

Application guidance notes

Newton Research Collaboration Programme

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Introduction

The Newton Research Collaboration Programme is a component of the UK [Newton Fund](#), which aims to develop science and innovation partnerships to promote the economic development and social welfare of developing countries.

The main focus of the Newton Research Collaboration Programme is to support the aims of the Newton Fund by facilitating international exchanges lasting **three months** to a **year** between researchers in the UK and their counterparts in selected Newton Fund Partner Countries of:

- Brazil
- Malaysia
- Mexico
- South Africa
- Turkey
- Vietnam

Exchanges can be either one- or two-way in direction, and should form part of a collaborative research project, incorporating visits and dissemination activities.

Each single exchange visit in either direction must last at least three months. Awards provide funding at a **flat rate of £2,000 per month of exchange visit** (from £6,000 for a 3 month exchange up to £24,000 for a 12 month exchange), regardless of the direction of travel or whether the exchange is one- or two-way.

All research collaborations under this call must begin between **1 March** and **31 March 2016** and end by **14 July 2017**.

(The next round including other partner countries will open in January 2016. If you would like to apply for an exchange sooner with one of these countries, please contact the Programme Managers.)

Programme Objectives

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

- Focusing on an engineering research challenge that will enhance social welfare or economic development in the selected partner country.

AND

- Demonstrating a tangible benefit to the Partner Country by enhancing its capacity to carry out excellent research in engineering

In addition to supporting research with an ODA objective, exchanges must also demonstrate how they meet the broader programme objectives, which are to:

- enable excellent researchers from the UK and Partner Countries to share knowledge, gain international experience, and access world-class expertise and facilities;
- promote and develop sustainable research collaborations between high quality engineering researchers in the UK and the Partner Countries, which continue beyond the Newton Research Collaboration programme;
- strengthen relations between leading researchers in these countries and support the expansion of international networks of excellence in engineering.

Eligibility criteria

Each research exchange should comprise a partnership between a UK based applicant (travelling to the Partner Country and/or hosting the co-applicant) and a Partner Country based co-applicant (travelling to the UK and/or hosting the applicant).

- **Partner Countries**
Exchanges must be bilateral (one- or two-way) between the UK and a single Partner Country. Exchanges between Partner Countries are not eligible under this scheme. **This call focuses on exchanges with Brazil, Malaysia and Turkey.** If you would like to submit an application for an exchange with another Partner Country please contact the programme manager.
- **Institutions**
Applicants should be researchers from academic establishments or government-funded research institutes. Researchers from industrial establishments are not eligible to apply.
- **Career stage**
All researchers involved in the exchange should have an excellent and established track record in research, hold a PhD and be in full time employment for the exchange duration. **Funding of PhD student activities is not allowed under this scheme.** Please contact the programme manager if you have any question regarding your eligibility.
- **Topic**
A broad range of disciplines is regarded as 'engineering' for the purposes of this scheme, including (among many others) biotechnology, petrochemicals, offshore engineering, geotechnics, water resources, building services, telecommunications, optics, lasers, information technology, energy conservation, manufacturing, applied mechanics, bioengineering, materials, aeronautical, maritime, naval. If you are unsure whether your subject area fits within our remit please contact the Programme Manager. Please also be aware that the [Royal Society](#) and the [British Academy](#) operate similar Newton Fund programmes for the science, and social science and humanities disciplines respectively.
- **Nationality**
There are no nationality restrictions but both 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 committed to diversity and welcomes applications from women and other groups who are currently underrepresented across engineering.

Please contact the Programme Managers if you have any question regarding your eligibility.

Submission deadline

The deadline for applications is **4.00 pm GMT on Monday 23 November 2015**. Any incomplete applications, or applications received after this date, will not be considered.

Monitoring

Awardees are expected to submit periodic progress reports. All monitoring, including the submission of documents and reports, is completed through the Academy's online grant management system.

- **Initiation report**
A brief report to confirm the exchange has started and is continuing as originally envisaged.
- **Report**
End of project reports of 1,000-1,500 words must be submitted jointly by the researchers within **one month** of completion of the visit, describing the main achievements enabled by the Award and future plans, and providing an assessment of how the stated objectives have been met. A short video should also be recorded (3 minutes maximum) briefly describing the objectives and outcomes of the project.
- **Follow up report**
To enable the Academy to assess the long term effectiveness of our schemes we also require a brief follow-up report 12 months after completion of the exchange, describing any additional activities which have resulted from the exchange.

Notification of outcome

Applicants will be notified of the outcome of their application in January 2016.

How to apply

Applications can only be submitted by the UK researcher. Partner Country based researchers applying to travel to the UK must apply through a UK host researcher. In these cases, the UK host researcher will act on behalf of and in consultation with the Partner Country researcher. All correspondence will be sent to the UK researcher. Applications received directly from overseas researchers will not be considered.

All applications must be submitted via the Academy's online application 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 six 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 in their career development 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 both applicants will need to obtain a letter of support from their respective Heads of Department. The UK researcher will also need to provide a letter from the appropriate Research Grants Office confirming the application is approved. It is therefore recommended that you approach all necessary personnel well before the deadline for application to ensure that you are able to submit on time.

If you have any questions concerning the application or the online application system please contact the Programme Manager responsible. The details are at the end of this document.

Completing the application form

After logging in to the online system and selecting the Newton Research Collaboration 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 following list of the six sections of the application form:

1. Applicant and institution details
2. Project details
3. Goals, objectives and outcomes
4. Support requested
5. Support and declaration
6. Marketing

At any stage in the application process you can save your progress and return to the application at a later time. You can answer the questions in any order you like so it is possible to skip some sections and return later. 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.

Please note: UK applicants can only submit one application each round.

1. Applicant and Institution details

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

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

These are the details we will use to contact the leading applicants. The main UK researcher submitting the application is the Lead applicant and the Co-applicant is the main Partner Country researcher.

Q. Participating Researchers

Please provide details of every researcher participating in the exchange.

Q – CVs of participating researchers

Please upload CVs for all researchers participating in the exchange.

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.

2. Project details

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 - Project details

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 research to be undertaken during the exchange. The summary should be written in language that can be understood by a non-specialist reader. If the plan is to visit or involve other researchers from institutions not listed as a host institution, please note each institution here. (maximum 300 words)

Q – Total project cost

Please enter the total project costs, including costs covered by 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: All funding should be given in GBP £ and in line with our rate of £2K/month of exchange, with a minimum of 3 months i.e £6,000)

Q - What is the direction of exchange proposed?

Please select which option applies from the drop-down list:

- **Outgoing, one-way exchange** – a researcher from a UK research institution travels to a Partner Country research institution.
- **Incoming, one-way exchange** – a researcher from a Partner Country research institution travels to a UK research institution.
- **Two-way exchange** – a researcher from a UK research institution travels to a Partner Country research institution and a researcher from the Partner Country research institution makes a reciprocal visit to the UK research institution.
Please note: The Academy believes two-way exchanges greatly increase the

potential for high quality and impactful collaboration. The Academy thus encourages applicants to undertake two-way exchanges where possible and this preference is reflected in the assessment process.

Q - Keywords

Identify up to 10 appropriate keywords or phrases to describe the area of technical specialisation. These will be used to aid in the selection of referees with the appropriate expertise. (maximum 10 words)

Q - Start and end date

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

Awards support one or more exchange visits, over a period of three to twelve months. Exchanges must start between **1 March 2016** and **31 March 2016** and end by **14 July 2017**.

If your intended visit does not fit within these timescales set out above please consider applying for the next round.

Q - Total duration of exchange visits

Fill in the total anticipated duration of the visit(s). Exchanges can last three months to a year. If multiple visits are planned (for either one- or two-way exchanges) please put in the combined length of all exchange visits.

Please note: For exchanges with a total duration of 3 months we would recommend a focused and realistic approach to your project objectives and programme of activities.

Q – Visits Schedule

Please complete the table with the anticipated dates of exchange visits(s), the length of time for each visit and the directions of travel. If multiple visits are proposed, please provide full details of each. Please note that each exchange in one direction should total at least three months.

Please note: One of the visits must begin between 1 March and 31 March 2016 in order for the exchange to be eligible. Ideally each visit in one direction should last at least 3 months, however, if due to other commitments this is unable to occur, we may allow shorter, multiple visits as long as the cumulative duration of these visits amounts to at least 3 months. The selection committee shall assess visit schedules on their value and cost efficiency.

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 research 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 exchange 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)

4. Goals, objectives and outcomes

Q - Goals and objectives

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

Q – Official Development Assistance

Please identify how the exchanges supported through this programme will:

- Focus on an engineering research challenge that will enhance social welfare or economic development in developing countries.

AND

- demonstrate a tangible benefit to the Partner Country by enhancing its capacity to carry out excellent research in engineering

Your answer should clearly identify the social and economic development problem faced by the Partner Country, and provide an argument with a “clear line of sight” as to how your research will help address this problem. A slide on what issues should be considered when making an argument for ODA is provided at the end of this document. Not all of these questions need necessarily be answered, but should help in the forming of an answer.

(maximum 400 words)

Q - The main activities to be undertaken

This is a key section of the application. Please provide a detailed description of the exact work to be completed. 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), including a breakdown of tasks
- context of the proposed research, including its application (academic and/or industrial)
- an outline of the specific expertise available for the research at the host institution
- a detailed technical case for the research exchange

Please note: All responsibility for arranging travel and accommodation will lie with researchers and institutions involved (maximum 750 words)

Q - Gantt chart (optional)

Please upload a one page Gantt Chart detailing your agreed work programme, including a breakdown of milestones, indicators and target dates for specific elements of the work.

Q - The expected outcomes and impacts of the project

Please distinguish between the outcomes and impacts for the applicant(s), the organisations directly involved, the Partner country, the wider UK engineering community (including universities and industries), the international community and the general public. (maximum 300 words)

Q – Intended ways of maximising the benefits resulting from the project

The Academy wishes to promote lasting collaborations and as such is interested in how you intend to maximise the benefits of the visit. Please detail plans for activities such as other/further collaborations, dissemination activities, training workshops, public engagement, teaching, routes to exploitation/commercialisation. This could include, for example: named conferences, seminars, papers and/or articles in identified journals and visits to schools. (max. 300 words)

Q – How will the collaboration continue following the exchange 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. (maximum 300 words)

Q – Please provide details on the ownership of any pre-existing Intellectual Property, and any formal agreements to this effect.

If the project involves the use of any 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. (maximum 200 words)

Q – Please provide details on the ownership of any future Intellectual Property which may result from the project, and any formal agreements to this effect. –

Please note: 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. (maximum 200 words)

5. Support requested

All funding will be paid to the UK institution which will be expected to provide all parties with sufficient resources to enable the exchange visit(s) to take place. The UK and Partner Country researchers should make such financial arrangements before the application is submitted, and evidence of such will be required at the contractual stage.

Q – Breakdown of funding request- costs tables

Please outline the costs of your exchange in the table provided. There are two tables – one to detail costs of incoming visits and another for outgoing visits. You should indicate both the total cost required for each type of cost category provided and the contribution you would like to request from the Academy. If you are planning a one-way exchange you will only need to complete one table corresponding to the desired direction of travel. If you are planning a two-way exchange, the division of funding between incoming and outgoing visits must be identified separately in the two tables.

Funding guidelines:

The total contribution from the Academy cannot exceed £24,000.

The table will auto-calculate the total cost for you. The total funding available for a two-way exchange is the same as for a one-way exchange.

- 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.
- The totals may come to more than the maximum funding you can request under this scheme. Additional costs must be met by the participating Institutions. If the amount noted is higher than the award can provide, please state the contribution to be made by each institution.
- Exchanges do not need to be continuous and applicants may incorporate breaks between the visits. Any such breaks between visits do not count towards the length of the visits, and so should be ignored when calculating the funding requested.
- Applications not adhering to the maximum £2K funding allowed per month of exchange will be capped at the maximum allowable rate and the applicant may be asked to amend and resubmit with an updated funding request.
- The funding provided is **not** a salary but a grant to cover travel, accommodation, living expenses and visas, and therefore cannot be used to pay for staff costs, administration costs or running costs of the host institution(s).
- The funding is only intended to pay for a single return airfare to the hosting institution for each exchange planned under the collaboration. Plans for multiple visits are allowable but the Academy expects the additional funding required to be met by other sources.

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. (maximum 300 words)

Q - Additional funding to be received

Please provide details of any additional funding which will be provided by the UK institution, Partner Country Institution or others in support of the project. Additional funding may be viewed as a positive aspect, being further evidence of the value placed on the collaboration and its potential for impact. (maximum 150 words)

Q – Related awards

Please give details of any other related awards you have received in the past three years.

7. Support and declarations

This section seeks confirmation that the application has been approved by the necessary personnel or senior stakeholders. Please contact the concerned parties early on in the application process to ensure you can submit before the deadline. The deadline will not be extended if they are unavailable within this timescale.

Q – UK and Partner Country Letters of support

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 support 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 – UK Institution/university declaration

The purpose of the declaration is to confirm that the application is acceptable in principle to the UK research institution/university, 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 Research Grants Office or equivalent (i.e. the body which administers grant applications) of the UK researcher’s (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.	
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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 UK 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 UK 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.	

6. Marketing

This section is optional but helps the Academy to understand which of our marketing materials are most successful at reaching the academic community and helps us to improve our future communications work.

Assessment of applications

Applicants will be evaluated by a specially-convened panel of Academy Fellows with expertise spanning the breadth of engineering. Each application will be assessed by a minimum of two panel members, one of who 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:

- **Newton Fund and ODA.**
How well the exchange supports the aims of the Newton Fund in terms of: focusing on an engineering research challenge that will enhance social welfare or economic development in developing countries; and/or demonstrates a tangible benefit to the Partner Country by enhancing its capacity to carry out excellent research in engineering.
- **The applicants' excellence**
Quality, track record and experience of the applicants, as well as their research teams, home institutions, and any collaborators.
- **Goals and objectives**
Quality, feasibility and novelty of the research goals and objectives proposed during the exchange.
- **Dissemination, collaboration, impact**
Appropriateness of the proposed routes for disseminating the outcomes of the research exchange - both in the UK and the Partner Country, the strength and

breadth of the collaboration proposed, as well as plans to maximise impact.

- **Wider benefit and impacts**

The level of benefit with respect to: the applicants; the organisations directly involved; the Partner Country; the wider UK engineering community (including universities and industries); and the wider international community.

- **Future plans**

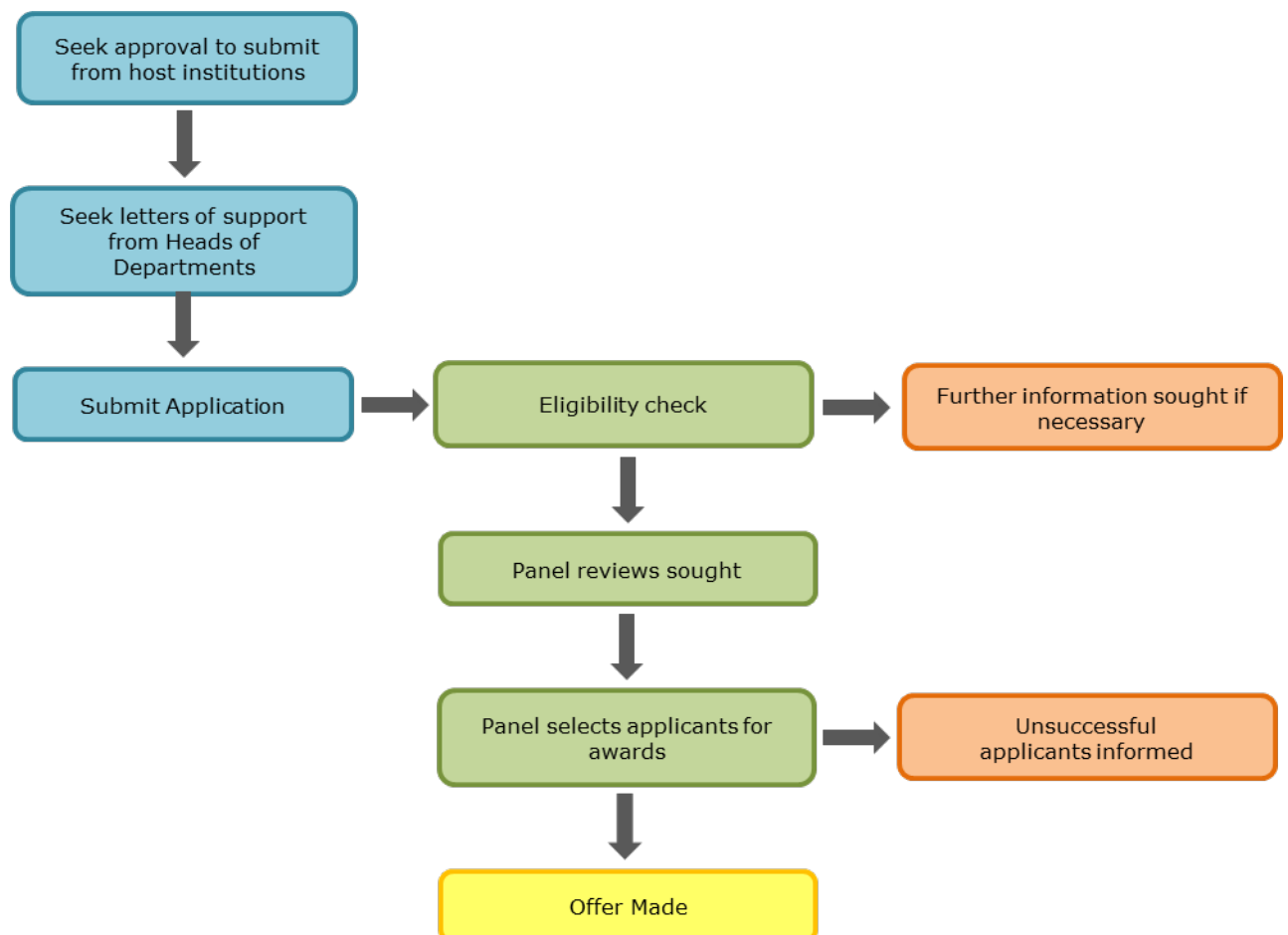
Appropriateness of plans to develop a sustainable, longer term research partnership between the UK and Partner Country, beyond the duration of the research exchange, and to develop broader international networks of excellence.

- **Institutional support**

Level of commitment and support of the participating institutions.

Please note: The Academy believes two-way exchanges greatly increase the potential for high quality and impactful collaboration. The Academy thus encourages applicants to undertake two-way exchanges where possible and this preference is reflected in the assessment process.

The application and award process:



Contact

If you have any queries please contact the Programme Manager, Sarah Plumb, at Sarah.Plumb@raeng.org.uk or call +44 (0) 207 766 0624.

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.

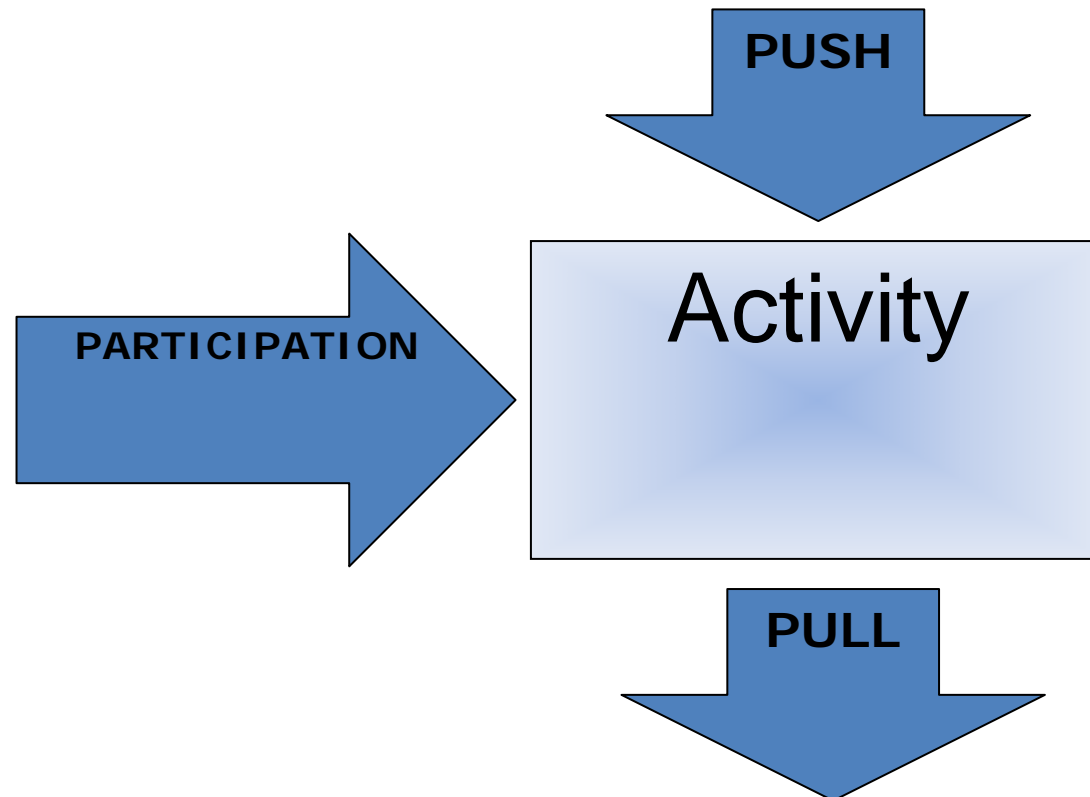
What activities cannot be funded under the Newton Fund?

- 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.

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



- 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?