

UKIERI-DST RESEARCH AND INNOVATION PARTNERSHIPS

(SUPPORTED BY DEPARTMENT OF SCIENCE AND TECHNOLOGY (DST),
GOVERNMENT OF INDIA)

UKIERI
UK-India Education
and Research Initiative



Department of Science & Technology
Govt. of India

CALL FOR PROPOSALS

2018-19

www.britishcouncil.org

www.ukieri.org

SCHEDULE

Sr. No.	Activities	Date/Month (Tentative)
1.	Date of Advertisement for Call for Proposals	30 November 2018
2.	Date for Pre-bid Webinars	17 December 2018- 05 Jan 2019
3.	Last date for receipt of queries related to submission of Proposal	21 January 2019
4.	Last date for submission of Proposals on Grant Mobility Tool (GMT)	25 January 2019
5.	Selection of shortlisted proposals (on eligibility) for next round of evaluation	31 January 2019
6.	Date of results of finally selected proposals	28 February 2019

1. BACKGROUND

1.1 About UKIERI

UK India Education & Research Initiative (UKIERI) started in April 2006 with the aim of enhancing educational links between India and the UK. It has been recognized as a key multi stakeholder programme that has strengthened the educational relations between the two countries and been successful in covering all segments of the education sector. Promoting joint research in Science and Technology has been one of the successful, strategic and key initiatives under reconstituted 'Research and Innovation' strand of UKIERI Phase III (2016-2021). The strand feeds into UKIERI aims to substantially improve educational links between India and the UK to ensure that in the longer term they become each other's partner of choice in education. This initiative focuses on developing jointly funded research and innovation partnerships with core societal benefit outcomes for both the countries.

1.2 About DST

The Department of Science and Technology (DST), Government of India is mandated to strengthen Research and Development base of the country by coordinating, promoting and supporting science, technology and innovation activities. DST serves as a nodal agency connecting the science sector to the Government verticals and industry. Various activities of the Department can be categorized into the seven heads: i) Policies that stimulate and foster value-added pursuit of science and technology, ii) Development of human resources iii) Institutional capacity building, iv) Technology capacity strengthening v) Science & Technology Competitiveness through Alliances & Partnerships, vi) Research & Development mission and vii) Science for societal empowerment at the grassroots.

DST establishes system and mechanism to stimulate and foster excellence and leadership in scientific research and development in the country. DST supports programmes that help to build chosen international alliances and partnerships with various countries both at bilateral and multilateral level. These activities are aligned with India's development aspirations in scientific and technological fields that can contribute to the knowledge economy at national, regional and global level.

1.3 Phases of UKIERI

1.3.1 The aim of Phase 1 (2006- 2011) of the programme was to establish UKIERI as a framework to enable a step-change in the UK-India relationship in education and research.

1.3.2 Phase 2 (2011-2016) focused on thematic areas agreed by both countries which included Leadership Development, Innovation Partnerships, Skills Development and Enhancing Mobility.

1.3.3 UKIERI Phase 3 (2016-2021) has been launched in April 2016 and will work on the key priorities as identified by the two governments. The overarching aim for UKIERI Phase 3 is to build on the achievements of the previous two phases through a targeted approach focussed upon maximising impact. Fewer, long term and institution building activities will be undertaken to enhance the quality of education and research links across the two countries and these will be driven by and for practitioners.

UKIERI Phase III focusses on two strands:

Strand 1: Education and Training

Strand 2: Research and Innovation

This call is under Strand 2 of UKIERI focusing on developing jointly funded research and innovation partnerships with core societal benefit outcomes. The sub-strand mentioned above facilitates collaborations between the Indian and UK higher education institutions (public funded) to support work on new or existing research projects.

1.3.4 UKIERI funds various initiatives in India with Ministry of Human Resource Development, Department for Science and Technology, Ministry of Skill Development and Entrepreneurship, University Grants Commission and All India Council for Technical Education and from the UK by Department for Business, Energy and Industrial Strategy, Foreign and Commonwealth Office, Scottish Government, Welsh Government and Department for the Economy.

2. SUBJECTS/DISCIPLINES COVERED

2.1 The partnerships will be open for the selected themes:

1. Cyber physical systems

The advancement of cyber physical systems holds the potential to reshape our world with more responsive, precise, reliable, and efficient systems. They change the way people interact with the engineering systems, enabling a revolution of “smart” devices from smart cars to smart grids, collectively giving rise to smart cities that can address some of the most pressing national priorities. Through the means of DST, the Government of India has planned to set up 25 cyber physical systems across India. Working through a combination of innovation centres and research parks, these systems are expected to act as centres of excellence for research, training and skilling in robotics, artificial intelligence, digital manufacturing, big data analysis, and other allied areas.

2. Waste management

The management of solid waste is a universal challenge. Like most other countries, India is facing a massive waste management challenge led by rapid urbanisation in the country. Out of 62 million tones of the solid waste generated annually in Indian cities, only 43 metric tons is collected; about 12 metric tons is treated and the rest 31 metric tons is dumped in landfill sites. The challenge of managing this waste renders significance to numerous interrelated global developmental areas such as renewable energy, sustainable and smart cities, urban design, and climate change. Through the joint statement and policy dialogues, policymakers from both India and the UK have affirmed their commitment to work on these areas together.

3. GUIDELINES

The Guidelines for the UKIERI-DST Research and Innovation Partnerships is divided in two sections.

- a. Section I: General Guidelines
- b. Section II: Specific Guidelines

Applicants are requested to read both sections before filling the application form.

SECTION I: GENERAL GUIDELINES

- 3.1.1 UKIERI Research & Innovation Partnerships is expected to look at one specific problem, taking a multidisciplinary approach. If the challenge is big for one university or a state level institution to tackle, then consortia of universities or institutions could be brought together to ensure that there is a strong approach of combining excellence and strengths of all participating institutions.
- 3.1.2 Social impact studies can be embedded within the projects but needs to be quantitative or mixed methods in nature.

- 3.1.3 UKIERI funding is designed to support the collaborative costs of the joint research project(s). It is anticipated that a considerable portion of UKIERI funds may 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 include 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 3.2).

SECTION II: SPECIFIC GUIDELINES

- 3.2. A UKIERI project grants shall cover the following:
- 3.2.1 Research Staff and (Postdoctoral) Research Fellows' (or equivalent) exchanges: it includes travel related and accommodation costs for a maximum duration of 15 days per year.
 - 3.2.2 Research Students (Postgraduate and PhD) exchanges: it includes travel related and accommodation costs for a maximum duration of 89 days per year.
 - 3.2.3 Reasonable costs directly associated with the research activities e.g. reagents and other specialist laboratory consumables, (of up to a maximum of 15% of the total amount requested from UKIERI).
 - 3.2.4 Other costs, including staff costs, directly associated with the delivery of the project and not mentioned above, will be considered on an ad hoc basis.
 - 3.2.5 Up to four visits each side, per year is permitted.
 - 3.2.6 Any relevant activity pertaining to incubation (may further be explained).
 - 3.2.7 Administration Overhead costs of up to 10% excluding travel and field work is permitted. This would cover data collation, accounting and other similar services.

NOTE: The international air-fare from, institute to institute (for example if a scholar is travelling from Manchester to Ahmedabad, the UK institution will be responsible for air fare from Manchester to Delhi to Ahmedabad and back), will be provided by economy class by the sponsoring country and hospitality will be borne by the receiving country.

UKIERI funds are not intended to contribute towards the costs of administration or other institutional overheads fully.

It is expected that institutions/scholars involved in the UKIERI partnership will ensure that all IPR related matters will be addressed appropriately.

4. ELIGIBILITY CRITERIA

4.1 For UK Applicant

4.1.1 The Lead Applicant or PI (Principal Investigator) from UK institution must be a full-time teaching faculty or full time employed in a research institution in UK.

4.1.2` UK Lead Applicant should be an employee of a recognised UK university (<https://www.gov.uk/check-a-university-is-officiallyrecognised/recognised-bodies>) or not-for-profit UK research organisations 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 hold a permanent position at a UK institution for at least three consecutive years.

4.2 For Indian Applicant

4.2.1 Indian Lead Applicant or PI (Principal Investigator) should be scientists/ faculty members working in regular capacity in universities, academic institutes and national research and development laboratories/ institutes.

4.2.2 The Indian PI should not be retiring or leaving the parent institute during the proposed duration of the project.

4.2.3 The Indian faculty /scientist involved in the implementation of two or more projects supported by DST (International Group) and which are not expected to be completed by March 31, 2019 are not eligible to be a member of Research team/PI.

5. JOINT APPLICATION

5.1 The project applied for, must be a joint submission by the UK and Indian teams, through their institutions.

5.2 The application submitted must be endorsed by competent authorities in Lead Applicants' institutions from the UK and India.

6. DURATION & VALUE OF PARTNERSHIPS

6.1.1 UKIERI funds are available for partnerships of up to **two years** in duration. The start date for the project shall be considered from March 2019 and completion date shall be considered as **March 2021**.

6.1.2 UKIERI partnerships will provide for a maximum of £200,000 over the duration of the project.

Quantum of funding for the project would be decided by the Project Grant Committee of DST and UKIERI independently. This will be based on Activity Plan and justification submitted by the lead partners of participating institutions.

7. PRE-BID WORKSHOPS & WEBINARS

- 7.1.1 Pre-bid workshops and / or webinars will be delivered by the British Council area teams during the application phase across India and the UK. Interested applicants could register for the workshops once they are announced as a Call for Workshop on UKIERI and British Council websites.
- 7.1.2 Information Webinars would be delivered by the UKIERI national team to support the participants during the application process.
- 7.1.3 The applicants are requested to send the queries in advance at ukieri@britishcouncil.org. The applications are advised not to make frequent enquiries about the result.

8. SUBMISSION OF APPLICATION

- 8.1 Application must be submitted using UKIERI online portal (GMT) The application can be submitted by Lead applicant of either UK or Indian institute. The application must be submitted by online by **January 25, 2019 5:30 UK time. (Portal for applications will be available from December 10, 2018)**

For attention of Indian Lead Researcher: Once application is submitted on online portal a PDF copy of application will get generated and will be sent to registered email address. The Indian lead researcher is expected to log in on DST portal www.onlinedst.gov.in After registration, move to scheme and format section where details about this call would be available in the International Cooperation (bilateral) section. Indian applicant must submit a copy of application form (Project proposal) along with other annexures on the portal. Applications submitted on UKIERI and DST portal both will be considered for evaluation.

- 8.2 The Applicant shall provide all the information sought under this Call for Proposal. Applications that are received in the required format and complete in all respects shall only be shortlisted and subsequently evaluated. Please note that any application which is incomplete– including the omission of any signatures and dates on the hard copy version – shall not be shortlisted. Read guidelines in section II for filling-up the application form.
- 8.3 Only the application in response to this Call for Proposal shall be submitted. Lead applicant(s) and their teams must submit only one application form. Lead applicant shall keep all the other team members/ partners of the project team informed about updates on the project. Any applicant, who submits or participates in more than one application, will

be disqualified and will also cause the disqualification of the partnership of which it is a member.

8.5 Applicants are also requested to submit one hard copy duly signed to **DST by 5:00 pm IST on January 31, 2019** on address given below.

Dr. Sulakshana Jain
International Division
Department of Science & Technology
Technology Bhawan, New Mehrauli Road
New Delhi- 110016

Email: jain.s@nic.in

8.6 Applications received after closing date will not be accepted.

9. SELECTION PROCESS

There would be a three-stage process for selection of the research projects.

9.1. Stage One: Initial Screening

- 9.1.1. After the due date is over, short listing of application forms shall be done by UKIERI Secretariat and DST.
- 9.1.2. Under the below given conditions, the application forms shall be rejected:
 - Application received after due date.
 - Incomplete application.
 - Application without endorsement from the respective institutes of India and UK.
 - Application without all attachments (Annexures would include Project Proposal and Financial Plans).

9.2. Stage Two: Evaluation by panel of subject experts

- 9.2.1. All projects shortlisted at stage one shall be assessed by sector assessment panel of DST and UKIERI, which will include external assessors. The assessment panel will evaluate the projects as per published assessment criteria. A merit list will be prepared by the panel based on the evaluation criteria. The scores and comments received for each application will be analysed further by the Project Grant Committee.

9.3. Stage Three: Final Selection and approval by Project Board

- 9.3.1. 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. The final decision on selection of projects for grant support shall be made by UKIERI and DST Project Board.

10. EVALUATION CRITERIA

- 10.1. Only those Applicants who meet the eligibility criteria shall qualify for evaluation under this Section. Applications of institutions who do not meet these criteria shall be rejected.

10.2. Proposals will be assessed based on competence and capability is proposed to be established by the following parameters:

Parameter	Weightage (%)
OPERATIONAL CAPACITY AND RELEVANCE (to the specified themes)	15
PROPOSAL SPECIFIC CRITERION (Objectives with clearly defined Outcomes, Social Relevance, Equity and Gender etc. as applicable)	45
UKIERI SPECIFIC CRITERION (Sustainability, Mutuality and Complementarity of both India and UK)	20
BUDGET AND COST EFFECTIVENESS	20

11. INTIMATION TO LEAD APPLICANTS

11.1 All the Lead Applicants will be informed about selection or rejection by the UKIERI Secretariat and/or DST.

12. MONITORING AND EVALUATION

- 12.1. Each Project will be jointly monitored by the UKIERI Secretariat and Department of Science and Technology (DST).
- 12.2 The Lead Applicants shall submit bi-annual progress reports during the project period. Any discrepancy in the use of Grant or any other issue related to the project shall be communicated to UKIERI Secretariat and at the earliest.
- 12.3 Joint Reports should be submitted every 6 months to the UKIERI Secretariat clearly indicating the achievements made within 6 months of the report period against the indicators mentioned in the work plan. At the end of the project, a closure report is to be submitted to UKIERI Secretariat.
- 12.4 UKIERI Secretariat and DST have the right to withdraw the project if Project Implementation varies widely in relation to the proposal submitted against the call for proposal.

13. SIGNING OF CONTRACTS

- 13.1 Contract shall be signed between UKIERI and UK institutions for the selected project proposals.
- 13.2 Sanction letters would be issued by DST for Indian institutions for the selected project proposals after submission of requisite documents by project investigators.

14. TRANSFER OF GRANTS

- 14.1 After signing of the contract, money will be transferred to the UK institutions by UKIERI through British Council.
- 14.2 Indian institutions will receive grant from DST through Public Finance Management System (PFMS) and to private institutions/NGO after registration in Darpan Portal.

15. APPLICATION PREPARATION & SUBMISSION

15.1 About Application Form

- 15.1.1 There are 4 parts of the Application Form as given below. All parts of the Application shall be filled within the word limit mentioned against each point.

PART A: Brief About the project
PART B: Principal partners involved
PART C: Project Proposal
PART D: Financial Proposal

- 15.1.2 There is one Application form along with three Annexure I (Project Work Plan) and Annexure II (Financial Proposal) and Annexure III (Template for CV). The forms and annexures shall be duly filled to avoid any ambiguity.

15.2 Project Work Plan

Project Work Plan should be filled in detail with activities demarcated for each year separately along with its outcome and indicators.

No modification shall be entertained after submission of the application form.

15.3 Industry Partnership

Applications shall clearly mention the plan of engagement with industry. It must also mention any tangible project outcomes in terms of any prototype/products or processes developed for industrial or society use.

15.4 Financial Proposal

- 15.4.1 Please summarise the estimated costs (£ Sterling) over the period of the project on an annual basis. Please assume the start date for project as **1st April 2019**.
- 15.4.2 All travel and accommodation cost where applicable should normally be the most reasonably priced economy class. The scholars will abide by the national policy of the respective government about travel.
- 15.4.3 Project specific institutional costs - up to 15% of the total project funding: Funds can be used to contribute for such needs. However, funds cannot be employed to meet the regular administrative costs or running costs of the institution.

15.4.5 Any other costs to be met from UKIERI & DST funds should be itemised.

15.4.6 The following costs are not eligible under UKIERI:

- a) debts and provisions for losses or debts
- b) interest owed
- c) items already financed in another framework
- d) currency exchange losses
- e) direct costs of staff time
- f) administration or other overheads

15.4.7 Please use pounds sterling (GBP or £) as the unit of currency throughout the financial proposal, even though some costs will be incurred in (INR) Indian rupees for UK participants. Similarly, Indian participants use INR as the unit of currency in their proposal for the funds required from DST. 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 UKIERI team or assessors check or recalculate on your behalf. Please summarise the estimated costs (£ sterling) over the period of the project on an annual basis.

15.4.8 UKIERI has indicative rates given below for allowances:

Indicative Allowances for Indian Research Team Members Travelling to the UK

- Monthly allowance for Research Staff and Fellows: £1700
- Monthly allowance for Research Students: £1300
- Visas: For any number of visits up to 6 months duration each in any 6-month period: £150
- The receiving side will provide support to visiting side on finding best reasonable accommodation within institution or an external venue.

Indicative Allowances for UK Research Team Members Travelling to India

- Daily allowance for Research Staff and Fellows: 2500 INR
- Daily allowance for Research Students: 1000 INR
- Visas: For any number of visits up to 6 months duration each in any 6-month period: £80
- Receiving side will provide support to visiting side on finding best reasonable accommodation within institution or at an external venue.

15.4.9 Grants/ financial support from other sources shall also be specified explicitly in the Financial Proposal.

15.5 The website of UKIERI may kindly be referred to for Frequently Asked Questions.

15.6 Applicants please check all the components of Application forms before submitting it.

Sr. No.	Particulars	Checklist (Yes/ No)
1.	Applicant is meeting the eligibility criteria	
2.	Application Form is complete	
3.	Work Plan is attached	
4.	Financial Proposal is attached	
5.	CVs of lead applicant from UK and India are attached	