

Newton Fund Impact Scheme Applicant Guidelines Version 0.1

Overview of change(s) from previous version:

Change	Page in version 0.1	Page in version 0.2

Countries included in this call are:

Brazil, Kenya, Malaysia and Mexico

Call opens: 16 July 2019 12:00 (midday) UK time

Call closes: 13 September 2019, 16:00 UK time

Funding Available: A total of £25 million across two calls in a total of 17 countries (Year 1: Brazil, Kenya, Malaysia and Mexico), matched by in-country partners.

How to apply: Online submission via

<https://www.britishcouncil.org/education/science/current-opportunities/newton-fund-impact-scheme> (please note that the application form will be open from 18th July 2019). Newton Fund Impact Scheme grants will be made available to recipients of Newton funding from any Newton Delivery Partner. For the current call eligible applicants are defined as listed in Appendix 2. All applications must be submitted via this online form regardless of the previous awarding organisation. We invite applications from previous and existing Newton Fund grant holders which were in collaboration with these four countries only. Collaborations may include a new component from either of the countries involved in the original grant but at least one component of the team must remain the same (either UK or other component).

Assessment Process: Two stage process. Stage 1: Parallel expert review panels (up to 5 panels grouped covering the following themes: arts and humanities; medical and biomedical science; engineering and physical sciences; environmental and agricultural sciences; and social sciences). Stage 2: a tensioning panel to ensure consistent scoring and produce country specific ranked ordered lists (inclusive of all themes). Stage 3: a moderation panel between UK and in country partner funders.

Grant disbursement process: The British Council will disburse grants to British Council, the UK Academies and the Met Office's previous and existing grantees. UK Research and Innovation (UKRI) will disburse grants to UKRI previous and existing grantees.

Key Dates:

Activity	Date
Call opens	16 th July 2019
Application form will open for applicants	18 th July 2019
Deadline for applications	13 th September 2019
Review and tensioning panels	November 2019
Moderation panel	November/December 2019
Announcement of awards	January 2020
Successful UKRI applicants to re-apply through Je-S or Innovate systems	January 2020
Contracting for British Council, UK Academies, Met Office applicants	January/February 2020
Grants awarded for UKRI applicants	March/April 2020

Additional information: We will allow only one application per Project Leader, from either country. Current and previous UKRI applicants whose applications are business-led, should be aware that there will be additional application steps as detailed throughout this guidance document.

Contact: UK-NFIS@britishcouncil.org

1. Background

The Newton Fund builds research and innovation partnerships with 17 partner countries to support their economic development and social welfare, and to develop their research and innovation capacity for long term sustainable growth. It has a total UK Government investment of £735 million up until 2021, with matched resources from partner countries. The Newton Fund is managed by the UK Department for Business, Energy and Industrial Strategy (BEIS), and delivered through 7 UK delivery partners, which includes UK Research and Innovation (and therefore the 7 Research Councils and Innovate UK), the UK Academies, the British Council and the Met Office. For further information visit the Newton Fund website (www.newtonfund.ac.uk) and follow via Twitter: @NewtonFund.

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 Fund Impact Scheme is designed to provide previous and current Newton award holders with the opportunity to unlock further impact from their work in a way that strengthens the profile of the Fund. The intention is that Newton Fund Impact Scheme grants add tangible value to the investment already made by partner funders and the UK. Newton Fund Impact Scheme grants will be made available to recipients of Newton funding from any Newton Delivery Partner. For the current call eligible applicants are defined as listed in Appendix 2.

The Newton Fund Impact Scheme is delivered by the British Council in partnership with UKRI on behalf of BEIS.

Overview of the funding opportunity

The Newton Fund Impact Scheme provides funding for current and previously funded Newton Fund grantees aiming to maximise the impact from Newton Fund activities.

The collaboration between UK and partner countries could build upon the original partnership or form a new partnership (see section 2 for more details).

We expect the Newton Fund Impact Scheme to stimulate new pathways to impact, broaden impact into other areas, or significantly extend impact from previous projects. Grants will not be provided to support the continuation of activities under the existing project. Applicants should make a strong case to demonstrate that proposals consist of new activities that build on the previous project and focus primarily on impact realisation.

Applicants are invited to think creatively about ways these aims can be achieved. The grants will provide funding targeting the following key areas:

- I. Initiating or increasing policy impacts or user engagement. This may involve translating existing research or research outcomes into policy impacts, increasing engagement with users, measures to overcome identified barriers to impact or extending engagement into new user communities.
- II. Initiating or increasing engagement with impact multipliers (e.g. businesses, start-ups, NGOs or charities). This may involve moving research outcomes further along the translation pipeline or extending the outcomes into the commercial sector.

The Newton Fund Impact Scheme is designed to be flexible and responsive to in-country needs. It allows applicants to realise impact from Newton Fund activities supporting country priorities and development needs. It is intended to empower applicants 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 can be up to a maximum £200,000 for up to two years, dependent on the country (see Appendix 1 for country specific limits) and may exceed this limit only for projects previously funded by Innovate UK. If your grant costs exceed this limit, you must email support@innovateuk.ukri.org with full justification at least 10 days before the competition closes otherwise you will be deemed ineligible. While there is no formal minimum, we are looking to support significant interventions that extend beyond individual mobility alone.

For best fit to the local context and development needs we would encourage applicants to review relevant national science and technology strategies as listed in Appendix 1 – country specific guidance.

2. Scope of the programme

Grants under the Newton Fund Impact Scheme allow project leaders to find new pathways to impact which can be realised within the former grant's research area or under a different theme targeting other development-relevant stakeholders.

The scope for individual activities is broad and flexible. However, it will be expected that all proposed activities are:

- Evidence-based
- Responsive to experience and lessons learned through preceding Newton projects

- Beneficial to clearly defined, development-relevant stakeholders

Suggested activities include but are not limited to:

- Convening of; researchers; practitioners; policy makers; businesses; SMEs; industry bodies; civil society leaders; other relevant public sector representatives; journalists, government/parliamentary intermediaries and other non-academic dissemination professionals; research support staff and technicians; service providers; investors; and catalysts, for a wide range of creative stakeholder engagement activities such as knowledge brokerage, debates, seminars, round-table discussions, exhibitions and workshops.
- Knowledge products, publications or other media: guides to making practical use of research outputs, evidence synthesis products, policy white papers or other specific recommendation papers that put the evidence into the wider context, translation of key information, creative packaging of research results and recommendations for public engagement.
- Provision of staff or equipment for facilitating specific kinds of impact.
- Provision of training to select cohorts in techniques or practice relevant to specific impacts or aimed at reducing current barriers to impact.
- Commercial outputs, prototyping, demonstrations, site-visits (only those that include key impact relevant stakeholders), trials, on-site testing/verification, collection of results vital to recommendations.
 - Newton Fund Impact Scheme collaborations should demonstrate how they will benefit the partner countries within and beyond the research and innovation community.
 - Countries to be involved in the July 2019 call are:

Brazil, Kenya, Malaysia, Mexico

UK component costs (for details of the non-UK component please see the country specific details in Appendix 1):

For non-profit organisations and Research Institutions, these are the eligible costs at 80% FEC:

- Staff costs (including directly incurred and directly allocated posts).
- Other research costs (including consumables). Please note that no single items over £10,000 may be included.
- Travel and subsistence for exchange/mobility activities (including cost of workshops, meetings etc).
- Estates and indirect costs.

For more details on eligible costs please see section 7.1.

Details on eligible costs for applications led by for-profit organisations which will be awarded by Innovate UK can be found here:

<https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance/partner-finance-form-guidance>.

Newton Fund Impact Scheme grants can also support the training of technical staff, or finance other activities necessary for laying the foundations for longer term impact on the research and innovation landscape, and on economic development and social welfare.

Applicants can request a grant contribution tackling barriers to diversity and inclusion. Examples of costs that can be covered include but are not limited to: additional childcare costs, measures to support the participation of researchers and team members with disabilities. Such requests should be clearly marked in the budget form and should be supported by justifications submitted separately by email to:

UK-NFIS@britishcouncil.org

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 Appendix 1 for details.

3. Relevance to economic development and social welfare [Official Development Assistance (ODA) eligibility]

For the purpose of the Newton Fund Impact Scheme, we define activities leading to impact with development relevance as activities that have the potential to contribute to the economic development and social welfare of low and middle-income countries¹, benefitting low income and/or vulnerable populations in these countries.

In order to be considered for funding under the Newton Fund Impact Scheme, **all proposals must clearly articulate a plausible pathway to positive impact on these populations within a short to medium term timeframe (within 10 years). Applications which do not meet this criterion cannot receive support under the UK Newton Fund Impact Scheme.**

In some disciplines, development relevance can be longer term and less direct than in other areas, impact may also be societal. In all cases, it is the responsibility of the applicant to articulate within the application how the proposed activities will meet these criteria. Applicants must complete the ODA compliance section of the application form and should not expect reviewers to make assumptions about development impact that is not clearly described within the proposal.

For more on our approach to ODA, please see:

<http://www.newtonfund.ac.uk/about/what-is-oda/>

Failure to demonstrate ODA eligibility will render your application ineligible regardless of other success criteria. Please make sure you consider the ODA relevance of your application.

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.

ODA transparency and reporting

As part of the government's commitment to ODA transparency and in line with DfID ODA reporting requirements, UKRI is responsible for publishing information about

¹ 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>

UKRI ODA grants including project titles and summaries via the International Aid Transparency Initiative (IATI) registry and via DFID's national statistics.

The purpose of publishing information via the IATI registry is to make information about ODA easily accessible to governments, stakeholders and other relevant groups in beneficiary countries. All UKRI funded projects from this programme will be published in this way. Please therefore write your project title and summary in such a way that they are meaningful and accessible to non-specialist audiences, following publication.

We would be grateful if you would ensure that the project title and summary are written in plain English and avoid the use of jargon, acronyms, puns and plays on words. Please also make clear in your project title and summary how your project is ODA-compliant, for example by identifying the development challenge(s) being addressed, the aims of the project and the beneficiary countries.

4. Equitable Partnerships

Partnerships are a key pillar of the Newton Fund. UKRI developed the following statement of expectation for research partnerships in consultation with researchers from East Africa:

Partnerships should be transparent and based on mutual respect. Partnerships should aim to have clearly articulated equitable distribution of resources, responsibilities, efforts and benefits. Partnerships should recognise different inputs, different interests and different desired outcomes and should ensure the ethical sharing and use of data which is responsive to the identified needs of society.

Further guidance on how to develop and maintain equitable research partnerships is available in KFPE's Guide for transboundary research partnerships '11 Principles and 7 questions':

https://naturalsciences.ch/organisations/kfpe/11_principles_7_questions

5. Safeguarding

British Council and UKRI condemn all forms of harm and abuse, including bullying and harassment. We take a zero-tolerance approach to harm and abuse to any individual employed through or associated with our programmes in all contexts; whether in humanitarian or fragile and conflict-affected settings, in other field contexts, or within the international or UK research and development community which we fund. We expect institutions to promote the highest standards in organisational culture, and have in place the systems and procedures required to prevent and tackle all incidents of harm and abuse. Applications should detail how they will identify and manage safeguarding risks within their projects.

6. Eligibility

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

- Each proposal must have one Project Leader from the UK **and** one Project Leader from the partner country (this refers to the leader of the previous project for example a PI on a previous Research Council grant).
- Newton Fund alumni in-country whose projects are eligible for this call (please see Appendix 2) but did not include a UK partner can jointly apply

for Newton Fund Impact Scheme funding with a UK partner of their choice, as long as the UK partner is eligible for Newton Funding and the partnership improves the impact of their original project .

- Institutions or Individuals with active sanctions against them from one of the Delivery Partners will not be eligible for this Call
- Project Leaders may only submit one application per each previously funded Newton Fund projects. Applicants will need to submit the existing/previous grant ID number as part of the application form to allow administrative checks.
- Multiple applications per previous grant will not be accepted. If multiple applications are received for the same existing/previous grants the application will be returned to the Project Leaders who will need to make a decision as to how to proceed.
- Where Project Leaders are involved in multiple previous grants they may only submit one application per each previously funded Newton Fund grant.
- Project Leaders must be employed by a host institution and have a contract that extends beyond the period of the grant at one of the following (Emeritus and Honorary Professors may not charge for their time):
 - A not-for-profit higher education institution with the capacity to undertake high-quality- research, unless specified otherwise in Appendix 1.
 - A UK higher education institution (all UK higher education institutions that receive grant funding from one of the UK higher education funding bodies are eligible).
 - A not-for-profit research organisation with the capacity to undertake high-quality research². Catapult Centres³ (in the case of the UK Principal Applicant) are only eligible for grants that will be disbursed by British Council and Innovate UK.
 - For business led applications, businesses can submit applications themselves. A business is defined as an organisation undertaking commercial activities. Businesses acting as Lead Institutions can have their eligible costs funded at the following rates:

Applicant Business Size	Fundamental Research	Feasibility Studies	Industrial Research	Experimental Development
Micro/Small	100%	70%	70%	45%
Medium	100%	60%	60%	35%
Large	100%	50%	50%	25%

² Please see the list here

<https://www.ukri.org/funding/how-to-apply/eligibility/>
for a list of eligible UK research organisations.

³ <https://www.innovateuk.org/-/catapult-centres>

The definition of micro, small and medium-sized enterprises (SME) used by Innovate UK is set out in the European Commission Recommendation of 6 May 2003. A large business in this context means any enterprise which is not an SME. If the business is not a current or former Newton Fund grant holder themselves then the other Lead Institution on the project must be.

- Both of the Project Leaders' institutions (the 'Lead Institutions') must have the capacity to administer the grant.
- Co- Leaders of previously funded Newton Fund projects can submit an application instead of a previous Project Leader, but this will need to be endorsed by both former grant Project Leaders through supporting letters
- Project Leaders might apply within the same partnerships or with a new lead partner organisation. If the latter, the Project Leader will need to submit a supporting letter from the former partner Project Leader confirming their support
- Organisations affiliated to higher education institutions in the UK or any other country and based in the partner country, (e.g. an overseas campus) are not eligible for UKRI awarded grants. For British Council awarded grants they may apply as the Lead Institution in the partner country provided that other eligible higher education institutions or research organisations are also involved as Project Partners/Associated Partners in the partner country (see below for a definition of such partners).
- Organisations cannot apply as Lead Institutions in conjunction with their *own* affiliates in other countries.
- UKRI (Research Councils and Innovate UK) current grantees should check Appendix 2 to see whether their application will be considered eligible as only applicants funded under the previous Calls listed in Appendix 2 can submit an application under this Call.

To support the realisation of impact, Project Leaders are encouraged to include in their proposals project partners, or associated partners. A project partner, or associated partner is defined as a collaborating organisation that will have an integral role in the proposed research and from which you have secured a commitment (other than British Council/UKRI or the in-country funding partner) to provide additional resources for this project. This may include in-kind or cash contributions such as expertise, staff time, use of facilities, etc.

These can include:

- Other research or higher education institutions
- Technology transfer offices
- Not for-profit organisations (including NGOs)
- For-profit/commercial organisations (including SMEs)
- UK Catapults

A letter of support from each project partner/associated partner confirming the level of support specific to this proposal must be included as an attachment. This must be signed, dated within three months of submission and on headed paper.

Businesses and for-profit organisations previously funded through Newton by Innovate UK can apply as Lead Institutions for Newton Fund Impact Scheme. However, if the business is not a current or former Newton Fund grant holder themselves then the other Lead Institution on the project must be a current or former Newton Fund grant holder. For all other research and capacity building focused applications only not-for-profit institutions, or publicly funded organisations as described in Appendix 2 are eligible to apply as Lead Institutions.

Any businesses part of a university led project must follow the guidance of the organisation that administered the original Newton Fund grant, e.g. MRC. Unless the remit of the project has changed then the guidelines of the appropriate funder should be followed.

Eligibility checks will be applied to all proposals on receipt. Proposals which are not led by eligible applicants, organisations or business (unless specified otherwise in Appendix 1) will be rejected during these checks. Please see Appendix 2 for a full list of eligibility criteria.

If you are unsure about your organisation's eligibility, for UK see the link at Footnote 2; for partner countries, please contact the local British Council office. If you are still unsure please contact us [at NFIS@britishcouncil.org](mailto:NFIS@britishcouncil.org).

7. Funding available

The British Council will disburse grants to British Council, UK Academies and Met Office grantees while UKRI will disburse grants to UKRI grantees.

The level of grant funding available from the Newton Fund Impact Scheme depends on the country: please see Appendix 1 for country specific guidance and funding limits. Funds will be disbursed directly to the Lead Institution(s), (i.e. the Project Leaders' institutions) according to the approved final budget.

For British Council disbursed grants, unless stated otherwise, an advance payment of 60% of the UK component 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. Please note that payment ratios can vary for different countries.

In the case of Research Council grants: Research Councils will pay the UK component of the grant directly to the lead UK Organisation, quarterly in arrears. Where necessary the UK lead organisation will be responsible for disbursing the funds to other UK organisations.

In the case of Innovate UK grants: Innovate UK will pay the UK grant, quarterly in arrears directly to each UK organisation.

As detailed above, businesses and for-profit organisations previously funded by Innovate UK through the Newton Fund can apply as Lead Institutions for Newton Fund Impact Scheme. For all other research and capacity building focused applications, for-profit organisations are not eligible to apply as lead institutions. For British Council awarded grants they cannot receive any grant funds except to cover travel associated costs.

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

Please note that existing and previously funded British Council and Research Council Project Leaders are expected to complete and submit the budget form (including costs from both countries) provided via the following link:

https://www.britishcouncil.org/sites/default/files/newton_fund_impact_scheme_budget_form_ukri_and_bc.xlsx

Please note that Innovate UK existing and previously funded Project Leaders are expected to complete and submit the budget form (including costs from both countries) provided via the following link:

https://www.britishcouncil.org/sites/default/files/newton_fund_impact_scheme_budget_form_innovate_uk.xlsx

In addition, a summary of costs to be covered by the grant must be included in the online application form and must contain justifications, (e.g. why consumables or equipment are needed, why travel is necessary).

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. Where you do not provide explanation for an item that requires justification, or include an ineligible cost, it may be cut from any grant made.

The following sections detail the costs that can and cannot be included in your budget request.

7.1 Eligible costs

Newton Fund Impact Scheme grants are intended to contribute to the costs of establishing and operating your collaboration, (i.e. costs directly related to implementing activities contained in the proposal).

The British Council and UKRI are 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 the Newton Fund Impact Scheme activity, so long as sufficient justification is provided.

Unless specified in the country-specific guidance Newton Fund Impact Scheme grants **can cover:**

Staff costs

‘Directly Allocated staff’ are those who will be working directly on the project, but whose involvement on the grant can only be based on an estimate of the time the work will take (e.g. investigators). ‘Directly Incurred staff’ are those whose time on the project is actual, auditable and verifiable (e.g. researchers and technicians).

Travel and Subsistence costs

Add each item of Travel and Subsistence required for your project. You should indicate the calculations upon which this figure is based.

Other directly incurred costs

Including specified consumables, consultancy fees, equipment costing less than £10,000, recruitment and advertising costs to be incurred by the UK Research Organisation.

Other directly allocated costs

Including support staff salaries, a share of the costs of departmental support staff, and the costs of access to major research facilities.

Estates and indirect costs

Estate and indirect costs are specific to each UK research organisation, and do not require justification. UK research organisations that have implemented the TRAC costing methodology and have passed the Quality Assurance process should apply their own estate and indirect costs. Non-research organisations that are not required to implement TRAC must have a robust costing methodology in place that has been validated in order to apply their own estates and indirect cost rates. The standard default rates should be used where research organisations have not yet developed their own rates.

Data

If your project will produce environmental science NERC relevant data, then you must work with the relevant NERC Data Centre(s) to cost this as part of your proposal, and enter it as an 'Other Directly Incurred cost'.

<http://www.nerc.ac.uk/research/sites/data/>. These costs should be flagged as an exception and will be awarded at 100%.

Facilities

Given the time restrictions on spend under Calls supported by the Newton Fund, we are unable to accept NERC shiptime or aircraft requests as part of this Call. All other Research Council Services & Facilities must be fully costed within the limits of the proposal, and agreement that they can be undertaken within the timeframe of the spend must be provided by the facility.

Ineligible costs include (but are not limited to):

Equipment costs

Individual items costing £10,000 or more (including VAT) are not eligible under this call. Innovate UK grants: Innovate UK will only pay for Capital Usage⁴.

Studentships

Costs associated with Masters and PhD studentships are not eligible under this call.

⁴ As defined here: <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance/partner-finance-form-guidance#capital-usage>

Exception costs

Exceptional costs are not expected within this call. If applicants feel it is essential they should discuss any exceptional cost by emailing UK-NFIS@britishcouncil.org in the first instance, explaining the cost and why it is essential to the success of the proposal.

Other support

Enter details of any support sought or received from any other source for this or other research in the same field in the past three years. Complete all fields for support either received or pending a decision.

Industry partners

For MRC grantees with industrial partners, standard MRC guidance applies. A MRC Industry Collaboration Agreement (MICA) will need to be agreed before application. Please follow the link for more information:

<https://mrc.ukri.org/innovation/mrc-industry-collaboration-agreement-mica/>

Please note that eligible costs for Innovate UK grantees are listed here:

<https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance/partner-finance-form-guidance>

Please contact UK-NFIS@britishcouncil.org if you are in doubt which costs the Newton Fund Impact Scheme can and cannot cover.

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.

8. Project duration

The maximum duration of the proposed collaboration is 24 months (**less for some participating countries – see Appendix 1**). Funding, if approved, will be transferred to the successful institution once the grant agreement is counter-signed, or the grant offer letter is accepted depending who the former funder was.

Formal project start dates will be set out in the offer letter/grant agreement, start dates will be fixed, and grants are expected to start in early 2020. 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.

9. 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.

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 Inter Academy 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 NFIS@britishcouncil.org for further guidance.

It is the absolute responsibility of the Project Leaders and the Lead Institutions to ensure that appropriate ethical approval is granted and adhered to, and that no research requiring ethical approval is initiated until it has been granted.

The Ethical Information sub-sections in the application form should be completed to give details of any human participation, research using animals, genetic and biological risk, and ethical committee approvals required. 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.

Applicants must be clear in their applications in which country the proposed research involving humans and/or animals will take place and must fully complete the Ethical Information section for research taking place in either country.

Applicants must comply with UKRI relevant policies and guidance regarding the use of humans/human tissue and/or animals in research.

Approval(s) for the research detailed in a Newton Fund Impact Scheme grant proposal must be granted by the appropriate bodies before any work can commence. Institutions, applicants and grant holders have absolute responsibility for ensuring that the necessary approvals are granted for the research set out in their proposal. The Project Leader/Lead Institution must be prepared to furnish the British Council/UKRI with a copy of the ethical approval, and any correspondence with the committees, if requested by either funder. The Project Leader must notify the funder (British Council or UKRI as appropriate) if a regulator or a research ethics committee requires amendments that substantially affect the research question, methodology or costs to the extent that the project is no longer the same as that approved for funding by the British Council/UKRI.

9.1 Partner country ethics guidance

The Lead Institution is responsible for managing and monitoring the conduct of medical and health research in a manner consistent with the [UK Policy Framework for Health and Social Care Research](#). There must be effective and verifiable systems in place for managing research quality, progress and the safety and well-being of patients and other research participants. These systems must promote and maintain

the relevant codes of practice and all relevant statutory review, authorisation and reporting requirements. Applicants are responsible to obtain ethical approval from relevant authorities before the start of activities that require such approval. Applicant must ensure that the work carried out adheres to the local guidelines for best practice. The guidance for the UK part of the proposal is set out below.

9.2 Humans/Human Tissue

Applicants must comply with relevant MRC policies and guidance (section 5 of the [Guidance for Applicants 2019](#)). In particular, applicants should be aware of the following guidance/requirements:

Current policy for research involving humans to take place overseas, is that for research to be undertaken internationally, both local and UK ethical approval is required previously of the project execution. For clinical studies involving human participants and/or patients in the UK or overseas, appropriate consent must be obtained.

For clinical studies involving human participants and/or patients in the UK or overseas, appropriate consent must be obtained.

Where the overseas partner or another third party (ANY organisation other than the UK Lead Institution) is responsible for recruitment of people as research participants and/or providing human tissue, details should be included in the case for support and a letter of support **MUST** be attached to the application. The letter of support should be titled Human participation and include confirmation of the following:

- That the international partner has agreed to recruit the participants/provide tissue
- That what is being supplied is suitable for the research being undertaken
- That the quantity of tissue (where relevant) being supplied is suitable, but not excessive for achieving meaningful results

The letter of support must be an integral part of the application (as an attachment) and must focus on the proposal it accompanies.

9.3 Use of Animals

Applicants must ensure that all of the proposed research, both that in the UK and in the partner country, will comply with the principles of the MRC common guidance on **“Responsibility in the use of animals in bioscience research”**

<https://www.nc3rs.org.uk/responsibility-use-animals-bioscience-research>

In particular, UK Institutions should be aware of the following aspect of the guidance relating to research or collaboration outside the UK:

“When collaborating with other laboratories, or where animal facilities are provided by third parties, researchers and the local ethics committee in the UK should satisfy themselves that welfare standards consistent with the principles of UK legislation (e.g. the Animals (Scientific Procedures) Act 1986), and set out in this guidance, are applied and maintained.

Where there are significant deviations, prior approval from the funding body should be sought and agreed. International research should also be compliant with all

relevant national and local regulatory systems in the host country where the research is to be conducted.”

Investigators proposing the use of animals should provide an additional letter including the following information:

- a signed statement from both UK and partner country Project Leaders that:
 - they will adhere to all relevant national and local regulatory systems in the UK and the partner country.
 - they will follow the guidelines laid out in the <https://www.nc3rs.org.uk/responsibility-use-animals-bioscience-research>
 - document and ensure that work is carried out to a minimum of UK standards
 - before initiation of the proposed research work, appropriate approvals from Institutional and/or central animal ethics committees will be obtained for experimental protocols to be adopted in their projects. Successful proposals may be expected to provide copies of these permissions before funding is released.
- Details on where the animal research will take place (UK or overseas) and through which funder the resources are being sought. Applicants should include confirmation that animal welfare standards at these institutions meet the requirements outlined above.

All applicants are required to comply with Section 4: ‘Proposals involving animal use’ of the Guidance for Applicants 2019⁵. Applicants should detail in the letter any additional information which was not included in the proposal document, but which is pertinent to the animal research proposed and which the funders should be aware of. In addition, researchers should be reminded that sufficient information and justification regarding any animal research proposed, regardless of country, must be provided in the proposal order to allow full peer review to take place.

10. Diversity

UKRI and British Council are committed to equality, diversity and inclusion, and to continuing to attract and nurture talented people from the widest pool to remain internationally competitive in research and innovation. We believe that everyone has a right to be treated with dignity and respect, and to be provided with equal opportunities to flourish and succeed. This includes avoidance of bias due to disability, gender reassignment, marriage or civil partnership status, pregnancy and maternity, race, religion or belief, sexual orientation, sex (gender), and age.

We also recognise, and will seek to maximise, the benefits achieved by diversity of thought and experience within inclusive groups, organisations and the wider community. UKRI and British Council are therefore committed to ensuring that the best potential researchers from a diverse population are attracted into research careers. For further information, please see our Equality, Diversity and Inclusion Principles and Action Plan - <https://www.ukri.org/about-us/policies-and-standards/equality-diversity-and-inclusion/>. Applicants are asked to consider encouraging participation from researchers from under-represented groups in the teams implementing their proposed activities.

Applicants may apply for funding to cover extra costs for such participation, for example, for people with disabilities who may otherwise not be able to participate, or for additional childcare. Please describe any action you are taking to encourage

⁵ <https://mrc.ukri.org/funding/guidance-for-applicants/>

diversity under “Collaboration” (4th question) on your application form. Please make costs necessary to cover this inclusion clear in the ‘human resources’ section of the budget request within your application.

Please contact us at UK-NFIS@britishcouncil.org for further information on funding. For more on the British Council’s approach, see our Equality Policy at: <https://www.britishcouncil.org/about-us/how-we-work/policies/equality-diversity-inclusion>

11. Application Documents

CVs

A CV for each Project Leader and Co-Leader must be included. This should include contact details, qualifications (including class and subject), academic and professional posts held since graduation, a list of the most relevant and recent publications, and a record of research funded by the Research Councils and other bodies. This should be uploaded under the “CV” attachment type and not exceed three pages. Please note publications lists should be submitted within these three pages, not as a separate document.

Gender Equality Statement

To comply with the International Development (Gender Equality) Act 2014, applications **must** provide a Gender Equality Statement, outlining how applicants have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities. This must be no longer than one page and is a mandatory attachment. Successful applicants for UKRI managed grants may be required to rewrite the statement before submission to Je-S. UKRI and British Council reserve the right to reject the application if no consideration has been given to gender equality or if the proposal is assessed to result in a negative impact for gender equality.

Applicants are required to address the below criteria, with an understanding that, depending on the nature of their research and innovation, not all questions will be applicable.

Criteria to address while considering gender impact:

- Have measures been put in place to ensure equal and meaningful opportunities for people of different genders to be involved throughout the project? This includes the development of the project, the participants of the research and innovation, and the beneficiaries of the research and innovation.
- The expected impact of the project (benefits and losses) on people of different genders, both throughout the project and beyond.
- The impact on the relations between people of different genders and people of the same gender. For example, changing roles and responsibilities in households, society, economy, politics, power, etc.
- How will any risks and unintended negative consequences on gender equality be avoided or mitigated against, and monitored?
- Are there any relevant outcomes and outputs being measured, with data disaggregated by age and gender (where disclosed)?

Further guidance for applicants on Gender Equality Statements is available:
<https://www.ukri.org/research/global-challenges-research-fund/gender-equality-and-international-development-research-and-innovation/>

Data Management Plan

All applicants submitting a proposal to the Newton Fund Impact Scheme must include a Data Management Plan. Please describe how the transnational project will be managed with emphasis on communication strategies, data management and data sharing across the project and management of intellectual property. Please describe potential routes to translate the outcomes from the project into genuine impacts that benefit the partner country or other DAC list countries. Any additional impacts that benefit the UK should also be noted. You should include interaction with private sector, policy makers and other relevant stakeholders.

This statement must clearly detail how you will comply with [UKRI's' Common Principles on Data Policy](#), including concise plans for data management and sharing as part of research grant proposal, or provide explicit reasons why data sharing is not possible or appropriate.

Data sharing plans may include details of:

- Data areas and data types - the volume, type and content of data that will be generated, e.g. experimental measurements, records and images;
- Standards and metadata - the standards and methodologies that will be adopted for data collection and management, and why these have been selected;
- Relationship to other data available in public repositories;
- Secondary use - further intended and/or foreseeable research uses for the completed dataset(s);
- Methods for data sharing - planned mechanisms for making these data available, e.g. through deposition in existing public databases or on request, including access mechanisms where appropriate;
- Proprietary data - any restrictions on data sharing due to the need to protect proprietary or patentable data;
- Timeframes - timescales for public release of data;
- Format of the final dataset.
- Applicants may claim justifiable costs associated with data sharing activities, which should be captured in the application proforma and in Justification of Resources statement.

Please note that preliminary data and descriptions of the proposed work belong in 'the project' section of the application form and should not be included in the data sharing statement.

12. Guidance on Journal-based metrics

As part of our commitment to support the recommendations and principles set out by the San Francisco Declaration on Research Assessment (DORA); <https://sfedora.org/read/>, UKRI reviewers and panel members are advised not to use journal-based metrics, such as journal impact factors, as a surrogate measure of the quality of individual research articles, to assess an investigator's contributions, or to make funding decisions.

The content of a paper is more important than publication metrics, or the identity of the journal, in which it was published, especially for early-stage researchers. Reviewers and panel members are encouraged to consider the value and impact of

all research outputs (including datasets, software, inventions, patents, preprints, other commercial activities, etc.) in addition to research publications. We advise our peer reviewers and panel members to consider a broad range of impact measures including qualitative indicators of research impact, such as influence on policy and practice.

13. Submission process

The deadline for submission of a completed application including all supporting documentation is **16:00 UK time on 13 September 2019**. **Proposals submitted after the deadline will not be considered for funding.**

The deadline applies to all parts of your application, including the uploading of fully completed supporting documentation. Any applications which are not submitted *in full* by the deadline, with all required supporting documents, will be considered *ineligible*. There will be no return for amendment stage in this call.

Applicants for all calls **must** submit a completed online application form which includes the uploading of supporting information.

<https://www.britishcouncil.org/education/science/current-opportunities/newton-fund-impact-scheme>

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 the following documents, as described, by the deadline. As above, **late submission of supporting documents, or submission of documents which do not comply with these requirements, will render the application *ineligible*.** The documents are:

- Project Leaders' CVs (up to two sides of A4 each)
- The appropriate detailed project budget form as per guidance on the webpage (templates available on the British Council call webpage)
- Letters of support from the UK and partner country Project Leaders' institutions **in English**, on headed paper, dated within 3 months of the submission, signed by the Head of Institution, Head of Department or other person with appropriate delegated authority, expressing specific commitment to the proposed project, willingness to receive funding, a description of any 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 is submitted by one of the Co-Leaders of the project, the application should include the letter of support from the Project Lead specifying the Grant ID number and former Call for applicants the grant was submitted to.
- If the proposal includes project partners/associated partners, a pdf file **combining together signed letters on letter headed paper** dated within 3 months of the submission, **from each partner containing a maximum of 300 words on the expertise they will bring to the project and the role they will take.** There is only one slot for uploading project partners/associated partners letter, so all supporting letters **must** be submitted as a **combined** document. Links to partner websites should be included if applicable. Letters from every project partner/associated partner listed in the application must be provided.

Any other documents uploaded with your application or sent late or separately will not be considered, unless these are specified in Appendix 1.

Applications must be in English.

To assist you in developing your application and sharing content with your partners, a Word version of the online application form will be available for download from the call website from 18th July. 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-NFIS@britishcouncil.org **before** the submission deadline. If you alert us to technical issues after the deadline, we will 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, Head of Department or other person with appropriate delegated authority.
- confirmed the Project Leaders' Institutions, (i.e. the Lead Institutions') willingness to receive the funds and to sign a grant agreement with the British Council or receive an offer letter from UKRI or the national partner, also confirmed in the Letters of Support.
- complied with British Council or UKRI (as appropriate) 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. See: <https://www.britishcouncil.org/organisation/transparency/policies/anti-fraud-and-corruption>
<https://www.ukri.org/files/termsconditions/ukri-counter-fraud-and-bribery-policy-pdf/>

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-NFIS@britishcouncil.org. UKRI successful applicants will then receive an additional UKRI grant reference number with the offer letter.

14. 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.

15. Selection process

Selection begins with an eligibility check by the British Council and UKRI against the eligibility criteria given in these Guidelines, including Appendix 1 (Country specific guidance) and the Eligibility Checklist at Appendix 2). This will include the ODA compliance of the proposal. This will be done using the 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 (10 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.

Applicants will be given five working days to appeal against eligibility outcomes on the basis of administrative errors only and will not be given the opportunity to amend the proposal.

Eligible proposals then undergo independent peer review on the basis of potential to impact realisation, quality, fit to development needs and country priorities, capacity building potential and likely sustainability of the collaboration, as follows:

15.1 Thematic panels

Proposals will first go to Thematic Panels following application checking and the appeals process. The purpose of these expert review panels will be to assess the quality and impact of the proposals. Applications will go to one of five panels based on their thematic area. These will be: arts and humanities; medical and biomedical science; engineering and physical sciences; environmental and agricultural sciences; and social sciences. If we have a low number of applications under a particular topic then we may combine panels.

Please indicate on your application form which Review Panel should assess the proposal and select up to three subject areas in priority order. We reserve the right to allocate your proposal to a different Review Panel.

These thematic panels are assessment panels comprised of impact and subject specialists with a range of expertise wide enough to cover the broad spread of the proposals being assessed. The panel which an application will be assessed at will be

based on the proposed work rather than that carried out under the previous grant. These panels will not focus on the technical details of the original research beyond where relevant to extension of impact, but they may consider any technical details concerned with the new proposal. Each panel will produce a rank ordered list of proposals for the thematic area concerned including proposals from all countries ranked based on the criteria in Appendix 3, resulting in an overall 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.

15.2 Tensioning panel

Following the individual thematic panels, the panel chairs will be brought together in a “tensioning” panel. The purpose of this panel is to ensure that the criteria and scoring have been applied consistently across all thematic panels, meaning that no subject areas are at a disadvantage. Proposals will not be re-assessed at this panel. This panel will produce individual rank ordered lists by country that include all thematic areas.

15.3 Moderation panels

After the thematic panels and final score/ranking decision by the tensioning panel (where required), each country will have a separate moderation panel that covers all subject areas. The purpose of the moderation panel is to seek agreement from the partner funders that they agree to fund the projects following the order of the ranked list produced by the tensioning panel. Some partner country funding partners will undertake a parallel assessment process in-country. Where this is the case the results of this will be factored in during the moderation panel.

The number of projects to be funded will be limited by the match received for that country. This number may be reduced if not enough proposals meet a minimum quality threshold of 30. Partner funders will not only fund projects that they have funded previously. The moderation panels are designed to ensure that the highest quality proposals will be funded.

Proposals must be funded in the order agreed by the moderation panel.

Changes to the ranking list will only be made based against the following criteria:

- Expert testimony to the importance of particular local challenges – we would expect this to be development experts and not necessarily academic experts in the field.
- National policy objectives.
- Trade-offs or synergies with the existing Newton portfolio.
- Consideration of the thematic coverage of the existing portfolio.
- Highly ranked proposals from a country’s parallel assessment process (where they have one).
- Additional translational considerations/sustainability issues that the original applicant may not have been aware of.

Any changes made to the final ranking in this way will be accompanied by a statement justifying the change based on the defined characteristics and referring to evidence.

Moderation panel chairs plus other UK representation need to agree that the provided justification is sufficient.

Once decisions have been made at the moderation panel and signed off by all partner funders, British Council and UKRI will inform applicants of outcome decisions.

16. Data protection

How we use your information

The British Council will use the information that you provide for the purposes of processing your application, making any awards, monitoring and review of any grants.

We may share all application data with UK Research and Innovation (UKRI), the Academy of Medical Sciences, the British Academy, the Met Office, the Royal Academy of Engineering, the Royal Society and with our funding partners in the partner country in order to assist with management of the application process. We will share anonymized aggregated information with the UK Department for Business, Energy and Industrial Strategy (BEIS). Any decisions on successful grants will be made in collaboration with them.

The British Council and UKRI comply with the General Data Protection Regulations 2016/679 (EU) GDPR). We process and handle personal information according to these regulations. The personal information that you provide on this form will only be used for the processing of your application. The information will be viewed by British Council, UKRI staff and those who are part of the decision-making process. Your information will not be used/shared beyond the partners listed above for any other purpose without your specific consent. British council and UKRI reserve the right to publish and share anonymized aggregated information with stakeholders.

Organisation details, where collected, are used for monitoring and evaluation and statistical purposes. Gender information and country of origin, where collected, is used solely for statistical purposes. If we need to contact you, we will do so using the contact details you have provided.

Under UK Data Protection law, you have the right to ask for a copy of the information we hold on you, and the right to ask us to correct any inaccuracies in that information. If you want more information about this, please contact your local British Council office or the Data Protection Team inforgovernance@britishcouncil.org or see our website: <http://www.britishcouncil.org/privacy-cookies/data-protection>. For details of the UKRI data protection policy and UKRI privacy notice please see:

<https://www.ukri.org/files/termsconditions/ukri-data-protection-policy-pdf>

and

<https://www.ukri.org/privacy-notice/>

17. Contractual Requirements

- For British Council and other Newton Fund Delivery Partners existing and former grantees, excluding UK Research and Innovation grantees, the contracting authority is the British Council which includes any subsidiary companies and other organisations that control or are controlled by the British Council from time to time (see: www.britishcouncil.org/organisation/structure/status).

- For UK Research and Innovation previously funded and existing grantees, the contracting authorities will be the Research Councils and Innovate UK depending on the area of proposed impact.
- The successful applicants will be expected to undertake activities in the UK and in the Newton Fund countries listed in section 2 of these guidelines (Scope of the Programme).
- Both the British Council and UKRI are subject to the requirements of the UK Freedom of Information Act, (“FOIA”). Please indicate in your application whether FOIA also applies to your organisation, so that we can reflect this in the Grant Agreement should you be successful in your application.
- The British Council’s contractual approach in respect of the grant is provided to download at:
<https://www.britishcouncil.org/education/science/current-opportunities/newton-fund-impact-scheme>
- UKRI (Research Councils) grant terms and conditions can be found here:
<https://www.ukri.org/files/legacy/news/grant-fec-tcs-january-2018-v1-pdf/>
- Successful UKRI current and previous grant holders will have to re-apply through Je-S (FTP for Innovate UK applicants). This is only for administration purposes.
- **No changes can be made to proposals at this point unless requested by the panel and proposals will not be reassessed at this stage.** More information on resubmission will be provided to successful applicants at the time.
- (Terms and Conditions of the Grant Agreement) (“Grant Agreement”). **By submitting a response to this call for applications, you are agreeing to be bound by the terms of these guidelines and the Grant Agreement without further negotiation or amendment.**
- In the event that you have any concerns or queries in relation to the Grant Agreement, you should submit a clarification request to UK-NFIS@britishcouncil.org in accordance with the provisions of this call for applications by the application deadline. The British Council reserves the right not to make any changes to the Grant Agreement.
- The British Council is under no obligation to consider any clarifications/amendments to the Grant Agreement requested following the application deadline.
- Monitoring and evaluation will be in line with standard reporting requirements of the awarding organisations. Research focused proposals will be required to complete annual Researchfish reporting. All awards will be required to complete a case study template to enable a case study to be written about the award. UKRI and British Council reserve the right to include additional monitoring requirements. More information will be provided to successful award holders .

18. Contact details

All queries or comments about this call should be addressed to the Newton Fund Impact Scheme email address: UK-NFIS@britishcouncil.org.

APPENDIX 1: COUNTRY SPECIFIC GUIDANCE AND ELIGIBILITY CRITERIA

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 appendix 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**.

2. Brazil	
Co-funder:	Fapesp, Confap, Sebrae, Adesampa, FAS, APPOA, Science and Technology Museum from PUC-RS, FA.VELA, Instituto Cultural Polen, Cidade Escola Aprendiz, SOF, CTI, Embrapii, Museu do Amanhã.
Duration of grants:	24 months
Size of grant:	Maximum 200.000 GBP (each project). See below for exceptions with FAPEPI and FAPES funded grants.
Areas of impact/national strategies	Public policy in health, projects linked to innovation, agriculture technology, climate change, renewable energy, governance, society & conflict, infrastructure, education, inclusive economic growth, demographic changes, and others.
Contractual arrangements:	
British Council and UKRI will pay the costs of the UK organisations and Brazilian co-funders will pay the costs of local partners	
Additional eligibility criteria:	
<p>Eligible institutions are those covered by the following funding bodies:</p> <ol style="list-style-type: none"> 1) FAPESP (São Paulo state)* 2) FAPEMIG (Minas Gerais state)** 3) Fundação Araucária (Paraná state)*** 4) FAPDF (Distrito Federal)**** 5) FAPEAM – (Amazonas state)** 6) FAPESB (Bahia)** 7) FAPEPI (Piauí)** 8) FAPES (Espírito Santo)** 9) Sebrae 10) Adesampa 11) FAS 12) APPOA 13) Science and Technology Museum from PUC-RS 14) FA.VELA 15) Instituto Cultural Polen 16) Cidade Escola Aprendiz 	

- 17) SOF
- 18) CTI
- 19) Embrapii
- 20) Museu do Amanhã

Some FAPs may have their own Guidelines associated to this Announcement. Interested parties are advised to consult with their supporting FAP before preparing a proposal.

*For proposals submitted to FAPESP the applicant in Brazil must be associated to a Higher Education or Research Institution, public or private non-profit research and development institutes/centres in the State of São Paulo, Brazil. FAPESP will check the eligibility of São Paulo (FAPESP) proposals before the analysis process of British Council and UKRI

**For proposals submitted to other States, whose FAP has signed the Programme with CONFAP, the applicant in Brazil must be associated to Higher Education or Research Institution.

*** It is recommended that the proposals from Paraná state (Fundação Araucária) should be aligned with the new local research and innovation arrangements.

**** It is recommended that the proposals from Distrito Federal (FAPDF) should be aligned with one of the three themes: nanotechnology; biotechnology and information technology.

The UK funding partners will cover up to 100,000 GBP paid to the UK lead institution. All Brazilian partner funders (with the exception of FAPEPI and FAPES) will cover up to 100,000 GBP paid to the Brazilian lead institution. FAPEPI will fund up to 25,000 GBP which will be matched by 25,000 GBP by the UK funding partners. FAPES will fund up to 50,000 GBP which will be matched by 50,000 GBP by the UK funding partners.

Other considerations:

Priority areas for impact: public policy in health, projects linked to innovation, agriculture technology, climate change, renewable energy, governance, society & conflict, infrastructure, education, inclusive economic growth, demographic changes, and others

Submission process (if requiring additional steps):

Principal Applicants from the Brazilian states of Minas Gerais and São Paulo must also submit their application to the local funding agencies, respectively, FAPEMIG (<https://fapemig.br/pt/>) and FAPESP (<http://www.fapesp.br/>). There should be no material changes to the application submitted to FAPEMIG and FAPESP. Any differences should only be related to translation and meeting requirements of FAPEMIG and FAPESP application forms.

2. Name of country (add a table for each participating country)

Co-funder:	National Research Fund (NRF), Kenya
Duration of grants:	12 months
Size of grant:	Maximum 100,000 GBP National Research Fund will cover up to £50,0000, paid to the Kenyan lead institution.

	The UK funding partners will cover up to £50,000 paid to the UK lead institution.
Areas of impact/national strategies:	<p>Applicants should look at the 'Big Four' – food security, affordable housing, manufacturing and affordable healthcare for all.</p> <p>In line with:</p> <p>a) Kenya Vision 2030: https://vision2030.go.ke/</p> <p>b) The Big Four Agenda: https://big4.delivery.go.ke/</p> <p>c) Kenya Research Priorities 2018-2011: https://www.nacosti.go.ke/images/docs/2019/National%20Research%20Priorities.pdf</p>
Contractual arrangements:	
<p>NRF will sign contract and disburse funding to Kenya Lead institutions for all projects funded under Impact Scheme and manage all the projects funded under the Scheme.</p> <p>British Council will sign contract and disburse funding to UK lead institutions for the projects that were previously managed by the British Council and non-UKRI Newton delivery partners.</p> <p>UKRI will issue grant offer letters and disburse funding to UK Lead Institutions for the projects that were previously managed by the members of UKRI.</p>	
Additional eligibility criteria:	
<p>Under this scheme, in addition to other partners that may be included in the partnership, inclusion of government institutes for research and policy institutions such as KARLO, KIRDI, KEMRI, KEFRI, KEWI, KEMFRI, NHC with clear objectives of their involvement is highly encouraged.</p> <p>Recipients of the RAEng LIF entrepreneurship capacity building programme will not be eligible for NFIS in Kenya.</p>	
Other considerations:	
The call is open to current and past Newton-Utafiti projects. For the ongoing projects, the funding will be for maximising impact rather than continued research.	
Submission process (if requiring additional steps):	

2. Malaysia	
Co-funder:	Malaysian Industry-Government Group for High Technology (MIGHT)
Duration of grants:	Min 12 months, Max 18 months
Size of grant:	Maximum 150,000 GBP
Areas for	<ul style="list-style-type: none"> • Areas where we expect impact to be realised including but not limited to:

impact/ national strategies:	<ul style="list-style-type: none"> ○ translation of the research outputs ○ knowledge exchange ○ technology transfer ○ innovation <p>In line with:</p> <ul style="list-style-type: none"> ● National Education Blueprint (2015 – 2025) http://mohe.gov.my/muat-turun/awam/penerbitan/pppm-2015-2025-pt/5-malaysia-education-blueprint-2015-2025-higher-education ● Recommendations from the mid-term review of 11th Malaysia Plan (2016-2020) published in 2018 https://www.talentcorp.com.my/clients/TalentCorp_2016_7A6571AE-D9D0-4175-B35D-99EC514F2D24/contentms/img/publication/Mid-Term%20Review%20of%2011th%20Malaysia%20Plan.pdf ● National Policy on Science, Technology and Innovation (2013 – 2020). https://www.mestec.gov.my/web/wp-content/uploads/2019/04/1.-NPSTI-2013-2020-English-1.pdf ● National Policy on Industry 4.0 https://www.miti.gov.my/miti/resources/National%20Policy%20on%20Industry%204.0/Industry4WRD_Final.pdf
Contractual arrangements:	
<p>MIGHT will sign contract and disburse funding to Malaysia Lead institutions for all projects funded under Impact Scheme. MIGHT will manage all the projects funded under Impact Scheme, regardless of the previous project's Delivery Partners in Malaysia. MIGHT will support the costs of the Malaysian organisations up to 75,000 GBP.</p> <p>British Council will sign contract and disburse funding to UK lead institutions for the projects that were previously managed by the British Council and other non-UKRI Newton UK delivery partners. British Council will support the costs of the UK organisations up to 75,000 GBP.</p> <p>UKRI will issue grant offer letters and disburse funding to UK Lead Institutions for the projects that were previously managed by the members of UKRI. UKRI will support the costs of the UK organisations up to 75,000 GBP.</p>	
Additional eligibility criteria:	
<ul style="list-style-type: none"> ● Capacity building component must be built into the project and no more than 30% of the total grant applied. <ul style="list-style-type: none"> ○ Main objective of the capacity building activities is to create, enhance and develop constituent's capacity at country level including but not limited to research, translation, mastering of skills and technology, applying models and systems. ○ Capacity building activities must be relevant to the project and support the project in achieving the project objectives, and/or more extensively in achieving the impacts. ○ Capacity building activities are not meetings, forums, dialogues and attending conference or any events. ○ Target audience could be community leaders, community groups, industries, SMEs, researchers, government agencies, non-for-profit 	

<p>organisations, marginalised communities, project stakeholders, project beneficiaries and others that are identified by the applicants.</p> <ul style="list-style-type: none"> ○ It is carried out by the applicants or hosted by the applicants and run by their partners or other experts in the areas identified by the applicants. ○ Activities should be held in Malaysia. However, if the technology for the activities are only available in the UK, the activities can be held in the UK. Applicants who are considering organising the activities in the UK should provide concrete evidence and demonstrate tangible benefits to Malaysia. ○ Applicants would need to provide a clear justifications and methodology in running, monitoring and evaluating capacity building activities including procurement process if external experts/trainers are sought. Value for money will be a priority in the assessment of the proposed activities. <ul style="list-style-type: none"> ● At least 50% of the previous grant has been spent on the Malaysian side. ● The Scheme is open to all programmes including mobility grants and researcher links. For on-going projects, only projects that are completed by 30 June 2020 is eligible to apply for the Scheme.
Other considerations:
Submission process (if requiring additional steps):
Please elaborate the project's capacity building activities, justifications, methodology and monitoring and evaluation of the activities, procurement process in the (Activity section) of the application form. Please include the costs of the activities in the budget template. Please use the heading "Capacity Building" when elaborating the plan and costs.

2. Mexico	
Co-funder:	Secretaría de Educación, Ciencia, Tecnología e Innovación de la Ciudad de México (SECTEI).
Duration of grants:	12 to 24 Months.
Size of grant:	Up to 160,000 GBP per collaboration, jointly funded by SECTEI and the Newton Fund
Areas for impact/national strategies:	<ul style="list-style-type: none"> ✓ National priorities include ensuring economic, social and/or environmental impact in the following areas: Earth Sciences, health, energy, future cities, Agritech, biotechnology, social sciences. ✓ The following impact-orientated strategies are considered desirable by SECTEI: <ul style="list-style-type: none"> ▪ Inclusion of local communities in project development. ▪ Capacity building activities focusing on involved individuals or institutions. ▪ Communication of results targeting involved individuals or institutions. ▪ Implementation of proved technology advances as solutions to specific

	<p>problematics under the described priority areas.</p> <ul style="list-style-type: none"> ✓ In order to promote systemic solutions from innovation, proposed bi- national working groups are encouraged to be interdisciplinary and should consider the participation of at least one additional associate partner in Mexico.
Contractual arrangements:	
<p>SECTEI will sign contract and disburse funding up to 80,000 GBP to Mexican Lead institutions for all projects funded under Impact Scheme.</p> <p>British Council will sign contract and disburse funding up to 80,000 GBP to UK lead institutions for the projects that were previously managed by the British Council and other non-UKRI Newton UK delivery partners.</p> <p>UKRI will issue grant offer letters and disburse funding up to 80,000 GBP to UK Lead Institutions for the projects that were previously managed by the members of UKRI.</p>	
Additional eligibility criteria:	
<p>The co-funders for Mexico will require additional eligibility criteria to be applied to Mexican applicants. Further information will follow and be included in an updated version of this document.</p>	
Other considerations:	
<p>Additional co-funders will be confirmed. Further information will follow and be included in an updated version of this document.</p>	
Submission process (if requiring additional steps):	
<p>The co-funders for Mexico will require additional information to be submitted to them. Further information will follow and be included in an updated version of this document.</p>	

APPENDIX 2: ELIGIBILITY CRITERIA CHECKLIST

Eligibility criteria checklist	
The application	
The application has been submitted by the applicants by the published deadline.	
The application has been submitted by a Project Leader in the UK and a Project Leader based in one of the partner countries listed in Appendix 1.	
At least one of the Project Leaders and their institution are currently or have been previously Newton Fund grantees.	
<p>If applicants are submitting applications relating to UKRI grants or grants for which activities have not been completed yet, a list of eligible calls (for the original grant) is below:</p> <p>Brazil</p> <p>AHRC - Social Change through Creativity and Culture 2015 BBSRC - UK-Brazil Virtual Joint Centres in Agricultural Nitrogen ESRC - Sustainable Urban Development ESRC - Social Science of the Nexus ESRC - Healthy Cities Innovate UK - Bilateral innovation in energy, water and waste competition Innovate UK - Urban innovation in Brazil competition MRC - UK-Brazil May 2015: UK-Brazil Neglected Infectious Diseases Partnership MRC - MRC-CONFAP Call for Health Systems Research Networks MRC - UK-São Paulo/Brazil: Neglected Infectious Diseases Joint Centre Partnerships NERC - Sustainable Gas Futures NERC - Understanding and Sustaining Brazilian Biome Resources NERC - Security of Supply of Mineral Resources - MarineE-tech NERC - Security of Supply of Mineral Resources - SoS RARE RCUK - RCUK CONFAP Research Partnerships</p> <p>Kenya</p> <p>MRC - UK-Kenya Joint Partnership on Non-Communicable Diseases</p> <p>Malaysia</p> <p>Innovate UK - Research and Innovation Bridges Innovate UK - Sustainable cities innovation challenge competition MRC - UK Malaysia Newton June 2016 MRC - UK-Malaysia Joint Health Research Call in Non-Communicable Diseases RCUK - Joint Call Small Scale Research Partnerships with South East Asia (2016 - 2018)</p> <p>Mexico</p> <p>Innovate UK - Collaborative R&D Call RCUK – Newton Mexico Call 2015</p> <p>British Academy:</p> <p>Brazil Newton Mobility Grants 2014</p>	

<p>Brazil Newton Mobility Grants 2015 Brazil Newton Mobility Grants 2016 - Round 1 Brazil Newton Mobility Grants 2017 - Round 3</p> <p>British Council:</p> <p>For completed projects under Researcher Links, Research Environment Links, Institutional Skills Development, Institutional Links, Dengue Tech Challenge, and grants disbursed under the professional development and engagement programme.</p> <p>In addition, we will accept applications from ongoing Institutional Links projects with a grant ending before March 2020</p> <p>Royal Academy of Engineering:</p> <p>Leaders in Innovation Fellowships</p>	
<p>Project Leaders are based at either:</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 Centre⁶ (for non-UKRI applications only) • an alternative institution as detailed in Appendix 1 • a UK business <p>If unsure, please contact UK-NFIS@britishcouncil.org.</p>	
<p>The applicants have included two (2) supporting letters, one from each of the two Lead Institutions, on headed paper, signed by the Head of the Institution, Head of Department or other person with appropriate delegated authority, giving specific commitment to the project as described in Section 11 of these Guidelines. Supporting letters are not signed by the Principal Applicants.</p>	
<p>The applicants have included a supporting letter from the former Project Leader – only applicable for applications submitted by former Co-Leaders</p>	
<p>Applicants have submitted a detailed budget request using the appropriate budget spreadsheet provided – including Innovate UK budget forms where applicable</p>	
<p>If there are project partners/associated partners, a letter from each partner has been uploaded as required within a single pdf.</p>	
<p>Each section of the application form has been completed in full and complies with instructions given.</p>	
<p>The application form and supporting documents have been completed in English.</p>	
<p>The Project Leaders have submitted only one (1) application under this Newton Fund Impact Scheme as Project Leader.</p>	
<p>CVs have been submitted for the Project Leaders from both countries and any Co-Leaders.</p>	
<p>An ODA compliance statement has been provided</p>	
<p>A gender equality statement has been provided</p>	

⁶ <https://www.innovateuk.org/-/catapult-centres>

A data management plan has been provided	
Ethics forms have been completed (where applicable)	
If the partner country Lead Institution is affiliated in any way with a higher education or research institution in another country, (e.g. UK, USA), the proposal includes other eligible higher education or research institutions in the partner country (for non-UKRI proposals only).	
The budget	
For Malaysia only: The budget requested under “other research related costs” is 30% or less of the total budget requested (unless specified otherwise in Appendix 1).	

APPENDIX 3: ASSESSMENT CRITERIA AND SCORING SYSTEM

Assessment of the quality and development relevance and support to gender equality 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 a minimum score of 30 points or more for Sections 3 to 5 are considered fundable.

Section 1: Relevance to economic development and social welfare	Score	Range
		YES/NO
<ul style="list-style-type: none"> • Clear evidence is provided demonstrating that the suggested impacts assessed are relevant to the lives of vulnerable people/low income populations in a DAC country. • Clear evidence is provided demonstrating that the project will contribute to the economic development and social welfare of the partner country and within a reasonable timeframe (within 10 years). • Development-relevant stakeholders and beneficiaries are defined, and the project plan includes an engagement plan. 		

Section 2: Relevance to gender equality	Score	Range
		YES/NO
<ul style="list-style-type: none"> • Measures are in place to ensure equal and meaningful opportunities for people of different genders to be involved throughout the project. This includes the development of the project, the participants of the research and innovation, and the beneficiaries of the research and innovation. • The project will have a positive impact on people of different genders, both throughout the project and beyond. • The potential impact on the relations between people of different genders and people of the same gender is clearly described. For example, changing roles and responsibilities in households, society, economy, politics, power, etc. • Risks and unintended negative consequences on gender equality will be monitored, avoided or mitigated against. • Relevant outcomes and outputs will be measured with disaggregated data by age and gender (where disclosed). 		

Section 3: Impact	Score	Range
		0-25

<ul style="list-style-type: none"> • The proposal clearly articulates a plausible pathway between the outputs of the previous project, and an extended and demonstrable form of impact. • The benefits, relevance and innovative nature of the project outputs are clearly described and have potential to realise significant benefit and impact for in-country partners and users. • The project design and methodology are coherent in relation to the proposed impact. • Appropriate dissemination and impact strategies are in place, this can include the extent to which plans are in place to extend collaboration once the grant has ended. • The project is informed by high quality research/evidence. • The collaboration supports project's 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. 	
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Section 4: Proposal	Score	Range
<ul style="list-style-type: none"> • The description of the proposed collaboration includes clear, achievable and realistic objectives. • Applicants clearly articulate specific outputs anticipated from the collaboration and objectives likely to be achieved. • There is strong evidence of support from the applicants' institutions and Affiliated Partners (where applicable). • The proposal includes a clear and feasible description of the arrangements for project managing the collaboration and communication between partners. • There is evidence of a genuine and equitable collaboration • The proposal represents value for money; all costs are fully justified if not they can be removed from the grant. • The Project Leaders and their team have sufficient relevant experience to undertake the proposed research collaboration and achieve the stated impact. • The collaborating institutions are of appropriate academic/technical standing. 		0–25

Section 5: Sustainability and capacity building	Score	Range
		0–10

<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 proposal includes a clear and feasible description of how the participating institutions/organisations intend to sustain their collaboration over the longer term. • The proposal includes feasible management and monitoring plans, including staff time commitments. 		
Total score for quality assessment (Section 3+ Section 4 + Section 5)	Score	Range
		0–60