



UK – Indonesia – Thailand – Vietnam Call for Proposals 2016

RCUK – DIPI – TRF – NAFOSTED Research Partnerships Call

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1. Introduction

The Research Councils UK (**RCUK**) and the the Indonesia Science Fund (**DIPI**), the Thailand Research Fund (**TRF**) and the National Foundation for Science and Technology Development (**NAFOSTED**) are pleased to invite applications to the UK – Southeast Asia Research Partnerships Call 2016.

This initiative will provide funding for high-quality collaborative research projects between UK and Southeast Asian researchers in Indonesia, Thailand and Vietnam which contribute to the economic development and welfare of Indonesia, and/or Thailand and/or Vietnam.

Researchers will be responsible for developing their own collaborations and once a research proposal is developed, UK and Southeast Asian applicants must apply jointly for funding. For administrative purposes all projects will have a Principal Investigator (PI) based at a UK Research Organisation (RO) and a Principal Investigator based at a Southeast Asian RO. Southeast Asia and UK partners must work together to complete one joint application to be written in **English** and submitted by the UK lead Research Organisation to RCUK via the NERC Joint electronic System (Je-S) <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>

Important: This RCUK led call is held in collaboration with the 7 different research councils (AHRC, BBSRC, EPSRC, ESRC, NERC, MRC and STFC); please note you may need to complete additional attachments. Where information and guidance issued in this document differs from the general guidance offered in the Je-S documentation and specific council sources; you should adhere to the guidance in this document.

Failure to complete the proposal form as outlined in this document could result in your application being rejected.

2. Overview of application and review process

1. Call opens in the Je-S system **Thursday 09 June 2016** please now begin preparing your joint application in the system.
2. Joint intention to submit emailed to RCUKNewtonFundEnquiries@rcuk.ac.uk by 16:00 BST (22:00 WIB, 22:00 ICT, 23:00 PHT) **Wednesday 13 July 2016**. (see [Intention to Submit template](#))
3. Joint application from the UK and Southeast Asian researchers must be received by **16:00 BST (22:00 WIB, 22:00 ICT, 23:00 PHT) Wednesday 10th August 2016**. All jointly prepared RCUK applications will be submitted to the Natural Environment Research Council (NERC) (who will host this call) via the

Joint Electronic System (Je-S). The UK PI will submit the application on behalf of all collaborators.

4. Joint peer review process including UK and Southeast Asian assessors will take place.
5. Joint panel meetings of academic experts selected by RCUK, DIPI, TRF and NAFOSTED, will take place **December 2016**.
6. Successful proposals withdrawn from NERC Je-S system by research offices and submitted to lead council by remit (not necessary for NERC-remit grants) **January 2017**.
7. Successful proposals begin in the Je-S system for the UK component on **01 February 2017**.

3. Eligibility and Funding Available

RCUK funding will be used to support the UK component of the partnership and Southeast Asian funding will support the Southeast Asian component.

RCUK-funded costs of each project will be provided via a grant issued 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.

DIPI/TRF/NAFOSTED funded costs of each project will be provided via a grant issued and managed by DIPI/TRF/NAFOSTED in accordance with their normal guidelines.

Please refer to the information below for the eligibility criteria and the funding available in from each funding partner.

3.1 Eligibility Criteria and Funding Available for the UK applicant

All projects **MUST** have a UK partner and one or more Southeast Asian partners from one of the participating Countries in that topic.

Background of the Funder	<p>Research Councils UK are the main UK delivery partner for the Newton Fund and are working strategically with partner countries to develop a series of research activities to address challenges defined by the overarching ambitions of the Fund.</p> <p>Research Councils UK (RCUK) are responsible for investing public money in research in the UK to advance knowledge and generate new ideas which lead to a productive economy, healthy society and contribute to a sustainable world. Each year the Research Councils invest around £3bn in research covering the full spectrum of academic disciplines from the medical and biological sciences to astronomy, physics, chemistry and engineering, social sciences, environmental sciences and the arts and the humanities. RCUK supports over 50,000 researchers including 19,000 doctoral students, around 14,000 research staff, and 2,000 research fellows in UK universities and in their own Research Institutes. There are seven Research Councils which make up RCUK. For more information about RCUK, please visit our website at http://www.rcuk.ac.uk/research/areas/</p>
Eligibility - UK eligible applicants	<p>The UK Principal Investigator (PI) and Research Organisation (RO) must be eligible to apply according to the relevant Research Council's guidance. Please identify the Council under whose remit the majority of the application falls and follow their guidance along with the RCUK terms and conditions which can be found at the following links:</p>

	<p>Research Councils UK (RCUK) Arts and Humanities Research Council (AHRC) Biotechnology and Biological Sciences Research Council (BBSRC) Engineering and Physical Sciences Research Council (EPSRC) Economic and Social Research Council (ESRC) Medical Research Council (MRC) - MRC Units and Institutes are also eligible to apply Natural Environment Research Council (NERC) Science and Technology Facilities Council (STFC)</p> <p>MRC applicants should also refer the to following document: http://www.mrc.ac.uk/documents/pdf/research-changes-lives-2014-2019/</p>
Participating topics	<p>RCUK are participating in all topics and all collaborations must have a UK applicant. The topics are:</p> <ul style="list-style-type: none"> • Atmospheric Pollution & Human Health • Water Resources • Tropical Peatlands and Mangroves
Funding available	<p>RCUK has £350k - £450k available per project for a 2-3 year grant, which will support approximately 10 projects. The size of the grant will vary depending of the needs of each research project and must be fully justified.</p> <p>All research grants applications under RCUK are costed on the basis of full economic costs (fEC). If a grant is awarded, the Research Councils provide funding on the basis of 80% of fEC. The UK organisation must agree to find the balance of fEC for the project from other resources.</p>
What RCUK funding will cover	<p>Costs RCUK will cover:</p> <ul style="list-style-type: none"> • Staff – directly incurred post • Staff – directly allocated posts (PI and Co-I time) • Other research costs (including consumables) • Travel and subsistence for exchange/mobility activities • Cost of workshops, meetings etc. • Estates and indirect costs • Exceptions • All NERC data management costs must be fully costed and included <p>Costs RCUK will not cover:</p> <ul style="list-style-type: none"> • RCUK, due to Newton funding, cannot cover the cost of equipment/ capital over £10k under this call • Studentships (PhD) will also not be covered under this call • Given the budget limit of proposals, coupled with 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.

3.1.1 Do I have to hold an RCUK award to be eligible to apply?

No. For this call you do not need to currently hold or have held an RCUK grant, but you must be eligible to apply within the relevant Research Council's guidance, as above.

3.2 Eligibility Criteria and Funding Available for the Indonesia Science Fund (DIPI) applicant

Background of the Funder	<p>In alignment with the mission of creating a scientific culture of excellence in Indonesia and meeting the scientific and technological challenges of today's globalized society, DIPI was established to provide support for researchers who show strong evidence and potential for exemplary scientific merit and development as independent investigators.</p> <p>Under the auspices of the Indonesian Academy of Sciences (AIPI), DIPI acts as an independent funding agency with the principal goal of elevating the overall quality of Indonesian research and scientific output. A competitive funding source based on excellence, originality, and capability will provide the incentive and mechanism to further this goal.</p> <p>DIPI funds basic scientific investigations that show promise for increasing the knowledge value of scientific explorations in Indonesian society, while at the same time participating in the establishment of a vibrant Indonesian scientific research community on par with global and international scientific standards for excellence and merit-review.</p>
Participating topics	<p>DIPI are participating in the following topic:</p> <ul style="list-style-type: none">• Atmospheric Pollution & Human Health• Tropical Peatlands and Mangroves
Funding available	<p>DIPI will support at least 5 projects in these areas, and depending on the quality of applications may fund more, applicants can apply for up to £200k per project on the Indonesian side for a 2-3 year grant.</p>
Eligibility rules	<p>The Principal Investigator (PI) should demonstrate the ground-breaking nature, ambition, and feasibility of his or her scientific proposal. Priority is given to applications submitted by a PI with ability to lead and be actively engaged in the proposed research investigation as evidenced by past publication(s) in national or international peer reviewed scientific publications. Highly exceptional applicants that do not yet have evidence of scientific publications but submit proposal ideas that meet DIPI scientific merit criteria maybe considered.</p> <p>PI(s) must have affiliation with educational and/ or research based organization(s). Such affiliation maybe with single or multiple organizations, government or private, for-profit or non-profit. PI(s) can only submit one application at a time, multiple applications will not be accepted.</p>
What DIPI will cover	<ul style="list-style-type: none">• Staff – directly incurred post• Staff – directly allocated posts (PI and Co-I time)• Other research costs (including consumables, for policy on costs of equipment please email dipi-rcuk@dipi.id)• Travel and subsistence for exchange/mobility activities• Cost of workshops, meetings etc.• Estates and indirect costs• Research assistants (NOT for degree studentships/ PhD)
Additional	<p>DIPI Costs pro-forma</p>

forms that need to be completed	
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3.3 Eligibility Criteria and Funding Available for the Thailand Research Fund (TRF) applicant

Background of the Funder	<p>The Thailand Research Fund (TRF) is a major research funding agency in Thailand, under office of the Prime minister. Our missions are to support funding for research, researchers, research network, and community empowerment with the vision to become one of the best research funding agencies in Asia, in terms of funding management and good governance.</p> <p>TRF support all disciplines, all area, and all dimensions of research include upstream, midstream and downstream. The strategic plans are to create innovations in research management, strategic research issues, research utilization and social communication, international research network, digital TRF. TRF supports more than 20,000 researchers and 4,200 doctoral students.</p> <p>For more information about TRF, please visit our website at http://www.trf.or.th/</p>
Participating topics	<p>TRF are participating in the following topic:</p> <ul style="list-style-type: none"> • Atmospheric Pollution & Human Health • Water Resources
Funding available	<p>TRF will support up to 2 projects, 1 in the Atmospheric Pollution & Human Health theme and 1 in the Impact of Change on Water Resources theme. Thai applicants can apply for up to £100k per project on the Thai side.</p>
Eligibility rules	<p>(1) The Thai PI must be based at one of the following:</p> <ul style="list-style-type: none"> (1.1) Higher Education Institutions (1.2) Independent Research Organisations (1.3) Government Funded Organisations <p>(2) Applicants must be Thai citizens and hold a permanent or fixed-term contract in an eligible university or research institute in Thailand.</p>
What TRF will cover	<ul style="list-style-type: none"> • Staff – directly incurred post • Staff – directly allocated posts (PI and Co-I time) • Other research costs including consumables (not including the cost of equipment) • Travel and subsistence for exchange/mobility activities • Cost of workshops, meetings etc. • Estates and indirect costs
Additional forms that need to be completed	<p>TRF Costs Proforma</p>

3.4 Eligibility Criteria and Funding Available for the National Foundation for Science and Technology Development (NAFOSTED) applicant

Background of the Funder	<p>National Foundation for Science and Technology Development of Vietnam is one of the main funding agencies for research in Vietnam. Affiliated with the Ministry of Science and Technology, our missions are to build a durable, innovative and conducive environment for research activities, to improve the research capacity, and to enhance the quality of scientific research in Vietnam.</p> <p>NAFOSTED funds for both basic and applied research in all disciplines from mathematics, physics, medical and biological sciences to engineering, earth sciences, social sciences and humanities. With the aim of improving research capacity in Vietnam to international standards, NAFOSTED also supports numbers of scientific activities while seeking collaborations with several international partners. Every year NAFOSTED supports for over 400 research projects, including about 2,000 researchers. For more information about NAFOSTED, please visit our website at http://www.nafosted.gov.vn</p>
Participating topics	<p>NAFOSTED are participating in the following topic:</p> <ul style="list-style-type: none"> • Atmospheric Pollution & Human Health • Water Resources • Tropical Peatlands and Mangroves
Funding available	<p>NAFOSTED will support approximately 5 - 8 projects across the 3 areas. Vietnamese applicants can apply for up to £100k per project on the Vietnamese side.</p> <p>NAFOSTED-funded costs of each project will be provided via a grant issued and managed by NAFOSTED in accordance with its normal guidelines. Please refer to the Vietnam call text available on www.nafosted.gov.vn</p>
Eligibility rules	<p>The Vietnam Principal Investigator (PI), Research Organization (RO) and Research Members must be eligible to apply according to NAFOSTED's regulation for basic research or applied research funding programs, specifically:</p> <ol style="list-style-type: none"> 1. The Vietnam PI must be a PhD holder or have academic title equivalent to professor/associate professor, working in a S&T organization or being supported by a prestigious S&T organization, and have appropriate research results published in prestigious international journals within 5 years from the date of application. The PI also must have enough time for conducting the research project being applied (being in Vietnam at least two thirds of the project time). 2. Key members of the research team must be a PhD holder or have academic title equivalent to professor/associate professor, and have appropriate research results published in prestigious national or international journals within 5 years from the date of application. If a key member hold Master's degree, he/she must have 01 article published in a prestigious international journal within 5 years from the date of application. 3. PhD students participating in the project must have research thesis appropriate to the project being applied. 4. The RO must have been registered as a scientific and technological organization with appropriate operating functions to the research

	project being applied, and must guarantee to fulfil an RO's responsibilities as required by NAFOSTED's regulations for basic research funding program.
What NAFOSTED will cover	<ul style="list-style-type: none"> • Staff – directly incurred post • Staff – directly allocated posts (PI and Co-I time) • Other research costs (including equipment, consumables) • Travel and subsistence for exchange/mobility activities • Cost of workshops, meetings etc. • Management fee for Research Organisation • Studentships (PhD)
Additional forms that need to be completed	NAFOSTED Cost Proforma NAFOSTED Expected Results Form

3.5 Bilateral, trilateral/multilateral partnerships

The initiative is aimed at developing UK-Southeast Asia research partnerships. Applicants are invited to submit bilateral or trilateral/multilateral collaborative research proposals comprising eligible researchers from the UK, Indonesia, Vietnam and/or Thailand. All proposals will be required to have a UK Principal Investigator, in addition to a Principal Investigator from one or more of the partner countries. This call for proposals will require applicants to work together in partnership within transnational teams on research projects where each country's component is funded by participating agencies in their country (please refer to the eligibility criteria and funding available for each partner (3.1-3.4 above) for more information).

Funds cannot be used to cover the costs of participation of other countries. However the involvement of other countries will be considered if a strong strategic need is articulated in the proposal and it is made clear the 'other' partners have funding to support their involvement in the partnership. Please ensure you contact RCUKNewtonFundEnquiries@rcuk.ac.uk if you plan to include another partner.

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 requires that the funding be awarded in a manner that fits with Official Development Assistance (ODA) guidelines. All applications under this call must therefore be compliant with these guidelines. <http://www.newtonfund.ac.uk/about/what-is-oda/>

For more information on ODA please refer to the [RCUK Newton Fund Guidance](#).

5. Start and End dates of proposals

Due to the tight timescales and funding restrictions of the Newton Fund, the proposed start date on the Je-S system must be **before 01 February 2017** the grant must **end by 31 January 2020**.

Please note that in order to start the grant the **start confirmation must be submitted by 01 February 2017** (shorter than the standard 42 days for Research Council grants).

Please refer to <http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/tcfecJan2015.pdf> for information on what the starting procedure entails; please ensure that you inform the relevant support staff in your organisation of this requirement to ensure the project starts on time.

6. Application Process

6.1 Intention to Submit

To identify peer reviewers and convene assessment panels in advance, it is important that researchers indicate their intention to submit a proposal. Please email an intention to submit to RCUKNewtonFundEnquiries@rcuk.ac.uk by **16:00 BST (22:00 WIB, 22:00 ICT, 23:00 PHT) Wednesday 13 July 2016**. Please see link to the 'intention to submit' template on the call [webpage](#).

6.1.1 Can I begin creating my project in Je-S before sending in my intention to submit?

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. It is envisioned that the intention to submit and Je-S application form would be completed in conjunction with each other.

Please note that if you are planning on involving human or animal participants in your research you should get in contact with RCUKNewtonFundEnquiries@rcuk.ac.uk before starting your project in Je-S.

6.1.2 Will I receive eligibility information on my intention to submit?

No, your submission will only be acknowledged by RCUK.

This form 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.

6.2 Application deadline

The deadline for applications is **16:00 BST (22:00 WIB, 22:00 ICT, 23:00 PHT) Wednesday 10th August 2016**.

Applications to this RCUK led call will be made through the Natural Environment Research Council (NERC) who are hosting this call on behalf of all seven Research Councils, DIPI, TRF and NAFOSTED. All applications to the NERC must be made through the RCUK Joint electronic-Submissions system (Je-S). The URL for the Je-S application system is: <https://je-s.rcuk.ac.uk/>

6.2.1 I have missed the intention to submit deadline, can I still apply?

Yes, you can still apply to the call, please get in touch with RCUKNewtonFundEnquiries@rcuk.ac.uk to confirm you will submit. Please note that any proposals involving human or animal participation need to do this as soon as possible.

6.2.2 I have sent in my intention to submit, can I make changes to my project?

Yes, changes can be made to your project after returning your intention to submit. **Please note:** you do not need to notify RCUK to change your project unless it involves the inclusion of human or animal participants.

6.2.3 This is an RCUK led call why do I submit to the NERC?

Applications to this RCUK led call will be hosted by the NERC so all submissions must go to the NERC, regardless of remit. Applicants must identify within their [Case for Support](#) the actual Council they would apply to in terms of remit.

Please note that applications involving animal participation will need to submit to MRC to ensure that appropriate ethical checks are undertaken.

6.2.4 Do I submit a separate application to DIPI, TRF and NAFOSTED?

No. the application process is hosted by the NERC on behalf of RCUK, DIPI, TRF and NAFOSTED. After the application deadline RCUK will share the applications submitted with DIPI, TRF and NAFOSTED

6.2.5 Can I submit offline instead of using Je-S?

No. All applications must be submitted via the Je-S system. Proposals submitted by email will not be accepted for processing.

6.3 Submitting your application

To submit your 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 on the [Je-S Help Pages](#).

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 not standard mandatory attachments for Je-S but are a **[mandatory requirement to be completed for this specific call](#)**. **Failure to submit all of the mandatory attachments could result in your proposal being rejected.**

The submit button will route your finalised proposal to the authorising facility within your research organisation. **Please note this further layer of administration between your submission of the proposal and the proposal being submitted to the NERC (on behalf of RCUK), via Je-S.** The Research Organisation's submission route usually includes both an approver (ie head of department) and submitter pool (ie central finance office). Please allow sufficient time for completion of the research organisation's submission checks and authorisation.

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 to the NERC in good time before the call closes.

Once submitted, there are document maintenance actions that can be undertaken via the Document actions button. For example, the 'Show submission path' will indicate to you where in the organisation submission chain the proposal currently is located (and who holds current responsibility) - eg owner, approval pool, submitter pool or submitted to Council.

6.3.1 How much time will my Research Organisation need to process my application before submitting it to NERC?

This will depend on your Research Organisation, please contact your research office to confirm.

6.3.2 If my application does not reach RCUK by the deadline can it still be considered?

No. Applications not submitted by **16:00 BST (22:00 WIB, 22:00 ICT, 23:00 PHT) Wednesday 10th August 2016** will not be considered for funding.

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

Please log in to your Je-S account via

<https://jes.rcuk.ac.uk/JeS2WebLoginSite/Logout.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 (22:00 WIB, 22:00 ICT, 23:00 PHT) Wednesday 10th August 2016.**

- Select Council: **NERC** (NERC are hosting this call on behalf of RCUK, DIPI, TRF and NAFOSTED – all applications regardless of remit must be submitted through the NERC)
- Select Document Type: **Standard Proposal**
- Select Scheme: **Newton Fund**
- Select Call/Type/Mode: **RCUK Newton-SEA Research Partnerships Call 2016**
- Select '**Create Document**' option

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

Je-S users having problems successfully completing login to their Je-S account: [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). We will not accept proposals for processing that are not submitted using the above call route.

7.1.1 Is my application a research or partnership grant?

Although your grant does promote partnership between UK and Southeast Asia it is primarily a research grant and **MUST** be listed as such throughout your project.

8. Application attachments

It is important that applicants **only submit the supporting attachments specified in this document**. 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://jes.rcuk.ac.uk/Handbook/pages/SystemRequirementsFormatsandSa/SystemRequirementsFormatsandSa.htm>

This RCUK led call is held in collaboration with the 7 different research councils (AHRC, BBSRC, EPSRC, ESRC, NERC, MRC and STFC); please note **you may need to complete additional attachments, all of which are outlined below**. Where information and guidance issued in this document differs from the general guidance offered in the Je-S documentation and specific council sources; you should adhere to the guidance in this document.

Failure to complete the attachments as outlined below and within the specified page lengths could lead to your application being rejected.

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

1. [Joint Case for Support \(please complete the template\)](#)
2. [Justification of Resources \(please complete the template\)](#)
3. [Pathways to Impact \(two A4 pages max\)](#)
4. [Data Management Plan \(three A4 pages max\)](#)
5. [Southeast Asian costs proforma \(please complete the appropriate template/s\)](#)
6. [CVs and publications \(three A4 pages max for each investigator UK and Southeast Asian\)](#)
7. [Letters of support \(two A4 pages max\)](#)
8. [Any additional attachments required by Partner Country \(please check Eligibility Criteria section\)](#)

Optional

9. [Proposal Cover Letter \(two A4 pages max\)](#)

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

9. Joint Case for Support (please complete the template)

This is the body of your research proposal; applicants must complete the [Case for Support template](#) and attach it as a "Case for Support" document. The page lengths must not be exceeded for each section and must be in a minimum font size of Arial, 11 point, with margins of at least 2cm.

Please note: if your application includes human participation or the use of animals please ensure you fully complete these sections in the case for support. Failure to complete these sections appropriately could lead to your application being rejected. Please refer to MRC guidelines when completing these sections: <http://www.mrc.ac.uk/documents/pdf/guidance-for-applicants-v16-3/>.

10. Justification of Resources (please complete the template)

Please complete the template, it must be written in a minimum font size of Arial, 11 point, with margins of at least 2 cm, justifying that the resources requested are appropriate to undertake the research project. Please provide 2 A4 page of justification per Country (i.e. if you are working multilaterally with Thailand and Indonesia please complete 2 A4 pages each for the UK, Thai and Indonesian costs)

You must complete one [Justification of Resources \(JOR\)](#) document; justifying both the UK costs and Southeast Asian costs and attach it to your application under "Justification of Resources". The JOR must contain a breakdown and explanation 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.

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 [Southeast Asian costs proforma](#). **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 <https://je-s.rcuk.ac.uk/Handbook/index.htm#pages/JeSHelpdesk.htm> further guidance.

11. Pathways to Impact (maximum of two sides of A4)

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 that opportunities for users to benefit from your research, and thus 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. If you do not feel that your research has potential to achieve impact outside of academia, you should use the Pathways to Impact attachment to explain why this is the case. However, it is expected that applicants will have considered impact in its broadest economic and societal terms before coming to this conclusion. Applicants should note that while we recognise the value of this type of research, reviewers may comment on the applicant's reasoning during consideration of the proposal.

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.

12. Data Management plan (maximum of three sides of A4)

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 Southeast Asia should also be noted. 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, including the full costs required for data management, and should not be included in the data sharing statement.

13. Southeast Asian costs proformas

Please complete the appropriate costs proforma as detailed below, if you are collaborating with more than one of Southeast Asian Country please ensure you complete the appropriate forms of both/all of the agencies you are requesting funding from.

13.1 The Indonesia Science Fund (DIPI) applicant – cost proforma

Indonesian applicants that are eligible for DIPI funding should complete the DIPI cost proforma which is available on the RCUK call webpage. Guidance on how to fill out this form is available within the DIPI funding guidelines document which is also published on the RCUK webpage or available by request from:

<http://www.dipi.id/en/grant-manual/>.

13.2 The Thailand Research Fund (TRF) applicant – cost proforma

Thai applicants should complete the TRF cost proforma available on the RCUK webpage.

13.3 The National Foundation for Science and Technology Development (NAFOSTED) applicant – cost proforma

Please complete the [Vietnam costs proforma](#) following the cost-norms and regulations in Joint Circular 55/2015/TTLT-BTC-BKHCHN dated on 22 April 2015 by Ministry of Finance – Ministry of Science and Technology guiding norms for constructing and allocating cost estimates and settlement for scientific projects using state budget, and Joint Circular

27/2015/TTLT-BKHCN-BTC dated on 30 December 2015 regulating funding allocation for conducting scientific projects using state budget.

14. CVs and publications (maximum of three sides of A4 per applicant)

A CV for each Principal Investigator and Co-Investigator 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 not exceed three A4 sides. It is expected you would use two pages for the CV and one page for publications.

15. Letter of support (maximum of two sides of A4 per applicant)

Please include letters of support for the following:

- From the Partner Country institutions involved in the project (where applicable in the funding agency eligibility requirements)
- Any 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.
- From both PI's when animal research is proposed. Please see section 15.7 in this guidance "use of animals" for further information. This letter needs to be signed by all PIs involved.
- Where the SEA partner or another third party (ANY organisation other than the UK RO) is responsible for recruitment of people as research participants and/or providing human tissue. This letter needs to be signed by all PIs involved.

16. Cover Letter (maximum of two sides of A4)* Optional

You may include a 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.

17. 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.

17.1 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 *RCUK Newton-SEA Research Partnerships Call 2016*.
- Your start date should be before 01 February 2017. Your grant should be a proposed duration of no more than 36 months.

17.2 Investigators

Enter the name of the Principal Investigator (PI) and any Co-Investigators (Co-Is).

Investigators may be from more than one Research Organisation but the UK PI must be from the Organisation that will administer the UK side of the grant. The PI will take intellectual leadership of the project and manage the research; this individual 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 PI's post will be in place for the duration of the project.

17.2.1 Do both Southeast Asian and UK investigators need to be registered on the Je-S system?

Yes. For any submission through the UK Research Council online submission system, **ALL** named investigators (Principal Investigator and all Co-Investigators) must be registered users. For this initiative, that includes all named UK and Southeast Asian investigators. Easy instructions to register are available here. For help with using Je-S please contact the Je-S helpdesk:

Email: JeSHelp@rcuk.ac.uk

Phone: +44 (0)1793 444164

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

17.2.2 How do I put the UK Principal Investigator and Co-Investigators on the Je-S form?

Please input the UK PI under the Principal Investigator and the Co-Investigators under Co-Investigator as normal, unlike with the Southeast Asian Co-I's you will also need to record all the costs, including the number of hours.

17.2.3 How do I add the Southeast Asian Principal Investigator and Co-Investigators to the Je-S form?

The Je-S form only allows there to be one Principal Investigator on a grant. Although in reality grants under this call there will be two PI's: one from the UK and one from Southeast Asian. For the purposes of completing the Je-S form, please enter the UK PI on to the system as the PI. Please add the Southeast Asian PI on to the Je-S form as a Co-Investigator, as well as any other UK or Southeast Asian Co-Investigators.

Please add all Southeast Asian Co-Investigators on to the form as below:

From the document menu select Co-Investigator option.

Select Add New Co-Investigator Item

- Choose the Select option (Je-S Person Search pop-up window appears). Search for and select the Co-Investigator 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 Southeast Asian Co-Investigator 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).
- Select the calculate button (**cost estimate will be 0**). All the costs associated with the Southeast Asian PI and Co-Is will be recorded on the Southeast Asian costs proforma
- Select the 'Save' to save the information. Section should then validate (green tick instead of red circle with cross).

17.3 Resources

All resources requested for both Southeast Asian and the UK must be fully justified in the [Justification for Resources](#).

Within the Je-S form, please enter the costs to be incurred by the **UK Research Organisation and NOT those to be incurred by the Southeast Asian Research Organisation**.

RCUK will provide up to £4.9m funding with an overall limit, of approximately £350k - £450k per grant on the UK side. All research grants applications under RCUK are costed on the basis of full economic costs (fEC). If a grant is awarded, the Research Councils provide funding on the basis of 80% of fEC. The UK organisation must agree to find the balance of fEC for the project from other resources.

17.3.1 Do I include my Southeast Asian costs on the Je-S form?

No. These costs must be included within the appropriate costs proforma on the template and must be fully justified within your [Justification of Resources](#).

17.3.2 How are grants paid?

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 Co-Investigators. DIPI/ TRF/ NAFOSTED will pay the approved projects according to their regular procedure.

17.3.3 Can I apply for publication costs?

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 **Southeast Asian Co-Is** must be entered under 'Directly Allocated Staff' but the salary rate should be entered as zero. Please see [17.2.3 How do I add the Southeast Asian Principal Investigator and Co-Investigators to the Je-S form?](#) 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.

17.3.4 How should costs associated with travel or subsistence be allocated?

There are no specific rules regarding travel and subsistence costing's for proposals. In international collaborations there is a precedent for the country sending a researcher to pay for the airfare and the country hosting to pay for accommodation, but there is no specific requirement. As with all costs, a clear explanation will be necessary to justify all travel and associated costs.

Equipment costs

As this activity is funded through the Newton Fund, no equipment over £10,000 can be requested. This threshold is inclusive of VAT.

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 research organisation, and do not require justification in your Case for Support.

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 are not expected within this call. If applicants feel it is essential they should discuss any exceptional cost by emailing RCUKNewtonFundEnquiries@rcuk.ac.uk in the first instance, explaining the cost and why it is essential to the success of the proposal.

17.4 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 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.

17.5 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.

17.6 Human Participation

Please note that all proposals that are planning to involve the use of humans or vertebrate animals/ other organisms covered by the Animals (Scientific Procedures) Act need to record this on the Intention to Submit form.

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 Southeast Asia 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](#).

17.6.1 My research involving humans will take place in Southeast Asia should I still put it into the Je-S form?

Yes, whether the research involving humans is taking place in the UK or Southeast Asia it needs to be captured in the Je-S form.

17.7 Animal Research

Please note that all proposals that are planning to involve the use of humans or vertebrate animals/ other organisms covered by the Animals (Scientific Procedures) Act need to record this on the Intention to Submit form.

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

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](#)

17.7.1 My animal research will take place in Southeast Asia should I still put it into the Je-S form?

Yes, whether the animal research is taking place in the UK or Southeast Asia it needs to be captured in the Je-S form. You must also include this information in the [case for support](#).

17.7.2 If I am using animals what information do I need to include on the Je-S form?

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 numbers 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.

17.8 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.

17.9 Approvals

The Research Organisation is 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 and Southeast Asia. Approval to undertake the research must be granted before any work requiring approval begins. Please indicate all approvals sought, whether in the UK or Southeast Asia, 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.

17.9.1 The research requiring approvals will take place in Southeast Asia; do I need to seek UK approval?

Yes, you must seek approval within the UK even if your research will take place in another Country, please indicate the approvals you have sought/will seek within your application.

17.9.2 Do you require the approvals to make funding decisions?

We do not require the approvals for making a funding decision but they must be in place before the project can start.

17.10 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 with other Research Councils. Therefore, if your area of expertise crosses the remits of more than one Research Council you will now only need to provide the information once.

18. Assessment Process and Criteria

Following submission, peer-review will be undertaken by the funding agencies. To be funded, proposals must be internationally competitive and at a standard equivalent to that normally expected to be supported by each funding organisation.

Key assessment criteria for the submissions will be:

- Research merit of the proposal
- Relevance of the proposal to the strategic objectives of the Newton Fund – including potential benefits and impact
- Strength and appropriateness of proposed partnership and collaboration
- Project management structure and resources, including value for money

Applications received and comments from all experts will be assessed by the joint RCUK – DIPI - TRF – NAFOSTED Review Panel, December 2016. This panel will consist of academic experts from both UK and Southeast Asia, where final decisions will be made.

18.1.1 Will I have an opportunity to respond to reviewer comments?

Yes, you will have 5 working days to respond to reviewer comments; this is listed on the call [webpage](#).

19. Post Award

After the decision meeting, December 2016, applicants will be informed of the outcomes. If your application is successful you will be provided additional guidance on how to start your project, dependent on your applications remit.

19.1.1 My application is not within NERC remit what do I do if I get awarded?

If your application is awarded and not within NERC remit following the meeting you will be informed and given guidance on how your application will need to be moved to the relevant Research Council's Je-S system by your research office. Please note there will be some administrative work for research offices to move their grants over appropriately, please see below the expected timeline for this:

Panel Meeting	December 2016
Applicants are informed of outcome	January 2017
Applicants must resubmit an identical application	January 2017
Grant processing	January 2017
Award letters issued	January 2017
Applicants must accept the award and return the start confirmation to activate their award	01 February 2017

19.1.2 My application is within NERC remit what do I do if I get awarded?

Your award will remain on the NERC system and go through the award system as normal.

20. 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 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:

- Kim Fuggle, International Policy Manager- Newton Fund, RCUK
Email: RCUKNewtonFundEnquiries@rcuk.ac.uk
Telephone: 01793 444352