



2017 Newton Prize Guidance Notes and Terms and Conditions

By entering for consideration for the Prize, applicants will be deemed to have accepted and agreed to be bound by these Terms and Conditions.

The Newton Prize

The Newton Prize is an annual £1 million fund and a part of the broader [Newton Fund](#). The Prize 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, and to demonstrate how UK partnerships with Newton countries are solving global challenges.

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, must be used to advance or develop existing Newton funded work, and must be spent within the calendar year for which it is awarded. The Prize will be awarded for the best **research or innovation** 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 or business.

The Prize will be awarded in all of our Newton partner countries over the next few years, with the first prizes being awarded through our partnerships with India, Malaysia, Thailand and Vietnam (**the 2017 Newton Prize countries**).

2017 Prize Objectives

The Prize recognises the **excellent research and innovation** supported by the Newton Fund and aims to celebrate the impacts made as a result of these international collaborations.

Applications will be open to existing or previous Newton Fund projects, fellowships and other types of Newton Fund awards, with the 2017 Prizes **focusing on partnerships with India, Malaysia, Thailand and Vietnam**.

Prize winners will each be awarded up to £200,000 to advance the work of their existing Newton Fund awards.

This will be an open competitive process. **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. Applications must**



show the contribution to development challenges. An example would be demonstrating contributions in areas such as health and wellbeing where significant challenges exist including antimicrobial resistance, pandemic diseases, non-communicable diseases and public health.

The 2017 Newton Prize will be awarded to a minimum of two winning projects, fellowships or other type of award in India and a minimum of one each in Thailand, Malaysia and Vietnam. India will receive additional Prizes given its breadth of Newton funded awards. There is no competition between the eligible countries.

The Award

Each project, programme, team, fellow or other type of award chosen as a winner of the Newton Prize will receive an award **of up to £200000** to further their work within their existing Newton funded award.

Eligibility

Only existing or past recipients of Newton Fund support for projects, fellowships and other types of award linking the UK and India, Malaysia, Thailand or Vietnam (the 2017 Newton Prize countries) are eligible to apply for the 2017 Newton Prize.

Applicants who have been the recipient of Newton funding in the past, or who are currently receiving a Newton Fund award, are equally eligible. However the award must have started and its work become active before the closing date for Prize applications (19 June 2017).

All types of awards held under the Newton Fund are eligible, whether from the UK or 2017 Newton Prize country partners or funders, and including small and large awards. Diverse applications from different types of Newton awards and amounts of funding are encouraged and will be taken account of in the marking process.

The applicants must be the named lead recipient of the funding on the original award i.e the Principal Investigator or Fellow or similar.

For collaborative projects, where there is a UK Principal Investigator as well as an in country Principal Investigator, we recommend that the UK Principal Investigator completes the application as Lead Applicant. This is only to help administration of any Prize money post award and no disadvantage is intended to other types of project. It is possible to submit the names of both a UK and an in-country Lead Applicant on the application form. Projects led entirely in-country should submit under the in-country Lead Applicant.

Please note that in the case of collaborative projects, only one application can be made, not multiple applications from the different partners involved. Agreement to make the application must be obtained from the partners by the Lead Applicant.

Regional projects, fellowships or other awards linking the UK and one or more 2017 Newton Prize countries, or which connect the UK, a 2017 Newton Prize country and one or more other [DAC List countries](#) are eligible, but one 2017 Newton Prize country must be selected on the application form.

Match Funding

The Newton Prize does not normally 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 be dependent on the specifics of the applicant and bid (i.e. if De Minimis or GBER may apply). The Newton Prize Team can put applicants in contact with a specialist advisor in BEIS on request to administrator@unesco.org.uk

Eligible Costs

The 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 above the value of £10k will need to be signed off by [BEIS](#) before any award can be made.**
- Employing extra staff/PhD Fellows or providing additional staff time 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 (i.e. ODA eligible, and used for activities that will advance the future research and innovation work of the research project, partnership, fellowship or other type of award), BEIS do not wish to place any additional criteria on eligible costs. Applicants should be clear 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, or UK legislative or regulatory action.
- Activities which directly enable one part of government to challenge another on topics unrelated to the agreed purpose of the award.

- To petition UK Government for additional funding.
- VAT reclaimable by the award recipient from HMRC.
- Activities which may lead to civil unrest.
- 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.
- Activities in breach of EU legislation or State Aid.
- Bad debts to related parties.
- 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.](#)

Financial Plans and Justification of Costs

Value for money will be a key consideration criterion for the award.

The Winners will need to spend the whole Prize within 2018 starting in January. Your application needs to provide your detailed plans for how you would use the money with a breakdown and justification of costs, and show how the additional funds will further your research and/or innovation project.

If you are a UK business you may need to demonstrate how your plans for matched funding meet [State Aid](#) requirements. This will be dependent on the specifics of the applicant and bid (i.e. if De Minimis or GBER may apply). The Newton Prize Team can put applicants in contact with a specialist advisor in BEIS on request to administrator@unesco.org.uk



The breakdown of costs and justification for them are requested in the application form (Question 9). Please complete this question by explaining clearly 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.

Please upload a document showing clearly which costing lines you have included and the amount of money you ask for. If the funding you requested will be used both in the UK and in the Newton country, please arrange your table accordingly so that the reviewers will be able to see how much is requested under each cost item for which country. If the money is to be divided between different partners in the project clear information needs to be given how this is to be split.

It is important that you clearly demonstrate that the money you bid for is realistically spendable within the 2018 calendar year. Your stated plans may be subject to further discussion with your Newton Award funding body prior to the start of any activities.

Proof of Organisation and Partner Support

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 finished, will be hosting the new activity. This will need to show the following:

- Acknowledges that the organisation knows about 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 calendar year January to December 2018 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 portal requires that these documents be uploaded as part of your application.

Financial and Project Reporting

The Winners will need to 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.

Application Process

The Prize application process is being administered by an independent partner to the Newton Fund, the [UK National Commission for UNESCO](#).



Applicants **must** complete their applications by **12pm (BST or GMT+1) Monday 19 June 2017** 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.

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 19 June 2017 deadline to be considered for the Prize.

This will be an open and competitive process. Applications must make the case 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.
- 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.

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.

Prize Shortlisting Process

Each application must pass an eligibility check by the Newton Prize Team. Applications may be referred to the relevant UK funders (Lead Delivery Partners) and Newton Fund In-Country Teams for validation.

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

Applications that pass the eligibility check will then be assessed by a minimum of two expert, independent peer reviewers with knowledge and experience relevant to the Newton Fund and research and innovation.

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

Short listed candidates from this process will be referred to the independent Newton Prize Committee.

The Newton Prize Committee will review all of the short-listed applications, along with feedback from the expert peer reviewers, and identify the Winners using a consistent scoring system. 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 short-listed 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.

Some anonymised feedback from the reviewers on individual applications, may be provided by request to administrator@unesco.org.uk from the applicants directly concerned, after the 2017 Newton Prize award process is completed and Winners announced. This is provided in confidence and intended to inform their future research and innovation work.

[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 Winners

Applicants will be contacted by the 30 November 2017 with the outcome of their applications. The Winners and short listed candidates will be announced by the end of December 2017 and featured on the [Newton Fund website](#).

Data Protection

The Newton Fund, UK National Commission for UNESCO and Lead UK Delivery Partners 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.



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.

The Newton Fund operates within the Freedom of Information Act 2000 and the Data Protection Act 1998.

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, Newton Fund 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 and the Data Protection Act 1998.

Publicity and Acknowledgement

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.

Any Questions?

Please contact administrator@unesco.org.uk