

The British Council: **THE BRITISH COUNCIL**, incorporated by Royal Charter and registered as a charity (under number 209131 in England & Wales and number SC037733 in Scotland), with its principal office at 10 Spring Gardens, London, SW1A 2BN

The Recipient: **Coventry University**
 Priory St
 City Centre
 Coventry
 Warks
 CV1 5FB

Date:

Application ID: **541140620**

This Agreement is made on the date set out above subject to the terms set out in the schedules listed below which both the British Council and the Recipient undertake to observe in the performance of this Agreement.

The British Council shall award the Grant to the Recipient for the purposes of funding the Project described in Schedule 1 on the terms and conditions of this Agreement.

The Recipient acknowledges that, where it will carry out the Project in partnership and/or collaboration with, and will pass some or all of the Grant to, any other organisation(s) (such organisation(s) not being a party to this Agreement ("**Sub Grantee**")), it will ensure that it enters into formal, legally binding agreements with each Sub Grantee on terms which reflect and are no less onerous than the terms of this Agreement and that it shall remain wholly liable and responsible for all acts and omissions (howsoever arising) of each Sub Grantee.

Schedules

Schedule 1	Special Terms
Schedule 2	Project Proposal
Schedule 3	Standard Terms
Schedule 4	Project Summary Budget
Schedule 5	Guidelines for Applicants
Schedule 6	Reporting Requirements
Schedule 7	Bank details form
Schedule 8	Newton Fund Brand Identity Guidelines

This Agreement shall only become binding on the British Council upon its signature by an authorised signatory of the British Council subsequent to signature by or on behalf of the Recipient.

IN WITNESS whereof the parties or their duly authorised representatives have entered into this Agreement on the date set out above.

Signed by the duly authorised representative of THE BRITISH COUNCIL

Name:	Signature:
Position:		

Signed by the duly authorised representative of Coventry University

Name:	Nicola Bradfield	Signature:	<i>N.L. Bradfield</i>
	Group Director, Legal Services		
Position:		11/3/2020

Schedule 1

Special Terms

Terms defined in this Schedule 1 shall have the same meanings when used throughout this Agreement.

In the event of any conflict between the terms set out in the various Schedules, the Schedules shall prevail in the order in which they appear in the Agreement.

For the purposes of the Project and the Grant, the terms of this Agreement shall prevail over any other terms and conditions issued by the British Council (whether on a purchase order or otherwise).

1 The Project

- 1.1 The British Council awards the Grant for the purposes of implementing activities under the Newton Fund Impact Scheme programme between the United Kingdom and **Mexico** as more fully described in the Project Proposal (Schedule 2) (the "Project").
- 1.2 The Recipient will carry out the Project in collaboration with **Universidad Tecnológica Metropolitana, Mérida, Yucatán**, who is **managing match funding sourced from a third party under a separate agreement**, for the purpose of implementing the Project, as detailed in the Project Proposal (Schedule 2).
- 1.3 The Recipient will deliver the Project and manage the Grant, including where relevant, disbursing the Grant to Sub Grantees in accordance with the Project Proposal detailed in Schedule 2.

2 Commencement and Duration

- 2.1 This Agreement shall come into force on **5 March 2020** and shall continue in full force and effect until **31 March 2022** (the "Term").
- 2.2 Notwithstanding anything to the contrary elsewhere in this Agreement, the British Council shall be entitled to terminate this Agreement by serving not less than 30 days' written notice on the Recipient.

3 The Grant

- 3.1 The amount of the grant awarded to the Recipient is **£96,037.66 (Ninety-six thousand thirty-seven pounds Sterling and sixty-six pence)** (the "Grant").
- 3.2 In consideration of the Recipient's delivery of the Project, the Grant shall be paid by the British Council to the Recipient by BACS transfer in accordance with the payment schedule below, subject to the Recipient's satisfactory compliance with the terms of this Agreement:

Payment	Maximum payable	Requirements/Milestones/Key Dates etc
1	60% - £57,622.60	Agreement Signed / Financial Year 2019/2020

2	20% - £19,207.53	Approved Interim Narrative and Financial Report / Financial Year 2020/2021
3	20% - £19,207.53	Approved Final Narrative and Financial Report / Financial Year 2021/2022

- 3.3 The British Council shall not be obliged to pay any Grant instalment to the extent that it has not received funding relating to that instalment from the Funder (as defined in clause 5.1 below).

4 **Eligibility Criteria**

- 4.1 The Recipient must comply with the eligibility criteria and requirements detailed in Schedule 5 Guidelines for Applicants ("**Eligibility Criteria**") in order to qualify for the Grant:
- 4.2 The Recipient warrants that it will continue to comply with the Eligibility Criteria throughout the Term.

5 **Funder**

- 5.1 The body providing funding for the Grant is: the Department for Business, Energy and Industrial Strategy (the "**Funder**").

6 **Service of notices**

- 6.1 For the purposes of clause 26 of Schedule 3, notices are to be sent to the following addresses:

To the British Council	To the Recipient
The British Council 10 Spring Gardens London SW1A 2BN Attn: Marta Tedros, Senior Science Consultant	Coventry University Priory St City Centre Coventry Warks CV1 5FB Attn: Richard Tomlins

7 **Insurance Requirements**

- 7.1 The Recipient shall take out and maintain during the Term with a reputable insurance company the following cover types with the following indemnity limits:

Insurance Cover	Indemnity Limit
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Employer's liability	£5,000,000 per claim
Public liability	£2,000,000 per occurrence and in the aggregate (annual total of all losses)
Professional indemnity	£2,000,000 per occurrence and in the aggregate (annual total of all losses)
Medical and travel	as needed and as advised by the relevant insurance provider
or such other insurance cover types and indemnity limits as may be agreed between the parties in writing from time to time.	

8 Locations

- 8.1 The Project will be carried out in the United Kingdom and **Mexico** ("Location(s)") or such other locations as may be agreed between the parties in writing from time to time.

9 Publicity

- 9.1 Where the Recipient is responsible for the preparation of Project materials or materials promoting the Project, in addition to the publicity obligations in Schedule 3 clause 12 the Recipient shall:
- 9.1.1 ensure all materials are prepared in accordance with the Newton Fund Brand Identity Guidelines at Schedule 8;
 - 9.1.2 acknowledge the Funder as the body providing funding for the Grant; and;
 - 9.1.3 acknowledge **CONACyT** as the organisation providing match funding for the Project.
- 9.2 For the avoidance of doubt, the Recipient and the British Council agree that nothing in the Agreement shall prevent the Recipient from publishing the results of the Project in academic publications to ensure knowledge dissemination, provided always that the Recipient acts in accordance with this clause 9 and the publicity requirements at Schedule 3 clause 12.

10 Recipient Responsibilities

- 10.1 The Recipient shall:
- 10.1.1 use the Grant only for eligible costs detailed in Project Summary Budget at Schedule 4 and Guidelines for Applicants Schedule 5 and disburse the Grant in accordance with the terms of this Agreement;
 - 10.1.2 complete and submit interim and final reports to the British Council in accordance with the Reporting Requirements at Schedule 6. The final report must be submitted to the British Council by **20th March 2022** and shall also include a summary statement of expenses relating to the Grant, together with supporting documentation;

- 10.1.3 complete British Council monitoring and evaluation surveys, including impact surveys after the end of the Project as outlined in the Reporting Requirements at Schedule 6;
- 10.1.4 comply with the specific guidelines governing the Project provided by the British Council at Schedule 5 of this Agreement and any other reasonable requirements notified to the Recipient from time to time by the British Council and;
- 10.1.5 complete and return the Bank Details Form at Schedule 7 to the British Council upon signature of this Agreement.

11 Principal Applicant

- 11.1 The Recipient shall be represented by the following named individual who will be responsible for the overall implementation of the Project: **Dr Richard Tomlins** (the "**Principal Applicant**").
- 11.2 The Recipient shall not, without the British Council's prior written consent (not to be unreasonably withheld or delayed), replace the Principal Applicant. The British Council acknowledges that the Recipient will have to replace the Principal Applicant where such person leaves the employment of the Recipient, in which case the British Council shall have a right of approval over the proposed replacement (such approval not to be unreasonably withheld or delayed).

Schedule 2

Project Proposal

[Provided as attachment in e-mail]

Form Name:	NFIS_19
Submission Time:	September 27, 2019 3:53 pm
Browser:	Chrome 77.0.3865.90 / Windows
IP Address:	194.66.32.17
Unique ID:	541140620
Location:	52.416698455811, -1.5499999523163

Before continuing, please confirm that I confirm that I have read and understood the above notices.
you have read and understood the
above notices.

Newton Fund Impact Scheme - Application

Title	Reducing social and economic inequalities through creative economy and social entrepreneurial interventions in Southern Mexico.
Title of the previous Newton project that this one builds on	Newton Fund Professional Engagement and Development Programme Brazil
Organisation that awarded the previous project	British Council
Previous project reference number	NF_PDE_Brazil_CC_A1
Duration of new collaboration (in months)	24
Proposed start date	01/02/2020
Total value of grant requested	197415
UK principal applicant name and title	Dr Richard Tomlins
UK principal applicant gender	Male
UK lead institution	Coventry University
UK lead institution address	Priory St City Centre Coventry , Warks CV1 5FB
Partner country	Mexico (National) - Modality 2
Partner country principal applicant name and title	Rodrigo Alejandro Olivares Contreras
Partner country principal applicant gender	Male
Partner country lead institution	Universidad Tecnológica Metropolitana, Mérida, Yucatán
Partner country lead institution address	Calle 111 No.315, Santa Rosa Mérida, Yucatán 97189

1. Proposal Summary

Please give a short summary in plain English of the proposed NFIS project. This should be a statement for a non-specialist audience, giving the rationale of the collaboration, briefly describing what will be done, how these activities build upon your previous Newton project, and summarising the project's impact on economic development and/or welfare in the partner country.

This project focuses on reducing social and economic inequalities through creative economy and social entrepreneurial interventions in Southern Mexico. The proposed project builds upon existing working relationships between CU and UTM including British Council Higher Education Links funding and focuses on driving new pathways to impact through applying and developing CU'S Newton Brasil creative economy funding.

In 2018, CU and UTM jointly organised the International Forum of Social Innovation and Transformational Entrepreneurship (FISSET), a training event for 745 participants held at the UTM campus. The event was highly successful, leading to the creation of 13 social enterprises and upskilling participants in the areas of social value, design thinking, social business, theory of change and collective impact methodologies.

Current joint projects include the development a Latin American Institute for Transformational Entrepreneurship, a joint book chapter to be published in "Women's Entrepreneurship and Value creation", and £1M funding application to the GCRF Fund (ESRC-led) (deadline 25th September 2019; the bid is about increasing educational outcomes through gamification and technology as a pathway to positive employment and entrepreneurial outcomes).

This project uses these relationships as a platform to introduce creative economy themes and work to the gender and social enterprise core of our existing work. It incorporates and applies the themes of our Brasil project whilst recognising the limits of that tool based approach. These tools will be refreshed through a co-creation process and extended to address the wider ecosystem and policy needs. Our dissemination is focused around ensuring the post project legacy of these relationships within the locality however also driving a wider footprint. This involves dissemination events between UK, Mexico and the original Brazilian partners as well as exploiting the global reach of CU and ICTE.

2. The Project

Objectives of the project (up to 8; specific and achievable)

1. Extend the impact from initial Newton Fund Professional Engagement and Development Programme in Brazil to the Yucatan region in Mexico.
2. Extend the scope of our Newton project to ecosystem and public policy development.
3. Draw on Coventry University's role as key partner of the successful UK City of Culture 2021 bid to promote the impact of the creative economy and social enterprises
4. Identify technical and soft skills for creative economy industries for the social and economic transformation of women in rural and urban areas of Yucatán.
5. Promote inclusion of rural and urban women entrepreneurs through a Meeting Forum and Peer-to-Peer Support Network.
6. Analyse ecosystem and public policy needs to maintain creative economy and women-led social enterprises in disadvantaged rural and urban neighbourhoods in Latin America.
7. Co-create creative economy and social enterprise development and support offer through an asset-based community development approach.

Key deliverables and anticipated outputs.

- O1 Spanish language materials (printed and online) drawing on original materials from Brazilian project.
 - O2 Preparation of White Paper and journal article for publication in leading journal, e.g. Entrepreneurship and Regional Development.
 - O3 (i) I.d. new impact pathways through Latin American/UK creative economy and social enterprise exchange (ii) link to Coventry UK City of Culture 2021 through CU role as key partner and PI's role as CU Champion for CoC 2021.
 - O4 Production of gender and ethnicity equality action plans.
 - O5 Production of culturally, gender sensitive and spatially specific technical training, print and online, for creative economy and social enterprise development.
 - O6 Women Entrepreneurs' Meeting Forum and Peer-to-Peer Support Network.
 - O7 World/Knowledge Café style ecosystem and Public Policy Development Workshop
 - O8 I.d. of ecosystem and public policy needs
 - O9 Co-create a creative economy social enterprise development and incubation support offer.
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Please provide details of the research/evidence base that informs the proposed NFIS collaboration and place it clearly in its research context. When completing this section, please structure the text to make it easily accessible for reviewers, for example by using section headings and bullet points. Please include a description of the research/evidence that informs the project and describe how the research outputs from the original project link to the proposed activities.

1. Inequality and Ethnicity.

Mexico's an example of unequal growth with the 2nd highest global level of inequality (OECD 2016). 40.8% of its population lives in poverty and 6.7% in extreme poverty. 38% of the population lives with a labor income below the cost of the food basket. In this context Yucatán is located in the economically deprived yet ethnically diverse southeast of Mexico. 28.89% of Yucatan inhabitants are indigenous language speakers, which presents a barrier to commerce with native Spanish speakers. As a result, inequality in this area has a distinct ethnic edge (OECD, 2017; CEPAL, 2018).

2. The need to tackle gender inequalities.

Entrepreneurship in Mexico continues male dominated (GEM, 2019; Canales, Román and Ovando, 2017). However, women are becoming more economically active including in entrepreneurship (Instituto Nacional de las Mujeres 2019). Nonetheless, access to resources, especially relating to human capital development via training is limited.

3. Developing creative economy ecosystems.

A developing policy context and business ecosystem offers a fertile environment to extend our Newton Fund Programme in Yucatán. Rich in traditions and artistic expressions, the cultural and creative industries in Yucatan are extensive (Gobierno del Estado de Yucatán, 2019). Nevertheless, their economic and social impact has not yet been formally captured and the foundations have not been laid to strengthen the sector, hindering the realisation of its full potential.

An ongoing challenge in the region is the inability of small businesses to consolidate and then grow. The economic potential inherent in these businesses to contribute to the regional economy is stymied by a range of factors not least a lack of human capital which, according to the GEM (2018), is preventing the state consolidating one of the best entrepreneurship ecosystems of the world (GEM, 2018).

It's recognized that 44% of artisans don't have sufficient skills to economically progress. There also exists a perception that artisanal production within the cultural industries of the rural areas, are seen as recreational activities rather than an opportunity for economic and social development (González, Carrillo and Gamboa, 2019).

4. Supporting Artisans

UTM's already intervening in entrepreneurial change through a wider set of Mexican Government initiatives, including the Fondo Nacional para el Fomento de las Artesanías (FONART) programme. FONART aimed to develop, promote and enable the commercialisation of products made by vulnerable groups, largely in the rural south of Mexico. In 2014, the handicraft sector alone generated around 12,000 direct and indirect jobs (National Fund for the Promotion of Handicrafts [Fonart], 2014, cited by Jácome, Sosa and Sarmiento, 2018). Currently, the country has a population of over 1.2million artisans, of whom almost 800,000 live below the welfare line (Ministry of Social Development [Sedesol]).

Please describe how your new project will build upon your previous one (including any other relevant information) to extend impact in line with either or both of the impact categories outlined on page 4 of the applicant guidance (under "Overview of the funding opportunity").

The original project sought to undertake a scoping exercise to identify inhibitors to the development of the creative economy in Brazil. Here, colleagues from CU would support knowledge transfer directly via workshops and training. During the project a bigger opportunity was identified, namely to support the creative economy through the use of playful and disruptive business tools, in particular "Sprint".

The proposed impact activity, which builds on another earlier creative economy and social enterprise needs British Council Higher Education Links (BCHEL) programme with UTM (2018), maintains the creative economy focus of our original Newton Fund Professional Engagement and Development Programme project. However, it also widens its scope to explicitly include social enterprises and female entrepreneurship. This follows from the first project's findings that identified a high representation of social enterprises and women entrepreneurs in the creative economy. Our engagement with Instituto Feira Preta, a Black Women's empowerment organisation, supported by British Council Brazil funding, has allowed us to develop more gender-specific and culturally-responsive tools. The soft research in Yucatan as part of the British Council CU and UTM HEL's project offers us the opportunity to extend impact in line with categories of increasing engagement with users, measures to overcome identified barriers to impact, and extending engagement into new user communities. The Brazilian scoping visits as part of CU's original project identified the need for a fun and "disruptive" business planning experience for creative entrepreneurs that would lead to rapid prototyping and in turn would allow new creative economy ideas to be brought to market at low development cost, hence "Sprint". Applying this in a different context in rural and urban Yucatan allows us to co-create a wider, more universal and therefore more impactful approach.

In addition, the involvement of this second iteration of the project through UTM as a public Anchor university situated in deprived neighbourhoods of urban Merida allows us to engage with the impact category of initiating or increasing engagement with impact multipliers and particularly moving research outcomes further along the translation pipeline, or extending the outcomes into the commercial sector. As part of our work with UTM in 2018 (part of the BCHEL programme) we identified pathways to market for student entrepreneur projects. In a similar manner we will also work this time with REACTIVA which is a system for the exchange of knowledge and information.

As additional added value we will connect this project to CU's Creative Spark project with Ukraine where we are developing the tools from the Brazil project into a wider toolkit including policy and ecosystem engagement through further British Council funding. The NFIS funding will allow us to produce toolkits for even more comprehensive ecosystem and policy development.

Please explain how your new project responds to experience and lessons learned through preceding Newton projects. Please include a description of any new research that will be done as part of this project, by whom, and at what institution, including the activities of any associated partners. Please also indicate how the skills and backgrounds of the applicants make them particularly well-suited to successfully undertake this work.

Post project completion comments to funder after our Newton Fund Professional Engagement and Development Programme and British Council Higher Education Links highlighted that our key areas for improvement were continuity of programme and longer project timeline. The NFIS opportunity addresses those needs and with respect to each programme it enables the development of a wider ecosystem and public policy approach to enable the development of the creative economy toolkit produced and its application to a different geography. Its development with a social enterprise and gender lenses extends its breadth.

To enable this we'll:

- (i) produce Spanish language materials of the original Brazil creative economy project and new materials.
- (ii) augment existing material with a social enterprise and gender lens' Our British Council Higher Education Links project with UTM in Yucatan demonstrated that with the support of a civic anchor institution we could increase the reach and uptake of materials. Specifically we propose:
 - (i) 8 briefing workshops with existing networks of women entrepreneurs (1 additional delivery partners briefing)
 - (ii) 8 co-creation workshops to identify new pathways and tools required
 - (iii) Further dissemination through 8 "test and further co-creation workshops" involving expansion of number of participants
 - (iv) 2 café knowledge style ecosystem and public policy development workshops (dissemination) plus 1 delivery partner dissemination.
 - (v) Virtual and physical network production and new impact pathways to impact through Latin American/UK creative economy and social enterprise exchange and link to Coventry UK City of Culture 2021.
 - (vi) Project dissemination and production of gender and ethnicity equality action plans.
 - (vii) The collection of data which will result in a publication targeting an academic audience, i.e. a peer-reviewed publication, that describes the intervention and develops insights that others can use for future projects.

Indicative workplan with milestones covering the entire lifetime of the grant requested.

Feb 2020 i) in-country set-up ii) Brasil proj Spanish lang materials + new mats iii) UK knowl trsfr incldg junior rschr training discussion + link Coventry UK City of Culture 2021 (continues)
April i) Brfng workshops' women ents' + peer-peer networks (conts)
June Initial action entrprnl research quant/qual meths (existing networks) qual café knowledge (new networks) (conts)
Aug i) Co-create wrkshps ii) gender/ethnicity equality plans (conts)
Nov i) Further dissemination thru "test/further co-create" wrkshps, prticipnt nos expansion ii) culturally, gender sensitive/spatially specific technical training (conts)
Jan 21 Café knowl ecosystem/public policy wrkshp
Mar Co-creation wrkshps
June Data clctn
Oct Public policy think-tank
Sept Proj dssmntn/blue print prep/White Paper/journal article/conference dissemination, new impact pathways thru LatAm/UK creative econ/sci entrprse exchnge
Nov Co-create crtve econ/sci entrprse dvlpmnt + support legacy offer
Jan 22 Knowl Cafe 2 UK

3. Innovation-focused projects

Was the original project awarded by Innovate UK?	No
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4. Pathway to economic development and social welfare

Please outline a plausible pathway between the outcomes of the proposed project and a positive tangible impact within 10 years in the partner country.

Aligned to Newton Fund our objectives:

1. Contribute to poverty reduction
2. Aim for greater sustainable development
3. Improve population welfare

Impact would be economic, social, personal and public policies. Beneficiaries of our project extend nationally to positively impact women in rural areas across the country. Strengthening rural women's skills in Yucatán will reduce the level of extreme poverty of the population. This will be through enriching their activity, empowering rural women to be the engine of social and economic transformation within their own community, motivating other women in similar conditions and involving economic and social actors. Hence, sustainable development will increase and, finally, by designing public policies for this less protected population rarely recognized by governments. Our action research project has a range of 10 years, as a process to empower women beyond the 24 month lifespan of the project and so they can be a reference for other women in similar conditions.

The two Brasil, Mexico and UK conferences will amplify the ODA gains through knowledge transfer from the original contract providing added value. We'll also develop the approaches that we have been piloting to measure social value in local settings to a wider focus on how to manage and drive social value.

The 10 year pathway to change can be achieved through:

- (i) Establishing a stronger and more focused research base on the health and needs of creative economy, social entrepreneurs and female entrepreneurs.
 - (ii) Introducing new tools tailored to the needs of women in different areas of the creative social entrepreneurial economies.
 - (iii) Intervening in public policy to achieve wider ecosystem change.
 - (iv) Supporting the role of UTM as a civic anchor institution. Since 2005 it's had more than 600 incubated projects, more than 1000 jobs generated from those projects including participation in social projects in the most marginalized Yucatán areas.
-

Please identify relevant project stakeholders and beneficiaries, and describe any existing engagement with them.

The key stakeholder beneficiaries include urban but are particularly rural women in Yucatán working in the creative economy with whom we through UTM have extensive engagement although this needs to be more clearly targeted within the context of wider ecosystem support as we have identified above. Action research will continue to identify the bespoke and support needs of this disadvantaged group.

More widely these initiatives will benefit both men and women in the "indigenous" context of Yucatán where Mayan is the native language making commercial trade complex when Spanish is typically required for commerce in Mexico. In addition, the project preserves rural crafts and created a viable revenue stream for workers who might otherwise have no outlet for the products benefiting artisanal and other creative entrepreneurs across all communities.

The research base established will benefit a range of public policy stakeholders, legislators and of course researchers for those more targeted and co-created interventions and a platform for ongoing action research to support.

We'll include participation of public officials from all levels of government, NGOs, indigenous associations, rural associations, banks and business angels.

There will be the presence of consumers, hotels, retailers of handicrafts, as well as representatives of La Casa de las Artesanías de Yucatán. Government sector organization: Secretary of Welfare, Secretary of Economy, Secretary of Labor, Secretary of Sustainable Development, CONEVAL, Government of the State of Yucatán, Mayors of municipalities and Yucatecan Institute of Entrepreneurs.

UTM is itself a civic anchor and amongst the project stakeholders therefore we will continue to engage through University structures to ensure that the importance of creative economy, social enterprise and critically gender based initiatives are recognised.

Please outline how you intend to engage with each of the groups described above in order to maximise positive impact from your project. Indicate how you will measure the impact on these stakeholder groups.

UTM offers a pathway to engagement with stakeholders as a civic anchor institution engaging in the most marginalized areas of Yucatán, not least via participation in the FONART programme to develop, promote and enable commercialisation of products made by vulnerable groups. Additionally, it's successfully targeted women in rural locations by a range of interventions.

Co-creation with community members will underpin all initiatives. Through an exchange of experiences with other rural artisan women, strategies will be transmitted as they've survived and had market success. Via meetings with policy makers, rural women will have knowledge of institutions and associations that support entrepreneurship.

We'll work together with public officials to prepare proposals for public policies aimed at solving problems of marginalization and vulnerability of this population. The strong relationships that we've outlined above with the officials of municipalities facilitate this process.

Practitioners will be engaged through forums and meetings, they'll communicate needs, market trends, business environment, quality requirements, packaging needs, consumption habits, purchase volumes, payment conditions, among other variables necessary to compete in the market.

The same collegiate approach will be used to access researchers using UTM's national networks and wider footprint of CU as it facilitates a Latin American Institute for Transformational Entrepreneurship including the British Council Creative Spark project and peer learning with Urbino University in Italy. Impact will be maximised through invitation to researchers to work together around this project's theme

Government sector organisations will be engaged through our networks, however, most crucially, we'll gather rural women with public officials to be considerate in social programs and also in public economic support for the promotion of social and commercial development.

Please describe the monitoring and evaluation processes that will be applied to your project (in addition to ResearchFish and case study templates) to ensure that you can adequately demonstrate your proposed impact.

In addition to ResearchFish and Case Study templates, this project will use the following means to monitor and evaluate the project

Monitoring and evaluation: Monthly project meetings virtually, looking at the achievement of milestones and taking preventive measures to keep project on track. Further monitoring will also be in the form of evaluation of quality of the co-created materials and a further community wide evaluation through qualitative and quantitative measures.

Evaluation will further be in the form of gathering feedback from the co-creation workshop delegates and the trainers. Also, 2 focus groups including the project team and select delegates from the workshops to study the impact the project has created in developing entrepreneurial skills and increase in the number of women entrepreneurs in the region. Apart from this, impact will also be measured using social media metrics, website hits, invitations to be guest speakers, number of press releases, interviews,

Further impact will also be measured through the publication of research results in the form of journal articles (4), conference papers (6), book chapters (2) and white paper (1).

5. The Collaboration

Would the activity be part of an existing collaboration between the UK and partner country institutions? If so, please describe the previous collaboration, including how you have worked together.

Proposed project builds upon existing links. In 2018, CU and UTM jointly organised the International Forum of Social Innovation and Transformational Entrepreneurship a training event for 745 participants at UTM leading to creation of 13 social enterprises and upskilling participants in social value, design thinking, social business, ToC and collective impact methodologies. CU and UTM have since continued to collaborate on creative industry/social and economic development projects. There's an MoU in place, whereby institutions have committed joint projects, joint publications knowledge exchange and staff exchange. CU and UTM's collaborative efforts aim to utilise research excellence to improve economic and social prospects of vulnerable and marginalised communities. Current joint projects include the development a Latin American Institute for Transformational Entrepreneurship, joint book chapter in "Women's Entrepreneurship and Value creation", and £1M funding application to GCRF Fund.

What roles will the different individuals/institutions/organisations have in this project? In your answer please refer to the value the different individuals/ institutions/organisations will add to the collaboration (with specific reference to their complementary expertise and technical resources).

Our methodology is rooted in co-creation.

Tomlins and Contreras have responsibility for delivering the project and will be responsible for the efficient management of the project and communication strategy with their teams and external stakeholders. They will coordinate weekly to prepare for key milestones with progress meetings to be conducted via videoconference driving the project to successful conclusion and dissemination.

However, co-creation (as above) will drive all tasks throughout. This means that CU and UTM and critically individual project participants will play a joint role in successful project delivery. In practice this means in assessing existing tools, developing new tools, identifying new pathways to change and ecosystem and public policy needs. These will be reviewed and refreshed throughout.

In terms of expertise, Tomlins provides a track record in equalities including in particular ethnicity and gender, community development and community evaluation, social enterprise and creative economy. He has extensive Latin American experience including 3 projects in Brasil and 3 in Mexico including 2 creative economy projects. More widely he wrote part of the successful Coventry UK City fo Culture bid and continues to work on that project includign as a CU champion. He has extensive project management experience. Sukumar adds to that expertise with wider entrepreneurial and ecosytem interests and ICTE at CU where both are based specialises in methods for this to enable transformational change.

Contreras has extensive experience of 14 years in teaching also on academic research, about gender, entrepreneurship, innovation and business women. Experience with marginalized and vulnerable communities. Project leader in social entrepreneurship to rural microentrepreneurs in Yucatan. He has wide experience in design and creation of workshops, training and consulting and elaboration of business plan in the areas of administration, marketing and social development. Valencia has specific gender and community development expertise.

UTM as a local anchor institution provides the reach into communities as a trusted and valued community partner to enable and support gender and wider community involvement and both are committed to long term collaboration including in these social and geographical areas. The project will also benefit from the formal and informal links maintained from the original Brazilian project.

How will the collaboration be managed as an equitable partnership (including with regard to communications)?

As above our methodology is rooted in co-creation.

Tomlins and Contreras have responsibility for delivering the project and will be responsible for the efficient management of the project and communication strategy with their teams and external stakeholders. They will coordinate weekly to prepare for key milestones with progress meetings to be conducted via videoconference driving the project to successful conclusion and dissemination.

We have established a strong working relationship based in equity from the original project.

6. Intellectual Property

Please indicate how IP generated through the project will be managed

The main IP produced will be database stored. This will automatically be protected by copyright and database rights on its creation under UK law. The applicant will work with the IP Commercialisation Office at CU to ensure any IP produced with commercial potential is fully utilised. The IP Office provide a fully integrated approach to maximising research outputs via a managed stage-gate commercialisation process and have a track record of successful adoption and commercialisation of research. Regular applicant updates will enable action to be taken so that the IP generated brings the greatest benefit to the community at large. Research outputs will be reviewed and any commercialisable IP identified recorded on CU's IP management database. Working with the applicant, staff will thoroughly evaluate the IP and put in place a plan to ensure that the IP is effectively commercialised. In Mexico, an ISBN and Certificate of Public Copyright Registration of the Books will be and an ISSN.

7. UK Principal Applicant

Title	Dr
Name	Richard Tomlins
Email address	aa3252@coventry.ac.uk
Position	Assistant Professor

Please indicate how your skills and background as detailed in your attached CV make you particularly well-suited to successfully undertake the project.

Tomlins provides a track record in equalities including in particular ethnicity and gender, community development and community evaluation, social enterprise and creative economy. He has extensive Latin American experience including 3 projects in Brasil and 3 in Mexico including 2 creative economy projects. More widely he wrote part of the successful Coventry UK City fo Culture bid and continues to work on that project including as a CU champion. He has extensive project management experience.

How many hours per month would you dedicate to the proposed NFIS collaboration?

36.00

Please nominate a person in your institution who can deputise for the Principal Applicant if they are unable to lead the UK side of the collaboration for any reason.

Arun Sukumar

Position of named deputy

Associate Professor

Email address of named deputy

ac2780@coventry.ac.uk

8. UK Lead Institution

Institution (please enter the full legal name)

Coventry University

Department

International Centre for Transformational Entrepreneurship (ICTE)

Head of Department (full name)

Professor Gideon Maas

Address

G08 Sir William Lyons Building Room
Gosford Street
Coventry, Warks CV1 5DL

UK nation

England

Type of institution

Research Organisation

8.1 UK Lead Institution - Lead Contact for Grant Administration

Name

Richard Tomlins

Email address

aa3252@coventry.ac.uk

Telephone Number

07974984625

9. Partner Country Principal Applicant

Title	Dr
Name	Rodrigo Alejandro Olivares Contreras
Email address	rodrigo.olivares@utmetropolitana.edu.mx
Telephone number	+52 999 9406100 ext. 2100
Position	Professor - Researcher
Please indicate how your skills and background as detailed in your attached CV make you particularly well-suited to successfully undertake the project.	An extensive experience of 14 years in teaching also on academic research, about gender, entrepreneurship, innovation and business women. Experience with marginalized and vulnerable communities. Project leader in social entrepreneurship to rural microentrepreneurs in Yucatan. Wide experience in design and creation of workshops, training and consulting and elaboration of business plan in the areas of administration, marketing and social development.
How many hours per month do you spend on research related activities?	64.00
How many hours per month would you dedicate to the proposed NFIS collaboration?	32.00
Please nominate a person in your institution who can deputise for the Principal Applicant if they are unable to lead the partner country side of the collaboration for any reason.	Nery Elena Rodríguez Valencia
Position of named deputy	Deputy Director
Email address of named deputy	nery.rodriguez@utmetropolitana.edu.mx

10. Partner Country Lead Institution

Institution (please ensure you enter the full legal name)	UNIVERSIDAD TECNOLÓGICA METROPOLITANA
Department	UNIIDE - Unidad de Innovación, Incubación y Desarrollo Empresarial
Head of Department (Full Name)	María Irene Valencia Cervera
Address	Calle 111 núm. 315 x 46 y 48 Col. Santa Rosa CP. Mérida, Yucatán 97279
Partner country	Mexico
Type of institution	Research Organisation

10.1 Partner Country Lead Institution - Lead Contact for Grant Administration

Name	Maria Irene Valencia Cervera
Email address	irene.valencia@utmetropolitana.edu.mx
Telephone Number	+52 999 9406115 ext. 2101

11. Associated Partners

Country (1)	Brazil
Country (2)	Brazil
Country (3)	Brazil
Country (4)	Brazil
Country (5)	Brazil
Country (6)	Brazil
Country (7)	Brazil
Country (8)	Brazil

12. Research governance and ethics

Please describe how you will ensure that the activity will be carried out to the highest standards of ethics and research integrity in line with the legal requirements of both the UK and the partner country.

We can confirm that the project will take place within the ethical frameworks established both by Coventry University and UTM. At Coventry, all research requires ethical clearance provided by a panel of experts after review of any proposed activities. Furthermore, all off-site work needs to be fully risk-assessed and approved, with additional requirements imposed for working overseas. All university employees are required to undertake training in areas such as health and safety, data protection, diversity in the workplace and bribery.

The project team comprise experienced researchers who are aware of ethical issues as they relate to research (e.g. informed consent, right to withdraw, anonymity, avoidance of harm and respect for potential or and enrolled participants). The entire programme is designed to benefit the economically disadvantaged whereby we are keenly aware that the project will only work with their full and free participation and contribution. The aim is to work together with UTM as a full partner, and with the participants on the ground in a spirit of cooperation and collaboration.

To ensure the project runs smoothly and to avoid potential conflicts key responsibilities between partners will be determined at the outset, as well as regular project briefings established. An anonymous feedback mechanism will be created (e.g. online form) so that participants will be able to voice any concerns in the knowledge that their views will be received anonymously.

Please describe how potential ethical and health and safety issues arising as part of this collaboration have been considered and how they will be addressed.

In addition to the ethics scetion above both CU and UTM have robust and consistently applied health and safety risk management which includes the identification of risk across a serious of categories and then control measures to mitigate that risk.

At present this is flagging no risks that cannot be mitigated however it will be refreshed on a monthly basis. More materially UTM as a civic anchor institution will be able to provide updates in real time and mitigation measures.

Please provide a Gender Equality Statement. This statement must outline how you have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities, as required under the International Development (Gender Equality) Act.

The project is targeted on women in predominantly rural communities that experience high levels of inequality and involves consideration of and action to address those inequalities including cultural and social barriers. Impact would be economic, social, personal and public policies. Beneficiaries of our project extend nationally designed to positively impact women in rural areas across the country. Strengthening rural women's skills in Yucatán will reduce the level of extreme poverty of the population. This will be through enriching their activity, empowering rural women to be the engine of social and economic transformation within their own community, motivating other women in similar conditions and involving economic and social actors. Hence, sustainable development will increase and, finally, by designing public policies for this less protected population rarely recognized by governments. Our action research project has a range of 10 years, as a process to empower women beyond the 24 month lifespan of the project and so they can be a reference for other women in similar conditions.

Human Participation

Yes - I confirm that all necessary permission certificates from the relevant local ethical review committee/authorities in the UK and the partner country will be obtained in advance of the activity commencing

1. Would the project involve the use of human subjects? = Yes
- 1.1. If yes, would equal numbers of males and females be used? (if you answered 'no' to question 1, please also answer 'no' here) = No
2. Would the project involve the use of human tissue? = No
3. Would the project involve the use of biological samples? = No
4. Would the project involve the administration of drugs, chemical agents or vaccines to humans? = No
5. Will personal information be used? = Yes
- 5.1. If yes, will the information be anonymised and unlinked? (if you answered 'no' to question 5, please also answer 'no' here) = Yes
- 5.2. Or will it be anonymised and linked? (if you answered 'no' to question 5, please also answer 'no' here) = No
- 5.3. Will the research participants be identifiable? (if you answered 'no' to question 5, please also answer 'no' here) = No

Please provide details of any areas of substantial or moderate severity:

The research is targeted, albeit not exclusively, on female entrepreneurs therefore more women than men will be part of the research sample.

Please upload a supporting letter as detailed in section 9.2 of the applicant guidelines

https://s3.amazonaws.com/files.formstack.com/uploads/3508918/80061652/541140620/80061652_utm_letter_of_nfis.pdf

Animal Research

No

Please provide details of any areas which are Moderate or Severe:

None

Genetic and biological risk	No
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Arms/Military Research (including dual use technologies or goods)	No
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Are there ethical implications arising from the proposed research?	No
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13. Budget request

Staff costs (UK)	0
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Staff costs (Partner Country)	17600
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Justification - staff costs (UK)	The staff costs are listed in the direct allocated costs
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Justification - staff costs (Partner Country)	Mexican PI will be supported by one 1 FTE research assistant over the duration of the project. Their role will be to support the PI in the management and coordination of the research project, focusing on interview data collection and analysis as well as transcribing and drafting reports for the PI in advance of finalizing.
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Directly incurred costs (UK)	0
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Directly incurred costs (Partner Country)	0
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Justification - directly incurred costs (UK)	NA
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Justification - directly incurred costs (Partner Country)	NA
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Travel and subsistence costs (UK)	32540
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Travel and subsistence costs (Partner Country)	7704
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Justification - travel and subsistence costs (Partner Country)	<p>Travel & Subsistence - £32,550 Costs have been allocated to the Coventry Team for the following:</p> <p>Year 1 there will be 4 trips (PI) and 3 trips (Co-PI) to Merida, Mexico to focus on project coordination and delivery for workshops in 4 localities in the Yucatan region. Flights 1450pp, accommodation and subsistence £120p pn for 6 nights per trip, each trip will cost £2170. Total: 15190. Year 2 there are 4 trips to Mexico focussing on further delivery of workshops in two more localities and in participation of knowledge exchange café and a public policy development think-tank. The PI and the Co-PI will undertake 4 trips with lights £1450 pp, accommodation and subsistence £120pp for 6 nights, each trip costing £2170. Total cost for 4 trips £17,360.</p>
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Justification - travel and subsistence costs (UK)	<p>Three trips are planned by the Mexican Team to UK. Year 1 will have one trip, (PI and CO-PI), Flights 1450 1pp, accommodation and subsistence, 155 pn. Total for trip. 3210.</p> <p>Year 2 will have two trips to UK, 1 knowledge research cafe and 1 dissemination workshop. 2 from Mexican team will come over to UK, total cost for 2 trips at £3210 per trip is £6420. At 80% of fEC, the total cost is £7704</p>
Directly allocated costs (UK)	30855
Directly allocated costs (Partner Country)	41920
Justification - directly allocated costs (UK)	<p>Richard Tomlins, ICTE, will be PI on this project at 0.2 FTE (£12,147). His role on the project is to provide overall strategic guidance for the project, engaging with international co-investigators and action as lead for the communications and outputs of the project. Co-PI Arun Sukumar, ICTE, 0.2 FTE (£18,707) will undertake project development, innovation activities, data collection as well data management control on the project. Both PI and Co-PI will also be involved in the delivery of co-creation workshops.</p>
Justification - directly allocated costs (Partner Country)	<p>PhD. Rodrigo Olivares Contreras (0.3 FTE) has been a full-time professor and researcher for 14 years at the UTM. His research expertise is in gender, women entrepreneurs, innovation and entrepreneurship (£18,000). Nery Elena Rodríguez Valencia (0.4), Full-time professor at Universidad Tecnológica Metropolitana, commissioned since 2014 to the Unidad de Incubación, Innovación y Desarrollo Empresarial (UNIIDE) where she has specialized in Social Entrepreneurship (£15,000). Karina González Herrera, full-time professor (0.1 FTE), specializes in Women entrepreneurship and in project management (£5,000). Nora Sarai Carrillo Bermejo (0.4 FTE), Co-PI is expert in entrepreneurial skills development among youth and has extensively worked with marginalized communities in the Yucatan Region (£14,400). The PI will provide strategic guidance for the Project, while Co-PIs will bring in specific expertise related to empowerment, women entrepreneurship, creative economy and research Project ma</p>
Estates and indirect costs (UK)	36258
Estates and indirect costs (Partner Country)	20437

Justification - estates and indirect costs (UK)	The costs are in relation to the delivery of 24 co-creation workshops over 6 localities in Yucatan Province, 1 policy development think tank and 1 research exchange cafe in Mexico. The cost will also involve delivery of 2 workshops and 1 research exchange cafe in UK. Both PI and Co-PI will be involved in the design and delivery of workshops, they will also be involved in the design of search instruments and in the data collection activities. The PI will be also be taking lead in the management of the project.
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Justification - estates and indirect costs (Partner Country)	25 engagement activities are planned in the project. The estate costs are involved in the delivery of the workshops and the academic input required to design, deliver , evaluate the sessions and the in the execution of the whole project. PI and Co-PIs will be involved networking with local population, involve in translation of materials, and in embedding the workshops to the local context. They will also be instrumental in design of materials and delivery in different localities in Yucatan region. Cost also covers venue hire for workshops and
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Other costs (UK)	0
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Other costs (Partner Country)	10101
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Justification - other costs (UK)	The costs for these are in the partner sections
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Justification - other costs (Partner Country)	For this project, the following are further required, 1X Camera Canon EOS Rebel T (£400), 3X Computer LENOVO YOGA C930 2-in-1 13.9" 4K Ultra HD touch screen IntelCore i7 16Gb (£2880), 2X Tripe for camera (£64), 5X Tablet yoga 3 STLE (800), 2X White Screen. Pyle PRJTP42 Display for Video Projector, Foldable and Rolling Easily, Tripod Style, 101.6 cm (£320), 2X Proyector BenQ SVGA 3600 Lumens 800x600 (MS 550) (£480), 2X Reporter Recorder SONY 4Gb (£64), 3X Electric extension cable (£52), Stationary costs (£1440), Fuel Costs to travel to remote locations (£240), The project also includes communication costs, Publications £2,080 Public Engagement events £640 Interpreters & Translation £640
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Total funding requested (UK)	99653
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Total funding requested (Partner Country)	97762
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14. Funds requested from other sources

(A) Additional funding source	0
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(A) Total amount requested	1
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(B) Additional funding source	0
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(B) Total amount requested	1
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(C) Additional funding source	0
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(C) Total amount requested	1
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15. Additional Information

Please use the space below to include any additional information that you feel is relevant to your proposal but not covered elsewhere in the application form.

None

16. Assessment of the NFIS proposal

Please indicate which of the following Review Panels is the most appropriate to assess your proposal.

Social Sciences Review Panel

Social Sciences Review Panel

Social Sciences Review Panel	Development studies
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Social Sciences Review Panel	Geography
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Social Sciences Review Panel	Innovation
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Other Social Sciences (please specify)	Entrepreneurship
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17. Supporting documents

CV for the UK Principal Applicant (maximum 3 sides of A4)	https://s3.amazonaws.com/files.formstack.com/uploads/3508918/79539300/541140620/79539300_richard_tomlins_cv.docx.pdf
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CV for the Partner Country Principal Applicant (maximum 3 sides of A4)	https://s3.amazonaws.com/files.formstack.com/uploads/3508918/79539301/541140620/79539301_cv_ingles_rodrigo_olivares_c.pdf
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Detailed budget request (using the template provided on the NFIS website)	https://s3.amazonaws.com/files.formstack.com/uploads/3508918/79539302/541140620/79539302_mexico-costing-final.xlsx
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Signed letter of support from the Head of Department (or equivalent) of the UK Lead Institution	https://s3.amazonaws.com/files.formstack.com/uploads/3508918/79539303/541140620/79539303_cu_support_letter.docx
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Signed letter of support from the Head of Department (or equivalent) of the Partner Country Lead Institution	https://s3.amazonaws.com/files.formstack.com/uploads/3508918/79539304/541140620/79539304_utm_letter_of_nfis.pdf
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18. Pre-submission confirmation

Have you obtained permission to submit this application on behalf of the UK and partner country institutions?

Yes

Both the UK and Partner Country Principal Applicants and their home institutions have the professional resources, competencies and qualifications necessary to complete the proposed action.

I confirm the above

Neither the UK Principal Applicant's nor the Partner Country Principal Applicant's home institution are bankrupt, being wound up, or having their affairs administered by the courts.

I confirm the above

Neither the UK Principal Applicant's nor the Partner Country Principal Applicant's home institution have entered into an arrangement with creditors or suspended business activities, or have any analogous situation arising from a similar procedure provided for by national legislation or regulations.

I confirm the above

Neither the UK Principal Applicant nor the Partner Country Principal Applicant are guilty of grave professional misconduct proven by any means which the contracting authority can justify.

I confirm the above

Neither the UK Principal Applicant nor the Partner Country Principal Applicant have been the subject of a judgement which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the British Council or partner organisations' financial interests.

I confirm the above

Neither the UK Principal Applicant nor the Partner Country Principal Applicant are guilty of misrepresentation in supplying the information required as a condition for participation in the grant award procedure or of failure to supply this information.

Does the UK Freedom of Information Act apply to your organisation? Yes

Before continuing, please confirm that you have read and understood the above notice. I confirm that I have read and understood the above notice.

19. DATA PROTECTION:

Please tick this box to confirm that you are willing for the British Council to share your information with partner organisations for the purpose of this funding application (please note; if you do not agree to this we may not be able to consider your application for funding).

I am willing for my information passed on to British Council partner organisations for the purpose of this funding application

The British Council and UKRI wishes to publish information on successful applications (including the summary provided on the first page of this form) on their website, in promotional materials disseminated through any medium, and in reports and documents. The British Council will not publish personal details on their website or via other media without prior permission.

I agree to my information being put on the British Council website

Schedule 3

Standard Terms

1 Interpretation

1.1 In this Agreement:

"British Council Entities" means the subsidiary companies and other organisations Controlled by the British Council from time to time, and any organisation which Controls the British Council (the **"Controlling Entity"**) as well as any other organisations Controlled by the Controlling Entity from time to time;

"British Council Requirements" means the instructions, requirements, policies, codes of conduct, guidelines, forms and other documents notified to the Recipient in writing or set out on the British Council's website at http://www.britishcouncil.org/new/about-us/jobs/folder_jobs/register-as-a-consultant/policies-for-consultants-and-associates/ or such other web address as may be notified to the Recipient from time to time (as such documents may be amended, updated or supplemented from time to time during the Term);

"Code" means the Department of Constitutional Affairs' Code of Practice on the discharge of public authorities' functions under Part 1 of the Freedom of Information Act 2000 (issued under section 45 of that Act) (November 2004) as may be updated or re-issued from time to time and any other relevant codes of practice published by the Department of Constitutional Affairs or its successor bodies;

"Confidential Information" means any information which has been designated as confidential by either party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including information which relates to the business, affairs, finances, properties, assets, trading practices, developments, trade secrets, Intellectual Property Rights, know-how, personnel, and customers of the British Council or the Recipient (as the case may be) and all personal data and special categories of personal data within the meaning of the Data Protection Legislation;

"Control" means the ability to direct the affairs of another party whether by virtue of the ownership of shares, contract or otherwise (and **"Controlled"** shall be construed accordingly);

"Environmental Information Regulations" means the Environmental Information Regulations 2004;

"Equality Legislation" means any and all legislation, applicable guidance and statutory codes of practice relating to diversity, equality, non-discrimination and human rights as may be in force from time to time in England and Wales or in any other territory in which, or in respect of which, the Project relates;

"FOIA" means the Freedom of Information Act 2000 and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner in relation to such legislation;

"Funder Agreement" means the agreement (if any) between the Funder (if any) and the British Council relating to the provision of the funding out of which the Grant is made;

"Funder Requirements" means the specific requirements of the Funder (if any), including the terms of the Funder Agreement, as incorporated into this Grant Agreement or otherwise notified to the Recipient in writing (including, without limitation, by means of email or any website or extranet);

"Information Disclosure Requirements" means the requirements to disclose information under:

- (a) the Code;
- (b) the FOIA; and
- (c) the Environmental Information Regulations;

"Intellectual Property Rights" means any copyright and related rights, patents, rights to inventions, registered designs, database rights, design rights, topography rights, trade marks, service marks, trade names and domain names, trade secrets, rights in unpatented know-how, rights of confidence and any other intellectual or industrial property rights of any nature including all applications (or rights to apply) for, and renewals or extensions of such rights and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world;

"Newton Fund Brand Identity Guidelines" means the visual identity and branding guidelines and instructions applicable to all Newton Fund activity detailed in Schedule 8;

"Recipient's Team" means the Recipient and, where applicable, any Relevant Person, and all other employees, consultants, agents and sub-contractors which the Recipient engages in any way in relation to the Project;

"Relevant Person" means any individual employed or engaged by the Recipient and involved in the Project, or any agent or contractor or sub-contractor of the Recipient who is involved in the Project; and

"Request for Information" means a request for information (as defined in FOIA) relating to or connected with this Agreement or the British Council more generally or any apparent request for such information under the Information Disclosure Requirements.

1.2 In this Agreement:

- 1.2.1 any headings in this Agreement shall not affect the interpretation of this Agreement;
- 1.2.2 a reference to a statute or statutory provision is (unless otherwise stated) a reference to the applicable UK statute as it is in force for the time being, taking account of any amendment, extension, or re-enactment and includes any subordinate legislation for the time being in force made under it;

- 1.2.3 where the words "include(s)" or "including" are used in this Agreement, they are deemed to have the words "without limitation" following them, and are illustrative and shall not limit the sense of the words preceding them;
- 1.2.4 without prejudice to clause 1.2.5 except where the context requires otherwise, references to:
- (i) services being provided to, or other activities being provided for, the British Council;
 - (ii) any benefits, warranties, indemnities, rights and/or licences granted or provided to the British Council; and
 - (iii) the business, operations, customers, assets, Intellectual Property Rights, agreements or other property of the British Council,
- shall be deemed to be references to such services, activities, benefits, warranties, indemnities, rights and/or licences being provided to, or property belonging to, each of the British Council and the British Council Entities and this Agreement is intended to be enforceable by each of the British Council Entities; and
- 1.2.5 obligations of the British Council shall not be interpreted as obligations of any of the British Council Entities.

2 Recipient's obligations

- 2.1 The Recipient warrants that the information given to the British Council in connection with the Project Proposal is true and acknowledges that the British Council awards the Grant on this basis.
- 2.2 The Recipient shall apply the Grant solely and exclusively for the purposes of funding the Project and will not use the Grant to fund any activity that may be party-political in intention use or presentation or to propagate a particular religion. The Recipient agrees to reimburse the British Council in full if the Grant is not used for this purpose.
- 2.3 The Recipient confirms that the Project and the award of the Grant to it shall not breach any applicable State Aid rules within the meaning of Article 107 Treaty of the Functioning of the European Union and any related legislation.
- 2.4 The Recipient shall notify the British Council in writing of any amount of other funding including other public sector funding (if any) and/or guarantees secured by or offered to it for any purpose related to the Project as soon as it is approved.
- 2.5 The Recipient shall deliver all aspects of the Project as set out in the Project Proposal with reasonable skill and care and in compliance at all times with the terms of this Agreement and all applicable regulations and legislation in force from time to time at the Location(s).
- 2.6 The Recipient shall comply with, and complete and return any forms or reports from time to time required by, the British Council Requirements and/or the Eligibility Criteria.

- 2.7 The Recipient shall comply with the Funder Requirements (if any) as notified to the Recipient in writing and shall do nothing to put the British Council in breach of the Funder Requirements (if any).
- 2.8 The Recipient shall not at any time do or say anything which damages or which could reasonably be expected to damage the interests or reputation of the British Council or the Funder (if any) or their respective officers, employees, agents or contractors.
- 2.9 The Recipient shall keep full and proper accounts and records of income and expenditure with regard to the Project and the British Council shall be entitled to receive copies of all information reasonably required on request (including, without limitation, bank statements, receipts and vouchers for expenditure incurred) and to audit the administration by the Recipient of the Grant and the Project.
- 2.10 Where the British Council and/or the Funder requires more information or considers that any report and/or other documentation is not acceptable, or where the British Council and/or the Funder believes that the performance of the activity undertaken is not in accordance with this Agreement, the British Council shall provide sufficient details to the Recipient to enable it to rectify the situation. The British Council reserves the right to suspend or terminate (as the case may be) the Project and the Agreement in the event that the Recipient is not able to rectify the situation to the satisfaction of the British Council (and/or the Funder).
- 2.11 The Recipient undertakes to work with the British Council to monitor and evaluate progress made towards achieving the Project through regular communication, face to face meetings if required and progress reports and agrees to provide any relevant information related to the activities detailed in the Project Proposal as and when requested.
- 2.12 The Recipient shall comply with all applicable legislation and codes of practice relating to child protection and the promotion of the welfare of children in force in England and Wales and any other territory in which the Project takes place or to which the Project relates.
- 2.13 The Recipient shall use its reasonable endeavours to ensure that it does not become involved in any conflict of interests between the interests of the British Council and/or the Funder and the interests of the Recipient itself or any client of the Recipient. The Recipient shall notify the British Council in writing as soon as is practically possible of any potential conflict of interests and shall follow the British Council's reasonable instructions to avoid, or bring to an end, any conflict of interests. In the event that a conflict of interests does arise, the British Council shall be entitled to terminate this Agreement on immediate written notice.

3 Capital Assets

- 3.1 A "**Capital Asset**" means any item of equipment or other asset costing £10,000 (ten thousand pounds) (excluding VAT) or more which, on the date of purchase, has a useful life of more than one year and is purchased wholly or partly out of the Grant.
- 3.2 The Recipient shall obtain the prior written consent of the British Council (and, where applicable, the Funder) before purchasing any Capital Asset.
- 3.3 Subject to clause 3.2, the Recipient shall advise the British Council in writing of the purchase of any Capital Asset and shall advise the British Council of its date of purchase, its purchase

price (excluding VAT), its location and details of anyone else having an interest in the Capital Asset.

- 3.4 The Recipient shall not dispose of any Capital Asset without the British Council's prior written consent. The British Council may require the sale of any Capital Asset at open market value and may also require payment to the British Council of a share of the net proceeds of sale in proportion to the amount of Grant contributed to its purchase.

4 Withholding, Reduction and Repayment of the Grant

- 4.1 The British Council may (and may be obliged by the Funder to) reduce, withhold or claim a repayment (in full or in part) of the Grant if:

- 4.1.1 the Recipient fails to comply with the terms of this Agreement;
- 4.1.2 the Recipient breaches the warranty in clause 4.2 of Schedule 1;
- 4.1.3 the Recipient makes a change to the Project which the British Council and/or the Funder has not approved;
- 4.1.4 the Recipient attempts to dispose of a Capital Asset without the British Council's prior written consent;
- 4.1.5 there is any financial irregularity or fraud in the operation of the Project;
- 4.1.6 there has been any overpayment of the Grant; or
- 4.1.7 the Funder reduces the amount of funding available, withdraws funding or demands repayment of any part of the Grant.

- 4.2 The British Council will notify the Recipient in writing of any decision it (or the Funder) takes to reduce, withhold or claim a repayment of the Grant or any part of it and will, if appropriate, arrange a meeting with the Recipient to discuss the consequences of such decision.

- 4.3 If the British Council demands repayment of the Grant or any part of it, the Recipient shall make repayment within 30 days.

- 4.4 The Grant is fully inclusive of any and all taxes that may be payable in connection with the award, receipt or use of the Grant. The Recipient will deduct any such taxes out of the Grant and in no circumstances shall the British Council be required to pay any additional sums in respect of such taxes. In the event that the British Council is required by the laws or regulations of any applicable jurisdiction to deduct any withholding tax or similar taxes from the Grant, the British Council shall deduct and account for such taxes before paying the remainder of the Grant to the Recipient and shall notify the Recipient in writing of all such sums properly deducted.

5 Change Control

- 5.1 If the Recipient wishes to change the scope of the Project, it shall submit details of the requested change to the British Council in writing and such change shall only be implemented if agreed in accordance with the remainder of this clause.

- 5.2 If the Recipient requests a change to the scope of the Project, it shall send such request to the British Council in writing, accompanied by a written statement of the following matters:

- 5.2.1 the likely time required to implement the change;
- 5.2.2 any foreseeable impact that the proposed change may have on the Recipient's compliance with the Eligibility Criteria; and
- 5.2.3 any other impact of the proposed change on the terms of this Agreement; and

the British Council shall withhold or give its consent to such change in its sole discretion. If the British Council allows the Recipient to proceed with the change, the Recipient shall do so, following a variation of this Agreement in writing reflecting the agreed change in accordance with clause 20.

6 Intellectual Property Rights

- 6.1 All Intellectual Property Rights shall remain the exclusive property of the party owning it. It is the responsibility of the Recipient, and all engaged in the research, between them to agree, in good faith negotiations on the ownership of jointly developed intellectual property (IP) rights and to make every reasonable effort to ensure that any new Intellectual Property Rights obtained in the course of the research are used to the benefit of society and to address poverty in the partner country.
- 6.2 Where any Intellectual Property Rights owned or licensed by the British Council are required to be used in connection with the delivery of the Project, the Recipient acknowledges that it shall have no right to use the same except to the extent necessary for the delivery of the Project and subject to such consents and restrictions as may be specified by the British Council.
- 6.3 The Recipient warrants to the best of its knowledge that the delivery of the Project does not and will not infringe any third party's Intellectual Property Rights.
- 6.4 The Recipient hereby grants to the British Council an irrevocable, royalty-free, non-exclusive, worldwide right and licence to use any information, data, reports, documents, or other materials obtained, created or developed in the course of the Project for non-commercial purposes to publicise and report on the activities of the British Council in connection with the award of the Grant and the delivery of the Project. For the avoidance of doubt, such extracts would not include unpublished data where the British Council's using them could jeopardise either future publication or commercialisation by the Intellectual Property Right owner.

7 Liability and Indemnity

- 7.1 Nothing in this Agreement shall exclude or restrict the liability of either party to the other for death or personal injury resulting from negligence or for fraudulent misrepresentation or in any other circumstances where liability may not be limited under any applicable law.
- 7.2 Subject to clause 7.1, the British Council's total liability to the Recipient in respect of all other losses arising under or in connection with this Agreement, whether in contract, tort, breach of statutory duty, or otherwise, shall not exceed the amount of the Grant.

- 7.3 Subject to clause 7.1, the Recipient's total liability to the British Council in respect of all other losses arising under or in connection with this Agreement, whether in contract, tort, breach of statutory duty, or otherwise, shall not exceed the amount of £2,000,000 (two million pounds Sterling).
- 7.4 Provided that the British Council has paid the Grant to the Recipient in accordance with this Agreement, the Recipient shall be responsible for all claims, costs, expenses, losses and liabilities howsoever arising in connection with the Project and the receipt and use of the Grant and the Recipient shall indemnify and hold the British Council harmless from and against all such claims, costs, expenses, losses and liabilities.
- 7.5 The provisions of this clause 7 shall survive termination of this Agreement, however arising.

8 Confidentiality

- 8.1 For the purposes of this clause 8:
- 8.1.1 the **"Disclosing Party"** is the party which discloses Confidential Information to, or in respect of which Confidential Information comes to the knowledge of, the other party; and
 - 8.1.2 the **"Receiving Party"** is the party which receives Confidential Information relating to the other party.
- 8.2 The Receiving Party shall take all necessary precautions to ensure that all Confidential Information it receives under or in connection with this Agreement:
- 8.2.1 is given only to such of its staff and professional advisors or consultants engaged to advise it in connection with this Agreement as is strictly necessary for the performance of this Agreement and only to the extent necessary for the performance of this Agreement; and
 - 8.2.2 is treated as confidential and not disclosed (without the prior written consent of the Disclosing Party) or used by the Receiving Party or any member of its staff or its professional advisors or consultants otherwise than for the purposes of this Agreement.
- 8.3 The provisions of clause 8.2 shall not apply to any Confidential Information which:
- 8.3.1 is or becomes public knowledge (otherwise than by breach of this clause 8);
 - 8.3.2 was in the possession of the Receiving Party, without restriction as to its disclosure, before receiving it from the Disclosing Party;
 - 8.3.3 is received from a third party who lawfully acquired it and who is under no obligation restricting its disclosure;
 - 8.3.4 is independently developed without access to the Confidential Information; or
 - 8.3.5 must be disclosed pursuant to a statutory, legal or parliamentary obligation placed upon the Receiving Party.

- 8.4 Nothing in this clause 8 shall prevent the Recipient from using any techniques, ideas or know-how gained during the performance of this Agreement in the course of its normal business, to the extent that it does not result in a disclosure of Confidential Information or an infringement of Intellectual Property Rights.
- 8.5 In the event that the Recipient fails to comply with this clause 8, the British Council reserves the right to terminate this Agreement by notice in writing with immediate effect.
- 8.6 The provisions under this clause 8 are without prejudice to the application of the Official Secrets Act 1911 to 1989 to any Confidential Information.
- 8.7 Each party acknowledges that each party is subject to the Information Disclosure Requirements and shall assist and co-operate with the other party to enable the other party to comply with those requirements.
- 8.8 Where a party receives a Request for Information in relation to information that the party or any of its sub-contractors is holding on behalf of the party and which the party does not hold itself, the party shall, as soon as reasonably practicable after receipt, forward the Request for Information to the other party and the other party shall:
- 8.8.1 provide the party with a copy of all such information in the form that the party requires as soon as practicable and in any event within 10 calendar days (or such other period as the party acting reasonably may specify) of the party's request; and
 - 8.8.2 provide all necessary assistance as reasonably requested by the party to enable it to respond to the Request for Information within the time for compliance set out in section 10 of the FOIA or regulation 5 of the Environmental Information Regulations, as applicable.
- 8.9 Each party acknowledges that any lists or schedules provided by it outlining Confidential Information are of indicative value only and that the other party may nevertheless be obliged to disclose the other party's Confidential Information in accordance with the Information Disclosure Requirements:
- 8.9.1 in certain circumstances without consulting the other party; or
 - 8.9.2 following consultation with the other party and having taken its views into account,
- provided always that where clause 8.9.1 above applies, each shall, in accordance with the recommendations of the Code, take reasonable steps to draw this to the attention of the other after any such disclosure. The provisions of this clause 8 shall survive the termination of this Agreement, however arising.
- 8.10 The provisions of this clause 8 shall survive the termination of this Agreement, however arising.
- 9 Termination**
- 9.1 Without prejudice to any other rights or remedies which the British Council may have, the British Council may terminate this Agreement without liability to the Recipient immediately on giving notice to the Recipient if:

- 9.1.1 the Recipient uses the Grant or any part of it other than for the Project;
 - 9.1.2 the Funder Agreement is terminated for any reason;
 - 9.1.3 there is a change of Control of the Recipient; or
 - 9.1.4 the funding for the Grant is otherwise withdrawn or ceases.
- 9.2 Either party may give notice in writing to the other terminating this Agreement with immediate effect if:
- 9.2.1 the other party commits any material breach of any of the terms of this Agreement and that breach (if capable of remedy) is not remedied within 30 days of notice being given requiring it to be remedied (and where such breach is not capable of remedy, the terminating party shall be entitled to terminate the Agreement with immediate effect);
 - 9.2.2 an order is made or a resolution is passed for the winding-up of the other party or an administrator is appointed by order of the court or by other means to manage the affairs, business and property of the other party or a receiver and/or manager or administrative receiver is validly appointed in respect of all or any of the other party's assets or undertaking or circumstances arise which entitle the Court or a creditor to appoint a receiver and/ or manage or administrative receiver or which entitle the Court to make a winding-up or bankruptcy order or the other party takes or suffers any similar or analogous action (in any jurisdiction) in consequence of debt; or
 - 9.2.3 the other party ceases, or threatens to cease, to carry on business.
- 9.3 In any circumstances where the British Council has the right to terminate this Agreement it may instead, by serving written notice on the Recipient, suspend the Project for a reasonable period.
- 9.4 Termination of this Agreement, however it arises, shall not affect or prejudice the accrued rights of the parties as at termination or the continuation of any provision expressly stated to survive, or implicitly surviving, termination.

10 Data Processing

- 10.1 In this clause:
- 10.1.1 **"Data Protection Legislation"** shall mean any applicable law relating to the processing, privacy and use of Personal Data, as applicable to either party or the Project under this Agreement, including the DPA and/or the GDPR, and /or any corresponding or equivalent national laws or regulations; and any laws which implement any such laws; and any laws that replace, extend, re-enact, consolidate or amend any of the foregoing; all guidance, guidelines, codes of practice and codes of conduct issued by any relevant regulator, authority or body responsible for administering Data Protection Legislation (in each case whether or not legally binding);

- 10.1.2 "DPA" means the UK Data Protection Act 2018;
- 10.1.3 "GDPR" means the General Data Protection Regulation (EU) 2016/679; and
- 10.1.4 "Personal Data" means "personal data" (as defined in the Data Protection Legislation) that are processed under this Agreement.
- 10.2 The Recipient shall not breach the Data Protection Legislation and warrants that in carrying out its obligations under this Agreement it will not breach the Data Protection Legislation or do or omit to do anything that might cause the British Council to be in breach of the Data Protection Legislation.

11 Audit

- 11.1 The Recipient will fully co-operate with and assist the British Council in meeting its audit and regulatory requirements by providing access for the British Council, the Funder, their internal auditors (which shall include, for the purposes of this Agreement the British Council's internal audit, security and operational risk functions), their external auditors or any agents appointed by the British Council and/or the Funder or their regulators (or any person appointed by such body) to conduct appropriate reviews and inspections of the activities and records of the Recipient (and to take copies of records and documents and interview members of the Recipient's Team) relating to the Grant and the Project. The Recipient shall maintain all records relating to this Agreement (including, without limitation, records relating to the Grant and the Project) for a period of seven (7) years following the year in which the Project is completed.
- 11.2 The Recipient shall bear its own cost in relation to any reasonable number of audits carried out by the British Council and/or the Funder. Where any audit reveals any breach or non-compliance by the Recipient, the Recipient shall also bear the costs of the British Council and/or the Funder carrying out such audit.

12 Publicity

- 12.1 The provisions of this clause 12 shall apply unless specifically varied by the British Council Requirements or the Funder Requirements.
- 12.2 The Recipient shall:
- 12.2.1 obtain the British Council's prior written consent to all promotional activity, public statements or press releases issued by the Recipient or on the Recipient's behalf in relation to the Project or any aspect of it;
 - 12.2.2 inform the British Council in advance of any materials being published or any publicity events being held in connection with the Project
 - 12.2.3 where requested to do so by the British Council, acknowledge the award of the Grant by the British Council (and, where applicable, the Funder) in any publicity about the Project; and
 - 12.2.4 incorporate the British Council's logo in all marketing materials in accordance with the British Council's visual identity guidelines for the Project (being such guidelines

as shall be notified in advance to the Recipient) and will not use the British Council's logo for any other purpose whatsoever.

- 12.3 Each party shall ensure that where it is responsible for the preparation of Project materials or materials promoting the Project or the parties' involvement in the Project it shall acknowledge the funding role of the Funder and ensure the materials are prepared in accordance with the Newton Fund Brand Identity Guidelines.
- 12.4 For the avoidance of doubt, the Recipient and the British Council agree that nothing in the Agreement shall prevent the Recipient from publishing the results of the Project in academic publications to ensure knowledge dissemination, provided always that the Recipient acts in accordance with clause 12.2.2 and 12.2.3.

13 Employees

- 13.1 The Recipient agrees that it will not, without the prior written consent of the British Council, whether directly or indirectly, and whether alone or in conjunction with, or on behalf of, any other person during the Term or for a period of 6 (six) months following termination, solicit or entice, or endeavour to solicit or entice away from the British Council any person employed by the British Council and involved directly in the award of the Grant.

14 Anti-Corruption, Anti-Collusion and Tax Evasion

- 14.1 The Recipient undertakes and warrants that it has not offered, given or agreed to give (and that it will not offer, give or agree to give) to any person any gift or consideration of any kind as an inducement or reward for doing or forbearing to do anything in relation to the obtaining of this Agreement or the performance by the Recipient of its obligations under this Agreement.
- 14.2 The Recipient warrants that it, and any Relevant Person, has and will retain in place, and undertakes that it, and any Relevant Person, will at all times comply with, policies and procedures to avoid the risk of bribery (as set out in the Bribery Act 2010), tax evasion (as set out in the Criminal Finances Act 2017) and fraud within its organisation and in connection with its dealings with other parties, whether in the UK or overseas.
- 14.3 The Recipient warrants that:
- 14.3.1 it, and any Relevant Person, has not colluded, and undertakes that it will not at any time collude, with any third party in any way in connection with this Agreement (including in respect of pricing under this Agreement); and
 - 14.3.2 it, and any Relevant Person, has not engaged, and will not at any time engage, in any activity, practice or conduct which would constitute either:
 - 14.3.3 a UK tax evasion facilitation offence under section 45(1) of the Criminal Finances Act 2017; or
 - 14.3.4 a foreign tax evasion facilitation offence under section 46(1) of the Criminal Finances Act 2017.

Nothing under this clause 14.3 is intended to prevent the Recipient from discussing the terms of this Agreement with the Recipient's professional advisors.

14.4 The Recipient acknowledges and agrees that British Council may, at any point during the Term and on any number of occasions, carry out searches of relevant third party screening databases (each a "**Screening Database**") to ensure that neither the Recipient, the Recipient's Team nor any of the Recipient's Team's directors or shareholders (where applicable), is or have been listed:

14.4.1 as an individual or entity with whom national or supranational bodies have decreed organisations should not have financial dealings;

14.4.2 as being wanted by Interpol or any national law enforcement body in connection with crime;

14.4.3 as being subject to regulatory action by a national or international enforcement body;

14.4.4 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

14.4.5 as being a heightened risk individual or organisation, or (in the case of an individual) a politically exposed person,

(together the "**Prohibited Entities**").

14.5 The Recipient warrants that it will not make payment to, transfer property to, or otherwise have dealings with, any Prohibited Entity.

14.6 If any of the Recipient, the Recipient's Team or the Recipient's Team's directors or shareholders (where applicable) is:

14.6.1 listed in a Screening Database for any of the reasons set out in clause 14.4., or

14.6.2 breaches any of its obligations set out in clauses 14.1, 14.2 14.3 or 14.5;

then the Recipient shall promptly notify the British Council of any such breach(es) and the British Council shall be entitled to takes the steps set out at clause 14.7below.

14.7 In the circumstances described at clause 14.6.1 and/or 14.6.2, and without prejudice to any other rights or remedies which the British Council may have, the British Council may:

14.7.1 terminate this Agreement without liability to the Recipient immediately on giving notice to the Recipient; and/or

14.7.2 require the Recipient to take any steps the British Council reasonably considers necessary to manage the risk to the British Council of contracting with the Recipient (and the Recipient shall take all such steps and shall provide evidence of its compliance if required); and/or

14.7.3 reduce, withhold or claim a repayment (in full or in part) of the charges payable under this Agreement; and/or

14.7.4 share such information with third parties.

- 14.8 The Recipient shall provide the British Council with all information reasonably requested by the British Council to complete the screening searches described in clause 14.4.
- 14.9 Without limitation to clauses 14.1, 14.2, 14.3, 14.4, 14.5, 14.6, 14.7 and 14.8 above, the Recipient shall:
- 14.9.1 ensure that all Relevant Persons involved in the Project or with this Agreement have been vetted and that due diligence is undertaken on a regular continuing basis to such standard or level of assurance as is reasonably necessary in relation to a person in that position in the relevant circumstances; and
 - 14.9.2 maintain accurate and up to date records of:
 - (i) any requests to facilitate any UK tax evasion offence or any foreign tax evasion offence made to the Recipient or any Relevant Person in connection with the Project or with this Agreement either in the United Kingdom or elsewhere;
 - (ii) any action taken by the Recipient or any Relevant Person to inform the relevant enforcement bodies or regulatory authorities that the Recipient or any Relevant Person has been requested to facilitate a UK tax evasion offence or a foreign tax evasion offence (except to the extent that the Recipient or any Relevant Person is prevented by law from doing so);
 - (iii) its compliance with its obligations under this clause 14 and all training and guidance provided to Relevant Persons in respect of the obligations under this clause and applicable laws for the prevention of tax evasion;
 - (iv) the Recipient's monitoring of compliance by Relevant Persons with applicable policies and procedures;
 - (v) the measures that the Recipient has taken in response to any incidence of suspected or actual tax evasion or facilitation of tax evasion or breach of this clause 14; and
 - 14.9.3 maintain and provide such access to the records or information referred to in clause 14.9.2; and
 - 14.9.4 ensure that all Relevant Persons involved in performing services in connection with this Agreement are subject to and at all times comply with equivalent obligations to the Recipient under this clause 14.
- 14.10 For the purposes of this clause 14, the expression "**Relevant Person**" shall mean all or any of the following: (a) Relevant Persons; and (b) any Relevant Person employed or engaged by a Relevant Person.

15 Anti-slavery and human trafficking

- 15.1 The Recipient shall:

- 15.1.1 ensure that slavery and human trafficking is not taking place in any part of its business or in any part of its supply chain;
 - 15.1.2 implement due diligence procedures for its own suppliers, subcontractors and other participants in its supply chains, to ensure that there is no slavery or human trafficking in its supply chains;
 - 15.1.3 respond promptly to all slavery and human trafficking due diligence questionnaires issued to it by the British Council from time to time and ensure that its responses to all such questionnaires are complete and accurate; and
 - 15.1.4 notify the British Council as soon as it becomes aware of any actual or suspected slavery or human trafficking in any part of its business or in a supply chain which has a connection with this Agreement.
- 15.2 If the Recipient fails to comply with any of its obligations under clause 15.1, without prejudice to any other rights or remedies which the British Council may have, the British Council shall be entitled to:
- 15.2.1 terminate this Agreement without liability to the Recipient immediately on giving notice to the Recipient; and/or
 - 15.2.2 require the Recipient to take any steps the British Council reasonably considers necessary to manage the risk to the British Council of contracting with the Recipient (and the Recipient shall take all such steps); and/or
 - 15.2.3 reduce, withhold or claim a repayment (in full or in part) of the Grant; and/or
 - 15.2.4 share with third parties information about such non-compliance.

16 Equality, Diversity and Inclusion

- 16.1 The Recipient shall ensure that it does not, whether as an employer or provider of services and/or goods, discriminate within the meaning of the Equality Legislation.
- 16.2 The Recipient shall comply with any equality or diversity policies or guidelines included in the British Council Requirements.

17 Assignment

- 17.1 The Recipient shall not, without the prior written consent of the British Council, assign, transfer, charge, create a trust in, or deal in any other manner with all or any of its rights or obligations under this Agreement.
- 17.2 The British Council may assign or novate this Agreement to: (i) any separate entity Controlled by the British Council; (ii) any body or department which succeeds to those functions of the British Council to which this Agreement relates; or (iii) any provider of outsourcing or third party services that is employed under a service contract to provide services to the British Council. The Recipient warrants and represents that it will (at the British Council's reasonable expense) execute all such documents and carry out all such acts, as reasonably required to give effect to this clause 17.2.

18 Waiver

- 18.1 A waiver of any right under this Agreement is only effective if it is in writing and it applies only to the party to whom the waiver is addressed and the circumstances for which it is given.

19 Entire agreement

- 19.1 This Agreement and any documents referred to in it constitute the entire agreement and understanding between the parties with respect to the subject matter of this Agreement and supersede, cancel and replace all prior agreements, licences, negotiations and discussions between the parties relating to it. Each party confirms and acknowledges that it has not been induced to enter into this Agreement by, and shall have no remedy in respect of, any statement, representation, warranty or undertaking (whether negligently or innocently made) not expressly incorporated into it. However, nothing in this Agreement purports to exclude liability for any fraudulent statement or act.

20 Variation

- 20.1 No variation of this Agreement shall be valid unless it is in writing and signed by or on behalf of each of the parties.

21 Severance

- 21.1 If any provision of this Agreement (or part of any provision) is found by any court or other authority of competent jurisdiction to be invalid, illegal or unenforceable, that provision or part-provision shall, to the extent required, be deemed not to form part of the Agreement, and the validity and enforceability of the other provisions of the Agreement shall not be affected.

22 Counterparts

- 22.1 This Agreement may be executed in counterparts, each of which when executed shall constitute a duplicate original, but all counterparts shall together constitute one agreement. Where this Agreement is executed in counterparts, following execution each party must promptly deliver the counterpart it has executed to the other party. Transmission of an executed counterpart of this Agreement by email in PDF, JPEG or other agreed format shall take effect as delivery of an executed counterpart of this Agreement.

23 Third party rights

- 23.1 Subject to clause 1.2.4, this Agreement does not create any rights or benefits enforceable by any person not a party to it except that a person who under clause 17 is a permitted successor or assignee of the rights or benefits of a party may enforce such rights or benefits.
- 23.2 The parties agree that no consent from the British Council Entities or the persons referred to in this clause is required for the parties to vary or rescind this Agreement (whether or not in a way that varies or extinguishes rights or benefits in favour of such third parties).

24 No partnership or agency

- 24.1 Nothing in this Agreement is intended to, or shall operate to, create a partnership between the parties, or to authorise either party to act as agent for the other, and neither party shall have

authority to act in the name or on behalf of or otherwise to bind the other in any way (including the making of any representation or warranty, the assumption of any obligation or liability and the exercise of any right or power) and neither party shall incur any expenditure in the name of or for the account of the other.

25 Force Majeure

- 25.1 Subject to clauses 25.2 and 25.3, neither party shall be in breach of this Agreement if it is prevented from or delayed in carrying on its business by acts, events, omissions or accidents beyond its reasonable control (a "**Force Majeure Event**") including (insofar as beyond such control but without prejudice to the generality of the foregoing expression) strikes, lock-outs or other industrial disputes, failure of a utility service or transport network, act of God, war, riot, civil commotion, malicious damage, volcanic ash, earthquake, explosion, terrorist act, compliance with any law or governmental order, rule, regulation or direction, accident, breakdown of plant or machinery, fire, flood or storm.
- 25.2 A party that is subject to a Force Majeure Event shall not be in breach of this Agreement provided that:
- 25.2.1 it promptly notifies the other party in writing of the nature and extent of the Force Majeure Event causing its failure or delay in performance;
 - 25.2.2 it could not have avoided the effect of the Force Majeure Event by taking precautions which, having regard to all the matters known to it before the Force Majeure Event, it ought reasonably to have taken, but did not; and
 - 25.2.3 it has used all reasonable endeavours to mitigate the effect of the Force Majeure Event, to carry out its obligations under this Agreement in any way that is reasonably practicable and to resume the performance of its obligations as soon as reasonably possible.
- 25.3 Nothing in this clause 25 shall excuse a party for non-performance (or other breach) of this Agreement if such non-performance (or other breach) results from the acts or omissions of any of that party's consultants and/or sub-contractors (except where such acts or omissions are caused by any of the circumstances specifically listed in clause 25.1).

26 Notice

- 26.1 Notice given under this Agreement shall be in writing, sent for the attention of the person signing this Agreement on behalf of the recipient party and to the address given on the front page of this Agreement (or such other address or person as the relevant party may notify to the other party) and shall be delivered:
- 26.1.1 personally, in which case the notice will be deemed to have been received at the time of delivery;
 - 26.1.2 by pre-paid, first-class post if the notice is being sent to an address within the country of posting, in which case the notice will be deemed to have been received at 09:00 in the country of receipt on the second (2nd) normal working day in the country specified in the recipient's address for notices after the date of posting; or

- 26.1.3 by international standard post if being sent to an address outside the country of posting, in which case the notice will be deemed to have been received at 09:00 in the country of receipt on the seventh (7th) normal working day in the country specified in the recipient's address for notices after the date of posting.
- 26.2 To prove service of notice, it is sufficient to prove that the envelope containing the notice was properly addressed and posted or handed to the courier.
- 27 Governing Law and Dispute Resolution Procedure**
- 27.1 This Agreement and any dispute or claim (including any non-contractual dispute or claim) arising out of or in connection with it or its subject matter, shall be governed by, and construed in accordance with, the laws of England and Wales.
- 27.2 Subject to the remainder of this clause 27, the parties irrevocably agree that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim (including any non-contractual dispute or claim) that arises out of or in connection with this Agreement or its subject matter.
- 27.3 In the event that any claim or dispute arises out of or in connection with this Agreement, the parties shall, following service of written notice by one party on the other, attempt to resolve amicably by way of good faith negotiations and discussions any such dispute or claim as soon as reasonably practicable (and in any event within 14 calendar days after such notice or by such later date as the parties may otherwise agree in writing). If the parties are unable to resolve the dispute or claim in accordance with this clause 27.3, either party may commence proceedings in accordance with clause 27.2.
- 27.4 Nothing in this clause 27 shall prevent either party from applying at any time to the court for injunctive relief on the grounds of infringement, or threatened infringement, of the other party's obligations of confidentiality contained in this Agreement or infringement, or threatened infringement, of the applicant's Intellectual Property Rights.

Schedule 4

Project Summary Budget

Schedule 4
Project Summary Budget
Application ID: 541140620

Type of cost All costs are in GBP	UK Newton Fund contribution:	Partner Country FEC:
Directly Incurred Costs	£34,520.00	£97,926.00
Directly Allocated Costs	£36,188.00	£1,920.00
Indirect Costs	£25,329.66	£0.00
Exceptions	£0.00	£0.00
TOTAL BUDGET	£96,037.66	£99,846.00

All expenditure must be within limits given in the Guidelines at Schedule 5.

Recipients may move up to 20% of the budget between budget lines provided that they remain within limits set in the Guidelines at Schedule 5.

If recipients wish to move more than 20% of the budget between budget lines, they must obtain approval in writing from the British Council.

Changes which are not within limits set in the Guidelines at Schedule 5 will not be approved.

Any expenditure which infringes these guidelines will not be approved and may be recovered by the British Council.

Schedule 5

Guidelines for Applicants

Newton Fund Impact Scheme Applicant Guidelines Version 0.4

Overview of change(s) from previous version:

Change	Page in version 0.3	Page in version 0.4
Mexico Regional Call – no separate application for SECTEI required	35	35

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 for applications with Brazil, Kenya and Malaysia

Call closes: 27 September 2019, 16:00 UK time for applications with Mexico only

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 for Brazil, Kenya and Malaysia only	13 th September 2019
Deadline for applications for Mexico only	27 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 of £200,000 for up to two years, depending on the country (see Appendix 1 for country specific limits) and may exceed this limit only for projects previously funded by Innovate UK with an exception for certain projects co-funded by CONACyT (see Appendix 1 section 4.1). Grant maximum figures on the UK side represent the 80 per cent figure of the full economic costs. Applications 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 and the host institution is expected to support the remaining 20 per cent. Please see Appendix 1 for country specific funding limits and page 8 for funding rates for businesses. 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.

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 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

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:

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>

<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 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.

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>

- 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%

For business led applications, 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. 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

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.

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. Projects led by UK business should submit a separate budget form for the component in the partner country, if this is an academic partner they should use the form for British Council and Research Councils.

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.

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.

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

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' (<https://www.ukri.org/files/legacy/reviews/grc/rcuk-grp-policy-and-guidelines-updated-apr-17-2-pdf/>), 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.

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

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 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://sfidora.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 13th September 2019 for applications for Brazil, Kenya and Malaysia. Proposals submitted after the deadline will not be considered for funding.**
- **16:00 UK time on 27th September 2019 for applications for Mexico only. 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 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 three 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 be 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**.

1. 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:	The grant maximum that will be awarded is 200.000 GBP (total project). See below for UK/Brazilian split of funding and exceptions with FAPEPI and FAPES funded grants. Please see p8 for rates for business-led applications.
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:	
Eligible institutions are those covered by the following funding bodies:	
<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) FAPEMA (Maranhão state) 10) Sebrae 11) Adesampa 12) FAS 13) APPOA 	

- 14) Science and Technology Museum from PUC-RS
- 15) FA.VELA
- 16) Instituto Cultural Polen
- 17) Cidade Escola Aprendiz
- 18) SOF
- 19) CTI
- 20) Embrapii
- 21) 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. The collaborative proposal must be submitted to FAPESP as a Research in Public Policies Program and will follow its general rules and guidelines. The RPPP gathers a Research or Higher Education Institution from Sao Paulo, a public or third sector organisations (municipal or State secretariats or public companies, and cooperatives, foundations and NGOs), and, in this call for proposals, a partner eligible from the UK. The objective of this program is to support research projects that aim to develop and systematise knowledge directly relevant for the development and implementation of public policies to the benefit of society of the State of Sao Paulo, developed with partners with responsibility for its implementation. FAPESP will only support proposals aimed at developing socially relevant public policies, not including all the funding possibilities presented in item 1 of this Call for Proposals. FAPESP will fund a maximum of 10 proposals submitted in this Call. Principal Investigators must be affiliated to a Research or Higher Education Institution based in the State of Sao Paulo. Further eligibility criteria are available at <http://www.fapesp.br/politicaspUBLICAS#5134> (in Portuguese).). For FAPESP co-funded proposals the grant maximum that will be awarded is 144,000 GBP.

**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.

***** It is recommended that the proposals from EMBRAPII units should be aligned with o the themes: smart cities and IoT.

The UK funding partners will cover up to 100,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 125,000 GBP full economic cost. All Brazilian partner funders (with the exception of FAPESP, FAPESP, FAPESP and FAPESP) will cover up to 100,000 GBP paid to the Brazilian lead institution. For FAPESP co-funded proposals FAPESP will fund up to 72,000 GBP. The UK funding partners will cover up to 72,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 90,000 GBP. FAPESP and FAPESP will fund up to 25,000 GBP which will be matched by 25,000 GBP by the UK funding partners. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side

<p>must be in line with this 80 per cent figure so are expected to be up to 31,000 GBP. FAPES will fund up to 50,000 GBP which will be matched by 50,000 GBP by the UK funding partners. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 62,000 GBP.</p>
<p>Other considerations:</p>
<p>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</p>
<p>Submission process (if requiring additional steps):</p>
<p>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/), FAPEMA (https://www.fapema.br/) and FAPESP (http://www.fapesp.br/). There should be no material changes to the application submitted to FAPEMIG, FAPEMA and FAPESP. Any differences should only be related to translation and meeting requirements of FAPEMIG, FAPEMA and FAPESP application forms.</p>

2. Kenya	
Co-funder:	National Research Fund (NRF), Kenya
Duration of grants:	12 months
Size of grant:	<p>The grant maximum that will be awarded is 100,000 GBP (total project).</p> <p>National Research Fund will cover up to £50,000, paid to the Kenyan lead institution.</p> <p>The UK funding partners will cover up to £50,000 grant paid to the UK lead institution.</p> <p>This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 62,000 GBP full economic cost. Please see p8 for rates for business-led applications.</p>
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> <ul style="list-style-type: none"> a) Kenya Vision 2030: https://vision2030.go.ke/ b) The Big Four Agenda: https://big4.delivery.go.ke/ c) Kenya Research Priorities 2018-2011: https://www.nacosti.go.ke/images/docs/2019/National%20Research%20Priorities.pdf
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:	
<p>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.</p>	
Submission process (if requiring additional steps):	

3. Malaysia	
Co-funder:	Malaysian Industry-Government Group for High Technology (MIGHT)
Duration of grants:	Min 12 months, Max 18 months
Size of grant:	<p>Size of grant: The grant maximum that will be awarded is 150,000 GBP (total project).</p> <p>See below for UK/Malaysian split of funding. Please see p8 for rates for business-led applications.</p>
Areas for impact/ national strategies:	<ul style="list-style-type: none"> Areas where we expect impact to be realised including but not limited to: <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:

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.

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.

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.

The UK partner funders will cover up to £75,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 93,000 GBP full economic cost.

Additional eligibility criteria:

- Capacity building component must be built into the project and no more than 30% of the total grant applied.
 - 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 organisations, marginalised communities, project stakeholders, project beneficiaries and others that are identified by the applicants.
 - 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.

<ul style="list-style-type: none"> ○ 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. • 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 are 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.

4.1 Mexico – National – Call closes: 27 September 2019, 16:00 UK time	
Co-funder:	Consejo Nacional de Ciencia y Tecnología (CONACyT)
Duration of grants:	12 to 24 months.
Size of grant:	<p>Size of grant: Modality 1 – Technology Development. The grant maximum that will be awarded is 400,000 GBP (total project), jointly funded by CONACyT and the Newton Fund on a 50% - 50% basis.</p> <p>See below for further information on UK/Mexican split of funding. Please see p8 for rates for business-led applications.</p> <p>Modality 2 – Science and Humanities. The grant maximum that will be awarded is 200,000 GBP (total project), jointly funded by CONACyT and the Newton Fund on a 50% - 50% basis.</p> <p>See below for further information on UK/Mexican split of funding. Please see p8 for rates for business-led applications.</p>

<p>National priorities:</p>	<p><u>Modality 1 – Technology Development</u></p> <ul style="list-style-type: none"> ✓ Project proposals must aim to deliver innovative solutions; ensuring economic, social and/or environmental impact by implementing technology development projects. ✓ Project outcomes must be useful for the articulation of public policy in the following priority areas: <ul style="list-style-type: none"> ▪ Health ▪ Biotechnology ▪ Sustainable Energy ▪ Environmental Change <p><u>Modality 2 – Science and Humanities</u></p> <ul style="list-style-type: none"> ✓ CONACyT priorities include ensuring economic, social and/or environmental impact in the following areas: <ul style="list-style-type: none"> ▪ Social Sciences: <ul style="list-style-type: none"> - Social inclusion - Migration and Human Rights - Systemic Violence - Democracy - Technological Solutions to Social Issues. ▪ Education: <ul style="list-style-type: none"> - Inclusive Education - Gender Issues - Women in STEM ▪ Sustainable Management of Natural Resources: <ul style="list-style-type: none"> - Coastal and Marine Ecosystems - Terrestrial Ecosystems - Food Production - Water - Waste Disposal and Recycling <p>Projects will have to demonstrate an efficient use of financial, operative and technical resources, and must be aligned with the Mexican science and technology national strategy.</p>
<p>Contractual arrangements:</p>	<p><u>Modality 1 – Technology Development</u></p> <p>CONACyT will sign contract and disburse funding up to 200,000 GBP to Mexican Lead institutions for all projects funded under Impact Scheme. In kind contributions are expected from Mexican eligible institutions (i.e. fixed salaries, use of existing equipment, venues). Please contact CONACyT representatives in Mexico for further details.</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.

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.

The UK partner funders will cover up to 200,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 250,000 GBP UK full economic cost.

Modality 2 – Science and Humanities

CONACyT will sign contract and disburse funding up to 100,000 GBP to Mexican Lead institutions for all projects funded under Impact Scheme. In kind contributions are expected from Mexican eligible institutions (i.e. fixed salaries, use of existing equipment, venues). Please contact CONACyT representatives in Mexico for further details.

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.

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.

The UK funding partners will cover up to 100,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 125,000 GBP UK full economic cost.

Additional eligibility criteria:

- ✓ Eligible Mexican Lead Institutions: Research Centres, Higher Education Institutions, National Health Institutes and other Government Institutions established in Mexico. Mexican for-profit entities are not eligible for this call.
- ✓ Project proposals must comply with CONACyT current regulations:
 - A. Equality and non-discrimination.
 - B. Ecological balance and environmental protection.
 - C. Transparency, accountability, efficiency and effectiveness.
 - D. Social appropriation of knowledge.
- ✓ Additional eligibility criteria for Mexican Institutions participating in energy related projects in modality 1 applies.

Other considerations:

Mexican Lead Institutions must have a valid RENIECYT in force from the day of submission and during the project implementation for those selected proposals.

- ✓ For more information on CONACyT specific requirements for modality 1 proposals, please contact: ayudasustentabilidad@conacyt.mx or dcomercializacion3@conacyt.mx.
- ✓ For more information on CONACyT specific requirements for modality 2 proposals, please contact: maria.rodriquez@conacyt.mx

Submission process (if requiring additional steps):

CONACyT will require additional information to be submitted, please contact CONACyT representatives in Mexico for further details.

4.2 Mexico – Regional - Call closes: 27 September 2019, 16:00 UK time

Co-funder:	<p>A) Red Nacional de Consejos y Organismos Estatales de Ciencia y Tecnología (REDNACECyT)</p> <p>B) Secretaría de Educación, Ciencia, Tecnología e Innovación de la Ciudad de México (SECTEI).</p>
Duration of grants:	12 to 24 months.
Size of grant:	<p>A) Up to 200,000 GBP per collaboration, jointly funded by REDNACECyT and the Newton Fund on a 50% - 50% basis.</p> <p>B) Up to 160,000 GBP per collaboration, jointly funded by SECTEI and the Newton Fund on a 50% - 50% basis.</p>
National priorities:	<p>A) Red Nacional de Consejos y Organismos Estatales de Ciencia y Tecnología (REDNACECyT)</p> <p>REDNACECyT priorities include ensuring economic, social and/or environmental regional impact in the following areas:</p> <ul style="list-style-type: none"> ▪ Industry 4.0 - Smart Manufacturing. ▪ Smart Cities – Internet of Things ▪ Sustainable Mobility ▪ Sustainable Development - Water. ▪ Climate and Environment ▪ Agritech – Biotechnology ▪ Aquaculture. ▪ Food Sciences ▪ Health – Nutrition ▪ Health – Biomedicine, Medical Devices. ▪ Sustainable Energy ▪ Earth Sciences ▪ Innovation – STEM Education, Intellectual Property. <p>✓ Projects will have to demonstrate an efficient use of financial, operative and technical resources, and must be aligned with regional development priorities.</p> <p>B) Secretaría de Educación, Ciencia, Tecnología e Innovación de la Ciudad de México (SECTEI).</p> <p>SECTEI priorities include ensuring economic, social and/or environmental impact in the following areas: Earth Sciences, health, energy, future cities, Agritech, biotechnology, social sciences.</p> <p>✓ The following impact-orientated strategies are considered desirable by SECTEI:</p> <ul style="list-style-type: none"> ▪ Inclusion of local communities in project development.

	<ul style="list-style-type: none"> ▪ 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 problematics under the described priority areas. ✓ 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>A) Red Nacional de Consejos y Organismos Estatales de Ciencia y Tecnología (REDNACECyT)</p> <p>REDNACECyT will sign contract and disburse funding up to 100,000 GBP to Mexican Lead institutions for all projects funded under Impact Scheme. In kind contributions are expected from Mexican eligible institutions (i.e. fixed salaries, use of existing equipment, venues). Please contact REDNACECyT representatives in Mexico for further details.</p> <p>British Council will sign contract and disburse funding up to 100,000 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 100,000 GBP to UK Lead Institutions for the projects that were previously managed by the members of UKRI.</p> <p>The UK partner funders will cover up to 200,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 250,000 GBP UK full economic cost.</p> <p>B) Secretaría de Educación, Ciencia, Tecnología e Innovación de la Ciudad de México (SECTEI).</p> <p>SECTEI will sign contract and disburse funding up to 80,000 GBP to Mexican Lead institutions for all projects funded under Impact Scheme. In kind contributions are expected from Mexican eligible institutions (IE. fixed salaries, use of existing equipment, venues). Please contact SECTEI representatives in Mexico for further details.</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> <p>The UK partner funders will cover up to 80,000 GBP grant paid to the UK lead institution. This is the 80 per cent figure of the full economic costs which should be entered in the UK Newton Fund contribution box. Application costs on the UK side must be in line with this 80 per cent figure so are expected to be up to 100,000 GBP UK full economic cost.</p>	
Additional eligibility criteria:	
NA	

Other considerations:

SECTEI will be funding Mexican Institutions located in Mexico City and REDNACECyT in other states according to specific local priorities. Regional impact-led projects are expected to be funded both by REDNACECyT and SECTEI:

- A) Red Nacional de Consejos y Organismos Estatales de Ciencia y Tecnología (REDNACECyT):
 - ✓ If you consider project implementation will require additional funding in order to be aligned to a specific regional demand in Mexico, or if you have any query regarding REDNACECyT specific requirements, please contact: presidencia@rednacecyt.org
- B) Secretaría de Educación, Ciencia, Tecnología e Innovación de la Ciudad de México (SECTEI):
 - ✓ For more information on SECTEI specific requirements, please contact: juan.diaz@cdmx.gob.mx

Submission process (if requiring additional steps):

REDNACECyT will require additional information to be submitted. Please contact REDNACECyT representatives in Mexico for further details.

SECTEI **no longer require** a separate application to be submitted to them.

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>UKRI:</p> <p>Brazil</p> <p>AHRC - Social Change through Creativity and Culture 2015</p> <p>BBSRC - UK-Brazil Virtual Joint Centres in Agricultural Nitrogen</p> <p>ESRC - Sustainable Urban Development</p> <p>ESRC - Social Science of the Nexus</p> <p>ESRC - Healthy Cities</p> <p>Innovate UK - Bilateral innovation in energy, water and waste competition</p> <p>Innovate UK - Urban innovation in Brazil competition</p> <p>MRC - UK-Brazil May 2015: UK-Brazil Neglected Infectious Diseases Partnership</p> <p>MRC - MRC-CONFAP Call for Health Systems Research Networks</p> <p>MRC - UK-São Paulo/Brazil: Neglected Infectious Diseases Joint Centre Partnerships</p> <p>NERC - Sustainable Gas Futures</p> <p>NERC - Understanding and Sustaining Brazilian Biome Resources</p> <p>NERC - Security of Supply of Mineral Resources - MarineE-tech</p> <p>NERC - Security of Supply of Mineral Resources - SoS RARE</p> <p>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</p> <p>Innovate UK - Sustainable cities innovation challenge competition</p> <p>MRC - UK Malaysia Newton June 2016</p> <p>MRC - UK-Malaysia Joint Health Research Call in Non-Communicable Diseases</p> <p>RCUK - Joint Call Small Scale Research Partnerships with South East Asia (2016 - 2018)</p> <p>Mexico</p> <p>Innovate UK - Collaborative R&D Call</p> <p>RCUK - Newton Mexico Call 2015</p> <p>STFC project - Newton RCUK-CONACYT MUSCAT - a new technology large-format camera for the Large Millimeter Telescope</p>	

<p>STFC project - Newton RCUK-CONACYT Cost-efficient and radiation-tolerant pixel detectors for ionising radiation based on thin-film technology</p> <p>British Academy: Brazil Newton Mobility Grants 2014 Brazil Newton Mobility Grants 2015 Brazil Newton Mobility Grants 2016 - Round 1 Brazil Newton Mobility Grants 2017 - Round 3 Newton International Fellowships (all calls prior to 2018 round 1) Newton Advanced Fellowships (all calls prior to 2018 round 1)</p> <p>Royal Academy of Engineering: Leaders in Innovation Fellowships Newton Research Collaboration Programme</p> <p>Academy of Medical Sciences: Newton International Fellowships (all calls prior to 2018 round 1) Newton Advanced Fellowships (all calls prior to 2018 round 1)</p> <p>Royal Society: Newton International Fellowships (all calls prior to 2018 round 1) Newton Advanced Fellowships (all calls prior to 2018 round 1) Newton Mobility grants (all calls prior to 2018 round 1)</p> <p>British Council: 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. In addition, we will accept applications from ongoing Institutional Links projects with a grant ending before 31 March 2020 (unless specified in Appendix 1).</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</p>	

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

project as described in Section 11 of these Guidelines. Supporting letters are not signed by the Principal Applicants.	
The applicants have included a supporting letter from the former Project Leader – only applicable for applications submitted by former Co-Leaders	
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.	
If there are project partners/associated partners, a letter from each partner has been uploaded as required within a single pdf.	
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.	
CVs have been submitted for the Project Leaders from both countries and any Co-Leaders.	
A gender equality statement has been provided	
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 for capacity building activities 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. 		

Section 4: Proposal	Score	Range
		0-25
<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. 		

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)	<table> <tr> <th data-bbox="1204 571 1369 627">Score</th><th data-bbox="1369 571 1538 627">Range</th></tr> <tr> <td data-bbox="1204 627 1369 676"></td><td data-bbox="1369 627 1538 676">0–60</td></tr> </table>	Score	Range		0–60
Score	Range				
	0–60				

Schedule 6

Reporting Requirements

Schedule 6

Newton Fund Impact Scheme Reporting Requirements

Schedule 6 gives a summary of monitoring and evaluation requirements for Newton Fund Impact Scheme grants Recipients. Researchfish will be used for reporting on the progress and impact of the Project. A financial reporting tool will be issued to applicants by the British Council when we request the first report.

As well as the progress of your proposed research, monitoring and evaluation activities will focus on development relevance and impact. We define development relevance as activities that have the potential to contribute to the economic development and social welfare of Newton Fund countries, benefitting poor and vulnerable populations in these countries. If at any stage the project is not progressing adequately in this area we reserve the right to suspend funding as outlined in Schedule 3 Clause 4.1.1 and Schedule 5.

Reports are due every 6 months, with the first report due by **5 October 2020**. We realise that some of you may only just have started your project and may not have much to report by the time the first report is due, but we would expect all Newton Fund Impact Scheme grant recipients to complete a report of their progress. Payment of any further grant due will depend on the British Council's assessment of your progress reported as well as on approval of accompanying financial reports.

The reporting schedule for your project will be:

First Interim report due: 5 October 2020

Second Interim report due: 5 April 2021

Third Interim report due: 5 October 2021

Final report due: 20 March 2022

Reporting and monitoring will be in two parts:

1. Reporting on your research

For monitoring of the progress, outputs and impact of your research, we are using Researchfish www.researchfish.com as a standard reporting tool. You may already be familiar with this easy-to-use system. **You will be required to respond to the Researchfish Common Outcome Question set and an additional set of questions specific to your British Council Newton Fund Impact Scheme grant.** This is to enable us to monitor progress with activities, and also to measure progress of your research and of Newton Fund Impact Scheme overall against Newton impact measures, in particular, relevance to the economic development and social welfare of partner countries.

In addition to the questions, **the "Partnerships and Collaborations" questions on Researchfish are compulsory.** And of course, in the spirit of Newton Fund Impact Scheme and the Newton Fund, we would expect you to communicate fully with your partner before reporting on the impact of your research on both institutions.

You will receive a reminder every 6 months to update Researchfish. We will then download and assess your data.

The Principal UK Applicant named on your application form will receive a prompt from Researchfish to register an account linked to your project to start this process. Please complete this as soon as possible.

Please note that there is no baseline survey for Newton Fund Impact Scheme.

2. Financial reporting

We will request a financial report at the same time as the progress report. For financial reporting, we will issue a British Council spreadsheet for you to update throughout the period of your project. You need to fill in your original budget (from Schedule 4 of your grant agreement) and then report against this every 6 months. You may choose to update this as your project progresses rather than waiting for a prompt from us, and then submit it when requested.

Financial reports must be supported by invoices, receipts or other standard documentation for all items over £500, including staff time spent on the Newton Fund Impact Scheme Links. This could include time-sheets, contracts or bank statements, or a download with explanation of the institutional system. In addition, we will conduct detailed desk checks on around 10% of grants, chosen at random. If you are chosen for one of these checks, we will request supporting documentation for all expenditure.

As outlined in the Grant Agreement, Schedule 3 Clause 11, you may also be subject to full audits by the British Council or third parties. Please note that assessment of your financial report could also result in a recovery of the grant, eg. due to unapproved spend on items, underspend of the grant, etc. Grants cannot be carried forward past the end date named in your grant agreement.

Schedule 7

Bank Details Form

Schedule 7

Bank Details Form

Please attach your organisation's letter-head above

Bank detail form – text boxes will automatically expand as you type in the details. **Guidance notes on next page**

Organisation or applicant full name

Organisation or applicant registered address

Bank account holder's name

Bank & Branch Name

Bank Branch Address

Bank Branch Postcode

Account Number

Sort code (UK)

Swift/International BIC Code

IBAN Number

Fedwire/ABA Routing Number
(for USA banks only)

Registered VAT number (if applicable)

Company registration number (if applicable)

The British Council will pay in **payment currency agreed by BC**

Confirm the account specified will accept payments in the currency above ☐ confirmed

Routing Bank Information: If the payment requires to be redirected via a routing bank please provide the routing information below. The following information must be provided if the IBAN / SWIFT numbers do not correspond with your bank account number and sort code details.

Routing bank & branch name

Routing Account number:

Routing Bank & Branch Code /
Sort code (UK)

Routing IBAN Number

Routing Swift/International BIC
Code

Other routing code

Your details

I confirm that the details provided above are full and accurate. Missing or incorrect information may result in attempted payments made by the British Council being returned from your bank as unsuccessful. The British Council will accept no responsibility for any delays or loss that occurs as a result.

Name

Position

Signature

Date

Person to contact for payment queries and notification of payment

Name

Position

Email address

Tel. no

Please ensure that you provide accurate information especially for payment made in other currency than GBP. Missing or incorrect information may result in attempted payments made by the British Council being returned from your bank as unsuccessful. The British Council will accept no responsibility for any delays or loss that occurs as a result.



Bank Details Help Guide

To enable us to make payment to you, you must be set up on our SAP system, for which we need your full bank details. You will be assigned a unique vendor number on the SAP system, which should be quoted on all invoices/payment queries. Please complete this form electronically. Either paste the completed form onto your electronic letterhead and e-mail in a PDF format to your contact at the British Council or print it out on your own letterhead and return the form. We recommend that you keep a copy of this form for your own records.

If you do not have letterhead, please sign below as authorisation that the information you have given is correct and return to British Council. Should the bank details change, please notify your British Council contact immediately.

Organisation or Applicant full name	Your full name or your organisations full name
Organisation or Applicant registered address	The address your organisation is registered in. Do not need to fill in if form is on a letterhead.
Account holder's name	The name the bank account is registered in
Bank & Branch Name	The name and branch of your bank
Bank Branch Address	The address of the branch holding your account.
Bank Branch Postcode	Branch Postcode
Account Number	For the UK this consists of 8 numbers but the number can vary if the account is held in other countries.
Sort code (UK)	UK accounts
Swift/International BIC Code	Please provide a bank and branch specific Swift code.
IBAN Number	Required for banks in <u>IBAN countries</u>
Fedwire/ABA Routing Number (for USA banks only)	Only required for USA banks
Registered VAT number	Your organisation's registered VAT number
Company registration number (if applicable)	Your organisation's company's house registration number
The British Council will pay in payment currency agreed by	The currency the British Council agreed to make payments to you. This should be specified in our contract with you.
If the payment requires to be redirected via a routing bank please provide the routing information below. The following information must be provided if the IBAN / SWIFT numbers do not correspond with your bank account number and sort code details.	
Routing Bank & branch name	The name of the bank and branch the payment is routed through. This will be different to the bank you hold your account.
Routing Account number:	This is usually different from your account number. For the UK this consists of 8 numbers but the number can vary if the account is held in other countries.
Routing Bank & Branch Code / Sort code (UK)	This is usually different from your local bank and branch identifier code, (this would be the <i>sort code</i> in the UK).
Routing IBAN Number	Required for IBAN countries (see above)
Routing Swift/International BIC Code / ABA Routing Number	Routing bank and branch specific Swift code. Some banks in the USA do not have a Swift code. In this case provide equivalent number / code.
Other routing code	Australia / New Zealand / South Africa

Schedule 8

Newton Fund Brand Identity Guidelines

As a Newton Fund grant recipient we would encourage you to use British Council and Newton Fund branding across any related materials. Our communication and brand guidelines will show you how to describe the Newton Fund, its relationship with the British Council and you and provide standard messaging you can use in your materials and communications. The document also provides guidance on how you can use the British Council and Newton Fund logos. Please use the link below to download the guidelines:

https://www.britishcouncil.org/sites/default/files/k143_newton_fund_grant_recipients_guidelines_v2.pdf

Key requirements:

1. Press releases

Press releases in relation to your Newton Fund project must be checked and approved by the British Council and Newton Fund communication teams. Please ensure that draft releases are shared with us at least five working days before issue, whenever possible. You will find contact details of our British Council communications team in the guidelines document. We would be grateful if you could make your University's communications and Press Team aware of these requirements.

2. Logos

Please note that you are required to incorporate the Newton Fund logo and the British Council logo in all marketing materials. Details of where to find the logos and how to position them correctly can be found in the guidelines

https://www.britishcouncil.org/sites/default/files/k143_newton_fund_grant_recipients_guidelines_v2.pdf

Before publishing British Council and Newton Fund messaging or using our logos, please contact brand@britishcouncil.org for sign-off.

3. Acknowledgement of BEIS and British Council

Please ensure that you acknowledge the award of the grant by the British Council and the Newton Fund in any communication. We recommend that you use the wording below:

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