

Newton Prize 2018

Guidance Notes and Terms and Conditions



Contents

Introduction.....	2
The Newton Prize Overview	3
2018 Newton Prize Objectives	4
Chile: Additional Requirements	6
The Award.....	7
Eligibility Guidelines	8
Financial Plans and Justification of Costs	10
Eligible Spend	10
State Aid and Match Funding Exceptions	12
Financial and Project Reporting.....	13
Proof of Organisation and Partner Support.....	13
Application Process	14
Completing the Application Form.....	14
Checklist.....	15
Application Assessment Process.....	15
Shortlisted Applications	17
Announcement of Results.....	18
Changes to Projects	18
Data Protection and Possible Information Disclosure	19
General Data Protection Regulation (GDPR).....	20
Publicity and Acknowledgement	22
Intellectual Property Rights (IPR)	23
Governing Law and Jurisdiction.....	24
ANNEX A.....	25



Introduction

This Guidance Notes and Terms and Conditions document sets out the scope and criteria for applications to the 2018 Newton Prize. The Newton partner countries for 2018 are Brazil, Chile, Colombia and Mexico.

Note: All applications must be received via the electronic portal by 25 May 2018 23:59 GMT.

By submitting your application form for consideration for the Prize, applicants will be deemed to have accepted and agreed to be bound by these Terms and Conditions. Applicants will be required to enter into a formal funding agreement with BEIS prior to award of the monies if they are successful, and this will be based on the Terms and Conditions set out here.

UK National Commission for UNESCO

The UK National Commission (UKNC) for UNESCO in London has been appointed by the UK Government department for Business, Energy and Industrial Strategy (BEIS) as the contractor to administer the Newton Prize application process.

The Newton Prize team based at the UKNC can be contacted for further guidance and information for applicants interested in applying for the Prize. The contacts are:

- Dr Liz Bell (Newton Prize Programme Lead): lbell@unesco.org.uk
- Kia Da Silva Cunha (Newton Prize Project Officer):
administrator@unesco.org.uk +44 (0) 20 7766 3468

Academics, practitioners and other professionals interested in joining the Newton Prize Reviewer Panel to mark the applications should also contact them.



The Newton Prize Overview

The **Newton Prize** is an annual £1 million fund and part of the broader [Newton Fund](#).

The Newton Fund is a £735 million fund which, through science and innovation partnerships, promotes the economic development and social welfare of partnering countries. It aims to strengthen science and innovation capacity and unlock further funding through which the UK and partner countries will build strong, sustainable and systemic relationships. Activities are in three broad categories:

- **People:** increasing capacity for science and innovation in partner countries.
- **Research:** research collaborations on development topics.
- **Translation:** creating collaborative solutions to development challenges and strengthening innovation systems.

The Prize **recognises the excellent research and innovation supported by the Newton Fund**. It aims to incentivise researchers and businesses to participate in the Newton Fund as partners with the UK, and to work on the most important challenges facing Newton countries. The concept for the Newton Prize has been developed to raise the profile of the Newton Fund, to demonstrate how UK partnerships with Newton countries are solving global challenges, and to **celebrate the impacts made as a result of these international collaborations**.

Each year, from 2017 until 2021, a minimum of five Newton funded research, R&D and/or innovation partnerships or teams will be awarded the Newton Prize. Each Prize will be worth up to £200,000, and must be used to advance or develop existing Newton funded work. The Prize will be awarded in most of our Newton partner countries in rotation over the next five years, the exception being where a partner



country has recently joined the Newton Fund and so sufficient time would not have passed for the Newton Fund projects in that country to demonstrate impact, which is one of the main criteria for awarding the Newton Prize. The first cycle of the Newton Prize in 2017 focused on India, Malaysia, Thailand and Vietnam (the [2017 Newton Prize](#) countries).

2018 Newton Prize Objectives

Applications will be open to existing or previous Newton Fund projects, fellowships and other types of Newton Fund awards, with the 2018 Prizes **focusing on partnerships with Brazil, Chile, Colombia and Mexico**. It will be an open competitive process.

The concept for the Newton Prize has been developed to raise the profile of the Newton Fund, to recognise the excellent research and innovation supported by the Fund, to demonstrate how UK partnerships with Newton countries are solving global challenges, and to **celebrate the impacts made as a result of these international collaborations**.

The Newton Fund draws upon Official Development Assistance (ODA) funding to contribute to realising the ambitions of [the UK aid strategy](#), thereby **making progress on the global effort to address the [United Nations \(UN\) Sustainable Development Goals \(SDGs\)](#)**.

The SDGs embody a global commitment to shift the world onto a sustainable and resilient path to development, stimulating action over the next 15 years in areas of critical importance for humanity and the planet while eradicating poverty in all its forms and dimensions. The Newton Prize has clear links with the UN SDGs through its emphasis on providing collaborative solutions to development issues faced by partner countries. The emphasis on inter-disciplinarity and partnership building with developing countries that underpins the Newton Fund, signals an ambition and an



intention to achieve a positive transformational impact on development research and on sustainable global development. A standard definition of sustainability is: 'The next generation can have access to the same opportunities for well-being as this one including physical, human, natural, social and other capital.'

The Prize will be an open competitive process. **A central component of successful applications will be those which clearly explain their contribution to solving development challenges. Prizes will be awarded for eligible projects, fellowships and other types of awards that demonstrate an effect on, change to or benefit to the economy, society, culture, public policy or services, health, the environment, or quality of life, beyond academia and business. This includes when new technologies or knowledge increase economic growth and productivity.** An example would be demonstrating contributions in areas such as health and wellbeing where significant challenges exist including zika, antimicrobial resistance, pandemic diseases, non-communicable diseases and public health. Another example would be when the innovation results in new products, services or processes that increase sales.

Development challenges for the Newton Fund and the Newton Prize are those issues of particular concern to developing countries that may be addressed and improved through research and innovation. These need not be exclusively relevant to developing countries, but must have a disproportionate impact upon them. As an example, zika and malaria are global development challenges as they are prevalent in the developing world and have a disproportionate impact on affected developing countries. However, there are parts of the developed world where zika or malaria are also public health issues. This proportionality of impact is the key to identifying what is a development challenge.

[The 17 UN SDG's](#) and associated targets encapsulate those areas that have been identified as of particular relevance to developing countries. We recommend that applicants be familiar with these in framing their responses.



Please note that making a case for how a project has furthered research, innovation and perhaps individual commercial/business objectives will not be sufficient. You must demonstrate the broader (actual and potential) benefits to society and to improving people's lives, which may include benefits to broader economic growth and productivity.

Chile: Additional Requirements

Please note that there are further requirements for applications linked to Chile in addition to the above.

Chile has graduated from the DAC list of developing countries. As a result it is no longer eligible for ODA funding from 1 January 2018 and therefore cannot be the primary beneficiary of any ODA spending. We are now working with Chile to develop our science and innovation relationship, moving away from Chilean development challenges to focus on joint working to address global development challenges.

Chile is included in the 2018 Newton Prize as it has been a Newton Fund country since the fund was established in 2014, and from the outset the Newton-Picarte Fund has supported excellent research collaborations that have delivered impact on the ground in Chile and more broadly. It would be wrong not to use the Newton Prize to celebrate these.

The Prize money needs to be spent in line with ODA guidance. For Chile it is a strict requirement that the proposed work to be funded by the Prize will be focused on addressing broader regional and global development challenges, building on existing Chilean and UK strengths and relationships to promote economic development and welfare in ODA-eligible countries such as Brazil, Argentina and Peru. Such joint working to address global challenges is in line with our changing science and innovation relationship with Chile.



It is acceptable for there to be secondary benefits for both Chile and UK to be outlined in the proposed work, but the primary benefit and focus of the **proposed** activity must be founded upon addressing development challenges and issues of particular relevance to other developing countries. As an example to demonstrate where the lines may be drawn, it would be acceptable for a programme to be proposed where UK and Chilean researchers were to work together on climate change adaptation, even though both countries face climate change issues in their own right, as developing countries are also particularly vulnerable to climate change. It would not be acceptable for a proposal to have UK and Chilean researchers working together on Parkinson's research as this is a disease of ageing, without particular relevance to developing countries, and in fact is an issue more relevant to the developed world.

The Award

In 2018, one Newton Prize will be awarded to each of the 2018 Newton Prize eligible partner countries (Brazil, Chile, Colombia and Mexico). There is no competition between the eligible countries for these prizes. There will be one additional Prize, the Chairman's Prize, which will have particular heed to cases made for broader regional or global impact and/or other excellence. It may be awarded to one of the four partner countries at the Newton Prize Committee's discretion.

Each project team will have the opportunity to put forward a proposal for up to **£200,000** to further the work of their existing or previous Newton funded award.

The Financial Administration of the Newton Prize Award will be managed by the Department of Energy and Industrial Strategy (BEIS) in collaboration with the UK Newton Fund delivery partners.



Eligibility Guidelines

Only existing or past recipients of Newton Fund awards for Brazil, Chile, Colombia and Mexico are eligible to apply for the 2018 Newton Prize. Applicants must submit projects which have a focus on, or partner in one of the 2018 eligible partner countries (Brazil, Chile, Colombia and Mexico) to be considered.

- **For applicants who currently hold a Newton Fund award:** All current award holders are eligible to apply provided the award has started and work become active before the Prize closing date (25 May 2018). Applicants who hold an award which has already concluded are equally eligible to apply.
- **Location:** Applicants must identify the eligible partner country and where the majority of their proposed project work will be conducted.
- **Lead Principal Investigators:** The lead prize applicant must be the named lead recipient of the funding on the original award i.e. the Principal Investigator (PI) or Fellow or similar and can be the UK or in-country PI or both (if applicable). If the lead PI on an award has changed, or moved on to a different institution, applicants will need to state who the new PI is and include these details in the letter of collaborating partners (showing that the original PI is aware of the application and confirms it will be led by a different PI).
- **For single member applicants (for example fellowship award holders or researcher links award holders):** The same conditions apply. Applicants must be the actual award holder. The host institution/ host supervisor needs to be identified if applicable.
- **For collaborative awards (between institutions or academic/industry partnerships):** All partners must be clearly outlined including governance structures - this includes project roles, relationship to project, in-country partners, the split of any funding, and matched funding (if applicable). Please note that in the case of collaborative projects, only one application can be



made per team. Multiple applications from the different partners involved will not be considered. Agreement to make the application must be obtained from all relevant partners by the Lead Applicant and proof provided in an uploaded letter. Please note that if your application is successful, and the project will be carried out in partnership/collaboration with other organisations (and the Lead Applicant intends to pass on some, or all of, the Prize fund), the Lead Applicant must ensure that any such partner organisations enter into formal, legally binding arrangements with it on terms which are no less onerous than these Terms and Conditions.

- **Regional projects/cross-Newton Partner applications:** Applications linking the UK and one or more 2018 Newton Prize countries, or which connect the UK, a 2018 Newton Prize country and one or more other [DAC List countries](#) are eligible, but one 2018 Newton Prize country must be selected on the application form.
- **Applications from Chile MUST show that they have made a case that their proposed work meets the special requirement for broader regional or global impacts specified in the section on Chile above. All applications from Chile will be initially screened by the Newton Prize Team to check that they have done this before being sent out for review. Applications that fail to do this may be deemed ineligible at this stage.**

Financial Plans and Justification of Costs

Eligible Spend

Newton Prize funding must be used for activities that will advance the future research and innovation work of the research project, partnership, fellowship or other type of award. As the Newton Prize is funded by the Newton Fund, it must be spent on research and innovation activities that will address development challenges and therefore be [ODA eligible](#).

This can include:

- Funding additional research and development.
- New equipment and facilities. **The purchase of equipment must be subsidiary to the aims of the follow on work, any equipment included in the project proposal valued at/or above £10k will need to be signed off by [BEIS](#) at shortlisting stage before being confirmed as an item on the project budget.**
- Employing extra staff/PhD Fellows or funding additional hours for existing staff.
- Additional consumables for the research.
- Additional meetings, visits, workshops etc.
- Overheads.

Provided that applicants make the case that the Prize funding they receive will meet the objectives of the Newton Prize covered above, there are currently no additional criteria placed on eligible costs. Applicants should provide clear details about what exactly they intend to spend the Prize on, and this will be taken into account when reviewing their applications.

Please note that Newton Prize funding cannot be used for:

- Lobbying UK government i.e. activities which aim to influence or attempt to influence Parliament, UK government or political activity.
- Activities which discriminate against any group on the basis of age, gender reassignment, disability, race, colour, ethnicity, sex and sexual orientation, pregnancy and maternity, religion or belief.
- Interest payments or service charge payments for finance leases.
- Gifts.
- Statutory fines, criminal fines or penalties.
- Payments for works or activities which the award recipient, or any member of their Partnership has a statutory duty to undertake, or that are fully funded by other sources.
- Payments for unfair dismissal or other compensation.
- To replace or refund any funds lost to fraud, corruption, bribery, theft, terrorist financing or other misuse of funds.

None of the funds or assets provided under the Prize can be made available or used to provide support to individuals, groups or entities associated with terrorism including those named on the following lists as updated from time to time:

- HM Treasury's Office of Financial Sanctions Implementation – [Financial sanctions: consolidated list of targets.](#)
- UK Home Office – [Proscribed terrorists groups or organisations.](#)
- European Union – [Consolidated list of sanctions.](#)
- United Nations – [United Nations Security Council Sanctions List](#)
- World Bank – [World Bank Listing of Ineligible Firms and Individuals.](#)



Value for money will be a key consideration for the award ensuring all costs are kept to a minimum where possible.

Recipients of the award will need to spend the whole Prize by March 2020, with projects starting in April 2019. Applications need to provide the detailed plan for how teams would use the prize money; this includes a breakdown and justification of costs for each partner involved, and a schedule to outline how the additional funds will contribute to further current work packages. The template below will need to be completed by all applicants and uploaded with the application form.

- [Project Eligible Costs Breakdown and Spend Profile Template](#)

Please explain clearly under **Question 10** what additional funds you would need to reach your research and innovation targets and the reasons for this. Please clearly demonstrate how this work would be additional to the work already being carried out under your Newton award.

Applicants will need to show that their proposal adheres to the central partnership theme of the Newton Fund, **and clearly demonstrate that at least 50% of the prize money will be spent within the Newton Partner country.**

It is important that applicants clearly demonstrate that the money bid for is realistically spendable within the 2019/2020 financial year; April 2019-March 2020. Please note that stated plans may be subject to further discussion and negotiation with BEIS prior to the start of any activities.

State Aid and Match Funding Exceptions

The Newton Prize does not require match funding from any source. However if a UK business is funded through the Prize, there will be a need to ensure that they adhere to [State Aid](#) exemption legislation where some match funding may be required in order to meet exemption rules. This will depend on the specifics of the applicant and



bid. If this is the case with your application please contact the Newton Prize team who can direct applicants to a specialist advisor in BEIS on request (administrator@unesco.org.uk).

Financial and Project Reporting

The Winners will need to regularly report on their use of the Prize money. The Newton Fund and its partners will make contact with the Winners to establish a monitoring and evaluation scheme for the duration of the Prize funded activity.

Proof of Organisation and Partner Support

The application portal requires that the following validation documents be uploaded as part of your application.

For all applicants it is a requirement that you obtain a letter of support from the department in your organisation that administers your Newton Award, or if your existing award is complete, will be hosting the new activity. This letter will need to show the following:

- That the organisation acknowledges and supports your application.
- Confirms that the organisation is able to hold the award and to administer it.
- Confirms that your plans for the Prize money to be spent within the financial year April 2019 – March 2020 are achievable.

For collaborative projects, it is a requirement that you also supply evidence in a letter or other document that the main partners involved have agreed to your making the application and agreed your plans for spending the money.

The application form also includes a question relating to planned governance arrangements with partners for collaborative projects. Any winning collaborative project may also be required to provide more detail on their partnership governance arrangements by BEIS in the autumn.

Application Process

Applicants **must** complete their applications **by 23:59 (GMT) Friday 25 May 2018** on the Newton Prize [Application Portal](#).

Incomplete applications or applications submitted after the closing date will not be considered.

Applications must be completed in English.

2018 Prize Application Timeline

Dates	Activity
w/c 19 March	Call Opens
25 May	Call Closes
25 May-15 June	Eligibility Verification/ Application Peer Review Allocations
15 June - 31 July	Peer Review for Applications
1-30 August	Analysis of Peer Review Feedback and Longlisting
1-30 September	Shortlisting of Applications
30 September - mid October	Shortlisted Applicants contacted and assist with drafting of case studies that will be used in communications material
mid-October	Newton Prize Committee Meeting
31 October	All Applicants contacted with the outcome of their Applications
November to End December	Winners publicly announced at in-country Newton Prize Award Events

Completing the Application Form

This will be an open and competitive process.



The first part of the application process will require applicants to complete an Initial Registration and Eligibility Check (Part A) and submit on the online portal. Applicants will then be automatically emailed a link to fill in the rest of the application (Part B).

Both Part A and Part B must be submitted by the 25 May 2018 deadline to be considered for the Prize. **As there is a substantial amount of work needed to fill in Part B, we strongly advise applicants to submit the shorter Part A as soon as possible and no later than two weeks before the final deadline.**

Please note that we are not able to return forms once they have been submitted. It is therefore important that applicants are satisfied with their responses before submitting Part A and Part B.

Checklist

Before your application is submitted please check you have included/uploaded the following:

- The correct Delivery Partner and Award no (if applicable).
- Project Eligible Costs Breakdown and Spend Profile Template.
- Letter of Departmental/Organisation support.
- Letter of Collaboration (required for projects with multiple team members or organisations involved e.g. consortiums).

Application Assessment Process

Each application must pass an eligibility check by the Newton Prize Team to ensure that they are from Newton Fund award holders for the eligible 2018 countries. Applications may be referred to the relevant UK Delivery Partners and Newton Fund In-Country Teams for validation.



Applications from Chile MUST also show that they have made a case that their proposed work meets the special requirement for broader regional or global impacts specified in the section on Newton Prize Objectives above. All applications from Chile will be initially screened by the Newton Prize Team to check that they have done this before being sent out for review. Applications that fail to do this may be deemed ineligible at this stage.

Please note that passing the eligibility check **does not** indicate that your application will be successful, eligible projects will then be considered in competition with other projects, fellowships or awards.

Applications that pass the eligibility checks will then be assessed by expert, independent peer reviewers with knowledge and experience relevant to the Newton Fund and research and innovation. Applicants have the opportunity to suggest appropriate reviewers on the application form for consideration by the Newton Prize Team.

The assessment criteria will judge the case made for:

- The excellence of the research and innovation under the Newton funded project.
- Its contribution to wider impacts and development challenges i.e. **an effect on, change to or benefit to the economy, society, culture, public policy or services, health, the environment, or quality of life, beyond academia and business. This could include when new technologies or knowledge increase growth and productivity. Please refer to the detailed advice in the section above on Newton Prize Objectives and Annex A on Selection Criteria.**
- Partnerships formed and their contribution to the success of their Newton Funded project/work.



- Value for money, and how plans for spending the Prize money will be additional to the work already being undertaken and will further the development of the project and increase its future impact.

Annex A has further details about the project selection criteria and the marking weightings that will use by reviewers to assess applications. Applicants should refer to this in completing their applications.

Reviewers' feedback from the 2017 Prize - a general report on comments made by reviewers about applications during the 2017 Prize is also available to bona fide 2018 applicants from the Newton Prize Team on request.

Shortlisted Applications

All shortlisted applicants will be contacted in late September or early October about communications from the Prize Awards, including preparation of case studies which will be featured on the [Newton Fund website](#).

Shortlisted applications will be referred to the independent Newton Prize Committee. The Newton Prize Committee will be comprised of members from different academic disciplines and international development expertise. The Committee will review all shortlisted applications, along with feedback from the expert peer reviewers, and identify the Winners at the Prize Committee meeting using their combined cross-disciplinary expertise. Skype interviews with shortlisted applicants may form part of this process.

All applicants are deemed to accept that decisions of the Newton Prize Committee are final in connection with the Prize, and the Committee shall have absolute discretion as to whether an application is to be shortlisted to win or selected to win the Prize from the short-list.



No correspondence or feedback will be entered into with applicants relating to the opinions or decisions of the Newton Prize Committee in relation to the Prize.

An anonymised general feedback report of comments from the reviewers will be provided to applicants by request to administrator@unesco.org.uk, after the 2018 Newton Prize award process is completed and Winners announced. This is intended to inform future research and innovation work and will also be provided to assist applicants for future Prize rounds. The Winners will each receive individual feedback to help in the setting up of their Prize projects.

[Sir Venkatraman Ramakrishnan](#), will chair the Newton Prize Committee. Sir Venki is one of Britain's most eminent scientists. He is President of the Royal Society and a Nobel Prize winning biologist.

Full membership of the Committee will be announced in due course on the [Newton Fund website](#).

Announcement of Results

Shortlisted applicants will be contacted in late September or early October 2018. All **other** applicants will be contacted by the end of October 2018. The winning projects will be publicly announced at Newton Prize Award Events in-country during November and December 2018, dates to be confirmed.

Changes to Projects

Applicants should inform the UK National Commission for UNESCO and BEIS as soon as possible of any changes that materially impact the accuracy of the information contained in the submitted application or the delivery of the project.

Data Protection and Possible Information Disclosure

BEIS, the UK National Commission for UNESCO, the Lead UK Delivery Partners and others involved in the assessment process, as mentioned in the application process in the guidance notes, will use the information provided in the application for processing the application, making any consequential Prize award, for the payment, monitoring, maintenance and review of the award and general Newton Fund proceedings. Information provided in response to this call for proposals, including personal information, may be published or disclosed in accordance with all data protection legislation, including the Data Protection Act 1998 and the General Data Protection Regulation 2018 once it comes into force.

To meet our obligations for public accountability and the dissemination of information, details of the winning applicants and projects/fellowships will be made available on the Newton Fund website and other publicly available databases, and in reports, documents and mailing lists.

Following the Prize award, we may contact Winners concerning funding opportunities or events, or for the purposes of monitoring and evaluation and promotion of the Newton Fund. In some cases we may wish to authorise an affiliate person or organisation to contact Winners on our behalf.

By clicking “Submit” for your application on the on line portal you consent to the following:

- You agree to share your details with the delivery partner for the Newton Prize (UKNC for UNESCO), as well as BEIS (the Department of Business, Energy and Industrial Strategy) and the necessary associated partners and to be contacted by them.
- You agree that information may be used for the purpose of assessing your application and validating claims made herein, in addition to further



monitoring, evaluation and communication purposes including the creation of case studies.

- You agree that the UKNC for UNESCO, BEIS, or an affiliate person or organisation authorised by us, may contact you concerning funding opportunities or events, or for the purposes of monitoring and evaluation and promotion of the fund.
- You understand our obligations under the Freedom of Information Act 2000, the Data Protection Act 1998, the Environmental Information Regulations 2004 and the General Data Protection Regulation 2018.

General Data Protection Regulation (GDPR)

BEIS complies with its obligations under the GDPR by keeping personal data up to date; by storing and destroying it securely; by not collecting or retaining excessive amounts of data; by protecting personal data from loss, misuse, unauthorised access and disclosure and by ensuring that appropriate technical measures are in place to protect personal data.

Your personal data will be used for the purposes of administering and operating the Newton Prize and any successful award of grants in relation to this:

- The data controller is the Department for Business, Energy & Industrial Strategy (BEIS). You can contact the BEIS DPO at: BEIS Data Protection Officer, Department for Business, Energy and Industrial Strategy, 1 Victoria Street, London SW1H 0ET. Email: dataprotection@beis.gov.uk
- The UK National Commission for UNESCO (UKNC) will be processing your personal data solely for the purpose of determining your eligibility to apply for the Newton Prize and subsequently to assess your justification for being awarded the Prize. Your personal data will not be shared or disclosed to any other party outside BEIS, the UKNC, reviewers and other relevant partner organisations involved in the assessment process as mentioned under the

“Application Process” section in the Guidance Notes without your explicit consent. We are collecting your data as part of this specific task, and for this specific purpose only.

- The data you provide may be transferred to organisations in the 2018 Newton Prize countries: Brazil, Chile, Colombia and Mexico; as part of the administration of the Newton Prize, such as the Newton Officers based at the British Embassies or local funding partners in those countries. A list is available on the [Newton Fund website](#).
- The information you provide will be retained for a period up to 3 years.
- A full list of your rights under the General Data Protection Regulation (GDPR) is accessible at: <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/>.
- You have the right to withdraw your consent at any time where BEIS and other relevant partners are relying on consent to process your personal data.
- The provision of the information you provide is not connected with automated individual decision making (making a decision solely by automated means without any human involvement) or profiling (automated processing of personal data to evaluate certain things about an individual).
- You have the right to lodge a complaint with the ICO (supervisory authority) at any time. Should you wish to exercise that right full details are available at: <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/>.



Publicity and Acknowledgement

BEIS wishes to publicise the outcome of the Call for Proposals. Therefore after the shortlisting of projects BEIS will publish case studies and other material, agreed with the projects on the Newton Fund website, publication and other stakeholders' mediums. Your answer to Q5i on Part A of the application form will be an important input to the creation of any case study linked to your work. Detailed guidance on how to write your answer is provided on the application form. Examples of the style that we are looking for can be found in the [case studies](#) published for the 2017 Newton Prize shortlisted projects.

Applicants should state in their application if they believe any of the information supplied by them is confidential or commercially sensitive, or should not be disclosed in response to a request for information. Applicants should also state why they consider this information to be confidential or commercially sensitive.

If we receive a request for disclosure of the information we will take account of any such explanation, but we cannot give an absolute assurance that confidentiality can be maintained in all circumstances. We will consider any requests in the light of the relevant exemptions or exceptions provided in the legislation, and will normally consult with the provider of the information before making any decision on release. An automatic confidentiality disclaimer generated by your IT system will not, of itself, be regarded by us as a confidentiality request. It is important to note that some information may be commercially sensitive for a time (e.g. during the application process) but afterwards it may not be. The timing of any request for information may therefore be extremely important in determining whether or not information is disclosed or withheld.



The Winners and applicants who are shortlisted by the Prize Committee agree to be part of Newton Fund publicity about the Prize. This shall include:

- The use of their name, image, designation and the content of their application for those publicity purposes connected with the Prize as the Newton Fund shall reasonably require (including, but not limited to, the applicant appearing in photography, film and print media).
- Taking a leading role in such related activities should their application be selected to win the Prize.
- Continuing to support the Prize in subsequent years by any means that the Newton Fund may reasonably request.
- Complying with the Newton Fund's reasonable instructions in relation to such publicity activities from time to time.

Winners will also be required to publicise their win in their countries as part of the publicity activities agreed under their existing Newton Fund award. This will include getting the written permission of the Newton Fund to all promotional activity, public statements or press releases about the Prize, and following our requirements with respect to acknowledging the Newton Fund and its partners in publicity about the project, and incorporating the appropriate logos in marketing materials in accordance with [Newton Fund Brand Identity Guidelines](#).

Intellectual Property Rights (IPR)

The applicants shall be responsible in full for the content of their applications.

Protection of any IPR in any content submitted as part of an application is the sole responsibility of the owner of such rights. We recommend that no application is made before the protection of any such rights has been considered. All applications are made at the applicants own risk in this respect and in submitting an application the applicant agrees to release the Newton Prize Committee, UK National Commission for UNESCO, Newton Fund, BEIS and all connected persons from any liability



relating to infringement (whether actual or threatened) of any such rights by a third party anywhere in the world.

In submitting an application to be considered for the Prize, applicants agree fully to indemnify the Newton Prize Committee, UK National Commission for UNESCO, Newton Fund, BEIS and all connected persons in respect of all actions, claims, costs, damages, demands, expenses, fines, liabilities, losses, penalties, sanctions, amounts paid in settlement, out of pocket expenses, interest, penalties, and all legal and other professional costs and expenses that may be incurred by any of them in respect of any claims that the application and the content that it contains infringes the proprietary rights of a third party.

Governing Law and Jurisdiction

The terms and conditions of the Prize award will be governed by the laws of England and Wales. All matters relating to the terms and conditions will be subject to the exclusive jurisdiction of the courts of England and Wales.

If any provision of these terms and conditions is found by a court or other legitimate body to be illegal, invalid or unreasonable, it will not affect the remaining terms and conditions which will continue in force.

ANNEX A

2018 NEWTON PRIZE SELECTION CRITERIA

Many of the questions in the application form relate to providing background and contextual information, for example project titles, sectors addressed etc. and will not be marked.

Newton Prize applications will be reviewed and assessed on their ability to demonstrate how they meet the following selection criteria. The weightings for the individual criteria, expressed as percentages of total awarded marks, are indicated below. The questions relating to these specific criteria, and an indication of the key points reviewers will be looking for, are highlighted below.

Criteria 1 to 5 apply to ALL applicants. Applications for Chile must clearly address Criterion 5 in their application to proceed to the review stage. Applicants who also wish to be considered for the Chairman's Prize are advised to make a strong case under Criterion 5 too.

OVERALL PRIZEWORTHINESS

The Newton Fund emphasises creating collaborative solutions to development challenges and strengthening innovation. Please note that under the Newton Prize we are primarily looking for strong evidence of impact (or pathway to impact) along with excellence of research.

As well as the specific marks awarded for the criteria below, our reviewers will also be asked to state whether they believe your application is worthy overall of receiving such a prestigious prize. This will be a simple Yes/No answer. Applications must



receive a “Yes” rating from at least one of the reviewers marking their application to be considered for the longlists and shortlists.

CRITERION 1: THE QUALITY OF RESEARCH AND INNOVATION

Overall Marking Weighting: **(35%)**

Comprised of:

For your past or current Newton Funded work (30%).

For your proposed Newton Prize project (5%)

In assessing this criterion we will consider responses to the following questions:

Q7d

This question is asked to assess what has been achieved as a result of your past or current Newton Funded award, and how can this work be advanced as well as how it would be taken forward and developed.

You should summarise the overall results of your Newton Fund research and/or innovation work with clear and measurable evidence of this impact/outcome.

What were the key results or outcomes and what were the actual or potential impacts? For example, advancing a technology that will result in cheaper energy and supporting this with facts and figures eg X number of X was delivered, X researchers supported and went on to work in X and so on.

Applicants are required to demonstrate the quality and innovation of the prior work.

Reviewers will be looking for well evidenced work that is demonstrably excellent, significantly innovative and has made a substantial, clearly demonstrated contribution to research or practice.

Q8e

You will need to explain how your PROPOSED work will build on your existing Newton funded work and give details of the activities that will be undertaken.

This must not be a repeat of what you have been doing, but must be for a new package of work, or another aspect of your work not previously done or funded as part of your Newton Fund grant.

Applicants must demonstrate that risks for their PROPOSED work have been managed and that they are capable of effective project management and delivery ensuring a successful outcome.

We will consider a range of factors that might impact on successful delivery of the project goals. These will include, but are not limited to, factors such as:

- The completeness and quality of the proposed project plan.
- The track record of the individual(s)/team(s) involved in the project (as described by the applicant).
- The project's access to the necessary skills and facilities (for example: does it have the necessary personnel, technology, location, samples, case study etc).

Q9b-d

If you answer yes to **Q9b** that your proposed work will involve a formal collaborative partnership, additional questions will appear for you to answer. You will need to clearly demonstrate to the reviewers under **Q9c** that you have explained the role of each partner and the contribution they are going to make, outlined the governance arrangements that will be put in place to ensure smooth delivery of the project and to minimise organisational and project management risk. The reviewers will be asked to comment if they find your explanation acceptable, and if the required Proof of Support letter or other document required under **Q9d** has been uploaded and provides tangible proof that the main partners involved have agreed to your making the application and the overall governance framework.

CRITERION 2: OUTCOMES AND IMPACTS

Overall Marking Weighting: 35%

Comprised of:

For your past or current Newton funded work (30%).

For your proposed Newton Prize project (5%)

Please note that the Newton Fund uses the same definition of impact as used in the UK Research Excellence Framework (REF): “An effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment of quality of life, beyond academia.” or when new technologies or knowledge increase economic growth and productivity. For example when the innovation results in new products, services or processes that increase sales or result in other forms of enhanced business performance.

Applications will be assessed on the quality, reach and significance of the outcomes and impacts. Reach means the range and extent of people or organisations who benefited or are expected to benefit. Significance means the importance/magnitude of the benefits. The reviewing process will form an overall view on the case made for reach and significance, rather than assessing them separately. The assessment process will look for clear evidence of the people or organisations who benefited (e.g. business, government, third sector organisation, or wider society) and also how they benefitted, and/or a cogently argued case for how people or organisations are expected to benefit.

It is very important to demonstrate how the actual or anticipated outcomes and impacts have contributed or will contribute to development challenges. Please refer to the advice on development challenges in the main sections of these Guidance Notes.



In assessing this criterion we will consider responses to the following questions:

Q7d.

As well as the results that you are required to describe for this question for Selection Criterion 1 above, you must also explain the actual and/or expected impacts and outcomes of your Newton funded work in your answer to this question and who has benefited and/or will benefit.

Evidence must be presented to substantiate the case that beneficial impacts have been made or are reasonably anticipated. A distinct and material contribution from the Newton funded activity (rather than from activities supported from other funding sources) to the impact outcome must be demonstrated.

Q7e.

You will need to explain the particular development challenges in your Newton Prize country/ community that your Newton funded work has already addressed. You will need to show how you have been able to make a contribution/impact in tackling these, and/or an anticipated contribution/impact, including any solutions that you have provided/will provide for particular issue(s) and provide evidence to support your answer. The assessment will examine whether applicants can clearly articulate which development challenges their work has impacted, or will impact, and how. Emphasis will be placed on applicants' ability to explain how their work has been or will be useful to improving the lives of people in the partner country and elsewhere.

Please note that making a case for how a project has furthered research, innovation and perhaps individual commercial/business objectives will not be sufficient. The broader actual and potential benefits to society and improving people's lives must also be demonstrated, and may include benefits to broader economic growth and productivity.

Q8f

This relates to your **PROPOSED** future research and innovation work and its anticipated outcomes/impacts if you should win a Prize. You will need to summarise your overall intermediate expected outputs/ outcomes as well as the longer term impacts. What do you think your result/impact will be? Who will benefit? Examples include advancing a technology that will result in cheaper energy, providing affordable healthcare, providing a particular service benefitting a community in the partner country or group of vulnerable/marginalised people etc.

Q8g

You will need to explain how your **PROPOSED** work under the Prize would further address the development challenges you have discussed in Q7e above and/or how you would address additional development challenges for your Newton Prize country/community. The assessment will examine whether applicants can clearly articulate which development challenges their work is expected to impact and how. Emphasis will be placed on applicants' ability to explain how their work is expected to be useful to improving the lives of people in the partner country and elsewhere.

Please note that making a case for how a project is expected to further research, innovation and perhaps individual commercial/business objectives will not be sufficient. The broader actual and potential benefits to society and improving people's lives must also be demonstrated, and may include benefits to broader economic growth and productivity.



CRITERION 3: KNOWLEDGE EXCHANGE AND PARTNERSHIP DEVELOPMENT

Overall Marking Weighting: 15%

Comprised of:

For your past or current Newton funded work (10%).

For your proposed Newton Prize project (5%)

In assessing this criterion we will consider responses to the following questions:

Q7f

You will need to explain how your Newton funded work has supported the development of partnerships within your Newton Prize country, between that country and the UK or internationally with other [DAC](#) listed countries. You should clearly describe the nature of the partnerships that have been created, whether of a formal collaborative nature or informal, and set out in detail the outcomes achieved.

Q9a

You will need to explain how your **PROPOSED** work will use Prize money to support the development of partnerships within your Newton Prize country, between that country and the UK or internationally with other [DAC](#) listed countries. Partnerships that will be created, whether of a formal collaborative nature or informal and the expected outcomes will need to be clearly described.

Q11

You will need to describe any wider learning expected to be secured from your **PROPOSED** work which will be of wider benefit. All applicants will need to clearly describe the knowledge that will be transferred to potential users and other stakeholders and the ways that this will be done. This can be through a variety of mechanisms and routes such as publications, workshops, and interactions with the



media, policy makers and potential users. Evidence that inclusive approaches have been taken, for example involving potentially marginalised groups or users of a particular service being offered, will be particularly welcome.

CRITERION 4: VALUE FOR MONEY AND EFFECTIVE FINANCIAL PLANNING

Overall Marking Weighting: For your proposed Newton Prize project (5%)

In assessing this criterion we will consider responses to the following questions:

Question 10d and 10e

You will need to address exactly how you plan to spend the Prize money, demonstrating value for money and ODA compliance. Prize funding must be used for activities that will advance the future research and innovation work of the research project, partnership, fellowship or other type of award. As the Newton Prize is funded by the Newton Fund, it must be spent on research and innovation activities that will address development challenges and therefore be [ODA eligible](#).

In assessing this criterion we will consider:

- The feasibility of the proposed project given the level of grant funding applied for i.e. is the funding sufficient to deliver the impacts sought?
- Has it been demonstrated that the money bid for is value for money and realistically spendable within the 2019/2020 financial year?
- Does it comply with eligible costs stated in these Guidance Notes. Are there any concerns that the plans may not meet ODA requirements?

Important: Applicants must demonstrate that the Prize money will not be used to cover outstanding costs of their original award but to fund a new package of work, or another aspect of their work not previously done or funded as part of their original Newton Fund grant.



CRITERION 5: REGIONAL AND/OR GLOBAL RELEVANCE AND IMPACT

Overall Marking Weighting: For your proposed Newton Prize project (10%)

Whilst this criterion will be relevant for all applications, please note that applications wishing to be considered for winning a prize for Chile **MUST** demonstrate impact or potential impact in the wider developing world, rather than solely Chile, as it is no longer a DAC list eligible country. Applications for Chile will need to respond to this for your application to proceed to the review stage and be scored highly.

Applicants who also wish to be considered for the Chairman's Prize, or to maximise their overall scores for the other Prizes, are advised to make a strong case under this criterion too.

This criterion is intended to highlight projects that either have succeeded, or will succeed, or could succeed, in demonstrating broader impact and relevance beyond their Newton Prize Country. This can be demonstrated in a variety of ways. For example, applying the results of your research or other knowledge transfer in a different DAC country (ies); technology development/transfer; capacity building; developing international partnerships; or, translating work from addressing a national to a global development challenge, etc. Answering Q7g and Q8i will not only give you an opportunity to earn extra marks towards winning a Prize for your particular 2018 Newton Partner Country, but will also give you an opportunity to be considered for the Chairman's Prize which will focus on this aspect.

In assessing this criterion we will consider responses to the following questions:

Q7g

If this criterion applies to your work, you will need to describe how your Newton funded work has met this criterion and provide evidence.



Q8i

For all applicants, if this criterion applies to your work, you will need to describe how your **PROPOSED** work will meet this criterion and provide evidence. Your case will be strengthened if you can show how this builds on your answer to Q7g.