

## **Application Guidance: UK-China AMR Partnerships Hubs Initiative**

This guidance document is for applicants wishing to apply to the UK-China AMR Partnership Hubs call. In the UK, this call is being led by MRC on behalf of all UK partners. This guidance supplements the [MRC Handbook for Applicants](#). Please consult the MRC Handbook for Applicants for information such as preparing the budget for your proposal.

This present guidance document provides additional information specific to this call. Where guidance in the present document differs from that in the MRC Handbook for Applicants, you should follow the guidance in this present, scheme specific, document.

It is important that Applicants read the below document as it includes important additional information that is not covered in the call text. It is also important that your Chinese colleagues are aware of all relevant guidance provided by NSFC.

### **CONTENTS**

1. Important Application Information.....	2
2. Expression of Interest .....	3
3. Who can Apply .....	4
4. Application Process.....	6
5. How to Apply.....	9
6. Budget.....	11
7. Assessment Process and Criteria .....	13
8. Contacts .....	13
9. Agreements.....	14
Annex 1. Rodents Questionnaire .....	20



## 1. Important Application Information

The [UK Cross Research Council AMR Initiative](#) and the National Natural Science Foundation of China (NSFC) are pleased to invite proposals to the China-UK AMR Partnership Hubs under the umbrella of the Newton Fund.

This initiative will provide funding for high quality collaborative research partnerships focussed on addressing the growing global burden of antimicrobial resistance, specifically antibacterial resistance in China.

Your project must include a Principal Investigator based at an eligible UK Research Organisation and a Principal Investigator based at an eligible Chinese Research Organisation. Once a research proposal is developed, UK and Chinese applicants must apply separately to their respective funding agencies. Applications from the UK Principal Investigator must be submitted to the UK Research Councils' Joint electronic Submission (JeS) System and the jointly prepared Case for Support must be submitted by the Chinese Applicant along with the application submission to NSFC.

Research Grants under this call must start on or before 1<sup>st</sup> January 2019 in the UK and on the 1<sup>st</sup> January 2019 in China. Projects must be three years in length in the UK and four years in China and so must be completed by the end of December 2021 (UK) / December 2022 (China).

In total, up to £8m will be made available on the UK side. The UK contribution will be made available to the UK collaborators to fund the UK component of the Partnership Hub. UK based applicants may request between £1-2m at 80% FEC to cover the UK component of the research projects.

The UK funding agencies will provide funding under standard arrangements and at 80% FEC.

The NSFC's contribution will be made available to fund the Chinese collaborators. NSFC will make 9 million RMB available to fund the Chinese component of each research project.

It is expected that this funding will support approximately four joint projects depending on the number and quality of proposals received.

**As the UK contribution will be provided by the Newton Fund allocation, the research proposed must meet Official Development Assistance (ODA) requirements and be primarily relevant to near-term or long-term benefits to the health or prosperity of China.**

**Applications will be assessed for ODA-compliance before the peer review process and will not be assessed if the funders do not feel the proposed work is ODA compliant.**

For further information on ODA please visit [The Newton Fund website](#).

### Key Dates

Activity	Date
Expression of Interest deadline	30 April 18
Full Application deadline	14 June 18
Peer review	2 July – 14 September 18
PI response to peer review	17 September – 24 September 18
Panel Meeting	W/C 15 October 18
Inform Outcome	W/C 12 November 18
Projects Start	January 19

## 2. Expression of Interest

**Applicants who wish to apply should submit [an expression of interest form](#) by 30 April 2018.**

Please email your completed [expression of interest form](#) by **30 April** to the following address: [international@headoffice.mrc.ac.uk](mailto:international@headoffice.mrc.ac.uk)

**Please advise your Chinese colleagues to consult with NSFC regarding their eligibility for this call.**

Applicant Role	Name	Organisation	Email
Principal Investigator (UK) *			
Principal Investigator (China)			
List of all Co-Investigators (stating whether UK or Chinese based)			n/a
			n/a
			n/a
			n/a
			n/a
Project Title			
Main disciplines of proposal <ul style="list-style-type: none"> <li>arts and humanities,</li> <li>biotechnology and biology,</li> <li>economic and social sciences,</li> <li>engineering and physical sciences</li> <li>medical sciences</li> <li>natural environment</li> </ul>			

<p>Summary of proposed project (maximum 200 words).</p> <p>Please note this will be used when approaching potential reviewers)</p>	
<p>Ethical considerations</p> <p>Human/Animal Research</p> <p>Will the proposed research involve the use of humans or vertebrate animals/ other organisms covered by the Animals (Scientific Procedures) Act?</p> <p>If yes, please provide details.</p> <p>If your research involves animals, please specify the species involved</p>	
<p>Suggested peer reviewers (max. 3)</p>	

- The PI must remain the same in the expression of interest and final submission.

### 3. Who can Apply

The Chinese Principal Investigator must be eligible for funding from NSFC.

The UK Principal Investigator must be based at an organisation [eligible for research council funding](#).

Applications with industry engagement are welcome, however, funding will not be provided to industrial partners by the Research Councils and/or NSFC.

Principal Investigators may only submit one application to this scheme as Principal Investigator, but may be involved in more applications if listed as a Co-Investigator.

The funders are not seeking to fund partners outside of the UK and China through this initiative. In exceptional cases, funding to other countries may be considered and must be discussed prior to submission. Please contact [international@headoffice.mrc.ac.uk](mailto:international@headoffice.mrc.ac.uk) if you are planning to involve a partner from a third country in your proposal.

See the [Eligibility for Research Council funding](#) page for further details about eligible institutions.

## **People Named on the Grant**

### *The Principal Investigators (PIs)*

For awards under the UK-China AMR Partnerships Initiative there will be a UK PI and a Chinese PI. The expectation is that the UK PI and associated costs for UK research would be funded by the MRC and the Chinese PI and associated costs for research in China would be funded by NSFC.

The PIs are responsible for the intellectual leadership of the research project and for the overall management of the research. The PIs will be the funding agencies' main contact for the proposal. For administrative purposes when completing the Je-S form, you will only be able to input one PI; this will need to be the UK PI. The Chinese PI will need to be listed as a Co-Investigator (Co-I).

The award of a grant does not guarantee any further commitment to funding by any of the relevant Research Councils or NSFC.

The Research Councils will consider proposals from any UK-based researcher who is based at an eligible Research Organisation and can demonstrate that they will direct the proposed research and be actively engaged in carrying it through.

**Each PI in the UK and China may submit only one research grant proposal for this research initiative. Co-Investigators can be on multiple applications.**

See [MRC Guidance for applicants](#) for further details about UK PI eligibility.

### *Co-Investigators (Co-Is)*

The PI's may be supported by a number of UK and Chinese Co-I's named on the application.

A Co-I assists the PI in the management and leadership of the research project. All UK and Chinese PI's and Co-I's must have verified Je-S Accounts and must be added to the Je-S form under Co-Investigator.

While, it is essential that all Chinese PI's and Co-I's are added to the Je-S form, Chinese costs should not be represented on this form. A break down and justification of Chinese costs should be included in the [Justification of Resources template](#).

**Please note:** The lead UK applicant should liaise with any non-UK based Co-investigators as early as possible in the application process to ensure that they set-up their verified Je-S account as a matter of priority. Co-Investigators without Je-S accounts, should be encouraged to visit the [Je-S website](#) to gain access to the Je-S System.

Further information when creating a Je-S account can be found below.

## 4. Application Process

**Applicants should submit an Expression of Interest prior to submitting their full proposal.**

UK Applicants will need to submit to the Research Councils via the Je-S system, and MUST follow the [MRC Guidance for Applicants](#), please see section 3.1 – 3.4 for more details.

Chinese Applicants will need to submit to [NSFC](#).

The deadline for full applications is **16:00 GMT on 14 June 2018**. (<https://jes.rcuk.ac.uk/>)

Applications must be submitted by the UK PI on behalf of the UK-Chinese Research Partnership. The application must be JOINTLY prepared.

The following documents must be included in the joint application submitted on Je-S:

- A completed Je-S form. All UK and Chinese investigators MUST be included. This form reflects the UK costs, so while the Chinese investigators should be included, hours charged for Chinese Investigators should be 0. Chinese costs should be captured in the Justification for Resources. Please see below for further details
- A cover letter (optional). If you have submitted a similar or related proposal to any of the Research Councils in the last year, please provide details in a cover letter including what has changed since the previous submission.
- A jointly prepared Case for Support, including a one-page annex (if required) detailing the methodology and experimental design aspects (see additional guidance below)
- CV's and publication lists (uploaded individually) for each of the UK and Chinese partners named as investigators on the grant
- Joint Funding Summary form – Please see [Joint Funding Summary form template](#)
- Justification of Resources for the total costs requested for the project (both UK and Chinese costs should be fully justified) – Please [see Justification of Resources template](#)
- Data Management Plan – section 2.2.8 in the [MRC Guidance for Applicants](#)
- Pathways to impact – section 2.2.5 in the [MRC Guidance for Applicants](#)
- Rodents overseas form (if required) – Please see [Overseas Rodent Use template](#)
- [ODA Compliance Statement](#) – Please upload as a letter of support on the Je-S system.
- Signed letters of support
  - From the UK Research Organisation demonstrating support for the proposed research project.
  - From the Chinese Research Organisation demonstrating support for the proposed research project.
  - Where the Chinese Partner or another third party (ANY organisation other than the UK RO) is responsible for recruitment of people as research participants and/or providing human tissue
  - From any Project Partner where an in kind payment is being contributed.
  - From both PIs when animal research is proposed. Please see 'Use of Animals' in this guidance for further information
  - From both PIs when human/human tissue research is proposed. Please see 'Use of Humans/Human Tissue' in this guidance for further information

All attachments should be completed in 11 point Arial typeface, with a minimum of 2cm margins. Applications will not be accepted where smaller or narrow typefaces have been used.

Page lengths (A4 size):

Document	Maximum length (Maximum)
Cover letter (Information that is only relevant to the Research Councils. Cover letters are not made available to reviewers)	2 pages
A jointly prepared Case for Support	12 pages + 1 page for methodology and experimental design annex
CV and Publications	2 page CV + 1 page Publications (per investigator)
Joint Funding Summary form	4 pages
Justification of Resources	4 pages
Pathways to Impact	2 pages
Data Management Plan	3 pages (4 for longitudinal studies)
Letters of Support (signed and dated)	2 pages each

Further guidance and details for all of the above content can be found in the [MRC Guidance for Applicants](#).

The Case for Support

The Case for Support may be up to twelve A4 pages in length, including 1 page of references, using Arial 11pt typeface with margins of 2cms on all sides. A jointly prepared Case for Support, written in English, must be uploaded as a PDF to the Je-S application. An identical copy of this PDF must be submitted by the Chinese PI along with the submission to NSFC.

In your case for support you should address each of the following headings:

1. Title
2. Summary of aims and objectives
  - Partnership Hub plans and deliverables
  - Purposes and expected outcome of activities
3. Importance of the China-UK Partnership Hub
  - Please outline your vision for the China-UK Partnership Hub
  - Explain the need for a joint China-UK Partnership Hub in this ABR research area
  - Describe how current collaborative research activities would be enhanced
  - Describe the complementarity of research and science outputs
  - Where relevant, describe how the funding would enhance the partnership and how this would strengthen the strategic relationship between China and the UK
  - Address issues of ownership, direction and sustainability
4. Research programme

- Please describe the proposed programme/s of research, including justification and rationale for their inclusion.
- Describe the expected outputs of the research.
- Consider where there is risk in the research plan and associated mitigations strategies

#### 5. China-UK Partnership Hub Programme

- Please describe how the Partnership Hub will be managed across countries
- Please describe and justify each of the planned activities and the expected outcomes (please see the web/call text for examples of activities)
- Describe how the differing project durations will be managed between the UK (three years) and China (four years)

#### 6. Capacity building

- Please give details of how the award would make a distinctive contribution to, and likely impact on, specific national research skills needs.
- Describe how you consider the proposed activities will strengthen the academic base in the broad disciplinary area or field.

#### 7. People and track record

- CVs will be uploaded separately but please elaborate on why the group is well qualified to establish a Partnership Hub in this field of research.
- Where appropriate, describe evidence of any pre-existing and on-going collaborative working between the Chinese and UK partners.
- Explain how the investigators named in the proposal would work together and how the Partnership Hub would be project managed.

#### 8. Research environment

- Describe how the environments in which the research will be carried out will promote delivery of the proposed Partnership Hub.
- Explain how the Partnership Hub will benefit from facilities provided by the host Research Organisations.
- Describe any clinical, commercial, or organisational dependencies necessary to support the research, or to help translate it into practice.

#### 9. Consideration of ethical, governance and IP issues

- Explore the ethical considerations associated with the research programme and describe, in full, the ethical approvals which will be sought if successful for funding.
  - For further information on research involving procedures on animals, please see [Annex 1](#).
- Describe the governance structure of the Partnership Hub and describe clearly how the decision-making process will be managed.
- Where applicable, describe any expected IP that will result from the proposed Partnership Hub.



## 10. Data preservation, exploitation and dissemination

- Describe how the group will work together to maximise sharing of data and create a legacy of data available beyond the hub's initial funding period.

For further information regarding what should be included in the Case for Support, please see section [2.2.3](#) in the [MRC Guidance for Applicants](#).

A one-page annex may be included in addition to the case for support page limit providing additional detail of the methodology and experimental design aspects of the proposal. This information must be provided as a clearly marked annex at the end of the main case for support entitled '**Reproducibility and Statistical design annex**'. Please note that you are not required to duplicate information presented elsewhere in the application.

The use of this annex is strongly advised where the proposal includes the use of animals and/or human participants, or where the methodology /experimental design proposed is practically novel. Please see section [2.2.3.4](#) in the [MRC Guidance for Applicants](#)

*Justification of Resources (please complete the template)*

Please complete the template, it must be written in a minimum font size of Arial, 11 point, with margins of at least 2 cm, justifying that the resources requested are appropriate to undertake the research project.

**You must complete one [Justification of Resources \(JOR\) document](#) justifying both the UK costs and Chinese costs** and attach it to your application under "Justification of Resources". The JOR must contain a breakdown and explanation of the costs requested for this funding scheme by each partner taking into account the requirements outlined under the 'Funding Available' section of this document.

The JOR should explain why the resources requested are appropriate for the research proposed, taking into account the nature and complexity of the research proposal. It should not be simply a list of the resources required.

In addition to the standard content for the Justification of Resources, applicants should include:

- The UK value of resources requested by the UK researchers
- A statement detailing the UK value of resources requested by the Chinese partner

This is so that the value of the total funds requested for the research project can be assessed.

The costs on both the UK and Chinese side should be separate with a clear justification of each cost.

## 5. How to Apply

\* Please note that there is an Expression of Interest stage detailed in Section 2.

To submit full proposals, please login to your [Je-S account](#), using the username and password you have chosen (if you do not have a Je-S account, or have forgotten your password, please see the guidance provided further below).

Please note that ONLY the UK Principal Investigator creates the Je-S application, any collaborating Investigators from other research organisation (UK or Overseas), are added to the application depending on their involvement and responsibilities whilst working on the project.

*Important information when creating a Je-S account:*

- **All PIs and Co-Is (this is both UK, Chinese and any third country) involved in a grant project will need to be registered on Je-S. It is important to register on Je-S at least two weeks before the deadline as the process takes time to complete.**
- It is recommended that overseas Co-Investigators should ensure that their Research Organisation has been added to the Je-S database before they commence the Je-S account creation process.
- The create account process will require the applicant to accept the terms and conditions using the Je-S System, before the applicant can proceed with the account creation.
- Applicants should choose to 'Skip the ORCID identifier' as this is NOT required for the purposes of being added to the proposal as an 'Investigator', priority is to create a verified Je-S account to enable the Investigator to be included within the Je-S application.
- Investigators should select the account type 'Applicant on a Standard or Outline Proposal' (within the Research Proposals section).

Should the overseas Co-Investigators not be able to select their RO when attempting to create their Je-S account, MRC recommend that the Investigator emails the Je-S Helpdesk [ieshelp@rcuk.ac.uk](mailto:ieshelp@rcuk.ac.uk), with the full name and address details of the Overseas Organisation and they will contact you with further instructions.

*Creating your Je-S application:*

- Select '**Documents**' from left hand menu list from your Je-S account home page
- Select '**New Document**' from within the Functions/create section of your documents page

The below '**Call/Type/Mode**' can only be selected when the call opening date has been reached (until the advertised closing date **14 June 2018**).

All MRC funding calls close at **16:00 (16:00 GMT)**, on the advertised closing date **14<sup>th</sup> June 2018**.

- Select Council: **MRC**
- Select Document Type: **Standard Proposal**
- Select Scheme: **Research Grant**
- Select Call/Type/Mode (optional): **UK-China AMR Partnerships 2018**
- Select '**Create Document**' option

## Je-S Add New Document

To find the council, document type and scheme combination for a particular call please use the call search.

**Call Search** (opens in a new window)

Select Council:

MRC

Select Document Type:

Standard Proposal

Select Scheme:

Research Grant

Select Call/Type/Mode (optional):

UK-China AMR Centre Partnerships 2018

Copy existing document?

Create Document

Cancel

Please contact the Je-S Helpdesk 01793 444164 or [ieshelp@rcuk.ac.uk](mailto:ieshelp@rcuk.ac.uk) should you require any assistance with the Je-S System

## 6. Budget

UK-based research costs will be funded at 80% of the Full Economic Cost. It is the responsibility of the UK and Chinese PIs to ensure the conditions of their respective funder is understood.

### Full Economic Costing (FEC)

Please see [section 3. Resources](#) – Full Economic Costing in the [MRC Guidance for Applicants](#) for information on FEC.

All the UK and Chinese PI(s)/Co-I(s) must be inputted onto the Je-S form. However, any costs for Chinese PI(s)/Co-I(s) (unless agreed) must **NOT** be input on the Je-S form 'Total number hours to be charged to the grant should be 0'. A break down and justification of Chinese costs should be included in the Justification of Resources template.

Please refer to 'application process' in this guidance, for more information.

### Funding Available

	Research Councils Funding
Research Costs:	
Staff – directly incurred post (e.g Researchers, Technicians)	Yes
Staff – directly allocated posts (PI and CO-I time)	Yes
Equipment below £10k: Costs should be claimed as ‘Other Directly Incurred Costs’	Yes
Equipment above £10k	No
Other Directly Incurred Costs Including (e.g Consumables, Sub-Contracting costs)	Yes
Research Assistants, Technicians	Yes
Studentships (degree programmes)	No
Travel and subsistence for exchange/mobility activities ‘Other Directly Incurred’	Yes
Costs of hosting workshops, meetings etc. Should be costed as ‘Other Directly Incurred’.	Yes

\*MRC funding will be provided to the UK HEI but in exceptional circumstances can be spent on activities in China which are outside of the funding available from the Chinese funders and when identified and justified in the proposal. **This must be agreed in advance of submission with the funders, please contact [international@headoffice.mrc.ac.uk](mailto:international@headoffice.mrc.ac.uk).**

### Equipment

Capital costs above £10,000 cannot be funded through this scheme.

Costs for “Equipment” under £10,000 are accepted, these cost types should be included as an item within the ‘Other Directly Incurred Costs’, section of the Je-S form. Please note that costs associated with any Overseas Research Organisation, should be claimed as ‘exceptions’. These costs (if awarded), will be paid at 100%.

### Spending obligations under the Newton Fund

As previously stated, funding must be awarded in a manner that fits with Official Development Assistance (ODA) guidelines. All applications under this call must therefore be compliant with these guidelines. ODA compliance will be assessed as an eligibility requirement and it is the responsibility of the PIs to communicate how the proposed research is ODA compliant.

For further information on ODA please visit [Official Development Assistance](#)

Due to the tight time scales of the Newton Fund, if you are successful you will need to adhere to strict spending requirements. For this call, the end date of the proposed research should be no later than **31 December 2021**.

## 7. Assessment Process and Criteria

Following submission, peer-review will be undertaken by the funders: all funding agencies involved will contribute to this process. To be funded, proposals must be ODA compliant, internationally competitive and at a standard equivalent to that normally expected to be supported by each funding organisation.

Key assessment criteria for the submissions are:

- Significance and potential impact of the Partnership Hub, including added value
- Rationale: novelty, importance, interdisciplinarity and timeliness of the joint research proposal
- Partnership Hub development: including strength and clarity of collaborations and opportunities provided, quality of the project management structure proposed
- Design and feasibility of the proposal
- Capacity building potential
- Quality and suitability of the research environment and of the facilities
- Value for money
- Ethical considerations and governance arrangements.

Applications received and comments from all peer-reviewers will be assessed by a joint Research Panel.

## 8. Contacts

For further information, UK applicants should contact:

Arts and Humanities Research Council

- Elaine Morley: [E.Morley@ahrc.ac.uk](mailto:E.Morley@ahrc.ac.uk)

Biological and Biotechnology Research Council

- Stephen Webb: [stephen.webb@bbsrc.ac.uk](mailto:stephen.webb@bbsrc.ac.uk)

Economic and Social Research Council

- Shauni Iles: [amr@esrc.ac.uk](mailto:amr@esrc.ac.uk)

Engineering and Physical Sciences Research Council

- James Dracott: [jdr2@uksbs.co.uk](mailto:jdr2@uksbs.co.uk)

Medical Research Council

- Caroline Harris: [international@headoffice.mrc.ac.uk](mailto:international@headoffice.mrc.ac.uk)

Natural Environment Research Council

- Dominique Butt: [dedb@nerc.ac.uk](mailto:dedb@nerc.ac.uk)

For further information, Chinese applicants should contact:

- Ms. Qiu Chunhong: [qiuch@nsfc.gov.cn](mailto:qiuch@nsfc.gov.cn)

## 9. Agreements

### Collaboration Agreement

As the research projects will be carried out by multiple research organisations and project partners, the basis of collaboration between the organisations and project partners, including ownership of intellectual property (IP) generated during the project and rights to exploitation, and costs of IP management [this is not an eligible cost to MRC], is expected to be set out in a formal collaboration agreement between the research organisations involved. It is the responsibility of the research organisations to put such an agreement in place before the research begins. The terms of collaboration shall not conflict with the Research Councils or NSFC terms and conditions.

Arrangements for collaboration and/or exploitation must not prevent the future progression of academic research and the dissemination of research results in accordance with academic custom and practise and the requirements of the funding bodies. A temporary delay in publication is acceptable in order to allow commercial and collaborative arrangements to be established.

Details of key issues included in the Collaboration Agreement, for example management of IP, should be detailed in the 'consideration of ethical, governance and IP issues around the project' section of the Case for Support

### Intellectual Property

Ownership of intellectual property (IP) generated during the project and rights to exploitation, as well as any costs regarding management of IP, are expected to be agreed between the collaborating research organisations before the research begins. Details of this agreement should be included in the Collaboration Agreement (as above).

Agreements must not conflict with the Research Councils or NSFC terms and conditions. Any agreements in place between a research organisation and their respective funding organisation must be adhered to, including the sharing of IP costs or benefits. Any IP sharing agreements in place between a research organisation and their national funding body would be expected to apply only to the IP share of that research organisation.

### Material Transfer Agreements

Collection and exchange of material may occur between collaborating institutions, as necessary, in strict compliance with the legislation in effect in both countries.

### Ethics

Any research involving humans/human tissue and/or animals must comply with legislation in both the UK and China, and must also comply with relevant policies and guidance of the Research Councils and NSFC.

It is the absolute responsibility of the PIs and the ROs to ensure that appropriate ethical approval is granted and adhered to, and that no research requiring ethical approval is initiated until it has been granted.

The 'Ethical Information' sub-sections in the Je-S proposal form should be completed to give details of any human participation, research using animals, genetic and biological risk, and ethical committee approvals required. The MRC Guidance for Applicants has recently been updated to reflect amendments to this section of the Je-S form.

Applicants must be clear in their applications in which country the proposed research involving humans and/or animals will take place and must fully complete the Ethical Information section for research taking place in either country.

### *MRC Ethics guidance*

Applicants must comply with all of the MRC's relevant policies and guidance regarding the use of humans/human tissue and/or animals in research.

Approval(s) for the research detailed in an MRC grant proposal must be granted by the appropriate bodies before the research commences. Institutions, applicants and grant holders have absolute responsibility for ensuring that the necessary approvals are granted for the research considered by MRC.

The PI/RO must be prepared to furnish the MRC with a copy of the ethical approval, and any correspondence with the committees, if requested by the Council. The PI must notify the MRC if a regulator or a research ethics committee requires amendments that substantially affect the research question, methodology or costs to the extent that the project is no longer the same as that approved for funding by the MRC.

### Humans/Human Tissue

Applicants must comply with relevant MRC policies and guidance (section 5 of the [MRC Guidance for Applicants](#))

In particular, applicants should be aware of the following guidance/requirements:

MRC [current policy for research involving humans to take place overseas](#) is that for research to be undertaken internationally, both local and UK ethical approval is required.

For clinical studies involving human participants and/or patients in the UK or overseas, appropriate consent must be obtained.

Where the Chinese partner or another third party (ANY organisation other than the UK RO) is responsible for recruitment of people as research participants and/or providing human tissue, details should be included in the Case for Support and a letter of support **MUST** be attached to the application. The letter of support should be titled 'Human Participation' and include confirmation of the following:

- That the international partner has agreed to recruit the participants/provide tissue
- That what is being supplied is suitable for the research being undertaken

- That the quantity of tissue (where relevant) being supplied is suitable, but not excessive for achieving meaningful results

The letter of support must be an integral part of the application (as an attachment) and must focus on the proposal it accompanies.

### Use of Animals

Applicants must ensure that all of the proposed research, both that in the UK and in China, will comply with the principals of the [Research Councils Common Guidance on “Responsibility in the use of animals in bioscience research”](#)

In particular, UK Institutions should be aware of the following aspect of the guidance relating to research or collaboration outside the UK:

*“When collaborating with other laboratories, or where animal facilities are provided by third parties, researchers and the local ethics committee in the UK should satisfy themselves that welfare standards consistent with the principles of UK legislation (e.g. the Animals (Scientific Procedures) Act 1986), and set out in this guidance, are applied and maintained.*

*Where there are significant deviations, prior approval from the funding body should be sought and agreed. International research should also be compliant with all relevant national and local regulatory systems in the host country where the research is to be conducted.”*

If your project involves the use of animals, please read our guidance and submit the following signed statement and if appropriate, form:

- A signed statement (uploaded as a Letter of Support to the Je-S application) from both UK and overseas PIs that:
  - They will adhere to all relevant national and local regulatory systems in the UK and overseas
  - They will follow the guidelines laid out in the <https://www.nc3rs.org.uk/responsibilityuse-animals-bioscience-research> document and ensure that work is carried out to UK standards
  - Before initiation of the proposed research work, appropriate approvals from Institutional and/or central animal ethics committees will be obtained for experimental protocols to be adopted in their projects. Successful proposals may be expected to provide copies of these permissions before funding is released.
  - Details on where the animal research will take place (UK or overseas) and through which funder the resources are being sought.
- If the research involves the use of rodents overseas, rather than in the UK, please also complete the “Additional questions on the use of rodent’s overseas form (Annex 1) and attach as a letter of support in Je-S.”

All applicants are required to comply with Section 4: ‘Proposals involving animal use’ of the MRC Guidance for applicants. Applicants should detail in the letter any additional information which was not included in the proposal document but which is pertinent to the animal research proposed and which the funders should be aware of.

In addition, researchers should be reminded that sufficient information and justification regarding any animal research proposed, regardless of country, must be provided in the proposal order to allow full peer review to take place.



## **10. Terms and Conditions**

The [Grants Terms and Conditions are available here.](#)

Newton Fund terms and conditions are provided below:

### *ODA compliance*

The Newton Fund is part of the UK's Official Development Assistance (ODA). Its aim is to develop science and innovation partnerships that promote the economic development and welfare of developing countries. The investigators must ensure the research part of this grant remains compliant with ODA rules and regulations as set out under the Newton Fund programme. In the event that the research does not remain compliant with ODA rules and regulations Medical Research Council reserve the right to terminate the award. And recoup any funds as appropriate

### *Acknowledgements and reporting*

Investigators must acknowledge the Newton Fund and the Medical Research Council in any publications, web pages or events associated with this grant. Investigators must assist the Medical Research Council with any additional reporting requirements requested by the Department for Business, Energy and Industrial Strategy or any other government department.

### *Starting Procedures*

This grant must start by January 2019. The start of the grant may NOT be delayed beyond this date.

Please note that due to the fixed start date, the normal three months start period rules outlined in the [Terms and Conditions RGC4](#), does not apply to this project.

### *Ethical Requirements*

It is the responsibility of the Principal Investigator and the Research Organisation to ensure that appropriate ethical approval is granted for this study and adhered to, and that no research requiring ethical approval is initiated until it has been granted. [MRC current policy for research involving humans](#) is that for research to be undertaken overseas, both local and UK ethical approval is required. For clinical studies involving human participants and/or patients appropriate consent must be obtained. For grants that include the use of animals, [the guidance](#) must be adhered to, and in particular: 'When collaborating with other laboratories, or where animal facilities are provided by third parties, researchers and the local ethics committee in the UK should satisfy themselves that welfare standards consistent with the principals of UK legislation (e.g. the ASPA) and set out in this guidance are applied and maintained.'

The Principal Investigator/Research Organisation must be prepared to furnish the Medical Research Council with a copy of the ethical approval, and any correspondence with the committees, if requested. The Principal Investigator must notify the Medical Research Council if a regulator or a research ethics committee requires amendments that substantially affect the research question, methodology or costs to the extent that the project is no longer the same as that approved for funding.

### *Government Support*

This award is dependent on continuing Government commitment for this initiative and continuing match from (Partner funder). In the event that this support is withdrawn, the Medical Research Council reserve the right to terminate the award.

### *Requests for extensions to awards*

Due to financial restraints of the Newton Fund Programme, grant extensions will only be considered under exceptional circumstances (in line with the Equality Act 2010) and will require the Medical Research Councils' agreement on a case-by-case basis. The Research Organisation remains responsible for compliance with the terms of the Equality Act 2010 including any subsequent amendments introduced while work is in progress; and for ensuring that the expectations set out in the Medical Research Councils' statement of expectations for equality and diversity are met.

### *Transfer of funds to UK and overseas organisations*

It is important to highlight that the Research Organisation awarded the grant is responsible for the conduct and administration of the grant during the life time of the award (from award, during the grant and on completion). It is accountable for the effective use of public funds, and must therefore ensure that all grant monies are subject to proper financial management processes. It is the Research Organisation's responsibility to ensure that, where funds are transferred to other organisations in the UK and abroad, expenditure is subject to robust controls to ensure value for money and propriety and that all costs should be fully vouched and maintained for possible inspection and checks by, or on behalf of, the funding organisation.

This award has therefore been made on the basis that if any funds are transferred to another UK or overseas organisation then the Research Organisation must undertake due diligence checks to ensure that the funding will be appropriately used (as set out above). The Research Organisation may be asked to provide evidence that where funds have been transferred they have undertaken appropriate due diligence to ensure that any risks are recognised, understood and treated as necessary. The Research Organisation may be asked to provide additional information on how the due diligence checks were carried out.

Please refer to the Medical Research Council for any specific guidance.

### *Collaboration agreement*

A Collaboration Agreement is required for this project. This must be in place within six months of the start of the project.

As the grant is associated with more than one research organisation the basis of collaboration between the organisations, including the allocation of resources throughout the project and ownership of intellectual property and rights to exploitation is required to be set out in the formal collaboration agreement. It is the responsibility of the lead Research Organisation to put such an agreement in place within six months of the start of the project. The terms of collaboration agreements must not conflict with the Medical Research Councils' terms and conditions.

Given the importance of expanding collaboration among researchers, principal investigators from the UK and China must intermittently report and share the progress with each other and the Chinese co-funders.



国家自然科学基金委员会  
National Natural Science Foundation of China

## Annex 1. Rodents Questionnaire

### Additional questions on the use of rodents overseas

The expectations of the Research Councils for the use animals in research are set out in the document '[Responsibility in the Use of Animals in Bioscience Research](#)'. Compliance with the principles in this document is a condition of receiving funding.

Please confirm the following: (*tick box – yes/no*)

1. The enclosure sizes and space allocations meet or exceed those in Annex VII to <a href="#">Directive 2010/63/EU</a> (Tables 1.1 to 1.5)	
2. The rodents are provided with: a) substrate/bedding on a solid floor; b) a shelter and/or nesting material for refuge and to help regulate body temperature and light exposure; c) chew blocks or other gnawing material.	
3. The rodents are housed socially. Exceptions to this must be justified below.	
4. Appropriate, contemporary anaesthesia and/or analgesia is provided to minimise pain and distress. Any withholding of pain relief during painful procedures must be justified below.	
Surgery is performed using aseptic technique, the least invasive surgical approaches, and appropriate perioperative care (pre-operative medications, hypothermic prevention, ophthalmic protection, nursing care where required).	
6. Toe clipping and/or tail biopsy are not used for identification or genotyping purposes.	
7. Where genotypes are known to be harmful, animals of that type are not produced unless required scientifically (e.g. if homozygous null is harmful and heterozygotes are desired, then heterozygous is crossed with wild type, not another heterozygous animal).	
8. Where new GA strains are being generated, best knowledge will be applied to predict potential harmful outcomes and the animals will be monitored closely for emerging phenotypes.	
9. The rodents are monitored with a frequency appropriate to keep pain and distress to a minimum, using appropriate, tailored welfare indicators and score sheets.	
10. Humane endpoints have been established for each experiment with the potential to cause moderate or severe harm, after consultation with the veterinarian and animal care staff, and implementation of these is recorded during the experiment. (Note the humane endpoint criteria may be requested by the Research Councils).	
The methods of humane killing are those recommended by the <a href="#">AVMA (2013)</a> or permitted under Directive 2010/63/EU.	

Where there are deviations from the above, please explain below: (*free text; one side of A4*)