

## 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:

#### 1. University of Wolverhampton (UoW) strategy and priority objectives for all development related research activity funded through all sources for three years 2018-2019

Our University Strategy has three pillars – 1) Students First, 2) Skills and Knowledge for Economic and Social Transformation and 3) Significant impact. Specifically, it focuses on transforming lives through research, making an impact internationally and fostering global knowledge exchange and collaboration <https://www.wlv.ac.uk/media/departments/office-of-the-vice-chancellor/documents/Strategic-Plan.pdf>. Within this strategy, our overarching aim for development-related research is to progress inclusive and sustainable economic, environmental and social development in developing countries, through the co-creation of demand-driven research.

We have focused our international development related activity through the Centre for International Development and Training (CIDT) See <https://www.wlv.ac.uk/business-services/centre-for-international-development-and-training/> or <http://cidt.org.uk/>. CIDT's Vision is "strengthening capacity for inclusive and sustainable development" (see figure 1), and it has an excellent reputation delivering capacity strengthening initiatives in over 140 developing countries.

Figure 1 - CIDT's Vision Mission and guiding principles

<p><b>Our Vision:</b> Strengthened capacity for inclusive and sustainable development.</p> <p><b>Our Mission:</b> To be the partner of choice to empower individuals, organisations and institutions to attain their full potential and reach their desired goals.</p> <ul style="list-style-type: none"> <li>• <b>Our Overarching Strategy:</b> To achieve our mission, we: <ul style="list-style-type: none"> <li>• Develop <b>competencies</b> of individuals to conduct specific tasks;</li> <li>• Improve <b>individual, organisational, and inter-organisational capabilities</b> to perform efficiently and effectively; and</li> <li>• Strengthen the capacity of <b>projects and programmes</b> to foster an enabling environment for inclusive and sustainable development.</li> </ul> </li> </ul> <p><b>Our Core Values:</b> Our values underpin all the work we do. They are: Partnership; Participation; Effectiveness; Integrity; Equity; and Sustainability.</p>	<p><b>Guiding Principles:</b> Our principles express how we embody our Core Values. We:</p> <ul style="list-style-type: none"> <li>• Work flexibly and in partnership to optimise performance and meet client and stakeholder needs.</li> <li>• Promote participatory approaches for stakeholder engagement.</li> <li>• Ensure a results-oriented approach and high quality standards of delivery.</li> <li>• Maintain transparency and accountability in our engagement with clients, partners, stakeholders and beneficiaries. <ul style="list-style-type: none"> <li>• Promote gender responsiveness and empowerment, and give a voice to marginalized and vulnerable groups.</li> <li>• Value diversity and recognise diverse perspectives and contributions. <ul style="list-style-type: none"> <li>• Enable our clients to implement interventions that have lasting effects on the society and economy, while protecting the environment for future generations.</li> </ul> </li> </ul> </li> </ul>
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CIDT's activities are driven by a commitment to sustainable development and the eradication of poverty. CIDT's practice-led, solution-focused research has generated cutting edge reports and evidence for Development Aid clients, business, developing country governments, Non-Governmental Organisations and civil societies.

The University has recognised CIDT's huge potential for delivering transformative impact in the developing countries it works in, and as part of its third Research Investment Fund (RIF3 2017-2020) invested £350,000 in enhancing the research capabilities in the Centre via a new staff appointment (a Reader), support to early career researchers (x6), strengthening existing collaborative links with the University of Dschang (Cameroon) and the National University of Lao, as well as building new institutional linkages in Rwanda and Ethiopia. Our institutional funding supplements the current £2.2 million national and international project funding, which falls under CIDT's four thematic project areas: 1) Education and lifelong learning, 2) Gender equality and social inclusion, 3) Climate, forests and agriculture and 4) managing for development results.

The strategic goal for 2018-21 is for CIDT to build strong and sustainable foundations, in collaboration with other research centres in UoW and our partners, as a leading research centre of excellence for International Development Capacity Strengthening focusing on Sustainable Development Goals (SDGs) 4, 5, 13, 15 and 17.

## **2. Summary of key aspects of 3 year strategic plan for QR GCRF**

Our 3 year strategic plan for QR GCRF seeks to expand CIDT's current priority areas to develop research excellence in inclusive green growth, in collaboration with existing and new partners in developing countries in the global south. This thematic focus directly addresses a) development challenges identified in the UK Strategy for the GCRF, b) contributes to the UN SDGs (our focus being mainly on 4, 5, 13, 15 and 17), and c) speaks to the key development challenges identified by the target countries.

The three key aspects of our strategic plan for QR GCRF can be summarised as capacity and capability building, facilitation of interdisciplinary and collaborative research activity, and pump priming through network and partnership building, which will, *inter alia*, feed into impact.

Activities in all three areas will promote the economic development and welfare of developing countries as the main objective and will be ODA compliant.

Activity will be focussed on problems and solutions, will be underpinned by research excellence, will have a high likelihood of positive impact in the developing countries and will promote strong, sustainable and equitable partnerships.

The strategy will be to co-produce knowledge with existing and future research partners that are recognised as research-excellent in developing countries. These partners will be critical in ensuring that the research is relevant across a range of contexts and that it is taken up by policy-makers, governments, the private sector, and especially by research communities themselves.

### **3. Fit of QR GCRF with broader strategy and priorities for development related research**

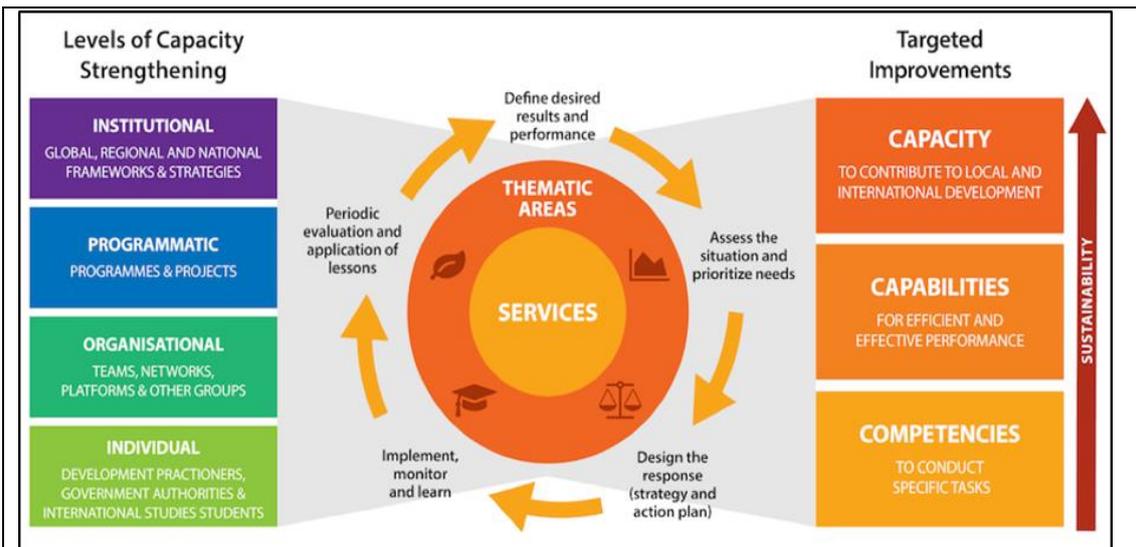
Embedded within our strategic plan and building on previous successes, our strategy for development related research focuses on inclusive and sustainable economic, environmental and social development in developing countries, through the co-creation of demand-driven research. CIDT has over 40 years of experience in international development research and consultancy, and is strategically spearheading our strategy to develop excellence in development related research. Key areas for the University are capacity building, interdisciplinary and collaborative research and to develop partnerships with identified partners from developing countries where we believe to have the most meaningful impact. An example is our 30 year relationship with Yunnan Agricultural University in China, where our joint agro-environmental research programme has produced 51 refereed publications, 58 conference presentations in 21 countries, 10 completed PhDs and grants from the British Council, the European Union and the Yunnan Provincial Science and Technology Commission (<https://www.wlv.ac.uk/about-us/news-and-events/latest-news/2017/april-2017/university-cultivates-30-year-partnership-in-china.php>). In recognition of the impact of this collaboration, the lead researcher Prof Fullen was awarded the Caiyun Award of the Yunnan province. The QR GCRF funding will enable us to further extend the reach and impact of such existing collaborations as well as building new partnership following lessons learned from such prior successes.

The elements of our wider development research goals that are specifically funded through the QR GCRF are:

1. building new inter-disciplinary networks and partnerships with research centres in ODA countries that can be sustained independent of individual grants related to short-term projects and contribute to research excellence at UoW and in the partner countries
2. growing people-based capacity and capability to undertake influential ODA-compliant research across all career stages in UoW and our partners in developing countries.

The capacity building element of the funded work will be strongly underpinned by CIDT's strategic capacity strengthening model (Figure 2), which illustrates the four different levels at which capacity will be developed.

Figure 2: CIDT's Capacity Strengthening Conceptual Model



#### 4. How activity funded through QR GCRF relates to the UK strategy of the GCRF

The QR GCRF funded activities will support the UK strategy for the GCRF by enabling the University to continue to contribute meaningfully to the success of targeted SDGs, specifically Goal 4: Ensure inclusive and quality education for all and promote lifelong learning; Goal 5: Achieve gender equality and empower all women and girls; Goal 13: Take urgent action to combat climate change and its impacts; Goal 15: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss; Goal 17: Revitalize the global partnership for sustainable development. CIDT is very familiar with the challenges that their partners face in developing countries, and this will enable research to be based on a challenge-led approach. As part of this strategy, the University will work only with countries identified on the DAC list where it believes it can add greatest value and has the greatest potential for impact. All research will promote the economic development and welfare of a developing country as its primary objective.

The three main ways in which the activity funded through QR GCRF relates directly to the UK Strategy for the GCRF: building enduring and equitable partnerships to tackle the challenges faced by developing countries, especially in least developed and low income countries; strengthening UK and global development research capacity and capability, especially in interdisciplinary research; and ensuring that the potential of excellent research to influence policies and programmes that seek to improve social welfare, economic development and environmental sustainability in developing countries is maximised.

#### 5. How development related and GCRF strategies relate to wider institutional strategy for using QR

QR funding underpins the delivery of our research strategy through sustained investments in our research infrastructure, research careers and research capacity, and

maximising its impact on society and economy. Our strategy combines selectivity in targeting and supporting research excellence with a commitment to ensuring the existence of a sustainable research culture. Our development related and GCRF strategies and wider institutional strategy dovetail together in that they support each other synergistically through all being related to the development of a wider and stronger research community in the University. Development related research was supported and submitted in REF2014 in the main under UoAs 16 (Architecture, Built Environment & Planning) and UoA19 (Business & Management). For REF2021, our strategy is to more strongly embed development-related research through outputs and impact case studies in the existing and new UoAs. We will do this by requiring all UoAs to identify activity associated with the aims of the GCRF in order to be eligible for their annual QR allocation.

## **6. Barriers and enablers to strategy implementation**

### Barriers

- CIDT has a long history of working in fragile and conflict-affected countries and fully recognises the challenges and risks of such work, e.g. Staff security, Safety of Travel and Duty of Care issues. Mitigating measures for these challenges are in place with such training as Hostile Environment Awareness Training (HEAT) (see for example <http://cidt.org.uk/danger-catastrophic-bleeding-response-alert-breathingwhat-comes-next/>) and clear policy guidance on travel safety and travel insurance, duty of care etc.
- Some of the communities involved in research may be difficult to engage due to political, economic or social challenges. Strong and robust Ethical Research policies and processes across the University ensure that ethical issues are always carefully considered prior to any research being undertaken.
- It may be challenging for scholars and partners from certain countries to travel due to the barriers imposed by governments and visa controls.

### Enablers

- CIDT has an excellent reputation working with developing countries and has developed partnerships with 140+ countries, which we will use to access communities. Examples include our current partnerships with the University of Dschang, Cameroon, with the Nepal Institute for Social and Environmental Research in Kathmandu, and Yunnan Agricultural University China.
- CIDT has experience of working in collaboration with governments to facilitate partnership working. Examples include our work with the government of Rwanda as it sought to establish and implement a national climate fund <http://www.fonerwa.org/contributing> and <http://cidt.org.uk/portfolio/fonerwa/> and a long standing relationship with the Government of Nepal working on livelihoods and forestry. <http://cidt.org.uk/portfolio/nepals-livelihoods-and-forestry-programme-dfid/>
- The University is fully committed to furthering development-related research and is supporting this via our existing internal research investment fund for work on international development challenges.

## **7. Key activities to realise objectives**

The key activities for the 3 year GCRF QR funding will be:

1. Facilitation of challenge-led interdisciplinary and collaborative research activity on an equitable partnership basis that will promote the economic development and welfare of developing countries
2. Capacity and capability building through supporting PhD-related research costs for scholars from key developing countries
3. Pump priming – to facilitate networking and partnership building across UoW to develop ODA compliant activities.
4. Generating impact from research – through knowledge transfer activities (e.g. joint academic-practitioner workshops) that are run as part of the pump-primed networking and partnership activities

## **8. The main DAC list developing countries we intend to collaborate with**

Our University capacity and capability building, and interdisciplinary and collaborative research will build upon CIDTs' work in a selected number of countries where clear research needs are identified.

CIDT's clearly stated mission is to work with the least developed countries in the world. While North- South links are important, we will also facilitate South- South links and indeed South- North learning, in order to strengthen existing and develop new enduring and equitable partnerships.

The main focus will be on African countries to extend our existing work related to resource management, forest governance, low carbon and climate resilient growth. The African countries targeted include 4 least developed countries (Chad, Democratic Republic of Congo, Ethiopia and Rwanda), 1 middle income country (Cameroon) and 1 upper middle income country (Gabon). In Asia, we will focus on 1 least developed country (Nepal) and 1 upper middle income country (People's Republic of China), because of their identified pressing needs related to inclusive green growth.

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

All outcomes and impact will directly and primarily benefit specific countries on the DAC list and global efforts to achieve sustainable development and poverty reduction in developing countries more broadly.

### Primary Outputs and Outcomes

- Two challenge-led research papers co-written with the intention to deliver transformative change in least developed countries via working with and informing policy makers and governments
- Four peer-reviewed conference papers lead-authored and presented by doctoral students from partner institutions that address inclusive green growth challenges
- Four new/strengthened sustainable partnerships developed

### Primary Impacts

- Key skills and knowledge gained will be disseminated within the developing country, leading to more people benefiting from the knowledge and enabling the facilitation of change from within the country itself.
- Transformative change is implemented in key areas
- Developing Countries have access to UK organisations, resources and partnerships that can support aspirations and development
- enhanced people-based capacity in the developing countries as doctoral students are engaged in co-producing excellent research

### **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.

The QR GCRF contributes significantly to the delivery of the University Strategic Plan and its associated research strategy. A key pillar of the strategic plan is concerned with being a strategic influencer, and the activities related to GCRF will be part of the bi-annual performance management of the strategic plan by the Corporate Management Team (CMT). Subsequent annual monitoring of performance against key performance indicators is reported to Academic Board and the Board of Governor, and specific reference will be made therein to GCRF.

We have well-established processes for monitoring and evaluating research. Each research centre and institute produces an annual research report which captures outputs, research environment measures and narrative, and research impact. These reports are reviewed annually at Faculty Research Committees and feed into the University Annual Research Report which is reviewed and approved by the University Research Committee and Academic Board. The reports not only evaluate outcomes but also highlight areas of good practice and action plans for improvement. Release of QR funding is dependent on progress with research plans and the faculties' Gender Equality Action Plans (GEAPs). CIDT will be incorporated into this annual monitoring and review process, with an additional section documenting compliance in ODA and GCRF activity, including an assessment of the geographical distribution of activity, outputs, outcomes and economic and social impacts. Other research centres and institutes will also review their GCRF-related activities via a dedicated section within their annual reports to the University Research Committee, where ODA compliance will be checked. We are currently in the process of finalising the procurement of a Current Research Information System (CRIS), which will assist us in periodic monitoring of the outputs and impact associated with the QR GCRF.

CIDT has a strong track record in Managing for Development Results (MfDR) across a wide variety of sectors. Staff are well versed in monitoring, review and evaluation tools/ techniques, see <http://cidt.org.uk/thematic-areas/managing-for-development-results-mfdr/>. Our Theory of Change will be used to develop a logical framework as a tool for monitoring progress. Each activity will be assessed by the Head of CIDT, prior to the activity beginning, to ensure it is ODA compliant, fits with the activities outlined in this strategy and is in line with GCRF principles. This will include any pump priming for developing networks and partnerships across the wider University and beyond.

A unique finance code will be assigned to the GCRF QR funding, meaning that all expenditure relating to the activities outlined in this strategy will be clearly identifiable. A finance officer will report to the Dean of Research to ensure funding is spent as agreed.

## **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.

1. Support for PhD studentships is based on supporting one student per priority country. The estimates are based on an equal sum per individual but we recognise that costs may need to be adjusted following evaluation of proposals for research support funding for the doctoral students.

2. The networking activities will be combined with knowledge transfer activities thus serving to a) pump-prime to ensure sustainability and b) generate pathways for impact

3. The remaining 50% of the salary costs of the Reader are funded from our internal research investment fund (RIF3). Whilst all of the Reader's work is envisaged to be with developing countries and ODA compliant, the 50% QR GCRF element will focus specifically on producing impactful research for the benefit of the listed countries.

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.

If the funding allocation increased in 2018-19, the University would increase the activity under the following areas in the following order of importance:

1. Undertake more interdisciplinary research, and generate economic and social impacts from it. This would be achieved by involving more UoW staff, for example from our newly established Institute for Community Research and Development (ICRD) or with our artists working on sustainable fashion <https://www.wlv.ac.uk/about-us/news-and-events/latest-news/2018/january-2018/project-aims-to-build-a-sensibility-for-sustainability-in-fashion.php>.
2. Increase pump-priming activities, which would develop a greater range of sustainable partnerships, informing more substantive research into and impact on the welfare and economic needs of developing countries
3. Support more doctoral students from a broader range of developing countries, resulting in an increase in the skills and knowledge beyond that what can be offered with the current level of funding.

If funding was reduced, activities in each area would reduce in line with the allocation. Not only are all areas critical to the University's strategy for development research, they are mutually reinforcing. Therefore all would still take place albeit at a reduced level, e.g. fewer PhD students supported and/or fewer workshops.

The University will ensure that activity under each theme i.e. capacity and capability building; interdisciplinary and collaborative research and pump-priming & impact will meet ODA criteria. These will only be undertaken with countries on the DAC list and will demonstrably be for the primary benefit of those countries. This will be closely monitored by the Director of CIDT and the Dean of Research.

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.

It is anticipated that priority and activity areas will remain broadly the same as in 2018/19, but every year priorities will be reassessed to ensure they meet University and GCRF QR requirements.

The annual research report by CIDT will be used to finalise the activities for the year, based on evaluation and lessons learnt. Focus will be given to those areas where the most impact has been achieved, therefore, while the priorities and key areas are envisaged to remain the same, the percentage allocations to each may change based on outcomes of the previous year.

As with 2018/19, if the funding increases, we will be able to do more within the interdisciplinary research priority (e.g. bringing on board new subject specialists both from UoW and our partners) and place a greater focus on generating a wider range of impacts from research. We would be able to work with a more diverse representation from the DAC list, making more of an impact.

If the funding decreased, it is likely that the pump priming activity would be reduced leading to fewer sustainable partnerships, and therefore less research into the welfare and economic needs of developing countries.

The University will ensure that activity under each theme i.e. capacity and capability building; interdisciplinary and collaborative research and pump-priming & impact will meet ODA criteria. These will only be undertaken with countries on the DAC list and will demonstrably be for the primary benefit of those countries. This will be closely monitored by the Director of CIDT and the Dean of Research.

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As with 2019/20, if the funding increases, we will be able to do more within the interdisciplinary research priority and make a step-change in generating impact from research as a further priority. We would be able to work with a more diverse representation from the DAC list, making more of an impact. It may also enable us to meet the full economic costs of research funded by other sources as research grants are likely to come on stream during the preceding years.

The University will ensure that activity under each theme i.e. capacity and capability building; interdisciplinary and collaborative research and pump-priming & impact will meet ODA criteria. They will be undertaken with countries on the DAC list and will demonstrably be for the primary benefit of those countries. This will be closely monitored by the Director of CIDT and the Dean of Research.