Newton Fund Impact Scheme
Applicant Guidelines
Version 3.0

Overview of change(s) from previous version:

<table>
<thead>
<tr>
<th>Change</th>
<th>Page in v 1.0</th>
<th>Page in version 2.0</th>
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<tbody>
<tr>
<td>Extended definition of Official Development Assistance (ODA)</td>
<td>10</td>
<td>10-11</td>
</tr>
<tr>
<td>Peru included as Partner country</td>
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<td>Cover and 36</td>
</tr>
<tr>
<td>Clarification on UKRI project start dates</td>
<td>37</td>
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<tr>
<td>Revised link for Peru partners to register</td>
<td>2</td>
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<tr>
<td>Call for Egypt, Indonesia and Thailand closed</td>
<td>1</td>
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<tr>
<td>Clarification on Gantt Charts</td>
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Countries included in this call are:

Countries: Peru
Call Opens 12 May 2020
Call Closes: 30 June 2020

The call for Egypt, Indonesia and Thailand closed at 12.00, noon UK time on 15 June 2020

<table>
<thead>
<tr>
<th>Country</th>
<th>Proposal costs*</th>
<th>Eligibility</th>
<th>National Priorities</th>
<th>Maximum Length of project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Peru</td>
<td>UK: £50,000 (FEC)</td>
<td>Additional mandatory eligibility criteria for Applicants should review National Plan of</td>
<td>This is specific to each country, please check via the link</td>
<td>12 months</td>
</tr>
</tbody>
</table>
Partner: £25,000

Peruvian Lead Organisations, Project Leaders and Associated Partners can be found here: https://www.fondecyt.gob.pe

The Peruvian Project Leader must register as an applicant to this call on https://www.fondecyt.gob.pe

Competitiveness and Productivity (OP3)

Peru

Call opens: 12 May 2020
12:00 (midday) UK time

Call closes: 30 June 2020
12:00 (midday) UK Time

Funding Available: A total of £15.2 million in a total of 4 countries, 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 20th April 2020). Newton Fund Impact Scheme grants will be made available to recipients of Newton funding from any Newton Delivery Partner. We invite applications from previous and existing Newton Fund grant holders whose projects were in collaboration with these 4 countries only. Collaborations may include a new Project Leader from either of the countries involved in the original grant but at least one Project Leader or Co-Leader of the team must remain the same (either UK or partner country).

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.

Assessment Process:
- Eligibility checking
- Review by 2 external experts
- Parallel thematic 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).
- Tensioning panel to ensure consistent scoring and produce country specific ranked ordered lists (inclusive of all themes).
- (In-country parallel assessment panel in some countries)
• Moderation panel between UK and in country partner funders.

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

Key Dates:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call opens</td>
<td>20 April 2020</td>
</tr>
<tr>
<td></td>
<td>Egypt, Indonesia, Thailand</td>
</tr>
<tr>
<td></td>
<td>12 May 2020</td>
</tr>
<tr>
<td></td>
<td>Peru</td>
</tr>
<tr>
<td>Deadline for applications</td>
<td>15 June 2020 at noon</td>
</tr>
<tr>
<td></td>
<td>UK Time for Egypt</td>
</tr>
<tr>
<td></td>
<td>Indonesia, Thailand</td>
</tr>
<tr>
<td></td>
<td>30 June at noon for</td>
</tr>
<tr>
<td></td>
<td>Peru</td>
</tr>
<tr>
<td>Review and tensioning panels</td>
<td>October 2020</td>
</tr>
<tr>
<td>Moderation panel</td>
<td>November - December</td>
</tr>
<tr>
<td></td>
<td>2020</td>
</tr>
<tr>
<td>Announcement of awards</td>
<td>January 2021</td>
</tr>
<tr>
<td>Successful UKRI applicants to re-apply through Je-S or Innovate UK systems</td>
<td>January / February</td>
</tr>
<tr>
<td></td>
<td>2021</td>
</tr>
<tr>
<td>Contracting for British Council, UK Academies applicants</td>
<td>February 2021</td>
</tr>
<tr>
<td>Grants awarded for UKRI applicants</td>
<td>March – May 2021</td>
</tr>
</tbody>
</table>

Contact: UK-NFIS@britishcouncil.org
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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 and the British Council. 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, excepting the Met Office. 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.

For the purposes of this call the term UKRI refers to the Research Councils and Innovate UK only. Where Innovate UK is mentioned in this guidance, it is a requirement specific to Innovate UK.

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 routes 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, 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), nongovernmental organisations (NGOs), technology transfer offices, and other not-for-profit organisations.

Grants can be up to a maximum £200,000 and duration will vary depending on the country (see Appendix 1 for country specific limits). Proposals should be submitted with figures of 100 per cent full economic costs. If successful, the UK Research Councils and British Council will meet 80 per cent of the full economic costs of Research Organisations and the host institution is expected to support the remaining 20 per cent. Please see Appendix 1 for country specific funding limits and page 14 for funding rates for businesses.

For best fit to the local context and development needs we would encourage applicants to review relevant national priorities 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 routes to impact which can be realised within the former grant’s research and innovation area or under a different theme targeting other development-relevant stakeholders.

Newton Fund Impact Scheme collaborations should demonstrate how they will benefit the partner countries within and beyond the research and innovation community.

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:

- A wide range of relevant stakeholder engagement activities such as knowledge brokerage, debates, seminars, round-table discussions, exhibitions and workshops involving researchers and practitioners; policy makers; businesses; industry bodies; civil society leaders; public sector representatives; journalists, government/parliamentary intermediaries and other non-academic dissemination professionals; service providers; or investors.
- Development and dissemination of impact-focused 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.
- Capacity building in techniques or practice relevant to specific impacts or aimed at reducing current barriers to impact.
- Commercial outputs, prototyping, demonstrations, field-trials, on-site testing/verification to meet regulations, collection of results/data vital to recommendations.
3. Eligibility

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

Current grantees should check Appendix 2 as only applications funded under the previous calls listed in Appendix 2 are eligible to submit an application.

- Each proposal must have one Project Leader from the UK and one Project Leader from the partner country.
- Project Leads and organisations may change, subject to the conditions shown in the following table:

<table>
<thead>
<tr>
<th>Change of</th>
<th>Change To</th>
<th>Permitted</th>
<th>Documents required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original UK Project Leader</td>
<td>New UK Project Leader or UK Co-Leader* of previous project</td>
<td>Yes - if only change</td>
<td>Letter of support from previous UK Project Leader</td>
</tr>
<tr>
<td>Original Partner country project Leader</td>
<td>New Partner country project Leader or Partner country project co-Leader*</td>
<td>Yes - if only change</td>
<td>Letter of support from previous Partner Project Leader</td>
</tr>
<tr>
<td>Original UK Organisation</td>
<td>New UK Organisation</td>
<td>Yes</td>
<td>Letter of support from previous UK Organisation</td>
</tr>
<tr>
<td>Partner country organisation</td>
<td>New Partner country organisation</td>
<td>Yes</td>
<td>Letter of support from previous Partner Organisation</td>
</tr>
<tr>
<td>Both project leaders</td>
<td>Co-Leaders on previous project*</td>
<td>Yes</td>
<td>Letters of support from both previous project leaders</td>
</tr>
<tr>
<td>Both organisations</td>
<td>New organisations</td>
<td>Yes – as long as at least one previous project leader/Co-Leader involved</td>
<td>Letters of support from previous organisations (and project leaders if necessary – see above)</td>
</tr>
<tr>
<td>Both project leaders</td>
<td>New project leader not previously involved in the project</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

*Named in the Previous project application form

- 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.
- Individuals may only act as Project Leader on one application. 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.

Project Leaders must be employed by one of the following types of organisations and have a contract that extends beyond the period of the grant (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 research\(^1\). UK Catapult Centres\(^2\) are only eligible for grants that will be disbursed by British Council. For business led applications, businesses can submit applications by themselves, but no more than 50% of the project costs can be to support academics. A business is defined as an organisation undertaking commercial activities. (See Section 13 for information on funding businesses).

Both of the Project Leaders' Organisations (the ‘Lead Organisations’) must have the capacity to administer the grant.

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.

Organisations cannot apply as Lead Institutions in conjunction with their own affiliates in other countries.

Organisations or Individuals with active sanctions against them from one of the Delivery Partners will not be eligible for this Call.

Businesses and for-profit organisations previously funded through Newton by Innovate UK can apply as Lead Organisation for Newton Fund Impact Scheme. However, if the business is not a current or former Newton Fund grant holder themselves then the other Lead Organisation 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 Organisations.

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.

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1 Please see the list here
https://www.ukri.org/funding/how-to-apply/eligibility/
for a list of eligible UK research organisations.
2 https://www.innovateuk.org/-/catapult-centres
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 UK-NFIS@britishcouncil.org.

4. 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 countries3, 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 route 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. In all cases, it is the responsibility of the applicant to articulate within the application how the proposed activities will meet these criteria.

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

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.

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. You should not assume that because the original Newton Fund activity was ODA eligible, the new application will automatically be considered eligible. Relevance to country-specific national priorities as outlined in the country annexes does not guarantee ODA eligibility. A strong case for your new proposal must be made.

Please note the requirement to answer these questions does not supersede the need to discuss impact within your Case for Support. Where necessary please ensure that you request appropriately justified resources to support these activities.

1. How is your proposal directly and primarily relevant to the development challenges of the partner country? Please provide evidence of the development need and articulate how the proposed activity is appropriate to address this need.
2. How do you expect that the outcome of your proposed activities will promote the economic development and welfare of the partner country?

3. What approach(es) will you use to deliver development impact within the lifetime of the project and in the longer-term? Please consider the potential outcomes, the key beneficiary and stakeholder groups in the partner country and how they will be engaged to ensure opportunities for them to benefit and to enable development impact to be achieved.

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 and must clearly articulate the importance to relevant in-country challenges.

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, there is a requirement to publish information about 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 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.

It is expected 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.

**5. Gender Equality**

To comply with the International Development (Gender Equality) Act 2014, applications must outline how they have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities in the Gender Equality Statement section of the application form. Further details are found in Section 9.1

**6. Partnerships**

6.1 Equitable Partnerships

Equitable 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

6.2 Associated Partnerships

To support the realisation of impact, Project Leaders are encouraged to include in their proposals associated partners (known as ‘project partners’ on UKRI proposals) An 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 that from 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.

7. Funding available

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.

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

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.

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).

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

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.

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


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.

- Businesses funded by Innovate UK can have their eligible costs funded at the following rates:

<table>
<thead>
<tr>
<th>Applicant Business Size</th>
<th>Fundamental Research</th>
<th>Feasibility Studies</th>
<th>Industrial Research</th>
<th>Experimental Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Micro/Small</td>
<td>100%</td>
<td>70%</td>
<td>70%</td>
<td>45%</td>
</tr>
<tr>
<td>Medium</td>
<td>100%</td>
<td>60%</td>
<td>60%</td>
<td>35%</td>
</tr>
<tr>
<td>Large</td>
<td>100%</td>
<td>50%</td>
<td>50%</td>
<td>25%</td>
</tr>
</tbody>
</table>

For applications involving Innovate UK funded businesses, the above percentages should be taken into account when calculating the total application cost. However, the grant maximum that will be awarded is the figure outlined in the country appendices.

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.

7.2 Additional Funding for Inclusion

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 underrepresented groups to engage in the Newton Fund Impact Scheme activity, so long as sufficient justification is provided.

Applicants can request a grant contribution for 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

7.3 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. Costs for standard office equipment, communication costs and other overheads should be covered by Estates and Indirect Costs.

**Studentships**

Costs associated with Masters and PhD studentships are not eligible under this call (including stipends).

**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.

7.4 How grants will be disbursed

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.

The British Council will disburse grants to British Council and UK Academies 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 Organisation (s), (i.e. the Project Leaders’ organisations) according to the approved final budget.

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⁴ As defined here: https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance/partner-finance-form-guidance#capital-usage
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 Organisations for Newton Fund Impact Scheme. For all other research and capacity building focused applications, for-profit organisations are not eligible to apply as lead organisations. 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_bc_v2.xlsx

Please note that Innovate UK existing and previously funded Project Leaders based in businesses are expected to complete and submit the budget form provided via the following link:

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

(Academic and overseas partners in a project funded through Innovate UK should submit their costs separately on the form:

https://www.britishcouncil.org/sites/default/files/newton_fund_impact_scheme_budget_form_ukri_bc_v2.xlsx)

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 2021. Expenses incurred by the organisation prior to the effective start date, including any costs incurred in the production of the proposal, cannot be charged to the grant.
9. Submission process

The deadline for submission of a completed application including all supporting documentation is:

12.00 noon, UK time on 15 June 2020 Proposals submitted after the deadline will not be considered for funding.

The deadlines apply 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 mandatory supporting documents, may be considered ineligible.

Applicants for all calls must submit a completed online application form in English which includes the uploading of supporting information. This application form can be found here: https://britishcouncil-cxobw.formstack.com/forms/application_form_nfis_20 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.

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.

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.

9.1 Completing the application form:

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. 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.

Please give specific regard to the following sections of the application form:

Gender Equality Statement

Applicants are required to consider the impact their project will have on gender. Gender Equality is not the same as Gender Balance, although it does include Gender Balance it is mainly concerned with the impacts of the proposed project. This should be about the project specifically – the outputs and outcomes; the make-up of the project team; participants, stakeholders and beneficiaries of the project; and the processes followed throughout the research programme. It should not be a re-statement of your Institution’s policy, you may refer to the policy, but should show how the policy will be implemented in terms of the project. The Gender Statement must address the below criteria, with an understanding that, depending on the nature of the research and innovation, not all questions will be applicable. If a question is not applicable, you will need to articulate the reasons why.
• 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)?


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.

Official Development Assistance

Please outline a plausible route between the outcomes of the proposed project to a positive tangible impact to the economic development and social welfare of the partner country, benefitting low-income and/or vulnerable populations within a short-to medium time frame (10 years). Please address the following questions:

1. Which country/ countries on the OECD DAC list of ODA recipients (DAC list) will directly benefit from this proposal and are these countries likely to continue to be eligible to receive ODA for the duration of the research? Please refer to the DAC list for information about countries that will be considered for graduation at the next review.

2. How is your proposal directly and primarily relevant to the development challenges of these countries? Please provide evidence of the development need and articulate how the proposed activity is appropriate to address this need.

3. How do you expect that the outcome of your proposed activities will promote the economic development and welfare of a country or countries on the DAC list?

4. What approach(es) will you use to deliver development impact within the lifetime of the project and in the longer-term? Please consider the potential outcomes, the key beneficiary and stakeholder groups in the DAC list country/ countries and how they will be engaged to ensure opportunities for them to benefit and to enable development impact to be achieved.

9.2 Supporting documents

In addition to filling in the online form, applicants are required to upload the following documents, by the deadline. As above, late submission of supporting documents,
or submission of documents which do not comply with these requirements, may render the application ineligible. The documents are:

- **Project Leaders’ CVs (up to three sides of A4 each)**

  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.

- **Budget Sheet**

  The appropriate detailed project budget form as per guidance on the webpage (templates available on the British Council call webpage)

- **Letters of support**

  All Letters of support must be in English on headed paper, dated within 3 months of the submission. We recognise that due to the current situation with Covid 19 it may be difficult to get signed letters on headed paper. Where this is the case, please provide a less formal version of the letter including the same content e.g. an email from the head of department (or other relevant person) and state that it was not possible to get a signed version of the letter due to Covid 19.

  1. **Institutional Support Letter**

     From the UK and partner country Project Leaders’ organisations, 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.

  2. **Previous Project Leader/Organisation Letter:**

     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 (See table in section 3 for more details). This should be signed by the previous project leader or if change of organisation, the Head of Institution, Head of Department or other person with appropriate delegated authority

  3. **Associated Partners Letter**

     If the proposal includes project partners/associated partners, a pdf file combining together signed letters from each partner containing a maximum of 300 words on their contribution to the project - this could be financial or in-kind, eg expertise. 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.

- **Ethics forms**

  Ethics forms may be required, please review sections 10 on use of animal, use of human tissue / participation

- **MRC form**
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/

- **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](https://www.ukri.org/knowledge-and-data/principles-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.

A outline template for the data management plan should be used – it can be found here:

https://www.britishcouncil.org/sites/default/files/newton_fund_impact_scheme_data_management_plan_template.docx
• **GANTT Chart**
  To help understand the timeline for the project to complete its outcomes, applicants are required to submit an outline chart to help understand the feasibility of the project. No more than one sheet of A4.

• **Specific in-country requirements**
  Additional documents may be required by the in-county funder and be submitted with the UK application form. These will be specified in Appendix 1.

### 9.3 Finalising submission

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 organisations signed by the Head of Organisation, Head of Department or other person with appropriate delegated authority.
- confirmed the Project Leaders’ Organisations, (i.e. the Lead Organisations’) 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

### 10. 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.


It is the absolute responsibility of the Project Leaders and the Lead Organisations 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. Organisations, 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.

10.1 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.

10.2 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.

### 10.3 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](https://www.nc3rs.org.uk/responsibility-use-animals-bioscience-research).

In particular, UK organisations 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](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 organisations meet the requirements outlined above.

All applicants are required to comply with Section 4: ‘Proposals involving animal use’ of the Guidance for Applicants 2019. 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.

If applicable, applicants should also submit the MRC ‘Use of Animals Overseas' form(s) - please see section 4.4.6 of the standard MRC Guidance for Applicants and the use of animals overseas section of the National Centre for the Replacement, Refinement & Reduction of Animals in Research (NC3Rs) website’

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.

11. 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 organisations 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.

12. 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 disabled people who may otherwise not be able to participate, or for additional childcare. Please describe any action you are taking to encourage diversity.

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5 https://mrc.ukri.org/funding/guidance-for-applicants/
under “Collaboration” 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

13. 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 route 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 re-write the proposal.

13.1 Expert Peer review process

Eligible proposals will 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. There will be no right to reply stage following expert peer review.

13.2 Thematic assessment panels

Proposals will go to Thematic Assessment Panels following the expert review process. The purpose of these panels will be to assess the quality and impact of the proposals based on the expert peer review. 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 Thematic 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 Thematic 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.

13.3 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.

13.4 In-Country 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 necessarily 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 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.
- 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.

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.


As part of our commitment to support the recommendations and principles set out by the San Francisco Declaration on Research Assessment (DORA,
https://sfdora.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.

15. 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 organisations nor any of the applicants’ employees, partners, directors, shareholders are 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.

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 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 anonymised 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/funding/ukri-fec-grant-terms-and-conditions-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. Awards may 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.

1. Peru

<table>
<thead>
<tr>
<th>Co-funder:</th>
<th>Consejo Nacional de Ciencia, Tecnología e Innovación Tecnológica (CONCYTEC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Duration of grants:</td>
<td>12 months</td>
</tr>
</tbody>
</table>
| Size of grant: | Total Grant up to £65,000  
UK maximum £40,000 (Project size £50,000 FEC)  
Peru maximum: £25,000 |
| Areas of impact/national strategies | 1 Health:  
1.1 Public health  
1.2 Vaccines  
1.3 Diagnostic tests  
1.4 Covid-19  
2. Water:  
2.1 Future climate scenarios and their potential impacts  
2.2 Remediation and recovery of degraded environments  
2.3 Study and application of advanced nanomaterials  
3. Science, Innovation and Technology in socioeconomic development (by macro-regions)  
3.1 Sustainable management of natural resources  
3.2 Industrial processing  
3.3 Biochemistry  
3.4 Genetic Improvement |
Applicants should review Peru’s National Plan of Competitiveness and Productivity (OP3) when applying.

Contractual arrangements:

British Council and UKRI will pay the costs of the UK organisations and CONCYTEC will pay the costs of local partners. CONCYTEC will issue a contract with the Peruvian Lead Institution and manage the Peruvian side of the grant.

Additional eligibility criteria:

- **Lead Applicants** based in Peru must be working for any of the following institutions:
  - Non-profit private and public universities with license or under licensing process of SUNEDU
  - Non-profit private or public research centres or institutes
- Lead Applicants based in Peru must hold a PHD degree (registered at SUNEDU or manually attached to the CTI Vitae) and must have led at least 2 research projects.
- Lead Applicants based in Peru must have an employment and / or contractual relationship with the applicant entity at the time of application (minimum part time of 20 hours per week).
- Co-Investigators in Peru must be graduates of the Knowledge Areas highlighted by OECD\(^6\)
- In the case, Co-Investigator belongs to a foreign institution (not based in Peru), they must be registered at ORCID (www.orcid.org) and his/her profile must be updated at the time of the application.

Please see additional mandatory eligibility criteria for Peruvian Lead Institutions, Lead Applicants and Associated Partners in https://www.fondecyt.gob.pe

Other considerations:

In addition to submitting the application through the British Council online platform, the Lead Applicant based in Peru must register as applicant to this call on http://www.fondecyt.gob.pe, using their RENACYT login. This is to receive the Peruvian documents only, not to upload the full application.

Applicants based in Peru should also read and comply with the complimentary guidelines to this call located in http://www.fondecyt.gob.pe

Eligibility of Peruvian applicants will be assessed by CONCYTEC.

Peruvian institutions should provide evidence of any in-kind or monetary contribution in the letter of support.

For any specific questions on the in-country guidelines, please contact:
convocatorias@fondecyt.gob.pe

For technical support in the Peruvian platform, please contact:
mesadeayuda@concytec.gob.pe

For results of the NFIS call, please contact: activatuconsulta@fondecyt.gob.pe

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Summary at CONCYTEC’s site: https://concytec-pe.github.io/vocabularios/ocde_ford.html
For queries on CTI Vitae, please contact: ctivitae@concytec.gob.pe

<table>
<thead>
<tr>
<th>Submission process (if requiring additional steps):</th>
</tr>
</thead>
<tbody>
<tr>
<td>• UK partner to submit an application on the British Council online application portal.</td>
</tr>
<tr>
<td>• Peruvian partner will need to register their application through the Fondecyt web platform by <strong>2 July 2020 1.00 pm (Peru time)</strong>*</td>
</tr>
</tbody>
</table>
### Appendix 2: Eligibility criteria checklist

<table>
<thead>
<tr>
<th>The application</th>
</tr>
</thead>
<tbody>
<tr>
<td>The application has been submitted by the applicants by the published deadline.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>At least one of the Project Leaders and/or their institution are currently or have been previously Newton Fund grantees. (according to the table in Section 3)</td>
</tr>
<tr>
<td>If applicants are submitting applications relating to UKRI grants or grants for which activities have not been completed yet, a list of eligible programmes and where application call/round calls (for the original grant) is below:</td>
</tr>
</tbody>
</table>

#### All countries:

- **Academy of Medical Sciences:**
  - Newton International Fellowships, Newton Advanced Fellowships and Newton Mobility Grants prior to Round 1 2019

- **British Council**
  - All completed projects under Researcher Links, Research Environment Links, Institutional Skills Development, Institutional Links and Dengue Tech Challenge
  - In addition, we will accept applications from ongoing Institutional Links projects with a grant ending before 31 March 2021 (unless specified in Appendix 1).

- **Royal Academy of Engineering**
  - Leaders in Innovation Fellowships, Newton Research Collaboration Programme
  - The Industry Academia Partnership Programme

- **Royal Society**
  - Newton International Fellowships; Newton Advanced Fellowships and Newton Mobility Grants prior to Round 1 2019

#### Egypt

(See also above for calls from all countries)

- **Arts and Humanities Research Council**
  - Cultural Heritage and Development in Egypt

#### Indonesia

(See also above for calls from all countries)

- **Medical Research Council**:
  - UK-Indonesia July 2016
  - UK - Indonesia JHR 2018
  - UK - Indonesia JHR 2018

- **Research Councils UK**
  - Regional SE Asia research call
  - Joint Call Small-Scale-Research Partnerships Call with South East Asia
<table>
<thead>
<tr>
<th>Science and Technology Facilities Council</th>
<th>The Catalysis Centre</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capacity building in STEM to ensure a sustainable development and a successful astronomical observatory in Timor</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Natural Environment Research Council</th>
<th>Wallacea - understanding biodiversity and evolutionary responses to environmental change</th>
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</thead>
<tbody>
<tr>
<td>Increasing Resilience to Hydrometeorological Hazards - Indonesia</td>
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<table>
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<tr>
<th>Research Councils UK / Natural Environment Research Council</th>
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<tbody>
<tr>
<td>RCUK-SE Asia Research Partnerships</td>
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</tbody>
</table>

**Peru**
(See also above for calls from all countries)

<table>
<thead>
<tr>
<th>Medical Research Council:</th>
</tr>
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<tbody>
<tr>
<td>UK - Peru Nutrition Health 2018</td>
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</table>

<table>
<thead>
<tr>
<th>Natural Environment Research Council</th>
</tr>
</thead>
<tbody>
<tr>
<td>Latin American Biodiversity Programme: Biodiversity - Ecosystems services for sustainable development</td>
</tr>
<tr>
<td>Peruvian Glacial Retreat and its Impact on Water Security and Resilience to Natural Hazards</td>
</tr>
</tbody>
</table>

**Thailand**
(See also above for calls from all countries)

<table>
<thead>
<tr>
<th>Biotechnology and Biological Sciences Research Council</th>
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<tbody>
<tr>
<td>Sustainable Rice Research Initiative - 15RICENF</td>
</tr>
<tr>
<td>Swine and Poultry Initiative - 17PIGPOULTRYNF</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>British Academy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Newton International Fellowships, Newton Advanced Fellowships and Newton Mobility Grants prior to Round 1 2019</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Medical Research Council:</th>
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<tbody>
<tr>
<td>UK-Thailand June 2015 MRC TRF</td>
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<tr>
<td>UK-Thailand June 2015 MRC NSTDA</td>
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<tr>
<td>UK Thailand Infections 2017</td>
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<table>
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<tr>
<th>Research Councils UK</th>
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<tbody>
<tr>
<td>Regional SE Asia research call</td>
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<tr>
<td>Joint Call Small-Scale-Research Partnerships Call with South East Asia</td>
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<table>
<thead>
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<td>RCUK-SE Asia Research Partnerships</td>
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<table>
<thead>
<tr>
<th>Science and Technology Facilities Council</th>
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</thead>
<tbody>
<tr>
<td>Exploiting synchrotrons for industry and societal needs</td>
</tr>
<tr>
<td>Skills for Large Facilities - SE Asia</td>
</tr>
<tr>
<td>STEM skills in data analysis and advanced engineering</td>
</tr>
</tbody>
</table>

Project Leaders are based at either:
- 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 (for non-UKRI applications only)
- an alternative institution as detailed in Appendix 1
- a UK business

If unsure, please contact
UK-NFIS@britishcouncil.org.

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 Project Leaders have submitted only one (1) application under this Newton Fund Impact Scheme as Project Leader.

Each section of the application form has been completed in full and complies with instructions given.

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).

### Supporting documents

- CVs have been submitted for the Project Leaders from both countries and any Co-Leaders no more than 3 sides of A4
- Applicants have submitted a detailed budget request using the appropriate budget spreadsheet provided – including Innovate UK budget forms where applicable and additional forms if necessary.
- The applicants have included two (2) supporting letters, one from each of the two Lead Organisations, 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 9 of these Guidelines. Supporting letters are not signed by the Principal Applicants
- If there are project partners/associated partners, a letter from each partner has been uploaded as required in Section 9 within a single pdf.
- The applicants have included a supporting letter from the former Project Leader or Organisation as per table at section 3 – only applicable for applications where there have been changes in the partnership from the original project
- Ethics forms have been completed (where applicable)
- Documents for the MRC have been complete (where applicable)
- A data management plan has been provided using the template provided at https://www.britishcouncil.org/sites/default/files/newton_fund_impact_scheme_data_management_plan_template.docx
- A Gantt Chart has been submitted (optional)

### Specific Partner country requirements

(e.g. Application for partner country)

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

<table>
<thead>
<tr>
<th>Score</th>
<th>Range</th>
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<tbody>
<tr>
<td></td>
<td>YES/NO</td>
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</table>

- 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

<table>
<thead>
<tr>
<th>Score</th>
<th>Range</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Sufficient/Insufficient</td>
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</tbody>
</table>

- 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

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<tr>
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<td>0-25</td>
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</table>

- The proposal clearly articulates a plausible route 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.
- The potential impact in terms of capacity building at individual, institutional and systemic level for end users and stakeholders as a result of the collaboration is clearly described.
### Section 4: Proposal

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<th>Score</th>
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<tbody>
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<td>0–25</td>
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</table>

- 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’ organisations 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 organisations are of appropriate academic/technical standing.
- The potential impact in terms of capacity building at individual, institutional and systemic level for researchers, innovation practitioners and other individuals participating in the collaboration is clearly described.

### Section 5: Sustainability

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<tr>
<th>Score</th>
<th>Range</th>
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<tbody>
<tr>
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<td>0–10</td>
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- The proposal includes a clear and feasible description of how the participating 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**

<table>
<thead>
<tr>
<th>Score</th>
<th>Range</th>
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<tbody>
<tr>
<td></td>
<td>0–60</td>
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