

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.

(See next page for responses)

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

a. *Your institution's strategy and priority objectives for all development related research activity funded through all sources for three years from 2018-19.*

Teesside University's strategy for development related research activity (2018-2021) aims to: develop research capability and capacity in developing countries; build research and innovation collaborations and sustainable partnerships with DAC partners that benefit the economies and societies of those countries and; increase staff and student mobility.

Our development related research activities will be delivered through our interdisciplinary Grand Challenge Themes (GCT) of: Health and Wellbeing; Secure and Resilient Societies; Sustainable Environments; and Digital and Creative Economies. The Grand Challenge Themes, which form the central plank of our institutional research strategy, are based on research excellence (as evidenced by REF2014) and aligned to the United Nations Sustainable Development Goals.

Our strategic priority objectives are to:

- Expand our international network across all categories of developing countries on the DAC List² of ODA recipients;
- Create sustainable, solution focussed research partnerships with existing collaborative partners in upper and lower middle income countries;
- Support pump priming activities with lower middle income countries for future collaborative research proposals for GCRF, Newton and other Funders and;
- Build research capacity and capability in the least developed countries.

Our current development related research activities are mainly with upper middle income countries; our strategy is to move toward a more balanced mix of research partnerships with countries across the full range of income categories.

We will engage with upper middle income countries (Brazil, China, Malaysia, Mexico, South Africa, Thailand and Turkey) where we have existing relationships to develop collaborative research activities, build research partnerships and support staff and student mobility with the expectation that the bulk of these activities are supported by external funding awards.

The majority of our QR GCRF funded activity will therefore be directed toward countries from the lower middle income and least developed groups. We have a number of existing or emerging relationships with institutions from lower middle income countries (Ghana, India, Indonesia, Jordan, Pakistan, Nigeria, Tunisia, and Vietnam). For example, we have collaborated with Pakistan on work on international human rights and have a long standing relationship with Dr Olushola at Ibadan University, Nigeria based on joint work on fluoride metabolism in children. We will work with these partners and others in this group of countries to identify their significant research challenges and develop pump priming projects to generate data for future research funding proposals.

² http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC_List_ODA_Recipients2018to2020_flows_En.pdf

We have fewer relationships with countries in the least developed group of the DAC list and will focus on countries where we have established institutional links and believe there are areas of mutual research interest. In year one we will focus on exploring these common research interests, their researcher development requirements and opportunities for future working. We plan to work with institutions in Cambodia, Myanmar, Tanzania and Uganda.

Within our Grand Challenge Themes we expect to focus on research challenges related to public health, clean water, affordable and sustainable energy, sustainable cities and communities, asylum welfare and refugee crises, justice and humanitarian action, poverty, gender inequalities and the role of digital technologies in delivering change.

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.

Our QR GCRF plan priorities are to:

1. Expand our international networks and develop collaborative research to address the regional priorities of lower middle income countries;
2. Build research capacity and capability in the least developed countries;
3. Develop sustainable research partnerships in upper and lower middle income countries and;
4. Meet the full economic costs of eligible research funded by other delivery partners.

We are at an early stage of growing our international research footprint, especially with the lower middle income and least developed countries. Therefore, our strategy will be delivered in annual phases with year one establishing relationships with lower middle income and least developed countries and exploring the potential of existing collaborations in upper middle income countries. 90% of funds will be allocated to these activities in year one with proportion of funds allocated to working with lower middle income and least developed countries growing over the life of this strategy as more relationships are developed.

Building on year one's relationship building activities we will utilise GCRF funds in year two to: pump prime future applications with lower middle income countries; deliver capacity and capability building workshops with the least developed countries; and support exchange visits with partner universities in lower and upper middle income countries.

Therefore, year two will use QR GCRF Funds to support networking and visitor exchange (at 20%) but introduce pump priming activities to generate future GCRF funding applications (at 40%) and funds to support capacity and capability building activities (30%).

In year three, we will increase support for capacity and capability building activities through the delivery of workshops and development programmes with the least developed countries and continue to support collaborations through the pump priming activities. In year three QR GCRF funds will provide equal support for both pump priming activities (45%) and capacity and capability development (45%).

Throughout the three years we will utilise up to 10% of funds to meet the full economic costs of GCRF and Newton Awards.

c. *How activity funded through QR GCRF fits into your broader strategy and priorities for all development related research activity.

Our international ambitions, as part of our research strategy, focus on:

- Growing international partnerships around research excellence;
- Building development related research activities aligned to grand challenge themes;
- Expanding the international impact of our research;
- Increasing staff and student mobility.

We have existing relationships with developed nations as a result of participation in successive EU Framework Programmes but need to consider our wider global footprint in order to meet our moral obligation to the World's poorest, build our research capacity and capability, and support our transition through Brexit.

Our QR GCRF strategy will increase our engagement with the lower middle income and least developed countries on the DAC list of ODA recipients and support the transition of project based collaborations with upper and lower middle income countries to more sustainable longer term partnerships. We will continue to apply for competitive funds with partners from upper and lower middle income countries to support those partnerships. For example, as part of our partnership with Bauru Dental School, University of Sao Paulo, we have recently secured funds from the British Council, FAPESP (Sao Paulo Research Foundation) and the Borrow Foundation to continue our work on fluoride metabolism in children.

Our international research strategy supports the growth of international PhD numbers. Where a business case is made through QR GCRF pump priming activities, we will support this activity.

d. *How activity funded through QR GCRF relates to the UK strategy for the GCRF.*³

Our QR GCRF research focus aligns to the three interrelated GCRF themes of Equitable Access to Sustainable Development, Sustainable Economies and Societies, and Human Rights, Good Governance and Social Justice which map to our interdisciplinary Grand Challenge Themes (GCTs) of Sustainable Environments, Health and Wellbeing, Resilient and Secure Societies and Digital and Creative Economies.

Our QR GCRF activities will meet the UK strategy for GCRF requirement for research excellence through being embedded in our interdisciplinary Grand Challenge Themes. The GCTs (which are based on research excellence and aligned to the United Nations Sustainable Development Goals) have been developed by the University with a primary objective to develop interdisciplinary approaches to address complex societal issues. GCTs and Schools have been asked to identify (within 2018-19) annual plans how they will deliver against the University's QR GCRF strategic plan and ensure research activities are demand led, problem focussed, impactful and ODA compliant.

A QR GCRF panel will be established to provide portfolio oversight, monitor governance and risk, and ensure projects are compliant with all ODA requirement guidelines. It will award QR GCRF funding to project applications that are problem focussed, demand led, impactful and compliant with ODA requirements.

Our geographic scope for the use of QR GCRF development funding will be increasingly targeted to those DAC countries in the lower middle income and least developed categories. We will continue to develop partnerships based on existing collaborations with upper middle income countries primarily using other funding mechanisms

to ensure the QR GCRF is directed where there is most need and where we anticipate it producing the greatest impact.

e. *How do your development-related and GCRF strategies relate to your wider institutional strategy for using QR.*

Teesside University receives a modest QR allocation of £1.46M (with a QR GCRF allocation of £58K). 50% of QR funds are allocated to Schools to support local research strategies and 50% to the PVC (R&I) to support implementation of the institutional research strategy. The PVC allocation supports initiatives such as seed funding for the grand challenge themes, impact acceleration, match support for PGR funding, and support for the university research environment (training and development, travel, software etc). The QR GCRF strategy compliments the institutional use of QR to develop the research capacity and capability of staff through supporting them to engage in international collaborations.

f. *Likely key barriers and enablers to implementing your strategy.*

We anticipate a possible barrier could be ensuring academic staff understand the requirement for research partners to play a significant role in the design, definition and development of project proposals and that staff do not adopt a default position based on their own research interests. We will address this through our own researcher development programme and coach academic colleagues in the underlying principles and best practice in relation to GCRF/ODA compliance.

The embryonic nature of our existing networks in the least developed countries means that time will be required to establish relationships and explore their requirements. We have reflected this in our delivery plan and will spend year one identifying and evaluating the needs of our partners to best understand where we might focus our collaborative efforts.

VISA requirements may add delays into the system and/or affect our ability to deliver training and/or offer visiting academics and students the most beneficial experience. We will address this through careful planning, allowing enough time to bring staff across to the UK and consider where training might be best delivered in country rather than in the UK.

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.*

Much of the activity to realise our objectives is difficult to predict at this stage as it will be based on the outcomes of networking activities and the needs of partners and largely developed by a co-creation model. However, the activities we can plan at this stage are set out below:

(See below)

Priorities	Activities 2018-19	Activities 2019-20	Activities 2020-21
<p><i>P1: Develop networks in upper and lower middle income countries to pump prime research collaborations and build sustainable research partnerships.</i></p>	<ul style="list-style-type: none"> • Launch international networking funds scheme in Aug 2018. • Assess applications for networking and allocate funds by Oct 2018. • Academic leads to undertake visits between January and March 2019. • Review future strategies for partnerships and activities by May 2019. • Evaluate proposals for pump priming activities in 2019/20 and allocate funds by June 2019. 	<ul style="list-style-type: none"> • Run international networking funds scheme in Aug 2019. • Delivery of pump priming projects throughout the year. • Assess applications for networking and allocate funds by Oct 2019. • Review future strategies for partnerships and activities by May 2020. • Evaluate proposals for pump priming activities in 2019/20 and allocate funds by June 2020. • Support exchange visits from partner universities June 2020. 	<ul style="list-style-type: none"> • Delivery of pump priming projects. • GCRF Board to review strategic partnerships and consider allocations of future QR GCRF and mainstream QR to support these. • Support exchange visits from partner universities June 2021
<p><i>P2: Build research capacity in least developed countries</i></p>	<ul style="list-style-type: none"> • Key academic leads to explore potential for MoU with key institutions in Cambodia, Myanmar, Tanzania and Uganda in relation to future research focus and research needs by January 2019. 	<ul style="list-style-type: none"> • Run workshops with international institutions to identify research capacity and capability requirements by April 2019. • Deliver projects /training schemes etc in country and or in UK by July 2020. 	<ul style="list-style-type: none"> • Deliver projects /training schemes etc. in country and or in UK by July 2021 • QR GCRF Board to review budget, emerging research outcomes, and impacts.

	<ul style="list-style-type: none"> • Run workshops with key institutions to identify research capacity and capability requirements by April 2019. • QR GCRF Board to approve 2019/20 projects/schemes to address capacity and capability with partners. Project plans and costs approved by QR GCRF board by June 2019. 	<ul style="list-style-type: none"> • QR GCRF Board to approve 2020/21 projects/schemes to address capacity and capability with partners. Project plans and costs approved by QR GCRF board by June 2020. • QR GCRF Board to review budget, emerging research outcomes and impacts. 	
<i>P3: Meeting the full economic costs of eligible research funded by other delivery partners</i>	Allocate funds against GCRF/Newton projects	Allocate funds against GCRF/Newton projects	Allocate funds against GCRF/Newton projects

h. The main Development Assistance Committee (DAC) list developing countries you intend to collaborate with.

The upper middle income countries we intend to collaborate with include: Brazil, China, Malaysia, Mexico, South Africa, Thailand and Turkey.

The lower middle income countries we intend to collaborate with are: Ghana, India, Indonesia, Jordan, Pakistan, Nigeria, Tunisia, and Vietnam.

The least developed countries we will intend to collaborate with are: Cambodia, Myanmar Tanzania, and Uganda.

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

Our QR GCRF strategy seeks to strengthen relationships with countries across all categories of the DAC list of ODA recipients, develop sustainable partnerships with upper and lower middle income countries where we have existing relationships, generate new collaborative research projects with partners in lower middle income countries in response to the problems they face, and develop the research capacity and capability with the least developed groups. Given the emerging nature of these relationships it is not possible to identify specific research problems and as such broad outcomes and early stage impacts are identified.

The main intended outcomes of our strategy are:

- An increase in the volume and quality of challenge led applications for interdisciplinary research projects co-created with DAC partners from lower to middle income countries pump-primed by GCRF QR funds. We expect to develop proposals with partners from Ghana, India, Indonesia, Jordan, Pakistan, Nigeria, Tunisia, and Vietnam.
- Co designed and delivered bespoke researcher development to build capacity and capability in partner DAC countries' research communities of Cambodia, Myanmar, Tanzania and Uganda.

We anticipate that secondary outcomes will include:

- An increase in our research networks involving partners from DAC countries.
- An increase in the volume of published outputs co-authored by research partners from DAC partner countries. We have successfully achieved this in our more established relationships with upper middle income countries, such as China. For example, we have joint publications with academics at East China Normal University in Software Engineering and Formal Methods, and with the University of Electronic Science and Technology of China in Artificial Intelligence and Data Science.

We expect the main intended primary impacts to be:

- A strengthening of the research capacity and capability of institutions from the least developed countries on the DAC list of Cambodia, Myanmar, Tanzania and Uganda.
- The creation of research knowledge and innovative solutions to address problems identified by lower middle income countries which may lead to improvements in policies, processes, practice, production, or services and have a beneficial impact on the local economies and communities. For example, in Vietnam, impact may be realised in health informatics and cyber security from our knowledge and research expertise in computer science and our developing relationship with Ho Chi Minh University of Technology.

We anticipate that secondary impacts will include:

- An expansion of the research networks and collaborations of DAC partners as a result of the increase in research capacity and capability.
- An increase in the success rate of research projects submitted in collaboration with DAC means partners will be better positioned to address research in areas they have identified as a priority need.

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.

A GCRF panel will be established to: oversee the allocation of QR GCRF funds; monitor compliance with ODA requirements and progress against outcomes and impacts; ensure projects and other activities are on schedule and the funds are being spent appropriately; and evaluate outcomes.

The GCRF panel will be chaired by the Pro-Vice Chancellor (Research and Innovation) comprise the four Associate Deans for Research and Innovation, four Grand Challenge Leads, the Director of the International Office, the Director of Research and Innovation Services, Head of Research Funding, and a management accountant.

In accordance with current practice regarding internal Grand Challenge funds, the University's Research and Innovation Services (RIS) department will manage the QR GCRF funds in line with the our Financial Regulations and internal policies. A tracking system consistent with how all other funded projects are monitored will be implemented and will include all the key requirements of the QR GCRF guidelines so that all projects can be measured against the ODA compliance and the intended outcomes and impacts. RIS will submit biannual reports to the GCRF panel.

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.

The majority of the funding for 2018/19 is allocated to the International Networking Funds scheme with lower middle income countries. This will allow academic staff to put forward proposals based on their emerging networks and linked to the strategic priorities agreed by the GCRF Board. This activity will require the largest share of the resources to support a targeted range of networking activities, leading to the development of pump-priming projects in years two and three, and later to larger-scale collaborative proposals for external funding.

The allocation to the activities with the least developed countries are based on anticipated travel costs for the purposes of establishing MoUs with key partners, and running workshops to explore research capacity and capability requirements. A selected group of key staff, representing the University's core research areas aligned to the GCRF themes, will travel to each country in order to foster and extend existing relationships to encompass engagement with research. This activity will also lead to the development of projects to address capacity and capability projects in years 2 and 3.

A maximum 10% of the University's total allocation will contribute to the FEC of an ongoing project with a DAC middle income nation, Malaysia

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.

We have split the 2018-19 QR GCRF allocation across the three priorities identified in our strategy. If the 2018-19 allocation reduction was marginal then we would continue to allocate the funding based on these percentages. If the 2018/19 QR GCRF decrease was significant we would reduce the allocation against priority 1 (to develop networks in upper and lower middle income countries to pump prime research collaborations and build sustainable research partnerships) and continue fund priority 2 (to build research capacity in least developed countries). We do not have well developed relationships in the least developed countries and believe this is where our research activities could add greatest benefit.

If the 2018/19 allocation significantly increases we would develop a priority to build on the impact of the ODA funded projects we are already undertaking with upper and lower middle income countries on the DAC list. These include Brazil, Malaysia, Mexico, Tunisia, Turkey, and Vietnam.

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.

The 2019-20 priorities support international networking (at 20%) but introduce funds for pump priming projects to generate future GCRF funding applications (at 40%) and funds to support capacity and capability building activities (30%). The overall proportion of funds allocated to support lower middle income and least developed countries will increase to approximately 80% of our QR GCRF allocations.

If 2019-20 funds are decreased we would continue to support the three strands of work by applying the percentage split to the overall allocation but work with fewer countries focussing on those that would benefit most. This is based on the assumption that funding in 2018-19 had not been reduced and the international networking, partnership development activities and workshops to develop capacity building had taken place. However, if allocations had been reduced in 2018-19, *and* 2019-20 we would prioritise the capacity and capability development work.

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.

The priorities for 2020-21 are to equally support 'developing networks in upper and lower middle income countries' through pump priming activities (45%) and 'capacity and capability development' (45%) while providing a contribution to the 'full economic costs of eligible research (10%)'. We would expect more than 80% of total spend to be targeted and won with lower middle income and least developed countries.

If the 2021-21 QR GCRF decreases marginally we will continue to support the three strands based on the percentage split but focus our research effort where it would be of most benefit to the partner. The GCRF panel would determine which activities would be selected for funding. This is based on the assumption that the previous years' activities had taken place and we had entered into collaborative delivery of capacity and capability development or agreements to deliver pump priming activities. However, if the allocation was reduced over the full three years we would focus our support on building capacity and capability in the least developed countries for the reasons outlined in the response to question 6 above.

If the 2020-21 QR GCRF allocation increases significantly we will review our outcomes to date and consider how we could best build on these outcomes as well as deploy funds to support activity beyond 2021 through expanding our international DAC countries network. This would entail increasing the allocation for 'developing international networks' as well as providing additional funds for 'pump priming activities' to develop collaborative bids with lower middle income countries and those partners from the least developed countries we have supported through capacity and capability activities.