



Department for  
Business, Energy  
& Industrial Strategy

# NEWTON FUND PROCESS EVALUATION REPORT

Final Report

July 2018



**OGL**

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Any enquiries regarding this publication should be sent to us at: [enquiries@beis.gov.uk](mailto:enquiries@beis.gov.uk)

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# 1. Executive Summary

## 1.1 Introduction

The Newton Fund was conceived in 2014 as a £375m 5 year programme supported by what was then the Department for Business, Innovation and Skills (BIS). The budget was part of the UK's Official Development Assistance (ODA) commitment. In late 2016, the UK government committed to extending the fund, which will now run until 2021 and includes 18 countries and an increased total budget of £735 million. In the same year, in July, BIS became "BEIS", the Department for Business, Energy and Industrial Strategy.

In August 2015, BEIS contracted Coffey International (working in association with RSM-PACEC) as the evaluation service provider for the Newton Fund. Part of the evaluation involves a process evaluation at midline, which is the subject of this report.

The purpose of the process evaluation at the midline stage is to help inform the fund-level analysis of the Newton Fund, to promote accountability, and to provide enough time for lesson learning and course correction for the continuation of programme implementation.

## 1.2 Approach

The process evaluation covers implementation to date (2014 - 2017). The process evaluation took place over the latter half of 2017.

As agreed with BEIS, and in line with our Evaluation Strategy the process evaluation focused on three research areas:

1. Delivery of policy priorities
2. ODA eligibility
3. Matched funding

The questions developed (and the data gathered) support our Fund-level evaluation of relevance, effectiveness and sustainability in particular.

We used mixed methods to investigate evidence under three focus areas before triangulating findings to develop a more comprehensive picture of programme delivery.

We conducted a review of programme documents (for example, business case, meeting minutes, progress reports, country strategies, contracts, and procurement) and built on these findings with interviews with key stakeholders.

Interviews held covered:

- BEIS (the policy team, and the ODA Research Management Team)
- UK delivery partners
- In-country teams

The process evaluation was not designed to gather feedback from delivery partners in country. However, to a limited extent, we could include feedback from partner country stakeholders based on the field visits undertaken as part of our impact studies.

Data collected from the documentary review and qualitative data from interviews was systematically reviewed and analysed. Limitations relating to a risk of reporting bias, and challenges stemming from incompleteness of data are explained under the methodology section of the report.

### 1.3 Conclusions

The Newton Fund has come a long way in the past four years. Since the original business case was set out at the end of 2013 and the Fund was launched in earnest in April 2014, and periodically since then, there have been important developments in how it is run as well as fine-tuning of its objectives.

The Newton Fund's fast roll out, absence of a "year zero" and the complexity and ambition of what the Fund is striving to achieve created challenges. The Fund design and delivery model is also complex: traversing diverse countries with different institutional systems and working in partnership with them in a novel way. It is not just the countries that are diverse but the thematic areas in which the Newton Fund operates, and likewise the partners involved in delivery themselves are far from identical.

A one-size-fits-all approach to processes, while much simpler to deliver, would not be appropriate for the Newton Fund. Flexibility and adaptability have been key to success so far. For instance, allowing the Fund to grow in scope over the years to respond to needs. Nevertheless, the process evaluation has shown that there are benefits to be realised from making explicit what has been implicit, such as formalising expectations both in terms of the Fund itself and of the different actors involved. There are also areas where the processes and structures could be strengthened or improved to make it easier for the Fund to maximise its potential efficiently and sustainably. The most important gaps or areas for improvement identified are already the subject of review. This process evaluation confirms the importance of sustaining efforts in these areas and highlights some additional areas BEIS could reflect on for continued improvement.

Our conclusions below bring together the main findings from the three strands investigated as part of the process evaluation and are presented in the same structure.

#### **Delivery of policy priorities**

**A continued need for a formalised strategy:** The Newton Fund has come a long way but has not overcome some challenges stemming from its fast roll out. In terms of policy priorities, there is consensus around the primary goal of developing science and innovation partnerships that promote the economic development and welfare of partner countries in practice, but there is a lack of explicit overall strategy. A programme as complex and large as the Newton Fund needs to be based on an overarching strategy to set the direction and establish priorities, but also to simplify decision-making and drive alignment (for example in the country strategies). Similarly, processes and responsibilities might be understood but they are not always systematically well-defined or documented, leaving scope for inconsistency and inefficiency in delivery in an

already highly complex programme. BEIS has recognised these needs and is already working on a strategy, as well as improving processes that underpin its delivery.

**The reporting system is critical and requires investment:** The Newton Fund's reporting system is still not as good as it should be. The absence of a planning period, and the lack of investment and resource made available to improve it. This is now being addressed, including through a "Reporting Transformation Project". This is a positive development and should enable more efficient portfolio management, better financial reporting and transparency.

### **ODA eligibility**

**A practical approach is taken to managing ODA compliance, which maximises value for money:** The responsibility for ODA compliance is with delivery partners. This is logical and efficient. The alternative would create duplication of effort and would create a more complicated process. The delivery partners are best placed to assess the ODA eligibility in their field of expertise and this is in line with the fact that they bear the legal risk.

**Strategic thinking should focus on how to manage ODA in the long run:** The Newton Fund countries are not all typical recipients of ODA. Some of them are significant global players and there is competition to work with them on science and innovation; others may emerge from the DAC list soon or have ambitions beyond ODA eligible areas. A continued need to manage communications around ODA and UK priorities is needed in the long run.

### **Match funding**

**"Match" (of resource or effort) is a unique selling point of the Newton Fund but it is also the greatest practical challenge; maintaining flexibility (together with guidance) is paramount:** Encouraging and nurturing the sense of co-ownership, matched funding is a strategic advantage and unique selling point of the Newton Fund. It is also the single most complicated aspect of delivering the Fund in practice. Many practical challenges created by the match requirement could be reduced through more explicit mapped processes and reference documents; these should also clarify what is mandatory and where flexibility is possible.

### 1.4 Recommendations

The recommendations below are drawn directly from the conclusions but presented according to the main stakeholders who would enact them.

#### **BEIS (policy team) lead with input from delivery partners and in-country teams**

1. Formalise the Newton Fund overarching strategy

Make explicit the priorities of the Newton Fund and use this as a basis for the revised country strategies. The process, which BEIS has already embarked on, should continue to be inclusive. The strategy should include the following, as a minimum:

- a clear statement of goals
  - clarification of when and where regional approaches are appropriate
  - consideration for managing exit / sustainability
2. Based on the Fund strategy, revise and standardise the country strategies ahead of next funding allocation and continue to treat them as living documents

Based on the agreed overall strategy, revisit the country strategies to ensure they are consistent, i.e. that they are standardised in terms of headline themes addressed and make explicit how they fit into the overall strategy. The process should be inclusive and ongoing.

1. Engage in strategic thinking on how to capitalise on the Fund's achievement and the sustainability of soft benefits

For example, how can the soft benefits of the Newton Fund be captured and maintained? Relationships with award holders are not centrally tracked. Receiving project beneficiaries' lists from delivery partners would be a necessary first step. This would allow building a network of alumni and keeping them actively engaged through regular events.

#### **BEIS (policy team and ODA Research Management Team)**

1. Maintain momentum to develop a centralised, semi-automated reporting tool and corresponding training

This should be a high priority. A well-designed reporting tool will lead to efficiency gains and enable portfolio management, underpinning the achievement of strategic objectives. It will also enable BEIS to better understand and account for the significant investments of public money being made through the Fund by routinely capturing results across the significant portfolio of countries and projects.

2. Take the opportunity to improve existing processes to address challenges identified in line with the agreed strategy and develop any missing processes for effective delivery, such as:
  - Set up processes for increased communication (and transparency) around decision-making (especially feedback on go / no go decisions on bids and bid timelines).
  - Confirm and create a reference document for roles and responsibilities of all Newton Fund stakeholders.

3. Ensure all relevant guidance documents are available to ensure consistency across the Fund for match and ODA
  - In terms of match: develop a 'how to' guide for delivery partners in how to demonstrate and evidence match (especially when non-monetary match is used and BEIS' preferred approach on dealing with purchasing power parity (PPP) in evidencing monetary match). Consider requirements and provide clear guidance to delivery partners and in-country teams as to the extent of monitoring and evidence it expects to see with respect to match funding secured (as opposed to committed in principle).
  - In terms of ODA: ensure sufficient guidance to guarantee ODA compliance across the Fund is available and ensure BEIS continue to do all that is necessary to fulfil its accountability to DFID and HM Treasury in distributing ODA funds. Responsibility can remain with delivery partners (including to produce guidance and relevant examples), but BEIS should provide oversight and encourage and facilitate a forum for exchange of best practice between delivery partners (including GCRF partners) to ensure compliance and accountability.

## 2. Introduction

### 2.1 Background

The Newton Fund was originally conceived in 2014 as a £375m five-year programme supported by the then Department for Business, Innovation and Skills (BIS) as part of the UK's Official Development Assistance (ODA) Commitment. In late 2016, the UK government committed to extending the fund, which will now run until 2021 and includes 18 countries and an increased total budget of £735 million. In the same year, in July, BIS became "BEIS" the Department for Business, Energy and Industrial Strategy.

In August 2015, BEIS contracted Coffey International (working in association with RSM-PACEC) as the Evaluation service provider for the Newton Fund. The evaluation team have previously produced a number of evaluation outputs: an Inception Report, an Initial Analysis report (including a Theory of Change), a Review of Monitoring Systems, Baseline country reports, an Evaluation Strategy report, and one monitoring report capturing outputs and outcomes that were evident in 2016.

### 2.2 Purpose and scope of process evaluation

The purpose of this process evaluation at the midline stage is to help inform our fund-level analysis of the relevance, efficiency, and effectiveness of the Newton Fund, to promote accountability, and to provide enough time for lesson learning and course correction during the remainder of the Fund's lifetime. As outlined in our Evaluation Strategy, other evaluative tools and techniques will look specifically at outcomes (an online survey and telephone survey of award holders, and thematic impact studies).

The process evaluation covers implementation to date (2014 - 2017). Where relevant, updates in 2018 are referenced.

### 2.3 The Evaluation Framework

The Evaluation Framework (see Annex 4) developed specific research questions to explore Relevance, Effectiveness, Efficiency, Impact and Sustainability of the Newton Fund processes as well as their complementarity and coordination with the work of other stakeholders in the sector. As explained in more detail under "Approach and Methodology", the process evaluation focuses on relevance, effectiveness and sustainability:

- Relevance: do the Newton Fund design and planned interventions address the problem stated in line with the needs of those that it was intended to benefit (both on the UK and partner side)?
- Effectiveness: to what extent has the Newton Fund effectively delivered results?
- Efficiency and Value for Money: to what extent was the Newton Fund delivered efficiently?
- Impact: has the Newton Fund achieved its objectives?

- Sustainability: are the benefits that have been achieved by the Newton Fund likely to be sustained?
- Complementarity and coordination: to what extent has the Newton Fund complemented and contributed to the work of other stakeholders?

## 2.4 Audience

The findings from the process evaluation will enable BEIS and the different stakeholders involved in delivering the Newton Fund to learn lessons about the design and management of the Fund and inform:

- discussions on potential improvements in the management and delivery of the Newton Fund; and
- the development of similar programme approaches and other interventions in the future, for example the Global Challenges Research Fund (GCRF).

## 3. Approach and Methodology

### 3.1 Approach

The Evaluation Framework (as set out in the Evaluation Strategy Report) guided the process evaluation. The selection of specific focus areas for the research – the delivery of policy priorities, ODA eligibility and matched funding – was based on the areas deemed of most significance for improving the relevance, effectiveness and sustainability of the Newton Fund. We proposed these focal areas in a concept note (see Annex 2) and agreed them with BEIS ahead of the process evaluation.

The process evaluation took place over the latter half of 2017 to provide relevant and timely feedback to improve programme performance.

#### Research areas and questions

1. Delivery of policy priorities
  - Are the established processes (especially the allocation of responsibilities) likely to support the **delivery of policy priorities** (as expressed in the country strategies)?
  - What has worked well / less well?
  - What could be improved to ensure policy priorities are achieved going forwards?
2. ODA eligibility
  - Have the mechanisms in place been sufficiently robust to ensure that **economic development and welfare** is consistently the main objective of the activities funded?
  - What have been the reasons for robust / less robust applications of the objective?
  - How can a robust approach be ensured going forwards?
3. Matched funding
  - Have the established procedures ensured that the **matched funding criteria** secured the desired commitment of the partner countries?
  - What aspects of the matched funding criteria have worked well / less well?
  - What considerations should be taken into account to maximise the leverage of the Fund and commitment of partner countries going forwards?

### 3.2 Methodology

We used mixed methods to answer the research questions and triangulate findings to develop a more comprehensive picture of programme delivery. We carried out a review of programme documents (for example, business case, meeting minutes, progress reports, country strategies, contracts, and procurement) and built on these findings with interviews with key stakeholders.

### Documentary review

We conducted a documentary review by compiling and analysing a range of primary documents shared with us. These included in-country teams' highlight reports, the activity tracker, ODA guidance documents, country strategies, case study library and the impact library and guidance.

The documents were analysed one by one to inform each of the research questions from the evaluation framework. We looked at the processes for the definition and delivery of policy priorities, ODA eligibility and matched funding. In each case we used the most informative set of documents since not all of them cover every aspect researched. To support the documentary review, we also systematically mapped the contents of country strategies by theme for all countries as well as for evidence of matched funding.

We used the documentary review as a base to understand the nature of processes in place and to identify some of the main successes and challenges. Ultimately, we used the findings from the documentary review to help us tailor the stakeholder interviews to increase the relevance and depth of the findings.

### Interviews

Our interview processes focused on achieving comprehensive coverage of relevant Newton Fund stakeholders. We interviewed all key stakeholder groups:

- **BEIS:** policy leads; current and, where possible, former regional country leads; and the ODA Research Management Team.
- **UK delivery partners:** all except for the Royal Society (as they did not respond to repeated requests for interview). We also spoke to Universities UK International as a representative of UK universities and researchers involved in the Newton Fund delivery (but not a formal delivery partner).
- **In-country teams:** representatives from all original Newton Fund partner countries plus Kenya and the regional Science and Innovation team in Singapore. The cooperation with Jordan and Peru was established too recently to be operational and usefully feed into the process evaluation. These countries are also not currently included in the scope of the overall evaluation.
- **Overseas partners:** where possible, we also included relevant findings from discussions with partners as part of Impact Study visits, which had taken place ahead of the drafting of this report. The visits allowed us to speak to delivery partners in China and Brazil (six more country visits took place in early 2018).

Interview guides tailored for each group of stakeholders were developed. These sought to capture views across the three focal areas of the process evaluation: processes underlying the delivery of policy priorities, ODA eligibility and matched funding. Interviews with individuals or groups of stakeholders were either face-to-face or over the telephone depending on geographical location. A detailed list of stakeholders interviewed is contained in Annex 1.

### Data analysis and limitations

Data collected from the documentary review and qualitative data from interviews was systematically reviewed and analysed across the three research areas and key questions. There is a risk that data collected, particularly through primary research, is biased to a

particular viewpoint. To address possible bias, we triangulated our analysis. If findings were only one person's opinion, we clearly stated that there was only one source and as a result only captured their reflection of the process.

The following research limitations should be considered when reviewing the findings:

- The documentary review was limited to the time and scope of the process evaluation. In some cases, documents received were not up to date versions or did not include older versions that captured changes in the process. For example, iterations of the activity tracker, which was shared with us for the purpose of the process evaluation, only included information that was current. It did not include information about projects that were no longer in the portfolio. Information about projects that used to be part of the portfolio could have provided insights on why projects dropped out. When possible, we used different documents to triangulate our findings. In addition, concerns about the sensitivity of certain documents meant it was not always possible to share them with the evaluation team.
- As the process evaluation explored the period from 2014 to 2017, it is possible that interviewees will not have accurately recalled the details of processes. We reviewed documentation beforehand to be able to jog respondents' memories and have crosschecked respondents' recollections with different sources, including documents and other respondents, before including them in the report.
- Linked to this, individuals interviewed may not have been involved in the Newton Fund from its inception (i.e. to have a first-hand insight into where it started and where it is now). They may have therefore reflected and reported more on the current issues in the delivery of the Newton Fund, rather than the strengths in its development over the years. In writing our report, we sought to capture both positives and negatives, making use of multiple sources and contextualising findings.

## 4. Overview of the Newton Fund

The Newton Fund's aim is to develop science and innovation partnerships that promote the economic development and welfare of partner countries and thereby address the problems of poor people around the world. As a secondary objective, the Newton Fund aims to deliver benefits to the UK. To achieve its objectives, the Fund delivers three types of activity:

- Capacity building, fellowships and mobility schemes;
- Research collaborations; and
- Innovation partnerships to develop innovative solutions to development issues.

A theory of change illustrating how these activities connect to expected outcomes and impacts was developed by the evaluation team as part of the initial stages of the evaluation and is included for reference in Annex 3.

### 4.1 Evolution of the Fund

The Newton Fund has come a long way since its inception. Since the original business case was set out at the end of 2013 and the Fund was launched in earnest in April 2014, and periodically since then, there have been some important developments in how it is run as well as fine-tuning of its objectives (see box below).

The absence of a "Year 0" has meant that some aspects have had to be developed in response to identified needs, or issues arising. In addition, various monitoring elements (such as the risk register, and the activity tracker), have gradually been put in place. The Fund now has an overarching Theory of Change and country strategies to guide it. The Fund has expanded to include three additional countries (to the original 15) and the duration extended by two years.

The Management Team has been renamed the ODA Research Management Team to reflect their enlarged responsibility across both the Global Challenges Research Fund and the Newton Fund.

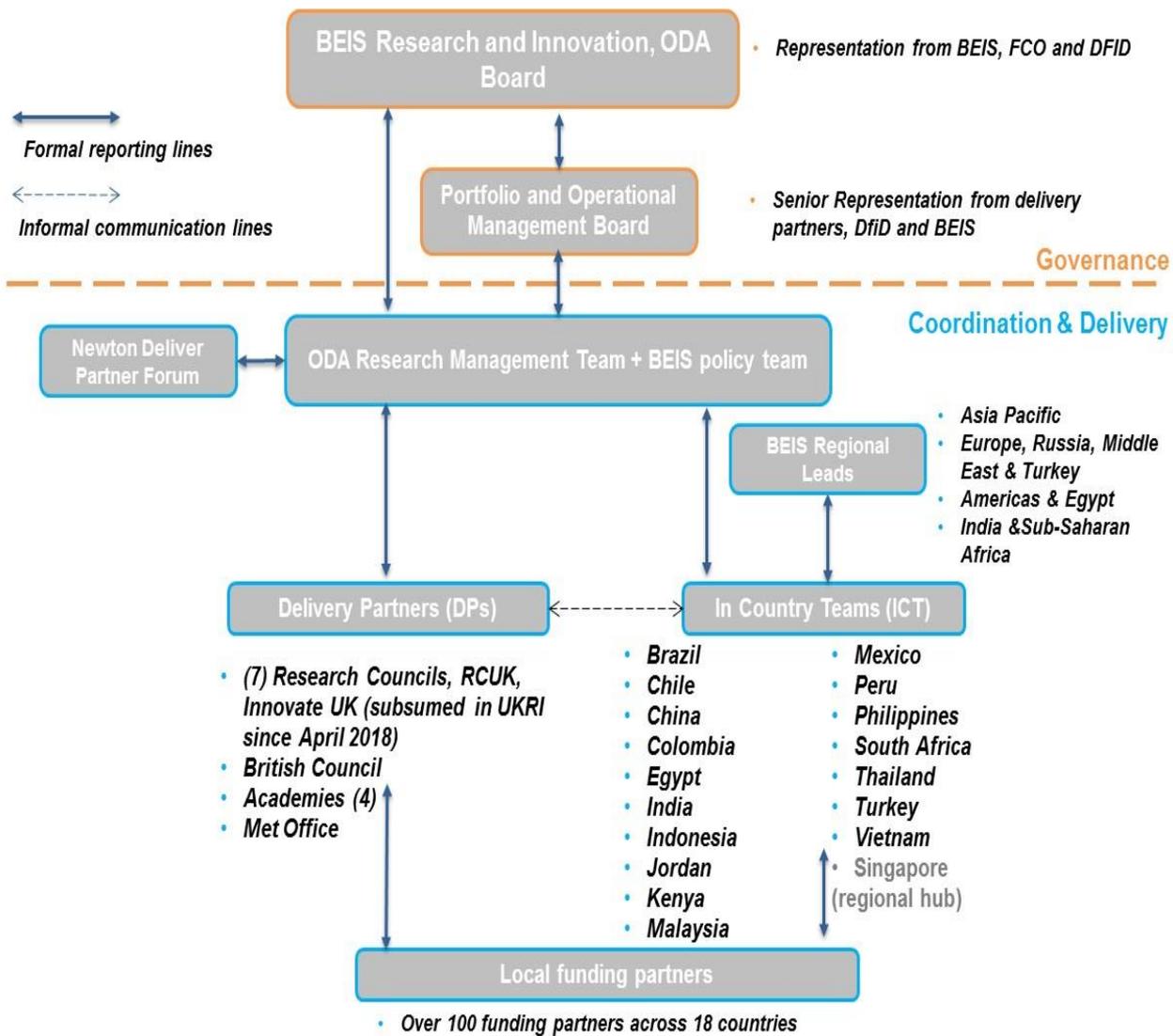
### **From the Emerging Powers Opportunities Fund to the Newton Fund**

The original business case which led to the establishment of Newton Fund was the “Emerging Powers Opportunities Fund” paper. It outlined how the UK needs to react to the changed international science and innovation landscape. Namely that although emerging powers are increasingly global players, established networks between these countries and the UK are not as good as they could be. For a number of reasons (information failures, co-ordination failures, risks and uncertainties) these networks were deemed unlikely to materialise organically. As such, in order to ensure the UK is positioned to properly exploit new opportunities for collaborations, government intervention is a necessary first step. Indeed, missed opportunities for collaboration were attributed (in part) to the lack of structured funding. Based on this rationale, those “emerging powers” with the potential for scientific excellence were to be targeted for partnerships.

As the Fund evolved, much greater emphasis was placed on the benefits of collaboration to the partner countries, ultimately resulting in the agreed goal of the Fund to promote the economic development and welfare of the partner countries. This shift in emphasis was agreed by the Board in late 2014, with the benefits to the UK now presented as secondary benefits of the Fund. Whilst the original business case outlined a series of market failures hindering the development of science and research collaborations, no detailed theory of change was articulated to reflect the current focus of the Fund.

***Source 1: information presented drawn from a document entitled “Emerging Powers Opportunities Fund” which set out the original business case for the Newton Fund, before it had acquired its current name. As presented in Evaluation inception report (October 2015)***

**Figure 1: Summary of reporting and communication lines for Newton Fund (as at July 2018)**



## 5. Findings

In this section we set out our findings on the Newton Funds' processes in place under the thematic areas covered by the process evaluation: delivery of policy priorities, ODA eligibility and ability to meet matched funding requirements. The findings under the thematic areas are not unrelated and there is some overlap. To avoid duplication, findings which build on one another are presented where it is most logical for readability.

### 5.1 Delivery of policy priorities

#### Introduction and high-level findings

As explained in the overview, the Newton Fund's aim is to develop science and innovation partnerships that promote the economic development and welfare of partner countries and thereby address the problems of poor people around the world. As a secondary objective, the Newton Fund aims to deliver benefits to the UK.

To deliver these policy priorities, the following strategic and operational elements should be in place:

- a clearly defined and communicated policy strategy – which can be used to steer overall impact (which is the remit of the BEIS team in London);
- country level strategies – which define the strategy for work in specific countries (which is the remit of the BEIS team in London supported by input from the ICTs and DPs); and
- the operational process for delivery– clear processes and procedures that support the implementation of the overall strategy (which is the remit of the BEIS ODA Research Management Team, based in Swindon).

The Newton Fund is delivering activity that meets its overall goal. In general, there is a shared understanding of what the overall aim of the Fund is, what the different stakeholders' roles and responsibilities are, as well as what needs to be improved to make the Fund stronger and better able to efficiently meet its objectives. Given this shared understanding, there has not always been formalised documents in place.

There is value in making these elements explicit: making strategic decisions clear, communicating them and then ensuring that there is a set of documented processes and procedures to support the delivery of policy priorities.

The Newton Fund's reporting system is still not as good as it should be partly because of the absence of a planning period, but also because of the lack of investment and resource made available to improve it. This is now being addressed, including through a "Reporting Transformation Project" which is a positive development and should enable more efficient portfolio management, better financial reporting and transparency.

In the section below, a detailed assessment of these elements is provided.

### **Policy priorities understood but still a need for a formal overarching strategy to steer the Newton Fund**

The Newton Fund is guided by a general statement of intent common to both the Newton Fund and the Global Challenges Research Fund (another ODA fund managed by BEIS). Within the first 18 months there were a series of country strategies (discussed below). There is also a Theory of Change developed in 2015 (presented in Annex 3), to provide a reference point for BEIS, in-country teams and delivery partners in understanding how their activities are expected to deliver outcomes and impacts over the lifetime of the Fund, and the implicit assumptions on which success relies. Consultation for the process evaluation confirmed a shared understanding of the high-level policy priorities.

Despite all this, there is not yet a formal, published strategy for the Newton Fund. To some extent, the absence of a formalised strategy is due to the rapid roll out of the Fund, which meant that delivery preceded a formal strategy. Further, the Fund has evolved significantly from the original business case for an “Emerging powers opportunity Fund”, changing in scope and value after two years, for example. Having the flexibility to respond to needs or appetite for engagement (for example in the cases of Jordan and Peru) when it is in line with the Fund’s goals, has been a strength. While there is no evidence that the absence of a formal overarching strategy has prevented the alignment of activity with Newton goals, its absence is symptomatic of a tendency to leave implicit what should be explicit.

As recognised by BEIS, it is necessary for a fund of this size and complexity to have a formal overarching strategy as a reference point. The process of drafting an overarching strategy in consultation with delivery partners is ongoing at the time of writing.

### **Country strategies as living documents which can be continuously strengthened**

Through the Newton Fund, BEIS aims to build and develop meaningful sustainable partnerships and relationships with governments and science and innovation partners in low and middle-income countries (LMICs). As such, it is appropriate for the Fund to have country strategies to set objectives for the UK’s cooperation strategy for each partner country.

Soon after the launch of the Fund, in 2015-2016 country level strategies were developed. BEIS regional leads defined and scoped these, with the support of in-country teams and UK delivery partners through a collaborative process both for the original strategies in 2015 as well as for the redrafted strategies in 2016. These programmatic documents are crucial, as they essentially define the scope for the Fund’s activities for each partner country. As explained by BEIS, these documents are not static and will be revisited periodically to ensure they remain relevant.

The one-page summary strategies produced in 2016 follow a consistent structure detailing for each partner country the 1) development challenges, 2) specific objectives, 3) strategy to achieve the objective, 4) critical delivery capabilities, 5) research and innovation priorities, 6) risks and mitigations, 7) funding, 8) match funding, and 9) relationship with other UK government funds and programmes.

A systematic desk review of all country strategies showed that themes for priorities (section 5 on “research and innovation priorities”) are not common across the strategies. This makes them difficult to summarise or compare across countries for a Fund wide overview. They are also not precise enough to be translated into operational documents to drive activity in priority areas. For example, one of the most frequent themes across countries relates to “environment, climate change variability and change”: in some strategies it is combined with disaster

resilience, in another urban and rural environment are specifically mentioned, while a third combines it with “rapid urbanisation”.

Notwithstanding the significance of having agreed these strategic documents through a collaborative process and the utility of the information contained therein, there are three areas for improvement identified through the process evaluation which should be reflected on for future revisions.

- **Introduce consistent headline priorities:** In the absence of a Fund-wide strategy (which is now being developed), these strategies, while uniform in their format, are not yet consistent in their approach to “research and innovation priorities” across countries. Different ways of expressing priorities in partner countries are to be expected, but having headline thematic priorities which are common and keeping the flexibility to drill down into the specific areas of focus within them would allow for more comparability and consistency in how themes are captured at the Fund level and still allow for more detailed specificities by country to be recorded.
- **Better capture real areas of focus by including more detail:** From the BEIS perspective country strategies are fit for purpose; they are “doing what they are meant to be doing” elaborating priorities with local partners and steering the delivery partners’ implementation work. Yet it is possible that the strategies could be made more useful for guiding decisions and better capturing the areas of focus for the Fund in practice. For instance, the documents were of varying practical utility for the delivery partners when they scope activity. Fewer than half the delivery partners found them to be useful reference documents when it comes to general guidance as a “direction of travel for the cooperation” as stated by one delivery partner. A majority find issues with the usefulness of the strategies. They mention barely referring to them at all, citing them as overly generic and unspecific. One delivery partner explained that the country strategy was “a bit irrelevant”, because their area of focus features in almost all country strategies but the country strategies do not “help us prioritise specific areas”. Instead they develop their own internal strategies and scoping mechanisms with local partners. To some extent this is a practical solution but it also illustrates a latent opportunity to capture those agreed areas of focus in the Fund level strategic documents.
- **Maintain a collaborative approach and be systematic:** As confirmed by several BEIS respondents, the country strategies were designed to be the result of a collaborative exercise that would reflect the meeting of UK interests, the areas of expertise of delivery partners and partner countries’ self-identified development needs and interests. Their formulation was collaborative but the process was not necessarily perceived as entirely inclusive and systematic<sup>1</sup>. For example, there were no procedures to ensure the representation of relevant local stakeholders in each partner country and this may be why the definition of country strategies was reported to be perceived as UK-driven (as opposed to the self-identified needs and interests of partners) by nearly half of in-country teams.

Within BEIS, there is a recognition that the strategies need to be revised in line with the overall strategy before the next round of funding is allocated. Part of this process will look to ensure greater consistency and more standardisation across countries in terms of contents (themes) as well as form. The dual purpose of the country strategies – both to elaborate joined up priorities with local partners and to steer the delivery partners’ implementation work – can be

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<sup>1</sup> Please note that we were not able to speak with the BEIS lead for the development of the strategies, however we spoke with team members in BEIS who were present for the formulation of the strategies.

better reflected in the revised versions based on the areas for improvement outlined above. Going forwards this review process will continue as they are living documents, updated as and when necessary to remain relevant and useful.

### **Scope to better maximise opportunities for collaboration in co-delivery model**

A major strength of the Newton Fund is the variety of its delivery partners and of the breadth of the science and innovation landscape covered. When the Fund was launched in 2014 some delivery partners had not worked together before. Bringing these organisations together is an added value of the Newton Fund. There are good examples of delivery partners working together, for example, and NERC and the MRC launched a joint call in China on air pollution in megacities; Innovate UK collaborates with RCUK on the “Research and Innovation Bridges” programme. These examples demonstrate established best practice of tackling global development challenges through interdisciplinary approaches can and does occur through the Newton Fund.

To capitalise more on the potential for collaboration adjustments may be required. The devolved Fund structure and processes do not actively encourage collaboration between delivery partners. Rather the onus is on delivery partners to drive collaboration. Best practice could be better supported by structures and processes which support and encourage collaboration so that the responsibility for creating joined-up programmes is shared (see below).

For example, the bidding process (which is currently under review) is not organised in a way that actively promotes collaboration between delivery partners. The main barrier to collaboration is insufficient time and to some extent also a lack of information about activities<sup>2</sup>. In practice, delivery partners are expected to respond to calls within short time-frames, which can prevent setting-up more complex interdisciplinary projects. There is no quick way for delivery partners to see what activity is funded by different partners. The view taken by BEIS is that bidding is a good mechanism to select the best proposals and to ensure value for money. The view of delivery partners was that encouraging competition has been preferred over encouraging more collaboration. The risk is that it also discourages long-termism and relationship building in what is referred to as “the community” (i.e. researchers) in the UK and abroad.

### **Consider opportunities for regional collaboration**

A related point is the possibilities for collaboration at the regional level. This is encouraged and actively pursued by many delivery partners and in-country teams (and clearly has a number of benefits). The regional hub in Singapore is an example of the recognition of the value of this approach. There have also been examples of in-country teams working together on regional calls, such as the BBSRC funded regional call for collaborative rice research including China, the Philippines, Thailand and Vietnam. The Newton Fund also includes an RCUK common pot which facilitates cooperation between the research councils (and which the Global Challenge Research Fund collective fund is based on). Recent interest from BEIS for more joined-up programmes (for example regional programmes in Latin America) also speaks to the appetite for this. However, because the Newton Fund was set up as a bilateral Fund, strategies are at the country level and at times indirectly refer to regional goals. The opportunities for spin offs and catalytic impacts through more regional programmes and linkages could be formalised to magnify the impacts of the Fund on the ground but when and where this is a relevant approach

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<sup>2</sup> More than half of delivery partners also had concerns about the transparency of the bidding process, despite assurance from BEIS that the process was communicated and feedback provided.

could be made clearer. If indeed this were pursued, there would be a need for more clearly allocated budget to support these efforts.

### **Action for portfolio oversight and active management underway**

The main reporting tool for the Newton Fund is the activity tracker<sup>3</sup>. The activity tracker was designed as a financial reporting tool, used to monitor the spend profile across countries. It was launched in 2015.

The activity tracker is on one hand complex, time-consuming and resource intense as a financial reporting tool requiring manual input on a quarterly basis, and on the other hand inadequate as a means of guiding decision-making or monitoring (as we have previously pointed out in previous evaluation deliverables (including the Evaluation Strategy itself)). Following early research by the evaluation team (2016) recommendations on improvements to Newton Fund monitoring were presented but, to our knowledge, were not fully taken forward. However, a significant development is that BEIS are investing in a transformation project to reassess and redesign the data collection and reporting needs for the Fund. The “Reporting Transformation Project” should enable more efficient portfolio management, better financial reporting and transparency.

The new tool will partly automate data collection. It will also streamline collection across the two ODA funds managed by BEIS – the Newton Fund and the Global Challenges Research Fund. To maximise the utility and feasibility of any new tool, delivery partners are being consulted and will be provided with the necessary guidance and training in how to use the tool.

Stakeholders recognise the need for a centralised reporting tool, not just for accountability but also as an overview of activities and achievements. Given the institutional complexity of the Fund, such reporting tools – if adopted and shared - have the potential to bridge some of the communication and coordination issues that currently hinder maximising the Fund’s impact. And, it would support a more integrated approach between delivery partners, BEIS and in-country teams.

### **A need for proactive communication on key decisions**

Linked to the above, a cross cutting theme emerging from consultations with delivery partners and in-country teams was demand for more communication and increased transparency around decision-making. An example of the absence of transparency in decision-making and lack of clear, timely communication is the addition of three new countries – Kenya, Jordan and Peru - as Newton Fund partner countries, in 2017. The rationale for their addition included government level interest (on both sides), an assessment of scientific opportunities and a commitment to match funding.

However, their addition (and reasoning for it) was not well communicated to different stakeholders. In fact, the perception was that it came almost “out of the blue” to important stakeholders including within BEIS, which is concerning given how important their buy-in is for

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<sup>3</sup> The activity tracker: each delivery partner is required to complete this on a quarterly basis. Essentially it is a database used by the ODA Research Management Team and BEIS to track activities undertaken across the Fund. It contains financial breakdown of all activities, brief and full descriptions of the activities, details of matched funding / effort, a log of issues, and numbers of applications / awards.

the success of programmes and projects in those countries. Proactive communication on such decisions and the rationale would improve (the perception of) transparency<sup>4</sup>.

### **Take the opportunity to make roles and responsibilities explicit**

BEIS, in-country teams and delivery partners are highly committed to their roles and there is real enthusiasm for the delivery of the Newton Fund by those involved. Since its inception in 2014, there has been a shared understanding but no reference document setting out the roles and responsibilities of different actors. This means stakeholders navigate specific issues for themselves, such as identifying the right person who can provide guidance. This adds complexity to an already complex fund, especially when combined with staff changes. It also leads to a lack of ownership of decisions made, between the Fund's various stakeholder groups, who do not necessarily feel accountable.

One group which would particularly benefit from greater clarity in roles and responsibilities is the in-country teams. Their role is tailored to the specific country needs and context. There is a need therefore for adaptability to the specific local context. Nevertheless, feedback gathered for the process evaluation showed that their role can be difficult to navigate given the - sometimes - differing priorities or approaches taken by parties they connect with. For example, it is not always clear who should be responsible for brokering the relationship with local partners, especially when the UK delivery partner has a local office or have pre-existing relations. Setting out in clear lines what the in-country team's remit is would help them navigate the complexity of their role and ensure more consistency in the approach.

Similarly, the relationship between BEIS and delivery partners can be clarified. From the feedback gathered for the process evaluation there was not a unified understanding of the co-delivery model. BEIS wish the delivery partners to feel empowered to own the co-delivery of the Fund and take initiative rather than relying on BEIS' guidance. But this was not reflected in how the delivery partners view the relationship, which was perceived as more top down. Clarifying roles and responsibilities as well as expectations would address this issue. Formal and sustainable exchange forums between BEIS and delivery partners are seen by BEIS as a way to encourage better understanding.

BEIS has started working to remedy this situation by introducing reference documents setting out responsibilities. For in-country teams for example, BEIS is working on clarifying some back-end processes for invoicing, staffing grades, etc. Front-end aspects (i.e. the demarcation of roles and responsibilities) are still required. To secure the degree of clarity and commonality in processes needed – especially due to the recent introduction of other ODA funds into BEIS' core responsibility - these improvements would need to be supported by adequate resources and formal support. Ideally, a systematic definition of roles and responsibilities across the Fund would form part of an overall rationalisation of the Fund's processes, and clearly identified in an overarching strategy for the Fund.

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<sup>4</sup> While the selection criteria for new countries discussed recently in a BEIS R&I Portfolio & Operations Management Board (April 2018), the issue is not about the existence of criteria but about communication.

## 5.2 ODA eligibility

### Introduction and high-level findings

The Newton Fund is classed as official development assistance (ODA). The general criteria for complying with principles set out by DAC Secretariat for ODA expenditure require that the expenditure must be:

- An official flow
- Flow to an ODA eligible country
- Have the economic development and welfare of the partner country as its primary purpose
- Meet detailed directives (for more details on the technical requirements, see: [OECD guidance](#))

To comply with ODA rules, therefore, BEIS must guarantee that funding goes to the reduction in poverty, furthers sustainable development, or improves the welfare of the population of partner countries. Ensuring coherence on ODA eligibility is relevant to the Newton Fund, but also beyond the remit of the Fund itself. As BEIS has now added the Global Challenges and Research Fund (GCRF) to the UK's portfolio of ODA funds, the necessity for a consistent approach to ODA eligibility has become ever more pressing.

We found that the current model, where the responsibility for ODA compliance is with delivery partners, is logical and efficient. Decision-making is still complex but the responsibility for ensuring compliance is in the right place. Nevertheless, given how complex ODA is, best practice examples and training could be improved. At a higher level, BEIS is accountable for ODA compliance and all the decisions taken, strategy adopted, etc. Whilst BEIS believe the delivery partners are best placed to set-up channels and processes amongst themselves instead of BEIS facilitating, we believe there is ultimately still an inherent risk to BEIS in not providing more guidance to ensure ODA compliance is consistent across the Fund.

Below we expand on these points in more detail.

### **The decentralised model for managing ODA compliance functions well and is efficient**

Delivery partners are legally and practically responsible for ensuring formal ODA compliance of the activities they fund. The grant letter issued to delivery partners stipulates that they bear this risk and liability if spend is later found to not conform to ODA requirements. Delivery partners have each developed their own criteria for checking ODA eligibility. This model is consistent with the fact that the legal responsibility for the risk lies with the delivery partners. It also fits with the Haldane Principle (which means funding decisions are left to the delivery partners). This was also the preferred method for managing ODA compliance in most cases. A small number of delivery partners with less experience working with ODA funds were more concerned with this approach.

Delivery partners explained that ODA compliance is built-in from the very beginning of any scoping activity. As such, they select thematic areas that are suitable for ODA funding. Procedures are in place to crosscheck compliance throughout the application and selection process. BEIS also integrates compliance with ODA in its funding decision-making, when deciding which programmes / projects to fund.

No one contests the allocation of roles and responsibilities in ensuring compliance. Indeed, BEIS stressed that in addition to being the most effective way to ensure ODA (given the above), it is also the most efficient way because the alternative would result in duplication of effort.

### **Potential for exchange of best practice**

When the Newton Fund was launched in 2014, BEIS did not have any other ODA-funded programmes<sup>5</sup>. As BEIS has not traditionally used ODA budget, it did not have institutional familiarity with the requirements. ODA was also new to a number of delivery partners and to the in-country teams.

As well as being new to BEIS, for many delivery partners and in-country teams, ODA compliance is additionally complicated because it requires judgement; it is not black and white. In particularly tricky cases, delivery partners can use a formal escalation process (which allows them to raise queries for advice from BEIS and DfID).

Within this context, one of the most basic requirements was training on how to ensure compliance with ODA rules: what does it mean in the Newton Fund context? How should criteria be applied to ensure ODA eligibility?

To offset this lack of experience, BEIS provided clear basic guidance, with different sources available for delivery partners to use<sup>6</sup>. BEIS also relied on DfID in the early years (i.e. 2014 - 2016) to provide trainings. This has not been formalised into any regular training across delivery partners, in-country teams and BEIS itself (regional teams and the ODA Research Management Team). Probably linked to staff changes which have occurred, the lack of regular training meant that by the time of the process evaluation consultation a third of delivery partners and over half of in-country teams interviewed expressed a need to receive better guidance or more tailored training to determine ODA compliance.

Although in-country teams are not formally involved in ODA compliance checks, they are sometimes first in line to explain to applicants what ODA is and how to tailor their proposal to be compliant. In-country teams commonly reported not receiving any training on ODA and instead relied on the accumulation of experience.

In-house knowledge has been built up over time and under half of delivery partners have expressly mentioned having developed criteria to test eligibility. But more regular, better-tailored guidance (for example with worked examples) was still widely desired. Given that it is now delivery partners who have the most hands-on experience, a document sharing best practice might be considered (prepared by them). Delivery partners have sought to build expertise and have created their own solutions already to fulfil their contractual obligations in this regard (for example workshopping difficult examples and in-house training and ODA awareness raising).

Having this best practice better documented at the Fund level, collated based on input from delivery partners, would provide benefits at different levels:

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<sup>5</sup> This has now changed with the creation of the Global Challenges Research Fund.

<sup>6</sup> The guidance provide includes (1) a Newton Fund guide to understanding ODA available as PDF document, (2) a training session on the same theme, which is also (3) available to watch online and can be downloaded as (4) PowerPoint presentation as well

- easier handover where any staff changes occur (BEIS, delivery partners and in-country teams)
- provide in-country teams with a reference document in case of contest from overseas partners
- a common starting point for delivery partners to tailor their own areas of expertise.

### **Low appetite for risk identified**

Delivery partners bear the ultimate responsibility for guaranteeing compliance and the large financial risks this carries. BEIS relies on delivery partners using the escalation process to bring issues to its attention. As such a large audit process is not considered appropriate and the process evaluation is another way to ensure no major concerns exist. This is indeed the case, however, the transfer of responsibilities to DPs in some cases has resulted in a low appetite for risk.

For example, we found that delivery partners had to rely on their own experience to ensure ODA compliance, but delivery partners have different starting points when working on ODA that influences their appetite for risk. For instance, some delivery partners explained that ODA is a less “natural” fit for them as their focus does not traditionally appear in the ODA space. Some delivery partners will err on the side of caution as confirmed by a BEIS respondent and several delivery partners. Innovative but also unusual solutions to development issues might be missed as they require greater confidence and risk-taking that some partners may be unwilling to pursue based on their interpretation of ODA requirements and broader appetite for risk. Again, this could be tackled by sharing of best practice and examples between delivery partners.

### **Careful relationship management**

Fundamentally, ODA imposes limits on what is eligible for funding through the Newton Fund. It is important to recognise that this has the potential to strain partnership relations. Some partner countries are keen to pursue science and innovation collaborations that are not ODA-eligible, or they feel the notion of what constitutes an ODA topic needs to consider the specific situation of each country.

In most countries, this issue does not surface because there are enough areas that are “traditionally” ODA where there is a need and willingness to engage. However, funding partners in some countries are becoming increasingly assertive and pushing the boundaries for what constitutes ODA. In addition, as noted above, the fact that ODA rules involve judgement, means there can be inconsistency in the level of risk a UK delivery partner is willing to take. This exacerbates the problem in cases where partner countries may wish to pursue more innovative activities. This is yet another reason to have more detailed priority areas within country strategies to capture and agree areas of focus.

### **A need for more long-term thinking**

Discussions around ODA and funding brought to the fore the lack of formalised thinking about how to manage countries which graduate from the DAC list. While no exit strategy was developed at the inception of the Newton Fund, Chile’s impending change of status prompted strategic thinking and the development of a “bespoke” exit strategy in 2016.

Chile is set to graduate from the DAC list in 2018 meaning it would, in principle, become ineligible for ODA funding. The preferred approach, as determined by the predecessor of the

ODA Board, was to follow a “bespoke graduation strategy”. While this strategy has not been shared with the evaluation team, BEIS reported that it informed internal discussions and workshops held and the issue was extensively discussed as part of the 2016 funding decisions. As part of managing the transition, Chile now has a Science and Innovation Network officer, bringing Chile into the network of countries with representatives developing action plans to work on global objectives in Prosperity, Security, Influence, and Development<sup>7</sup>.

This bespoke approach seems to be working for Chile but there has been no formal guidance laid out for how to manage this process for the in-country team. In the absence of formal guidelines or a clear strategy for managing the process of graduation, BEIS (the in-country team and the regional lead in the UK) chose to develop a bespoke strategy for Chile and has integrated guidelines on how to ensure the relevance of activities funded across the region.

Notwithstanding the approach taken in Chile, there is still a need for a long-term strategy for managing “exit” from the Fund either if countries graduate from the DAC list or that the funding ceases after the current commitment, after 2021. This would jeopardise the sustainability of the benefits and impacts of the Fund.

The Newton Fund works with a number of middle-income countries, whose expectations mean they already look beyond ODA cooperation. In our consultations, in-country teams raised the issue of sustainability beyond ODA funds as being an issue of concern. The risk of ignoring it for the UK is to lose the benefits carved by the Newton Fund’s investment in these strategic countries in an ever-increasing competitive international science and innovation space.

### 5.3 Matched funding

#### Introduction and high-level findings

Matched funding is key to the Newton Fund’s design. It is a requirement for partner countries and their funding agencies to match (in money, resources, or effort) the contributions they are receiving from the UK. Early on in the Newton Fund, BEIS recognised that match did not have to be financial match. In some cases, partners were committed but their funding structures, timelines or other administrative barriers meant that rather than providing cash, in-kind contributions were more practical. As such, match can be money, resources (for example facilities or equipment), effort (i.e. labour), or a combination of all three. This flexibility is one of the key success factors in successful implementation of the Fund in many countries.

Within the Newton Fund, BEIS ultimately bears the responsibility to deliver match at the Fund level and UK delivery partners – crucially with the help of in-country teams - are responsible for ensuring their local partner institutions match their investment.

We found that encouraging and nurturing the sense of co-ownership matched funding created is a strategic advantage and unique selling point of the Newton Fund. It was also the single most complicated aspect of the delivering the Fund in practice. We found that the many practical challenges created by it could be minimised through more explicit mapped processes and reference documents to clarify what is mandatory while ensuring flexibility is maintained.

Below we explain some of the strengths and weaknesses of the match requirement.

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<sup>7</sup> <https://www.gov.uk/world/organisations/uk-science-and-innovation-network>

### **Match: enabling co-ownership while creating significant practical challenges**

Though originally conceived as a means of achieving value for money, the requirement for “match” has become an important vehicle for developing a sense of co-ownership of the Fund, building the partnership approach and gaining high level buy in. For foreign policy objectives, the presence of a mutual interest in these areas of activity is crucial to the success of the Fund. It has also given the UK unique access to and involvement in the strategic priorities of partner countries. The matched funding requirement is key to building institutional and professional connections around research, science and innovation at a high level. These relationships combined with the high levels of funding made available by the Fund have helped improve the UK’s position as a partner of choice in some countries. In China for instance, RCUK confirmed this contributed increasing the UK’s visibility in Science and Innovation towards Chinese stakeholders.

However, while one of the strongest assets and enabler of the “soft power” created through the Fund, to paraphrase the words of one delivery partner, matched funding has been as much a selling point as a source of problems and challenges in practice. Some challenges are inevitable given the complexity of the administration of co-funding for a fund of this size and diversity of partners within and between countries. Some issues are unpredictable and some unavoidable. For instance, the impact of the results of an election on funding decisions or the overall economic stability of a country and its impact on the exchange rate. But, focusing on what is within the control of the delivery partners and fund managers, there is scope for improvement.

We expand on these below, starting with the need to give delivery partners clear(er) boundaries to work within and then exploring two areas where flexibility could be maintained or increased.

#### **A need for clearer parameters**

Consultations with delivery partners showed that the decentralised model for implementing the Fund makes sense in principle but is not supported by clear expectations from BEIS in practice. There are different approaches to match and varying levels of comfort in defining match. While flexibility is necessary, too much variation and a lack of consistency is not good practice. The Fund lacks clear guidance on what is ‘enough’ in terms of match, whether it is financial or non-financial. BEIS however considers delivery partners are best placed to define what matched funding is through cooperation and practice sharing. A few examples of the specific issues raised make this point.

When match comes in the form of financial match, many delivery partners as well as in-country teams would welcome more guidance on what is acceptable. For instance, what exchange rate to use to calculate pound-for-pound match, when this is appropriate, as well as what is acceptable if purchasing power parity is used. Delivery partners would like to have more guidance on these issues, including when and how any restrictions should be applied. The lack of existing guidance has also been confirmed by (two) BEIS regional leads. Given that the real cost of doing research in partner countries might be significantly different to in the UK, clear guidelines on how to apply purchasing power parity would be useful. For example, the cost of a lab and several researchers working on a project can cost a fraction of the same investment made in the UK. The key question is whether BEIS wish to ensure a pound for pound match, or allow match to reflect PPP.

Match in the form of effort or resources demonstrates a country’s commitment despite financial constraints that may be present. For example, certain areas such as arts and humanities tend

to receive less funding in partner countries and would struggle to get off the ground if only financial match was allowable. However, the extent to which projects are proceeding on this basis is limited by a lack of confidence and understanding amongst the delivery partners as to what will be acceptable in terms of non-financial match. This is especially important to keep the wide reach of activity supported under the Newton Fund and support a well-rounded and comprehensive socio-economic development process. For in-country teams, there is an operational need to have more clarity on what constitutes matched effort.

In sum, what is missing is clear guidance on what is acceptable in terms of match and a 'how to' guide for delivery partners in how to demonstrate and evidence match (especially when non-financial match is used and BEIS' preferred approach on dealing with PPP in evidencing financial match). BEIS should also be clear on 'red lines' so all parties have clarity on what is and is not acceptable with respect to match funding requirements.

### **Maintaining or increasing flexibility when implementing matched funding**

Flexibility is key to achieving match, as it involves overcoming a variety of political and bureaucratic idiosyncrasies as well as unforeseen challenges. While the existing flexibility should be maintained, there may also be scope for more flexibility (supported by clear guidance), as explained below.

To give greater context to the desire for greater flexibility: a few delivery partners expressed some concern that because matched funding is more complicated, there may be a temptation to fund activities through, for example, the Global Challenges Research Fund, to avoid the difficulties. No evidence of this occurring was identified, rather this was presented as a concern going forwards. The issues raised below need to be considered in light of these concerns.

- Financial timelines

One persistent challenge raised by stakeholders is in managing the mismatch between the partnership model on the one hand and a rigid financial structure for funding from the UK side on the other.

The requirement to have partner countries' financial cycles align with the UK's, which was mentioned throughout the consultation process, is at odds with the partnership approach. In addition, the UK financial year can be incompatible with the process of conducting research. Research does not always fit neatly into a financial year. More flexibility for multi-year programmes, for example, would better reflect the spirit of partnership and impede less on the practicalities of conducting (long-term) research.

In-country teams together with delivery partners often have to work hard to compensate for this lack of flexibility, finding different work arounds. One in-country team explained they had to convince the local government to compromise on financial deadlines to match those of the UK, without damaging the perception that the Newton Fund is a partnership and jeopardising the valuable relationship built.

We were informed that there is the possibility to re-profile programmes (with the approval of BEIS) but even so, exploring directly with delivery partners and in-country teams the scope for mutually agreed financial frameworks and timelines from the start could mean that some of these issues are pre-empted.

- Shortfalls and surpluses

More often than not, partner countries have issues matching the UK's contribution. The challenges are not uniform but context specific. Likewise, the solutions are developed on a case-by-case basis. All stakeholders recognised the critical role played by the in-country teams. Their local knowledge and diplomacy has supported the process of securing match from the identification of funding partners, facilitating negotiations through to the practical elements of managing match in practice. The in-country team monthly highlight reports make frequent reference to challenges caused by match. Indeed, we found it to be the most common issue raised. As in-country teams are the local stakeholders' immediate point of contact, these reflect the whole range of potential issues - securing partners, mitigating the effects of currency fluctuations, helping negotiate what constitutes matched resources, etc.

Occasionally, however, the problem is that a partner country wants to overmatch or push for the cooperation to go even further than is currently possible. Care needs to be taken to mitigate the reputational damage as well as the sensitivities of partner countries in such instances to protect the relationships that delivery partners and in-country teams have worked hard to establish with their local counterparts. For example, a few in-country teams mentioned being faced with the challenge that countries want to work in more areas, and put up higher budgets than the UK is willing or able to match. This can challenge the allocation of funds within each country envelope.

Ensuring mechanisms for the reallocation of funds as part of the same country envelope provides the flexibility to help manage the variation in ability while capitalising on the willingness to collaborate. However, alone, such an approach would be more limiting for BEIS, who may wish to take a more strategic approach to re-allocation of underused funds across the portfolio of Newton countries. At present, there is a process for re-allocation of the funds, which involves looking across the entire fund and its current status, and if required to be re-allocated to look within that country first. This flexibility is considered a strength, which should be maintained.

### **More support needed for in-country teams**

As mentioned previously, the value of match is not just in the monetary or in-kind match secured. It is in the relationships built through the collaboration. To be sustainable, these relationships need to be nurtured during and after cooperation initiatives have taken place, especially given the level of competition for international science and research cooperation opportunities.

We found little evidence of systematic processes in place that would make the most of the relationships built through the Newton Fund - during or after projects have ended. In-country teams hold a strategic position as the link between the UK and partner countries and yet they are not as well integrated with the rest of the UK-based stakeholders as they could be.

Engaging in strategic thinking on how to capitalise on the Fund's achievement is essential. It would require keeping these relationships alive by improving communication with UK delivery partners consistently across all countries by receiving project award holder lists. This would allow building a network of alumni and keeping them actively engaged through regular events.

### **An absence of follow-up monitoring**

The sum "matched" and how match is secured (in cash or in kind) is recorded in the activity tracker. However, consultations revealed that, essentially, this is the only form of monitoring of match once an action is underway. Delivery partners explained that it is difficult to check that the sums agreed are spent. It simply is not feasible in their opinion to ask partners to provide

evidence of match delivered. BEIS should consider its requirements and provide clear guidance to delivery partners and in-country teams as to the extent of monitoring and evidence it expects to see with respect to match funding secured in reality (as opposed to committed in principle).

Linked to this, we found that it is commonplace for the UK delivery partners to finance the activities on the UK side, while the partners finance activities on their side. Even though matched funding evidently increases the joint size of the investment, practically it would mean it only supports the UK part of the joint research or activity. This is unusual practice for ODA. Provided there is satisfactory evidence that the activities are designed to benefit the partner country, something which was not within the scope of the process evaluation, this is unusual but not problematic.

## 6. Conclusions and Recommendations

### 6.1 Conclusions

The Newton Fund has come a long way in the past four years. Since the original business case was set out at the end of 2013 and the Fund was launched in earnest in April 2014, and periodically since then, there have been important developments in how it is run as well as fine-tuning of its objectives. The Newton Fund's fast roll out, absence of a "year zero" and the complexity and ambition of what the Fund is striving to achieve created challenges. The Fund design and delivery model is also complex: traversing diverse countries with different institutional systems and working in partnership with them in a novel way. It is not just the countries that are diverse but the thematic areas in which the Newton Fund operates, and likewise the partners involved in delivery themselves are far from identical.

A one-size-fits-all approach to processes, while much simpler to deliver, would not be appropriate for the Newton Fund. Flexibility and adaptability have been key to success so far. For instance, allowing the Fund to grow in scope over the years to respond to needs. Nevertheless, the process evaluation has shown that there are benefits to be realised from making explicit what has been implicit, such as formalising expectations both in terms of the Fund itself and of the different actors involved. There are also areas where the processes and structures could be strengthened or improved to make it easier for the Fund to maximise its potential efficiently and sustainably. The most important gaps or areas for improvement identified are already the subject of review. This process evaluation confirms the importance of sustaining efforts in these areas and highlights some additional areas BEIS could reflect on for continued improvement.

Our conclusions below bring together the main findings from the three strands investigated as part of the process evaluation, and are presented in the same structure.

#### **Delivery of policy priorities**

**A continued need for a formalised strategy:** The Newton Fund has come a long way but has not overcome some challenges stemming from its fast roll out. In terms of policy priorities, there is consensus around the primary goal of developing science and innovation partnerships that promote the economic development and welfare of partner countries in practice, but there is a lack of explicit overall strategy. A programme as complex and large as the Newton Fund needs to be based on an overarching strategy to set the direction and establish priorities, but also to simplify decision-making and drive alignment (for example in the country strategies). Similarly, processes and responsibilities might be understood but they are not always systematically well-defined or documented, leaving scope for inconsistency and inefficiency in delivery in an already highly complex programme. BEIS has recognised these needs and is already working on a strategy, as well as improving processes that underpin its delivery.

**The reporting system is critical and requires investment:** The Newton Fund's reporting system is still not as good as it should be partly because of the absence of a planning period, but also because of the lack of investment and resource made available to improve it. This is now being addressed, including through a "Reporting Transformation Project" which is a positive development and should enable more efficient portfolio management, better financial reporting and transparency.

### ODA eligibility

**A practical approach is taken to managing ODA compliance, which maximises value for money:** The responsibility for ODA compliance is with delivery partners. This is logical and efficient. The alternative would create duplication of effort and would create a more complicated process. The delivery partners are best placed to assess the ODA eligibility in their field of expertise and this is in line with the fact that they bear the legal risk.

**Strategic thinking should focus on how to manage ODA in the long run:** The Newton Fund countries are not all typical recipients of ODA. Some of them are significant global players and there is competition to work with them on science and innovation; others may emerge from the DAC list soon or have ambitions beyond ODA eligible areas. A continued need to manage communications around ODA and UK priorities is needed in the long run.

### Match funding

“Match” (of resource or effort) is a unique selling point of the Newton Fund but it is also the greatest practical challenge; maintaining flexibility (together with guidance) is paramount: Encouraging and nurturing the sense of co-ownership, matched funding is a strategic advantage and unique selling point of the Newton Fund. It is also the single most complicated aspect of delivering the Fund in practice. Many practical challenges created by the match requirement could be reduced through more explicit mapped processes and reference documents; these should also clarify what is mandatory and where flexibility is possible.

## 6.2 Recommendations

The recommendations below are drawn directly from the conclusions but presented according to the main stakeholders who would enact them.

### **BEIS (policy team) lead with input from delivery partners and in-country teams**

1. Formalise the Newton Fund overarching strategy

Make explicit the priorities of the Newton Fund and use this as a basis for the revised country strategies. The process, which BEIS has already embarked on, should continue to be inclusive. The strategy should include the following, as a minimum:

- a clear statement of goals
  - clarification of when and where regional approaches are appropriate
  - consideration for managing exit / sustainability
2. Based on the Fund strategy, revise and standardise the country strategies ahead of next funding allocation and continue to treat them as living documents

Based on the agreed overall strategy, revisit the country strategies to ensure they are consistent with the overall strategy, i.e. that they are standardised in terms of headline themes addressed and make explicit how they fit into the overall strategy. The process should be inclusive and ongoing.

3. Engage in strategic thinking on how to capitalise on the Fund’s achievement and the sustainability of soft benefits

For example, how can the soft benefits of the Newton Fund be captured and maintained? Relationships with award holders are not centrally tracked. Receiving project beneficiaries' lists from delivery partners would be a necessary first step. This would allow building a network of alumni and keeping them actively engaged through regular events.

BEIS (policy team and ODA Research Management Team)

4. Maintain momentum to develop a centralised, semi-automated reporting tool and corresponding training

This should be a high priority. A well-designed reporting tool will lead to efficiency gains and enable portfolio management, underpinning the achievement of strategic objectives. It will also enable BEIS to better understand and account for the significant investments of public money being made through the Fund by routinely capturing results across the significant portfolio of countries and projects.

5. Take the opportunity to improve existing processes to address challenges identified in line with the agreed strategy and develop any missing processes for effective delivery such as:
  - Set up processes for increased communication (and transparency) around decision-making (especially feedback on go / no go decisions on bids and bid timelines).
  - Confirm and create a reference document for roles and responsibilities of all Newton Fund stakeholders.
6. Ensure all relevant guidance documents are available to ensure consistency across the Fund for match and ODA
  - In terms of match: develop a 'how to' guide for delivery partners in how to demonstrate and evidence match (especially when non-monetary match is used and BEIS' preferred approach on dealing with purchasing power parity (PPP) in evidencing monetary match). Consider requirements and provide clear guidance to delivery partners and in-country teams as to the extent of monitoring and evidence it expects to see with respect to match funding secured in reality (as opposed to committed in principle).
  - In terms of ODA: ensure sufficient guidance to guarantee ODA compliance across the Fund is available and ensure BEIS continue to do all that is necessary to fulfil its accountability to DFID and HM Treasury in distributing ODA funds. Responsibility can remain with delivery partners (including to produce guidance and relevant examples), but BEIS should provide oversight and encourage and facilitate a forum for exchange of best practice between delivery partners (including GCRF partners) to ensure compliance and accountability.

## Annex 1: List of Interviewees

Affiliation	Name of interviewee
<b>BEIS</b>	
Newton Central Team	Sarah Honour
	Sheila Honey
Regional leads	Laura Boccaro
	Peter Cozens
	Alexander Crooke (former)
	David Kenyon
	Ute Lynch
	Alan Monks
ODA Research Team	Claire Goldstraw
	Odeta Butkute
	Jessica Clark
	Katie Clark
	Melanie Collins
	Sarah Hamzat
	Chanelle Leher
	Liesbeth Renders
	Hannah Ward

<b>UK Delivery partners</b>	
Academy of Medical Science	James Harden
Arts and Humanities Research Council	Gemma Evans
Biotechnology and Biosciences Research Council (BBSRC)	Sarah Blackburn
	Michael Booth
British Academy	Tom Eagan
British Council	Emma Baker
	Wendy Waring
Economic and Social Research Council (ESRC)	Alexa Mills
Engineering and Physical Science Research Council (EPSRC)	Gavin Salisbury
Innovate UK	Janet Geddes
	Denisa Naidin
Met Office	Verity Payne
Medical Research Council (MRC)	Alex Harris
Natural Environment Research Council (NERC)	Michelle Manning
Research Councils UK	Jacqui Williams
	Roshni Abedin
Royal Academy of Engineering	Shaarad Sharma
Science & Technology Facilities Council (STFC)	Victoria Wright

<b>In-country Teams</b>	
Brazil	Diego Arruda
	Marcia Seimetz
	Mariana Veiga
Chile	Francisco Alvarez
	Alvaro Cabrera
China	Richard Baker
	Stella Wei
	Lucy Zhang
Columbia	Luis Calzadilla
	Natalia Ramirez
Egypt	Shahira Emara
India	Tamil Chandru
	Aditi Sharma
	Rita Sharma
Indonesia	Anissa Febrina
Kazakhstan	Rowan Kennedy
Kenya	Serah Nderitu
Malaysia	Izza Ismail
	Selina Ng

Mexico	Krizia Delgado
Philippines	Karen Hipol
Singapore - regional Science and Innovation team	Nicola Willey
	Francesca Kellaway
South Africa	Zara Roman
Thailand	Pijarana Samukkan
Turkey	Asli Akcayoz
Vietnam	Phan Huong
<b>Other</b>	
Universities UK International	Rachael Sara-Kennedy

# Annex 2: Newton Fund Process Evaluation Approach

## Purpose of the Process Evaluation

As part of the Newton Fund Evaluation Strategy, the M&E Team will undertake a Process Evaluation of Newton Fund delivery. The Process Evaluation will be conducted between April 2017– September 2017 and will reflect on the inception phase (from mid-2015) and implementation to date (mid 2017). The purpose of the Process Evaluation will be to inform our programme-level analysis of the **relevance, effectiveness, efficiency, impact and sustainability** of the Newton fund processes.

The primary audience of the Evaluation is BEIS. The findings obtained from undertaking the Process Evaluation will enable BEIS to learn lessons about the design and management of the Newton Fund and inform:

- discussions on potential improvements in the management and delivery of the Newton Fund; and
- the development of similar programme approaches and wider policy interventions in the future.

In developing this approach, we will seek feedback from Newton Fund actors and stakeholders about their expectations and requirements for the Process Evaluation.

## Evaluation focus and scope

The purpose of the Process Evaluation will be to answer the following key question:

*“Was the Newton Fund appropriately designed and successfully implemented (to date)?”*

The Process Evaluation will review the set-up, operation, delivery and performance of the Newton Fund programme, approached from selected areas for research (e.g. initial design and on-going management, funding arrangements and outcome). Success is defined as the programme being in the right direction of travel vis-à-vis the outputs to be delivered and expected outcomes (e.g. activities are on track, remain relevant, current management arrangements allow for attainment of results and the process support the efficient attainment of results).

The evaluation will cover the time period from the launch of the Newton Fund, i.e. 2014, through to the third year of implementation (mid - 2017), in order to provide enough time for lessons learning and course correction for the continuation of programme implementation.

## Research areas

We envisage that the Process Evaluation could the following areas:

1. Delivering policy priorities
2. ODA eligibility
3. Matched funding

These are aspects of the Fund that are particularly crucial to the successful functioning of the Fund. For this reason, examining these areas would provide a good opportunity to both potentially identify improvements in the delivery of the Fund as well as wider lesson learning in applying these to future programmes.

### **Potential research areas and questions**

1. Delivery of policy priorities
  - Are the established processes (especially the allocation of responsibilities) likely to support the delivery of policy priorities (as expressed in the country strategies)?
  - What has worked well / less well?
  - What could be improved to ensure policy priorities are achieved going forwards?
2. ODA eligibility
  - Have the mechanisms in place been sufficiently robust to ensure that: economic development and welfare is consistently the main objective of the activities funded?
  - What have been the reasons for robust / less robust applications of the objective?
  - How can a robust approach be ensured going forwards?
3. Matched funding
  - Have the established procedures ensured that: the matched funding criteria secured the desired commitment of the partner countries?
  - What aspects of the matched funding criteria have worked well / less well?
  - What considerations should be taken into account to maximise the leverage of the fund and commitment of partner countries going forwards?

### **Methodology**

#### **Approach and methods**

We will use mixed methods to answer the research questions and triangulate findings to develop a more comprehensive picture of programme delivery. We will conduct programme document reviews (e.g. business case, meeting minutes, progress reports, country strategies, contracts and procurement) and interviews with key stakeholders. In addition to the interviews listed below, the evaluation team proposes that a selection of key process questions are posed as part of the in-depth thematic case studies which will include interviews with local delivery partners. Triangulating sources ensures that data is more valid and reliable and increases the credibility of our findings.

Type of stakeholder	Number of interviews	Areas covered
BEIS central team and regional managers	(up to) 10	<ol style="list-style-type: none"> <li>1. Delivery of policy priorities <ul style="list-style-type: none"> <li>• Newton Fund set-up and design (relevance, rationale and experience)</li> <li>• Explanation of policy priorities and how these have evolved at country and Fund level</li> <li>• Assessment of DP profile / proposal to participate and relation with policy priorities (establishment of in country work)</li> <li>• Perceptions of achievements and gaps to date</li> </ul> </li> <li>2. ODA eligibility <ul style="list-style-type: none"> <li>• Central mechanisms to ensure compliance with ODA eligibility</li> <li>• Designation of responsibility for meeting requirements</li> <li>• Feedback on designation of responsibility</li> <li>• Experience in ensuring compliance with requirement (good / less good examples)</li> <li>• Reasons for any difficulties / specific challenges</li> </ul> </li> <li>3. Matched funding <ul style="list-style-type: none"> <li>• Explanation of rationale for the matched funding arrangements</li> <li>• Experience with management of matched funding / feedback from DP or ICT on feasibility / reception of requirements</li> <li>• Reasons for variation in ability to meet requirements</li> <li>• Strategies to mitigate the risks and maximise the benefits of criterion</li> </ul> </li> </ol>
In Country Teams	15	<ol style="list-style-type: none"> <li>1. Delivery of policy priorities <ul style="list-style-type: none"> <li>• Development of country strategy (background, consultation, areas which fit well / less well with NF)</li> </ul> </li> </ol>

		<ul style="list-style-type: none"> <li>• Challenges and insights (i.e. issues regarding alignment of priorities with DP work, access to funding in country, organisation of funding).</li> <li>• Perception of achievements and gaps to date (and reasons for these)</li> </ul> <p>2. ODA</p> <ul style="list-style-type: none"> <li>• Ease / complexity of managing ODA criteria</li> <li>• Coherence with practice</li> <li>• Views on communication of requirements</li> </ul> <p>3. Matched funding</p> <ul style="list-style-type: none"> <li>• Reception of matched funding requirement</li> <li>• Challenges of accessing funding in country to meet the matched-funding requirement</li> <li>• Relationship between commitment to Newton Fund objectives and matched funding (i.e. proxy for commitment or other – more important - factors?)</li> <li>• Practical observations regarding matched funding requirements</li> </ul>
<p>UK Delivery Partners</p>	<p>15</p>	<p>1. Delivery of policy priorities</p> <ul style="list-style-type: none"> <li>• Elements of design that work well / less well</li> <li>• Views on country strategies: are they helpful/ make use of? If so, in what ways?</li> <li>• Ways in which country policy priorities align with DP policy priorities</li> <li>• Views on communication with and support from ICT</li> </ul> <p>2. ODA</p> <ul style="list-style-type: none"> <li>• Views on the guidance issued</li> <li>• Reception of requirement by partners in country</li> <li>• Ease with which process is managed</li> <li>• Lessons learnt so far</li> </ul> <p>3. Matched funding</p> <ul style="list-style-type: none"> <li>• How easy / difficult is it to manage the matched funding requirements?</li> </ul>

		<ul style="list-style-type: none"> <li>• Who takes responsibility for this?</li> <li>• What aspects of the process are more / less simple?</li> </ul>
In country DPs	Conducted as part of case study visits	<ol style="list-style-type: none"> <li>1. Delivery of policy priorities <ul style="list-style-type: none"> <li>• Perception of Newton Fund fit with DP priorities</li> <li>• What works well / does not work well</li> <li>• Understanding of responsibility of different actors</li> </ul> </li> <li>2. ODA <ul style="list-style-type: none"> <li>• Reception of requirements</li> <li>• Fit with / compatibility of objectives / needs of DP</li> </ul> </li> <li>3. Matched funding <ul style="list-style-type: none"> <li>• Ease with which the matched funding requirement is managed</li> <li>• Perception of requirement</li> </ul> </li> </ol>
<b>Total</b>	<b>(up to) 40 (not including in country DPs)</b>	

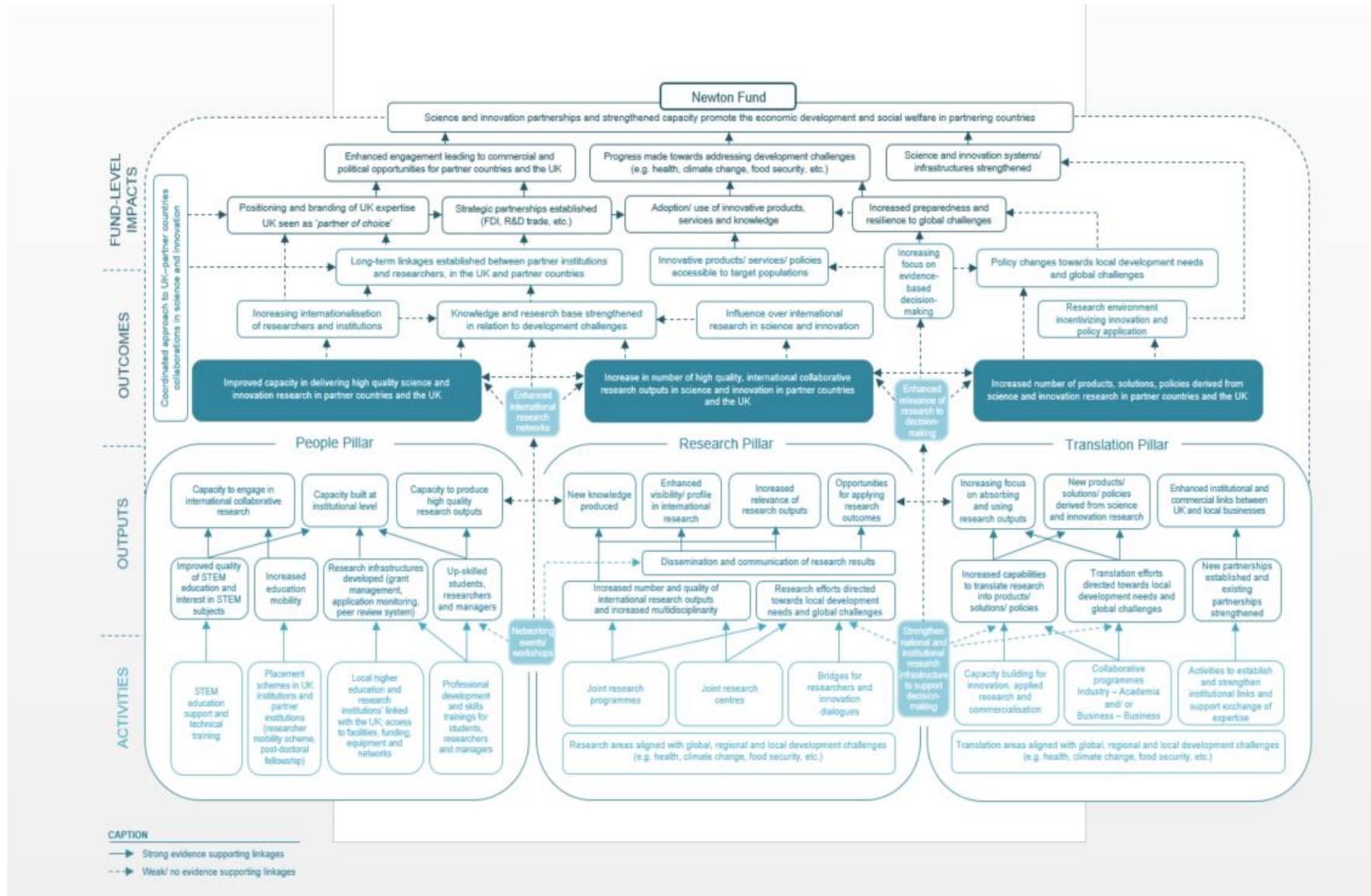
### Data Analysis

Data collected from document review will be reviewed systematically according to a review matrix. Qualitative data from interviews will be coded and analysed using a similar matrix. Research questions will be triangulated where possible with data from multiple sources.

### Timings and delivery

The evaluation team will develop the research framework and begin the process of data collection mid 2017. The documentary analysis and the majority of the interviews will be done in May-August 2017. Draft findings will be produced at the end of October. The final Process Evaluation report will be submitted in December 2017 together with the Mid-term Evaluation report.

# Annex 3: Theory of Change



## Annex 4: Evaluation Framework

Newton Fund Evaluation Framework																				
Evaluation questions	Judgement criteria	Indicators	Sources of evidence																	
			Evaluation team							Newton Fund partners			Secondary data							
			Desk-based		Mid-term			Endline		Monitoring data	Ad hoc evaluation studies	Country strategies	SJR	WEF	WIPO	UNESCO	UNESCO Women in Science			
			Country-level baselines	Country-level endlines	Online surveys/ telephone interviews	Review of research applications funded and rejected	Thematic impact studies	Process Evaluation	Online surveys/ telephone interviews									Review of research applications funded and rejected	UK benefits survey	Thematic impact studies
1) Relevance: Does the Newton Fund design and planned interventions address the problem stated in line with beneficiary needs?																				
1.1	Are the activities and intended outputs of the Newton Fund consistent with the intended outcomes and impacts and supported by existing evidence?	Extent to which Newton Fund activities were based on existing evidence and expected to deliver the expected results	1.1.1.1	Evidence of rationale for country selection process																
			1.1.1.2	Number of intended beneficiaries and characteristics																
			1.1.1.3	Number of targeted beneficiaries reached																
			1.1.1.4	Evidence of rationale for planned activities																
1.2	Did the Newton Fund target, reach and benefit its intended beneficiaries? Are there gendered differences in terms of benefits realised?	Extent to which Newton Fund partners have targeted beneficiaries 'in need' and reached these beneficiaries including women	1.2.1.1	Proportion of beneficiaries - who could not have secured funding otherwise - targeted and benefiting from Newton Fund activities																
			1.2.1.2	Proportion of women targeted and benefiting from Newton Fund activities																
			1.2.1.3	Proportion of eligible projects which could not be funded because of budget restrictions																
1.3	Did the funded research activities target the economic development, welfare and poverty issues in partner countries? Were these research activities programmes that would not have happened otherwise?	Extent to which the funded research activities targeted economic development, welfare, and poverty issues	1.3.1.1	Proportion of activities targeting economic development (with documented case studies)																
			1.3.1.2	Proportion of activities targeting welfare (with documented case studies)																
			1.3.1.3	Proportion of activities targeting poverty issues (with documented case studies)																
		1.3.2	Extent to which the funded research activities had additionality	1.3.2.1	Proportion of activities targeting economic development which would not have happened otherwise															
				1.3.2.2	Proportion of activities targeting welfare which would not have happened otherwise															
1.3.2.3	Proportion of activities targeting poverty issues which would not have happened otherwise																			
2) Effectiveness: To what extent has the Newton Fund effectively delivered results?																				
2.1	Have activities under the People pillar improved capacity building in science and innovation for individuals and institutions?	Extent to which activities under the People pillar have improved capacity for individuals	2.1.1.1	Proportion of early career researchers																
			2.1.1.2	Proportion of researchers gaining higher degrees																
		2.1.2	Extent to which People pillar activities have improved capacity for institutions	2.1.1.3	Number (and level, nationality) of researchers with access to improved facilities															
2.1.2.1	Improved research facilities in institutions																			
2.2	Have activities under the Research Pillar enabled successful research collaborations on topics relevant to the economic development and poverty reduction needs of partner countries?	Activities under the Research Pillar enabled successful research collaborations on topics relevant to the economic development needs of partner countries	2.2.1	Number of research collaborations contributing to economic development needs																
			2.2.1.1	Favourable feedback from stakeholders on economic development effects																
		2.2.2	Extent to which activities under the Research Pillar enabled successful research collaborations on topics relevant to the poverty reduction needs of partner countries	2.2.2.1	Number of research collaborations contributing to poverty reduction needs															
				2.2.2.2	Favourable feedback from stakeholders on poverty reduction effects															
2.3	Have activities under the Translation Pillar created collaborative solutions to development challenges and strengthened innovation systems?	Translation pillar activities have created collaborative solutions to development challenges	2.3.1.1	Proportion of activities creating collaborative solutions to development challenges (with documented case studies)																
			2.3.1.2	Number of business and industry partners (SMEs/ non-SMEs) engaging in collaboration																
		2.3.2	Translation pillar activities have strengthened innovation systems	2.3.1.3	Proportion of business/industrial collaborators/SMEs introducing innovations															
2.3.2.1	Proportion of activities strengthening innovation systems (with documented case studies)																			
2.4	Were new international partnerships created as a result of the Newton Fund? What is the value of these partnerships and how sustainable are they?	Creation of new international partnerships	2.4.1.1	Number of new international partnerships																
			2.4.1.2	Size of new international partnerships (number of partners)																
			2.4.2.1	Value of new international partnerships (total)																
		2.4.2	Value of new international partnerships	2.4.2.2	Value of new international partnerships (contributed by partners and/or leveraged)															
				2.4.2.3	Rating of value of new international partnerships by partners															
2.4.3	Sustainability of new international partnerships	2.4.3.1	Sustainability of new international partnerships (funding, commitment)																	
2.5	Has the Newton Fund helped improve the capacity and skills of UK researchers and innovators? What further opportunities has the Fund opened up for the UK science and innovation base?	Capacity and skills of UK researchers and innovators improved by the fund	2.5.1.1	Proportion of projects involving early career UK researchers																
			2.5.1.2	Number of early stage UK researchers involved																
			2.5.1.3	Proportion of projects supporting higher degrees earned by UK researchers																
		2.5.2	UK science and innovation base opportunities opened up because of the fund	2.5.1.4	Number of UK researchers earning higher degrees															
				2.5.1.5	Number of new UK-partner country partnerships															
				2.5.2.1	Number of further opportunities opened up (with documented case studies)															
2.5.2.2	Start-ups and spin-outs arising from given interaction																			
2.5.2.3	Joint ventures / research institutes / research groups																			
2.6	How effectively is the Newton Fund being managed? How effective are the Newton Fund mechanisms in administering funds?	Meeting milestones	2.6.1.1	Proportion of milestones which have been met																
			2.6.2.1	Satisfactory monitoring procedures in place and routinely implemented																
		2.6.2	Effective performance of Newton staff	2.6.2.2	Outcomes of monitoring are satisfactory															
				2.6.3.1	Quarterly data-driven performance reviews with senior leaders and annual Strategic Reviews															
		2.6.4	Extent to which budgets are controlled	2.6.4.1	Projects which overspend budgets															
				2.6.4.2	Countries which overspend budgets															
2.7.1	Joined up approach amongst delivery partners resulting from the fund	2.7.1.1	Proportion of delivery partners reporting a more joined up approach																	



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