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. 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.¹
   
   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 Development Assistance Committee (DAC) list developing countries you intend to collaborate with.

A1. What is the institution’s strategy for all development related research activity funded through all sources for three years from 2018-19?

At the University of Portsmouth, we take a global perspective in all we do.

Our University Strategy 2015-2020[1] commits us to creating global partnerships, establishing internationally recognised cross-discipline thematic areas to address world issues, and contributing collaboratively to capacity and capability in emerging economies.

Our Research and Innovation Strategy 2015-2020[2] and our Global Engagement Strategy 2017-2020[3] further develop our ambition to be a truly global university, confirming our commitment to facilitating “international research collaborations that address key issues facing society and reflect global concerns”.

Research activity related to development is therefore embedded across all areas of the institution, as shown by our strong track record. Since January 2015 we have submitted almost 100 applications to funders for work with countries on the OECD DAC List, totalling almost £27m in value. Of these, almost 20% have been successful, with projects delivered in India, Bangladesh, the Democratic Republic of the Congo, Myanmar, Nepal, Belarus, Ukraine, Dominica, Vietnam, China, South Africa, Kenya, Mauritania, Sudan and South Sudan.

Our Development Studies research group (DSG) have taken a lead, bringing together academics across a range of disciplines to address issues including inequality, poverty,

¹ UK Strategy for the Global Challenges Research Fund, http://www.rcuk.ac.uk/funding/gcrf/challenges/
sustainable growth and disaster management. Notable highlights of our current research profile include:

- **Work led by Professor Tamsin Bradley**, an applied social anthropologist working in international development, on the interfaces between gender, religion and development in India, Pakistan, Nepal, Myanmar, Tanzania, Nigeria, Rwanda, Sudan, South Sudan and Sierra Leone. Her current research focuses on gender-based violence, with specific projects exploring female genital mutilation (FGM) in Africa, and violence against women and girls across Africa and South Asia. 

- **Ongoing collaboration with the University of Brawijaya in Malang, Indonesia**, to run the Portsmouth-Brawijaya Centre for Global Health, Population, and Policy, coordinated at Portsmouth by Prof. Saseendran Pallikadavath. Research here explores post-transitional fertility in developing countries, family planning related to poverty, and the impact of low fertility on women’s wellbeing. Recent work has focused on the impact of international female migration on the wellbeing and socioeconomic status of remaining family in Indonesia, and the impacts of Demand Side Financing instruments on the continuum of care for maternal and child health in India and Bangladesh.

- **We have been working over a number of years in the field of economics and fisheries** – a sector that includes some of the “poorest of the poor”. Economist Dr Pierre Failler has coordinated more than 20 research projects in Africa, the Caribbean and Asia, including a recent EU-INCO project with 23 global partners, evaluating the societal costs of fishing practices and fisheries policies.

In 2015, we began establishing our five interdisciplinary Themes – Democratic Citizenship; Future and Emerging Technologies; Health and Wellbeing; Security and Risk; and Sustainability and the Environment. These five Theme areas map to the GCRF ambition “to identify practicable pathways to healthier and safer lives, sustainable development and prosperity for all, equal and effective education, social justice and human rights, and stable institutions”. We have recruited senior academic Theme Directors, and created a new support infrastructure to help them coordinate existing and emergent interdisciplinary work across the university.

Building on the work of the Development Studies research group (DSG), the Themes now form the strategic base for building and supporting our development-related research activity. As set out in our Research and Innovation Strategy 2015-2020[4], the Themes aim to help the institution “broaden our areas of excellence by being bold, agile, flexible and responsive to external needs, while remaining ethical, professional and socially responsible”. The Themes allow the university to coordinate in addressing major issues, and represent our commitment to acting as “a global citizen”, expounding the importance of working together to find innovative approaches to global issues.

At present, we have activity that is at a mature stage (routinely capturing external income), a developing stage (substantive work, supported more through internal funds), and an emerging stage (work that is at the earliest stages of development, or shows good potential for applying in a development context).

Our strategy recognises these stages and seeks to support each appropriately to facilitate movement up the “ladder” from emergent to developing to mature until they reach the final stage of being self-sufficient. This allows us to combine capacity building with increasing reach and impact, enhancing and extending the work of staff already engaged in development-related research while drawing in others who have previously not considered the applicability of their work to development issues. It also provides a clear progression pathway for development-related research activity, building projects from their initial inception through growth until they are sufficiently developed to no longer require support.
A2. What are the institution’s priority objectives for all development related research activity funded through all sources for three years from 2018-19?

Portsmouth’s priority objectives for development-related research activity are:

- Significantly enhance existing strengths in development-related research, and identify other areas of research excellence that have the potential to contribute to GCRF priorities and UN Sustainable Development Goals
- Create new, and enhance existing, collaborative relationships with researchers and related organisations in the Global South
- Extend the University’s reach into the low income and least developed countries on the DAC list, building on our existing capacity and experience of collaboration with lower and upper middle income DAC list countries
- Enhance our activity in the UK development community, working with other HE organisations, NGOs, the third and philanthropic sectors, as well as with private sector companies involved in delivering UK Aid programmes
- Build capacity amongst academic staff in terms of the skills and expertise necessary to instigate, resource and deliver development-related research that makes a difference
- Contribute collaboratively to the development of educational and research capacity and capability in emerging economies
- Develop the synergies between development-related research, applied research, knowledge exchange and innovation with a view to achieving real impact in developing countries.

B. Summary of the key aspects of the institution’s three year strategic plan for QR GCRF in light of the criteria and objectives for the GCRF outlined in the guidance.

The key strategic priorities for the University’s QR GCRF will be:

- Strengthen capacity and capability of university staff and of partners in developing countries to undertake research that will lead to social and economic benefits in DAC list countries
- Extend the University’s reach in the low income and least developed DAC List countries, building on our existing capacity and experience of collaboration with lower and upper middle income DAC list countries
- Strengthen existing partnerships and create new collaborative relationships in DAC List countries
- Promote, support, develop and undertake challenge-led research activity centred around the GCRF challenges and the needs of DAC List countries, particularly among those researchers who may not have engaged in development-related research activity before
- Build capacity and capability among staff and structures to facilitate agility in responding to urgent research need situations in DAC List countries.

We intend to direct the use of QR GCRF funding through our Themes, ring-fencing this funding stream as a separate mechanism by which to support ODA compliant research, GCRF-specific capacity building, network and collaborative partnership development, and pump priming of relevant early stage activity.

Recognising the different stages of development-related research activity within the institution, our strategy for the QR GCRF allocation over the three-year period focuses initially on building capacity for the emerging areas, supporting growth of the developing areas, and promoting sustainability in the mature areas. This approach ensures targeted support that will maximise the impact of activities at each level of maturity, whilst providing a clear pathway for progression and therefore sustainability of activity.
<table>
<thead>
<tr>
<th>Stage of Maturity</th>
<th>Support Focus</th>
<th>Institution’s Current Areas of Development Research (examples)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-sustaining</td>
<td>Short term funding for rapid response in urgent need situations in DAC List countries</td>
<td>(none at present, working towards this goal by 2021)</td>
</tr>
<tr>
<td>Mature</td>
<td>Expansion of depth and breadth; Impact generation to translate research into economic and social impact in DAC List countries</td>
<td>Gender, religion and development in Africa and Asia; health and population studies in Indonesia; economics and healthcare in India and Bangladesh; female migration in Indonesia; fisheries policies and practices in the Caribbean, Asia and Africa</td>
</tr>
<tr>
<td>Developing</td>
<td>Capacity and capability building to strengthen and growth activity and expertise; Research activity facilitation; Impact generation</td>
<td>Peace, security and development in West Africa; microfinance, poverty and entrepreneurship in Pakistan and Zimbabwe; sustainable business collaborations in Ghana, Mozambique, Brazil and Namibia</td>
</tr>
<tr>
<td>Emerging</td>
<td>Pump-priming to help develop emerging research areas, e.g. through networking and partnership development funds, or small scoping or preparatory projects</td>
<td>Low-tech responses to antibiotic resistance in Vietnam; sustainable architecture, cities, and urban design in Brazil; clean water sustainability in Myanmar, Uganda, India and north Africa; wildlife crime and the ivory trade in Namibia, Botswana, Kenya and South Africa</td>
</tr>
<tr>
<td>Potential</td>
<td>Research activity facilitation, through small funding grants to support projects that promote economic development and welfare of developing countries and have potential to grow into collaborations or to have significant impact in developing countries.</td>
<td>Disaster response and emergency communications; circular economy solutions in horticulture; using technology to engage children in heritage / education in Syria, Lebanon and Egypt</td>
</tr>
</tbody>
</table>

In bringing these areas of development-related research activity together under the umbrella of our Themes, we intend not only to provide support to individual projects and activities but also to help create a strong development research community with a shared research culture. Centring GCRF and development-related activity around our Themes will bring academic colleagues together to share expertise and areas of interest, and will help identify opportunities for new interdisciplinary solutions to intractable economic and social challenges facing developing nations.

C. How will activity funded through QR GCRF fit into the institution’s broader strategy and priorities for all development related research?

The University’s strategy for QR GCRF is embedded within the institution’s development-related research strategy, which sits within our strategy for our Themes, overseen by our Research and Innovation Strategy 2015-2020 and ultimately our University Strategy 2015-2020.

Our QR GCRF strategic priorities therefore sit within our priorities for broader development-related research and align fully to ensure a cohesive approach to all development-related activity including GCRF.
The QR GCRF sits as a ring-fenced funding stream to target and support specific areas of activity and projects that meet the GCRF and ODA criteria. This ring-fencing allows activities and funding streams established for wider development-related research activity to also benefit GCRF specific projects and staff, while retaining the specific QR GCRF funding stream for more targeted activity. For example, academic staff participating in development-related training and workshops provided under the Themes may apply that learning to GCRF related projects, while QR GCRF funding is used to specifically provide training that increases engagement among academics with the particular development challenges in target DAC countries and builds the capacity of key individuals to deliver ODA-eligible research.

D. How does activity funded through QR GCRF relate to the UK strategy for the GCRF?

The UK strategy for GCRF seeks to promote challenge-led research, including to those researchers who may not have identified their own work as having potential for development-related impact, to strengthen capacity for research and innovation in the UK and in developing countries, and to provide an agile response to urgent need situations.

Our strategic goals for the University’s QR GCRF, as outlined above at section B, are fully aligned with these UK GCRF strategic aims.

Our focus initially will be on building capacity and capability among our researchers in order to grow existing development-related research activity with a focus on GCRF challenges and ODA-compliant activity.

Activity under the QR GCRF funding stream will be undertaken within our Themes, which align to the GCRF priority areas and vision, as outlined below. This alignment will facilitate a focus in our QR GCRF activity on the areas highlighted by the UK GCRF Strategy as a priority, but will also allow some flexibility beyond this framework for addressing other areas that fit within the broader ambition of the GCRF, for example in urgent research need situations.

<table>
<thead>
<tr>
<th>UK GCRF Priority Areas</th>
<th>UK GCRF Vision</th>
<th>University of Portsmouth Theme/s</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equitable access to sustainable</td>
<td>Secure and resilient food systems supported by sustainable marine resources</td>
<td>Security and Risk; Sustainability and the Environment</td>
</tr>
<tr>
<td>development</td>
<td>and agriculture</td>
<td></td>
</tr>
<tr>
<td>Sustainable health and well being</td>
<td>Health and Wellbeing; Sustainability and the Environment</td>
<td></td>
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<tr>
<td>Inclusive and equitable quality</td>
<td>Democratic Citizenship</td>
<td></td>
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<tr>
<td>education</td>
<td></td>
<td></td>
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<tr>
<td>Clean air, water and sanitation</td>
<td>Health and Wellbeing; Sustainability and the Environment</td>
<td></td>
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<tr>
<td>Affordable, reliable, sustainable</td>
<td>Future and Emerging Technologies; Sustainability and the Environment</td>
<td></td>
</tr>
<tr>
<td>energy</td>
<td></td>
<td></td>
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<tr>
<td>Sustainable livelihoods supported by</td>
<td>Democratic Citizenship; Sustainability and the Environment; Future and</td>
<td></td>
</tr>
<tr>
<td>strong foundations for inclusive</td>
<td>Economic growth and innovation</td>
<td></td>
</tr>
<tr>
<td>economic growth and innovation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sustainable economies and societies</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Resilience and action on short-term environmental shocks and long-term environmental change | Sustainability and the Environment; Security and Risk; Future and Emerging Technologies
---|---
Sustainable cities and communities | Democratic Citizenship; Sustainability and the Environment; Future and Emerging Technologies
Sustainable production and consumption of materials and other resources | Future and Emerging Technologies; Sustainability and the Environment
Human rights, good governance and social justice | Democratic Citizenship; Sustainability and the Environment; Security and Risk
Understand and respond effectively to forced displacement and multiple refugee crises | Democratic Citizenship; Sustainability and the Environment; Security and Risk
Reduce conflict and promote peace, justice and humanitarian action | Democratic Citizenship; Security and Risk
Reduce poverty and inequality, including gender inequalities | Democratic Citizenship; Sustainability and the Environment; Security and Risk; Health and Wellbeing

E. How will the institution’s development-related and GCRF strategies relate to its wider institutional strategy for using QR?

The University’s strategic priorities for using QR funding are:
- To attract and leverage funding from a range of sources
- To meet the full economic costs of research
- To strategically promote and support interdisciplinary research
- To strategically promote and support external research collaboration initiatives
- To support training and development of postgraduates and early career researchers
- To maintain key research infrastructure
- To develop strong research management functions.

QR funding is then devolved to our five Faculties, with decision making at a local level on specific priorities and activities.

Our strategies for development-related research activity and for GCRF complement our strategic approach to QR, managed and operationalised through our Themes. This approach allows Faculties to target QR funding appropriately to their disciplines and needs within a broad strategic framework, while development-related activity and GCRF are coordinated across the institution with a single, consolidated approach and dedicated support.

Mainstream QR funding may be available within the Faculties for some smaller development-related work, particularly projects at a very early stage and those that sit within one disciplinary area, with these projects moving across to sit under the Themes once they have grown and developed sufficiently, have become interdisciplinary, or require more specialist development-related assistance.
F. What are the likely key barriers and enablers to implementing the institution’s strategy?

The key barriers to the implementation of our strategy are:

- Political and organisational complexities that act against the development of partnerships with organisations in the Global South.
- Disciplinary inertia: building interdisciplinary capacity requires time and commitment to develop the common language and complementary approaches required for successful delivery.
- Capturing external income in an increasingly competitive funding landscape.
- Failure to identify potential or existing activity with potential for significant impact in appropriate DAC List countries.
- Failures of governance, monitoring or evaluation that mean projects are not ODA compliant or do not meet requirements.

Specific enablers to help mitigate these barriers include:

- The University Strategy and its underpinning strategies, including the development-related research strategy and QR GCRF strategy.
- The five interdisciplinary Themes – their funding stream, dedicated support, academic leads (Theme Directors), and focus point for the promotion of development-related activity.
- Existing academic engagement in development-related research and GCRF activity.
- Support for research and innovation activity from academic and professional staff, including our Research and Innovation Services department, our Themes management group, and our Faculty-based Associate Deans.
- International and UK Networks in which we are already active.
- Existing partners, collaborations and relationships.
- Strong governance, monitoring and evaluation policies and procedures, and a track record of project delivery on a large and small scale in a wide range of countries including those on the DAC List.

G. What are the key activities by which the institution will realise its objectives?

Key activities are:

- Capacity and capability building
  - Hold a series of engagement events to broaden awareness of GCRF, particularly among those who may not have previously considered the applicability of their research to GCRF challenges.
  - Hold internal workshops to build our development-related expertise and experience, and to explore areas with potential.
  - Establishing a mentoring scheme specific to those working in GCRF areas, to share expertise and build internal networks.
  - Run a series of collaborative workshops with external partners and stakeholders to identify opportunities and to help develop new and existing networks and partnerships.
  - Instigate a coordinated programme of visiting academics, to help build capacity in DAC List countries researchers and to develop and strengthen partnerships.
  - Facilitate strategic visits between teams from the University and partners in OECD DAC List countries.

- Research
  - Identify new and existing ODA compliant projects and research activities where funding would support sustainable development up the progression matrix (see above, section B), and fund where appropriate.
  - Support PhD bursaries in GCRF relevant topics, where possible for students from DAC List countries.
● Generating impact
  ○ Target support for developing and maturing projects to identify how research can be translated to deliver social and economic benefits for developing countries, including impact training and workshops.
● Meeting the full economic cost of GCRF activity funded through other sources
  ○ Identify new or existing ODA and GCRF compliant activities where additional funding to meet full economic cost would help ensure their sustainability, and fund where appropriate.
● Pump priming
  ○ Operate an internal interdisciplinary scoping and/or pump-priming funding scheme for early stage, potential or emerging projects.

H. What are the main Development Assistance Committee (DAC) list developing countries the institution intends to collaborate with?

The University is already working in a number of countries from all parts of the DAC List, with the strongest collaborative links with the lower and upper middle income countries (e.g. China, India, Brazil). We have therefore set ourselves a strategic goal of increasing our reach among low income and least developed countries from the List, and intend to reflect this aim in prioritising funding allocations.

This will be supplemented by consideration of where the University already has initial or potential links, and ongoing projects and collaborations which could be developed further, as well as the applicability of our areas of expertise and the benefits our engagement could bring to our partner countries.

Our initial list of intended target DAC List countries is therefore as follows:

<table>
<thead>
<tr>
<th>Least Developed</th>
<th>Low Income</th>
<th>Lower Middle Income</th>
<th>Upper Middle Income</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bangladesh</td>
<td>Zimbabwe</td>
<td>Egypt</td>
<td>Argentina</td>
</tr>
<tr>
<td>Democratic Republic of the Congo</td>
<td></td>
<td>Ghana</td>
<td>Brazil</td>
</tr>
<tr>
<td>Myanmar</td>
<td></td>
<td>India</td>
<td>China</td>
</tr>
<tr>
<td>Nepal</td>
<td></td>
<td>Indonesia</td>
<td>South Africa</td>
</tr>
<tr>
<td>Senegal</td>
<td></td>
<td>Kenya</td>
<td></td>
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<tr>
<td>South Sudan</td>
<td></td>
<td>Nigeria</td>
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<tr>
<td>Sudan</td>
<td></td>
<td>Pakistan</td>
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<tr>
<td>Uganda</td>
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<td>Ukraine</td>
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<td></td>
<td></td>
<td>Vietnam</td>
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</tbody>
</table>

Further countries may be added over the period, to reflect developing partnerships, new opportunities, and urgent arising needs.

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

By 2020/21, the University of Portsmouth will have consolidated our development research base into skilled, multi-disciplinary clusters working in collaboration with partners, including those in developing countries, to find practical solutions and generate genuine impact in DAC List countries.

Our five interdisciplinary Themes will have matured as the vehicle through which development-related activity takes place, and will provide a single, coordinated focus for activity across the institution. The Themes will bring academics together to share ideas and identify new opportunities for interdisciplinary work, putting development and impact for developing countries at the heart of the institution’s research and innovation activity.

We will have expanded our reach and formed or strengthened research collaborations and partnerships to benefit a wider range of DAC countries (see table above, question 1 section H). We will be delivering projects that will directly benefit these and other DAC List partner countries, and will be working with institutions, research enablers and other partners in these countries to build their capacity and capability.

Specifically, we expect to see:
- an increase in the number of staff engaging with the Themes
- an increase in the number of staff involved in development-related research activity
- an increase in the number of development-related international networks participated in
- an increase in the number of collaborative research partnerships with DAC List countries
- an increase in the number of least developed and low income DAC List countries engaged with
- an increase in the number of “mature”, “emerging” and “potential” development-related research projects
- an increase in the number of GCRF bids we participate in
- an increase in the number of bids submitted to related funders (e.g. the Newton Fund) and/or for development-related activity, in DAC List countries, or with DAC List country-based partners
- an increase in the proportion of projects that deliver practical impact and solutions that benefit developing countries.

The impact of the strategy for DAC List partner countries will include:
- an increase in capacity and capability of academic staff in partner institutions and research organisations
- networking and partnership development, including opportunities for researcher exchanges and visits
- development and delivery of research projects which benefit DAC List countries (please see Section B for further details of specific activities and countries)
- translation of research projects to delivery genuine impact for DAC List countries (please see Section B for further details of specific activities and countries).
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.

Structure and Management
The University's approach to GCRF and development-related research are ultimately the responsibility of the Pro Vice-Chancellor (Research & Innovation). The Development, GCRF, QR and QR GCRF strategies have been developed by the Research and Innovation Services department (RIS), in consultation with senior academic colleagues, at the direction of the Pro Vice-Chancellor, and are approved by the University Executive Board (UEB), chaired by the Vice-Chancellor.

The Director of Research and Innovation Services, supported by two Deputy Directors, oversees the implementation of the strategies. The Themes Strategic Delivery Group, which includes the academic Theme Directors, are strategically responsible for the Themes budget, and therefore its QR GCRF ring-fenced element, which is operationally managed by the GCRF Delivery Group. This group is formed of academics and researchers, Themes representatives, and colleagues from Research and Innovation Services, and will meet regularly to review progress and address operational matters. Updates from the Group on ongoing activity and progress will be reported regularly to the University Research and Innovation Committee (URIC).

Any arising issues or concerns, e.g. ongoing non-compliance with project requirements, risk of delivery failure, will be notified first to the Themes Strategic Delivery Group and escalated to URIC and the Pro Vice-Chancellor (Research and Innovation).

Delivery
Responsibility for delivering the GCRF and development strategies sits centrally with the University's Research and Innovation Services department (RIS).

Centrally managed activities, such as capacity building workshops and competitive funding calls for pump priming activities, will be led by the five Research Development Officers (RDOs) who each support a Theme area.

Compliance
All work undertaken will be required to comply with existing University policies, including those on: financial regulations, research ethics, governance, health and safety, and equality and diversity. These policies cover more general requirements such as undertaking equality impact assessments where appropriate and ensuring research is undertaken in an ethical and responsible manner, and also regulations that may apply to GCRF and other development-related research more specifically, e.g. guidelines on overseas travel, insurance requirements, conduct and behaviour, etc.

ODA compliance will be built into all projects and activities, with clear guidance provided on where ODA compliance is required and how the requirements can be met. To ensure compliance with these requirements, all projects and activities seeking to be funded through the QR GCRF funding stream will be required to complete a funding application form that outlines:

- the nature of the project or activity being planned
- the funding required
- how the funding will be used
- other funding sources (if required to cover the project or activity’s costs)
- how the project or activity meets ODA guidelines
- how the project meets the University’s strategic priorities for QR GCRF funding
- what benefits the project or activity will create for which DAC List countries.

Financial requirements and due diligence will also be checked at this stage, to ensure compliance with other legal and statutory responsibilities, as per standard University procedures for funding applications.

The Research Development Officers will initially consider these applications, overseen by the relevant Deputy Director of RIS. The GCRF Delivery Group will then consider fully those that meet basic requirements. When considering these applications, the Group will invite the University Ethics Advisor to join in an advisory capacity. In cases of dispute, applications may be escalated to the Themes Strategic Delivery Group, chaired by the Pro Vice-Chancellor (Research & Innovation). If there remains disagreement, the Pro Vice-Chancellor (Research & Innovation) will make the final decision.

Where projects are approved through this process, University ethics review procedures must then be followed, as per the University’s Ethics Policy[1]. The Faculty Ethics Committee of the principal applicant will undertake this ethics review process, unless in exceptional circumstances it is agreed by the University Ethics Advisor that, given the nature or focus of the project, another Faculty’s ethics committee is more suitable. Where the primary applicant is not attached to a Faculty, e.g. they are a member of a Central university service, the most appropriate Faculty Ethics Committee for the project or activity will be approached. If this is in doubt, guidance will be obtained from the University Ethics Advisor.

Where projects or activities do not meet ODA compliance requirements, they will not be funded through the QR GCRF funding stream and will instead be redirected to another, more appropriate funding stream.

**Monitoring**

Once the initial application is approved, the principal applicant will be required to submit a more detailed project plan. In addition to setting out exactly how the project or activity will be delivered and how impact will be ensured, specific milestones and reporting timelines must be set, alongside requirements and processes for sufficient data capture, progress monitoring, and evaluation of the outputs, impact and lessons learned. The plan must also confirm how the project will be ODA compliant throughout its delivery, how this will be monitored, and what mitigating steps will be taken if at any time this compliance is threatened.

Funding is subject to approval of this project plan by the GCRF Delivery Group. Where plans are found to be insufficient, guidance will be offered on addressing concerns and issues and the principal applicant will be offered the opportunity to resubmit the plan. If the plan is not approved, funding will not be granted.

Project data will be recorded throughout the project or activity’s lifecycle using the University’s current research information system (CRIS), Pure, which logs all applications for and awards of funding, project delivery, activities, outputs and impact. The Research and Innovation Services department will then create a dashboard of key metrics and measures on performance, covering individual projects and activities funded through the QR GCRF budget, strategic level GCRF initiatives (e.g. one specific internal funding call for pump priming projects), and the QR GCRF budget as a whole. The dashboard will facilitate continuous monitoring against KPIs and milestones, and the production of regular reports and updates for key stakeholders.
Individual projects and activities will also be monitored through a requirement for regular reporting on progress against goals and milestones to the GCRF Delivery Group. The frequency of this reporting will depend on the nature and lifecycle of the project or activity, and will be agreed in the project plan.

Evaluation
Evaluation of individual projects and activities will be built into their design, as noted above, and will take place at their conclusion. Appropriate methods of evaluation will depend on the nature of each project, but may include written reports, review meetings, and presentations. In all cases, project leads will be expected to provide some form of report on outcomes, impact and lessons learned to the GCRF Delivery Group.

The GCRF Delivery Group will provide an annual report on the QR GCRF funding. This will cover:
- Individual projects undertaken over the reporting period
- Overall activity undertaken, including the geographical distribution, outputs generated, impact and outcomes for DAC and non-DAC List countries
- ODA compliance
- Lessons learned
- Value for money
- Overall progress against the agreed objectives of the University’s QR GCRF strategy.

This report will be provided to the Themes Strategic Delivery Group.

The Themes Strategic Delivery Group will then deliver its own report, focusing more broadly on all development-related research activity, to be submitted to University Research and Innovation Committee (URIC). These reports will review management of GCRF activity within the Themes, undertaken activity and future plans, progress towards goals, milestones, and specific KPIs, issues and concerns, and actions that may be required to ensure successful delivery.

These annual reports and individual project evaluations will also inform the institution’s annual reporting on delivery against this strategy to Research England.

In year one, baseline data for the KPIs and milestones will be developed using activity and comparative performance over the last three to five years. Progress will then be measured against this baseline annually, as well as year to year.

In year three, the GCRF Delivery Group will undertake a review of the use, delivery, outputs and impact of the QR GCRF funding stream. This will evaluate successes and areas for improvement in preparation for the development of a new GCRF and development-related research activity strategy for the next three to five years.

This review will draw in data, narrative and evaluation from the annual reports and from the individual project reports, to ensure a full picture informs ongoing decision making. A report will be compiled from this review process, agreed by the Themes Strategic Delivery Group and reported first to URIC and then up to UEB.

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.

<table>
<thead>
<tr>
<th>The table at Annex A2 focuses on the projects we intend to support through QR GCRF in 2018/19. In addition to the project delivery sub-stream of funding, we will also have three other funding sub-streams focused on capacity building (e.g. partnership development or training), small-scale scoping or pump priming projects, and impact development.</th>
</tr>
</thead>
<tbody>
<tr>
<td>We have therefore outlined the individual projects identified to receive funding in year one, with proposed funding packages for “mature” projects at a level of £25k, and for “developing” projects at a level of £10k. These are proposed outlines and figures, and will be subject to submission of appropriate project plans which detail required information such as monitoring and evaluation processes and ODA compliance. These projects extend from work that is already in progress, so we do not anticipate any concerns around project planning, delivery, or compliance. However, we do want to ensure procedures are properly followed and necessary information is obtained to monitor and review the projects in due course.</td>
</tr>
<tr>
<td>Exact activities and projects under the other three sub-streams will be developed as year one progresses, but will not exceed the funding stated. Please see Q6-8 for further details.</td>
</tr>
</tbody>
</table>

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.

| There is a degree of flexibility built into the University’s QR GCRF strategy structure, in order to allow for potential changes to the funding available, or to respond to external conditions such as political change or urgent need situations. This is achieved through activities being funded in a way that is scalable, with core, additional and extra elements dependant on available funds, and by having some flexibility between the identified sub-streams of funding, to allow a degree of virement where there is a strong justification. |
| Core elements will be those key activities identified in the strategy or those elements which are fundamental to the project. Core elements will be the priority, protected as far as possible if funding is decreased. Additional elements will be delivered if funding is allocated as anticipated, but may be sacrificed if funding is decreased or if external factors require adjustment. If the funding is increased, project leads will be offered the chance to receive extra funding for further elements, subject to submission of a light-touch application confirming details including continued ODA compliance. |
In terms of DAC List partner countries, in year one we will first prioritise activity benefiting existing partner countries, as well as target countries identified at question 1, section H above. This will help consolidate existing activity and support capacity building. We will then prioritise activity benefiting DAC List non-target least development and low income countries, with DAC List non-target lower and upper middle income countries given lowest priority.

<table>
<thead>
<tr>
<th>Activity Type</th>
<th>Criteria</th>
<th>DAC Countries</th>
<th>Priority Level</th>
<th>Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core</td>
<td>Is a key activity identified in the strategy, is a fundamental requirement for an approved project</td>
<td>Target countries (question 1, section H)</td>
<td>High</td>
<td>Definite</td>
</tr>
<tr>
<td>Additional</td>
<td>Will add significant value to the project or activity, necessary to support sustainability or impact</td>
<td>Non-target DAC List least and low income countries</td>
<td>Medium</td>
<td>Definite, subject to external factors (e.g. decrease in allocation, urgent need situations, new political priorities)</td>
</tr>
<tr>
<td>Extra</td>
<td>Would add further value to the project, would increase the breadth or depth of the project</td>
<td>Non-target DAC list lower and upper middle income countries</td>
<td>Low</td>
<td>Subject to additional allocation of funding</td>
</tr>
</tbody>
</table>

Each project will have specific core elements, agreed in the project plan. For most projects, this will entail undertaking specific research with the partner, either funded directly or supported by the funding, e.g. through the sponsorship of a collaborative PhD.

The nature of the three additional sub-streams of funding is also scalable, allowing an increase or decrease in the spending cap for each stream in response to changes in overall GCRF QR 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.

As we move into 2019/20, we will begin to shift from focusing on existing DAC List country partners towards prioritising our target DAC List countries and non-target low income and least developed countries, followed by non-target DAC List lower and upper medium income countries.

By this stage, there should no longer be a requirement for internal profile raising. Some internal capacity building will continue, but at a reduced level and with more targeting, for example for new members of staff or early career researchers. Capacity building activity will therefore focus on external activities, for example those delivered in partner countries or for the primary benefit of researchers in DAC List countries. These activities will become core, and will be prioritised over additional activities to support internal or UK-based capacity, although all activity will of course still be required to be ODA compliant and will be directed to benefiting DAC List countries.
Networking and partnership development funding may also need to be increased from year 1 levels, as more staff will have gained the skills and knowledge necessary to start engaging in development-related activity and will be seeking to build relationships as a first step. Activity such as travel grants and exchange visits will therefore be prioritised, with visits to and from DAC List target countries as core activity, as per the table in question 6, and visits to and from DAC List non-target countries as additional activity. Visits to non-DAC List countries for purposes that benefit DAC List countries, e.g. attending a conference in France that focuses on development related issues and is led or attended by researchers from DAC List countries, will be supported as extra activity where additional funding is available after all core and additional priorities are met.

Concomitant with this, activity and projects under the scoping and pump priming sub-stream will also become more of a priority, as staff with existing or developing networks begin to plan and undertake early stage projects. Activities involving DAC List target countries will be given core level priority, and those involving DAC List non-target countries will be given additional level priority. As such, core projects will be funded wherever possible and additional projects will be funded unless the allocation is lower than anticipated, or the funding is required for other urgent, core activities. If the allocation is greater than anticipated, projects will be offered the chance to bid for additional funding to facilitate added value extra elements, e.g. visits to and from the DAC country partner to undertake scoping research on site, initial impact scoping and support.

Early stage projects scoped in the previous year as part of the partnership building activity may now be in a position to receive pump priming money to develop further, and to lay the foundation for external funding bids. These will be a priority where the projects are felt to have made sufficient progress, as determined through the monitoring and evaluation processes outlined at question 3. Projects that demonstrate this potential will have core elements funded, i.e. funding to start the initial research activity, and will be offered the chance to bid for additional funding where they have identified further elements that could benefit the project, e.g. a visit to or from the DAC country partner. If the funding allocation is less than anticipated, these additional elements may be sacrificed to preserve core elements. If additional funding is received, project leads will be offered the chance to expand their additional bids with extra elements, e.g. impact development workshops with DAC List country partners.

For the individual research projects outlined in Annex A2, the approach adopted in 2018/19 around scalability will be continued, prioritising elements of each project as core, additional, and extra. This will enable us to respond to increased or decreased funds. We anticipate that all collaborative PhD funding will be core, for example, and will need to be protected throughout the funding period and ideally into the next funding period where the students require a fourth year to complete.

Other elements will be funded according to the development of each project in year one, and will be monitored and evaluated to learn lessons along the way and ensure appropriate use of funding in year two, including in respect of ODA compliance. Where possible, additional elements of the projects will be agreed and funded - if the year two QR GCRF allocation is lower than anticipated, some of these elements may be lost. Priority between these additional elements will be given first to those projects that have made the greatest progress towards their goals as per the monitoring and evaluation process, and secondly to those projects which have the potential to deliver the greatest benefits to DAC List countries. This prioritisation will also take into consideration which DAC List countries will benefit, with priority first given to those projects benefiting DAC List target countries, second to those benefiting DAC List non-target low income and
least developed countries, and finally to those projects benefiting DAC List non-target lower and upper middle income countries.

If the allocation in year two is greater than anticipated, projects will be invited to bid for further funding to support extra work, for example to develop impact and support the hastening of commercialisation or translation of research to give practical benefits. As above, priority will be determined by project evaluation and benefits to partner countries.

This prioritisation matrix model will therefore give us the flexibility to adjust the allocation of available resources, be they greater, lesser or as expected, through assessment and evaluation of capacity and goals, progress and potential, and ODA criteria.

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.

Building on the model described at questions 6 and 7 above, in year three we will continue to apply our prioritisation matrix, assessing elements of projects and activities as either core, additional, or extra, and prioritising accordingly. Having by now consolidated our internal development-related research activity fully, our approach to partner countries will shift away from prioritising existing collaborators, to focus fully on prioritising first our target DAC List countries, then non-target DAC List low income and least developed countries, and finally DAC List non-target lower and upper middle income countries.

Our emphasis in the third year will shift further towards in-country impact and activity, with a particular focus on impact development and delivery of genuine, practical benefits in DAC List countries.

The funding sub-stream for impact will therefore be directed towards developing the projects undertaken in the previous years which involved primary research. With projects funded in previous years by both QR GCRF and external sources, there should at this stage be a growing portfolio of live, ODA compliant projects aligned to the DAC List countries. These projects should therefore be at the stage of translating their research findings into impact, and will benefit from dedicated funding to help ensure the impact in the DAC List partner country is maximised, and is shared beyond that country with other DAC List countries that could benefit.

It is likely that initial or basic level impact work within the DAC List partner country will be considered core, for example work to disseminate research findings within the partner country or to implement the findings of a study in a particular geographical area. Additional elements would build on this core work, for example by extending the scope of impact to other geographical areas or regions within a partner country or to other industry sectors, or by developing research findings into practical policy guidance or toolkits for those beyond the partner organisation to use. Beyond this, extra elements may be added if the QR GCRF allocation is greater than anticipated, for example to build impact beyond the initial DAC List partner country and into other DAC List countries that may also benefit from the work.

In-country public engagement work will also come to the fore in year three, with our creative media academics working with their researcher colleagues and with partners
in DAC List countries to develop innovative and exciting ways of sharing the project findings and outcomes developed in the preceding years. As with other forms of impact, this will be undertaken on a core, additional, extra basis, with for example small scale engagement media such as online video, case studies, or booklets for use in the immediate locality of the project developed as a core engagement tool. Additional engagement work might include holding events or public meetings, hosting gallery showings, or working with local or regional media. Extra options could build on these aspects by broadening reach or deepening engagement to offer tools for different targeted groups, e.g. children, other academics and researchers, hospital staff or other public sector groups, etc.

Again, core, additional and extra activities will be prioritised for funding dependant on whether the allocation is below, above, or as expected. Priority will also be given to activities that engage DAC List target countries, then DAC List non-target low income and least developed countries, and then DAC List non-target lower and upper middle income countries, taking into consideration also the number and geographical spread of countries targeted by any given activity with priority to those that reach either the largest number overall or specific groups, e.g. all DAC List countries in West Africa.

In addition, a further round of partnership building will be instigated, using the approach of targeted visits and exchanges. This will be targeted at emerging and developing projects, identified in years one and two, and with potential to grow in year three and beyond. This will be coupled with funding for scoping projects to address the expressed needs of the new partners, and for newly identified potential and emerging level projects as per our progression ladder. Funding will be prioritised for those projects with potential to grow and to deliver genuine benefits for DAC List countries, as identified through the applications process. Activity within this area is likely to be classed as additional and prioritised as such, with funding provided as long as the allocation is as expected or above. Activities or projects which support emergent areas identified and developed in years one and two may be considered core, if they are sufficiently well advanced, identify significant potential benefits for DAC List partners, and can demonstrate ODA compliance. This will depend on progress in years 1 and 2, and on emerging areas which are not yet identified, so will require this flexible approach.

It is expected that some of the current “mature” projects will have made moves by year three towards becoming self-sufficient, funded via external bodies and other means, so will no longer require QR GCRF support. Equally, some projects currently in the “developing” stage will have become mature and will be looking to extend their depth and reach, while projects that are “emerging” in year one will have reached a “developing” stage. This progression will be subject to a range of factors that cannot be accurately predicted, but all projects will apply the core, additional, extra approach to determining what is necessary, what is wanted, and what could add value, and priority for the allocation of funding will be undertaken on this basis as described previously.

This development pipeline should ensure that by year three, the University has a well-established, sustainable approach to development-related research, with clear progression and appropriate support at all levels, designed with sufficient flexibility to adjust to increases or decreases in funding allocations and to allow for shifting priorities, developing projects, and urgent need situations.