



UK Research
and Innovation

*Working together to address the Sustainable Development Goals
through strong Africa-UK research collaborations*

ARUA-UKRI GCRF Partnership Programme: Research Excellence Call - full proposals (invited only) - Call Text

Closing date: 21 November 2019 (16:00 UK time)

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Summary of Partnership

The partnership between the Global Challenges Research Fund (GCRF), funded through UK Research and Innovation (UKRI) and the African Research Universities Alliance (ARUA) has two main objectives:

- to build significant capacity for research and innovation across African universities;
- to provide opportunities for African research teams and GCRF grant-holders to co-create new projects that build on current investments by GCRF and ARUA.

The partnership between ARUA and UKRI builds on the shared commitment to research addressing the Sustainable Development Goals (SDGs) and to capacity building for research in Africa. It aligns with key pillars of the GCRF strategy: to promote challenge-led disciplinary and interdisciplinary research for development, and to build equitable collaborations to strengthen capacity for research, innovation and knowledge exchange in both the UK and developing countries.

Background

The GCRF is a five-year £1.5 billion funding stream, announced as part of the Government's 2015 spending review. It forms part of the UK's Official Development Assistance commitment, to support cutting-edge research which addresses the problems faced by developing countries.

Engaging with pan-African organisations has been identified as a priority for GCRF, given the predominance of low-income countries within the continent. As part of this, there is a focus on capacity building and equitable partnerships.

ARUA is an emerging alliance of research-intensive universities across Africa, bringing together sixteen of the region's leading universities to significantly expand and enhance the quality of research carried out in Africa. In order to help address the region's development challenges ARUA has established and invested in 13 Centres of Excellence (CoEs). These centres are focal points for aggregating their leading researchers to undertake collaborative research in priority areas. They also work regionally to support capacity building at less research-intensive universities. The current 13 CoEs map onto the SDGs or specific aspects within them. The CoEs each operate in one of the 13 priority thematic areas that ARUA has adopted and are interdisciplinary in nature. The thematic areas are:

Climate Change	Poverty and Inequality
Food Security	Unemployment and Skills Development
Energy	Notions of Identity
Water Conservation	Good Governance
Materials Development and Nanotechnology	Urbanisation and Habitable Cities

Non-Communicable Diseases	Migration and Mobility
	Post-Conflict Societies

The first Call under the Partnership Programme for Capacity Building with ARUA Centres of Excellence was the Capacity Building Call. The Call aimed exclusively to invest in and build capacity at ARUA's 13 CoEs through a hub-and-spokes model that support researchers, workshops, networking, researcher exchange and interactions with research projects. This Research Excellence Call is the second Call under the Partnership Programme and will link the ARUA CoEs to one or more of the GCRF awards to UK Higher Education Institutions and PIs.

The Research Excellence Call - Framing

This call will seek to forge new relationships, create meaningful and productive linkages and secure synergies between the ARUA CoEs and UK GCRF awards and award holders, who together will build on existing activity to develop new proposals / projects explicitly aligned to the SDGs. Evidence used to review delivery on the overall aim and objectives of the call will include joint publications, joint supervisions, joint appointments, division of funding, leverage of additional funding from UK Higher Education Institutions.

Proposals should be firmly anchored in the existing expertise of the ARUA and UK PIs and Co-Is and clearly set out how they plan to connect and build upon that expertise to undertake new research.

Proposals will be assessed on: the excellence of research; the quality and strength of the proposed partnership; the potential to add significant value to existing ARUA and GCRF investments; the opportunities provided to African-based researchers to link into, build on and add to GCRF awards; the contribution to encouraging the participation of women in the research teams and addressing gender inequalities in the research.

Working through a "hub and spokes" model, proposals must also set out how applicants will work through ARUA members to reach out to and beyond less research-intensive African universities and what benefits this is expected to bring.

For this Call, UKRI and ARUA have agreed that:

1. The SDGs are a helpful framework that the Research Excellence call has been established to address.
2. Proposals to the Research Excellence Call may be framed on the themes of the Centres of Excellence.
3. We also encourage meaningful linkages / synergies between Centres of Excellence, coming together to address the SDGs or themes that arise out of the CoEs, where proposals are anchored back into the thematic expertise of the individual CoEs.
4. We are aiming to support six projects for up to £2M each.

Through the Research Excellence Call ARUA and UKRI are seeking:

5. To support excellent high-quality joint research projects seeking to address the UN Sustainable Development Goals and/or CoE themes through a programme of research collaboration.
6. To provide opportunities for African-based research teams and UK researchers to jointly develop and undertake high-quality new research projects that build on and add value to current investments by GCRF and ARUA.

7. To support projects which will work through the “hub and spokes” model to build capacity at less research-intensive African universities as well as at the hubs. Evidence used to review this during the projects will include joint publications, joint supervisions, joint appointments, division of funding, outputs and supervision led by the spokes
8. To support proposals that encourage the participation of women and address gender inequalities.

Call information

Under this Call, UKRI aims to support six awards over three years for up to £2 million each, subject to proposals reaching the required quality threshold, up to a total of £12m. The six successful proposals will be selected to ensure they form a balanced portfolio. Applicants can apply for up to £2m over a fixed three-year period (1 April 2020 – 31 March 2023) using the Network Plus model or a standard collaborative research proposal model. All awards will be expected to adhere to UKRI Grant Terms and Conditions.

UKRI support will build on the support provided by ARUA host universities for costs for their CoE(s), including the CoE Director’s salary.

This Call aims to build on the support provided through the first Capacity Building Call and provide opportunities for African-based research teams and UK-based GCRF grant-holders to co-create new projects that address the UN Sustainable Development Goals and/or CoE themes through a programme of research collaboration. Proposals must build on current investments by GCRF and ARUA and should make clear how they will build on, and not duplicate, the support provided through the ARUA–UKRI Capacity Building Call.

Key dates

1 October 2019	Full Call opens for invited submissions only
21 November 2019 16:00 UK time	Full Call closes
November 2019 – January 2020	Internal checking of applications and peer reviews
Early February 2020	Panel meeting
Late February / Early March 2020	Funding decision is announced
1 April 2020	Awards start

Eligibility

UKRI invites PIs who successfully submitted an outline proposal under this Call to submit their full proposal based on their outline proposal.

Principal Investigators (PIs) – For this Call the PI must be based in Africa and supported by ARUA’s approved 13 CoEs (see Annex 1: List of ARUA Centres of Excellence). They must be based at and employed by one of the ARUA host universities. It is not a requirement that the PI is the CoE Director. The PI **should be the most appropriate African-based researcher** based at and employed by one of the ARUA host universities. **The CoE Director should provide a letter of support stating why and how they will support the proposal if they themselves are not the PI.**

The PI must have completed a PhD or have equivalent experience and have a permanent position or fixed-term contract for the duration of the award at one of the ARUA host universities.

Co-Investigators - The Co-Is must also have completed a PhD or have equivalent experience and have a permanent position or fixed-term contract for the duration of the award at an eligible research organisation either in a (recipient) country on the OECD DAC list or in the UK. A minimum of two Co-Investigators (Co-Is) must be involved in the application. Co-Is on this Call may be from: the UK, ARUA host universities, ARUA hub/ spoke universities, and other eligible African organisations. **A minimum of one UK Co-I, who has received previous GCRF funding as a PI or been involved in a GCRF funded research project as a Co-I, must be involved in the application.**

Partners – Applicants are strongly encouraged to partner with appropriate academic and non-academic partners. This can include policy makers, practitioners, businesses and other users of research. These individuals/organisations do not need to have been partners on the original GCRF award(s). You should identify key individuals/partners within your Case for Support.

Eligible research organisations are education organisations, public laboratories, or other non-profit research-intensive organisations. The criteria for organisational eligibility are outlined in the table below; this should include a letter from the Vice-Chancellor (or someone of equivalent standing) from the PI’s institution confirming how the institution meets these criteria.

The eligibility criteria below, particularly the eligibility of non-UK based academics to act as the lead applicant, **refers to this call only**. Eligibility for this call does not confer eligibility for any future UKRI or GCRF calls.

<p>Ability to deliver</p>	<ul style="list-style-type: none"> • provide evidence of a strong track record of maximising the wider impact and value of its research to the benefit of local economies and society; • have a cohort of researchers (normally a minimum of 10) with sufficient capacity to deliver research and a demonstrated track record. This should include a significant number of publications in journals and/or monographs with key academic publishers, and/or other outputs that have been subject to peer review. Journal quality should take into account benchmark measures appropriate to the regional context and research disciplines; • have a track record of staff, while employed at the organisation, leading or co-leading innovative research projects in the previous five years including, if applicable, directing postdoctoral researchers and/or research students; and • have sufficient financial support for research at the organisational level to ensure the availability of essential infrastructure and the long-term sustainability of research activity, as evidenced by research project income across all projects totalling at least £100k pa over the previous three years.
<p>Governance and control</p>	<ul style="list-style-type: none"> • be a higher education organisation • have a governing board with independent representation appointed to jointly oversee the management of the whole organisation;

	<ul style="list-style-type: none"> • have satisfactory processes for preventing, detecting, reporting and responding to allegations of fraud, bribery and corruption; • have satisfactory processes for the effective collection, management, analysis and dissemination of data; • have satisfactory processes in place that meet Research Integrity and Ethics requirements, including processes for dealing with allegations of misconduct; • be subject to an independent annual audit; and • have measures in place to prevent and mitigate conflict of interest which could affect employees or governing board members participation in decision-making.
Financial stability	<ul style="list-style-type: none"> • be permitted by their country's government to receive funding from foreign sources; • have a bank account that is in its legal name; and that can be reconciled to the finance management system; • have a basic finance management system that can be used to reconcile the bank account, to record all cash and payments ensuring that all transactions can be individually identified and provides suitable storage for supporting documentation; and • have satisfactory procedures in place for making payments for per diem, travel advances or review of receipts and subsequent reimbursement of expenses for approved official travel.
Sub-contract Management	<ul style="list-style-type: none"> • Ensure there is a policy in place to sufficiently manage sub-contractors including provisions for ensuring their compliance with Research Council terms and conditions.

Applying

Proposals must be submitted [via the Je-S system](#). The closing date and time for outline proposals are **21 November 2019 at 16:00 UK time**. **Late submissions will not be accepted.**

All applicants named on the Je-S form **must be registered as users of the system** well before the application is submitted. Please note that the Je-S registration process for overseas Investigators takes up to **three weeks**, and so the Centre Director is advised to register as early as possible. Guidance on how to create an account [is available from the Je-S Helpdesk](#). Applications cannot be processed if this has not been done.

Je-S Guidance notes for applicants for full proposals under this Call will be available alongside the Call document on the UKRI website.

Submitting the full proposal

All applicants who are to be named as the Principal Investigator or Co-Investigator on the proposal need to have a Je-S account.

To create your proposal:

1. Log in to [Je-S](#).
2. On the Documents screen, select 'New Document'
3. On the Add new document screen: Select 'Call search' (highlighted at top of screen). When prompted type in the outline call title (*ARUA-UKRI GCRF*)

Partnership Programme - Research Excellence) and select from the list created. The remaining selection fields will be automatically populated.

4. Select the 'Create Document' button.

In addition to the single **standard proposal document**, the full proposal must consist of the following documents as JeS attachments:

Document	Maximum page length	Je-S attachment type	Mandatory
Case for Support	8 pages	Case for Support	Mandatory
PI's CV	2 pages	C.V.	Mandatory
CoIs' CVs	2 pages per CV	C.V.	Mandatory
Workplan	1 page	Workplan	Mandatory
Justification of Resources	3 pages	Justification of Resources	Mandatory
Pathways to Impact	2 pages	Pathways to Impact	Mandatory
Letter of support from ARUA CoE host university	2 pages	Letter of support	Mandatory
Letters of Support	2 pages per letter	Letter of support	Mandatory
Letter of support from CoE Director for PI	2 pages	Letter of support	Mandatory if PI is not the CoE Director
ODA compliance statement	1 page	Non-UK Component	Mandatory
Gender Equality Statement	1 page	Non-UK component	Mandatory
Safeguarding Statement	1 page	Non-UK component	Mandatory
Data Management Plan	2 pages	Data management plan	Mandatory
Cover letter	1 page	Proposal cover letter	Optional

No other attachments are permitted.

At a minimum, font size 11 in Arial or other sans serif typeface of equivalent size to Arial font size 11 must be used for the entire Case for Support and CVs.

Please note that on submission all non-PDF documents are converted to PDF. The use of non-standard fonts may result in errors or font conversion, which could affect the overall length of the document. Additionally, where non-standard fonts are present, and even if the converted PDF document may look unaffected in the Je-S System, when it is imported into the Research Councils Grants System some information may be removed. We therefore recommend that where a document contains any non-standard fonts (scientific notation, diagrams etc), the document should be converted to PDF prior to attaching it to the proposal.

Applications not complying with the call requirements may be rejected.

Standard proposal document

In particular, please note the following:

Entering applicants

- All principal and co-investigators must have a fully registered Je-S account. Applicants that do not currently have a Je-S account type 'Research

Proposals' should visit Je-S Home Page to create and submit an account request. These accounts must be set-up by the individual. Please ensure that you **submit any account requests as soon as possible**.

[https://je-](https://je-rcuk.ac.uk/JeS2WebLoginSite/TermsConditions.aspx?mode=account_setup)

[s.rcuk.ac.uk/JeS2WebLoginSite/TermsConditions.aspx?mode=account_setup](https://je-rcuk.ac.uk/JeS2WebLoginSite/TermsConditions.aspx?mode=account_setup)

- Please note that UK Co-Is require third party verification from their host research organisation, before the Standard proposal document can be submitted. Overseas Co-Is require 'Research Proposal' type Je-S accounts which may require verification by their organisation.

Entering overseas costs

- All overseas costs must be entered into the standard proposal document as Other Directly Incurred costs and flagged as exceptions.
- Non-UK Co-Is must enter their time allocation under 'Directly Allocated' but should enter the salary rate as zero. All costs associated with non-UK investigators - whether salary, fieldwork, equipment, indirect costs or travel and subsistence - will need to be entered under 'Other Directly Incurred Costs' in the Resources section of the form and the 'Exceptions' box will need to be ticked for each item.
- All overseas costs must be entered into the Other Directly Incurred costs using the following format: In the description box you should enter - 'Organisation: Country: Cost Category: Cost Description. The cost categories for this call are as follows:
 - Staff
 - Other Directly Incurred Costs
 - Indirect Costs
 - Travel and Subsistence

For example:

University of Nairobi: Kenya: Staff: 1 x PDRA

University of Nairobi: Kenya: Travel and Subsistence: 4 x flights

University of Nairobi: Kenya: Other Directly Incurred Costs: 5 x Workshops including catering and accommodation

Research ethics

- Applicants should use the Ethical Information section to demonstrate to reviewers that they have fully considered any ethical issues concerning the material they intend to use, the nature and choice, current public perceptions and attitudes towards the subject matter or research area. Describing potential issues gives confidence to reviewers that the applicants have thought carefully about the project. The research councils will not fund a project if they believe that there are ethical concerns that have been overlooked or not appropriately accounted for. Each section of the ethical information must be completed. Applicants must ensure the proposed research will be carried out to a high ethical standard and must clearly state how any potential ethical and health and safety issues have been considered and will be addressed ensuring that all necessary ethical approval is in place before the project commences and all risks are minimised.

Application summaries

- The 'Summary' and 'Impact Summary' sections will be made available on the Gateway to Research database and research council websites, therefore applicants should ensure that these are written in plain English and any confidential information is not included in these sections.

Please note that typing into a text box is not detectable by the system and is regarded as system inactivity. Please remember to save text regularly.

Full guidance on the Je-S system can be found via the Je-S help text. This is available in every page of your Je-S form, simply click on the question mark against any section (or on the word 'Help' in the top right-hand corner of each page).

Case for Support

This is the body of your proposal. It must not exceed eight pages and must include the following sections:

Strategic rationale

This section should clearly outline articulate the challenge(s) being addressed, how you aim to build on the support provided through the first Capacity Building Call (if you were awarded funding under that Call), and how you will provide opportunities for African-based research teams and UK-based GCRF grant-holders to co-create new projects that address the UN Sustainable Development Goals and/or CoE themes through a programme of research collaboration.

Proposals must build on current investments by GCRF and ARUA and should make clear how they will build on, and not duplicate, the support provided through the ARUA–UKRI Capacity Building Call.

The proposal must also clearly identify and name the UK Col's GCRF grant, the size of GCRF award in £s and how it directly relates to the proposal.

Vision and Objectives

The overall vision and objectives of the proposal, setting out the proposal's relevance to the call. This should include an overview of the major sustainable development challenge(s) being addressed, the strategy to address these challenges, and the expected outcomes of the proposal. If your proposed proposal addresses a number of challenge areas, you should identify the primary challenge area which you are addressing and set out how you will contribute to the other challenge area(s). This might include deepening our understanding of how they relate to each other, potential trade-offs, and cross-cutting or underlying issues that affect all of them. You should demonstrate the ways in which your proposed proposal will enable new perspectives not constrained by disciplinary silos. You should also address how your proposal will add value to existing work on the challenge being addressed. You should also address how your proposal will build on current investments by GCRF and ARUA.

Capacity and capability of the Team

This section should outline the track record, knowledge and expertise of the team, including their proposed contribution to the programme; evidence they have the necessary diverse set of skills to deliver the vision and objectives; and demonstrate a clear capacity to conduct meaningful, well integrated and robust interdisciplinary research. You should also provide an overview of the relevant research environments.

Capacity building and international partnerships

Clearly articulate the strategy to enhance and build transparent, meaningful and lasting equitable partnerships of mutual benefit with researchers and other partners (including business, third sector organisations, and governments) in Africa and in the UK.

Programme of Activities

An outline of the planned events, who the key stakeholders will be, and what outcomes might be generated from them. Proposals should also be aiming to set up a legacy of impact, for example, by working with non-academic stakeholders (practitioners, industry, governments etc.), and this section should detail how they will be engaged in the Proposal events and what the expected impacts of the events

will be. This section should also include details of how the Proposal plans to disseminate the outcomes of its activities. Details must be given in this section of what consideration has been given to underrepresented groups, genders or others with protected characteristics; this includes the membership of the proposal, as well as the planning of events and outcomes. You should describe your strategies for maximising inclusion. You should also consider your monitoring and reporting processes to allow for differentiation by gender and other protected characteristics (for example, data on meeting participants, which should be voluntary). Applicants should also consider any possible negative impacts of the proposed project on inequalities of different genders, and how the project proposes to monitor and remove these. You must also detail your safeguarding policy in this section. UKRI condemns all forms of harm and abuse, including bullying and harassment. We take a zero-tolerance approach to harm and abuse to any individual employed through or associated with our programmes in all contexts. We expect institutions to promote the highest standards in organisational culture and have in place the systems and procedures required to prevent and tackle all incidents of harm and abuse. Applications must detail how they will identify and manage safeguarding risks and what policies and procedures will be in place to enable reporting and investigation of allegations if they arise. This may include, for example, a code of conduct to which proposal members should sign up.

Partnerships and Collaboration

The strategy to build on existing ARUA and GCRF awards and to enhance and build meaningful and lasting partnerships with researchers and other partners (business, third sector organisations, governments) in developing countries, including how the programme will facilitate and promote collaborative and cross-disciplinary ways of working and assemble the disciplinary expertise necessary to tackle the development challenge/s in question. Proposals should be open, and this section should articulate a clear plan for encouraging and building wider membership. Part of the capacity and capability growth should be enabling groups and individuals to respond to future funding opportunities, such as other GCRF calls.

Leadership and management

Clearly articulate the proposed governance framework of the partnership. How will the governance framework ensure that the partnership is equitable, transparent and of mutual benefit to all parties? Areas to consider include the processes that the partnership will use to:

- Develop and agree research questions, research approaches and research methods
- Identify roles and responsibilities of partners
- Ensure transparency of budgets
- Ensure transparency of decision-making processes.
- Share information including data and research outputs
- Determine how and when results and outputs are disseminated
- Determine authorship, conference attendance and interaction with stakeholders
- Manage ownership and control of products and specimens including data, results and intellectual property
- Manage and resolve conflict within the partnership
- Evaluate and monitor the health of the partnership

Organisation, governance and evaluation

This section should comprise of 3 parts:

Part 1: A description of the plan for the research and operational management of the proposed Network Plus or collaborative research project, including the approach to financial and risk management, assurance and governance. Further guidance on

the minimum requirements for governance and project management organisation are included in the guidance documents section of the call webpage.

Part 2: A 1-page draft theory of change providing a high-level summary of the initial plans and expectations. This should be in diagrammatic form. Guidance for developing a theory of change is included in Annex 2.

Successful awards will need to provide a finalised theory of change along with a log frame and more detailed evaluation and monitoring plan within 6 months of the start date.

Part 3: A monitoring and evaluation framework. This should address the following questions:

- How the project's monitoring and evaluation be managed in terms of governance and broader project management?
- With reference to your theory of change, explain the main components of the monitoring and evaluation for the project. This section should account for:
 - how progress will be identified and monitored;
 - how research impact against relevant challenge will areas be measured;
 - how work in other key areas, such as capacity building and equitable partnership, will be tracked;
 - how attribution will be demonstrated.

Statement of added value

This section should clearly set out the benefit of the proposed collaboration to UKRI, GCRF, ARUA and the SDGs.

Justification of Resources

(See also section 'Entering overseas costs' on page 8.)

All resources requested (directly incurred, directly allocated and exceptions, including PI) must be fully justified.

Indirect costs

The rates of indirect costs that can be funded on an application under this Call are up to 30% of the total direct costs incurred. These should cover those costs which would be considered as part of the cost of running an effective office or research institution.

The following costs may not be included as direct costs for this call and therefore must be included in the requested indirect costs:

- Charges for office or laboratory space
- Electricity, heating, lighting
- Telephone and basic communication costs (unless there is need for significant project-based activities such as phone interviews)
- Routine photocopying and printing (Large print runs such as publications or workshop papers may be charged to the grant)
- Standard Office computing, including desktop and laptop computers and associated software. Individual items of computing equipment may not be charged to a grant (High performance computing facilities which are linked to a specific research task may in some circumstances be charged to the grant – for further clarification please check with UKRI)
- Office support staff (e.g. finance staff, basic secretarial support, computing support staff)
- Continuing Professional Development for staff Indirect costs should be fully justified in the justification of resources document

All costs incurred in countries on the DAC list of recipients are eligible to receive 100% of the requested cost. Any UK costs requested will be awarded at 80% full economic cost (fEC) in line with standard UKRI rules as per the following table:

Research Organisation Location	Direct Costs	Indirect (overheads and Institutional) costs
DAC list countries	Up to 100% eligible costs	Up to 30% of eligible direct costs
UK	Current fEC policy (80% direct & indirect)	

Salaries and support costs: All staff costs must be based on local standard basic salaries (i.e. not Co-I day or consultancy rates). It is recommended these costs are agreed with your Institution before submitting the application.

The following costs are not eligible under this call:

- Individual items of equipment above £10,000. Small equipment and consumables may be requested where appropriate as long as individual items are below £10,000.
- Capital or infrastructure expenditure.
- Fees and/or stipends associated with Masters and PhD studentships. Project specific travel and subsistence and research costs associated with students may be included.

In addition, a table providing a brief summary of the organisational contributions from each organisation involved in the project should be provided. It is suggested that this comprises no more than 1 page of the Justification of Resources.

Workplan

This should be a stand-alone document and it cannot be used to extend the case for support. Project-specific timelines and milestones should be clearly and accurately shown. Use of a Gantt chart focusing on the visual diagram with minimal text is recommended.

CVs

CVs should be included for the Principal Investigator and all Co-Investigators. Each CV should be no more than 2 pages (including publications).

Letters of Support

Please attach letter-headed letters from all research partner organisations (Africa and UK) involved, signed by the Pro-Vice Chancellor (or equivalent). The letter should summarise the organisation's support for the project, confirm that they are able to meet the eligibility and assurance requirements and agree to provide information to UKRI when requested. A contact email address for any due diligence enquiries should also be included.

Project Partner Letters of Support

Letters of support are also required from all project partners involved in the proposal and listed on the Je-S form. These should:

- confirm their rationale for support for the programme and describe how they have been involved in the preparation of the proposal
- confirm any contribution of cash and in-kind support

- show an outline of their intended involvement during the lifetime of the programme and be dated and on headed paper, making clear the role of the signatory in the stakeholder organisation

Letter of Support from the ARUA CoE host university

Applicants must include a letter of commitment from the Pro-Vice Chancellor or equivalent of the lead organisation, including an outline of the proposed commitment from all partner organisations. This should be on headed paper. The Letter should clearly:

- Outline and confirm the university's contribution, financial and otherwise
- Outline their intended involvement during the lifetime of the award.

Letter of support from CoE Director for PI (optional)

The PI should be the most appropriate African-based researcher based at and employed by one of the ARUA host universities. The CoE Director should provide a letter of support setting out why and how they will support the proposal if they themselves are not the PI.

ODA compliance statement

To comply with ODA requirements, proposals must make clear how their primary purpose is to promote the economic development and welfare of a developing country or countries. There are no priority countries, proposals may relate to any country or countries on the DAC list except those which are flagged as likely to graduate from the list during the course of the proposed project. If a country is flagged as likely to graduate it cannot be the primary focus of a proposal, although it can be included as an additional case study or comparison.

Applicants must clearly demonstrate how they meet ODA requirements. In addition, all proposals must include a mandatory 'Non-UK Components' attachment addressing the following three questions:

1. Which country / countries on the DAC list will directly benefit from this proposal?
2. How is your proposal directly and primarily relevant to the development challenges of these countries?
3. How do you expect that the outcome of your proposed activities will promote the economic development and welfare of a country or countries on the DAC list?

Be clear about what stakeholder groups you expect to benefit from this project and avoid making generic statements.

General advice on ODA and links to other useful sources of information are provided on [the UKRI website](#) and UKRI guidance on ODA in relation to GCRF [is available here](#).

Initial ODA compliance assessment will take place within the UKRI, though final decisions may include input from commissioning panels as well as external sources of ODA expertise.

Gender Equality Statement

Official Development Assistance provided by UKRI must comply with the requirements of the International Development (Gender Equality) Act 2014 which states, the "desirability of providing development assistance that is likely to contribute to reducing poverty in a way which is likely to contribute to reducing inequalities between persons of different gender".

Applications must include a Gender Equality Statement, outlining how applicants have taken meaningful yet proportionate consideration as to how the project will

contribute to reducing gender inequalities. This must be no longer than a one page and is a mandatory attachment.

Applicants are required to address the below criteria, with an understanding that, depending on the nature of their research and innovation, not all questions will be applicable.

Criteria to address while considering gender impact:

- Have measures been put in place to ensure equal and meaningful opportunities for people of different genders to be involved throughout the project? This includes the development of the project, the participants of the research and innovation, and the beneficiaries of the research and innovation.
- The expected impact of the project (benefits and losses) on people of different genders, both throughout the project and beyond.
- The impact on the relations between people of different genders and people of the same gender. For example, changing roles and responsibilities in households, society, economy, politics, power, etc.
- How will any risks and unintended negative consequences on gender equality be avoided or mitigated against, and monitored?
- Are there any relevant outcomes and outputs being measured, with data disaggregated by age and gender (where disclosed)?

UKRI reserves the right to reject a proposal where the Gender Equality Statement has not been sufficiently considered with no attempt to address the criteria above.

A link to further guidance for applicants on Gender Equality Statements [is available here](#).

Safeguarding Statement

UKRI condemns all forms of harm and abuse, including bullying and harassment. We take a zero-tolerance approach to harm and abuse to any individual employed through or associated with our programmes in all contexts; whether in humanitarian or fragile and conflict-affected settings, in other field contexts, or within the international or UK research and development community which we fund. We expect institutions to promote the highest standards in organisational culture and have in place the systems and procedures required to prevent and tackle all incidents of harm and abuse. Applicants should clearly state how they will meet/address the safeguarding guidelines before the project can start. The statement must detail:

- how safeguarding risks will be identified and managed
- what policies and procedures will be in place to enable reporting and investigation of allegations if they arise.

Data management plan

UKRI recognises that plans for sharing data will vary according to the type of data collected. Data sharing should be driven by scientific benefit and should also be cost effective. Data should be shared using established standards and existing resources where this is possible.

Applicants should include details of:

- Data areas and data types – the volume, type and content of data that will be generated, e.g. experimental measurements, models, records and images
- Standards and metadata – the standards and methodologies that will be adopted for data collection and management and why these have been selected
- Relationship to other data available in public repositories
- Secondary use – further intended and/or foreseeable research uses for the completed dataset(s)

- Methods for data sharing – planned mechanisms for making these data available, e.g. through deposition in existing public databases or on request, including access mechanisms where appropriate
- Proprietary data – any restrictions on data sharing due to the need to protect proprietary or patentable data
- Timeframes – timescales for public release of data
- Format of the final dataset

Covering letter (optional)

Within the covering letter you may wish to reference any significant updates or changes to the proposal since the outline stage, for example the addition of new Co-Investigators or partners. You may also wish to refer to any specific changes implemented to address points of feedback from the outline panel.

Network Plus model:

Your proposal should clearly state if you are using the Network Plus Model.

Applications using the Network Plus model should aim to facilitate the development of partnerships between researchers, NGOs, policymakers and practitioners, allowing for integrated and cross-cutting activities. Devolved funding is also permitted within a Network Plus grant, allowing for flexible activities that can respond to emerging priorities.

As funding will be allocated from the Global Challenges Research Fund (GCRF), which forms part of the UK's Official Development Assistance (ODA) commitment, funds will be awarded in a manner that fits with ODA guidelines. All applications will have to make a clear case for how they comply with ODA guidelines.

Networks should be able to show a tangible contribution to scholarship on the CoEs' themes and related SDGs and should be able to:

- help facilitate dialogue between policymakers – international, regional, and local – and interdisciplinary and cross-border researchers to mitigate the potential negative effects and enhance the positive results of future programmes and policies
- consider their impact on social, communal and political behaviours and attitudes across periods of time that extend far beyond the limitations of funding cycles.

Most importantly, networks funded by this call should seek to help fulfil GCRF's goal of cutting-edge, impactful, and interdisciplinary development research that leaves no-one behind.

The successful Network Plus application funded through this call will be expected to:

- bring together relevant disciplines and stakeholders to build a community of practice spanning the relevant fields of the CoEs' themes and SDGs
- build on existing GCRF-funded projects, collaborating with GCRF project PIs and Co-Is
- draw together existing and emerging knowledge
- deliver evidence that policymakers and practitioners need to harness the themes of the CoE or themes of the CoEs as a driver for development.

Successful Networks should engage with the [UKRI Challenge Leader\(s\)](#) relevant to their portfolio. This may include invitations to meetings and events, or an advisory role. The nature and extent of that engagement will depend on the range of

networks funded in each portfolio and will be discussed with successful Networks after an award has been made.

Expectations of a Network Plus grant

The 'Network Plus' model is a flexible mechanism whereby funding will be allocated to the ARUA CoE's host university to support a cross-institutional leadership team and international and non-academic partners. Each Network Plus will facilitate the development of South-South and South-North partnerships between academics, NGOs, policymakers and practitioners, allowing for integrated and crosscutting activities. They will be a source of robust evidence that informs debate and feeds into policy and practice. Collaboration with stakeholders will be key in order to co-create evidence and outputs that meet users' needs, such as briefing papers, thematic reports, 'rapid response' evidence, informational events and data visualisation. Through devolved funding (a flexible fund), the model allows for a proportion of costs to be allocated to flexible and agile activities that can respond to emerging priorities. Each Network Plus will undertake three interconnected strands of work:

1. Scoping, research leadership and partnership development activities to build sustainable partnerships between African-based researchers and UK / international partners in the region/area/countries in order to identify research needs and opportunities and to co-design and co-develop research agendas to be explored through research and knowledge exchange calls. Eligible activity within this strand could include:

- partnership development and knowledge exchange activity
- seminars and workshops to explore and develop priority challenge areas
- scholar exchanges
- training and skills development programmes
- support and mentoring for early career researchers
- placements for academics at partner organisations to develop joint research programmes
- local asset, landscape or network mapping
- literature / evidence reviews
- exploratory, feasibility and proof of concept projects.

2. Funding calls for innovative projects / activities to address the identified challenges and with the capacity to respond to new priorities and crises as they emerge. Eligible activity within this strand could include:

- funding for new collaborative research projects, including 6-18 months pilot projects, exploratory and innovation studies, data exploration, fieldwork and support for projects led by early career researchers (with mentoring where appropriate)
- conferences, workshops and seminars; and fellowships, exchanges and placements.

All projects should be collaborative between the African-based PI and the CoE; the Co-I(s), and partners in the given areas/regions. Funding for individual projects commissioned through this strand should not exceed £100k. Any projects exceeding £30k must be commissioned through open, peer-reviewed calls that are referred to UKRI – who will support dissemination – before they are issued. Members of the core network leadership team will not be permitted to apply for funding through such open calls.

Outputs and outcomes should be clearly articulated and tailored to the activity and challenge area within the case for support. They could include, but are not limited to:

- policy briefings
- journal articles
- conference papers
- websites and digital resources
- training materials
- creative outputs.

All projects commissioned through this route must demonstrate how they are ODA-compliant and meet the overarching aims of the project. Responsibility for the funding of these grants will be devolved to the leadership team and lead research organisation (if the PI is the CoE Director then the CoE host university, otherwise the PI's university), subject to reporting on quality assurance and ODA compliance to UKRI. Inclusion of costs for this strand of activity in Network Plus applications should be set out in the budget section of the Je-S form and in the Justification of Resources attachment.

3. The co-ordination, networking and synthesis of research funded as a part of the Network Plus grant, including:

- fostering links with other GCRF research (including across disciplines and internationally) relevant to the areas/regions
- support for collective knowledge exchange and pathways to impact activities
- intellectual leadership and support for the development and implementation of a strategic agenda for future research and dissemination
- fostering the sharing of data, insights and experience across disciplines and between project teams
- taking a lead in supporting reflection, learning, synthesis, evaluation and impact assessment across the portfolio of activities
- stimulating/editing collective research outputs; and developing legacy plans.

The distribution of funding across the three strands is at the discretion of the applicants. Successful applicants will be required to submit regular monitoring reports and updates to UKRI, for example to ensure that research projects commissioned under the grant are ODA-compliant.

The Network Plus model is considered to be the most appropriate mechanism for this call on the basis that:

- Embedding the networking/partnership-building activity at the outset of the awards will facilitate the development of the interdisciplinary, international communities required to realise the aims of both strands within this call
- In turn, this will enable the co-development and co-design of an in-country research agenda with the capacity to commission projects aligned with specific development challenges
- It provides an open funding mechanism that can draw on relevant expertise which may be distributed across a wide range of African, UK and other research and partner organisations
- The flexibility afforded by the model will accommodate activity that can be launched quickly and with agility to address new research agendas, challenges and crises as they emerge.

Leadership

The successful Network Plus grant(s) will be led by a strong, interdisciplinary team that can articulate a clear shared vision for the network and the community of relevant stakeholders. They will engage beyond usual stakeholders, supporting interdisciplinary approaches in novel ways. The leadership team should have a breadth of expertise that is commensurate with the complexity of this space; this may require a new grouping of researchers and stakeholders, drawing on strong, existing leadership across related areas.

The leadership team will have demonstrable experience of working with a range of partners, and of supporting novel approaches to current and emerging issues. Given the challenges of undertaking engaged or co-produced activities, they will need to be unbiased and independent, and able to act as figureheads representing the aims of these Network Plus areas.

The leadership team must contribute a significant proportion of their time to the overall leadership and co-ordination of their Network Plus grant. The proposal should outline a clear management structure for the Network Plus, detailing how the network will be managed day to day. We encourage the Network Plus to include an academic network coordinator as part of the leadership team. The Network Plus will also be expected to participate in collaborative activities organised by UKRI. The African-based PI and their RO will be ultimately responsible for the administration of the grant and collaboration arrangements, but they should also work on this with the Co-I (the number should be appropriate for the size of the network) which should reflect the interdisciplinary and sector relevance of the Network Plus. The proposal should clearly explain the division of roles between the PI and the rest of the leadership team. The Network Plus should convene an inclusive advisory committee to support and advise the leadership throughout their project, with consideration to equality and diversity issues.

Costs

Network Director

The Network Director should be the named Principal Investigator on the proposal and may request funds to cover their salary costs for the time spent developing and directing the Network. However, if the PI is the CoE Director, their salary costs should be covered by their ARUA host university.

Co-Director

Requests can also be made for funds to support the salary for the time of ONE Co-Director, who will be named as the Co-Investigator, to assist the Network's Director in this role. This Co-Director can be based either at a research organisation in a country on the OECD DAC list or at a UK research organisation. If based at a UK research organisation, the organisation should provide the figures for these costs to the Network Director to input into Je-S.

Network Manager

Costs can be requested for an appropriately skilled Network Manager (full or part-time) to be responsible for activities such as the day-to-day Network management, event coordination and website development for the Network. The Network Manager may be based in the UK or in an African DAC-list country. They are not required to be based in the same institutions as the PI or Co-Is. The salary of the Network Manager will be awarded at 100% of the requested cost if they are based at an eligible organisation in a country on the OECD DAC list or at 80% if based in the UK.

Funds can also be requested to support the infrastructure required for this role, for example charges for office space, electricity, lighting, printing, telephone and basic communication costs, standard office computing etc. These costs should be part of the overall budget. It should be made clear in the 'Justification of Resources' what these costs are required to cover.

Within the overall budget limit, costs can also be requested for additional administrative support to assist the Network Manager, if required. The time spent on directing and managing the Network should be reasonable and is not expected to form the majority of costs of the proposal.

Network events

Costs for supporting and facilitating meetings and events will be awarded at 100% of the requested cost. These costs should be justified in the 'Justification of Resources' document. It is expected that costs for network events and activities will make up the majority of the requested funds. No infrastructure costs should be claimed in association with Network events. Costs for room hire outside of the participating institutions is an eligible cost but should be justified. Network events should aim to:

- Include a broad range of disciplines and perspectives relevant to addressing the challenge(s) identified.
- Provide a forum to make new connections between researchers and institutions.
- Offer a series of structured activities that build bridges between disciplines and find novel and innovative ways to enable knowledge sharing and collaboration between academic researchers and other stakeholders.
- Engage, where possible, with policy-makers and other stakeholders outside of academia to disseminate the outputs of the network and generate impacts.

Ineligible costs

Capital or infrastructure expenditure is not an eligible cost for this call. Individual items of equipment above £10,000 are not an eligible cost for this call.

Fees and/or stipends associated with Masters and PhD studentships are not eligible under this call; however, Network-specific travel and subsistence associated with students may be included.

Management of Funds

All funds will flow to the Network Director's – the PI's - Institution (the lead organisation). Payment will be made quarterly, in arrears. The lead organisation will then be responsible to disseminating the funds over the lifetime of the award. The lead organisation will have responsibility for managing those funds, including providing audit information to UKRI at regular intervals. Continued funding will be dependent on reporting criteria being met.

Collaboration agreements are not required at the point of submission. For successful Networks collaboration agreements between the lead institution and the Co-Director's institution must be in place within 6 months of the start date for the award and before the flow of any funds.

Collaboration agreements should include details on:

- Transparent budgets and payment schedules to each partner
- Roles and responsibilities of each partner, communication and leadership structure
- Description of the contribution of each partner to the project
- Authorship and use of findings including intellectual property
- Data management plan for accessing and sharing data by partners
- How the project will resolve any problems
- Adherence to the grant Terms and Conditions

Standard collaborative research proposal:

Your proposal should clearly state if you are using the standard collaborative research proposal.

Objectives of a standard collaborative research proposal are to:

- address the aims of the initiative with interdisciplinary collaborations creating critical mass and expertise
- be a focal point for research in the specific chosen research area where researchers can collaborate on long-term research projects
- be a platform for development and enhancement of local partnerships to increase the diversity of voices

Collaborative grants will support high-quality innovative research addressing issues of global importance **in relation to the SDGs and the CoEs' themes** and should be conducted by cross-disciplinary teams of researchers.

Grants should involve research groups from more than one research organisation and should also involve strategic partnerships with other sectors such as practitioners, policymakers, industry and the public, as appropriate. In addition to carrying out high-quality research, the grants will build research capability and capacity in addressing the challenge by attracting new expertise to the field, either through applying existing research strengths in international development contexts, or through development of early career researchers.

Eligible activity

The project should aim to co-create new projects that build on current investments by GCRF and ARUA.

Where appropriate to the project aims and not already being done elsewhere, eligible costs may include synthesis of relevant existing work. Where this is requested, an appropriate sum should be included for communicating outputs of synthesis (alongside other communications costs), and a clear indication in the timeline of when synthesis outputs will be completed by.

We recommend that grants earmark dedicated funding specifically for delivering the activities outlined in the impact summary. Researchers are encouraged to be innovative in the kinds of user engagement, communications and research uptake activities they plan to undertake. [Guidance on developing an impact strategy](#) is available on the ESRC website.

Where proposed research includes the development or evaluation of an intervention, information on potential for replicability, acceptability, affordability and scalability should be included. Projects which assess the effectiveness of a particular intervention without situating that assessment within a broader research and policy context will not be funded.

Leadership

The successful Collaborative Research Grant(s) will be led by a strong, interdisciplinary team that can articulate a clear shared vision for the project and relevant stakeholders. They will engage beyond usual stakeholders, supporting interdisciplinary approaches in novel ways. The leadership team should have a breadth of expertise that is commensurate with the complexity of this space; this

may require a new grouping of researchers and stakeholders, drawing on strong, existing leadership across related areas.

The leadership team will have demonstrable experience of working with a range of partners, and of supporting novel approaches to current and emerging issues. Given the challenges of undertaking engaged or co-produced activities, they will need to be unbiased and independent, and able to act as figureheads representing the aims of these research project areas.

The leadership team must contribute a significant proportion of their time to the overall leadership and co-ordination of their grant. The proposal should outline a clear management structure for the project, detailing the day-to-day management. The management team will also be expected to participate in collaborative activities organised by UKRI.

The African-based PI and their RO will be ultimately responsible for the administration of the grant and collaboration arrangements, but they should also work on this with the Co-Is (the number should be appropriate for the size of the network) which should reflect the interdisciplinary and sector relevance of the project. The proposal should clearly explain the division of roles between the PI and the rest of the leadership team. The project should convene an inclusive advisory committee to support and advise the leadership throughout their project, with consideration to equality and diversity issues.

Costs

PI

Requests can be made for funds to support the Principal Investigator to cover their salary costs for the time spent developing and directing the project. However, if the PI is the CoE Director, their salary costs should be covered by their ARUA host university.

Co-Investigators

A minimum of two Co-Investigators (Co-Is) must be involved in the application. The Co-Is can be based either at a research organisation in an African country on the OECD DAC list or at a UK research organisation. **A minimum of one UK Co-I, who has received previous GCRF funding as a PI or been involved in a GCRF funded research project as a Co-I, must be involved in the application.** Requests can be made for funds to support the salary for the time of Co-Investigators, to assist the PI in this project. For UK Co-Is, their UK research organisation should provide the figures for these costs to the PI to input into Je-S.

Project Manager

Costs can be requested for an appropriately skilled Project Manager (full or part-time) to be responsible for activities such as the day-to-day project management, event coordination, and website development for the project. The salary of the Project Manager will be awarded at 100% of the requested cost if they are based at an eligible organisation in a country on the OECD DAC list or at 80% if based in the UK.

Funds can also be requested to support the infrastructure required for this role, for example charges for office space, electricity, lighting, printing, telephone and basic communication costs, standard office computing etc. These costs should be part of the overall budget. It should be made clear in the 'Justification of Resources' what these costs are required to cover.

Within the overall budget limit, costs can also be requested for additional administrative support to assist the Project Manager, if required. The time spent on

directing and managing the project should be reasonable and is not expected to form the majority of costs of the proposal.

Project events

Costs for supporting and facilitating meetings and events will be awarded at 100% of the requested cost. These costs should be justified in the 'Justification of Resources' document. No infrastructure costs should be claimed in association with project events. Costs for building or room hire outside of the participating institutions is an eligible cost but should be justified. Project events should aim to:

- Include a broad range of disciplines and perspectives relevant to addressing the challenge(s) identified.
- Provide a forum to make new connections between researchers and institutions.
- Offer a series of structured activities that build bridges between disciplines and find novel and innovative ways to enable knowledge sharing and collaboration between academic researchers and other stakeholders.
- Engage, where possible, with policy-makers and other stakeholders outside of academia to disseminate the outputs of the network and generate impacts.

Ineligible costs

Capital or infrastructure expenditure is not an eligible cost for this call. Individual items of equipment above £10,000 are not an eligible cost for this call. Fees and/or stipends associated with Masters and PhD studentships are not eligible under this call; however, Network-specific travel and subsistence associated with students may be included.

Management of Funds

All funds will flow to the PI's institution (the lead organisation). Payment will be made quarterly, in arrears. The lead organisation will then be responsible for disseminating the funds over the lifetime of the award. The lead organisation will have responsibility for managing those funds, including providing audit information to UKRI at regular intervals. Continued funding will be dependent on reporting criteria being met.

Collaboration agreements are not required at the point of submission. Collaboration agreements between the lead institution and the Co-I's institution must be in place within 6 months of the start date for the award and before the flow of any funds.

Collaboration agreements should include details on:

- Transparent budgets and payment schedules to each partner
- Roles and responsibilities of each partner, communication and leadership structure
- Description of the contribution of each partner to the project
- Authorship and use of findings including intellectual property
- Data management plan for accessing and sharing data by partners
- How the project will resolve any problems
- Adherence to the grant Terms and Conditions

Assessment process

Full proposals

Full Proposals will be subject to peer review followed by assessment by panel. The panel will make funding recommendations and rank the proposals in order of priority for funding. There will be a single decision on each proposal. Proposals will have to successfully meet the assessment criteria in order to be funded.

Assessment criteria

Fit to call: proposals will be assessed against the following criteria:

Research quality of proposal

- Anchored by a well-integrated interdisciplinary approach which demonstrates both research excellence and the ability to think across, between and within the Sustainable Development Goals (SDGs), the research must add significant value to current investments by GCRF and ARUA.
- Does the proposal demonstrate high quality research that address the UN Sustainable Development Goals and/or CoE themes through a programme of research collaboration?
- Does the proposed research have the potential to act as an example of research excellence and innovation in the field, to define and drive forward the agenda for the role of interdisciplinary research in international development?

Quality and coherence of the proposed activities

- Assessment will consider the quality and coherence of the activities proposed and determine whether they meet the requirements of the GCRF, particularly in relation to ODA compliance.
- Are the proposed activities appropriate to the impact opportunity that is identified? Are the aims of the project realistic and achievable? Is there a clear explanation for the scale, timing and resources that are requested?
- Does the proposal outline an appropriate framework for monitoring and evaluation, and identify a robust set of deliverables, indicators and measures for success?

International partnerships

- Assessment will consider the degree and quality of engagement with appropriate developing country partners (including researchers, practitioners and policy makers) and the role they aim to play in the design and implementation of the proposed approach.
- Does the proposal provide opportunities for African-based researchers to link into, build on and add to existing GCRF awards?
- The proposal should identify an appropriate range of relevant partners, demonstrating how these partnerships are ethical, equitable and sustainable beyond the initial award. For example, is their engagement meaningful, substantive and clear?
- The applicant should clearly articulate to what extent the award will develop new or enhanced research capacity for addressing international development challenges in the relevant partner countries
- Does the proposal contribute to encouraging the participation of women in research teams and address gender inequalities on the research?

Impact

- Assessment will consider the clarity and significance of the impact from the proposed activities.
- Does the project add significant value to existing ARUA and GCRF investments?
- Does the proposed award identify realistic pathways with the potential to deliver a breadth of significant and measurable impacts?
- Have the applicants taken into consideration the relevant developing country context and demonstrated local appetite and capacity to implement solutions?

- What are the benefits for the researchers and non-academics taking part? Will the project inform future research, establish or strengthen relationships with partners, or increase impact from research already undertaken?

Management capability

- Reviewers and panel members will assess the applicants' capacity to manage the project by considering whether they have demonstrated the appropriate skills and experience to deliver and effectively manage the proposed work.
- Is there an appropriate balance between developed and developing country partners?
- Does the proposed team have the appropriate track record, knowledge and expertise?
- Have the appropriate range of disciplines been identified and is the team well integrated?

Organisation, governance and evaluation

- Does the proposal describe an appropriate plan for the research and operational management of the proposed Network Plus or collaborative research project (including financial and risk management, assurance and governance)?
- Does the proposal outline an appropriate framework for monitoring and evaluation, and identify a robust set of deliverables, indicators and measurables for success?

Value for money and sustainability

- Assessment will consider whether the proposed research is good value for money, i.e. the optimal use of resources to achieve the intended outcome

Ethics

- Are the proposed partnerships ethical and equitable?
- Have the applicants identified the ethical implications arising from the proposed research and provided sufficient detail of how these will be addressed?

Gender Equality

- Does the Gender Equality Statement demonstrated sufficient consideration of gender equality, potential barriers to delivering impact, and/or if there is potential for the proposed research and innovation to exacerbate inequalities?

Duration

Successful proposals must start on 1 April 2020 and be 36 months in duration.

Research ethics

All GCRF projects must be underpinned by a strong research ethic based on mutual respect and understanding for different cultural, ethnic, social and economic beliefs and practices. Solutions to any development challenge(s) must be rooted in, and acceptable to, the institutions, communities and societies where they will operate. Ethical issues should be interpreted broadly and may encompass areas where regulation and approval processes exist as well as areas where they do not. Applicants must ensure that the proposed research will be carried out to a high

ethical standard and must clearly state how any potential ethical and health and safety issues have been considered and will be addressed, ensuring that all necessary ethical approval is in place before the research commences and all risks are minimised. More guidance can be found in the ESRC Framework for Research Ethics: <https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/>

Capacity-building

An important aspect of GCRF is capacity development, and UKRI strongly encourages all proposals to this call to identify research capacity-building activities as part of, and not separate to, the stated project approach. The focus should be on the quality and impact of the activity of the project, and how increasing capacity contributes to this. Examples of building capacity include:

- opportunities for those with relevant skills who have not previously worked on development-relevant research projects to orient their research towards global issues
- support and mentoring for more junior team members
- co-design of research and related activity, and implementation with developing country partner staff.

Please note that studentships are not eligible under this call. Further information on capacity building in relation to GCRF is available on the ESRC website:

<https://esrc.ukri.org/research/international-research/global-challenges-research-fund-gcrf/capacity-development/>

Equitable partnerships

Partnerships are a key pillar of the GCRF strategy. UKRI developed the following statement of expectation for research partnerships in consultation with researchers from East Africa: "Partnerships should be transparent and based on mutual respect. Partnerships should aim to have clearly articulated equitable distribution of resources, responsibilities, efforts and benefits. Partnerships should recognise different inputs, different interests and different desired outcomes and should ensure the ethical sharing and use of data which is responsive to the identified needs of society."

More UKRI information on equitable partnerships is available on the UKRI website: <https://www.ukri.org/news/new-report-explores-fair-and-equitable-global-research-partnerships/>

Equality, Diversity and Inclusion

UKRI is committed to equality, diversity and inclusion, and to continuing to attract and nurture talented people from the widest pool to remain internationally competitive in research and innovation. UKRI believes that everyone has a right to be treated with dignity and respect, and to be provided with equal opportunities to flourish and succeed. We also recognise, and will seek to maximise, the benefits achieved by diversity of thought and experience within inclusive groups, organisations and the wider community. UKRI is therefore committed to ensuring that the best potential researchers from a diverse population are attracted into research careers. For further information, please see our Equality, Diversity and Inclusion Principles and Action Plan -

Due diligence, monitoring and reporting

As part of UKRI funding assurance, non-UK research organisations may be requested to complete an [UKRI Overseas Due Diligence Questionnaire](#). Please be aware that research organisations may be contacted by UKRI at any point during the review process. This is in order to expedite our assurance process. If UKRI does contact any non-UK research partner organisation named on an application, the Lead organisation will be informed.

Non-UK lead organisations will need to undergo UKRI due diligence checks if they have not been checked by UKRI in the last three years. Those organisations checked in the last three years may still have to undergo additional checks if UKRI decides they are needed.

For organisations hosting co-investigators due diligence checks are for UKRI's assurance purposes only and do not replace the due diligence requirements of the lead organisation. However, when obtaining information from non-UK research organisations UKRI will request permission to share the information provided with the lead organisation. The lead organisation can then use this information for their own due diligence processes should they wish.

GCRF will require that successful bids prepare a financial statement at 6-monthly intervals. The precise format of these reports will be confirmed with successful applicants.

Successful applicants will be required to report research outcomes on Researchfish® in line with standard UKRI Terms and Conditions. In addition to the standard outcomes all award holders will need to complete sections under the 'GCRF Collective Fund' outcomes.

Safeguarding

UKRI condemns all forms of harm and abuse, including bullying and harassment. We take a zero-tolerance approach to harm and abuse to any individual employed through or associated with our programmes in all contexts; whether in humanitarian or fragile and conflict-affected settings, in other field contexts, or within the international or UK research and development community which we fund. We expect institutions to promote the highest standards in organisational culture and have in place the systems and procedures required to prevent and tackle all incidents of harm and abuse.

UKRI is further developing a cross government safeguarding policy and will come back to successful applicants in regard to the required statement.

ODA Compliance

The Partnership Programme is funded through the GCRF which is an ODA funding stream. Therefore, all purposed activities must be ODA compliant.

Applicants will need to provide an ODA compliance statement which should identify:

- The country/countries on the OECD DAC list which will directly benefit from this proposal and whether these countries are likely to continue to be ODA eligible for the duration of the research?
 - This should include the country that the lead institution is based in and any countries in which partner institutions are based
- How the proposal is directly and primarily relevant to the development challenges of these countries?

- Applicants should identify the specific development challenges faced by these countries which will be addressed by the proposed activities where possible providing evidence for example by referencing official statistics or national/regional development plans etc. Applicants should describe how the proposed activities will address these development challenges.
- How do applicants expect that the outcome of their proposed activities will promote the economic development and welfare of these countries?
 - Applicants should describe the approach that they will use to ensure that the outputs of the proposed activities will have an impact of the development challenge identified in the proposal.

ODA transparency

As part of the government's commitment to ODA transparency and in line with ODA reporting requirements, UKRI is responsible for publishing information about UKRI ODA grants including project titles and summaries via the International Aid Transparency Initiative (IATI) registry, DfID's national statistics and on Gateway to Research. The purpose of publishing information via the IATI registry is to make information about ODA easily accessible to governments, stakeholders and other relevant groups in beneficiary countries. All UKRI funded projects from this programme will be published in this way. Please therefore write your project title and summary in such a way that they are meaningful and accessible to non-specialist audiences, following publication. We would be grateful if you would ensure that the project title and summary are written in plain English and avoid the use of jargon, acronyms, puns and plays on words. Please also make clear in your project title and summary how your project is ODA compliant, for example by identifying the development challenge(s) being addressed, the aims of the project and the beneficiary countries.

Data sharing notice

UKRI carries out the processing of personal data in accordance with the General Data Protection Regulation (GDPR). The information you provide will only be used by UKRI for the purpose of carrying out reviewing and assessment for making a funding decision. By providing your information you are consenting to its use as detailed above.

Contacts

For UKRI and GCRF:

All queries about this call should be submitted to: gcrf@ukri.org

Contacts:

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Telephone: +44 (0) 1793 44 4599

Wendy Bown, GCRF Support Officer
Telephone: +44 (0) 1793 44 4421

For Je-S:

Email: JeSHelp@je-s.ukri.org

Phone: +44 (0) 1793 44 4164*

Staffed Monday to Thursday 8.30am to 5pm and Fridays 8.30am to 4.30pm (excluding UK bank holidays and other holidays). Out of hours: leave a Voice Mail message. When reporting problems by e-mail or telephone, please supply the following information:

- Your name, organisation and user id
- The date and time
- The part of the form or system you were working on when the problem occurred
- The nature of the problem

*Phone calls that cannot be answered during working hours will be redirected after 30 seconds to Voice Mail. The helpdesk will normally return your call within 3 hours.

Change log:

Name	Date	Version	Change
Anne-Mette Olesen	25/09/2019	1	N/A

Annex 1: List of ARUA Centres of Excellence

Centre of Excellence (CoE)	Host university	CoE Director
Climate & Development	University of Cape Town	Professor Mark New
Energy	Stellenbosch University	Professor Johann Görgens
Food Security	University of Pretoria	Professor Hettie Schönfeldt
Good Governance	Addis Ababa University	Dr Mesfin Gebremichael
Inequalities research (ACEIR)	University of Cape Town	Professor Murray Leibbrandt
Materials, Energy & Nanotechnology (COE-MEN)	University of the Witwatersrand	Professor Lesley Cornish
Migration & Mobility	University of the Witwatersrand	Professor Joanna Vearey
Non-Communicable Diseases (ACE-NCDS)	University of Nairobi	Professor Madara Ogot
Notions of identity	Makerere University	Dr Sarah Ssali
Post-conflict society	Addis Ababa University	Professor Zerihun Weldu
Unemployment & Skills Development	University of Lagos	Dr Sunday Adebisi
Urbanization and Habitable Cities	University of Lagos	Professor Timothy Nubi
Water	Rhodes University	Professor Carolyn Palmer

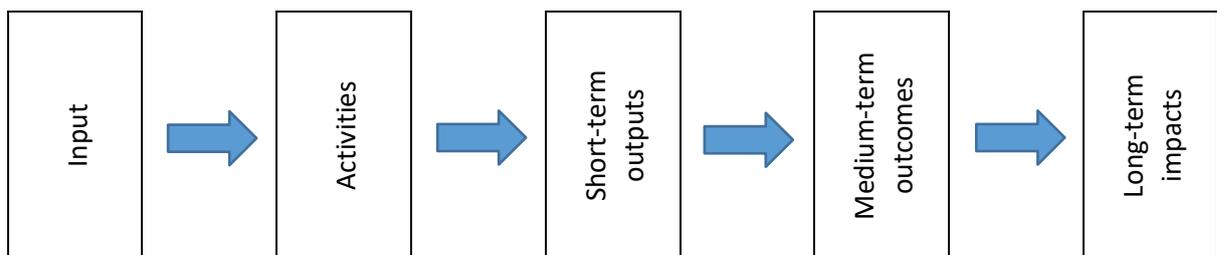
Annex 2: Guidance for developing a theory of change

What is a theory of change and why is it useful?

Designing a theory of change helps you to articulate the need you are addressing in your project, the changes you will make to address this need and what you plan to do to make these changes. Importantly, mapping these pathways will also help to flag up any assumptions or enablers in your work, highlighting risks, opportunities and potential challenges.

In terms of evaluation, a theory of change helps you to identify what should be measured and how you can draw upon existing evidence in the field to carry out your evaluation and demonstrate attribution.

There are a range of options available when it comes to selecting a model for your theory of change. The model proposed below is fairly simple and straightforward in its structure, making it appropriate for use in most projects, and provides a level of detail which meets the requirements of this stage in the application process. Applicants are not, however, obliged to use this model; if there is a theory of change model which better represents their project, they should include this in their application.



What are we looking for?

The purpose of the theory of change at this stage in the application process is to demonstrate that you have carefully considered the outcome pathways for your project, and how you will manage any complexities around these. The theory of change you submit should comprise of two parts:

1. A theory of change: a diagram mapping the key outcome pathways for your project. This should be a high-level visualisation, covering one A4 side.
2. A written narrative on the pathways set out in the diagram: this should focus on the assumptions and enablers underpinning your project's outcome pathways, and key opportunities and risks with a description of how these will be addressed.

Developing your theory of change

1. Identify your long-term impact(s)

The long-term impact(s) for your project can be described as the final goal of your project, or the main change that you intend to make for those benefitting from your research. Long-term impacts should be high-level, and you should only have a small number of them, three or four maximum. They are often indirectly attributable to your research.

2. *Identify the preceding stages on your outcomes pathway*

Having identified your long-term impacts(s), it will be easier to work backwards and add detail to the key stages in your project. In this model, the preceding stages are:

Outcomes	The medium-term, usually both direct and indirect, consequences of your work
Outputs	The short-term, usually direct consequences of your work
Activities	The work carried out in the project
Inputs	Resources in the broadest sense (financial, people, institutional, etc.)

3. *Connect the stages together to demonstrate causality*

This is a key stage in the development of your theory of change, as it encourages you to think about how you get from one stage to the next, and what the challenges and opportunities on this pathway may be. It is useful to ask yourself the following questions at this stage:

- What assumptions are underpinning this causal link?
- What enablers will be required for this causal link to happen?

Further guidance

The guidance here is sufficient for applicants to develop a theory of change meeting the requirements of this stage of the application process. However, should applicants want further information, the following sources are useful:

Ellen Harries, Lindsay Hodgson and James Noble (2014) [Creating your Theory of Change: NPC's practical guide](#)

Isabel Vogel (2012), [Review of the use of 'Theory of Change' in international development](#)

Cathy James (2011), [Theory of Change Review: A report commissioned by Comic Relief](#)