



UKIERI
UK-India Education
and Research Initiative

DST-UKIERI Thematic Partnerships

Call for Proposal 2011-12

Deadline for submission of proposal

15th March 2012

www.ukieri.org / www.dst.gov.in

The UK India Education and Research Initiative (UKIERI) started in April 2006 with the aim of enhancing educational links between India and the UK. In the last five years, UKIERI has played a pivotal role in establishing a step change in the educational relations between the two countries. In recognition of the substantial achievements and building on the success of this initiative, the programme has been extended for another 5 years from 2011 to 2016. The extension was announced by the UK Prime Minister Mr. David Cameron and Indian Prime Minister Dr. Manmohan Singh in July 2010.

In 2002, the UK Office of Science and Innovation (OSI) signed a bilateral agreement with the Department of Science and Technology (DST), India making funding available to establish a networking scheme which aimed to initiate and develop enduring partnerships between the UK and Indian scientists. Under each agreement, both sides agreed upon the need to bring together their most excellent scientists in any field of science and technology.

Under the phase one of UKIERI, Department of Science and Technology, jointly announced research awards and awarded 26 partnerships.

For details on strands, please visit www.ukieri.org / www.dst.gov.in

GUIDANCE on DST-UKIERI Thematic Partnerships

The first part of this guidance provides background information and general guidance about the DST-UKIERI Thematic Partnerships. The second part provides specific guidelines for completing the application form. There are further guidelines contained in the application itself.

You are strongly encouraged to read both parts of this document and the guidelines on the application form, in detail, well in advance of starting to complete the application as the application will require significant advance preparation and inputs from various parties, which will need take time to arrange.

Background and general guidance

The sub-strand will strengthen engagement and encourage future potential collaborations between the Indian and UK higher education institutions by facilitating collaborations between faculties and researchers along with promoting and assisting registered PhD students and post-docs in India and the UK to undertake short-term visits to work on research projects.

Each project for funding should involve a mix of activities and must include two lead teams: one based in the UK and the other based in India. The collaboration should involve staff and researcher exchanges between the UK and India, including for research students. The programme is open to all universities and research centres and teams in the UK and India, in universities and higher education institutions, research institutes and companies or foundations.

Subjects / disciplines covered

The partnerships will be for Science & Technology projects jointly funded by Department of Science and Technology, Government of India and UKIERI under the 5 key subject areas of:

1. Stem Cell Research and Animal Biotechnology
2. Next Generation Networks in Telecommunication

3. Advanced Materials including Nanotechnology
4. Weather Science and Climate Change
5. New Energy Technologies including Hydrogen

Multidisciplinary research will be encouraged. Whatever the discipline of your research, you are strongly encouraged to read the guidelines, criteria and application form carefully, to ensure that your proposal is suitable for consideration such support and that your application will be competitive.

Eligibility

DST-UKIERI Thematic Partnerships are intended to be between institution-based research teams in the UK and India of proven research ability. The Project Leaders should be faculty member/academia in an institution or research laboratory. Each project must be a joint submission by the UK and Indian teams, through their institutions and endorsed by the respective heads of institutions or their delegated authority.

UK Project Leaders should be based in a UK university or research institution and resident within the UK; EU citizens may apply provided they hold a permanent position in a UK institution. Non-EU citizens may apply provided they have held a permanent position at a UK institution for at least three consecutive years.

Indian Project Leaders should be based in an Indian university or research institution and be resident in India.

Only one application is allowable from any Lead Researcher and research team members may only be involved in one single application.

Activities that DST-UKIERI funding will cover

DST-UKIERI funding is designed to support the collaborative costs of the joint research project. All proposals will need to include details of contributions from the institutions involved, and from other sources. The majority of DST-UKIERI funds will be used to support exchanges between the research teams in the two countries. There are standard UKIERI or DST rates for most elements that may be charged to the initiative and all applications must use these rates. Eligible costs will include exchange visits by staff, researchers and research student exchanges, with extended periods of research attachments, essential to deliver the project's proposed outcomes. It should be noted however, that in line with promoting exchange between the participating research teams, all individuals spending time in the "other" country must be part of their home research team and spend the minimum required time with that team, and no more than the maximum allowable time in the other country (see below).

In summary a UKIERI-DST project grant can cover:

- i. Research Staff and (Postdoctoral) Research Fellows' (or equivalent) exchanges: to include travel related and accommodation costs for a maximum duration of 15 days per year
- ii. Research Students (Postgraduate and PhD) exchanges: to include travel related and accommodation costs (although most applicants will want to either cover fees or at least contribute towards them as part of their institutional contribution); for a maximum duration of 89 days per year
- iii. Reasonable costs directly associated with the research activities e.g reagents and other specialist laboratory consumables, (of up to £2,000 per annum and pro rata per research student, to a limit of 15% of the total amount requested from DST-UKIERI) etc

- iv. Other costs directly associated with the delivery of the project like reagents, consumables, and not mentioned above, will be considered on an ad hoc basis
- v. Up to four visits each side, per year is permitted.

DST-UKIERI funds are not intended to contribute towards the costs of staff time associated (ie Full Economic Costs) with the projects nor for administration or other institutional overheads.

Duration and value of Partnerships

DST-UKIERI funds are available for partnerships of up to 2 years in duration. DST-UKIERI partnerships will provide for a maximum of £40,000/equivalent in INR over the duration of the project.

Applications from partnerships

There is an expectation and requirement that all major parties to a proposal (eg the different research teams in both countries, other partners and sponsors) should be kept fully informed of the development of the application and the implementation of the partnership. It is expected that the lead researchers will keep all parties to the application fully informed as to developments, and will share any feedback with all parties concerned.

General Criteria for the Awards

The principles underlying the submission and assessment of proposals for DST UKIERI awards will be:

- They will be competitive.
- The evaluation process will be transparent and consistent
- They should be submitted jointly by the Indian and UK Project Leaders
- They must have the formal support of the respective heads of institutions/organisations
- No restrictions in place on previous experience of partnership

Evaluation Process

STEP 1: INITIAL SCREENING

Following the opening session and administrative check, the UKIERI secretariat will inform the applicants whether their application was submitted prior to the deadline, whether their application has satisfied all criteria mentioned and whether their application has been short-listed for evaluation.

STEP 2: SHORTLISTING BY ASSESSEMENT PANEL

All projects on the short list will go forward to a sector assessment panel, which will include external assessors. All comments and grading arising from the panel will be seen and used by the final Evaluation Panel to make their recommendations.

The assessment panel will evaluate the projects as per pre-determined assessment criteria. The panel will include representatives from the UK and Indian side.

Proposals received on both sides would be independently evaluated by two sides (DST in India and UKIERI in UK). Subsequently, DST and UKIERI would discuss their assessment reports to arrive at a common decision on approved activities/proposals

STEP 3: FINAL SELECTION BY EVALUATION PANEL

An evaluation of the quality of the proposals, including the proposed budget, and of the capacity of the applicant and its partners, will be carried out in accordance with the evaluation criteria.

STEP 4: PROJECT BOARD AGREEMENT

The ultimate decision for agreeing projects for funding support will be made by joint decision by DST and the UKIERI Project Board. The UKIERI Secretariat will normally submit to the DST and UKIERI Project Board a prioritised list of projects for consideration with the comments of the Evaluation Panel which includes members nominated by UKIERI and DST.

Evaluation Criteria

The main criteria for evaluating proposals will be:

- The extent to which the project might contribute towards both mutuality and long term sustainable partnerships between the UK & India
- The quality of the institutions/organisations applying; are they recognised as Centres of Excellence in the selected field e.g. by government or funding bodies
- The extent to which the projects meet the **UKIERI principles** through:
 - Actively involving partners from both countries
 - Bringing mutual benefits and a two way flow of ideas
 - Having plans to achieve sustainability
 - Tools for Social Inclusion/Capacity Building
- The extent to which the projects applications are well thought through and deliverable, as demonstrated by
 - Have specific objectives achievable within a clear timeframe
 - Have clearly costed proposals within the available resources
 - Bring matching funding in cash or in-kind including the active contribution of partners (industry, federal any other) investing their own time in ensuring the commercial relevance
 - Are clear about intellectual property arrangements
 - Have clear ideas for dissemination
 - Have a clear approach to monitoring and reporting
 - Have recognized potential areas of risk

Please note that the evaluation process and criterion is not exhaustive and can be modified based on the feedback from stakeholders and experts.

Financial Proposal

Please summarise the estimated costs (£ Sterling for UK costs and INR for Indian costs) over the period of the project on an annual basis (i.e. normally for a Financial Year 1 April – 31 March). You should allow for inflation and contingencies within your budget.

Please note the general guidance for DST-UKIERI funding:

- All travel and accommodation cost where applicable should normally be the most reasonably priced economy class.
- Student and other institutional fees: however it is anticipated that participating institutions will discount these significantly as part of their contribution to UKIERI.

- Project specific consumables (upto 15% of the total project funding): UKIERI funds can be used to contribute for such needs. However funds can not be employed to meet the regular administrative costs or running costs of the institution.
- Any other costs to be met from DST-UKIERI funds should be itemised

The following costs are not eligible:

- debts and provisions for losses or debts
- interest owed
- items already financed in another framework
- currency exchange losses
- direct costs of staff time
- administration or other overheads

Submitting your application

The deadline for online submission of proposals for DST-UKIERI partnerships is 15th March 2012 by 1700 hours IST.

The soft copy of the application will be submitted by only one of the lead partners. The copy of the submitted form should be printed off by both partners, signed and counter signed from the relevant institutional authority (with the permission to commit institutional resources) and sent to the UKIERI Secretariat in New Delhi

The deadline for the receipt of the signed and authorised hard-copy at the address given below is 16th April 2012.

Please note: The hard copy must be exactly the same as the copy submitted online, with the exception of the addition of the relevant signatures and dates. Please mention the reference number when sending the application.

Hard copy applications should be sent to:

Suruchi Pareek
(UKIERI DST Thematic Partnerships)
UKIERI Secretariat
British Council Division
17, Kasturba Gandhi Marg
New Delhi 110001
ukieri@in.britishcouncil.org

with a copy to :

Dr S K Varshney
Scientist
International Division
Department of Science and Technology
Technology Bhawan
New Mehrauli Bhawan
New Delhi-110016
skvdst@nic.in

All enquiries should be directed to: ukieri@in.britishcouncil.org

Please note that any application which is submitted incomplete in any way – including the omission of any signatures and dates on the hard copy version – will not be considered.

After submission, all applicants are advised to check the UKIERI website periodically for news of any changes affecting the scheme, and to subscribe to the UKIERI e-distribution list (which can be done via the website) to be alerted of any developments.

Notes for Completing the DST-UKIERI Application Form

Please bear in mind DST and UKIERI's particular interest in the collaborative elements of the proposal. You may wish to highlight these throughout your application.

Most questions and sections on the application form give a number of words in brackets. This is an indication of the maximum allowable words for your response. Your response does not have to meet this maximum on every occasion, although you may not exceed it on any occasion. You are encouraged to make responses as clear and concise as possible, while being adequately comprehensive.

You must complete every section / answer every question. If you feel that any question does not apply to your application, state this in your response, and give your reason.

Note the further guidance and requirements given on the application form itself.

The reference box is for UKIERI administration use only – do not complete this section.

Section A – General Details

1. Project Title

Please choose a title that uniquely describes your project and clearly identifies the primary subject area for the activity.

2. Project Area Code

Please provide the code of the area under which your application is being submitted.

1. Stem Cell Research and Animal Biotechnology
2. Next Generation Networks in Telecommunication
3. Advanced Materials including Nanotechnology
4. Weather Science and Climate Change
5. New Energy Technologies including Hydrogen

3. Project Objectives

Please provide a short description of main aims and objective of the project.

4&5. Proposed Start Date and End Date

Please provide your best estimates of start and likely completion dates for the project. The likely start date for the project should be 1 January 2013. Timings should also reconcile to your financial proposal.

6. UK Lead Institution Name

Please provide institution name and postal address of the UK institute including department and postal code

7. UK Project Leader

Please provide details of the UK Project Leader

8. UK Telephone no

Please provide contact no including area code

9. UK Email Id

Please provide email id of project leader

10. Indian Lead Institution Name

Please provide institution name postal address of the Indian institute including department and postal code

11. Indian Project Leader

Please provide details of the India Project Leader

12. India Telephone no

Please provide contact no including area code

13. India Email Id

Please provide email id of project leader

14. Other UK Partners

Please list UK key partner organisations/institutions/businesses supporting the lead project teams including contact person details. Give the title, first name, surname, position, department or research centre and institution.

15. Other Indian Partners

Please list Indian key partner organisations/institutions/businesses supporting the lead project teams including contact person details. Give the title, first name, surname, position, department or research centre or institution.

16. UK Group (3000 words)

Please provide evidence of the professional ability and competencies of the UK team and select individual members to demonstrate that they can deliver the proposed project. You can include short CV's. Please select the most relevant and appropriate entries within the word limits.

17. Indian Group (3000 words)

Please provide evidence of the professional ability and competencies of the UK team and select individual members to demonstrate that they can deliver the proposed project. You can include short CV's. Please select the most relevant and appropriate entries within the word limits.

Section B – Partnership Proposal

18. Project Description (2000 words)

Provide the project description including details of methodology, technical details, target audience and details of demand and the need of the project. Please be sure to use language suitable for a general audience where this is requested.

19. Scientific and Technical Details (1000 words)

Provide scientific and technical aspects of the proposed research including methodology to demonstrate the research merit of the project.

20. Work Plan

Fill the relevant spreadsheet listing activities, timelines and outcomes proposed for both UK and India. Please complete the spreadsheet carefully and in as much detail as required. The Overview, Technical Detail, Work Plan and Outcomes sections should be clearly linked and there should be a clear read-through between them.

21. Proposed Project Outcomes (700 words)

Provide the intended outcomes of the proposed partnership including number of joint publications, trainings, patents, workshops etc.

22. Dissemination and Impact (300 words)

The primary objective of the UKIERI activities is to encourage more long term and sustainable cooperation between the UK and India, learning from the on-going projects is thus vital. For these reasons it is necessary to have strategies to disseminate results. Please indicate how you intend to communicate the project activities / findings to a wider audience. Note: This is in addition to the UKIERI requirements for mid-year monitoring, an annual report and a more substantial report and evaluation at the end of the project.

23. Exchanges (500 words)

Clearly list the exchanges planned, on an annual basis. Please note that DST only allows 4 visits per side, each year. You must clearly show how many individuals of what level will move in which direction and for how long, each year.

Team members must spend at least 50% of the project duration in their home team.

24. IPR (250 words)

Please indicate IPR associated with this research partnership and how you are addressing the same.

25. Monitoring and Evaluation (500 words)

Outline how you will monitor the implementation of the proposal. Remember to cover the research, collaborative, quality of course delivery, assessment/training attended/imparted and financial elements.

Section C – Financial Proposal

26 and 27. Financial Proposal

The UK institutions are requested to put UK cost in £ GBP and Indian Institutions in INR.

Please double check all amounts and calculations in this section, as it is an important part of the scoring of the proposal, and changes cannot be made after submission, nor will the DST-UKIERI team or assessors check or recalculate on your behalf. Please summarise the estimated costs (£ sterling for UK institution and INR for Indian Institution) over the period of the project on an annual basis (i.e. normally for a Financial Year 1st April – 31st March). You must use the respective table (separate for UK and Indian Cost) provided to set out your costs in detail, in the format required.

Please remember that DST-UKIERI funds are not intended to contribute towards the costs of staff time associated (ie Full Economic Costs - FECs) neither with the projects nor for administration, estates costs or other institutional overheads.

Please also provide details of all the non-DST-UKIERI funding contributions to the cost of the collaboration from contributing parties, both direct and indirect. It is essential and a requirement of the scheme that all proposals are supported by funds in addition to those requested from DST-UKIERI. These must include contributions from both institutions involved, (direct and indirect) and will preferably include contributions from other sources, eg business, industrial, or corporate. The ability to attract additional funding support is considered vital to achieving the overall DST-UKIERI goals - particularly towards ensuring the sustainability of the activities and will be a key criterion for assessing the eligibility of DST-UKIERI proposals. In general, the greater the proportion of costs met from sources other than DST-UKIERI, the stronger the financial proposal.

Direct contributions may include (but are not limited to) direct financial investment in the project by or through the institution, direct financial investment by an external sponsor or collaborator. Indirect contributions may include (but are not limited to) discounts (including up to 100%) on student and other fees, provision of specialist equipment and

consumables, accommodation or other provision for visiting students, researchers and faculty.

Also provide a breakdown of which parties will contribute, (eg the UK and Indian institutions, any other partners or sources of support) the value of their contributions and an explanation of what the contribution will cover (eg, if it is cash, is it predicated against anything in particular, if in kind, please explain eg 50% fee waiver, accommodation). Please be clear and concise in presenting this information.

Please note that all travel costs would be to and from the destination and will be paid by host institution. Eg- If a UK student is travelling from Manchester to Ahmadabad in India, UK institution would be responsible for the international travel expenses from Manchester to Delhi and local travel from Delhi to Ahmadabad.

Please also be aware throughout this application that is only concerned with financial aspects of the collaborative project, and therefore institutional contributions should not include staff costs or institutional overheads. Staff costs may only be included as part of the contribution from the institutions or other partners if funds have been secured to employ additional staff purely for the collaborative project.

All International airfares should be the most reasonable economy class fare and by shortest route. Visa fees should be included in the costing of the project expenses.

The monthly allowances should be reduced according to contributions to accommodation and other relevant costs by the partner institutions, eg by the provision of accommodation in institutional guesthouses in India.

Travel within the destination country is permissible only when it is required as part of the project work.

Tuition may be charged to UKIERI for research student and other institutional fees. However it is anticipated that many participating institutions will want to use these as a significant part of their institutional contribution to UKIERI. Therefore if you are proposing to charge UKIERI for them at all, you may wish to discount them significantly.

A contribution to consumables and reagents are chargeable to DST-UKIERI up to a limit of 15% of the total amount requested from DST-UKIERI. These may cover specific specialist consumables eg reagents etc, and field trips necessary for the research, but it is anticipated that the institution will also contribute. DST-UKIERI funds can not be employed to meet the regular administrative costs or running costs of the institution.

You are strongly advised to check eligibility of any unusual proposed charges to DST-UKIERI before you submit your proposal, as proposing ineligible items is very likely to disadvantage your proposal.

DST-UKIERI has set rates given below for allowances:

Allowances for Indian research team members travelling to the UK

Monthly allowance for Research Staff and Fellows: £1500 in London or £1400 elsewhere

Monthly allowance for Research Students: £1090 in London or £850 elsewhere

Visas: For any number of visits up to 6 months duration each in any 6 month period: £80

Allowances for UK research team members travelling to India

Daily allowance for Research Staff and Fellows: 1000 INR

Daily allowance for Research Students: 500 INR

(Note: please convert INR totals into GBP at rate given and use GBP amount in application)

Visas: For any number of visits up to 6 months duration each in any 6 month period: £80

Note: DST-UKIERI shortlisting and selection is based on the information given in the application, including the financial proposal. Applicants are required to ensure that all information given is accurate, uses the appropriate rates and figures fall within any ceilings given, that calculations are correct, and that all items are eligible and comply with UKIERI requirements.

Applicants are advised to check all calculations carefully, including those on the spreadsheet provided. Some formulae may be written into the spreadsheet however applicants may wish to add others. In any case, applicants are responsible for ensuring the correct figures appear in all cells, including the totals.

Furthermore, all applicants are strongly advised to ensure that the costs they use are realistic, as inflated costs will result in low scores on the financial proposal and increase the likelihood of the application not being selected.

Section D – UKIERI-Specific Collaborative Criteria

28, 29 & 30. Long Term Sustainability, Mutuality and Complementarity & Inclusion and Capacity Building

Provide details on how project proposal might be sustainable after the funding is complete.

Also indicate the likely benefits of the project proposal to both India and the UK indicating the scale and scope.

Include methods/tools used for social inclusion and capacity building through this project proposal.

Section E – Referees

31. Referees

Please provide the name and contact details of two suitably qualified individuals who are familiar with the project work area proposed and can comment on the work of the proposed team(s) and/or individuals. They must not be involved in the project themselves and must be entirely independent of the teams involved and able to provide an objective review of the application.

The nominated reviewers should be contactable within the 3 month period after the close of applications and willing to provide a review.

The process for assessing projects will also involve external assessment / review. At least one external assessor will normally be approached, in addition to your nominated reviewers.

Section F – Confirmation, Agreement and Signatures

32. Data Protection

Please confirm that by submitting this application, you agree that the information in the application may be made public or passed on to third parties as outlined in the Data Protection statement in the guidelines. Acceptance of this condition is a requirement of applying to the UKIERI strand activities.

33. Institutional Authority & Signatures

When submitting the online (soft copy) application, please type in the names and positions of the project leaders and the name and positions of the Institutional Authority in both countries. Leave the signature sections and following date sections blank. The signature and following date sections should only be completed on the hard copy of the application.

Note: All information on the application forms of proposals that are successful and funded by DST-UKIERI will have details made public and it is a condition of application to the scheme that you agree to this.

Where applications involve a Corporate or other business, commercial or industrial partner, (either before submission or if the application subsequently secures support) the information on the application will be shared with them, and should the application be funded, they may also make it public.