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विश्वविद्यालय अनुदान आयोग

बहादुर शाह ज़फर मार्ग,

नई दिल्ली-110 002 (भारत)

UNIVERSITY GRANTS COMMISSION

BAHADUR SHAH ZAFAR MARG

NEW DELHI-110 002 (INDIA)

F.No. 184-1/2011(IC)

March, 2012

The Registrar

Sub: UK-India Education and Research Initiative-Call for proposals – Thematic Partnerships in all fields of Sciences, Humanities, Social Sciences and Science and Technology for the year 2012.

Sir/ Madam,

In continuation to this office circular of even number dated 22-11-2011, it has been decided to extend the last date for receipt of completed applications up by 16<sup>th</sup> April for online (soft copy) submission and hard copy can be submitted by 15<sup>th</sup> May 2012.

The completed applications may be sent to:

Suruchi Pareek  
UKIERI Secretariat  
British Council Division  
17, Kasturba Gandhi Marg  
New Delhi – 110001  
E-mail:- [ukieri@in.britishcouncil.org](mailto:ukieri@in.britishcouncil.org)

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


**A photocopy of the same should be sent to:**

Mrs.Sushma Rathore  
Section Officer  
Room No.508-A  
University Grants Commission  
Bahadur Shah Zafar Marg  
New Delhi – 110 002  
E-mail:- [ugcic2@gmail.com](mailto:ugcic2@gmail.com)

All enquiries should be directed to: [ukieri@in.britishcouncil.org](mailto:ukieri@in.britishcouncil.org)  
The application which is incomplete in any way – including the omission of any signatures and dates on the hard copy version-will not be entertained.

The applicants are advised not to make frequent enquiries about the result. Instead, they may visit UKIERI website [www.ukieri.org](http://www.ukieri.org) for the same. However, the individual applicants will be informed, separately by e-mail and post.

Yours faithfully,

  
(Dev Swarup)

**SPEED POST**

F. No. 184-1/2011 (IC)

November, 2011

**Sub: UK-India Education and Research Initiative- Call for proposals- Thematic Partnerships in all fields of Sciences, Humanities, Social Sciences and Science and Technology for the year 2012.**

Sir/Madam,

The UK India Education and Research Initiative (UKIERI) started in April 2006 with the aim of enhancing educational links between India and the UK. In the last five years, UKIERI has played a pivotal role in establishing a step change in the education relations between the two countries, In recognition of the substantial achievements and building on the success of this initiative, the programme has been extended for another 5 years from 2011 to 2016.

Under the programme, the UGC and UKIERI invite proposals for 2012 in all subjects from the Universities/Higher Education Institutions recognized under Section 2(f) and 12B of UGC Act. The details of the offer, eligibility conditions, funding etc may be seen at **Annexure-I**. The application may be submitted in the prescribed proforma (**Annexure-II**). The information and documents are also available on the UGC website i.e. [www.ugc.ac.in](http://www.ugc.ac.in) and [www.ukieri.org](http://www.ukieri.org)

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

The last date for the receipt of the signed and authorized hard-copy at the address given below is **15<sup>th</sup> March, 2012.**

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

**Hard copy applications should be sent to:**

Suruchi Pareek  
UKIERI Secretariat  
British Council Division  
17, Kasturba Gandhi Marg  
New Delhi 110001  
Email:[ukieri@in.britishcouncil.org](mailto:ukieri@in.britishcouncil.org)

Contd./-

**A photocopy of the same should be sent to:**

Sushma Rathore  
Section Officer  
Room No. 508-A  
University Grants Commission  
Bahadur Shah Zafar Marg  
New Delhi -110 002  
Email: [ugcic2@gmail.com](mailto:ugcic2@gmail.com)

All enquiries should be directed to: [ukieri@in.britishcouncil.org](mailto:ukieri@in.britishcouncil.org)

The application which is incomplete in any way- including the omission of any signatures and dates on the hard copy version- will not be entertained.

The applicants are advised not to make frequent enquiries about the result. Instead, they may visit UKIERI website [www.ukieri.org](http://www.ukieri.org) for the same. However, the individual applicants will be informed, separately by e-mail and post.

Yours faithfully,

Encl: as above

Sd/-  
**(Dev Swarup)**



**UKIERI**  
UK-India Education  
and Research Initiative

Call for Proposal 2011-12

Grant Application

UGC-UKIERI Thematic Partnerships

Deadline for submission of proposal

**15<sup>th</sup> March, 2012**

**UNIVERSITY GRANTS COMMISSION**  
Bahadur Shah Zafar Marg  
NEW DELHI – 110 002

**UK-INDIA EDUCATION AND RESEARCH INITIATIVE**  
British Council  
17, Kasturba Gandhi Marg  
NEW DELHI – 110 001

[www.ugc.ac.in](http://www.ugc.ac.in)

[www.ukieri.org](http://www.ukieri.org)

## **BACKGROUND OF THE PROGRAMME**

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

In 2011, the University Grants Commission (UGC) and British Council signed a bilateral agreement, to support the following type of activities:

- Collaboration between Higher Education Institutions (HEIs) in India and the UK to work with key partners and stakeholders in both countries with the aim of providing opportunities to teachers, faculty members, senior staff and students from universities, colleges and other educational institutions to build capacity.
- Programmes that aim to provide opportunities for the UK and Indian universities to collaborate on thematic partnerships on mutually agreed areas.
- Activities and strand programmes that aim to foster mobility of students across the two countries.
- Activities and programmes that work towards the transferability and equivalence of qualifications through recognition of learning and achievements between the two countries.
- Activities and strand programmes for jointly supported scholarships and fellowships.

For details on strands, please visit [www.ukieri.org](http://www.ukieri.org)

### **GUIDELINES ON UGC-UKIERI THEMATIC PARTNERSHIPS**

**The first part of the guidelines provides background information and general information about the UGC-UKIERI Thematic Partnerships.**

**The second part provides specific guidelines for completing the application form.**

**The applicants are strongly encouraged to read both parts of this document and the guidelines on the application form, in detail, well in advance of starting to complete the application as the application will require significant advance preparation and inputs from various parties.**

## **BACKGROUND AND GENERAL GUIDANCE**

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

Each project for funding should involve a mix of activities and must include two lead teams: one based in the UK and the other based in India. The collaboration should involve staff and researcher exchanges between the UK and India, including for research students. The programme is open to all universities and research centres and teams in the UK and India (which are recognised under the Section 2(f) and 12 B of the UGC Act).

## **SUBJECTS/DISCIPLINES COVERED**

The partnerships will be for all subjects including Humanities, Social Sciences, Science and Technology projects jointly funded by University Grants Commission and UKIERI.

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

## **Eligibility**

UGC-UKIERI Thematic Partnerships are intended to be between institution-based research teams in the UK and India of proven research ability. The Project Leaders must be of at least postdoctoral status or equivalent. Each project must be a joint submission by the UK and Indian teams, through

their institutions and endorsed by the respective heads of institutions or their delegated authority.

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

Indian Project Leaders should be based in an Indian university or research institution and be resident of India (as indicated in Background and General Guidance).

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

## **ACTIVITIES THAT UGC-UKIERI FUNDING WILL COVER**

UGC-UKIERI funding is designed to support the collaborative costs of the joint research project(s). All proposals will need to include details of contributions from the institutions involved, and from other sources. The majority of UGC-UKIERI funds will be used to support exchanges between the research teams in the two countries. There are standard UKIERI or UGC 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).

A UGC-UKIERI project grant can cover:

- i. Research Staff and (Postdoctoral) Research Fellows' (or equivalent) exchanges: to include travel related and accommodation costs for a maximum duration of 15 days per year



- ii. Research Students (Postgraduate and PhD) exchanges: to include travel related and accommodation costs for a maximum duration of 89 days per year
- iii. Reasonable costs directly associated with the research activities e.g. reagents and other specialist laboratory consumables, (of up to £2,000 per annum and pro rata per research student, to a maximum of 15% of the total amount requested from UGC-UKIERI) etc
- iv. Other costs directly associated with the delivery of the project and not mentioned above, will be considered on an ad hoc basis
- v. Up to four visits each side, per year is permitted.

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.*

UGC-UKIERI funds are not intended to contribute towards the costs of staff time associated with the projects nor for administration or other institutional overheads.

Existing research partnerships, receiving funding from Government/other sources are not eligible to apply under the UGC-UKIERI partnerships.

It is expected that Institutions/Scholars involved in the UGC-UKIERI partnership will ensure that all IPR related matters will be addressed appropriately.

## **DURATION AND VALUE OF PARTNERSHIPS**

UGC-UKIERI funds are available for partnerships of up to 2 years in duration. UGC-UKIERI partnerships will provide for a maximum of £60,000 over the duration of the project, subject to availability of funds.

Quantum of funding for the project would be decided by the Project Grant Committee having representatives from UGC and British Council. This will be based on

- Justification submitted by institution.
- Subject to availability of funds.

## **APPLICATIONS FROM PARTNERSHIPS**

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

## **GENERAL CRITERIA FOR THE AWARDS**

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

- They will be competitive
- The evaluation process will be transparent and consistent
- They should be submitted jointly by the Indian and UK Project Leaders
- They must have the formal support of the respective heads of institutions/organisations

## **EVALUATION PROCESS**

### **STEP 1: INITIAL SCREENING**

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

### **STEP 2: SHORTLISTING BY ASSESSEMENT PANEL**

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

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

### STEP 3: FINAL SELECTION BY EVALUATION PANEL

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

### STEP 4: PROJECT BOARD AGREEMENT

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

## EVALUATION CRITERIA

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

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

## **FINANCIAL PROPOSAL**

Please summarise the estimated costs (£ Sterling) over the period of the project on an annual basis (i.e. normally for a Financial Year 1 April – 31 March).

- 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 with regard to travel.
- Student and other institutional fees: however it is anticipated that participating institutions will discount these significantly as part of their contribution to UKIERI.
- Project specific costs (up to 15% of the total project funding): UKIERI funds can be used to contribute for such needs. However, funds can not be employed to meet the regular administrative costs or running costs of the institution.
- Any other costs to be met from UKIERI funds should be itemised.

The following costs are not eligible:

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

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 the sake of consistency, please employ an exchange rate of £1 = INR 73. (Although the rate used for payments may vary depending on the exchange rate at the time).

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 (i.e. normally for a Financial Year 1st April – 31st March). You must use the table provided to set out your costs in detail, in the format required.

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

UGC-UKIERI has set rates given below for allowances:

### **Allowances for Indian research team members travelling to the UK**

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

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

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

The hospitality will be provided by the receiving side.

### **Allowances for UK research team members travelling to India**

Daily allowance for Research Staff and Fellows: 1000 INR

Daily allowance for Research Students: 500 INR

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

The hospitality will be provided by the receiving side.

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

## **SUBMITTING YOUR APPLICATION**

**Please download the form including work plan and financial sheet for filling up and submitting the proposal. The deadline for submitting the**

**proposal for UGC-UKIERI partnerships is Thursday, 15<sup>th</sup> March 2012 by 1700 hours IST.**

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

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

**Please note:** The hard copy must be exactly the same as the copy submitted online, with the exception of the addition of the relevant signatures and dates.

**Hard copy applications should be sent to:**

UGC-UKIERI Thematic Partnerships  
UKIERI Secretariat  
British Council Division  
17, Kasturba Gandhi Marg  
New Delhi 110001  
Email:ukieri@in.britishcouncil.org

**A photocopy of the same should be sent to:**

Sushma Rathore  
Section Officer  
Room No. 508-A  
University Grants Commission  
Bahadur Shah Zafar Marg  
New Delhi -110 002  
Email: ugcic2@gmail.com

All enquiries should be directed to: [ukieri@in.britishcouncil.org](mailto:ukieri@in.britishcouncil.org)

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**UGC – UKIERI APPLICATION FORM**

*Official Use Only*  
**Proposal Reference No:**

Please complete this form after carefully reading UGC - UKIERI Guidelines

Please send all completed documents to: [ukieri@in.britishcouncil.org](mailto:ukieri@in.britishcouncil.org)

**A. General**

<b>1. Project Title</b>	
<b>2. Project Objectives</b>	<i>Brief Description of Main Aims and Objectives (max 100 words):</i>
<b>3. Proposed Start Date</b>	
<b>4. Proposed End Date</b>	
<b>5. UK Lead Partner</b>	<i>Name and Address of UK Institution:</i>
<b>6. UK Project Leader and main UK contact)</b>	
<b>7. UK Phone Contact</b>	
<b>8. UK Email Contact</b>	

<b>9. India Lead Partner</b>	<i>Name and Address of Indian Institution:</i>
<b>10. India Project Leader (and main India contact)</b>	
<b>11. India Phone Contact</b>	
<b>12. India Email Contact</b>	
<b>13. UK Group:</b> Please provide a brief background note detailing the main experience of the team highlighting expertise in the proposed field of work along with list of publications highlighting those relevant to the proposed project.	
<b>14. Indian Group:</b> Please provide a brief background note detailing the main experience of the team highlighting expertise in the proposed field of work along with list of publications highlighting those relevant to the proposed project.	

**B. Partnership Proposal**

<b>15. Brief Description of the Project (max 300 words):</b> Please summarise the proposed collaborative partnership in a layman language that might be used for a more general audience or publication.



**16. Scientific & Technical Details (1000 words):** Please provide further detail on the scientific & technical aspects of the proposed research. This may be in more specialised language and may cover methodology, to demonstrate the research merit of the project.

**17. Work Plan for the Period of the Project:** Please summarise, indicating activities proposed for UK and for India, over the period of the project. Please also provide six monthly milestones, project's collaborative framework and division of work between Indian and UK sides. Please use the work plan sheet in the attached format.

**18. Proposed Project Outcomes (700 words):** Please summarise briefly the intended outcomes of the proposed collaborative partnership, this to include knowledge transfer, training, patents, joint publications etc as appropriate.

**19. Dissemination & Impact (300 words):** Please indicate how you intend to communicate the findings to a wider audience. Are any of the expected results likely to have commercial value? How do you propose to share it?

**20. Exchanges (500 words):** Please list clearly details of movements of people between research teams on an annual basis showing the direction of exchange, including number and duration of visits.

**21. Monitoring and Evaluation Arrangements:** Please indicate any specific arrangements that you might be making in addition to those outlined in the Guidance Notes.

**C. Financial Proposal**

**22. Please provide the financial details.**

<b>UGC-UKIERI Finance Sheet</b>			
<i>Reference No ( for official purpose only)</i>			
<b>UK Costs (To be quoted in GBP)</b>			
<b>Expenditure</b>	<b>Number of Units</b>	<b>Per Unit</b>	<b>Total</b>
*Travel ( including visa fees)			
Tuition Fees			
*Accommodation			
*Monthly Allowances/Subsistence			
Project costs ( include purchase of any software/books relevant to project)			
Marketing & Promotion			
Staff Cost ( does not include full time staff already employed)			
Contingency			
<b>Total UKIERI funding requested (applicable for UK institution)</b>			
<b>India Costs ( To be quoted in INR)</b>			
<b>Expenditure</b>	<b>Number of Units</b>	<b>Per Unit</b>	<b>Total</b>
*Travel ( including visa fees)			
Tuition Fees			
*Accommodation			
*Monthly Allowances/Subsistence			
Project costs ( include purchase of any software/books relevant to project)			
Marketing & Promotion			
Staff Cost ( does not include full time staff already employed)			
Contingency			
<b>Total UGC funding requested (applicable for Indian Institution)</b>			

<b>* Travel -It should include cost up to final destination in respective countries including local transportation</b>			
<b>*Accommodation-The host institution is responsible for providing/arranging accommodation for the visiting institution</b>			
<b>*Monthly Allowances/Subsistence- Not to exceed the limits mentioned in the guidelines</b>			

**D. UKIERI Specific Criteria**

**23. Long Term Sustainability:** Please indicate how you will seek to ensure that the activities under the thematic partnerships might be sustainable after the UKIERI project funding has finished.

**24. Mutuality and Complementarity (300 words):** Please indicate the likely benefits of the thematic partnership to the Indian and UK sides (including at country level). Also indicate the scale and scope of the anticipated benefits.

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**25. Inclusion and Capacity Building (300 words):** Please indicate the methods/tools used for social inclusion and capacity building through this thematic partnership.

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**E. Referees**

**26. Please provide the names of two external referees, one for each lead partner.** These should be independent of the teams involved. We might contact either one or both for their assessment. They must not be involved in the project themselves and must be entirely independent of the teams involved and able to provide an objective review of the application. The nominated reviewers must be contactable within the 3 month period after the close of applications and willing to provide a review.

<b>Assessor 1.</b> Name and Address:	<b>Assessor 2.</b> Name and Address:
Phone contact:	Phone contact:
Email contact:	Email contact:
Relationship to Assessor:	Relationship to Assessor:

**F. Data Protection**

<p><b>27.</b> Please confirm that by submitting this application, you agree that the information in the application may be made public or passed on to third parties as outlined in the Data Protection statement in the guidelines. Acceptance of this condition is a requirement of applying to the UKIERI strand activities.</p>	<p>Yes/No</p>
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**Institutional Authority & Signatures**

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

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

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

**Signature of Principal Applicant (India):** .....

Name: .....

Date: .....

**Signature of Head of Indian Institution or Alternate with Delegated Authorities:**

.....

Name: .....

Date: .....

**Signature of Principal Applicant (UK):** .....

Name: .....

Date: .....

**Signature of Head of UK Institution or Alternate with Delegated Authorities:**

.....

Name: .....

Date: .....

