

### 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](mailto:dbeards@sfc.ac.uk) by **noon on Monday 26 March 2018**.

Name of institution	University of the West of Scotland
Contact person for correspondence who is also responsible for ensuring that the head of institution has approved this strategy for submission to SFC.	
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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/ <del>No</del> (delete as appropriate)	
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## 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.<sup>1</sup>
  - 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.

Maximum 3,000 words

a) *"At UWS, our internationally recognised research excellence will address the 21 century challenges of Health, Society and Sustainability. Partnerships and collaboration with stakeholders will inform and propel our academic provision and create an enterprise culture that will support economic growth"* (UWS Corporate Strategy 2017-2020).

Our strategy to make the best use of resources and expertise in these three overarching themes internationally is fully aligned with the principle requirement of Official Development Assistance (ODA) funding which is that it is administered with the promotion of economic development and welfare of developing countries as its main objective. We are fostering an institutional culture which draws together expertise from different disciplines to enhance our capacity and profile in health, society and sustainability and we are directing significant levels of funding to drive

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

strategic initiatives with effective prioritisation, support and monitoring to ensure an appropriate return on investment and research impact. This investment will provide infrastructure that improves the capacity of our researchers to attract research and innovation funding and engage with users of research, both nationally and internationally. Over the three years from 2018-19, in a changing funding landscape characterised by the creation of UKRI and thematic funding streams such as Global Challenges Research Fund (GCRF) and Industrial Strategy Challenge Fund (ISCF), we will remain agile and develop a range of concerted actions to fully embrace opportunities for development related research funding to tackle global challenges. UWS are committed to the principles set out in the concordat to support research integrity. Our UWS Code of Ethics establishes the University's approach to raising the ethical awareness of staff and students, and ensuring that all that we do is underpinned by global and future-focussed principles of fairness and opportunity. As per the SFC Financial memorandum UWS will ensure these public funds are used in accordance with relevant legislation, the requirements of this FM and only for the purpose for which they were given.

In addition, we aim to:

1. Increase successful applications to the Newton fund to build capacity to respond to GCRF funding and to develop new and existing interdisciplinary research and innovation partnerships with ODA countries on the Development Assistance Committee (DAC) list.
2. Erasmus+ KA2 Capacity Building in the Field of Higher Education will be leveraged to deepen multilateral partnership and build transnational collaboration
3. Promote opportunities and implement initiatives for all staff and postgraduate students to benefit from international networking, collaboration and exchange opportunities that will extend the reach and profile of their work.
4. Provide support, mentoring and develop skills of early career researchers to be competitive in winning grants.

b) As the funding allocation for UWS is not large (£27k in 2017-18) an agile approach is required to determine the best allocation of funding on an annual basis over the three years from 2018-19. The key aspects of three year strategic plan for formula GCRF is to continue: (1) pump prime activities that will strengthen the position of the UWS and partner organisations to contribute to GCRF priorities through future funding opportunities (annual competition will determine which project applications are allocated funding); (2) capacity and capability building and impact development support for existing ODA-compliant activities to develop critical mass of globally impactful, collaborative and interdisciplinary research in key areas of strength. UWS will set up a GCRF Oversight Group to help shape the UWS response to the opportunities presented by GCRF and to oversee the distribution of formula GCRF Fund. Follow on funding applications will be encouraged from the projects already funded in 2017-18 as part of a portfolio management strategy detailed in section 3,

Management of GCRF. Applications will be assessed first for ODA eligibility and then on the following criteria:

1. Potential to consolidate existing solution-centred partnerships with researchers and stakeholders active in international development and to build new collaborative links, particularly in LMICs (Lower Medium Income Countries), to provide a firm foundation for future ODA-oriented projects.
2. Requirement to enable researchers to capture pilot data and/or evidence to build the case for future funding applications to GCRF.

Annual monitoring will ensure we capture the impact derived from the allocation of formula GCRF. If an exceptional case arises, the GCRF oversight group may allocate all of the formula GCRF to a single project. For example: building the network for addressing an intractable challenge that has passed the expression of interest stage.

c. The UWS Corporate Strategy is explicit that we will enhance the quality, extend the breadth and depth of knowledge and emphasise our role as global research citizens. Activity through GCRF helps us to achieve this along with being an enabler to achieve our key performance indicators to improve performance in the next and subsequent Research Excellence Frameworks.

d. Formula GCRF is channelled into projects which build on our strengths, build capacity and harness the expertise of the UWS researchers who can offer research and innovative solutions to improve the lives of people, while growing the impact of research and innovation capacity of our partners in developing countries. This is fully aligned to the vision set out in the UK Strategy for GCRF.

e. The allocated Research Excellence Grant (REG) is to support world-leading research at UWS administered through the Vice Principal's Fund (VP Fund). International collaboration, including our partners in DAC countries, is one of the key criteria for securing support from the VP Fund. For example, Thin Films, Sensors and Imaging Institute (TFSI) in particular shows development potential due to established relationships with several partner institutions in China and has therefore secured major REG support.

f. Likely key barriers to implementing UWS strategy for GCRF

- Very limited amount of formula GCRF to support building solution-focused critical mass of development-related activities without substantial additional resources (partially addressed through REG).
- Lack of buy-in from the Principal Investigators (PIs), partners and or communities that need to be mobilised to create a competitive funding application.
- Low success rate in GCRF and related calls.
- Researcher failing to capture evidence of global engagement barriers that can sometimes seem intangible such as gaps in knowledge capability and capacity.

The following enablers for implementing UWS strategy for GCRF will outline steps to mitigate the above risks.

- GCRF Oversight Group tasked with overseeing portfolio management and rigour in peer-review.
- Agreed outcome driven monitoring and reporting process.
- Fundable GCRF Proposals need to have international partners and UWS will seek to add value by working in partnership at a strategic level with other international universities, organisations and agencies. UWS Business Development Managers and the international office teams offer support to academics to identify appropriate collaborators through university, national, international and common interest networks and networking events.
- The GCRF Oversight Group will continue to strengthen the peer review process at UWS to effectively assess GCRF applications.

g. Over three years it is envisaged that most of the outlined key activities are likely to be realised. It is more likely that over the three year period some will become more or less important for reaching the objectives.

Year 1: Pump Priming, capacity and capability building; mono-disciplinary interdisciplinary and collaborative research

Year 2: Capacity and capability building; mono-disciplinary interdisciplinary and collaborative research

Year 3: Capacity and capability building, generating impact from research; meeting the full economic cost of GCRF activity funded through other sources;

h. Historically, we have established relationships with numerous partners in a number of DAC countries:

- DAC Upper Middle Income Countries: China and Thailand.
- DAC Lower middle income countries: Egypt, Ghana, India, Pakistan and Sri Lanka.
- DAC Other Low Income countries: Kenya
- DAC Least developed countries: Afghanistan, Bangladesh, Bhutan, Ethiopia, Malawi, Nepal and Uganda.

Considering our limited resources, we have used geographic proximity focus to plan the development of new relationships with other DAC countries in the following way:

- Proximity to largest DAC Upper and Lower Middle Income Countries: Kazakhstan, Indonesia, Malaysia, Philippines and Vietnam.
- Proximity to the UK and EU: Bosnia and Herzegovina, Former Yugoslav Republic of Macedonia, Kosovo, Serbia, Turkey.
- African continent: Gambia, Nigeria, Rwanda.

In 2017/18, UWS has applied a competitive process to select ODA-compliant projects with the aim to lead to larger interdisciplinary and externally-funded projects that will contribute to the UWS ODA impact case. The following projects were selected:

- Determining the composition & Potential Economic Contribution of Micro-Enterprises in Egypt's Informal Food Sector (School of Business and Enterprise; DAC country: Egypt)
- Novel breath analysis sensor for early stage diagnosis and management of chronic respiratory conditions (School of Engineering and Computing; DAC country: China)
- In search for feasible technological support of people in rural India (School of Media, Culture and Society; DAC country: India);
- A systematic review to determine the risks and dangers of formula feeding infants in developing countries and identify successful community-based public health strategies (School of Health, Nursing and Midwifery; DAC country: Malawi);
- The Improvement of Life Chances for People Subject to Forced Displacement (School of Media, Culture and Society; DAC country: Kenya);
- National Sustainable Tourism Certification Scheme for Nepal (School of Business and Enterprise; DAC country: Nepal)

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

Maximum 500 words

Outcomes

The key outcome of the strategy is to establish strategic relationships with key partners in DAC countries in order to develop (1) immediate practical solutions to challenges the partner DAC countries face and (2) mid- to long-term collaboration to enhance capabilities and capacity for research in partner DAC countries (including joint research and education programmes). The partnership approach will enable us to enhance our capabilities for rapid response to emergencies and facilitate further development activities in stated DAC countries as well as potential for longer-term expansion of transferable development activities underpinned by transitional technological solutions (i.e. neighbouring DAC countries and new regions globally).

Impact

The impact will be achieved through: (1) practical solutions implemented and monitored in DAC partner countries – number of communities and people who benefit from development activities; (2) research outputs from ODA-compliant research – number of joint outputs in prestigious publications for enhanced international reputation of research in partner DAC countries; and (3) when appropriate, policy enhancements underpinned by new joint educational programmes to achieve sustainable enhancement of capabilities and capacity in partner DAC countries. Evidence of impact will include measures demonstrating that the activities have enhanced the lives of people in partner DAC countries where UWS are active in research and innovation projects.

## **Management of GCRF**

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

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

Maximum 1,500 words

The UWS GCRF Monitoring Committee will have primary responsibility for monitoring and evaluating the progress and ODA compliance of our development activities (GCRF and others). Chaired by the Associate Vice Principal Research & Enterprise, the committee will include the following UWS staff who all share responsibility for how the development-related and GCRF strategies relate to the wider UWS institutional strategy for research and enterprise:

Chair – Associate Vice Principal Research  
Operational Lead – Senior Manager Research  
Five Assistant Deans Research and Enterprise  
Senior Partners – Research & Enterprise

A rapid review of GCRF development capability across the University will be undertaken in 2018-19. A key part of this review will include assessing potential impact of proposed solutions to complex challenges, facilitating interdisciplinary collaborations across and beyond UWS boundaries and drawing on the UWS Business Development team to support the building of networks and partnerships to promote development research uptake, GCRF working groups will be set up to develop a funding roadmap for projects which are applicable across two or more Research Councils.

Projects which are awarded funding from formula GCRF will be subject to the following monitoring and evaluation process:

1. As with other REG-related funding support, successful Principal Investigators (PI) with ODA-compliant proposals will be issued with a GCRF Pump Priming Fund Monitoring Form when their award is confirmed subject to actioned commitment to deliver the planned outcomes and outputs. This includes: (1) the budget allocated to the project, (2) agreed outcomes and outputs, (3) any special conditions of the funding including reporting deadlines for SFC and (4) how to draw down the funding.
2. Progress will be monitored three times per year through panel meetings and a report on progress with their project will be requested from Principal Investigators in summer of each year, in advance of annual reporting cycle to SFC. This report will

require the grant holder to report on the activities and outcomes from the funding. An outcomes report will be requested for each subsequent year for 3 years to help track the impact of the funding. Each report will be assessed against criteria for ODA compliance before reporting to SFC.

3. Lessons learned will be compiled by tracking the number of follow on ODA compliant applications that have been made during the 3 years and by adding specific questions on the report which encourage awardees to reflect on their project (for example: "With hindsight, would you have changed your application in any way? If yes, detail how and why?")

4. From 2018-19, PIs for these awards will be required to maintain a record in the UWS CRIS system, Pure, keeping any evidence of impact as it occurs during and after the project ends. For all successful applicants the Research Co-ordinator will start a new impact record, or add to an existing record in Pure, using information provided at the application stage.

#### **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.

Maximum 500 words

The priorities for 2018-19 will be to

1. Rapid Review of GCRF and related development activity primarily to assess institutional capacity and assess potential impact of proposed solutions for the development and welfare of developing countries.
2. Review the development of the projects receiving pump-priming in 2018-19 to develop a roadmap of support with PIs targeting GCRF and other development research and innovation funding.
3. Prioritise use of formula GCRF and allocate funding for capacity and capability building.
4. Continue to track impact via the PURE system.
5. Launch a unique proposal writing and project management service delivered in-house by the UWS funding team to support strategic GCRF applications identified by the GCRF Oversight Group. This will include a full set of services covering the development, application and management timeline coupled with an allocation of business development resource to develop a clear understanding of key stakeholders, assist with building collaborations and provide high-level innovation management services.

6. Working with other Higher Education Institutions in Scotland to develop common areas of interest and identify potential for joint responses to GCRF-related funding calls.

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.

Maximum 1,000 words

Going into 2019-20 UWS will have collected data on the outcomes and impact spanning two years of pump priming and capacity and capability building (2017/18, 2018/19). We will review the activities to develop a clearer insight into the achieved impact of formula GCRF and other development projects. Formula GCRF funding will be used to consolidate efforts across projects and DAC countries into only 1 or two projects which present a strong impact case for drawing down the funding for capacity building around future specific calls and funding for interdisciplinary and collaborative research.

If however, a new area of research is identified to have potential for GCRF or UWS is invited to join a GCRF consortium, the Associate Vice-Principal Research & Enterprise on behalf of the GCRF Oversight group will reserve the right to use some of the formula GCRF to secure this future funding.

Managing GCRF funding fluctuation

Decreases to expected GCRF funding will be addressed through other externally funded ODA-compliant projects with partners from DAC countries positioned at the centre of research activity. Any increases to GCRF funding will enable us to either (1) open new avenues for deep collaboration with existing and new partners in DAC countries and (2) enhance support of existing ODA-compliant projects to maximise impact and diffusion of innovation stemming from the developed solutions.

We will continue to track impact using PURE and develop the GCRF proposal writing support.

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.

Maximum 1,000 words

We will have three years of data by the start of 2020-21, enabling us to analyse effectiveness of activities with the main aim to maximise impact and expanding most

impactful activities across DAC countries. This will include an analysis of outcomes, impacts and outputs. Formula GCRF funding will thus be used to (1) maximise impact of most effective research activities and (2) expand efforts across DAC countries as a continuation of one or two major interdisciplinary and collaborative research projects from previous years.

#### Managing GCRF funding fluctuation

Decreases to expected GCRF funding will be addressed through other externally funded ODA-compliant projects with partners from DAC countries positioned at the centre of research activity. Any increases to GCRF funding will enable us to either (1) open new avenues for deep collaboration with existing and new partners in DAC countries and (2) enhance support of existing ODA-compliant projects to maximise impact and diffusion of innovation stemming from the developed solutions.

Building on the developed track record, we will finalise the development of GCRF impact using PURE in time for REF2021 submission, and develop plans to continue and expand ODA-compliant activities beyond the three year period.

