

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.

Maximum 3,000 words

Overarching Development Strategy

Northumbria University has a long track record of scholarship addressing the problems faced by developing countries through delivering cutting-edge research. Through its Centre for International Development, established in 2011, and its Disaster and Development Network, established in 2004, we have been at the forefront of conducting and delivering research that met the requirements of ODA and makes a tangible, positive difference to the everyday lives of people in developing countries. More recently, we have created a multidisciplinary research theme, Environmental and Global Justice, which brings together research from an array of disciplines, including criminology, environmental justice, global development and law. Research has focused directly on problems relevant to developing countries. For example, the Disaster and Development network conducted research with local communities in the DAC-list countries,

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

Bangladesh, Pakistan, Mozambique, Zimbabwe, Peru, and Nepal. This work has influenced the disaster strategies of several local governments, helping to protect the livelihoods of vulnerable communities residing in disaster prone areas. Researchers in the Centre for International Development have conducted work on development problems in DAC-list countries such as India, Vietnam, Sudan, South Sudan, Ukraine, Honduras, Afghanistan, Myanmar, Sri Lanka, Ethiopia, Kenya and Malawi, including a recent project focused on development of new approaches to flood management in the Mekong Delta in Vietnam. It received funding through the RCUK Newton Fund. Other ODA research projects have been supported by the Leverhulme Trust, Voluntary Service Overseas, the Swedish Red Cross, British Council, the Royal Society and Universities UK.

Our international development strategy is to use the knowledge and experience generated from the Centre for International Development (CID), the Disaster and Development Network (DDN) and the Environmental and Global Justice (EGJ) theme:

to grow the volume and quality of research in international development carried out at Northumbria University;

and to build international development research in disciplines across the University that have not traditionally contributed to this research agenda.

Our priority objectives are to grow research the following three areas:

1. Conflicts, crises and displacement
2. Environment, health and wellbeing
3. Volunteering, citizenship and society.

A brief outline of Northumbria's track record in these priority areas is summarised below.

1. Conflict, crises and displacement

The Centre for International Development has addressed issues of community response and resilience through an ongoing partnership with the Swedish Red Cross, examining the experiences and needs of Volunteers in Conflicts and Emergencies in Sudan, South Sudan, Myanmar, Ukraine, Honduras and Afghanistan. A recent Rutherford Fund Strategic Partnerships grant has awarded funding to host academics from the Occupied Palestinian Territories to work on the role of volunteering on the West Bank. Recent appointments to the Centre, funded through QR GCRF, bring new expertise on the impacts of urban displacement in Tanzania and on the impacts of the Syrian conflict. Research from the Disaster and Development group has particularly addressed risk reduction, human security and sustainable development in contexts of complex change, including work on Disaster Education for Community Resilience in Zimbabwe and Bangladesh, and ongoing Humanitarian Innovation Funding is supporting new research on hand washing and sanitation.

2. Environment, health and wellbeing

Staff in the Centre for International Development and the Disaster Development Network have explored environment, health and wellbeing which has included research on coastal

and fishing communities in Kenya and India, and the development of a multi-dimensional toolkit for exploring wellbeing, as well as participatory research on indigenous' women's ideas of development and wellbeing and research on water politics and environmental governance. Recent appointments, funded through QR GCRF, bring a new focus on environmental histories in Nicaragua and on rural reconstruction post-conflict in the Middle East and North Africa.

3. Volunteering, citizenship and civil society

Northumbria has a long track record of scholarship on activism, civil society and development supported by RCUK funding (e.g. ESRC Seminar Series; AHRC/ESRC Religion and Society Programme; British Academy) and collaborations with civil society actors, including collaborative doctorates (e.g. VSO). The Centre for International Development has recognised global profile for research on volunteers as development actors, including a long-standing collaboration with the International Federation of Red Cross and Red Crescent Societies in DAC-listed countries.

Strategic Plan and alignment with our Strategy, Guidance and UK GCRF Strategy

Our Strategic Plan for the use of QR GCRF builds around four streams, as set out below.

1. The appointment of four Global Challenge Vice-Chancellor's Independent Research Fellows (GCVCRFs) from across the disciplines to support development research. These GCVCRFs are modelled on the Leverhulme early-career fellowships where the Fellows, through careful mentorship and planning, transition to full-time academic posts after three years.
2. Pump priming for Northumbria staff undertaking ODA research through two annual competition calls and funds for GCRF call-specific activity.
3. Program of Global Challenges workshops focused on bringing together Northumbria scholars with researchers from other universities in south and north, as well as strategic non-HE partners to build interdisciplinarity and innovative responses to DAC-list country needs.
4. Short-term (up to one month) scholar exchanges to support capacity and capability building, knowledge exchange, and the alignment of activities with the needs of global south countries and communities.

This approach is aligned with our own strategy, GCRF guidance and the UK GCRF Strategy in a number of ways. By appointing Research Fellows who will become permanent staff members, we are thinking strategically and building a sustainable approach to our development research. The appointments have been made on the basis of research excellence and the appointees' research is focused on challenges and solutions with the expectation of high impact results. They have track records and partnerships in priority countries and regions, including Tanzania, Uganda, Afghanistan, Syria, Lebanon and Nicaragua. Their areas of expertise specifically align with GCRF thematic priorities, sustainable development goals and our own strategic areas of ODA research. These include forced displacement, conflict, sustainable food production and rural development. We are already building new partnerships in these thematic and

geographic areas, and will continue to build these through 2018 – 2019. Furthermore, the appointments have been made in social sciences, design and humanities, ensuring that disciplines that do not normally contribute to development research are included in our strategy. These appointments align with our plans to address the priorities of the UK GCRF strategy, especially understanding and responding effectively to forced displacement and refugee crises, sustainable health and well-being, resilience and action on short-term environmental shocks and long-term environmental change, and sustainable cities and communities.

Northumbria's QR GCRF strategic plan is aligned with our overall priority objectives as set out below.

1. Conflict, crises and displacement

Continued research in this area to build from our work on the roles of volunteers as humanitarian actors, particularly through a focus on the capacities of volunteers to develop innovative solutions to crises and challenges that support efforts at sustainability and local ownership. Working through our partners, IFRC and Swedish Red Cross, we will develop research on the roles of volunteers in protracted crises, and on the role of volunteering in shaping new forms of agency for displaced communities. Work in this area will particularly focus on East/Central Africa, Syria, Lebanon, the Occupied Palestinian Territories, and the Indian sub-continent, DAC-list countries, where CID affiliated staff and our recently appointed GCVRFs have experience and expertise. Pilot and preliminary work will enable publication of initial findings through working notes and policy briefings, and the establishment of new networks of scholars and practitioners through in-country and UK workshops and symposia. Impact pathways will be developed with established global and local partners, focusing on: conflict affected and displaced populations, focusing on the ways volunteering can support their livelihoods as both participants and when receiving support from volunteers; state, donors and civil society policy makers responsible for legislation and wider frameworks governing volunteering and livelihood opportunities for displaced populations and those affected by conflicts; civil society organisations engaging volunteers in humanitarian and development work.

2. Environment, health and wellbeing

Research on the intersection of gender, environment, health and wellbeing, and mobilises interdisciplinary and innovative methodologies to elicit hidden understandings of processes of change and ideas for alternative forms of development. In particular, we will explore these issues through work on indigenous women in Peru, and on rural communities in Nicaragua, led by staff in CID, including a new GCVCRF, who have experience and expertise in these DAC-list countries. This work will highlight new voices in development, ensuring that perspectives that are marginalised in orthodox methodologies are brought to the fore. We anticipate impact through the sharing of the methodologies amongst global south scholars and other actors, increasing their capacity and capability, as well as through raised awareness of silenced voices amongst policy makers and civil society organisations. We also anticipate the fostering of debate in country and more widely about new ideas of development and their potential to enhance

wellbeing and health. Secondly, we will explore the roles of civil society actors in shaping environmental governance, particularly in the context of growing south-south civil society activity, and its articulation of new ideas of partnership and development. This area of work will particularly focus on South and East Asia, and draw together research on civil society (below) and water governance supported by staff in CID, the DDN and EGJ. We anticipate initial findings, including working notes and briefings, will help establish new pathways to impact with UN, state and NGO actors in the region. Local workshops and events in the UK will help establish this aspect of development cooperation as a research field, building a network of scholars equipped to develop larger collaborative proposals addressing south-south civil society cooperation in the context of environmental governance. In turn, we anticipate this will inform policy and public debate around the modalities, management and authorisation of such cooperation, particularly where collaborations work against established geopolitical arrangements within the region.

3. Volunteering, citizenship and civil society

Research exploring the roles of civil society actors in mobilising agencies will support the delivery of the SDGs. While identified as critical to their success, volunteering research to date has focused on international volunteers and the role of local volunteers in service delivery. Our research in this area will focus on the roles local volunteers in the global south can play in building resilience and offering innovative solutions to development challenges. Research will particularly address the relationships between new participatory digital technologies and their capacity to mobilise new forms of citizenship for development. This will be explored through research in India, led by staff in CID, with a particular focus on volunteering by members of marginalised communities, including women and Dalits. We anticipate impacts on the volunteer engagement strategies of NGOs and civil society actors, as well as on their capability to use such technologies in their work, enabled by capacity building workshops and engagement of civil society actors and volunteers in the research design and data collection. The new GCVCRF in design will play an important role in this research.

We will also investigate the relationship between participatory digital technologies and civil society through research in the Occupied Palestinian Territories, aided, in part, through links currently being established with Rutherford funding awarded in 2018 to the CID director and an EGJ appointment. We will focus in particular on the ways digital technologies, in tandem with other media, enable the creation and sharing of witness and testimony to injustice and discrimination, and analyse how these are shaping new forms of accountability in development. We anticipate impacts on the ways civil society organisations and volunteers use and disseminate media, as well fostering public and policy debate around the use of witness and testimony in shaping development decision making. Workshops exploring the themes will be facilitated and engage scholars' groups outside the Occupied Palestinian Territories, laying the foundation for the development of larger projects examining this theme.

Institutional Strategy for QR

Our Strategic Plan for QR GCRF is strongly aligned with our strategy for the use of QR income. Following a REF 2014 outcome that saw Northumbria University jump 30 places

in the research power rankings, we have continued to build the volume and quality of our research. We use QR to build capacity through academic appointments and also use it support their research activities. Since 2014, we have created eight multidisciplinary research themes² by building on existing strengths and making high profile appointments. We believe that all of these themes have the potential to contribute to the development research agenda.

This GCRF strategy also fits well with NU's new internationalisation strategy, which seeks to move our international partnerships beyond a focus on undergraduate recruitment to include much more significant Research/Innovation and Knowledge Exchange elements. Our GCRF strategy and focus on impactful ODA research and capacity and capability building through equitable partnerships will give particular support and incentive to partner with institutions in lower income countries, as well as enabling us to influence partners outside the global south to work with us in developing ODA research.

Finally, we see the GCRF fellows as exemplars of our strategy around our post-REF2014 to increase multi/interdisciplinary research collaboration. They will encourage more efforts from our wider group of ODA, and potential ODA, researchers. We have, for example, strong records in health and design for health research, but mostly in a national/EU context (which has won major funding from, among others, the NHS, the MRC and the EPSRC). The GCRF Fellows will create capacity and capability to develop and align this research to meeting ODA priorities through new collaborations ODA scholars at NU conducting ODA research with scholars in the global south. Overall, QR GCRF is, and will be, the major enabler in our expansion of ODA capacity and capability.

Barriers and Enablers

The greatest difficulties in developing our research strategy will arise in the lowest income ODAs, where political situations can be volatile and established relationships can be ended quickly and arbitrarily. GCRF rightly encourages links with these low income countries but also rigorous due diligence in the spending of government funds. Many institutions, for example, do not have the administrative apparatus to deal with full economic costs or have procedures for monitoring costs and expenses. As a result, we may find it difficult to build certain partnerships.

There are also administrative challenges around visas, both in the UK and in ODA countries. In the UK, the former can be complicated by the timing and requirements of funders and the processes of the Home Office.

² Bioeconomy, Digital Living, Environmental and Global Justice, Extreme Environments, Future Engineering, Ideate, Institute for Humanities, Integrated Health and Social Care

In mitigation, Northumbria already has extensive experience in working in developing nations and bringing developing nation scholars to the UK. For example, we are currently managing a process to bring Rutherford Strategic Partnerships funded Fellows from the Occupied Territories to our campus to work on research that aligns with meeting the SDGs.

We also have a robust and experienced Legal Services team and University Risk Manager, who works closely with our Research and Innovation Services team to ensure the appropriate checks are carried out prior to submission and that thorough audit procedures are in place throughout the life of the project. Northumbria also has robust procurement processes, which, alongside financial oversight, include terms and conditions that emphasise research integrity, public engagement, research development and have appropriate policies in place for ethics, anti-slavery, and equality/diversity. This expertise provides an opportunity to support partners in the South to build their capabilities and capacities to meet the requirements necessary for global research partnerships. In conclusion, we do not see these impediments as insurmountable in achieving our development and GCRF strategy.

A key enabler is Northumbria University's approach to impactful research in general and development research in particular; as examples, in our developing strategy for the period 2018-23, we have business outcomes that include more than doubling research income and embedding SDGs into our research, teaching and operational activity. The experience built up through the work of the CID, DDN and EGJ will also be of major significance in the successful implementation of our plan.

Key Activities

We see our objectives being realised through capacity and capability building; mono-disciplinary, interdisciplinary and collaborative research; generating impact from research; and pump priming. (See Annex A2).

Main Collaborating Countries

The main DAC-list countries on which we will focus are Tanzania, Peru, Uganda, Afghanistan, Syria, Lebanon, the Occupied Palestinian Territories, Bangladesh, India, Myanmar, Cambodia, Pakistan and Nicaragua.

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

The main intended outcomes and impacts of our strategy are:

1. An increase in the volume and quality of research impacting on the wellbeing and economic growth of DAC-list countries such as Tanzania, Uganda, Afghanistan, Syria, Lebanon, Peru, the Indian Sub-continent and Nicaragua.

2. An increase in the number of equitable and ethical academic collaborations between Northumbria and other UK universities and global south scholars in DAC-list countries through, in part, the creation of an internationally renowned bi-annual conference. This conference will bring together scholars from the UK and the global south and connect them with international NGOs to discuss and devise collaborative approaches to meeting the challenges of the UN SDGs and UK GCRF priorities.
3. A response to all GCRF research priorities issued by UK GCRF which link to our three research priority areas.
4. At least two established partnerships in lower income ODA nations.
5. Adding to our ODA capacity through support for areas of research strength at Northumbria that are currently underrepresented in ODA research, especially Humanities Design, and Health/Life Sciences.

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.

Overall strategic responsibility for expenditure and research activity associated with QR GCRF rests with the Pro Vice-Chancellor (Research and Innovation). Operational oversight of ODA research activity sits with the University's GCRF Working Group (GCRFWG, created in 2016). The chair of this Group is the Associate Pro Vice-Chancellor for Research and Innovation in ADSS. The head of the Centre for International Development serves as the GCRFWG academic adviser. Each Faculty (ADSS, Environment and Engineering, Health and Life Sciences, and Business and Law) has a representative on it and the University Director of Research and Innovation Services (RIS) is an ex-officio member. Finally, there is a Research Manager from RIS to support the group's objective of increasing ODA research and submission to GCRF call. As outlined below, the group reports to the University's Research and Knowledge Exchange Committee, which meets quarterly and itself reports to Academic Board, which oversees all academic matters in the University.

The Working Group, which meets monthly, will supervise and report on all QR spend attached to GCRF to make sure it is compatible with ODA requirements. Statements on ODA compliance will be required for all proposed pilot activities, and be central to the process of assessing whether support is offered. Reports on all supported activity through pump priming and/or exchanges, will be required to detail pathways to impact and impacts for individuals and communities in ODA recipient countries, including the potential for sustaining and scaling up those impacts.

Monitoring of QR GCRF will follow the mechanism we use to monitor HEIF expenditure and adherence to strategy. Quarterly meetings will be held to consider expenditure and

ODA activity. These meetings will be chaired by the PVC (Research and Innovation) and involve the chair of the GCRFWG, Director of RIS and the management accountant with responsibility for the budget. GCRF reports will then be created for formal consideration by the Research and Knowledge Exchange committee.

ODA activity will be subject to regular review, supported by EY, the organisation responsible for the University's internal audit programme. Review will consider financial compliance, as well as geographical spread of activity, quality of outputs (supported by a recently appointed bibliometrician) and economic and social impact (supported by our impact team in RIS). Review will be carried out at by a group led by the PVC (Research and Innovation) and will report to the University Executive.

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.

All the activities in ANNEX A2 are directly aligned to our GCRF Strategy as detailed above. They are focused on research and/or capacity building that is directly and primarily relevant to the problems of developing countries.

The additional funding for pump priming (£20K) is an internal fund for supporting research bids with international partners that is being redirected exclusively to developing ODA research partnerships with DAC-list countries.

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.

Maximum 500 words

Our priorities in place for 2018/19 would not change as we are already planning and organizing some of our ODA activities for next year. They would, however, decrease in terms of scale. As summarised above, our strategy is based around the 3 areas of development research priority and we are committed to the GCVCRFs for next year through to 2021. They and their research plans would remain in place. Their work around

our research priority areas for ODA research, including UK GCRF challenges, would continue.

Loss of funding though would decrease the number of short-term exchanges we could offer and the pump-priming support we could provide, potentially hindering our larger capacity building objective--in disciplines at Northumbria not fully engaged with an ODA agenda, and with collaborators in the global south. We would look to continue holding the workshops as a fall-back position to generating collaborations, though again we would be less able to support attendance by scholars from DAC-list countries. Ultimately a substantial drop in funding could undermine our larger objective to build two new strategic partnerships with DAC-list lower income countries.

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.

Maximum 1,000 words

The focus in 2019-20 will be to increase the volume of ODA research activity from the platform of the 2018-19, workshops, exchanges, and Northumbria scholars newly engaged in ODA research through these and pump priming. This will be achieved through the following:

1. Continued support for 4 GCVCRF fellows, with a focus on developing and scaling research the Fellows' research on conflict and displacement, rural economies and livelihoods and participatory design for development to feed in to our three priority areas. Emphasis will be particularly placed on supporting the fellows to work with initial partners identified in year 1 to address continuing and any new DAC-list countries' research needs.

2. Continued pump-priming funds for ODA research and partnerships including support for specific calls, field visits, and pilot research.

3. Continued support for Northumbria Global Challenges workshops.

4. Continued support for short term exchanges by Northumbria and DAC-list country scholars to support the ongoing development of equitable partnerships, capability and capacity building around meeting the development needs of communities in our target countries in the global south.

5. Establishment of first partnership with HEI in a DAC-list lower income developing country. This partnership will focus on building equitable relations and developing a shared research agenda for work meeting ODA requirements in the partner countries. The partnership will be developed to align areas of research strength at Northumbria with

development needs, and particularly emphasise multidisciplinary to establish a platform for diverse collaborations. The partnership will also create at least one joint pilot project to test approaches, engage stakeholders and establish initial and potential pathways to impact from the research. This pilot project will create joint publications and identify capacity and capability building needs for future growth between us and our partner.

6. First Bi-annual Northumbria GCRF Conference, to include travel and subsistence support for DAC-list country participants. The conference will emphasise both knowledge sharing and capability and capacity building, and particularly serve to bring together new partnerships and collaborations developed in year 1 and 2 to share initial findings with a wider audience and build broader networks around key emergent themes. A specific strand of the conference will deliver activities in support of building capacity and capability with global South scholars, including events on research design, impact, ODA compliance, publication strategies, financial reporting, ethics and risk, delivered by Northumbria academics in partnership with global south collaborators. The event will also engage non HEI partners from the UK and internationally to both build their knowledge and capacity for academic collaborations, and ensure alignment with the welfare and economies of global south countries.

A decrease in QR GCRF funding would mean less funds to support the exchange scheme, and pump priming. Cutbacks on, or elimination of, the exchange scheme would undermine our intention to establish a partnership in a DAC-list country this year. Less pump-priming funds would mean less research between Northumbria ODA researchers and collaborators in the global south. Our ability to support the conference could be seriously undermined meaning cancellation or a decrease in support for global south researchers' attendance and participation. Overall, it would mean less collaborative ODA compliant research and make us less able to respond to current and new Global Challenges as outlined by UK GCRF. An increase would mean more support for the exchange scheme and the conference and help us fulfil our GCRF objectives as well our overall strategic aim of producing more ODA research.

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.

Maximum 1,000 words

1. Continued support for 4 GCVCRF fellows as they transition to full-time academic posts in Spring 2021. Fully embedded in the departments of social science, humanities and design the fellows will be exemplars of interdisciplinary ODA research in their respective departments. They will continue, however, to be part of the Centre for International Development to reach out across departments and faculties
2. Continued pump-priming fund for ODA researchers at Northumbria.
3. Continued support for short-term exchange scheme to assess potential for new partnerships in low-income DAC-list countries beyond 2021.

4. Establishment of 2nd partnership with HEI in lower income developing country. It will mirror the parameters of the first one (see 2019-20 priorities) with experiences gained and lessons learned from that one incorporated into the completion of this one.

Another decrease QR GCRF funding in this year would mean further scaling back of the exchange scheme and pump-priming. Despite any cuts, we would hope to have still established at least one partnership in a lower income DAC-list country. A sustained cut would, however, put the objective of two full partnerships with lower-income DAC-list countries in serious jeopardy. An overall key element of UK GCRF strategy is capacity building to address Global Challenges and SDGs, not only in the UK, but also in DAC-list countries. Cuts in in QR GCRF would not be helpful to this objective. Overall, cuts would continue to hinder our ability to be agile and responsive to new challenges as they emerge. An increase in funding would mean more support for all our proposed funding schemes and accelerate the achievement of two full partnerships in DAC-list countries.