UK-VIETNAM CALL FOR PROPOSALS

MRC – MOST APPLICATION GUIDANCE

Contents
1. Important application information ................................................................. 2
2. Who can apply? ............................................................................................... 4
   2.1 Types of Research Organisations (ROs) ....................................................... 4
   2.2 People named on the grant (Including Je-S Account create account information) ........ 5
3. Application Process ..................................................................................... 6
   3.1 UK Full Application Summary ................................................................. 6
   3.2 The Case for Support ............................................................................... 8
   3.3 How to apply through Je-S ..................................................................... 9
   3.4 Budget .................................................................................................... 10
   3.5 Vietnamese Application Summary ............................................................ 12
4. Assessment Process and Criteria ................................................................. 13
5. Agreements .................................................................................................. 13
   5.1 Collaboration Agreement ....................................................................... 13
   5.2 Intellectual Property ............................................................................... 14
   5.3 Material Transfer Agreements ............................................................... 14
   5.4 Ethics ..................................................................................................... 14
   5.5 Humans/Human Tissue ........................................................................... 15
6. Terms and Conditions ................................................................................ 17
Annex 1 .......................................................................................................... 20
1. Important application information

The Medical Research Council (MRC), and the Vietnamese Ministry of Science and Technology (MOST) are pleased to announce the second Infectious Diseases Partnership initiative which provides substantive support for joint Vietnamese-UK working in the area of infectious disease research.

This initiative will provide funding for collaborative infectious disease focused research projects. Researchers will be responsible for developing their own collaborations. Once a research proposal is developed, UK and Vietnamese applicants must apply jointly for funding. For administrative purposes, all projects must have a Principal Investigator (PI) based in a UK Research Organisation (RO) and a PI based in a Vietnamese RO. Partners must work together to complete a one joint application to be written in English and submitted to the MRC via the MRC Joint Electronic System (Je-S) and an outline application form to be submitted to MOST. Please see below for further details.

https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx

Research grants under this call must be up to 3 years in duration. This grant must start by the 1 April 2019 and the end date of the proposed research must be no later than 31 March 2022. Funding for projects awarded under this call for proposals is jointly provided by the MRC, and MOST.

The total funding available for this call is £2.75 million. The MRC will make up to £2m available for UK collaborators, and the Vietnamese MOST will make approximately £750,000 available for Vietnamese collaborators applying to this scheme.

It is expected that this funding will support approximately five joint projects subject to quality. MRC will provide funding for the UK-based applicants under standard arrangements at 80% FEC. MOST will provide funding for the Vietnamese applicants.

As the UK contribution will be provided by the MRC’s Newton Fund allocation, the research proposed must meet Official Development Assistance (ODA) requirements and be specifically relevant to the Vietnamese population. Funding will be awarded in a manner that fits with ODA guidelines. All applications under this call must therefore be compliant with these guidelines to be deemed eligible.

For further information on ODA please visit: http://www.newtonfund.ac.uk/about/what-is-oda/
Application and review process:

The MRC and MOST have agreed a review process which meets the requirements of both funders. Please note: It will take at least a year from the point of application submission to when successful projects can begin.

Projects will be assessed through both MRC and MOST assessment processes and only those projects agreed as fundable by both partner organisations will be considered for joint funding.

MRC assessment process:

Following receipt of joint applications (by 16:00 GMT), on 12th December 2017, eligible applications will be externally peer reviewed. MRC will carry out a shortlisting meeting in March 2018 and proposals successful and deemed fundable at this stage will be given the opportunity to provide a written response to the reviews and panel comments received.

The UK and Vietnam will agree the final outcome of proposals in Sept/Oct 2018.

MOST assessment process:

On the Vietnamese side, there will be a 3 stage process. Following receipt of joint applications on 12th December 2017, MOST will carry out stage 1 outline evaluations by March 2018. Proposals which have been successful at this stage through both the MRC and MOST processes will then be invited to submit to the MOST stage 2 full assessment process for assessment in July 2018. Final fundable projects will be assessed in terms of the budget request in step 3.

Joint Funding decisions:

Final agreement of the grants to be awarded will be made following the completion of both MRC and MOST assessment processes.

<table>
<thead>
<tr>
<th>Date</th>
<th>UK Applicants</th>
<th>Vietnamese Applicants</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 Nov 2017</td>
<td>Submit Expression of Interest to: <a href="mailto:international@headoffice.mrc.ac.uk">international@headoffice.mrc.ac.uk</a></td>
<td></td>
</tr>
<tr>
<td>12 Sept 2017</td>
<td>Je-S call UK-Vietnam Joint Health Research Initiative 2017 opens</td>
<td></td>
</tr>
<tr>
<td>12 Dec 2017</td>
<td>Submit jointly prepared application via Je-S System (call closes 16:00 GMT)</td>
<td>Submit jointly prepared application to MOST</td>
</tr>
<tr>
<td>Jan-March 2018</td>
<td>Peer review</td>
<td>Panel Meetings</td>
</tr>
<tr>
<td>Mar 2018</td>
<td>Panel Meeting</td>
<td>Panel Meetings</td>
</tr>
<tr>
<td>Apr 2018</td>
<td><strong>UK-Vietnam agree shortlisted projects</strong></td>
<td>Vietnamese shortlisted applicants submit revised full stage application – taking into account panels’ feedback</td>
</tr>
<tr>
<td>May-June 2018</td>
<td>UK shortlisted PI to submit summary of any changes to application – taking into account UK and Vietnamese panel feedback</td>
<td></td>
</tr>
<tr>
<td>Aug-Sept 2018</td>
<td>UK-Vietnam agree final outcome of shortlisted proposals</td>
<td></td>
</tr>
<tr>
<td>Sept 2018</td>
<td>Budget appraisal meetings</td>
<td></td>
</tr>
<tr>
<td>Sept-Oct 2018</td>
<td><strong>Applicants informed of outcome</strong></td>
<td></td>
</tr>
<tr>
<td>Early 2019</td>
<td>1 Apr (latest) - Project start</td>
<td>Jan-Apr - Project start</td>
</tr>
</tbody>
</table>
2. Who can apply?

2.1 Types of Research Organisations (ROs)

The Vietnamese PI MUST be based at a registered science and technology organisation that has expertise relevant to the scientific scope of this call.

Vietnamese applicants should carefully refer to MOST’s circular no.12/2014/TT-BKHCN on the management of the internationally-agreed science and technology projects dated on 30 May 2014 and further details on the eligibility of the Lead Research Organisations and the Principal Investigators provided in circular no.08/2017/TT-BKHCN dated 26 June 2017 of MOST for the eligibility rules for this call.

The UK PI MUST be based at one of the following:

- Higher Education Institutions
- Independent Research Organisations (eligible under RCUK rules)
- Government Funded Organisations (other than MRC funded Units and Institutes)
- MRC Units/Institutes
- University Units (former MRC Units)

The funders are not seeking to fund partners outside of the UK and Vietnam through this initiative. Please contact international@headoffice.mrc.ac.uk if you are planning to involve a collaborator from a third country in your proposal.

Other support

Applications with industry engagement are welcomed, however, funding will not be provided to industrial partners by MRC or MOST.

Any industrial organisations proving cash and/or in-kind contributions (to support the project), should be included as a ‘Project Partner’, entering the partner details, person contact details from the organisation. Please note that each Project Partner added to the form needs to supply a Letter of Support, which are uploaded to the Project Partner section of the Je-S form (NOT within the ‘Attachments’ section of the form).

The content of the project partner letter should contain the following: Confirm commitment to the proposed project; Clearly explain the value, relevance and possible benefits of the work to the project partner; Give the nature and equivalent value of any in-kind contribution, and/or declare the value of a cash contribution, and period of support; and describe the added value to the project of the project partner’s involvement.

The letter should be dated and should be written when the proposal is being prepared. The letter should be targeted specifically to the project. A standard letter declaring support for the proposed work is not helpful.
For information on other parties involved in research e.g. Project Partners, please see section 2.2.7 in the MRC Guidance for applicants for further details about eligible institutions. This call will follow standard MRC eligibility criteria.

2.2 People named on the grant

The Principal Investigators (PI’s)

For awards under the MRC-MOST scheme there will be a UK PI and a Vietnamese PI. The expectation is that the UK PI and associated costs for UK research will be funded by the MRC and the Vietnamese PI and associated costs for research in Vietnam will be funded by MOST.

The PI’s are responsible for the intellectual leadership of the research project and for the overall management of the research. The PI’s 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 Vietnamese 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 the MRC or MOST. MRC will consider proposals from any UK-based researcher who is based at an eligible RO and can demonstrate that they will direct the proposed research and be actively engaged in carrying it through.

Each PI in the UK and Vietnam 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 Vietnamese 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 Vietnamese 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 Vietnamese PI’s and Co-I’s are added to the Je-S form, Vietnamese costs should not be represented on this form. A break down and justification of Vietnamese costs should be included in the Justification of Resources template.

Please note: The lead applicant should liaise with any overseas 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 the Je-S website https://je-s.rcuk.ac.uk/, to gain access to the Je-S System.

Important information when creating a Je-S account:
1. 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 Create an Account.

2. 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.

3. 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 Investgor to be included within the Je-S application.

4. 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 jeshelp@rcuk.ac.uk, with the full name and address details of the Overseas organisation and they will contact you with further instructions.

### 3. Application Process

UK Applicants will need to submit to the MRC via the Je-S system, and MUST follow the MRC Guidance for Applicants, please see section 3.1 – 3.4 for more details. Vietnamese Applicants will need to submit to MOST, please see section 3.5 for more details.

#### 3.1 UK Full Application Summary

The deadline for full applications is 16:00 GMT on Tuesday 12 December 2017 ([https://je-s.rcuk.ac.uk/](https://je-s.rcuk.ac.uk/))

Applications must be submitted by the UK PI on behalf of the UK-Vietnamese research partnership. The application must be JOINTLY prepared. Once received, MRC will share the applications with the Vietnamese Partner – MOST; the Vietnamese PI will need to submit the Case of Support to MOST. As this will be the single application document, it is vital that the joint application form provides full details of the work proposed for both the UK and Vietnam components.

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

- A completed Je-S form.
  All UK and Vietnamese investigators MUST be included. This form reflects the UK costs, so while the Vietnamese investigators should be included, hours charged for Vietnamese Investigators should be 0. Vietnamese costs should be captured in the Justification for Resources. Please see below for further details

- A cover letter (optional)

- 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 Vietnamese partners named as investigators on the grant

• Justification of resources for the total costs requested for the project (both UK and Vietnamese 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

• Signed letters of support
  o IMPORTANT: Letter of support from Vietnamese ministry in charge which should acknowledge the necessity and importance of the research proposal.
  o From Vietnamese Research Organisation demonstrating support for the proposed research project.
  o Where the Vietnamese 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
  o From any project partner where an in kind payment is being contributed.
  o From both PI’s when animal research is proposed. Please see section 5.6 in this guidance “use of animals” for further information
  o From both PI’s when human/human tissue research is proposed. Please see section 5.5 in this guidance “use of human/human tissue” 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):

<table>
<thead>
<tr>
<th>Document</th>
<th>Maximum length (Maximum)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Covering Letter (Information that is only relevant to MRC. Cover Letters are not made available to reviewers)</td>
<td>2 pages</td>
</tr>
<tr>
<td>A jointly prepared Case for Support</td>
<td>8 pages (including illustrations &amp; references)</td>
</tr>
<tr>
<td>CV</td>
<td>2 pages per CV</td>
</tr>
<tr>
<td>Publications</td>
<td>1 page per investigator</td>
</tr>
<tr>
<td>Justification of Resource/funding summary</td>
<td>4 pages</td>
</tr>
<tr>
<td>Pathways to Impact</td>
<td>2 Pages</td>
</tr>
<tr>
<td>Data Management Plan</td>
<td>3 Pages (4 for longitudinal studies)</td>
</tr>
<tr>
<td>Letters of support (dated and signed)</td>
<td>2 pages</td>
</tr>
</tbody>
</table>
Further guidance and details for all of the above content can be found in the MRC Guidance for applicants.

3.2 The Case for Support

MRC’s Guidance for applicant’s states, the case for support may be up to eight 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.

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

- Title
- Importance of the research
- Approximately 150 words to highlight why this research is Official Development Assistance compliant – this should also be highlighted in the technical summary and lay summary of the proposal form.
- Scientific potential and expected outcomes
- People and track record
- Research Environment
- Research plans and deliverables
- Consideration of ethical, governance and IP issues around the project
- Data preservation, exploitation and dissemination
- Expected output/Outcome/Impact (including expected publications and journals)

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 Vietnamese 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 Vietnamese 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 Vietnamese side should be separate with a clear justification of each cost.

3.3 How to apply

Please login to your Je-S account via [https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx](https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx), 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 lead applicant 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.

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

All PIs and Co-Is involved in a grant project will need to be registered on Je-S. Please read on for information about setting up a Je-S account contained within section ‘2.2 People named on the grant’.

The below ‘Call/Type/Mode’ can only be selected when the call opening date has been reached (until the advertised closing date Tuesday, 12 December 2017).

All MRC funding calls close at 16:00 (16:00 GMT), on the advertised closing date Tuesday, 12 December 2017.

- Select Council: MRC
- Select Document Type: Standard Proposal
- Select Scheme: Newton Fund
- Select Call/Type/Mode (optional): UK-Vietnam Joint Health Research Initiative 2017
Select ‘Create Document’ option

Please contact the Je-S Helpdesk 01793 444164 or jeshelp@rcuk.ac.uk should you require any assistance with the Je-S System

3.4 Budget

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

Full Economic Costing (FEC)

Please see section 5. Resources – Full Economic Costing in the MRC Guidance for applicants for information on FEC.

All the UK and Vietnamese PI(s)/Co-I(s) must be inputted onto the Je-S form. However, any costs for Vietnamese 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’ 0. A break down and justification of Vietnamese costs should be included in the Justification of Resources template.

Please refer to section 3 in this guidance, ‘application process’, for more information.
**Funding available**

<table>
<thead>
<tr>
<th>Research costs:</th>
<th>MRC funding*</th>
<th>Vietnamese funding (Justified but NOT recorded on the Je-S form)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff – directly incurred post e.g. Researchers, Technicians</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Staff – directly allocated posts (PI and Co-I time)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Equipment below £10k: Costs should be claimed as ‘Other Directly Incurred Costs’</td>
<td>Yes</td>
<td>As in Justification of Resources</td>
</tr>
<tr>
<td>Equipment above £10k</td>
<td>No</td>
<td>As in Justification of Resources</td>
</tr>
<tr>
<td>Other Directly Incurred Costs Including e.g. Consumables, Sub-contracting costs</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Research assistants Technicians</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Studentships (degree programmes)</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Travel and subsistence for exchange/mobility activities ‘Other Directly Incurred’</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Cost of hosting workshops, meetings etc. Should be costed as ‘Other Directly Incurred’</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

*MRC funding will be provided to the UK HEI but in exceptional circumstances can be spent on activities in Vietnam which are outside of the funding available from the Vietnamese funders and when identified and justified in the proposal. **This must be agreed in advance of submission with the funders.**

**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 March 2022.

3.5 Vietnamese Application Summary

At the first stage (outline stage) applications must be submitted by the Vietnamese research team to MOST by 16:00 Tuesday, 12 December 2017. The application must include the following documents:
- An authorized letter to the Ministry of Science and Technology signed by a Leader (at Minister level) of the Ministry or Provincial People’s Committee in charge.
- Outline proposals for the joint research projects with foreign partners as per form 1 of MOST’s circular no.12/2014/TT-BKHCN dated 30 May 2014 in both Vietnamese and English. Please see ‘Outline proposal for Vietnamese Applicants’ template for more information.

Proposals should be submitted in hard copies directly to:
Department of International Cooperation
Ministry of Science and Technology:
113 Tran Duy Hung, Cau Giay, Hanoi

At the second stage (full stage) Vietnamese Principal Investigators of potential fundable projects will be invited to submit further details relating to their proposals including the following documents to MOST:
- Full proposal form
- A Cooperation Agreement between Vietnamese participating institutions
- A Cooperation Agreement between Vietnamese and UK institutions (in English and Vietnamese translations). The minimum requirements for an Agreement should be as follow:
  - Project title
  - Name of participating institutions
  - Description of project objectives, main research contents, cooperation plan, human resources for carrying out the project, work assignments and cost division between UK and Vietnamese project partners, anticipated results and main regulations for commercialisation of project results.

The full proposals should be submitted together with other administrative documents according to Vietnamese regulations.

Information about the submission of full proposals will be posted on the website of the Ministry of Science and Technology: www.most.gov.vn
Stage 3. MOST will conduct detailed budget appraisal and revision against the activities plan in each project proposal.

UK applicants will be expected to submit details of any changes to the proposal that have been recommended by the MRC and MOST panels.

4. Assessment Process and Criteria

Following submission, peer-review will be undertaken by the funding agencies. To be funded, proposals must be internationally competitive and at a standard equivalent to that normally expected to be supported by each funding organisation.

Key assessment criteria for the submissions will be:

- Significance and Impact of the research
- Scientific Rationale: novelty, importance and timeliness of the research
- Design and Feasibility of the Project Plan
- Partnership: including strength and clarity of collaborations and opportunities provided, quality of the project management structure proposed; the added value of the UK-Vietnam collaboration
- Quality and suitability of the research environment and of the facilities
- Value for money for Vietnam and UK science
- Ethical considerations and governance arrangements.

In addition, applicants must describe how the proposed UK funded work is ODA compliant [approximately 150 words]. This section will be made publicly available. For further information on ODA, please visit: Official Development Assistance

5. Agreements

5.1 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 MRC or MOST 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

5.2 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 MRC or MOST 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.

5.3 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.

5.4 Ethics

Any research involving humans/human tissue and/or animals must comply with legislation in both the UK and Vietnam, and must also comply with relevant policies and guidance of the MRC and MOST.

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. Section 5 of 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.

**Vietnam Ethics guidance**

Before carrying out any research, all biomedical research on human subjects in Vietnam shall have to be examined and evaluated by the Ethical Evaluation Committee in biomedical research in terms of research ethical aspects and specialized scientific aspects in compliance with Decision No.460/QD-BYT dated 16 February 2012 of Minister of Health on “Regulation on the organisation and operation of Ethical Evaluation Committee in biomedical research of Ministry of Health, period 2012 – 2017”.

**5.5 Humans/Human Tissue**

**MRC Guidance**

Applicants must comply with relevant MRC policies and guidance (section 5 of the [MRC Guidance for applicants](https://www.mrc.ac.uk/publications/browse/research-involving-human-participants-in-developing-societies/))

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

MRC current policy for research involving humans to take place overseas, [https://www.mrc.ac.uk/publications/browse/research-involving-human-participants-in-developing-societies/](https://www.mrc.ac.uk/publications/browse/research-involving-human-participants-in-developing-societies/) 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 Vietnamese 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.
**Vietnamese Guidance**

Before carrying out any research, all biomedical research on human subjects in Vietnam shall have to be examined and evaluated by the Ethical Evaluation Committee in biomedical research in terms of research ethical aspects and specialised scientific aspects in compliance with Decision No.460/QD-BYT dated 16 February 2012 of Minister of Health on “Regulation on the organisation and operation of Ethical Evaluation Committee in biomedical research of Ministry of Health, period 2012 – 2017”.

5.6 Use of Animals

Applicants must ensure that all of the proposed research, both that in the UK and in Vietnam, will comply with the principles of the MRC common guidance on “Responsibility in the use of animals in bioscience research” [http://www.mrc.ac.uk/publications/browse/responsibility-in-the-use-of-animals-in-research/](http://www.mrc.ac.uk/publications/browse/responsibility-in-the-use-of-animals-in-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:

1. 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/responsibility-use-animals-bioscience-research](https://www.nc3rs.org.uk/responsibility-use-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.
2. 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.

6. Terms and Conditions

RCUK [http://www.rcuk.ac.uk/funding/grantstcs/]
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, the Medical Research Council and MOST 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 1st April 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 RCUK 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, [https://www.mrc.ac.uk/publications/browse/research-involving-human-participants-in-developing-societies/](https://www.mrc.ac.uk/publications/browse/research-involving-human-participants-in-developing-societies/) 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 http://www.mrc.ac.uk/publications/browse/responsibility-in-the-use-of-animals-in-research/ 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 if 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 Vietnam must intermittently report and share the progress with each other and the Vietnamese Co-funders.
Annex 1

Additional questions on the use of rodents overseas

The expectations of the Research Councils for the use of 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 Directive 2010/63/EU (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.

5. Surgery is performed using aseptic technique, the least invasive surgical approaches, and appropriate perioperative care (pre-operative medications, hypothermic

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).

11. The methods of humane killing are those recommended by the AVMA (2013) or permitted under Directive 2010/63/EU.

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