



Request for Proposals GLOBAL INNOVATION INITIATIVE

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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; public health and wellbeing; and urbanization. Proposals are due by December 16th at 9:00am Eastern Standard Time.

Part I: PROGRAM OVERVIEW, OBJECTIVES, AND GOALS

1. Background

Announced by U.S. Secretary of State John Kerry and 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 countries including Brazil, China, India and Indonesia. The grants are intended to support multi-year collaborations that foster cutting-edge, multinational, interdisciplinary research and strengthen 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, climate change and the environment
2. agriculture, food security and water
3. public health and wellbeing
4. urbanization

5. 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).

6. Program Funding

Applicants may submit proposals requesting funding between \$150,000 and \$250,000. Proposals requesting less than \$150,000 or greater than \$250,000 will be considered ineligible and not included in the selection process. IIE will award approximately 10 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

1. **Eligible Applicants:** 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). Proposals led by a UK institution must apply to the UK competition administered by the British Council. IIE will only accept one proposal per U.S.-UK-designated country (Brazil, China, India, and/or Indonesia) partnership. Partnerships that submit similar proposals to both the U.S. and the UK grant competitions will be ruled ineligible. However, institutions may be involved in multiple, distinct proposals.



Role of the lead institution

The lead U.S. institution is responsible for: submitting the partnership's proposal, overall program coordination, grant reporting, and the fiduciary responsibilities for the two year duration of the grant.

2. **Required Partners:** Each U.S. lead institution is required to submit a proposal together with at least one UK higher education institution, and one higher education institution from a designated other country (Brazil, China, India, and/or Indonesia). Each institution in the consortium should be accredited within their own country. Institutions such as research councils, private sector companies, non-profits or other similar organizations may provide additional support in each country.
3. **Cost Sharing:** Cost-share is expected and will be prioritized in selection decisions. Cost-share can either be direct or in-kind, and is to be shared among the partner institutions with respect to their institutional capacity. Examples of cost share are direct funds contribution, donated staff time, support for travel and accommodations, donated materials and/or facilities. Additional cost-share from the private sector and other organizations is strongly encouraged.
4. **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.

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.



1. Proposal Instructions

Applicants should submit all contents of the proposal in PDF format by email to GII@iie.org. 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.

2. Proposal Components

1. **Application Form**—Proposals must include a completed application form, which can be downloaded from the program website www.iie.org/GII.

2. **Narrative**—A proposal narrative detailing the program components, action plan, and desired outcomes is required. Narratives should be no more than 10 pages (double-spaced) in length. The following components should be included in the proposal narrative:

1. 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 areas that are the focus of this grant cycle.

2. Participating Organizations

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-profits 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 partners are equally involved in executing the project and will equally benefit from the project outcomes.



3. 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 Overseas Terms and Conditions, which is available online at:

http://fa.statebuy.state.gov/Content/documents/Overseas_TandC.pdf.

4. Program Activities

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.

5. Work Plan/Time Frame

Grant recipients will be expected to begin their grant activities by April 1, 2014 and conclude within two years. The period of performance is: April 1, 2014 to April 1, 2016.

6. 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.

7. 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. **Budget**—The proposal must include a complete budget and budget narrative.

Proposals are strongly encouraged to include cost-share. 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.

4. **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.
5. **Health Insurance:** All participants taking part in grant activities must carry health and accident insurance. The applicant should budget for insurance, as needed.
6. **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.
7. **Letters of Commitment**—Each partner institution must submit a letter from an official of the institution who is authorized to make commitments, detailing its commitment to undertaking the project. 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.
8. **Resumes**—The proposal must include resumes of all key individuals who will participate in grant-funded activities. At least one resume per partnership institution is required.
9. **Letters of Support from Third Party**—Applicant institutions may submit 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.



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.
2. Certain activities are ineligible under this grant, specifically anything related to testing on human subjects or research related to outer space.

Part V. RESPONSIBILITIES

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. 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 2014.



2. Review Criteria

Applications will be reviewed in the following five areas:

1. Scientific merit of the proposal, with an emphasis on innovative solutions to a global STEM field challenge;
2. Potential impact of the proposal on participating institutions and society at large;
3. Proposal feasibility, based on the operational strategy, budget, evaluation plan and measures for sustainability;
4. Strength of partnership, including quality and diversity of institutions and team members, institutional commitment, mutuality of benefit, and ability to increase research capacity in the designated other countries.
5. Cost-Share, including institutional financial commitment and private sector support.

Additional consideration in the review process will be given to the number of students, faculty and staff exchanges; virtual exchange components; plans for knowledge transfer; and expertise and relevant experience of the proposed lead investigators and teams from each partner.

VII. CONTACT

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