual equipment (projectors, etc) and stationery supplies (flip charts, etc)
	Basic catering costs associated with events or meetings directly relating to the collaboration		
Communications costs	Publication costs directly related to the collaboration	None (see country specific guidance)	This includes web page development by external providers, if appropriate We particularly encourage open access publishing
	Use of telecommunications such as video / audio / web conferencing		
Other costs	Bank charges for transfer of funds from the Lead Institution to other Partners		Note that for-profit organisations are only eligible to receive funds for travel associated costs.

The British Council is committed to equal opportunities and diversity and will consider, on a case by case basis, requests for support to encourage under-represented groups to engage in Institutional Links activity, so long as sufficient justification is provided.

Institutional Links grants **cannot cover:**

- Costs of staff based in commercial organisations.

- Tuition Fees
- Bench Fees
- Costs related to writing up, promoting or disseminating previous research.
- Attendance at conferences or other events unless this is to present outputs and outcomes of the project.
- Patents costs
- Costs relating to the construction, procurement or rental of physical infrastructure (e.g. office buildings, laboratory facilities). It is expected that any rooms and facilities essential for the routine operation of collaboration are provided as an in-kind contribution by the participating institutions. These can be detailed as an in-kind contribution in the budget breakdown.
- Purchase or rental of standard office equipment (except specialist equipment essential to the research). This includes:
 - IT hardware – laptops, personal computers, iPads, tablets, etc.
 - Office software
 - Desks, chairs, filing cabinets, photocopiers, printers, fax machines.
- Mobile phone rental or purchase
- Entertainment costs such as:
 - gifts
 - alcohol
 - Restaurant bills or hospitality costs for personnel not directly participating in the project.
 - Excessive restaurant costs.
- Other indirect costs not listed in the above table or detailed in Annex 1.

Please contact UK-InstitutionalLinks@britishcouncil.org if you are in doubt which costs the Institutional Links Programme can and cannot cover.

The maximum duration of the proposed collaboration is 24 months (less for some participating countries – see Annex 1), typically with an effective start in Spring 2017. Funding, if approved, begins from signature of the Grant Agreement by the British Council. Expenses incurred by the institutions prior to the effective start date, including any costs incurred in the production of the proposal, cannot be charged to the grant.

To ensure value for money, the budget requested in your proposal (including human resource costs) should cover only costs that are essential, appropriate and relevant to the collaboration. The proposal should maximise cost share through direct and indirect institutional contributions, in-kind funding, other funding sources, and private sector support.

Please indicate in the appropriate budget spreadsheet (and summarise as indicated on the application form) funds applied for from other sources to cover the collaboration; please clarify the status of the funding applications (i.e. successful; decision pending). Please indicate when you will know the outcome of any pending applications.

For most countries, there is no minimum requirement for in-kind funding in the application, but these contributions will be looked upon favourably as a demonstration of long-lasting commitment to the programme.

7. Ethics and research governance

It is essential that all legal and professional codes of practice are followed in conducting work supported by this Programme. Applicants must ensure the proposed activity will be carried out to the highest standards of ethics and research integrity.

In the online application form, applicants must clearly articulate how any potential ethical and health and safety issues have been considered and how they will be addressed, ensuring that all necessary ethical approval is in place before the project commences and all risks are minimised. Specifically, applications that involve research on animals, human participants, human tissue or patient/participant data must be accompanied by necessary permission certificates from the relevant local ethical review committees/authorities in the UK and the partner country, or an undertaking to obtain this permission in advance of the activity commencing. Failure to do so will result in applications being rendered ineligible and any funding already committed through this Programme being rescinded.

Please refer to the Research Councils UK 'Policy and Guidelines on Governance of Good Research Conduct' (<http://www.rcuk.ac.uk/Publications/researchers/grc/>), the InterAcademy Partnership report 'Doing Global Science: A Guide to Responsible Conduct in the Global Research Enterprise' (<http://www.interacademycouncil.net/24026/29429.aspx>) or contact us at UK-InstitutionalLinks@britishcouncil.org for further guidance.

8. Diversity

Applicants are encouraged to include participation by people from under-represented groups in the teams implementing their proposed research. Applicants may apply for funding to cover extra costs for such participation.

Please make costs to cover the inclusion of under-represented groups clear in the 'human resources' section of the budget request within your application.

Please contact us at UK-InstitutionalLinks@britishcouncil.org for further information on funding, and for more on the British Council's approach, see our Equality Policy at: https://www.britishcouncil.org/sites/default/files/equality_policy_1.doc

9. Submission process

The submission deadline is **16:00 UK time on 27th June 2016**. Proposals submitted after the deadline will not be considered for funding.

For Mexico, the submission deadline is **16:00 UK time on 15th July 2016**. Please see the country-specific guidelines below for more information.

Applicants **must** submit a completed online application form (https://britishcouncil-cxobw.formstack.com/forms/application_form_il_2016_april) which includes the upload of supporting information. The online form allows applicants to enter information and save it for a later date until final submission. There are strict character limits for each section which cannot be exceeded. In addition to filling in the online form, applicants are required to upload:

- Principal Applicants' CVs
- A detailed project budget (template available on the British Council call webpage)
- Letters of support from the UK and partner country Principal Applicants' institutions, on headed paper, signed by the Head of Department or other person with appropriate delegated authority, expressing specific commitment to the proposed project, willingness to receive funding, a description of in-kind support to be given and describing why the experience and capability of the Principal Applicant is particularly suited to the project content. Please note that supporting letters must not be signed by the Principal Applicants.
- If the proposal includes Associated Partners, a pdf file of further information on Associated Partners, up to 300 words per partner, summarising the organisational and individual skills, knowledge and experience each partner will bring to the project and the role they will take.

Any other documents uploaded with your application or sent separately will be ignored.

To assist you in developing your application and sharing content with your partners, you can access a Word version of the online form here: www.britishcouncil.org/education/science/current-opportunities/newton-institutional-links-april-2016

This is solely to allow you to develop your responses in a convenient format. The final version of your application **must** be submitted using the online form.

If you experience problems with the online submission system, please contact UK-InstitutionalLinks@britishcouncil.org **before** the submission deadline. If you alert us to technical issues only after the deadline, we may not be able to take them into consideration when assessing the eligibility of your application.

Before the completed online application form can be submitted to the system, applicants will be asked to confirm on the form that they have:

- Obtained permission to submit the proposal on behalf of the UK institution(s) **and** of the partner country institution(s). This must be confirmed by attaching Letters of Support from the respective institutions signed by the Head of institution or person with appropriate delegated authority.
- Confirmed the Principal Applicants' Institutions (i.e. the Lead Institutions') willingness to receive the funds and to sign a grant agreement with the British Council or the national partner, also confirmed in the Letters of Support.
- Complied with British Council policies on prevention of fraud, bribery, money laundering and addressed any other financial and reputational risk that may affect a transparent and fair grant award process.

Once the online application is submitted, the system will generate a unique application ID number. Applicants should note this number and use it in all communications with the British Council. Applicants who have not received this ID number should contact the British Council at UK-InstitutionalLinks@britishcouncil.org.

10. Applicant screening

In order to comply with UK government legislation, the British Council may at any point during the application process, carry out searches of relevant third party screening databases to ensure that neither the applicant institutions nor any of the applicants' employees, partners, directors, shareholders is listed:

- as an individual or entity with whom national or supranational bodies have decreed organisations should not have financial dealings;
- as being wanted by Interpol or any national law enforcement body in connection with crime;
- as being subject to regulatory action by a national or international enforcement body;
- as being subject to export, trade or procurement controls or (in the case of an individual) as being disqualified from being a company director; and/or
- as being a heightened risk individual or organisation, or (in the case of an individual) a politically exposed person.

If the applicant or any other party is listed in a Screening Database for any of the reasons set out above, the British Council will assess the applicant as ineligible to apply for this grant call.

The applicant must provide the British Council with all information reasonably requested by the British Council to complete the screening searches.

Please read the text to this effect on the application form and tick the box to show that you understand this.

11. Selection process

Selection begins with an eligibility check by the British Council against the eligibility criteria given in these Guidelines, including Annex 1 and the Eligibility Checklist at Annex 2.

Eligible proposals then undergo independent external quality review on the basis of quality, fit to

development needs and country priorities, capacity building potential and likely sustainability of the collaboration, as follows:

- Assessment and scoring in the UK by at least two independent experts (see Annex 3 for assessment form)
- Thorough review in the partner country
- Review by a UK Review Panel of experts, which determines a UK panel score, ranks applications and makes recommendations for funding. The Review Panel considers whether proposals are of high quality (being intellectually innovative, well-focused and methodologically sound), and whether the activity has the potential to have a real impact on economic development and social welfare in the partner country
- Review of development relevance against Official Development Assistance (ODA) definitions established by the OECD and guidance developed by the Newton Fund with advice from the UK Department for International Development, see <http://www.newtonfund.ac.uk/about/what-is-oda/>. All proposals must clearly articulate a plausible pathway to positive impact of the research on the lives of low-income populations and to a contribution to the economic development and social welfare of the partner country within a reasonable timeframe (3-15 years). If the proposal is deemed not to meet this essential criterion, it will be rejected for UK Newton funding however high the quality of the proposed research.
- Final decision making in the partner country based on UK and partner country review and ODA scores, in collaboration with UK Newton Fund partners, in-country stakeholders and national co-funding organisations.

In the UK, eligible proposals are reviewed by one of five Review Panels:

- **Biological and Medical Sciences**
- **Engineering and Physical Sciences**
- **Environment, Agriculture and Food Sciences**
- **Social Sciences**
- **Arts and Humanities**

Please indicate in the application which Review Panel should assess the proposal, and select up to three subject area(s) in priority order. We reserve the right to allocate your proposal to a different Review Panel.

Proposals are quality assessed against the criteria at Annex 3, resulting in a total score between 0 and 60. Those receiving a final score from the Panel meeting of less than 30 will be considered not fundable. However, achieving an average score equal to or above the threshold does not mean that the proposal will be funded.

Country-specific priorities and challenge areas will be considered in the final decision, in addition to the general assessment criteria, see Annex 1 for priorities by country.

Only proposals which have clearly articulated relevance to economic development and social welfare (as defined in Section 4) will be considered for funding.

12. Data protection

As part of the online application form, the British Council will ask applicants' permission to:

- Use the information provided in the application for processing the application, making any consequential award, for the award payment, monitoring, maintenance and review of the award. Information will be shared with national Programme partners for the purpose of selection and monitoring of the award.

- Make information on the successful applications available to the public on their website and other publicity, and in reports and documents.
- Contact applicants in the future to inform them about future British Council opportunities.

Under UK Data Protection laws applicants have the right to ask for a copy of the information we hold on them, for which we may charge a fee, and the right to ask us to correct any inaccuracies in that information. More information on this is available on the British Council data protection webpage (<http://www.britishcouncil.org/home-data-protection.htm>). Alternatively, it can be requested from the local British Council office or the Data Protection Team dataprotection@britishcouncil.org.


13. Contact details

All queries or comments about this call should be addressed to the Institutional Links email address UK-InstitutionalLinks@britishcouncil.org.

Annex 1 – Country-specific guidance

To ensure optimal fit to the local context and development needs, priority areas, specific innovation challenges and additional application requirements – such as maximum grant sizes and durations – have been set at a country level through discussion with national stakeholders.

This annex provides country-specific guidance which applicants should consider in conjunction with the main body text of this document **before** preparing their proposals. Proposals which do not take into account the country-specific guidance **cannot be considered for funding**.

1. Brazil	
<ul style="list-style-type: none">• Brazilian co-funders: Fundação Amazonas Sustentável (FAS) and Schneider Electric• Duration of grants: 18 to 24 months• Size of grant: £120,000 to fund 2 proposal; with up to £60,000 per proposal• Thematic priority areas:<ul style="list-style-type: none">○ Sustainable development○ Renewable energies○ Inclusive development – please refer to further information on themes and research challenges below and in the country specific guidance (via links attached)	
<ul style="list-style-type: none">• Contractual arrangements: The British Council will issue a grant agreement to the UK Lead Institution and manage the UK side of the grant. The Brazilian co-funders will issue a contract with the Brazilian Lead Institution and manage the Brazilian side of the grant.• Additional eligibility criteria: The Brazilian lead institution must be a Higher Education or Research Institution in the State of Amazonas.• Other considerations: This call for proposals aims to contribute to local sustainable development in riverine communities in the State of Amazonas. Applicants may consider using the FAS database and reports as well as high-level scientific literature. <p>Please refer to the Brazilian country links below for important further information on funding specifics and guidance on budget allocations.</p> <p>For each theme, there is a challenge/research question aimed at reducing the demand raised with the community leaders, who</p>	

represent 16 protected areas (9.5 thousand families and 40 thousand people). Your proposal **must address one or more of these themes and questions** in order to be considered eligible for assessment.

All proposals should focus on producing high-level data to be published in international journals. These data will be the basis to produce extension materials (e.g., booklets) to provide to the communities. For more information on expected outputs please refer to country specific guidance links.

Local Website with detailed information : <https://br.live.solas.britishcouncil.digital/newton-fund/chamadas/institutional-links-fas-schneider-2016>

Documents – available for download:

Budget allocation guidance - https://br.live.solas.britishcouncil.digital/sites/default/files/budget_allocation_guidance.pdf

Themes, research questions and communities:

https://br.live.solas.britishcouncil.digital/sites/default/files/themes_and_research_questions.pdf

2. Egypt: Newton-Mosharafa



- **Egyptian co-funder:** The Science and Technology Development Fund (STDF)
- **Duration of grants:** 12 to 24 months
- **Size of grant:** £50,000 - £300,000
- **Thematic priority areas:** Proposals must be relevant to at least one of the five core Newton-Mosharafa themes:
 - Sustainable water management
 - Food production and sustainable agriculture
 - Renewable energy
 - Affordable and inclusive healthcare
 - Cultural heritage and archaeology

- **Contractual arrangements:**

The British Council will issue a grant agreement to the UK Lead Institution and manage the UK side of the grant. The STDF will issue a contract with the Egyptian Lead Institution and manage the Egypt side of the grant.

- **Budget requirements:**

- Applicants will need to submit two budgets – one for the UK side and one for the Egypt side.
- For the UK budget, allowances will be the same as in the general guidelines (ie 30% max for staff costs, 30% max for other related research costs)
- For the Egyptian budget, allowances will be as follows:
 - Max 25% on salary/staff costs
 - Max 10% on travel costs
 - Max 20% on indirect costs/overheads
 - The remaining 45% can go on other costs (research costs, equipment, communication, publication, materials, field work expenses)
- For full details on STDF's budgetary and other requirements, please see: <http://stdf.org.eg/index.php/publications-and-statistics/regulations>.
- The Egyptian budget should be calculated in Egyptian pounds.
- The total amount of the grant (including UK and Egypt sides) should be no more than £300,000 sterling. To work out the total amount of the grant, applicants should use the exchange rate published by the National Bank of Egypt for the week beginning 17th April.
- Applicants can choose how to allocate the total grant between the two sides; it is not necessary to split the grant 50:50, and a higher/lower proportion of the grant can be awarded to either side in line with the specific requirements of each proposal.
- The budget spreadsheet for the British Council application should only be used to present the UK side of the grant. There will be a separate form on the STDF site for the Egyptian budget (see below)
- **Application procedures:**
 - Applicants need to submit their application to both the British Council and the STDF.
 - On the British Council side, the application will be made through the British Council online application platform.
 - On the STDF side, applications will need to be submitted as documents (word/PDF) on the STDF website.
 - The application forms submitted to the UK and Egyptian sides must be identical.
 - We cannot consider any application which is only submitted on one side, or for which slightly different versions are submitted on each side.
 - In addition to submitting the application form to the STDF, the Egyptian PI will need to submit a few extra supporting documents which the STDF require. These include:
 - Budget form for the Egyptian side of the grant
 - GANTT chart laying out research project timeline
 - Logical framework matrix

- Declaration form
- All these forms, and a word version of the general application form, can be found on the STDF website (www.stdf.org.eg)
- For enquiries relating to the Egypt side of the grant or to STDF procedures, please contact STDF directly (Nevine.nabil@stdf.org.eg)

- **Other considerations:**

There is a strong emphasis in Egypt on encouraging more collaboration between research and industry. When deciding which applications to fund, preference will be given to proposals which involve participation from private sector enterprises.

NB: In accordance with STDF guidelines Principal Investigators cannot have more than two projects funded by STDF running at the same time.

3. Indonesia



- **Indonesian Co-Funder** : Ministry of Research, Technology and Higher Education (MRTHE)
- **Duration of grant:** 12 – 24 Months
- **Size of Grant:** GBP 70,000 – GBP 120,000 (if the value of the grant is more than GBP 70,000, the proposal requires demonstration of additional match funding from an Indonesian partner)
- **Thematic priority areas:** Proposals must be relevant to at least one of the UK - Indonesia Science Technology Fund themes:
 - Energy and Climate Change
 - Health
 - Maritime
 - Urban development(including but not limited to urban living, transportation, infrastructure and urban design)
 - Food security
 - Capacity building in science, technology and innovation

- **Match Funding**

- For research proposals valued at £70,000, MRTHE will provide match funding (up to the value of £20,000) for the Indonesian lead institution. However, if applicant proposes funding of more than £70,000, the Indonesian partner must demonstrate match funding sources (this can be from their own resources or other sources e.g. private sector, associated partners). Match funding can be in the form of cash or in-kind contribution.

- On the application budget spreadsheet, please insert UK funding from the Newton Fund in column D, Indonesia Funding requested from MRTHE in column E, and other match funding from partner institution in column G.

- **Contractual arrangements:**

The British Council will issue a grant agreement to the UK Lead Institution and manage the UK side of the grant. The Ministry of Research, Technology and Higher Education will issue a contract with the Indonesian Lead Institution and manage the Indonesian side of the grant, for grants up to £ 20,000.

- **Additional eligibility criteria:** Indonesian partner lead applicant from State Universities should state their NIDN (Lecturer National Identification Number) in application.

- **Application process:** Successful applicants will be asked to follow KLN/INSINAS through MRTHE's online system to obtain the fund of up to £20,000 from MRTHE – further guidance will be provided upon announcement of selection result.

- **Other considerations**

Project outputs must include an international publication.

4. Kazakhstan



- **Kazakhstan co-funder:** JSC Science Fund
- **Duration of grants:** 4 to 24 months
- **Size of grant:** £50,000 - £300,000
- **Thematic priority areas:** Institutional Links grants under the Newton-AI Farabi Partnership Programme can address one or more of the following thematic priority areas:
 - Energy
 - Health and wellbeing
 - Agri-technology
 - Resilience and natural disasters
 - Ecology and the environment
 - Food and water

Multi-disciplinary approaches in these areas will be welcomed.

- **Contractual arrangements:**

The British Council will pay the whole grant for both partners to the UK Lead Institution.

- **Additional eligibility criteria:**

The following types of organisations are eligible to be the Kazakhstani Lead Applicant:

- Universities
- Not-for-profit state research organisations
- State research institutes

- **Other considerations**

We particularly welcome applications that include a partner from the commercial or NGO sector and have an emphasis on commercialisation or technology / knowledge transfer.

Applicants assessed as eligible will need to send a short summary of their project in Kazakh or Russian to newton-al-farabi@kz.britishcouncil.org no later than two weeks from receipt of confirmation of their eligibility. Templates will be sent to applicants shortly after the eligibility confirmation email is sent.

5. Mexico



- **Mexican co-funder:** CONACyT
- **Duration of grants:** 12 months
- **Size of grant per project:** £80,000 (joint funding)
- **Objective:**
 - To support the establishment of UK –Mexico working groups to develop Research, Development and Innovation projects. The scheme will support partnerships between institutions from both countries to develop the Proof of Concept of a joint technology transfer project and to deliver all activities related to stage 3 of NASA's Technology

Readiness Scale (TRL3) For more information visit: [NASA's Technology Readiness Levels](https://www.nasa.gov/sites/default/files/trl.png) or www.nasa.gov/sites/default/files/trl.png

○ **Eligibility:**

- Applications must include a **UK Principal Researcher** (as per Section 5 of this guidance) and a **Mexican Principal Researcher** (Senior Researcher SNI I, II or III or equivalent or candidate to become part of SNI), based at a public or private University; Research Centre or National Research Institute and Public Administration Entities.
- Mexican Principal Applicants must belong to Mexico's RENIECYT to be recipients of a grant from CONACyT.
- The proposal must also include other members of the working group (Associated Partners) including:
 - **A coordinator**; either from the institution of the leading researcher, or from another relevant non-profit organisation in charge of supporting logistic and organization of working sessions. This role is KEY to keep the project going and preferably these should be based in a Technology Transfer Office.
 - **A least one company** either in the UK or in Mexico (Associated Partners), which has been registered and trading for a minimum of 12 months and which is interested in implementing the technology to be developed as result of this grant.
 - The UK and Mexican leading institutions must also have **an administrative lead** that will be responsible for the administration of the grant **in each institution** (Lead Contact for Grant Administration).
 - A minimum of 5 (at least two from each country) and maximum of 20 participants (10 from Mexico and 10 from the UK) can be named to be part of the working group (Under 4. The Collaboration or Associated Partners).
 - If the number of participants exceeds space on the application form, please upload a pdf (under 17. Supporting Documents on the UK Formstack application form) with further information on the associated partners. This should include up to 300 words per partner, summarising the particular relevant organisational and individual skills.
 - The proposals must clearly include who will be responsible of each of the roles as highlighted in bold in this - section. Failure to do it will make the proposal ineligible.
- Activities funded through the grant have to take place within 12 months of the first instalment being received.

○ **Thematic priority areas:**

Main priorities

- Water sanitation and conservation, especially to develop affordable technology to clean the water and have efficient use of water in agriculture, industry and housing
- Food security and regional economic development: Agro-tech, biotechnology and biochemistry in agriculture, cattle breeding and fishery. Developments to predict, prevent and mitigate the impact of climate change and plagues in agriculture, cattle raising and fishery (i.e. adaptable and sustainable agro-technology to tackle climate change impact), apiculture and economic development; conservation, improvement and technological developments from endemic plants; developments to prevent food poverty and malnutrition
- Infrastructure, nanotechnology and materials development for sustainable, energy saving and affordable housing

- Infrastructure and technology for the prediction, prevention and mitigation of natural disasters (i.e. earthquakes, hurricanes, volcanic activity, flooding, fires in agriculture and forests)
- Climate change and environmental security including forest conservation, recycling and reutilisation of composite materials, bio and chemical waste management, low carbon economies and carbon capture
- Smart cities, affordable and efficient mobility systems for the largest cities
- Public security and justice: developments to predict, prevent and mitigate crime (i.e. forensics science, IT crime prevention)

Secondary priorities

- Health focussing on challenges in the Mexican health system, including: IT platforms, medical devices, pharmaceutical, intelligent manufacturing etc. to address, for example, endemic, rare and infectious diseases, diabetes, hypertension, breast cancer, AIDS, child and maternal mortality, etc.
 - Clean energies including developments to take advantage of solar, wind, geothermic ocean energies,
- **Expected outputs at the end of the grant:**
 We expect that each working group demonstrate the execution of activities related to stage 3 of NASA's Technology Readiness Level Scale which include the following deliverables:
 - A technical report with:
 - Proof of concept activities and conclusions (compulsory)
 - Benchmark analysis against other similar technologies (compulsory)
 - Feasibility analysis including protocol updates and final concept validations to continue with TRL4 and beyond (compulsory)
 - Technological roadmap (compulsory)
 - Intellectual Property analysis (compulsory)
 - Value proposal (compulsory)
 - Technology maturity plan (desirable)
 - Mechanism for the technology protection and transfer (desirable)
 - A published article at the end of the project in an academic or science communication publication (compulsory)
 - A documented business case based on their project (compulsory)

- **Funding policy**

- British Council Mexico will fund according to section 6 above.

- CONACyT's eligible expenses to fund are:
 1. Costs for the implementation of the sessions, provided that they are indicated in the budget, are identifiable and verifiable, are justified and meet the principles of sound financial management, in particular economy and efficiency. These include, for example: food and beverages, rent of rooms, equipment for meetings, among others that are justified and do not involve a luxury or excess.
 2. Payment to pay for exhibitors, speakers, provider coordination and consultants.
 3. Payment for content development resulting from the sessions.
 4. International Travel: covers travel expenses for members of the working group traveling to the country where the sessions take place. It is expected to at least have a trip to the UK for the Mexican members of the working group and vice versa.
 5. Local Travel: covers travel expenses for Mexican and British members of the working group traveling within the country where the meetings take place.
 6. Per diems cover accommodation costs, medical insurance (international medical expenses) and local transport.
 7. Expenses for publication and communication (website) activities directly related to collaboration (up to an amount of 20,000 pesos).
 8. Payment for studies or research reports or market with cost (up to an amount of 40,000 pesos).
 9. IP searches and analysis of prior art (patents or other).
 10. Interpreters for the papers of the workshop.
 11. Costs related to the implementation of TRL3 stage.

- **Funding mechanism**

After the Review Panels have assessed proposals, CONACyT and the British Council will decide upon an equal number of proposals which each partner will try to fund equally with British Council funding the UK partners and CONACyT funding the Mexican partners. The eligible expenses for funding will depend on the policies of the funding institution. However, some proposals may be funded in their entirety by **either** CONACyT **or** the British Council depending on the nature of the proposal.

- **Submission**

- Submission deadline: **15 July 2016 16:00 hrs UK time / 10:00 hrs Mexico City**
- The application form must be submitted in English via the British Council online form **AND** in Spanish via CONACyT's Project Management System (SIAP) which can be access via CONACyT's website www.conacyt.mx where specific documents will be requested and specific evaluation criteria for CONACyT will be explained.
- When drafting your application please describe the activities related to stage 3 of NASA's Technology Readiness Scale (TRL3) in the Institutional Links Proposal section of the British Council online form and include the costs of these activities in the section "2. Other direct research costs" on the Budget Template.

We can provide you with a self-evaluation questionnaire to assess your Technology Readiness Level according to NASA's TRL scale.

For this self-evaluation tool, more details and additional guidelines for participants, please email MX_InstitutionalLinks@britishcouncil.org.mx

6. Philippines



- **Philippines co-funder:** Commission on Higher Education (CHED)
- **Duration of grants:** 4 to 24 months
- **Size of grant:** £50,000 - £ 120,000 to UK applicant from Newton Fund; Php 10 m to Philippine applicant from CHED
- **Thematic priority areas:**
 - Health and life sciences: Reducing the dual burden of infectious and lifestyle diseases on the fragile health system of the region including addressing the increasing threat of anti-microbial resistance and neglected tropical diseases; research on diagnostics, e-health systems, and biomedical device development.
 - Improving environmental resilience: Improving understanding and mitigating the human and economic impacts of natural hazards.
 - Improving energy security: Reducing carbon emissions by improving energy efficiency and provision of renewable energy.
 - Future cities: Addressing the challenges and maximising the opportunities posed by the rapid urbanisation through support to the development of physical and virtual infrastructure and better understanding human impacts.
 - Agritech: Increasing agricultural productivity and addressing food security issues as production is likely to be hindered by the impacts of climate change.
 - Digital, innovation and creativity: The use of web technology, data analytics, big data, and creative industries as drivers of disruptive innovations that can deliver benefits to social and economic development. Similarly, facilitating development of policies and approaches to enable creation of effective innovation systems and long term planning will be essential to encourage sustainable development.
- **Contractual arrangements:**

The British Council will issue a grant agreement to the UK Lead Institution and manage the UK side of the grant. CHED will issue a contract with the Philippines Lead Institution and manage the Philippines side of the grant.
- **Additional eligibility criteria:**

This opportunity is open to Philippine institutions who are eligible to apply for the CHED Grants for Innovation programme.

7. Thailand



- **Thai co-funder:** Thailand Research Fund
- **Duration of grants:** 24 months
- **Size of grant:** £50,000 to £ 100,000
- **Thematic priority areas:**
 - Education research and innovation for development
 - Economic growth (e.g. equitable growth, financial sector development, private sector development)
 - Demographic change and migration
 - Rural and urban development
 - Infrastructure (including civil engineering, information and communication technologies, big data for social and economic development)
 - Governance, society and conflict (e.g. transparency, accountability, effective institutions, land and natural resource rights, poverty alleviation, social development, structural inequalities, civil society)
 - Innovative and Sustainable Competitiveness in Food & Drink Technology
 - Health & Life Sciences

- **Contractual arrangements**

The British Council will issue a grant agreement to the UK Lead Institution and manage the UK side of the grant. The Thailand Research Fund will issue a contract with the Thai Lead Institution and manage the Thai side of the grant.

Given the importance of expanding collaboration among researchers, applicants are asked to explain how they plan to foster collaboration through the International Research Network.

- **Other considerations:**

The International Research Network (IRN) programme provides an excellent opportunity for establishing and strengthening collaborations between researchers in Thailand and other countries by providing a mobility fund to support Thai Ph.D. students to do research in an overseas laboratory and the exchange of postdoc researchers. In addition, in order to motivate the Thai academic institutes efficiently and contribute a wider international network for future collaborations, the IRN programme supports communications and visiting activities between collaborating researchers from Thailand and abroad, such as; having joint workshops, conferences and joint publications, or inviting other lecturers to join the team. This programme will create an

opportunities for exchange of researchers and students, and facilitate more collaborations by allowing regular visits between collaborating institutions.

Annex 2 – Eligibility criteria checklist

The application has been submitted by the applicants by the published deadline.	
The application has been submitted using the correct online application form.	
The application has been submitted by a Principal Applicant in the UK and a Principal Applicant based in one of the partner countries listed in Annex 1.	
<p>Principal Applicants are based at:</p> <ul style="list-style-type: none"> ○ A not-for-profit higher education institution with the capacity to undertake high-quality research ○ A research institution with the capacity to undertake high-quality research ○ A Catapult Centre⁷ (in the case of the UK Principal Applicant) ○ An alternative institution as detailed in Annex 1 ○ For the UK, if the Lead Institution is not an HEI, they are listed here: https://www.britishcouncil.org/sites/default/files/institutional_links_-_eligible_uk_research_organisations_-_version_1april_2015.pdf Please contact UK-InstitutionalLinks@britishcouncil.org if in doubt 	
The applicants have included 2 supporting letters, one from each of the two Lead Institutions, on headed paper, signed by the Head of the institution or person with appropriate delegated authority, giving specific commitment to the project as described in Section 9 of these Guidelines. Supporting letters are not signed by the Principal Applicants.	
Applicants have submitted a detailed budget request using the appropriate budget spreadsheet provided.	
If there are Associated Partners, additional information on them has been uploaded	
Each section of the application form has been completed in full and complies with instructions given.	
The application form and supporting documents have been completed in English.	
The Principal Applicants have submitted only 1 application under this Institutional Links call.	
If either Principal Applicant has previously received a Newton Fund Institutional Links grant then the proposed activity builds significantly upon the existing project.	
Both of the Lead Institutions have the capacity to administer a grant and satisfy British Council requirements to prevent bribery, fraud and professional misconduct. Applicants have confirmed they comply with British Council requirements by responding to pre-submission questions in the online application form	

⁷ <https://www.innovateuk.org/-/catapult-centres>

<p>The total budget is within 10% of the limits given in this guidance, including Annex 1 for the applicable partner country. If the budget is over 10% above the maximum, reject; if it is within 10%, send forward for review. Cut the budget to the maximum allowed if chosen for funding.</p>	
<p>The budget requested under “other research related costs” is 30% or less of the total budget (unless specified otherwise in Annex 1). If this is more than 30%, reject.</p>	
<p>The budget requested for permanent staff costs is 30% or less of the total budget requested for human resources costs.</p>	
<p>If the partner country Lead Institution is affiliated in any way with a UK higher education or research institution, the proposal includes other eligible higher education or research institutions in the partner country.</p>	

Annex 3 – Assessment criteria and scoring system

Assessment of the quality and development relevance of the proposals will be performed by expert reviewers, and the final funding decisions will be made in discussion with British Council country office and in-country partners. Only proposals that have clearly articulated relevance to economic development and social welfare of the partner country will be considered for funding. In addition, only proposals with an average score of 30 points or more for Sections 2 to 4 are considered fundable.

		Range
Section 1 – Relevance to economic development and social welfare		YES/NO
<p>The proposal clearly articulates a plausible pathway for the research to lead to positive impact on the lives of people on low income and contribute to the economic development and social welfare of the partner country and within a reasonable timeframe (3-15 years).</p> <p>Please see section 4 of the Guidelines for further details.</p>		

	Score	Range
Section 2 – Research/innovation quality and background		0-20
<ul style="list-style-type: none"> • The academic importance and timeliness of the research/innovation topic is clearly demonstrated. • The Principal Applicants have sufficient relevant experience to undertake the proposed research collaboration and achieve the stated objectives. • The value added – to institutions and/or the wider research and innovation community – by the collaboration between the partnering institutions is clearly described. • The collaborating institutions are of appropriate academic standing. • The benefits and relevance of the research to the UK and partner country institution is clearly described. 	<p>20 points: Meets all criteria to an exceptional level</p> <p>16 to 19 points: Meets the majority of the criteria to a very high level</p> <p>11 to 15 points: Meets the majority of the criteria to a high level</p> <p>6 to 10 points: Meets the majority of the criteria to an adequate level</p> <p>1 to 5 points: Meets some of the criteria to an adequate level</p> <p>0 points: Fails to meet any of the criteria to an adequate level.</p>	

Section 3 – Proposal		0-20
<ul style="list-style-type: none"> • The description of the proposed collaboration includes clear, feasible and realistic objectives as well as potential for long term impact. • Applicants clearly articulate specific outputs anticipated from the collaboration and objectives likely to be achieved • The proposal explains the benefits to both the UK and partner country researchers/innovation practitioners, institutions and end-users of the research or the products and services that will result from the project activity, in particular taking into account who might benefit and how they might benefit. • There is strong evidence of support from the applicants' institutions and Associated Partners (where applicable). • The proposed collaboration supports new links or significantly extends and develops existing links. • If the applicants' institutions are collaborating already, there is there clear evidence that the grant would add significant value to the collaboration. • The proposal includes a clear and feasible description of the arrangements for project managing the collaboration and communication between partners. • The proposal represents value for money; all costs are fully justified 		<p>20 points: Meets all criteria to an exceptional level</p> <p>16 to 19 points: Meets the majority of the criteria to a very high level</p> <p>11 to 15 points: Meets the majority of the criteria to a high level</p> <p>6 to 10 points: Meets the majority of the criteria to an adequate level</p> <p>1 to 5 points: Meets some of the criteria to an adequate level</p> <p>0 points: Fails to meet any of the criteria to an adequate level.</p>

Section 4 – Sustainability and capacity building		0-20
<ul style="list-style-type: none"> • The potential in terms of professional development and capacity building for researchers, innovation practitioners and other individuals participating in the collaboration is clearly described • The collaboration supports the institutional capacity to translate research into economic or societal benefit, for example through establishing new relationships with non-academic partners, or setting up new processes for technology transfer • The proposal includes a clear and feasible description of how the participating institutions/organisations intend to sustain their collaboration over the longer-term • The participating institutions demonstrate a commitment to the collaboration through provision of in-kind funding (note that matched funding is an essential requirement for proposals from a subset of countries) 		<p>20 points: Meets all criteria to an exceptional level</p> <p>16 to 19 points: Meets the majority of the criteria to a very high level</p> <p>11 to 15 points: Meets the majority of the criteria to a high level</p> <p>6 to 10 points: Meets the majority of the criteria to an adequate level</p> <p>1 to 5 points: Meets some of the criteria to an adequate level</p> <p>0 points: Fails to meet any of the criteria to an adequate level.</p>
TOTAL SCORE FOR QUALITY ASSESSMENT (Section 2 + Section 3 + Section 4)		0-60