



Request for Proposals GLOBAL INNOVATION INITIATIVE

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Application Deadline: October 31, 2014 at 5:00pm EST

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Executive Summary

On behalf of the U.S. Department of State's Bureau of Educational and Cultural Affairs, the Institute of International Education is pleased to announce an open competition for the support of multilateral academic research partnerships through the Global Innovation Initiative. A joint effort of the United States and the United Kingdom, the Global Innovation Initiative aims to support multilateral research collaboration between institutions of higher education in the U.S., the UK and higher education institutions in Brazil, China, India, and Indonesia. The Global Innovation Initiative seeks to support research with an emphasis on multi-disciplinary science, technology, engineering, and mathematics (STEM)-related issues of worldwide significance. This grant competition is administered by the Institute of International Education on behalf of the U.S. Department of State's Bureau of Educational and Cultural Affairs. Accredited U.S. post-secondary educational institutions meeting the provisions described in Internal Revenue Code section 26 U.S.C. 501c(3) are invited to submit proposals to support the program's goals of encouraging international academic engagement in the STEM fields through cooperation with post-secondary educational institutions from the UK and a designated partner country, in the thematic areas of energy, climate change and the environment; agriculture, food security and water; global health and wellbeing; and future cities. Proposals are due by October 31st, 2014 at 5:00pm EST.

Part I: PROGRAM OVERVIEW, OBJECTIVES, AND GOALS

1. Background

Announced by U.S. Secretary of State John Kerry and former UK Foreign Secretary William Hague in June 2013, the Global Innovation Initiative is part of President Barack Obama's and Prime Minister David Cameron's broader commitment to enhance higher education collaboration between the U.S. and the UK and other countries.

2. **Program Summary**

The Global Innovation Initiative provides grant support for multilateral research collaboration in STEM-related issues of global significance among higher education institutions in the U.S., the UK, and other designated countries (Brazil, China, India and Indonesia). The grants are intended





to support multi-year collaborations that foster cutting-edge, multinational, interdisciplinary research and strengthen international institutional partnerships. Two parallel, but separate, grant competitions will be offered in the U.S. and UK and will require at least one U.S., one UK and one designated other country higher education institution to apply in partnership together. Partnerships with a U.S. lead institution must apply to the U.S. competition through the Institute of International Education, and those with a UK lead institution must apply to the UK competition through the British Council. Administered in close coordination, the grant competitions are run separately in the two countries.

3. Partnership Goals and Objectives

Goals of the Global Innovation Initiative

- To increase the global mobility of students, researchers, faculty, and higher education administrators from the U.S., the UK, and other countries;
- To develop a cadre of people in the U.S., UK, and other countries who have the international experience, outlook and knowledge to confront global challenges and operate in a global context;
- To encourage international collaborations that develop capacity across a range of universities in the U.S., the UK, and other countries;
- To forge university and business linkages that support a globally mobile talent pool and a multinational base for the exchange of discovery and innovation.

Initiative Objectives

The proposed partnership activities should be designed to conduct cutting-edge scientific and multilateral research between a U.S. higher education institution, UK higher education institution and a higher education institution(s) from Brazil, China, India, and/or Indonesia. Partnership activities should be designed to the mutual benefit of all partner institutions with the aim of building sustainable research networks; promoting individual and knowledge mobility; developing research capacity, particularly in the designated other country (Brazil, China, India and/or Indonesia); and fostering long-term institutional engagement.

4. **Priority Areas**

The following STEM-related issues are priority areas for the competition, and applications must be submitted in one of the following categories:

1. Energy, Environment, and Climate Change

Proposals in this category should address issues related to preserving the environment, mitigating and preventing the effects of climate change, and changing the way energy is produced and used through alternative sources.





2. <u>Urban Development</u>

Proposals in this category should address issues connected with rapid global urbanization and solutions to the challenges of human population density including economic, social, and environmental effects. Proposals can address but are not limited to topics related to infrastructure, smart cities, and green and sustainable buildings.

3. Agriculture, Food Security, and Water

Proposals in this category should address issues related to innovative farming and cultivation techniques and practices, the ongoing access to and stable availability of sufficient and nutritious food, the availability of potable water, and water pollution.

4. Global Health

Proposals in this category should address significant issues impacting human health in the global context, with an emphasis on improving health and achieving equity in health for all people worldwide. Proposals should investigate innovative solutions which prevent disease, promote healthy and fulfilling lives, and reduce global health disparities.

While the four aforementioned priority areas are broad in nature, applicants are asked to select the area of best fit for their proposal. Interdisciplinary approaches to the research proposal, including the humanities and social sciences, are encouraged provided that the research foundation lies in the STEM disciplines.

5. **Partner Countries**

In addition to the United States and the United Kingdom, the designated partner countries for the GII grant are:

- 1. Brazil
- 2. China
- 3. India
- 4. Indonesia

For the U.S. competition, proposals must be submitted by a U.S. higher education institution in partnership with a UK higher education institution and a higher education institution from at least one of the four aforementioned countries.

6. Activities and Program Implementation

Proposed activities may include but are not limited to the undertaking of joint research, the exchange of students and scholars for research purposes, convening research panel discussions or symposia, team teaching, curriculum development, joint program development, or other joint activities that advance the proposed research objectives. Group activities are strongly encouraged to take place in the U.S. or the other designated partner country (Brazil, China, India, and/or Indonesia).





7. **Program Funding**

Applicants may submit proposals requesting funding between \$100,000 and \$200,000. Proposals requesting less than \$100,000 or greater than \$200,000 will be considered ineligible and not included in the selection process. GII will award approximately 6 grants in this cycle and will disburse funds directly to the U.S. lead institution covering a period of two years. The U.S. lead institution may transfer funds to partner institutions for activities that support the overall mission of the proposal; however, the award recipients are strongly encouraged to hold the majority of activities in the U.S. and the other partner country (Brazil, China, Indonesia, and/or India).

Part II. ELIGIBILITY & RESPONSIBILITIES

1. Eligible Applicants:

Each partnership should consist of at least three partners – one U.S., one UK and one from a designated partner country. Research consortia may be multilateral and, in addition to the U.S. and UK partners, may include more than one other designated country.

- The lead institution applying through the Institute of International Education must be an accredited U.S. higher education institution, meeting the provisions described in Internal Revenue Code section 26 U.S.C. 501c(3).
- The UK institution must be a <u>recognized higher education institution</u> as defined by the UK government. (Proposals led by a UK institution must apply to the UK competition administered by the <u>British Council</u>.)
- Partnering institutions in Brazil, China, India and Indonesia must be a higher education institution as defined in their country.
- Overseas branch campuses of a U.S. or UK higher education institution are not eligible as partners.
- IIE will only accept one proposal per U.S.-UK-designated country (Brazil, China, India, and/or Indonesia) research team. However, an institution may be involved in multiple, distinct proposals. Proposals submitted to both the U.S. and UK competitions by the same research team and addressing the same research topic will be ruled ineligible.

2. Visa Requirements

U.S. institutions are responsible for procuring U.S. visas necessary for travel to the U.S. IIE and the Bureau of Educational and Cultural Affairs place critically important emphases on the security and proper administration of Exchange Visitor (J visa) Programs. Grant recipients and sponsors must adhere to all regulations governing the J visa. Proposals should demonstrate the applicant's capacity to meet all requirements governing the administration of Exchange Visitor Programs as set forth in 22 CFR 62. The grant recipient will be responsible for issuing DS-2019





forms to participants in this program. Where necessary, IIE will work with institutions without J-1 visa sponsorship capacity.

For travel to countries other than the U.S., partner universities are responsible for working together to arrange any necessary visas.

3. Taxes

Lead U.S. institutions are responsible for complying with all applicable tax treaties and federal, state and local laws on tax withholding and reporting.

4. Health Insurance

All participants must carry health and accident insurance when taking part in grant-funded activities. The applicant should budget for insurance, as needed.

Part III. PROPOSAL COMPONENTS AND INSTRUCTIONS

The Global Innovation Initiative requires applicants to fulfill the following criteria in order for a proposal to be considered complete. Proposals should aim to demonstrate scientific merit, potential impact, feasibility of implementation, and strength of partnership.

Proposal Instructions

Applicants should submit all contents of the proposal by email to <u>GII@iie.org</u>. All documents must be submitted in PDF format, with the exception of the budget which must be submitted as an Excel document. The following materials should be submitted as separate documents:

- 1. Application form (PDF)
- 2. NICRA form (PDF)
- 3. Budget (Excel)
- 4. A single PDF containing all other proposal materials (PDF)

Please note that IIE cannot accept attachments larger than 10MB. Should proposal documents exceed 10MB in size, attachments should be sent in multiple email messages.

Proposal Components

- 1. **Application Form**—Proposals must include a completed application form, which can be downloaded from the program website www.iie.org/GII.
- Narrative—A proposal narrative detailing the program components, action plan, and desired outcomes is required. Narratives should be no more than 10 pages in length with maximum 2 pages of appendices. The narrative and appendices should be double-spaced, have 1 inch





margins with font in size 11 Times New Roman. The following components should be included in the proposal narrative:

A. Vision

Proposals should include a statement of need on behalf of the university partners. This section should outline the partnership's project, how it is innovative, and how it will address issues of global significance relating to one of the four focus areas for this grant competition.

B. <u>Participating Organizations</u>

U.S. higher education institutions are eligible to apply for this grant opportunity in partnership with accredited institutions of higher education from the UK, Indonesia, Brazil, China and India. Other institutions such as research councils, private sector companies, non-profit organizations or other similar organizations are encouraged to provide support to proposals that meet the basic criteria of including at least one U.S., one UK and one designated other country higher education institution. In addition to a brief description of all partner institutions' background and relevant experience, this section should describe when and how the partnership was established and contact between the partners to date, including any joint activities. If the partnership is new, briefly describe any relevant meetings or communications and the rationale for working together (including previous experience each partner has of working on the chosen priority area). The narrative should include a description of how the partnership will ensure that all institutions are equally involved in executing the project and will equally benefit from the project outcomes.

C. Project Management

The U.S. lead institution must be clearly identified and will be responsible for all reporting and fiduciary requirements of the grant. Proposals should detail the coordination plan between the partner institutions, as well as a breakdown of duties and responsibilities.

The U.S. lead institution, as well as the UK and selected country institutions, must comply with all applicable terms and conditions during the projected period as stated in the Standard Terms and Conditions, which is available online at: www.statebuy.state.gov/fa/Pages/TermsandConditions.aspx

D. <u>Program Activities</u>

The narrative should describe the operational strategy of the proposed project and include a detailed account of all activities to be undertaken within the scope of the





proposal. The description of activities should include an explanation of each major activity and justification for its relevance to the objectives of the Global Innovation Initiative.

E. Program Evaluation

Proposals should include an evaluation plan, including a description of methodology, key objectives, and how the success of those objectives will be measured.

F. Measures of Sustainability

Measures of sustainability for the long-term endurance of the research partnership should be built into the proposal and will be prioritized in selection. Proposals should describe the expected results and outcomes from the project; expected benefits to the development of research capacity at designated other country partner institutions; any anticipated knowledge transfer; and how this project may lead to broader institutional collaboration between the partners.

- 3. **Work Plan/Timeframe** Applicants must include a work plan or Gantt chart with their proposal submission. Grant recipients will be expected to begin their grant activities by April 1, 2015 and conclude within two years. The period of performance is: April 1, 2015 to April 1, 2017.
- 4. **Budget**—The proposal must include a complete budget and budget narrative. The budget should be drafted using the provided budget template and should detail the relevant research expenditures, personnel costs, other direct costs, and indirect costs.

Cost-share is expected and institutional partnerships demonstrating significant cost-share will be considered more competitive during the selection process. Together, the applicant partner institutions can demonstrate support in the form of direct and/or in-kind cost-share. Examples of cost share include direct funds contribution, donated staff time, support for travel and accommodations, donated materials and/or facilities. The commitment of all partner institutions to the proposed project should be reflected in the proposed cost-share within the context of their respective institutional capacities. Additional cost share from the private sector and other organizations is highly encouraged. In the previous award cycle, the selected proposals demonstrated approximately a one-to-one cost-share match.

The following are examples of allowable and unallowable uses of GII funding. Ultimately, all expenditures must comply with OMB Circulars A-122/A-21:





Allowable uses of GII funding:

- International economy travel, accommodation and local subsistence costs (Air travel must comply with the Fly America Act and be on a US Flag air carrier.)
- Local in-country travel costs
- Visas and vaccinations (if necessary for travel)
- Meetings, training events, seminars, conferences integral to the partnership (including room rental, accommodation, and travel and subsistence for participants where appropriate)
- Workshops (including room rental, accommodation, and travel and subsistence for participants where appropriate)
- Publications and associated printing costs
- Appropriate fieldwork costs and costs for research/data collection staff in country
- Materials for the purpose of carrying out research activities
- Medical Insurance (only where not covered by other insurance)

The following are unallowable usages of GII funding:

- Replacement costs
- Consultancy fees
- PhD studies or student tuition
- Tuition remission
- Purchase or rental of equipment such as IT hardware or software, desks, chairs, filing cabinets, photocopiers, fax machines
- Entertainment costs
- 5. **Letters of Support**—Each partner institution must submit a letter from an authorized official of the institution detailing its commitment to undertaking the project. Examples of appropriate officials include university presidents, rectors, provosts, deans, etc. Partner institutions are expected to carry out any and all responsibilities detailed in the proposal. Partner institutions are subject to the same U.S. government restrictions and regulations as the lead institution in the execution of their grant-funded activities. The letters of commitment will be considered in the selection process and will assist in demonstrating institutional commitment, a key selection criterion.

Applicant institutions may submit additional letters from third party organizations and institutions in support of their abilities and experience, as well as in support of the research value of the project.

6. **Resumes**—The proposal must include resumes of the relevant individuals who will participate in grant-funded activities. At least one resume per partnership institution is required. Resumes





should be no longer than 2 pages in length with 1 inch margins and size 11 Times New Roman font. Please do not submit resumes for students included in the proposal.

7. **NICRA Agreement**—The indirect cost-rate will be determined by the U.S. institution's individual Negotiated Indirect Cost Recovery Agreement (NICRA) rate. Institutions are strongly encouraged to maximize the funds towards direct costs. Those institutions that apply the majority of the grant funds to the research project will be viewed favorably in selection. A copy of the lead institution's NICRA agreement should be included in the proposal as a separate PDF.

Part IV. ADDITIONAL INFORMATION

- 1. U.S.-UK-China Partnerships—Grants for U.S.-UK-China partnerships are restricted to research issues broadly addressing the environment. However, this restriction does not necessitate that research partnerships including a Chinese partner must be submitted in the "energy, climate change and the environment" priority area. The four priority areas have been purposely kept broad and it is understood that a proposal in any of these four areas could have an environmental focus.
- 2. Certain activities are ineligible under this grant, specifically anything related to testing on human subjects or research related to outer space.

Part V. PARTNER ROLES

1. U.S. Lead Institution

The U.S. lead institution is responsible for the overall coordination and administration of the proposed project. All reporting and fiduciary management requirements are the responsibility of the lead institution. The grant funds will be disbursed from IIE to the lead institution and the lead institution will be responsible for executing the budget as submitted in the proposal. The lead U.S. institutions will be required to submit quarterly reports to the Institute of International Education on project activities and financial expenditures. Final narrative and financial reports will be due upon conclusion of the grant. While all partners are expected to contribute to the reporting requirements, the responsibility of submitting reports is with the lead U.S. institutions.

2. Partner Institutions

Partner institutions are expected to carry out any and all responsibilities detailed in the proposal. Partner institutions are subject to the same U.S. government restrictions and regulations as the lead institution in the execution of their grant-funded activities.





3. Institute of International Education

The Institute of International Education (IIE) is the administrative body for the Global Innovation Initiative in the U.S. IIE will be the primary point of contact for grantee inquiries and report submissions. IIE will also be responsible for financial oversight, including the disbursement of grant funds to grantees and the collection of grantee quarterly financial reports.

Part VI. REVIEW & SELECTION

1. Review Process

Applications will be reviewed by the Global Innovation Initiative Selection Committee, comprised of experts in the STEM disciplines and with experience in international research partnerships. Grant recipients will be announced in March 2015.

2. Review Criteria

Proposals fulfilling all technical requirements will be reviewed in the following five areas:

- 1. Scientific merit of the proposal: Proposals should demonstrate the unique and critical value of the research being proposed, specifically emphasizing innovative solutions to a global STEM field challenge. The expertise and relevant experience of the proposed lead investigators and research teams from each partner institution should be clearly delineated.
- 2. <u>Potential impact of the proposal: The proposal should demonstrate the significant impact the project will have</u> on the participating institutions, local communities, and society at large. The research should have globally important implications, as well as assist in increasing the capacity of the partner institutions to conduct high-level research and international collaborations.
- 3. <u>Proposal feasibility</u>: The proposal should demonstrate the ability of the research team to reasonably undertake the research outlined in the proposal within the 2 year grant period. Factors that will be taken into consideration include the operational strategy, budget, monitoring and evaluation plan, and measures for sustainability.
- 4. <u>Strength of partnership</u>: The proposal should demonstrate the strength of the cooperation between the partner institutions beyond the research team members. The strong commitment of each institution to the partnership should be demonstrated, particularly in the proposal narrative and letters of commitment. Partnerships should be designed to increase the research capacity of all institutions with particular emphasis placed on the designated other country. Additional components that will be taken into consideration are: the number of student, faculty and staff exchanges; virtual exchange





- components; and plans for knowledge transfer. Diversity will also be considered in the final selection of grantees.
- 5. <u>Cost-Effectiveness and Cost-Sharing</u>: The overhead, indirect costs, and administrative components of the proposal, including salaries, should be kept as low as possible. All other items should be necessary, appropriate, and relevant to the research project. The proposal should maximize cost-sharing through direct institutional contributions, indirect institutional contributions, and private sector support.

VII. CONTACT

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