

## **UK-Chile Call for Proposals Newton RCUK-CONICYT Broadening Impact Call 2017**

### **Application Guidance**

#### **Contents**

1. Introduction .....	2
2. Eligibility .....	2
2.1 Eligibility Criteria for the UK applicant .....	2
2.2 Eligibility criteria for the Chilean applicant .....	3
2.3 Eligibility criteria for the Latin American DAC list country Co-I .....	3
2.4 Official Development Assistance (ODA) compliance .....	4
2.5 Trilateral/multilateral partnerships .....	4
3. Funding Available .....	4
4. Application Process .....	6
4.1 Intention to Submit .....	6
4.2 Application deadline .....	6
4.3 Submitting your full stage application .....	6
5. Using the Joint electronic-Submission System (Je-S) .....	7
6. Application attachments .....	7
7. Joint Case for Support .....	8
8. Justification of Resources .....	8
9. Pathways to Impact .....	9
10. ODA Compliance Statement .....	9
11. Data Management plan .....	10
12. Chilean costs proforma .....	11
13. CVs (including publications) .....	11
14. Chilean Institution Letter of Support .....	11
15. Project Partner letter of support .....	11
16. Head of department statement .....	11
17. Summary in Spanish .....	12
18. Completing your Je-S Form .....	12

18.1 Project details .....	12
18.2 Investigators.....	12
18.3 Resources .....	14
18.4 Project partners .....	16
18.5 Other support .....	16
18.6 Human Participation .....	16
18.7 Animal Research.....	16
18.8 Ethical Implications .....	17
18.9 Approvals .....	18
18.10 Proposal classifications .....	18
19. Proposal Cover Letter.....	18
20. Assessment Process and Criteria .....	18
21. Post Award .....	18
22. Contact information.....	18
Attachment check list: .....	20

## 1. Introduction

Researchers in the UK, Chile, and if relevant, other Latin American countries, are responsible for developing their own collaborations, and must work together to create joint research proposals. One joint application, written in **English**, must be submitted by the UK lead Research Organisation to RCUK via the relevant lead remit council's Joint Electronic Submission system (Je-S) <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>.

**It is not a requirement for applications to involve partners from other Latin American Development Assistance Committee (DAC) list countries, but this is encouraged. Both UK-Chile bilateral applications and multilateral applications must be able to show how their research is ODA compliant by demonstrating that the primary purpose of their research is the promotion of the economic development and welfare of developing countries outside of Chile.**

All projects will have a Principal Investigator (PI) based at a UK Research Organisation (RO) and a PI based at a Chilean RO. Although the Chilean and UK PIs should be developing the proposal and running the project on equal terms, the Chilean PI should be entered as a Co-Investigator (Co-I) in Je-S. This wording is just an administrative requirement of our systems.

**Where information and guidance issued in this document differs from the general guidance offered in these sources; you should adhere to the guidance in this document.**

## 2. Eligibility

### 2.1 Eligibility Criteria for the UK applicant

For support under this call, applicants must be eligible to apply for funding from their respective Research Council and must abide by the RCUK and individual Research Councils' terms and conditions. **Please note that the UK PI must be eligible to apply to the lead remit council according**

**to the relevant Research Council’s eligibility guidance.** For this call you must submit via the Je-S system to either BBSRC, EPSRC, ESRC, NERC or STFC. Please see links below. **Multidisciplinary participation is encouraged, but applicants must submit to one of these five councils as the lead remit council.** You should make the decision of which council to apply to based on the councils’ remits. Please contact RCUK if you are unsure.

All RCUK eligible UK RO’s and Independent Research Organisations (IROs) are eligible to apply for this call. Please see full list of eligible IROs [here](#).

[Biotechnology and Biological Sciences Research Council \(BBSRC\)](#)

[Engineering and Physical Sciences Research Council \(EPSRC\)](#)

[Economic and Social Research Council \(ESRC\)](#)

[Natural Environment Research Council \(NERC\)](#)

[Science and Technology Facilities Council \(STFC\)](#)

<b>PI eligibility</b>	<b>Co-I eligibility</b>
Must be based at: <ul style="list-style-type: none"> <li>▪ A UK RO eligible to apply to the Research Councils</li> </ul>	Can be based at: <ul style="list-style-type: none"> <li>▪ A UK RO eligible to apply to the Research Councils</li> <li>▪ A Chilean RO eligible to apply to CONICYT</li> <li>▪ A Latin American DAC list country RO</li> </ul>

## 2.2 Eligibility criteria for the Chilean applicant

Applicants to this call should be researchers residing in Chile, with experience in the areas of the call, who are sponsored by one or more Chilean public or private non-profit institutions, dedicated to scientific research and the development of the areas of this call. Please refer to the call text (available on [www.conicyt.cl/fondef](http://www.conicyt.cl/fondef)) issued by CONICYT for the individual eligibility criteria. For eligibility queries please contact Khaled Awad [kawad@conicyt.cl](mailto:kawad@conicyt.cl).

## 2.3 Eligibility criteria for the Latin American DAC list country Co-I

In order to be considered eligible, a Latin American DAC list country Co-I needs to have suitable academic experience (i.e. someone holding a PhD or equivalent qualification or experience) and be based at an established research organisation with significant research capacity. This organisation should be of comparable status and standing to a UK organisation which is eligible for UK Research Council funding, for example, a publicly funded university or a ‘not-for-profit’ research institution with a track record and distinctive research capacity and capability and distinctive research capacity in areas relevant to the proposed research. If a Latin American DAC list country Co-I is on the proposal, a Co-I statement from the Co-I’s Head of Department must be attached to the proposal. Please see attachments section for more information.

International ROs must have the necessary research capacity and capability to support the conduct of the specified research. It is the PI’s responsibility to articulate in the proposal the added value that a Latin American DAC list country Co-I will bring to the overall leadership of the research and their role in the management of the project, as well as the relevant research experience and expertise that they will bring to the project team. It is the responsibility of the UK RO to check that the Latin American DAC list country Co-I’s organisation is an appropriate organisation to receive and has systems in place to manage the funding provided. The RO will also need assurance that appropriate agreements are put in place for the delivery of the overseas activities funded under the grant. RCUK

will not be able to provide any additional assurance to ROs about overseas partners, but may by exception undertake additional checks or seek further information from ROs.

Latin American DAC list country Co-Is will not be permitted to take over as lead researcher (i.e. Principle Investigator) should the UK Principal Investigator step down for any reason.

Please note that before applying, a Latin American DAC list country Co-I must have an active Je-S account.

#### **2.4 Official Development Assistance (ODA) compliance**

The Newton Fund forms part of the UK's Official Development Assistance (ODA) commitment which is monitored by the Organisation for Economic Cooperation and Development (OECD). ODA funded activity focuses on outcomes that promote the long-term sustainable growth of countries on the [OECD Development Assistance Committee](#). Newton Fund countries represent a sub-set of this list.

The Fund forms part of the UK's Official Development Assistance (ODA) commitment which is monitored by the Organisation for Economic Cooperation and Development (OECD). ODA funded activity focuses on outcomes that promote the long-term sustainable growth of countries on the OECD Development Assistance Committee list. Newton Fund countries represent a sub-set of this list.

Due to Chile's graduation from the DAC list this year, and as a condition of the Newton Fund, **the projects should focus on the application of Chilean and UK expertise to address wider global development challenges. The outputs of the research must be transferable to other DAC list countries. Applicants must submit an ODA compliance statement as part of their application.** All applications under this call must be compliant with the ODA guidelines.

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

#### **2.5 Trilateral/multilateral partnerships**

The initiative is aimed at developing research partnerships between the UK and Chile, but may include other Latin American DAC list countries. Funds from the RCUK side of the budget can be used to cover the costs of participation of other Latin American DAC list countries.

While it is not a requirement for applications to involve partners from other Latin American DAC list countries, it is encouraged. **Both UK-Chile bilateral applications and multilateral applications must be able to show how their research is ODA compliant by demonstrating that the primary purpose of their research is the promotion of the economic development and welfare of developing countries outside of Chile.**

**If you have queries please contact [RCUKNewtonFundenquiries@rcuk.ac.uk](mailto:RCUKNewtonFundenquiries@rcuk.ac.uk)**

### **3. Funding Available**

RCUK will provide up to £1m funding with an overall limit of £400,000- £500,000 per grant on the UK side. If successful, the UK Research Councils will meet 80 per cent of the full economic costs for the UK costs on proposals submitted and the host institution is expected to support the remaining 20 per cent. RCUK will provide 100% of eligible costs for the Latin American DAC Country costs.

CONICYT will provide up to £500,000 of funding for this call, of up to \$150,000,000 CLP (approximately £178,000) per grant on the Chilean side. If successful, CONICYT will meet 80% of the costs of awards, in line with their normal procedures.

RCUK-funded costs of each project will be provided via a grant issued to the RO of the UK PI and managed by the relevant Research Council, according to the remit of the research proposal, in accordance with their normal research funding guidelines and procedures.

CONICYT-funded costs of each project will be provided via a grant issued and managed by CONICYT in accordance with its normal guidelines. Please refer to the Chilean call text available at [www.conicyt.cl/fondef](http://www.conicyt.cl/fondef)

The following are eligible UK costs to be covered by RCUK (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.

The following are eligible costs for participants from other Latin American DAC list countries to be covered by RCUK (at 100%):

- We would not normally expect to see applications that include salary costs. However, we would allow it in some circumstances, for example:
  - Where a Co-I is paid term-time only, and is expected to supplement their income for the rest of the year.
  - Where a Co-I is required to secure external funding in order to conduct research.
  - Where the Co-I's university agrees to free up teaching time for him/her, provided s/he can secure funding for replacement teaching.
- 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).

Please note that estates and indirect costs for other Latin American DAC list countries are not eligible. However you may apply for all costs associated with supporting the international participant in conducting the research. Please see eligible costs listed above.

The following are eligible costs to be covered by CONICYT (at 80%):

- Staff costs (including salaries and professional fees). Please note Principal and Co-I's who are contracted by the Beneficiary RO and who receive a salary from this RO could receive incentives from CONICYT.
- Other research costs (including equipment and consumables).
- Travel and subsistence for exchange/mobility activities (including cost of workshops, meetings etc).
- Estates and indirect costs.

Please see the resources section below to see how to record these costs in the Je-S form.

## 4. Application Process

### 4.1 Intention to Submit

To identify and convene assessment panels in advance, it is important that researchers indicate their intention to submit a proposal. You must complete the Intention to Submit form and submit it via Smart Survey by **16:00 BST (11:00am CLT) Friday 18<sup>th</sup> August 2017**. Please access the Smart Survey form [here](#). **Please note if you do not submit an Intention to Submit form by the deadline you will not be allowed to apply at full stage.**

This form will be used to identify assessors for your application. It is not intended to assess or comment on the eligibility of a proposal, applicant or research office, and should not affect or delay the creation and completion of your proposal on the Je-S system. You will be contacted to confirm the lead council and you will be informed if your application is deemed to not meet ODA compliance. Please note if you are not informed this does not guarantee ODA compliance for full stage.

It is advised that you begin creating your project in the Je-S system as soon as possible. This will ensure that you have enough time for the proposal to go through your Research Office before final submission. Chilean and other Latin American applicants who wish to be listed as Co-Is are encouraged to set up a Je-S account in advance of the call opening, to speed up the process.

### 4.2 Application deadline

The deadline for full stage applications is **16:00 BST (11:00 am CLT) Tuesday 3<sup>rd</sup> October 2017**.

Applications to this call must be made through the relevant lead remit council's RCUK Joint electronic-Submissions system (Je-S). The URL for the Je-S application system is: <https://je-s.rcuk.ac.uk/>.

The application process is hosted by RCUK on behalf of CONICYT. After the application deadline RCUK will share the applications submitted with CONICYT.

### 4.3 Submitting your full stage application

To submit your full stage proposal, the UK Research Organisation must be registered for Je-S, and the applicants must hold Je-S accounts. Further information and guidance is available in the [Je-S helptext](#).

After all mandatory sections of your proposal have been completed, the submit button will appear across the top menu bar. Please ensure that you have **completed all attachments** that are a **mandatory requirement to be completed for this specific call**.

The submit button will route your finalised proposal to the authorising facility within your research organisation. Please note this further layer of administration may include both an approver and submitter pool (i.e. central Grants Admin office). You can check where your application is in the process by viewing the submission pathway under the document actions tab in Je-S. **Please allow sufficient time for completion of the RO's submission checks and authorisation.**

**The Je-S System will not allow proposals to be submitted after 16:00 BST (11:00am CLT) Tuesday 3<sup>rd</sup> October 2017. The Research Councils cannot accept responsibility for any delay which may**

**occur as a consequence.** We strongly advise applicants to secure confirmation from their relevant administrator that the proposal has been successfully submitted via Je-S in good time before the call closes.

When the Research Organisation submits the proposal to the Research Council you will receive an email confirming submission by the Research Organisation. The document status will also change to 'with council- in progress'.

## 5. Using the Joint electronic-Submission System (Je-S)

Please log in to your Je-S account via <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>, using the username and password you have chosen (if you do not have a Je-S account, or have forgotten your password, please see the guidance provided further below).

- Select '**Documents**' from left hand menu list from your Je-S account home page
- Select '**New Document**' from within the Functions/create section of your documents page

Creating your Je-S application:

This RCUK funding call closes at **16:00 BST (11:00am CLT) Tuesday 3<sup>rd</sup> October 2017.**

- Select Council: **Relevant remit council (to be identified by applicant)**
- Select Document Type: **Standard Proposal**
- Select Scheme: **RCUK**
- Select Call/Type/Mode: **Please select the correct call based on the relevant remit council from the list below:**

Newton RCUK-CONICYT Broadening Impact Call 2017 (EPSRC)  
Newton RCUK-CONICYT Broadening Impact Call 2017 (STFC)  
Newton RCUK-CONICYT Broadening Impact Call 2017 (ESRC)  
Newton RCUK-CONICYT Broadening Impact Call 2017 (NERC)  
Newton RCUK-CONICYT Broadening Impact Call 2017 (BBSRC)

- Select '**Create Document**' option

New Je-S Users: In order to gain access to the Je-S System, please [Create an Account](#).

If you have a Je-S account but have forgotten your login details use the option on the login page: [Retrieve User Name / Password](#).

**Please telephone Je-S Helpdesk 01793 444164 should you require any assistance with the Je-S System.**

It is the applicant's responsibility to ensure that the proposal is created and submitted against the correct call (and consequently correct scheme). **Please do not select any other Newton Fund call. We will not accept proposals for processing that are not submitted using the above call route.**

## 6. Application attachments

It is important that applicants **only submit the supporting attachments specified in this document.**

**Please note all attachments must be submitted in a minimum font type of Arial (or other Sans Serif font) 11 point, with margins of at least 2cm (apart from Chilean costs proforma, Chilean Institution Letter of Support and the summary in Spanish).**

It is recommended that attachments are uploaded in PDF (rather than Word) format, to ensure unsupported font type issues do not cause problems with maximum length requirements, please see Je-S guidance; <https://je-s.rcuk.ac.uk/Handbook/pages/SystemRequirementsFormatsandSa/SystemRequirementsFormatsandSa.htm>.

The following are mandatory Je-S attachments for this call:

- [Je-S proposal form \(This will be automatically created when you start an application\)](#)
- [Joint Case for Support \(please complete the template on the webpage. Fifteen A4 pages maximum\)](#)
- [Joint Justification of Resources \(please complete the template, two A4 pages maximum per country\)](#)
- [Pathways to Impact \(two A4 pages maximum\)](#)
- [ODA compliance statement \(one A4 page maximum\)](#)
- [Data Management Plan \(three A4 pages maximum\)](#)
- [Chilean costs proforma \(please complete the template on the webpage\)](#)
- [CVs \(including publications\) for Principal and Co-Is \(three A4 pages maximum each\)](#)
- [Chilean Institution Letters of support \(two A4 pages maximum\)](#)
- [Project partner letters of support \(two A4 pages maximum\)](#)
- [Head of department statement \(two pages A4 maximum\)](#)
- [Summary in Spanish \(one page A4 maximum\)](#)

Optional:

- [Proposal Cover Letter \(two A4 pages maximum\)](#)

**Important note:** If you are unclear about whether you can include a specific attachment please contact [RCUKNewtonFundenquiries@rcuk.ac.uk](mailto:RCUKNewtonFundenquiries@rcuk.ac.uk) for advice, as unrequested attachments can hinder the processing of your application. The Research Councils and CONICYT reserve the right to return or reject applications that include attachments not permitted on this call.

## **7. Joint Case for Support (please complete the template, Arial or other Sans Serif font, 11)**

This is the body of your research proposal; applicants must complete the Case for Support template and submit it as “Case for Support” attachment.

The overall page length of fifteen pages must not be exceeded

## **8. Justification of Resources (please complete the template, Arial or other Sans Serif font, 11)**

This is a statement justifying that the resources requested are appropriate to undertake the research project. It should not exceed two A4 pages per country.

**You must complete one [Justification of Resources \(JOR\)](#) template; justifying the UK, Chilean and other Latin American DAC country costs** and attach it to your application as a “Justification of Resources” attachment. The JOR must contain a breakdown of the costs requested for this funding scheme by each partner taking into account the requirements outlined under the [Funding Available](#) section of this document. Please add an additional table for each additional Latin American DAC list country.



The JOR should explain why the resources requested are appropriate for the research proposed, taking into account the nature and complexity of the research proposal. It should not be simply a list of the resources required, as this is already given in the Je-S form and the [Chilean costs proforma](#) and other Latin American country costs proformas. Where you do not provide explanation for an item that requires justification, it may be cut from any grant made.

Please refer to the joint Research Council [Je-S helptext](#) for further guidance.

### **9. Pathways to Impact (maximum of two sides of A4, Arial or other Sans Serif font, 11)**

While the Impact Summary section of the Je-S form is for applicants to explain who will benefit from the research and how, the Pathways to Impact attachment should be used to explain what will be undertaken by the applicant to ensure opportunities for users to benefit from the research, and opportunities for achieving economic and societal impact, are maximised.

The Pathways to Impact is your opportunity to describe how the potential impacts of your research will be realised. This attachment is specific to users and beneficiaries of the research who are outside of the academic research community including, for instance, the public sector, private sector, civil society or the wider public in general. User communities for Research Council research may include bodies and individuals from industry, charities, universities, local authorities and other public bodies, government departments and independent policy bodies.

Potential academic beneficiaries of your work and pathways towards achieving academic impact should not be detailed in this attachment but in the 'Academic Beneficiaries' section of the Je-S form and the 'Case for Support' as appropriate.

In describing plans to maximise impact, applicants should consider what is achievable and expected for research of this nature. Impact can take many forms, manifest at different stages in the research process, and be promoted in different ways. It may be helpful to consider impact in respect of the short term (during the currency of the grant), medium term (up to one year afterwards), and the long term.

Please detail how the proposed research project will be managed to engage users and beneficiaries and increase the likelihood of impacts.

This must be a maximum of 2 pages and submitted as a "Pathways to Impact" attachment.

### **10. ODA Compliance Statement (one A4 page, Arial or other Sans Serif font, 11)**

Please provide a statement explaining how your proposed research is compliant with Official Development Assistance (ODA) guidelines. **The projects should focus on the application of Chilean and UK expertise to address wider global development challenges. The outputs of the research must be transferable to other DAC list countries.**

**Within the statement, you should answer the following questions:**

**1. Which country/ countries on the DAC list will directly benefit from this proposal and are these countries likely to continue to be ODA eligible for the duration of the research?**

**2. How is your proposal directly and primarily relevant to the development challenges of these countries?**

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

For more information on ODA please refer to the <http://www.newtonfund.ac.uk/about/what-is-oda/> and RCUK Newton Fund Guidance.

## **11. Data Management plan (maximum of three sides of A4, Arial or other Sans Serif font, 11)**

All applicants submitting a proposal to a Newton Funded scheme MUST include a Data Management Plan as an attachment to their Je-S application.

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 developing countries. Any additional impacts that benefit the UK and Chile 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 [the Research Councils' 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 Case for Support and should not be included in the data sharing statement.

The NERC Data Policy must be adhered to, and an outline data management plan produced as part of proposal development. NERC will pay the data centre directly on behalf of the programme for archival and curation services, but applicants should ensure they request sufficient resource to cover preparation of data for archiving by the research team.

This must be a maximum of 3 pages and submitted as a “data management plan” attachment.

## **12. Chilean costs proforma**

Please complete the [Chilean costs proforma template](#), please ensure you complete all tabs in the spreadsheet. Please note Principal and Co-I’s who are contracted by the Beneficiary RO and who receive a salary from this RO could receive incentives from CONICYT. This document should be converted to a PDF before uploading. This should be attached as a ‘Non-UK components’ attachment in Je-S.

If you are including participants from another country you do not need to submit another costs proforma. These costs should be captured in the Je-S proposal form.

## **13. CVs (including publications) (maximum of three sides of A4 per applicant, Arial or other Sans Serif font, 11)**

A CV for each PI and Co-I 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.

## **14. Chilean Institution Letter of Support (Please use template)**

Please include letters of support from the Chilean institutions involved in the project, please complete the [Chilean Institution Letter of Support Template](#). These should be a maximum of two sides and submitted as a “letter of support” attachment. **Please note CONICYT reserves the right to reject any applications which do not submit a Chilean Institution Letter of Support.** Letters of support are not required from the UK ROs.

## **15. Project Partner letter of support (maximum of two sides of A4 per project partner)**

- Organisations entered on the Je-S form as ‘Project Partners’. A Project Partner is an organisation which contributes in cash or in kind to the project but which is not requesting any money.
- These must be a maximum of two sides and uploaded as a “Project Partner Letter of Support” attachment.

**This letter should be signed and dated within six months of the proposal submission.**

## **16. Head of department statement (maximum two sides of A4, Arial or other Sans Serif font, 11)**

If your proposal includes a Latin American DAC list country Co-I, their institution must submit a Head of Department Statement. This statement must include the following information:

- What the international Co-I is bringing to the project and why they are best placed to conduct the research
- How they will deliver the project's objectives

- How their institution will support them during the lifetime of the project
- Assurances that their contract will be in place for the duration of the project

This must be a maximum of two sides of A4 and attached as a Head of department Statement

### 17. Summary in Spanish (maximum of one side of A4)

Please provide an application summary translated into Spanish. This can be the same as the Je-S summary but must be written in Spanish. This should be a maximum of one side and uploaded as a “Non-UK components” attachment.

### 18. Completing your Je-S Form

Please complete the full Je-S form. [The initial Je-S document instructions](#) page will give you general guidance on the navigation layout, specifically icon descriptions. The left hand column ‘Document Menu’ lists all the sections associated with this call and clearly identifies which ones are mandatory (red cross, turning to green tick when completed). The details below are not an exhaustive step-by-step guidance, and we recommend that you refer to the [Je-S helptext](#) for additional information.

Please note you may return to edit saved documents at any time.

#### 18.1 Project details

- Select organisation and department from drop down lists
- ‘Your Reference’ should be supplied by your research organisation (consult your Research Office). If your administration office does not have a system for referencing grant proposals, a suitable reference of your own choice will be acceptable. Use "Your reference" to help distinguish easily between proposals in users’ Current Documents lists. The reference is intended to be a unique identifier for the proposal, and is unrelated to the reference that the organisation would be asked to provide if a grant were awarded.
- Enter ‘Project Title’ (maximum limit of 150 characters)
- For ‘Proposal Call’, select ‘Newton RCUK-CONICYT Broadening Impact Call 2017’ followed by the relevant remit council in brackets. Please note that the option will be pre-populated if creating the document as per the instructions under section 6 above.
- **Your start date should be before 14th May 2018. The grant must end by the 31st March 2021.** Please ensure that you inform the relevant support staff in your organisation of this requirement to ensure the project starts on time.

#### 18.2 Investigators

Select the name of the PI (PI) and any Co-Is (Co-Is).

Investigators may be from more than one Research Organisation. The PIs will take intellectual leadership of the project and manage the research. The UK PI will be the contact person for Research Council correspondence. All named investigators are responsible for ensuring that successful proposals are undertaken and completed in the manner specified.

Please note that it is mandatory that you answer positively to the question ‘Post will outlast project?’ To clarify, there is an expectation that the UK PI’s post will be in place for the duration of the project.

Applicants should note that all Co-Is (UK, Chilean and other Latin American DAC list country) will need to have an active Je-S account before they can be added to the Je-S Proposal form, so please allow plenty of time to complete this step before the closing date of the call.

Easy instructions to register are available here <https://je-s.rcuk.ac.uk/Handbook/pages/SettingupaJeSaccount/SettingupaJeSaccount.htm> For help with using Je-S please contact the Je-S helpdesk:

Email: [JeSHelp@rcuk.ac.uk](mailto:JeSHelp@rcuk.ac.uk)

Phone: +44 (0)1793 444164

Je-S website: <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>

The Je-S form only allows there to be one PI on a grant. Although in reality grants under this call will have multiple PIs: one from the UK, one from Chile and potentially one from each Latin American DAC list country, for the purposes of completing the Je-S form, please enter the UK PI on to the system as the PI. Please add the Chilean PI on to the Je-S form as a Co-I, as well as any other UK, Chilean or other country Co-Is.

Please add all Chilean (and other Latin American country ) Co-Is on to the form as below:

**From the document menu select Co-I option.**

### Select Add New Co-I Item



- Choose the Select option (Je-S Person Search pop-up window appears). Search for and select the Co-I from the search results. **Please note:** Uncheck the tick box so you search for people outside of the lead organisation.
- Select Yes option
- Indicate the total number of hours the Chilean Co-I will be working on the project. Please note; must be a minimum of 1.
- Cost Type (defaults to Directly Allocated), leave as DA.
- Indicate 1 as the salary rate. **Please note** if the Co-I wishes to indicate their annual salary then this should be **converted to sterling**.
- Contracted Hours per week E.G. if the Co-I's overseas institution contract is fulltime then they should indicate 100. If they have a part-time contract at their RO, please indicate the appropriate % depending on their actual contract.
- Number of hours charged should be 0 (zero).
- h) Select the calculate button (cost estimate will be 0). All the costs associated with the Chilean PI and Co-Is will be recorded on the Chilean costs proforma instead.**
- Select the 'Save' to save the information. Section should then validate (green tick instead of red circle with cross).

**You should add Co-Is from other Latin American DAC list countries in the same way. Their costs can then be added in the Je-S form under exceptions, so that they will be paid at 100%.**

### 18.3 Resources

Within the Je-S form, please enter the costs to be incurred by the **UK Research Organisation and Research Organisations in other Latin American DAC list countries**. Please do **NOT** include those to be incurred by the Chilean Research Organisation. These should be listed in the [Chilean costs proforma](#).

**All resources requested for Chile, other Latin American countries and the UK must still be fully justified in the Justification for Resources.**

UK Research Councils will pay the UK component of the award directly to the lead UK Organisation, which where necessary will be responsible for disbursing the funds to other UK and Latin American DAC country Co-Is. **Please note that RCUK will pay the costs for the other Latin American DAC country Co-Is directly to the UK Research Organisation, quarterly in arrears. It is then the UK Research Organisation's responsibility to transfer the funding to the other Latin American DAC list country Research Organisation(s).**

CONICYT will pay the approved projects according to their regular procedure.

Publication costs are no longer awarded and should not form part of your application. This is in line with RCUK terms and conditions. These costs are available from your Research Organisation via the block grant they receive for Publication costs.

#### **Staff costs**

If your project requires staff other than the team of investigators, their details should be entered here. '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).

**Please note:** Time allocation for **Chilean Co-Is** must be entered under the normal Co-I screen and select Directly Allocated as the funding option but the salary rate should be entered as zero. Please see section 19.2 Investigators above for more information.

#### **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 in the 'Destination and Purpose' box.

#### **Equipment costs**

Individual items costing £10,000 or more are not eligible under this call.

#### **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 in your Justification of Resources.

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. Your Research Office will be able to assist with this section.

### **Exception costs**

Exceptional costs should only be used to include costs for participants from other Latin American DAC list countries. Please see section 3 above. If applicants feel any other exception costs are essential they should email [RCUKNewtonFundenquiries@rcuk.ac.uk](mailto:RCUKNewtonFundenquiries@rcuk.ac.uk) in the first instance, explaining the cost and why it is essential to the success of the proposal.

### **NERC 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 NERC S&F 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.

Prior to submitting a proposal, applicants wishing to use a NERC service or facility must contact the facility to seek agreement that they could provide the service required. Applicants wishing to use a NERC facility will need to submit a mandatory 'technical assessment' with their proposal. For NERC, this means a quote for the work which the facility will provide. A full list of the Facilities requiring this quote can be found here on the NERC website. The costs for the service or facility must be included within the Directly Incurred Other Costs section of the Je-S form and also within the facilities section of the Je-S form. Further information on NERC services and facilities can be found on the NERC website.

### **STFC Facilities**

For projects involving STFC facilities eligible funding includes staff costs, consumables, travel & subsistence and small items of equipment. These must be less than £10,000 per item and costed under the 'Other Costs' heading.

### **BBSRC Facilities**

Please refer to section 2.34 of the BBSRC grants guide for details around applications requiring access to BBSRC facilities. For proposals that require access to High Performance Computing facilities at the University of Edinburgh (ARCHER) and the Earlham Institute, a Technical Assessment Form of attachment type "Facility Form" must also be uploaded with the application. Please ensure you specify clearly in the 'Other DA Costs' description field if you are requesting the use of any BBSRC facilities.

#### **18.4 Project partners**

If you have secured a commitment from another organisation or funding body (other than the country partner) to provide additional resources for this project, the details of that support should be entered here. A Project Partner letter of support from each partner organisation confirming the level of support specific to this proposal must be included as an attachment via this section. Please see section above on Project Partner Letter of Support.

#### **18.5 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. Contributions from project partners should not be entered here - they should be detailed in the project partners section.

#### **18.6 Human Participation**

The Research Organisation is responsible for managing and monitoring the conduct of medical and health research in a manner consistent with the [Department of Health's Research Governance Framework for Health and Social Care](#). 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.

Guidance by the [MRC on the conduct of medical research](#), and by [ESRC on the conduct of social science research](#), provided on behalf of all Research Councils, must be observed. In particular, for research involving humans to take place overseas is that for research to be undertaken internationally, both local and UK ethical approval is required.

All research involving human participants must be undertaken in accordance with relevant policies and guidance and recorded on the Je-S form. Researchers should ensure equivalent up-to-date information relevant to ethical and legislative requirements in Chile or another country is determined and addressed in any application. For clinical studies involving human participants and/or patients in the UK or overseas, appropriate consent must be obtained.

Significant developments must be assessed as the research proceeds, especially those that affect safety and well-being, which should be reported to the appropriate authorities and to the Research Council. The Research Organisation must take appropriate and timely action when significant problems are identified. This may include temporarily suspending or terminating the research.

Where there is recruitment of people as research participants and/or providing human tissue, details should be included in the [Case for Support](#)

#### **18.7 Animal Research**

Applicants are expected to have developed their proposals in accordance with the cross funder guidance for the use of animals in research [Responsibility in the Use of Animals in Bioscience Research](#) and NC3Rs Guidelines: Primate Accommodation, Care and Use

Experiments using animals funded by the Research Councils must comply with the [Animals \(Scientific Procedures\) Act 1986 \(ASPA\), amended 2012](#) and any further embodiments, in:

- using the simplest possible, or least sentient, species of animal appropriate;
- ensuring that distress and pain are avoided wherever possible;
- employing an appropriate design and using the minimum number of animals consistent with ensuring that scientific objectives will be met.



Advice on opportunities and techniques for implementing these principles can be found on the NC3Rs website: [www.nc3rs.org.uk](http://www.nc3rs.org.uk)

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.*

*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.”* [Responsibility in the Use of Animals in Bioscience Research](#)

Please ensure that if you are using animals you select the appropriate species and keep in mind the following. The animal species section must be completed **irrespective of whether funding for the animals is requested as part of the proposal.**

Researchers must provide well justified information in their applications concerning the experimental design and its suitability to answering the research questions posed.

While RCUK recognises that there are ethical imperatives to reduce the number of animals used, it is also unethical to conduct a study that because of its limited size has inadequate statistical power to robustly answer a research question. Applicants should therefore provide adequate justification for their choice of design and numbers of animals and interventions. It is important that adequate information is given concerning methodological issues. Planned procedures to minimise experimental bias (for example, randomisation protocols, blinding) should be outlined or an explanation included as to why such procedures are not appropriate. Each experiment does not need to be described in detail, but sufficient information must be included that reviewers are readily able to understand the experimental plan. The scientific rationale for the experimental design should be explained in the [Case for Support](#).

Researchers must provide a properly constructed justification of how the number of animals to be used were determined. In general it would be expected that professional statistical advice will be sought in putting this section together. In many instances this section will include statistical power calculations based on justifiable and explicit assumptions about the anticipated size of the experimental effects. If statistical power calculations are not given, applicants should provide a principled explanation of the choice of numbers. In general, explanations based solely in terms of ‘usual practice’ will not be considered adequate. An overview of the planned statistical analyses and their relation to the choice of sample size should be included.

### **18.8 Ethical Implications**

Ethical issues should be interpreted broadly and may encompass, among other things, relevant codes of practice, the involvement of human participants, tissue or data in research, the use of animals, research that may result in damage to the environment and the use of sensitive economic, social or personal data.

## 18.9 Approvals

All Research Organisation's involved in the project are responsible for ensuring that ethical issues relating to the research project are identified and brought to the attention of the relevant approval or regulatory body within the UK, Chile or another country. Approval to undertake the research must be granted before any work requiring approval begins. Please indicate all approvals sought, whether in the UK, Chile or another country, if it is none of those listed below, please put the information into the other bodies section. Successful proposals may be expected to provide copies of these permissions before funding is released.

**You must seek approval within the UK even if your research will take place in Chile or another Latin American country. Please indicate the approvals you have sought/will seek within your application. We do not require the approvals for making a funding decision but they must be in place before the project can start.**

## 18.10 Proposal classifications

You should populate the Research Area/Qualifiers/Keyword sections to provide a comprehensive description of the research areas covered in the application.

The Proposal classification area is a harmonised (and expanded) structure agreed between the Research Councils.

## 19. Proposal Cover Letter

If you would like to nominate reviewers for your application please include a proposal cover letter including the name, organisation and email address for each reviewer. Please do not nominate more than 3 reviewers. RCUK and CONICYT cannot guarantee that these reviewers will be used on your application. The cover letter can be used to highlight any important information for the RCs. This attachment type is not seen by reviewers or panel members.

## 20. Assessment Process and Criteria

Following submission, applications will be assessed by written peer review and a joint RCUK-CONICYT panel. More details can be found in the call specification.

There will be a PI response stage. You will receive the reviews via the Je-S system and you will have 5 working days to provide a response to reviewer comments. There will be no opportunity to respond to panel comments. Feedback from the panel will be provided following the panel meeting.

## 21. Post Award

The joint panel meeting is due to be held week commencing the **5<sup>th</sup> March 2018**. Following this, applicants should be informed of the outcomes by **April 2018**. **Applicants must start the award by 14<sup>th</sup> May 2018**.

## 22. Contact information

This is a guidance document created to assist applicants applying to this Newton fund call with the completion of their proposal. It is specific to this call and should be used in conjunction with the following information:

- **Je-S help text** is available in every page of your Je-S form, simply click on the question mark against any section (or on the word 'Help' in the top right hand corner of each page)
- **Je-S helpdesk** (for all Je-S system enquiries)  
[jeshelp@rcuk.ac.uk](mailto:jeshelp@rcuk.ac.uk) or 01793 444164

If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff can be contacted Monday to Friday 09.00-17.00 UK time (excluding bank holidays and other holidays). Out of hours: please leave a voice message.

When reporting problems by email or telephone, please give your name, organisation and user id, the date and time, what part of the form or system you were working on, and the nature of the problem.

For further information regarding the call please contact:

- Laura Bones, International Policy Manager- Newton Fund, RCUK  
Email: [RCUKNewtonFundenquiries@rcuk.ac.uk](mailto:RCUKNewtonFundenquiries@rcuk.ac.uk)  
Phone: 01793 444263
- Khaled Awad, CONICYT  
Email: [kawad@conicyt.cl](mailto:kawad@conicyt.cl)  
Phone: +56 223654610

## Change log

<b>Name</b>	<b>Date</b>	<b>Version</b>	<b>Change</b>
Laura Bones	14/07/2017	1.0	Initial Version.
Laura Bones	31/07/2017	2.0	Intention to submit deadline updated.

**Attachment check list:**

<b>Attachment Type</b>	<b>Maximum Page length</b>	<b>Mandatory/Optional</b>	<b>Extra Guidance</b>
Case for Support	15 pages	Mandatory	A template is provided
Pathways to Impact	2 pages	Mandatory	
Data Management Plan	3 pages	Mandatory	
Justification for Resources	2 pages	Mandatory	A template is provided
CVs	3 pages each	Mandatory	For each PI and CoI, and for named and visiting researchers, and Researcher Co-Is if applicable. Publications lists should be included within the 3 pages.
Non-UK Components – For the ODA Compliance Statement	2 pages	Mandatory	
Non-UK Components – For the Chilean costs proforma	Use template	Mandatory	A template is provided
Non-UK Components – For the summary in Spanish	1 page	Mandatory	
Project Partner Letters of Support	2 pages	As Required	Must be included from all named project partners. Must be signed and dated within six months of the proposal submission date.
Letters of Support	2 pages	Mandatory	Please use Chilean Institution Letter of Support template. Letters of support are not required for UK ROs.
Equipment Quotes	No page limits	Not required. Do not submit.	

Equipment Business Case	2 pages each	Not required. Do not submit.	
Technical assessment	No page limit	As required.	Required for NERC and BBSRC services & facilities requests.
List of Publications	1 page	Not required. Do not submit.	Publications lists should be included within CVs
WorkPlan	1 page	Not required. Do not submit.	
Head of Department Statement	1 page	As required	Required for any Latin American DAC list country Co-Is
Facility Form	1 page	Not required. Do not submit.	
Proposal Cover Letter	2 pages	Optional	The cover letter can be used to highlight any important information for the RCs. This attachment type is not seen by reviewers or panel members.
Other attachment	No page limit	As required, at the request of the Research Council only	This can be used for a document that does not fit under any of the headings above. This attachment type is not seen by reviewers or panel members.