

## Appendix 2

### Statement of Process and Request for Proposals

#### Background

1. In 1998, the UK Minister for Education and Employment and the Chief Executive of the Higher Education Funding Council for England (HEFCE) visited Brazil. Following the visit various possible collaborations between the two systems were discussed and a pilot programme of collaboration focusing on existing Brazilian research networks was devised. The Brazilian Engineering Development Programme (PRODENGE) was established in 1998, funded jointly by the Inter-American Development Bank and the Federal Government of Brazil. The objective of the Brazilian Research Networks Programme is:

To establish networks in important sectors of scientific and technological research (where competence and capability already exist) and direct their efforts towards a specific problem posed by a client from the public or private sector.

2. In the State of Rio de Janeiro, nine research networks were initiated in 1998 under PRODENGE. The HEFCE, working in collaboration with the Brazilian Ministry for Science and Technology and the British Council, Brasilia, has identified three key areas for possible academic collaboration between teams of researchers drawn from the State of Rio de Janeiro and institutions in the UK. The areas identified are:

- catalysis of petroleum products
- corrosion protection
- phytopharmaceuticals.

3. The HEFCE has identified UK teams working in these areas which might be brought together in the pilot scheme to form UK networks. These networks would then establish contact with their counterparts in Rio de Janeiro and, working together, form international project teams in areas of mutual strategic interest to both countries.

4. An essential element of the programme is the involvement of industrial partners in the individual projects, and it is intended that the research networks will be able to contribute to the development of strong links between industry and higher education in both countries.

#### Description of the Pilot Programme

##### Strategic aim

5. The aim of the collaborative programme is to contribute to the healthy development of higher education in the UK and Brazil by learning from each other's experience, and to strengthen our links and strategic collaboration.

6. There must be tangible outputs and clearly identified benefits, the latter including:

- the pioneering of a new form of international research collaboration with a strong applied focus
- creation of export potential for associated industrial partners
- improvement of research and higher education links between Brazil and the UK.

#### Inputs

7. There must be synergy between the UK and Brazilian teams, and the UK teams will be funded by the HEFCE for a period of three years. The funding amounts to £100,000 per year, to be divided more or less equally between the three networks. This funding is intended to support the development and maintenance of the network infrastructure, and it is expected that the UK networks will be able to obtain other funds from elsewhere to cover the costs of research projects.

#### Process

8. The HEFCE has appointed Professor Brian Clarkson as the project manager for the programme of collaboration. He will provide the link between the networks and the HEFCE and will maintain contact with the Brazilian partners. Professor Clarkson will also monitor the progress in each network and report back to the HEFCE regularly.

9. Each of the three UK networks will appoint a network co-ordinator who will liaise with the Brazilian network co-ordinators and with the members of the UK network and will meet at least once a year with Professor Clarkson and the other UK network co-ordinators to review progress. The network co-ordinator will also be responsible for preparing reports and proposing future developments in the network. Such materials will be used by the HEFCE to monitor progress in the collaborative programme.

10. There will be an initial start-up phase, beginning in February 2000, when networks will be asked to explore with their Brazilian counterparts the opportunities that exist for collaboration and to devise with them the way in which together they will seek to build it. A small amount of money (up to £3,000 for each network) to facilitate this preparation will be made available (see Annex A). The UK networks will be asked to submit detailed proposals for the implementation of the network collaborations, and on receipt of satisfactory proposals, the first tranche of funds will be released. The HEFCE will enlist independent academic advice on the suitability of the proposed work within a scientific context.

11. The employing university of each network coordinator will be asked to accept formal responsibility for the proper use of funds over the three year period of the project, and a contract between the HEFCE and the institutions will be signed.

12. At the end of the first year of operation, the HEFCE will require each network to submit a report accounting for the use of the funds, reporting on progress made so far, detailing any

tangible outputs arising, reflecting on any difficulties experienced and proposing plans for the next year of activity. The HEFCE will also ask Professor Clarkson to produce an overarching report along the same lines. Subject to satisfactory progress having been made, the HEFCE will release the next tranche of funds to each network.

13. At the end of the three years, the HEFCE will expect to receive final reports from each network containing, in addition to the above, reflections on the use of the network as a model for collaboration, lessons learned and recommendations for future collaborations using such networks. Any outputs in tangible form such as publications should be copied to the HEFCE. The HEFCE will seek to evaluate and then to disseminate in the UK, in the most appropriate way, the benefits of the model of collaboration that emerges at the end of the three-year pilot programme.

#### Timing

February 2000	Initial proposals from networks for start-up phase received and funds to enable start-up phase (£3,000) released.
June 2000	Proposals for development of UK networks received, considered and approved, contracts signed and first tranche of funds released.
January 2001	First annual reports received, considered and approved and second tranche of funds released.
January 2002	Second annual reports received, considered and approved and third tranche of funds released.
January 2003	Final reports received, considered and evaluated and arrangements for dissemination to UK HE made.

#### **Annex A**

### **HEFCE Funding of the UK-Brazil Collaborative Research Networks**

#### **Proposals for the Start-up Phase**

Up to £3,000 will be made available to UK networks to enable them to explore with their Brazilian counterparts ways in which the UK and Brazilian networks might work together to create and maintain an international collaborative network which will provide opportunities for the development of research projects based on a theme of current interest to both countries, and which have industrial application.

Proposals should specify:

- the members of the UK network
- the network co-ordinator
- the industrial partner(s)

- areas of expertise of the network which have potential for collaboration with Brazil
- any existing links with Brazil
- members of the Brazilian network with which communication is to be established
- Brazilian network co-ordinator
- Brazilian industrial partners (where known)
- amount required
- purpose for which funds are required (including quotes for travel costs).

Proposals must be received by **Friday 25 February 2000**.

## **Proposals for Implementation of Collaborative Research Network**

Up to £33,000 is available for the first tranche of funding for this pilot programme. Proposals from network co-ordinators should specify the following:

- List of members of the UK network (including the network co-ordinator) with list of publications and research expertise/experience.
- Plan for development and maintenance of UK network (with particular reference to ensuring that the interactions between the Brazil and UK networks will be constructive and useful for all the members. This might be achieved by a communications strategy, and some consideration of the balance between areas of expertise encompassed by the two networks might be useful.)
- Description of how the network will establish and maintain contact with its Brazilian counterpart (identifying and outlining strategies for dealing with any international and potential IPR or market sensitivities which may arise. Issues of each nation's international competitiveness may also be relevant here.)
- Industrial/commercial partners and funding input, if any.
- Expected value to the industrial partner including export potential.
- Areas identified with Brazilian network for collaboration.
- Description of collaborative project(s), with research plan and key stages.
- Anticipated outputs and dissemination from project by a) end of 2000 and b) end of pilot project in 2002/03.
- Application(s) of the joint work.
- Specific IPR implications of potential output and allocation of rights given the international context and novelty of the collaboration.
- Tangible benefits and how they will be measured and demonstrated in the final report with particular reference to the network model and the pilot nature of the project.
- Comprehensive budget breakdown for the network and research.
- Other sources of funding for research conducted with the network, anticipated or actual.
- Plans for the monitoring and evaluation of the project as it progresses (to enable adequate steps to be taken to address difficulties which arise as well as to inform the annual reporting process).

Proposals must be received by **Friday 30 June 2000**