

Annex A1: Template for institutional three-year GCRF strategies (AY 2018-19 onwards)

Please complete this form and the excel table in **Annex A2**. Text boxes may be expanded to the required length, and are expected to be in proportion to the level of formula Global Challenges Research Fund (GCRF) allocations received in 2017-18. Please do not attach other documents or annexes. Guidance for completing the forms is at Annex B.

The completed form and table should be emailed to dbeards@sfc.ac.uk by **noon on Monday 26 March 2018**.

Name of institution	University of Stirling
Contact person for correspondence who is also responsible for ensuring that the head of institution has approved this strategy for submission to SFC.	
Name	Linsey Dickson
Position	Head of Research Funding
Address	Cottrell Building, University of Stirling
Email	Linsey.dickson@stir.ac.uk
Phone	01786466439
Note that we intend to contact this person in the event of queries regarding the institutional GCRF strategy. We will also contact this person annually as part of our GCRF monitoring process.	
Has this GCRF strategy been approved for submission to SFC by the head of institution?	
Yes	
Name: Linsey Dickson	
Email address: linsey.dickson@stir.ac.uk	
Signature:	

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 formula GCRF in light of the criteria and objectives for the GCRF outlined in the guidance.
 - c. How activity funded through GCRF fits into your broader strategy and priorities for all development related research activity.
 - d. How activity funded through 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 REG.
 - 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.

To be a globally-connected university, we must continue to build and further strengthen our international links by: connecting with partner universities, organisations and people around the world and producing research with global relevance and impact. Our Strategic Plan 2016-2021 states that we will ensure an international outlook is at the heart of everything we do.

We aim to deliver **real** impact and change through the research we conduct to benefit **people** and society globally for those living in low to middle income countries.

- By building capacity and capability.
- Collaborating on excellent science and fostering south-south and north-south partnerships.
- Focussing on solutions and linking with industry and delivery partners.

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

Each of our University Research themes is designed to have a significant proportion of development and GCRF activity. Our Research themes 'Living Well', 'Cultures, Communities & Society' and 'Global Security & Resilience', will address the underlying priorities identified within the UN Sustainable Development Goals.

We have identified a number of key partner countries: India, Nicaragua and China as well as regions, particularly East Africa including Malawi, Tanzania and Uganda. We will continue to identify and review key partners on an annual basis throughout the three year plan which will foster relationships that are transformational in nature and build on the connections that we have established during the initial years of ODA funding received from Global Challenges Research Fund delivery partners.

Formula GCRF funding will fund significant activities that not only contribute to the strategy of the University of Stirling, but working collaboratively with other Scottish HEIs and activities that benefit the Scottish sector as a whole.

In summary we will:

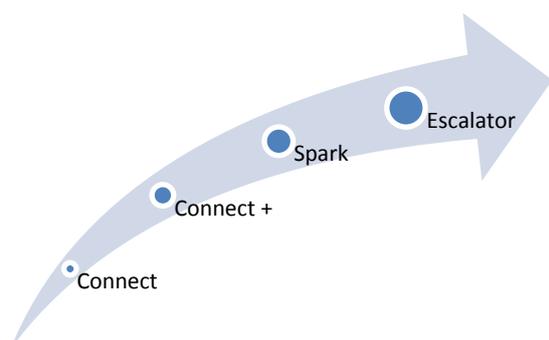
1. Continue with our successful **connect**, **connect +** and **spark** funding scheme and we will introduce a new **escalator** grant to ensure we can deliver impact and solutions.
2. Provide additional support to large scale GCRF applications and projects such as the HUB bids to support the development and delivery of the project.
3. Build LMIC Capacity for Leadership in Research and early career researchers through a Crucible and a mentoring exchange programme
4. Work with Scottish HEIs to facilitate delegations to and from Scotland to Intragovernmental organisations such as the UN and the World Bank, and country or region specific delegations utilising the expertise and networks of the British Council
5. Provide a rapid response to emergencies, via a database of experts in areas across the GCRF/UN Sustainable Goals and a fund available to support travel to and from affected areas.

-
1. The **University of Stirling** will continue with our successful **connect**, **connect +** and **spark** funding scheme and we will introduce a new **escalator** grant to ensure we can deliver impact and solutions. GCRF formula funding is used to fund applications where there is a partnership from a country(s) that is on the [DACs list](#) and the proposals are exploring ways to promote the economic development, health and social welfare of these countries.

Connect, **connect +** and **spark** was established in 17/18 using formula funding to support the discussion and exchange of ideas on a specified thematic area, issue or problem. *Connect* awards have a maximum value of £5000 of direct costs to facilitate interactions between researchers and stakeholders to build connections and initiate potential collaborations.

Applications are invited to support travel either to or from the University of Stirling. The *connect +* scheme is intended to support a meeting or workshop (or series of) to consolidate relationships and collaborations to stimulate ideas and work on funding applications. Proposals should explore new ideas, be multi-institutional and can include creative or innovative approaches. The maximum value of the awards is £10,000 of direct costs. The *spark* scheme is intended to support the pump priming of research projects where some initial funding will provide the spark for a larger application to an external funding body. The maximum value of the awards is £10,000 direct costs.

To date the scheme has funded 22 applications, building relationships across the globe. Relationships and collaborations have developed across Asia in India, China and Nepal. With Ghana in West Africa and East Africa with Tanzania, Uganda, Kenya, Malawi and Madagascar and across South Africa. In Central and South America with Columbia, Brazil, Nicaragua and Panama; with Jamaica and Cuba in the Caribbean and with Kazakhstan in Europe. These relationships have led to a number of larger funding applications under GCRF to a number of delivery partners including RCUK and Newton funding. The new escalator scheme will focus on providing additional funding to escalate the impact and delivery aspects of these projects to ensure that we maximise the impact on people living in LMIC areas.



We will profile the funding available so that over the three year period we will see a shift towards escalator funding away from the initial connect funding.

2. Provide additional support to large scale GCRF applications and projects such as the HUB bids to support the development and delivery of the project. This will be project specific, and based on need, this will contribute to knowledge exchange or stakeholder engagement in most cases. For example: Our £3.3M MRC GCRF Growing Capability project will train and support researchers in tobacco prevention in LMICs, with skills in economics, clinical medicine, public health and the social sciences. We will support PhD students - which cannot be funded by RCUK to support and build capacity on these countries (India, Ghana, Bangladesh, Gambia, South Africa, Ethiopia, Uganda).

3. Build LMIC Capacity for Leadership in Research and early career researchers through a Crucible and a mentoring exchange programme in partnership with Heriot-Watt University. We see the need to develop strong and equitable partnerships within our consortia, both north-south and south-south. By offering a mentoring exchange scheme with Early Career researchers based at the University of Stirling mentored by leading researchers from LMIC partners and a reciprocal scheme for

ECRs from LMICs mentored by Research Leaders in Stirling. We will also hold an international variation of a 'Crucible' with Scottish participation from the Universities of Stirling & Heriot-Watt with participation from priority countries.

4. To make significant change and deliver benefit to both society and individuals we will work with governments and intergovernmental organisations. Understanding the political, social and economic context and priorities are required for successful GCRF projects. We will both host and send delegations to organisations such as the UN and the World Bank, and work with organisations like the British Council to arrange country or region specific events. This activity benefits from a pan Scottish approach, and initially we will develop this activity in partnership with Heriot-Watt University.

By identifying the priority research themes and priority countries across the funded organisations we will be in position to assess areas of mutual interest. This would require an individual to work across Scottish partners and internationally.

5. Provide a rapid response to emergencies, via a database of experts in areas across the GCRF/UN Sustainable Goals and a fund available to support travel to and from affected areas.

There is a need to be able to pull together interdisciplinary and international teams to be able to respond to emergencies. These may be natural, health, political, social or economic emergencies and require expertise from across the disciplines. Having a database of experts to call on and a small fund to enable impact, initial research and travel to affected areas can add value and impact to a rapid response.

Our GCRF ODA strategy has an interdisciplinary approach at its heart and also recognises that there can be the need for discipline specific capacity and capability building requirements and we expect to see projects that work within, across and between disciplines to best address the requirements of GCRF and ODA.

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

- We will create a number of new partnerships between the University of Stirling and Research Organisations, NGOs and Government with countries on the DACs list.
- We will build on and consolidate existing partnerships between the University of Stirling and Research Organisations, NGOs and Government with countries on the DACs list.

- We will build capacity and capability within our LMIC partner countries in research linked to our University Research Themes of 'Living Well', 'Cultures, Communities & Society' and 'Global Security & Resilience' to address the underlying priorities identified within the UN Sustainable Development Goals.
- We will create multi-faceted partnerships that will have longevity and be sustainable.
- We will enable capacity and capability building across a spectrum of need, including leadership, early career, students and professional services.
- We will identify key partner countries over the three year plan to foster relationships that are transformational in nature.
- These key partnerships will be in our areas of strength where we have a track record at delivering impact and change.
- We will leverage significant additional funding for large and small scale projects that will deliver solutions and change for those people living in a DACS list country.

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.

Procedures:

We have been running our **connect**, **connect+** and **spark** funding for the last 18 months. This has given us the opportunity to develop procedures and approaches appropriate to the aims of this scheme.

A financial limit has been set for each stage of the scheme that allows the relationships and partnerships to develop. The eligible costs are restricted to direct costs and the expectation is that the majority will be travel costs associated with either travel to or from University of Stirling.

The schemes are competitive and popular therefore subject to review. Applicants are required to submit an application form and must within this detail how their proposal meets ODA requirements. *It is not sufficient to only partner with a country on the DACS list, but that the research to be conducted is ODA compliant.* The applications are reviewed and approved by Faculty senior management before submission to the Head of Research Funding. All applications are logged at this stage and reviewed against eligibility criteria which considers ODA compliance and the plan to develop and leverage further external funding.

Each successful application is given a unique finance code which allows detailed monitoring of spend and a final report is required from successful applicants.

We will monitor the geographical spread across the DACS list on an annual basis and also the progress against aims as identified in the section above. We are expecting that these funds will be used to leverage larger scale grants that will require the monitoring and evaluation of impact and change delivered on a project by project basis. By identifying projects that benefitted from initial funding via this scheme we can recognise the longer term impact.

Communication:

We are committed to ensuring an understanding of ODA compliance across the University and have offered open workshops to our Research Staff during our annual Research Week from the British Council and UKCDS who have a history of ODA funding. Our research development team keep abreast of all good practise in relation to GCRF and ODA via professional networks, contacts and associations such as ARMA (Association of Research Managers and Administrators) and VITEA. In conjunction with colleagues from University of Leeds and RCUK, we have delivered 3 training and development workshops on due diligence and assurance to the sector, in the last year. We are currently developing policies and procedures that demonstrate best practise in current due diligence and assurance, including governance, ethics, safeguarding, finance, equality and diversity and human rights. We are aware of current developments from DfID in seeking reassurances from funding partners on safeguarding and this will form part of the development of our policy and procedures. We are expecting the policy to be fully agreed and implemented by the beginning of academic year 18/19, and in the interim we are following a set of draft procedures.

Reporting:

We will provide a report detailing the use of funds by scheme and by project; we will detail each country that we have engaged with and monitor the outcome and outputs from each.

Section B: Use of GCRF 2018-19 allocation and future formula GCRF priorities

4. Please complete the table in Annex A2 detailing the expected spending and activities for GCRF in the academic year 2018-19. This should show how all expected GCRF will be committed to ODA-compliant activities.
5. Please add here any explanatory notes on how you have completed the table in Annex A2 that will demonstrate ODA compliance.

The table in the main identifies a number of schemes rather than specific projects. These schemes are intended to increase collaborations and develop new and enhance existing partnerships. These will support researcher led partnerships therefore the exact countries, impacts and outputs will be dependent on the nature of each project. The process and procedures described above will ensure ODA compliance.

To ensure the success and delivery of these activities, there is a requirement for resource to both support and manage the projects. We have included within the cost

for each activity a proportion of staff time for this purpose in addition to the existing University resource we have committed for these activities.

6. What are your priorities for GCRF activity in 2019-20? Please describe how the profile of activity will adjust to increases or decreases to expected GCRF funding.

We expect to see a shift in priorities in 2019-20 moving from capacity and capability building towards funding that enables and provides pathways to the delivery of impact and solutions. This is likely to involve the development of strategic partnerships and relationships with NGOs and other delivery partners. These will be both country and topic specific building on funding from 2018-19.

We therefore will have a greater proportion of available funds being spent on **spark** and **escalator** awards as a progression from those partnerships created and built from **connect** and **connect+** funding. The higher value of **spark** and **escalator** awards will partially be offset by a reduction in awards for **connect** and **connect+**, however additional funds will be required in 2019-20 to support this activity. In 2019-20 we will be leading a significant number of funded RCUK or Newton GCRF projects, we will therefore look to continue supporting these projects through additional resource that can add value and make a contribution within the research and geographical scope of those projects.

The International Crucible programme will be held every year. The costs associated with this event would be comparable for each year, however we hope to bring on board other Scottish University partners to broaden the potential partnerships, by doing this we will see a reduction in costs across each participating University.

The mentoring scheme will run across the three years. Costs are associated with the launch, delivery and management of this and although mentor/mentee relationships once established will mainly be conducted via Skype or other electronic forms of communication some initial face to face time will be required. We would like to offer the opportunity for a new group of mentors/mentees every year so we expect the costs to be comparable.

Within the international delegation programme we expect to see a continuation of the scheme but with a directional shift in focus to additional partnerships with NGOs and other types of delivery partners that can provide routes to impact and solutions delivery.

Rapid response to emergencies will require funds to enable travel and we expect this to be a static cost across the three years. However if this fund is not required it can be added to **connect**, **connect+**, **spark** or **escalator** funding pot.

We hope to see an increase in the budget available in 2019-20, however if the expected funding was to decrease we would reduce the individual awards we were able to make would be reduced to fit the available budget.

7. What are your priorities for GCRF activity in 2020-21? Please describe how the profile of activity will adjust to increases or decreases to expected GCRF funding.

In 2020-21 we will have a number of transformational projects focussing on areas of strength for Stirling, with partnerships in DACS list countries where the national priorities can be addressed by collaborative research. Delivery of solutions, monitoring impact and evaluating change will be critical. The main focus of activities in this year will be supporting these.

This will be the final year for the current CSR and RCUK funding allocations for GCRF, we would hope that further GCRF/ODA funding will be committed from UK government beyond 2020-21. With the continuation of ODA funding activities should be cyclical and new areas of research or geographical focus will benefit from some of the early stage capacity and capability building that we can deliver through *connect* and *connect +* funding.

In 2020-21 we will be leading a significant number of funded RCUK or Newton GCRF projects, we will therefore look to continue supporting these projects through additional resource that can add value and make a contribution within the research and geographical scope of those projects.

The International Crucible programme will be held every year. The costs associated with this event would be comparable for each year, however we hope to bring on board other Scottish University partners to broaden the potential partnerships, by doing this we will see a reduction in costs across each participating University.

The mentoring scheme would run across the three years. Costs are associated with the launch, delivery and management of this and although mentor/mentee relationships once established will mainly be conducted via Skype or other electronic forms of communication some initial face to face time will be required. We would like to offer the opportunity for a new group of mentors/mentees every year so we expect the costs to be comparable.

Within the international delegation programme we will continue the scheme but with a directional shift in focus to additional partnerships with NGOS and other types of delivery partners that can provide routes to impact and solutions delivery.

Rapid response to emergencies will require funds to enable travel and we expect this to be a static cost across the three years. However if this fund is not required it can be added to the *connect*, *connect+*, *spark* or *escalator* funding pot.

We hope to see an increase in the budget available in 2020-21, however if the expected funding was to decrease we would reduce the individual awards we were able to make would be reduced to fit the available budget.

Annex A2: Global Challenges Research Fund: Three-year institutional GCRF strategies (academic year 2018-19 onwards)

Table A: Detailed proposals for spending of QR GCRF in academic year 2018-19

Note: 'GCRF' = 'Global Challenges Research Fund'; 'DAC' = 'Development Assistance Committee'.

Project	Type of activity	Formula GCRF (£)	Research Council or other (£)	DAC nations	Benefits to DAC nations	Outputs and impacts
Description of the activity or project title.	Capacity and capability building. Mono-disciplinary, interdisciplinary and collaborative research. Generating impact from research. Meeting full economic costs of research funded by other sources. Rapid response to emergencies with an urgent research need.	Level of funding used from formula GCRF allocation.	Project funding from Research Councils or other sources (please indicate whether these are GCRF awards).	Nations involved or benefitting as listed by the DAC.	Description of primary benefits to economic and welfare development in partner DAC nations.	Description of intended outputs and impacts.
Connect (€5K max award *12 awards)	Pump-priming Capacity and capability building	€60,000		TBC	Establishing and enhancing equitable and sustainable partnerships; growing people based capacity. Benefits to each partner country will be project specific but will have a focus on the UN SDGs and in particular the University Research Themes of 'Living Well'; 'Global Security & Resilience' and 'Culture, Communities and Society'.	Increase the engagement of the UoS research community with international development challenges focussing on the challenges faced by developing countries.
Connect + (€10K max award *6 awards)	Capacity and capability building	€60,000		TBC	Establishing and enhancing equitable and sustainable partnerships; growing people based capacity. Benefits to each partner country will be project specific but will have a focus on the UN SDGs and in particular the University Research Themes of 'Living Well'; 'Global Security & Resilience' and 'Culture, Communities and Society'.	Increase the engagement of the UoS research community with international development challenges focussing on the challenges faced by developing countries.
Spark (€10K max award *3 awards)	Pump priming	€30,000		TBC	Establishing and enhancing equitable and sustainable partnerships; growing people based capacity. Benefits to each partner country will be project specific but will have a focus on the UN SDGs and in particular the University Research Themes of 'Living Well'; 'Global Security & Resilience' and 'Culture, Communities and Society'.	Increase the engagement of the UoS research community with international development challenges focussing on the challenges faced by developing countries.
Escalator (€20K max award * 2 awards)	Pump priming	€40,000		TBC	Establishing and enhancing equitable and sustainable partnerships; growing people based capacity. Benefits to each partner country will be project specific but will have a focus on the UN SDGs and in particular the University Research Themes of 'Living Well'; 'Global Security & Resilience' and 'Culture, Communities and Society'.	Increase the engagement of the UoS research community with international development challenges focussing on the challenges faced by developing countries.
Additional support for GCRF - 'Building capacity for applied research to reduce tobacco-related harm in low and middle income countries' project	Meeting the full economic cost of research funded by other sources	€30,000	GCRF/MRC Growing Capacity £3,359,693	India, Ghana, Bangladesh, Gambia, South Africa, Ethiopia, Uganda	To train and support researchers in tobacco prevention in LMICs, with skills in economics, clinical medicine, public health and the social sciences. We will support PhD students - which cannot be funded by RCUK to support and build capacity on these countries.	By conducting research in LMICs on three key themes (tobacco taxation, reducing illicit trade, and addressing tobacco industry interference, as well as other local priorities) we should be able to provide data and specific examples which will help make the case for better implementation of the FCTC, which will result in reductions in tobacco disease and death and also help generate revenue for governments through taxation which aids other development priorities.
Additional support for GCRF HUB bid - 'Water observatory and solutions hub' which has been invited to full application	Pump priming	€20,000	If awarded GCRF/NERC £20M	Brazil, India, Kazakhstan, Nicaragua, Ghana, Tanzania	Water for all in an uncertain world: Managing conflicts in water use and enhancing sanitation to alleviate poverty and to enable resilient and sustainable communities. We will support meeting costs and international travel to bring the International partners to the UK to develop the partnerships and direction of the research in advance of the large HUB application submission.	improve data access to develop the evidence base to enable change in communities, local and national government through better understanding, promoting environmental stewardship, management of conflicting demands and deliver economic development and social welfare
International Crucible	Capacity and capability building	€30,000		TBC	growing people based capacity. Benefits to each partner country will be project specific but will have a focus on the UN SDGs and in particular the University Research Themes of 'Living Well'; 'Global Security & Resilience' and 'Culture, Communities and Society'.	Increase the engagement of the UoS and other participating Scottish Universities research community with international development challenges focussing on the challenges faced by developing countries.
Mentoring Exchange Scheme	Capacity and capability building	€10,000		TBC	growing people based capacity. Benefits to each partner country will be project specific but will have a focus on the UN SDGs and in particular the University Research	increase the engagement of the UoS and other participating Scottish Universities research community with international development challenges focussing on the challenges faced by developing countries.
Delegation	Pump priming. Managing and delivering on strategic partnerships. This will include delivery support in the form of shared resource between the University of Stirling and Heriot-Watt supporting International Crucible; Mentoring and Strategic Partnerships.	€27,000		TBC	Establishing and enhancing equitable and sustainable partnerships	Increase the engagement of the UoS and other participating Scottish Universities research community with international development challenges focussing on the challenges faced by developing countries.
Emergency response fund	Rapid response to emergencies	€10,000		TBC	Will be dependant on nature of emergency	Will be dependent on nature of emergency
		Total: €317,000	Total:			