

## Happold Foundation Grants: Guidance Notes

### Engineering for Human Development

***The Happold Foundation is an organisation which promotes engineering's contribution and responsibility to global society and develops its future leaders.***

*Engineering is a key driver and tool for human development. The Happold Foundation aims to further human development by supporting the capacity of people and organisations to understand and undertake high quality engineering projects.*

#### **Grants to further knowledge and learning**

The Happold Foundation has limited resources, and is not able to make substantial improvements in human development by funding the implementation of projects directly.

However, it can provide targeted and strategically important funding to allow people and organisations to better understand and be more able to deliver the technical and engineering interventions which can effectively further human development. This can include gathering evidence, undertaking research, running pilot or demonstration projects, testing new ideas, spreading good practice or providing critical expertise. These activities have the potential to have an impact well beyond the direct outputs of the activities themselves.

To enable such activities to be undertaken, the Happold Foundation will provide grants for good ideas to **increase knowledge and learning** in order to further human development.

#### **Definitions**

**Human Development:** is defined by the United Nations Development Programme as the process of enlarging people's choices to enable them to lead a long and healthy life, to be educated, to enjoy a decent standard of living and to enjoy political freedom, other guaranteed human rights and various ingredients of self-respect.<sup>1</sup>

Many of the choices and freedoms inherent in human development require the capacity to understand and undertake engineering. The Happold Foundation wishes to use its resources to further this capacity.

**Engineering:** (from Latin ingenium, meaning "cleverness" and ingeniare, meaning "to contrive, devise") is the application of scientific, economic, social, and practical knowledge in order to invent, design, build, maintain, and improve structures, machines, devices, systems, materials and processes.<sup>2</sup>

**Development/relief:** in terms of human development, development is often used to indicate gradual improvement and long-term projects, while relief is most often used to denote support provided to survive and recover from disaster. Recognising that both of these are necessary to achieve human development, the Happold Foundation does not restrict its activities to either.

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<sup>1</sup> Human Development Report

<sup>2</sup> Wikipedia

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### Eligibility

Applicants may be any type of organisation from anywhere, but must demonstrate that their organisation and the proposed project aims to further human development. This may include community groups without legal registration, but adequate financial and organisational management must be demonstrated. Individuals may not apply for grants.

Note that the Happold Foundation is a small foundation with limited resources. Although organisations may be based anywhere, grants can only be paid where it is administratively and legally possible to transfer the money without incurring significant cost.

### How much money is available?

We will be awarding a small number of grants between £500 and £10,000, the exact number of grants will depend on the amounts requested and the quality of proposals, and we may offer a grant smaller than the one requested.

### What is expected from applicants?

Projects which start more than 12 months after the proposal is submitted will not be considered.

Projects should have a clear timetable and be completed in line with the dates stated in the proposal, and money must be spent as stated in the proposal. Any portion of the grant unspent at the committed date may have to be returned to the Happold Foundation. If a project is delayed or money will be left unspent it is strongly recommended that this is discussed with the Happold Foundation before the end of the project. Where justifiable an extension may be granted, at no cost to the Happold Foundation.

Recipients of grants must be able to provide evidence of expenditure in line with the proposal in the form of receipts or other records, and must provide copies of these as part of the final report.

If the final report is not submitted by the agreed date the Happold Foundation reserves the right to reclaim the grant. Applicants are not expected to produce excessive reporting, and may provide evidence of the stated outputs, or copies of outputs, rather than producing specific reporting for the Foundation. Applicants should propose appropriate reporting as part of the proposal.

Any publications or other outputs resulting from Happold Foundation support should acknowledge the support from the Happold Foundation in an appropriate manner, including the logo.

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#### How will proposals be judged?

The Happold Foundation is open to any proposals for financial support which meet the following criteria:

- 1. It should be clear how the project furthers knowledge and learning, and for whom.**
- 2. It should be clear who the client(s) is/are.** Where possible/appropriate, evidence should be provided that named clients are aware of and support the project.
- 3. Projects should provide clear potential to address the needs of the client(s) and/or others, whether directly or indirectly.**
- 4. Projects should show clear potential to achieve wider outcomes than just the direct outputs of the project.** Clear plans for dissemination of project outputs, replication or other means of achieving wider outcomes will strengthen proposals.
- 5. There should be clarity on how the outcomes of the project will be measured, assessed and reported upon.**
- 6. Projects should have a clear technical or engineering component.**
- 7. It should be clear how the Happold Foundation funding will add significant value to the project which could not otherwise be easily achieved.** Where the Happold Foundation funding is a portion of a larger budget it should be clearly explained what the grant funding will be spent on and why this cannot be funded otherwise.
- 8. Projects should not do harm.**

Projects which meet the above criteria and also demonstrate that they leverage additional resources or capacity using the Foundation contribution will be particularly well regarded.

If the judges have any concerns about the project, or if there is insufficient information to choose between proposals, you may be asked for additional information or clarifications.

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#### Additional project quality considerations

The Happold Foundation seeks to support high quality projects which will in turn increase the quality of wider relief and development programmes.

Applicants should bear the following principles and standards in mind when preparing proposals, and consider how the project might itself meet these standards, or how it might improve the ability of relief and development programmes to meet them. Any project involving direct implementation or direct interaction with communities and people in need will be expected to adequately address these issues.

- Human rights: The human rights of all people should be respected and protected in all programmes. This includes, amongst many others, people's rights to self-determination, privacy and confidentiality. Relief and development interventions carry with them a responsibility to protect people; it is important that programmes do not cause harm, whether directly or indirectly.
- Humanitarian programmes should be in accordance with humanitarian principles (including the humanitarian imperative, neutrality, impartiality and independence) and applicable standards (Humanitarian Accountability Framework, People in Aid Code, SPHERE standards etc).
- The vulnerabilities, capabilities, culturally ascribed roles and needs of different groups and of men, women, boys and girls are different, and relief and development programmes should appropriately address these. Infants, children, disabled people, the elderly, those with health problems, pregnant and nursing women and other groups will need specific consideration in programmes.
- Projects should make use of, support and enhance, rather than undermine or supplant, the choices or capacities of the people they seek to help. Programmes should maximise the meaningful participation, choice and agency of the people they seek to help.
- It is important that organisations and individuals undertaking programmes are accountable to those who they seek to help, but also to those who they do not help but may be affected by their work. Programmes should consider all the different stakeholders and ensure appropriate accountability. This should also include donors, staff and volunteers.
- Development programmes should be sustainable. The economic, social and environmental requirements of a programme must be such that the outcomes it seeks to achieve can be sustained without further external inputs, and the programme must not do unjustifiable harm to the economy, society or environment.
- Organisations implementing technical and engineering interventions should have the ability and knowledge to apply appropriate levels of rigour and expertise to those interventions, and should be honest and transparent about the technical standard that can be achieved.
- Individuals seeking to undertake relief and development work should be suitably qualified to do so. For any particular role, if a wealthy country would not allow an unqualified foreigner to come and take on that role it is very unlikely to be appropriate for an unqualified person from a wealthy country to take on that role in a poor country.

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#### How to fill in the proposal form

The form is not intended to be onerous to fill in. Someone with a good understanding of a well-planned project should be able to gather the required information and fill in the form in 2-4 hours. The size of boxes is indicative of the length of answer expected; do not significantly enlarge the boxes.

#### Cover sheet

The cover sheet provides a short overview of the project and the applicant organisation.

Where details of matching funding are requested (provided by the applicant or from other donors), time costs may be counted towards this, but need to be specified in the project budget.

If additional resources (cash, material or human) are needed to undertake the project, you should include these in this section and state if the resources have been secured or not.

The second half of the cover sheet is a list of additional supporting information:

- You must include your organisation's latest statement of financial activities or accounts. This is so we can understand the financial situation of your organisation and check that the organisation has the minimum financial management systems in place. You can provide these in any format appropriate to your type of organisation and regulatory requirements.
- You must provide a budget with an appropriate level of detail for the activities and project proposed. In order to minimise time spent preparing the application you can use any budget format which provides the necessary information. Note that where the grant will form a portion of a larger budget you must clearly indicate specifically what the Happold Foundation grant will be used for. The Happold Foundation will fund administration and organisational overheads. Where these are greater than 10% of the budget (or of the Happold Foundation grant amount requested) clear justification must be provided with the budget.
- You must provide evidence of the legal status of your organisation, unless your organisation is not legally registered. If not legally registered the Foundation is likely to request additional evidence that the organisation is well managed.
- If applying as part of consortium you must provide a letter signed by all consortium members confirming their involvement and that you have the authority to apply for money on their behalf.
- If this application is a small part of a wider project (e.g. if this application seeks matching funding for a larger project), you must provide the wider project plan.

#### Project narrative

The project narrative should complement the project details page (which follows) and provide a concise overview of the project. It may expand on the project detail questions where needed and should provide any additional important information not covered by the project detail questions.

The narrative is an opportunity to persuade the Foundation of the importance and quality of the project being proposed, and the competence of your organisation to deliver it. If relevant to the proposed project the additional project quality considerations on page 3 may be helpful.

You may prefer to complete the narrative last, after the detail questions and the project plan framework, to avoid duplication of information. The project narrative is placed before the detail questions to allow the judges to clearly understand the project as they read the form.

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#### *Project details*

The aim of this section is to check the project has been thought through. The questions on the project details page request specific pieces of information. Clear answers to these are important as they directly relate to the criteria on which the project will be judged. Answers should be very concise, and not exceed the space provided in the form.

Answers should be as specific as possible. For example, the first question asks who the client(s) for the project are. Answers such as 'the general public' will not be as strong as specifically identified individuals, organisations or groups.

#### *Project plan framework*

The project plan framework is intended to present the project objectives and activities in a logical manner, and clearly identify how the success of the project is to be measured. Completing it will demonstrate you have thought critically about what is needed to deliver the outcomes you seek. It includes the following elements:

- **Overall project goal:** this is the ultimate outcome that the project is seeking to achieve or contribute to. An example could be 'reduced vulnerability of men, women, boys and girls from inadequate sanitation in Orissa' or 'achieving stronger domestic buildings in post-disaster reconstruction projects'.
- **Specific objectives:** these are the specific things that the project seeks to achieve. Examples could be 'understanding the risks of open defecation to men, women, boys and girls in Orissa' or 'Identifying the different failure modes of timber-frame single-storey buildings in wind-storms'.
- **Outputs:** these are the things that your project will actually produce. They could be research papers, case studies, prototypes, products, training courses, buildings or other things.
- **Activities:** these are the activities you will undertake to deliver your outputs and objectives. It is not necessary to list these in excessive detail; the primary activities will suffice. For example, include items such as field trips, desk studies, construction or performing experiments.
- **Objectively verifiable indicators:** these are indicators which will directly or indirectly demonstrate the success or otherwise of your project in meeting the objective. They can include, for example, outcomes from experimentation; number of downloads of a publication; number of training courses run; number of times an approach has been duplicated etc etc. Ensure that the indicators are actually measurable, and think about how you will measure them. If you are intending to measure downloads of a publication, ensure that the website which will host them can provide this information.
- **Risks and assumptions:** include here any assumptions you have made about each objective and the outputs and activities needed to achieve it. It is here that you should highlight any risks you are aware of which could prevent successful achievement of the objectives.