

# Applicant Guidance Notes: UK-China Urban Flooding Research Impact Programme

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## Introduction

The Royal Academy of Engineering has been engaged as a Delivery Partner under the UK-China Newton Fund – an initiative of the UK and Chinese Governments to enhance science, innovation and research cooperation between the two countries.

As part of the UK-China Newton Fund the Academy is partnering with the Chinese Academy of Engineering to implement the UK-China Urban Flooding Research Impact Programme. This Programme aims to support impactful research and enhance the impact of existing research in Urban Flooding in both countries by encouraging bilateral collaboration between academics and government as well as wider industry. The Programme is based upon the premise that more strategic linkages between academics, policymakers and industry can boost the impact of existing flood systems research, inform future research priorities, and strengthen evidence-based policymaking to enhance urban resilience to extreme weather and flooding events.

## Context

Recent years have seen an increase in the severity and frequency of urban flooding in China. The immense disruption and destruction to citizens lives, urban infrastructure and the economy has been particularly stark in floods in Beijing (2012), Ningbo (2013), Shenzhen (2014), and Wuhan (2016). Such incidents have multiple, interconnecting causes which are specific to the natural environments, the location

and built attributes of the urban settlements as well as the patterns of land and water use within each respective river catchment area. The complex and dynamic ways in which these individual factors interact and their combined impacts on wider river catchment systems requires further research and are not well reflected in existing governance and regulatory mechanisms, which often operate in sector siloes. Without such considerations, well-meaning policies in any one sphere may unintentionally contribute to urban flooding phenomena in times of heavy rainfall or fluvial and coastal flooding. This is especially so in areas of rapid recent urban development and growth. This programme hence aims to both encourage research into the combined drivers and dynamics of weather systems and pluvial, fluvial and coastal flooding and also bridge the gap between research and policy – especially in light of the Chinese Government’s Sponge City agenda -, creating strategic collaborations which can facilitate the synergetic use of leading-edge evidence in government whilst helping co-develop priority areas and agenda for further research and policy consideration.

### UK-China Urban Flooding Symposium

This programme has been informed by presentations and discussions held within the UK-China Urban Flooding Symposium during 16-17<sup>th</sup> October 2017. The deliberations exposed a clear need to increase flood resilience in both the UK and China and in both cases this needs to be a cross disciplinary effort and with a need for collaborative learning across research, municipalities and governments at national, regional and local scales. The following key messages have been synthesised from the meeting:

- It was recognised that the principles of an integrated urban flood management system must cover the intersections of the four domains 1. systems for data collection and assimilation; 2. systems modelling; 3. decision-making and planning, and; 4. evaluation of interventions and learning.
- Value was seen in an interdisciplinary research effort and adopting systems thinking approaches on how to engage and include urban planners, authorities and emergency responders to ensure that quality evidence reaches and improves decision-making at both urban planning and design; and flood preparedness and response stages.
- Ongoing work is required to develop integrated systems for sensing and measurement across the wider catchment area, including use of crowd-sourced data, and the assimilation of this into increasingly sophisticated and precise modelling. A key part of this work needs to be on linking up the meteorological system with the hydrological systems.
- There is great potential in the use of models and simulated environments to rehearse decisions, better understand behaviours and explore their consequences – in both the short and longer term – in terms of health, epidemiology and property with all public services (police, local officials, etc.). Both UK and the Chinese meteorological services produce enough outputs that would allow this type of ‘gaming’ activity.
- The UK has key competencies in design standards and insurance which may be useful starting points in terms of knowledge sharing, comparative research and collaborative development.

This list is not exhaustive and further information on the Symposium deliberations may be found in the UK-China Urban Flooding Symposium Report.

## **Programme Objectives**

Our overall objective for the programme is to strengthen the impact of Chinese and UK researchers to contribute to better, evidence-based policymaking on Urban Flooding issues in China and globally, through deeper collaboration and strategic partnership with governments and industry.

**This call offers financial support for travel, subsistence and salary support costs related to visits and exchanges that support collaborative activities amongst academic and government partners in Partner Countries and the UK.**

Under this call we will support proposals that fit with one or more of the following identified outcome areas:

- A. Build strategic linkages between researchers, public sector and industry in China and UK to research the intersection amongst - and combination of - weather systems and pluvial, fluvial and coastal factors to urban flooding and enhance the impact and uptake of its applications in China and in developing countries globally.
- B. Promote sharing of inter-disciplinary knowledge/ best practice between academia, government and industry to improve decision making under uncertainty, promote co-definition of urban flooding problems to inform future research, innovation and policy collaborations in China and in developing countries globally.
- C. Improve research-policy-industry interface to help systemically foster deeper engagement amongst actors in the innovation eco-systems of both countries and create different models of cross-sector engagement on pressing policy issues on urban flooding prevention for wider sharing and adoption in China and in developing countries globally.

The UK-China Urban Flooding Research Impact Programme under the Newton Fund forms part of the UK government's Official Development Assistance (ODA). As such, projects supported by this programme must meet ODA requirements by:

- Focusing on an engineering higher education, research or innovation challenge e.g. urban flooding that will enhance social welfare and economic development in China.

**AND**

- Demonstrating a tangible benefit to China by enhancing its capacity to carry out excellent teaching, research and innovation in urban flooding

## **Eligibility criteria**

- **Partnerships**

**The lead applicant will be an individual at a UK or Chinese university or research institute** which must propose a means of collaboration with co-applicants that meet the above-identified Programme outcome areas. Co-applicants must include:

- at least one Chinese university or research institute (either as lead or co-applicant)
- at least one UK university or research institute (either as lead or co-applicant),
- at least one Chinese business (SME encouraged);
- at least one UK business (SME encouraged);
- Applications must also have strong support from a Chinese regional or local government affected by urban flooding who will be actively engaged through the course of the project. The strength of this engagement will be a key criteria for assessment;
- Support from a UK governmental agency is not required but is encouraged.

- Further partners are welcome.
- **Institutional Support**
  - Applications must be made by a lead UK or Chinese University or research institute and must include a letter of support from the relevant head of department / school in the lead university as well as a [Declaration](#).
  - **Applications must include Letters of Support from each of the proposed Partner organizations from government, Industry sector and the UK university signed by a suitably senior representative of the institution.** For Universities this should be either the Head of Department or Vice Chancellor and for government and industry this should be a member of the senior management responsible for the technical area.
- **Match Contribution**  
Applicants must demonstrate matched contribution of at least 100%. The matched contribution can be in-kind or financial (or a mixture of both) and can be from any of the partners being proposed. Your match will be assessed based upon the amount and the quality/ value addition of the contribution.
- **Nationality**  
There are no nationality restrictions but all applicants must have full resident status in the country of their employer. The Academy will not assist in visa related queries.
- **Diversity**  
The Academy is bound by the Equality Act 2010. The Academy is committed to diversity and welcome applications from women and other groups who are currently underrepresented across engineering.

## Programme operation

- Projects must start within **March 2018** and end by **31<sup>st</sup> March 2020**.
- **The total contribution from the Academy cannot exceed £70,000.** Applicants will also provide matched contribution of the same level (either cash, in kind, or a mixture of both).
- The grant funding may be split amongst all partners except for government and budget formats should reflect the split between institutions. Allowable grant funding costs include the below – additional and ineligible resources may be incorporated within the proposed matched contribution:
  - Salary support for participating individuals to conduct the activities proposed.
  - The cost of scheduled airline return fares (economy class) between the airports nearest to the UK and Chinese institution.
  - The cost of accommodation (including meals) at or near the participating institutions.
  - A daily subsistence allowance to cover incidental expenses, including UK and China travel.
  - Visa expenses.
  - Consumables and other costs (should total no more than 10% of the

total funds requested).

The funding provided is **not** calculated on the basis of [Full Economic Costs](#). Only direct costs associated with the projects will be funded.

## Submission deadline

The submission deadline is **9am (GMT) on 8<sup>th</sup> February 2018**.

## Monitoring

Awardees will be required to report on progress to the Academy on a quarterly basis, to detail completed activities and future plans. Reports should follow the reporting guidelines which will be provided by the Programme Manager post award, and will cover such aspects as the progress made against the work plan. Awardees will also provide a follow-up report 12 months after the completion of the award, to demonstrate the longer term impact of the project.

## Notification of outcome

Applicants will be notified of the outcome of their application in February 2018.

## How to apply

Applications can only be submitted by a suitably empowered representative from the lead institution. The lead university will act on behalf of and in consultation with all industry, government and research partners in China and the UK. All correspondence from the Academy will be sent to the lead institution.

All applications must be submitted via the Academy's online grants management system: <https://grants.raeng.org.uk>. The author must first register with the system and provide some basic log-in details to create a profile.

The application form has five sections and should take approximately one hour to complete, assuming you have answered the questions offline and merely need to enter the information, rather than compose it. The guidance notes below are more detailed so we recommend you keep this document to hand.

The primary purpose of this application form is to identify whether the applicant is suitable to be supported according to the aims of the scheme.

You will have the option to download a pdf of your application after submission, which may be useful for future reference and for passing on to your colleagues.

Please note that lead applicants will need to obtain a letter of support from their respective Head of Departments or Vice Chancellors/ Rectors or equivalent. University and research institute partners will also need to provide a letter of support from their respective Head of Department. Letters of support should also be secured from Industry and government partners confirming their commitment to the scheme.

If you have any questions concerning the application or the online system please email [Shaarad Sharma](#) (Programme Manager)

# Completing the application form

After logging in to the system via the Academy website and selecting the **UK-China Urban Flooding Research Impact Programme** you should be presented with the "Instructions" screen. Here you will see some general instructions on how to use the system as well as the below list of the five sections of the application form:

1. Applicant and institution details
2. Project details
3. Case for Support
4. Support requested
5. Statement of support and declaration

At any stage in the application process you can save your work and return to it later. You can answer the questions in any order and you may freely skip some sections to return to later if you so wish. It is therefore advised to view the application early on for an indication of what is required, and you should also ensure that you have all the necessary documentation at hand when you start completing the application, such as a copy of all CVs.

## 1. Project Summary

### Q - Project title

Please provide a project title. Should the application be successful, this title will be listed on the Academy's website.

### Q - Summary/abstract

The project summary should provide a brief overview of your aims, the programme of activities and the benefits of the activities to be undertaken during the project. The summary should be written in language that can be understood by a non-specialist reader. (maximum 300 words)

### Q - Total project cost

Please enter the total project costs, including funding asked from the Academy and any costs covered by matched and other sources of funding.

### Q - Funding sought

This should state the exact amount of funding contribution sought from the Royal Academy of Engineering.

**(Please note:** Academy funding cannot exceed £70,000)

### Q - Start and end date

Please enter the start and end date of the proposed project.

Projects must start during **April 2018** and end by **30<sup>th</sup> April 2020**.

## 2. Applicant, institution and partnership details

Please provide details of researchers and their respective institutions involved in this project.

Q. Please provide contact details of the Lead and Co-Applicants

These are the details we will use to contact the leading applicants. The individual from the Lead Institution in China or UK submitting the application is the Lead Applicant and the Co-applicants are the main collaborators from the partnering UK and Chinese academic, industry and government institutions.

Q. Participating Collaborators

Please provide contact details of every member of the collaborating team participating in the proposed programme of work.

Q. CVs of participating Collaborators

Please upload CVs of every member of the collaborating team participating in the proposed programme of work.

CVs should be a **maximum of four pages long**. There is no set format for the CV but it should include information on posts held in at least the last five years together with information on education and qualifications obtained (with dates), evidence of eminence and seniority (for example: details of awards and prizes won, invited lectures, national/international committee membership/leadership). CVs longer than **four** pages will not be accepted.

Q – Organisation details

Please upload a document with narrative summary details of the lead institution and all partnering institutions. These details should include:

For UK Academic Institution:

- Principal research areas and themes
- Indicators of track record (rankings, awards etc) and research capabilities
- Link to website for faculty

For Chinese Academic Institutions:

- # Years institution has been in existence
- Engineering courses offered
- # students and staff and # in research group
- Indicators of track record (rankings, awards etc) and research capabilities
- Link to website for faculty

For industry partners

- Nature of business and types of products/ services offered
- Indicator of size (e.g. # employees, turnover etc)
- Nature of R&D (if any occurs)

For government partners

- Portfolio and responsibilities of agency and geographical area of remit
- Indicator of size of population served and severity or urban flooding issues faced
- Nature of R&D and existing engagement with research base (if any occurs)

Please also mention whether any partner is participating in more than one application.

Q – Role, contribution and benefits to Chinese academic partner(s)

Provide justification for the choice of the Chinese academic partners including the strategic importance of this relationship to you and your institution. Specify the exact role of the Chinese academic partner(s) in this programme. What is the overall long term vision for this relationship and, importantly, what are the expected benefits to

the Chinese academic partner which will result from this collaboration.

You have up to 350 words to answer this question.

*Q –Role, contribution and benefits to government partners and policy community more widely*

Provide justification for the choice of government partners from China and UK (if applicable). Specify the exact role of the government partner(s) in this programme. Provide details of what has been achieved so far through any existing collaboration and what is the overall perceived long term vision for this relationship. What are the expected benefits to the Chinese government partner and the policymaking community in general which will result from this collaboration.

You have up to 450 words to answer this question.

*Q –Role, contribution and benefits to industry partners*

Provide justification for the choice of Chinese and UK industry partners. Specify the exact role of the industry partners in this programme. Provide details of what has been achieved so far through any existing collaboration and what is the overall perceived long term vision for this relationship.

You have up to 450 words to answer this question.

*Q – Role, contribution and benefits to the lead UK partner and the UK more widely*

Provide justification for the choice of the lead UK partner. Specify the exact role of the UK partner in this programme. What is the overall long term vision for this relationship and what are the expected benefits to the lead UK partner and UK in general which will result from this collaboration.

You have up to 350 words to answer this question.

*Q – Letters of support from Academic Institution*

Upload Letter of Support from every Academic Institution partnering in the application. Letters of support should be written by the applicants' respective Heads of Departments (or Heads of Faculty if either of the Applicants is the Head of Department). As a minimum the author should include:

- Confirmation of their support for the application
- Why they support the project
- How it fits in with the department's aims
- What form the matched contribution will take (financial, staff time, guidance, facilities)

The letters should be on headed paper, a maximum of two pages long, signed by the author, and uploaded by the Applicant as pdfs.

**Please note:** The quality of institutional support is a key factor in the strength of the application

*Q – Letters of support from UK and Chinese industry partners*

Upload signed letters of support from each UK and Chinese industry partner named at the start of the application, confirming their commitment to this project.

The letter of support should contain the following:

- Confirm the industry's commitment to this programme, and explain why this collaboration is strategically important to them and what the anticipated benefits will be.

- A brief description of the planned work, and how this fits within the company's aims and activities.
- Detail what facilities, training and equipment will be made available to the project, and any other contributions they will make to the award.
- Affirmation of the contribution of the industry to the programme, in terms of cash, facilities, equipment, staff time etc.

The letter should not exceed two pages and should be submitted as a PDF.

**Please note:** The quality of institutional support is a key factor in the strength of the application

Q - Letters of support from UK and Chinese government partners

Upload signed letters of support from each UK (if applicable) and Chinese government institution partner named at the start of the application, confirming their commitment to this project.

The letter of support should contain the following:

- Confirm the government institution's commitment to this programme, and explain why this collaboration is strategically important to them and what the anticipated benefits will be.
- A brief description of the planned work, and how this fits within the government institution's aims and activities.
- Detail what facilities, training and equipment will be made available to the project, and any other contributions they will make to the award.

The letter should not exceed two pages and should be submitted as a PDF.

**Please note:** The quality of institutional support is a key factor in the strength of the application

### **3. Goals, Objectives, Outcomes and Impact**

Q - Goals and objectives

Please state up to three main objectives for the collaboration. (maximum 300 words)

Q - Is this a new collaboration or a pre-existing collaboration?

Please select which option applies from the drop-down list. The scheme allows both new collaborations and excellent proposals where links or collaboration already exists.

Q - If this is a pre-existing collaboration, please detail the extent of the collaboration, whether this is a continuation of an existing project, and the added value the Academy's support for this new exchange would provide

This additional question will only be displayed if 'pre-existing collaboration' was selected as the answer to the previous question. Please clarify the value to be added by the Royal Academy of Engineering funding the programme which will continue the collaboration. Please also include information on the type and timing of any past and present links and collaboration, and state when the applicants have met in person. (max 200 words)

Q - What is the technical and national context of your collaboration and what makes it unique?

Through this programme, the Academy aims to support interdisciplinary, cross-sector collaborations which are either technically novel and impactful and/ or which build sustainable mechanisms which leverage existing knowledge in a novel, synthesised manner locally to address well-articulated urban flooding policy challenges. Please articulate the urban flooding context within which your initiative is taking place, the challenges, needs and opportunities being met and its relation to the state of the art technically and/ or locally and nationally. Please also show how the project fits or aligns with policy objectives locally.

You have up to 600 words to answer this question.

Q – What are the expected outcomes and impacts of the project for the wider urban flooding research and policymaking community in China and beyond?

The Academy wishes to support collaborations which use this grant as a catalyst to build lasting relationships and generate wide urban flooding prevention policy impact. As such please outline the expected policy outcomes and impacts that will accrue and plans for activities you will undertake to maximise the benefits of the programme for the wider urban flooding community in China and globally. These may be other/further collaborations, dissemination activities, internships, student projects, training workshops, public engagement, teaching, routes to exploitation/ commercialisation etc.

You have up to 500 words to answer this question.

Q – What metrics for success would you consider suitable for the project?

Please give upto 5 specific indicators and targets you hope to achieve with the project to demonstrate success in bullet point form.

Q – How will the collaboration continue following the Academy's support and how will the outcomes be built upon?

Provide details on how you will sustain the outcomes of the project, for example: how you will maintain collaboration. Please also provide information about how this will be funded.

You have up to 300 words to answer this question.

#### **4. Project planning and resourcing**

This section asks for summary details of the application.

Here you will provide the main summary details for the application, covering the dates of the visits, the costs, the general subject area and an abstract of the proposed activities.

Q - Provide a detailed description of the activities to be undertaken

Describe the programme of work to be undertaken during the project including how novel, realistic/ambitious the project is. **Outline the specific deliverables anticipated and appropriate milestones by which to measure progress.** There is an option to upload any supporting documents, figures and diagrams in the next question. Your description should include:

- Description of the agreed work programme(s) against the objectives, including a breakdown of tasks with which team member will lead and in

- which country they are to take place
- a detailed technical case for the programme of work
- Outline of the planned stages

**Please note:** All responsibility for arranging travel and accommodation will lie with researchers and institutions involved

You have up to 1000 words to answer this question.

Q – Images and diagrams

Upload any images and/or diagrams related to your project. Upload a single document with the images and diagrams in the order you would like them viewed. They should be appropriately referenced in your previous answer.

You can upload a maximum of one file, so if you have multiple images to display then please collate them into a single file, and be sure to arrange them in the order you would like them viewed. A pdf would be the most user-friendly format.

Q - Gantt chart

Please upload a detailed Gantt Chart outlining your agreed work programme, including a breakdown of milestones, indicators and target dates for specific elements of the work and the cost breakdown associated with each stage.

Q – Breakdown of funding request

Please upload the project budget in an excel spreadsheet. A budget template is provided and should be used for this purpose – it can be downloaded from the online application form.

The funding shall be awarded to the Lead Institution. The Recipients of grant funding will be expected to provide all parties with resources to enable the programme of activities to take place. Partners within applications should make such financial arrangements before the application is submitted, and evidence of such will be required at the contractual stage.

The total contribution requested from the Academy must be up to GBP 70,000. This amount must be at least 100% matched by the applying institutions from their own or leveraged resources.

- This programme offers **financial support for (economy class) travel, subsistence and salary support costs** related to your proposed activities amongst industry and academic partners in Partner Countries and the UK.
- There is no set limit on how much you can claim in any one category apart from consumables and other costs, where no more than 10% of the total cost may be requested. ‘Consumables’ include project specific costs of small equipment, computer software licenses or publication costs. Examples of ‘other costs’ are conferences and seminar fees.
- Please note that the funding provided by this scheme is **not** calculated on the basis of full economic costs.
- Successful applicants will receive 70% of the total award value at the project’s start, after contract signature and the remaining 30% at the project’s end, upon receipt of a satisfactory final report.

- Additional costs on top of the grant funding must be met by the participating Institutions or leveraged from elsewhere with clear indication with respect to the source of the matched contribution.
- The funding provided cannot be used to pay for purchases of large equipment and research infrastructure.

#### Q - Justification of costs

Please provide a brief explanation of all costs, covering both what the funds will be spent on and why. We require evidence that you have researched the costs for which you are seeking support; for example you could include the cost per night of accommodation. Travel costs should be based on the most suitable and economical form of travel. Subsistence costs should reflect the normal rates applied at the host institution/s.

**Please Note:** This programme offers support for travel, subsistence and salary support costs related to conducting collaborative activities amongst industry and academic partners in the Partner Country and the UK.

You have up to 300 words to answer this question.

#### Q - Additional funding to be received

Please provide details of additional funding which will be provided by the partnering organisations or others in support of the project. The Academy requires that at least 100% of its funding be matched in contribution by applying consortia in order to demonstrate commitment to the programme. The level and quality of match will be taken into account during the assessment period.

You have up to 300 words to answer this question.

#### Q – Please provide details on the ownership of any pre-existing or future Intellectual Property to be used/ generated and any formal agreements to this effect. –

If the project involves the use or potential generation of Intellectual Property, provide the details of any relevant agreements. If no formal agreement exists or is planned, include considerations on any potential risk to IPR and how the risk will be mitigated.

**Please note:** In projects which aim to generate IP, The Academy expects the researchers and institutions to agree in writing on Intellectual Property Rights (IPR) before the start of the exchange. Any agreement should allow for agreed dissemination activity to be undertaken unhindered. The Academy will not have any claim on research funded by the scheme.

Guidance on reaching Industry Academia IP agreements as well as model arrangements for collaborative research can be found here:

<https://www.gov.uk/government/publications/uk-china-collaborative-research-ip-toolkit>

You have up to 300 words to answer this question.

## **5. Lead university declaration**

Q – Lead institution declaration

The purpose of the declaration is to confirm that the application is acceptable in principle to the Lead UK or Chinese Institution, and that it has received all necessary internal authorisations.

The declaration terms must be transferred to headed paper and be signed by an appropriate officer from the Lead applicant's institution/university. A scanned copy of the letter should be uploaded by the applicant. We do not need the hard copy version to be sent through.

**A summary of the terms that the declaration must contain is shown below. Please copy this table directly into your Institution's declaration.**

The applicant will be employed by the institution/university for the duration of the award.	
The applicant and any co-applicant(s) will be given full access to the facilities, equipment, personnel and funding as required by the application.	
The costs submitted in the application are correct and sufficient to complete the award as envisaged. Any shortfall in funding will be met by the institution/university.	
The institution will ensure that the proposed programme of work has been agreed between all institutions involved in the exchange and that all necessary contracts, visas, IPR agreements, financial processes and other necessary arrangements are in place before the start of the exchange.	
The institution is satisfied that language will not be a barrier in regard to a successful collaboration and, if necessary, sufficient language support and training will be obtained in advance of the exchange visits.	

## Assessment of applications

Applicants will be evaluated by a specially-convened panel of Fellows and Members of both Academies and Friends outside with expertise spanning the breadth of urban flooding. Each application will be assessed by a minimum of two panel members, one of whom will have expertise in the broad area of research, and one who is a non-expert. Applications should therefore be understandable to the non-specialist engineer. The panel will rank the applications, and carry out the final selection of successful proposals.

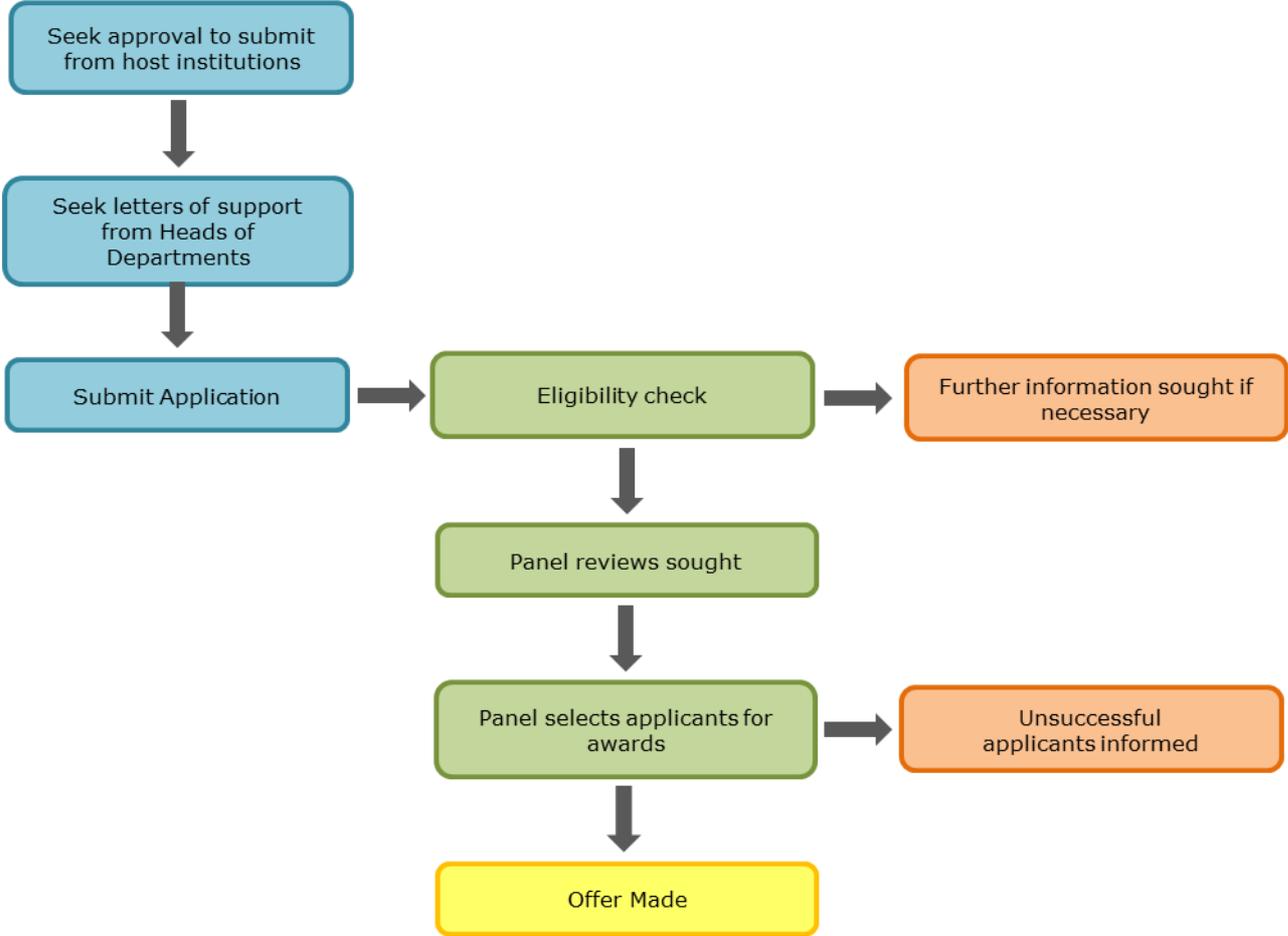
All applications will be assessed against the following criteria:

- **Rating of Applicant implementation capacity and partnership quality**  
Provide a professional assessment as to whether the applicants (including home institutions and partners) have appropriate track record and experience – or potential thereof - to implement the proposed project. Complementarity of the collaborators expertise and level/ quality of matched resources/ contributions should also be considered.
- **Goals, Objectives, Outcomes and Sustained Impact**  
Assessment of the novelty of the project (either technically or contextually within China); the alignment of the project with the Programmes aims; and the potential for sustained benefit and impact with respect to: the applicants directly involved; the Partner Country and UK urban flooding communities; and the wider international urban flooding policy community. This should also include an assessment of the longer term plans for the partnerships.
- **Project Details, Feasibility and Resource Allocation**  
Provide an assessment of the robustness and feasibility of the project to achieve its stated objectives per the timeline, staffing and resources outlined in the project workplan and budget. Also comment upon the clarity, detail and appropriateness of the proposed budget and feedback whether further work is required.
- **ODA?**  
Yes or No assessment on the project's ODA eligibility and justifying comment focusing on whether the proposed project either: focuses on a teaching, research or innovation challenge that will enhance social welfare or economic development in Partner Countries; and/or demonstrates a tangible benefit to the Partner Country by enhancing its capacity to carry out excellent teaching, research and innovation.

### Contact

If you have any queries, please email [Shaarad Sharma](mailto:shaarad.sharma@oda.org.uk) (Programme Manager) or call on +44 (0) 20 7766 0646

# Annexe 1: The application and award process:



## Annexe 2: Is it ODA?

The following guidance has been developed to provide general guidance on ODA compliance for the Academy's Newton Fund activities.

### How the Newton Fund relates to the UK's Official Development Assistance

The Newton Fund forms part of the UK's Official Development Assistance (ODA) commitment which is monitored by the Organisation for Economic Cooperation and Development (OECD).

ODA funded activities focuses on outcomes that promote the long-term sustainable growth of countries on the OECD Development Assistance Committee (DAC) list and is administered with the promotion of the economic development and welfare of developing countries as its main objective. Newton Fund Partner Countries represent a sub-set of this list.

All applications under Newton Research Collaboration Programme must be compliant with the ODA guidelines.

### What activities can be funded under the Newton Fund?

Within the paper '[Is it ODA?](#)', the OECD defines ODA compliant research activities as follows:

*"Research includes financing by the official sector, whether in the donor country or elsewhere, of research into the problems of developing countries. This may be either (i) undertaken by an agency or institution whose main purpose is to promote the economic growth or welfare of developing countries, or (ii) commissioned or approved, and financed or part-financed, by an official body from a general purpose institution with the specific aim of promoting the economic growth or welfare of developing countries. Research undertaken as part of the formulation of aid programmes in central or local government departments or aid agencies is considered as an administrative cost."*

Some other categories of activity similar to potential Newton Fund activities are also counted as ODA [by OECD](#):

*"Development-oriented social and cultural programmes provide basic facilities or training to enhance the social and cultural development of nationals of developing countries... As well as educational services, they will typically...include finance for the provision of books, periodicals, the creation or operation of libraries, provision of prizes, and the running of seminars, philosophy and humanistic studies, the consolidation of a recipient country's cultural heritage (including archaeological projects)..."*

Any Newton Fund project therefore must make it clear that its primary purpose is to promote the economic development and welfare of developing countries.

They should also consider how strengths of UK will be used to address the issue identified.

## **General points to consider when writing applications for funding**

(These are provided as additional guidance only, and as a list of potential considerations in assessing ODA compliance are not exhaustive.)

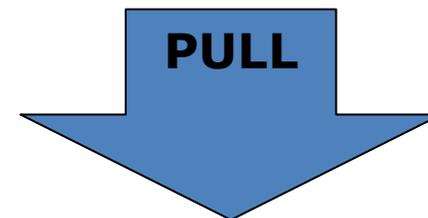
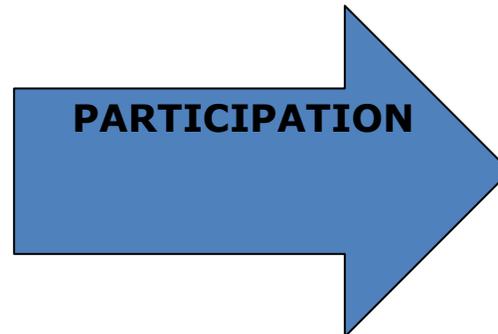
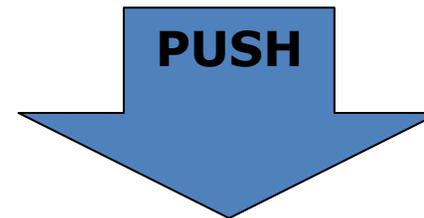
- The fund can support research and innovation capacity building to address the development issues in two ways: at a country level, increasing the skills and knowledge base and supporting the development of the research infrastructure; and at a sector specific level in areas that the partner country has identified as being important for welfare enhancement and economic growth.
- Capacity building should be aimed at improving partner countries' ability to undertake and disseminate research in order to maximise its impact on the issues of poverty and their economic growth.
- The partner country must be able to demonstrate existing or potential ability to grow industry (or other relevant sector) with the capacity to make use of the research, and there should be a clear route into supporting key economic sectors, or addressing development and poverty challenges in the partner country.

## **What activities cannot be funded under the Newton Fund?**

- Projects would not be acceptable if the focus of the research was on military applications.
- Projects would not be acceptable if the focus was on commercialisation of research outside of the partner country, or where the ownership of the resulting IP is to pass to partners outside of the partner country, unless there was a clear plan to build new businesses/business growth in the partner country as part of a collaboration with international partners and within a wider global market strategy.

# Official Development Assistance (ODA)

- Is the research driven by developmental needs (of one or more developing country)?
- Is it driven by economic *and* social welfare development challenges?



- Is there a clear 'line of sight' (or pathway) to development impacts?
- Is the primary beneficiary developing countries or *all* countries?
- Is the primary benefit of the research to the poorest people in that country?

- Is there participation from developing country researchers or other stakeholders?
- Will the research help build skills in areas of need identified by the country?

