

## Section A: Official Development Assistance (ODA) and GCRF strategy

### The strategy

1. Summarise the key aspects of your three year **strategy for development related and GCRF research activity**, including:
  - a. Your institution's strategy and priority objectives for all development related research activity funded through all sources for three years from 2018-19.
  - b. A summary of the key aspects of your three year strategic plan for QR GCRF, in light of the criteria and objectives for the GCRF outlined in the guidance.
  - c. How activity funded through QR GCRF fits into your broader strategy and priorities for all development related research activity.
  - d. How activity funded through QR GCRF relates to the UK strategy for the GCRF.<sup>1</sup>
  - e. How your development-related and GCRF strategies relate to your wider institutional strategy for using QR.
  - f. Likely key barriers and enablers to implementing your strategy.
  - g. The key activities by which you will realise your objectives, such as capacity and capability building; mono-disciplinary, interdisciplinary and collaborative research; generating impact from research; meeting the full economic cost of GCRF activity funded through other sources; rapid response to emergencies with an urgent research need; and pump priming.
  - h. The main developing countries, included in the Development Assistance Committee (DAC) list, which you intend to collaborate with.

Maximum 3,000 words

a. The concept of a research ecosystem lies at the heart of our strategy. By linking our researchers with our stakeholders in the wider community, and our student communities we can add value to research that brings real and lasting impact.

Our strategy will:

- Invest in Research Centres and Institutes that will generate distinctive and impactful research.
- Reinvigorate research governance infrastructure that will drive research developments
- Support our researchers through a range of development opportunities

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<sup>1</sup> UK Strategy for the Global Challenges Research Fund,  
<http://www.rcuk.ac.uk/funding/gcrf/challenges/>

- Assure the integrity and robustness of our research and
- Celebrate the achievements of our research communities.

Our academics are at the heart of our research practice. The University is an Athena Swan member and is committed to supporting the career development of our STEM researches and to supporting more females to study STEM subjects. We run many initiatives such as our STEmpunk activities, Women in Engineering days in schools and at the University, work with Young Engineers, and support for STEMNET ambassadors.

The University's priority objectives within research over the next three years include the key areas of:

1. Smart cities and communities
2. Education and social policy
3. Well being

b. The key aspects of our strategy in relation to the QR GCRF funding prioritises projects which align to the three key areas identified above and work with ODA countries to provide challenge-led disciplinary and interdisciplinary research with measurable impact to these countries and the UK.

The projects identified for support, (through a workshop held with key academics) include projects across our priority areas of education and social policy, smart cities and communities, and wellbeing. They align with the GCRF SDG's of Gender and Inequality, Peaceful and inclusive societies, Clean water and sanitation, Life below Water, Life on Land, Good health and well-being, Peace and Justice, Strong Institutions, Quality Education, No Poverty, Affordable & Clean Energy, Partnerships for the goals, Zero Hunger, Responsible Consumption and Production, Life Below Water, Sustainable cities and communities, Climate action, and Life on land.

We will support these projects through the use of this funding to pump prime projects to develop existing and establish new relationships within the ODA countries, and undertake preliminary research to shape research projects with the view to applying for GCRF Calls.

c. QR GCRF activity fits into our broader strategy and priorities to increase our research activity and raise the quality and impact of our research. The University of Derby is an applied research institution working closely with organisations to impact on the economy and country. We already undertake research with a few of the ODA countries and this funding will enable us to develop our activity to these countries.

d. Activities funded through the QR GCRF relates to the UK Strategy for the GCRF as they relate to the SDGs as identified in b above.

e. The University of Derby has invested QR funding to support the research environment to improve the quality of research at the University and the number of research active

academics. Primarily this has been achieved by founding Research Centres within which research leadership can facilitate research and researcher development around cohesive themes. Whilst GCRF applicants may not align directly to a Research Centre, where alignment does occur the GCRF investment will directly facilitate activity within the Research Centres. GCRF applicants who do not align to a Research Centre will be funded (providing they meet the quality thresholds and criteria) as this will support the wider research environment and activity at the University of Derby. Encouraging and ensuring an inclusive research environment

f. Key barriers to implementing our strategy include lack of relationships or existing links with the key countries. The projects we will be supporting for year 1 are the result of existing links with organisations in the relevant countries. We will be identifying projects for future years early in the process to maximise the chances of strong connections.

Key enablers include the support of the Deans of College and PVC for Research, existing connections to the ODA countries involved.

g. Year 1: We have identified a number of projects to support through the following activities:

1. We ran a workshop to inform academics of the Global Challenges Research Fund and the 17 SDG's
2. We supported academics through identifying/matching potential projects to the 17 pillars and existing calls or funders themes
3. We will assist with identifying and creating relationships/links to relevant countries if they do not currently exist (although priority in the first year will be given to projects with existing links)
4. We will review the projects 6 months after they start and if the funds haven't been spent and re allocate the funding
5. We will run a second workshop towards the end of the first year to identify projects for year 2

Year 2 and 3: We will review the projects from previous years and log subsequent research bidding activity, outputs and impact. We will run 2 workshops per year as in year 1 and review each project 6 months in.

Impact will be maximised through the involvement of all stakeholders from the beginning of the project.

By developing the resulting projects and strong partnerships aligned to the themes of the GCRF, from this pump priming funding we will be in a position to respond quickly to emergencies with an urgent research need as the calls appear.

We will provide the funding on an 80% fEC basis for the pump priming activities. We rest of the funding will be provided from internal funding to support research activity. The

academics will, towards the end of their projects apply for GCRF funding through funders such as Research Councils, Leverhulme, British Academy, and the Nuffield Foundation.

h. The main countries on the DAC list we will collaborate with include:

- Myanmar
- Malaysia
- Costa Rica
- Ukraine
- Georgia
- Albania
- Turkey
- Tajikistan
- Mexico
- Brazil
- Kenya
- Madagascar
- Mozambique
- Tanzania
- India
- Indonesia
- Myanmar
- Pakistan
- Thailand
- Ghana

2. Provide details of the main intended **outcomes and impacts** of your strategy.

Maximum 500 words

The main outcomes and impacts of our strategy include:

- \* Strong relationships with key organisations in the relevant ODA countries and their support for the project
- \* Clearly defined projects with key outcomes and impact for the countries involved
- \* Institutional support for the project
- \* QR funding allocated to match the GCRF funding
- \* Funding calls identified and applications made

### **Management of GCRF**

3. How will your HEI **monitor** and **evaluate** its progress and compliance in ODA and GCRF activity, including assessing geographical distribution of activity, outputs, outcomes and economic and social impacts?

Please describe the policies, procedures and approach you have in place to measure progress, evaluate outcomes, identify lessons learned, and ensure ODA compliance.

Maximum 1,500 words

The University of Derby will monitor and evaluate the progress of the GCRF activity and compliance to ODA through their post award compliance team.

### **Project Management**

An Advisory Group (6 monthly) will advise on the strategic focus of the project. This will include key project stakeholders e.g. Project Managers and senior staff from all delivery partners. The Advisory Group will also receive project evaluation reports.

A Project Management Group (monthly meeting during set-up phase, quarterly formal meeting thereafter) will oversee the management of the project. It will be attended by all key senior project staff from all partners plus the Accountable Body's GCRF Manager.

Key tasks will be agreeing project protocols and systems, monitoring spend and output achievement, risk management, ODA country engagement, sharing best practice and project evaluation. Other experts will be co-opted as required.

The University will create a Grants Board (half yearly meetings) which will independently assess the merits of each grant application against pre-determined criteria. The final decision whether to approve or reject applications will be made by this board.

The Grant approval processes will be clearly auditable, i.e. there will be a list of grant criteria, including thresholds (such as carbon savings) which must be met in relation to the Grant. Any proposal that falls out of the scope of the eligibility guidelines will be rejected. All evidence of the decision making process will be available for audit.

A shared project space has been established on the University of Derby's network. All project partners have access to this secure site. The site will be used to hold key documents, policies, processes and management information. This will facilitate project management.

### **Control Systems**

The University will appoint a Project Manager with administrative support responsible for the establishment of project protocols, organisation of GCRF training for project delivery staff, the compilation and submission of claims to the University, project forecasting, ensure overall co-ordination with delivery leads, internal project audit to ensure eligibility and compliance, output reporting and monitoring of ODA compliance. The project manager will report to the Head of Research & Knowledge Exchange and not into the project delivery teams. This provides a separation of duties.

Dedicated Finance Support will be provided from the University of Derby's Finance Department for compilation of claims for defrayed expenditure and financial monitoring and forecasting. Dedicated procurement support will ensure all procurement is compliant.

The Project Management Group will oversee operational delivery. This is augmented by monthly meetings and weekly telephone calls between the project managers to co-ordinate progress. Within each partner, delivery leads will hold weekly team meetings to monitor outputs, plan detailed tasks and manage risks and issues.

Each academic will be responsible for ensuring compliance with GCRF requirements for their own activity, outputs and expenditure.

As Accountable Body, it will be the role of the University of Derby's Project Manager to ensure that the academics comply with the terms of the funding.

Regular meetings of the Project Management Group will enable close monitoring and open discussion of progress against targets. Documental evidence will be required for all claims against expenditure on the projects.

## **Section B: Use of QR GCRF 2018-19 allocation and future QR GCRF priorities**

4. Please complete the table in Annex A2 detailing the expected spending and activities for QR GCRF in the academic year 2018-19. Note that the total QR GCRF spending must equal the indicative allocation (available in Annex C), and all activities must be ODA-compliant for strategies to be assessed as ODA-compliant overall.

5. Please add here any explanatory notes on how you have completed the table in Annex A2 that will help inform assessment of ODA compliance.

Maximum 200 words

The table in Annex 2 has been completed from the results of the workshop we held with academics to identify potential projects which would benefit from pump priming funding. We asked the academics to identify a project which aligned to one or more of the SDG's and one or more of the ODA countries. Priority would be given at this stage to projects where the academic already had connections to the relevant organisations in these countries. Funding would be available to travel to meet with project partners, hold workshops to explore the ideas further and establish the project ready for a funding application in the academic year 2018/19. Funding would also be available to undertake preliminary research required to establish the feasibility of a larger project. ODA compliance was established through checking the countries involved against the ODC DAC list and the proposed expenditure against the ERCF guidance.

6. How would your **priorities and activities** for 2018-19 QR GCRF change if the funding level differs from that outlined in indicative allocations? Please include detail of how priorities will change with increases and decreases to QR GCRF funding, and details of how each priority meets ODA criteria.

Maximum 500 words

If the funding level was to differ for 2018-19 we would adjust the projects we could support accordingly. If the funding decreased we would either reduce the number of projects we supported using the grading scheme applied to the applications received, or we would reduce the percent funding for each project e.g. reduce from 80% fEC to 70% or even lower. The match funding would come from existing funds within the University.

If the funding increased we would hold another workshop to include further academics and identify other projects we could support which met the requirements of the funding.

7. Based on indicative funding allocations, what are your **priorities** for QR GCRF activity in 2019-20? Please include detail of how priorities will change with increases and decreases to QR GCRF funding, and details of how each priority meets ODA criteria.

Maximum 1,000 words

The priority will be to capture and build upon success from 18/19. Priority investment will be given to 'follow on' funding to academics and projects which stand a good chance of being submitted within a GCRF application. The second priority will be to continue to raise awareness of GCRF and eligible projects – thus two training events will take place to raise awareness and understanding of GCRF with external trainers and academics contracted to deliver the training and key insights to ensure value is leveraged from these events. If the outcome of the application process conducted during 18/19 is successful we will repeat this investment.

If the funding level was to differ for 2019-20 we would adjust the projects we could support accordingly. If the funding decreased we would either reduce the number of projects we supported using the grading scheme applied to the applications received, or we would reduce the percent funding for each project e.g. reduce from 80% fEC to 70% or even lower. The match funding would come from existing funds within the University.

If the funding increased we would hold another workshop to include further academics and identify other projects we could support which met the requirements of the funding.

8. Based on indicative funding allocations, what are your **priorities** for QR GCRF activity in 2020-21? Please include detail of how priorities will change with increases and decreases to QR GCRF funding, and details of how each priority meets ODA criteria.

Maximum 1,000 words

The priorities for 20/21 will be as above. We will also prioritise visits to partners within eligible countries where some data collection/proof of concept may be of value to the intended application.

If the funding level was to differ for 2020-21 we would adjust the projects we could support accordingly. If the funding decreased we would either reduce the number of projects we supported using the grading scheme applied to the applications received, or we would reduce the percent funding for each project e.g. reduce from 80% fEC to 70% or even lower. The match funding would come from existing funds within the University.

If the funding increased we would hold another workshop to include further academics and identify other projects we could support which met the requirements of the funding.