

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.

a. In seeking to be a university 'looking to the future', the University of Lincoln aims to identify and address opportunities and challenges presented by the rapidly changing world. International research and innovation is critical to achieving this. Our current approach is to develop a small number of areas of excellence in the University with sufficient critical mass to achieve significant results in ODA-compliant research and subsequent impact, and to develop sustained activity over a period of time. This approach aligns well with the [University of Lincoln's strategy](#) which endeavours to "develop research through disciplinary collaborations on key global challenges working within and beyond the walls of the University, creating novel research partnerships that create impact and effect positive change locally and across the world".

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

Priority objectives for the University of Lincoln, led by key Schools, Centres and Institutes, focused on development-related research activity for three years from 2018-19 include:

- i) **Agri-food technologies and food resilience and sustainability:** fresh produce supply chains, handling and storage - Lincoln Institute for Agri-food Technology and the National Centre for Food Manufacturing;
- ii) **Safety and health of global environments:** climate change impacts on extreme floods and droughts, flood-related contamination from metal mining and processing, water-borne and vector-borne diseases affecting humans and animals – Lincoln Centre for Water and Planetary Health;
- iii) **Conflict resolution:** supporting community-based approaches to establishing peace and reconciliation in post-conflict environments - School of Fine and Performing Arts.

b. Key aspects of the University of Lincoln's three year strategic plan for QR GCRF will be to focus on areas which:

- i) address problems of significant scale – this will require solutions-focused research and teams that can draw on different disciplinary perspectives;
- ii) use relevant expertise in depth to address the complex nature of the identified development problems, in order to develop truly original and transformative approaches;
- iii) are able to leverage additional funding for ODA-compliant research and have a track-record of attracting non-ODA funding to complementary research areas that will help to sustain the ODA activity;
- iv) have clear plans for pathways to impact;
- v) have strong stakeholder relationships in relevant countries.

c. Over the past five years the University of Lincoln has invested extensively in the provision of new buildings, staff and equipment to support the research environment. Activity funded through QR GCRF funding will be used to help build and sustain this growing research environment and the university's prioritised ODA research themes through one or more of the following:

- i) provision of pump-priming funding to produce collaborative data that will support larger collaborative GCRF bids;
- ii) funding for PGR students – this will allow sustained research work on new ODA priorities, and capacity building by ensuring that projects involve partner institutions in the overseas partner country and where possible recruit local students;
- iii) funding to drive impact development from funded projects, complementing and leveraging off funded projects to achieve parallel or enhanced results.
- iv) Funding to support and/or forge strong and enduring partnerships between academic teams at Lincoln and partners in the Global South – this will help to enhance the research and innovation capacity of both.

- d. The QR GCRF funding proposed in this strategy will relate to the UK strategy for GCRF by focussing and directing research activities on global development challenges that have been identified by partner developing countries – this will help to ensure that any outputs/outcomes will transform the lives of the worlds' poorest. In alignment with the BEIS ODA statement of intent, research outputs will promote the economic development and welfare of partnering developing countries. The QR GCRF funding will also be used to match impact activities to local needs and sensitivities, and to maximise any practical impacts of the funded activities to improve the lives and opportunities of these communities. The focus of proposed QR GCRF funding will contribute directly to the UK GCRF strategic vision: *"to create new knowledge and drive innovation that helps to ensure that everyone across the globe has access to: secure and resilient food systems supported by sustainable marine resources and agriculture • sustainable health and wellbeing • inclusive and equitable quality education • clean air, water and sanitation • affordable, reliable, sustainable energy"*. Areas of specific overlap between the university's QR GCRF activities and the UK GCRF vision will include bolstering community resilience to environmental and human-made challenges, in particular shortage of food, climate change and conflict.
- e. The university's institutional strategy for QR includes growing areas of focus and specialism, identifying new collaborative opportunities locally, nationally and globally, increasing PGR/ECR capacity, pump-priming funding to support larger collaborative research applications, developing research impact and investing in research infrastructure. The QR GCRF activities detailed in c) and Annex 2 specifically address GCRF strategy, but also align well to wider institutional QR priorities.
- f. As identified in Annex 2, the university already has researchers actively engaged in GCRF-related research, with strong links to a number of developing countries. In terms of implementing the proposed strategy, the scale of QR GCRF funding to the University of Lincoln is modest, so funding will focus on exploiting the existing strong links and research strengths already in place between Lincoln teams and partnering developing countries. Using this approach will help to limit potential issues around poor coordination between UK and developing country partners. The University will also put in place measures to track progress of awarded QR GCRF funds in order to avoid failures of governance, monitoring, evaluation, reporting and/or communications. The main barrier to implementing the proposed strategy include the limited scope of interventions we can put in place.
- g. Activities which will help the university to realise its objectives include providing opportunities to build capacity, develop sustainable overseas collaborations, deliver and build interdisciplinary research, and to generate impact of relevance to the developing country.

- h. The main Development Assistance Committee (DAC) list developing countries the University intends to collaborate with includes India, Zambia and Kenya. There may also be an opportunity in the future to include Rwanda.

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

The main outcomes and impacts from the University of Lincoln's strategy will include:

1. Engaging with a broad number of international academics, industry representatives and community-based organisations in India and Africa to increase the skills and knowledge base and to build capacity to address joint development issues.
2. Addressing and contributing to problems of major international societal, economic and environmental relevance to developing countries in Africa and India.
3. Increase social welfare and economic development of farmers in India and Africa through the adoption of effective food storage and handling systems to achieve food integrity and security, and to nurture new, climate-smart agricultural/food production practices.
4. Building a clear strategy for long-term partnership, stakeholder engagement, capability and capacity building with Indian and African HEIs, local government and partner organisations with the prospect for securing significant external funding generation to sustain activity, and developing research with impact.
5. To provide opportunities to build capacity at the early career researcher level in the global south and to support working in partnership with colleagues in the UK.

Management of GCRF

2. 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.

Progress and compliance in ODA will be monitored and evaluated using the following approach:

- As the QR GCRF allocation to the University of Lincoln is modest, priority areas have already been identified – these are highlighted in Annex 2. These priority areas have been identified based on 1) the geographical location of the proposed activity, 2) the outputs, outcomes and impact activities proposed, the collaborative links already in place

and also priority for supporting the poorest partner countries (i.e. least developed countries and other lower income countries). Checks have also been made that these projects adhere to ODA and GCRF criteria.

- Funded projects will be required to submit an initial plan of action, interim, final and post facto reports on these matters, and funding will include sufficient resources to complete these activities effectively (including post facto analysis).

- The reports will be collated, analysed and submitted with an annual summary report to the University's Research Committee. On the basis of this annual monitoring the Research Committee will recommend any modifications to the bidding system, monitoring system and funding priorities.

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

3. 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.

4. Please add here any explanatory notes on how you have completed the table in Annex A2 that will help inform assessment of ODA compliance.

The University of Lincoln's QR GCRF allocation is modest so the University has decided to invest the funds in two areas where university researchers already have strong links with a range of developing countries, and who are already actively engaged in ODA-related activities – these 2 areas are detailed in Annex 2. A third area (currently included as a 'reserve' project) has also been included in Annex 2 in case future funding is increased significantly.

5. 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.

If the funding available increased above the outlined indicative allocations, the University would explore the following options:

1) If the pot increase was below £180k, further funding would be allocated to the two priority areas already identified in Annex 2.

2) If the increase in funding was to above £180k, the university would consider supporting the 'reserve' project detailed in Annex 2.

If the funding level was reduced, the University would re-evaluate the projects already funded and would look to secure funds from another source to support capacity building activities, such as PGR studentships. If alternative funding was not available we would remove projects in reverse order of priority and redistribute among those retained.

6. 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.

Our strategy is to plan for sustained funding across the three year period, unless funding levels change. Therefore, our starting position is that priorities for QR GCRF activity in 2019-20 would remain the same as in 2018-19. However, this would be dependent on the identified projects delivering against the outputs, outcomes and impact detailed in their action plans and interim reports. Progress will be monitored by the University's Research Committee. In the event that a funded project materially under-achieved against objectives and no realistic plan to compensate was forthcoming, the Research Committee would either: a) reallocate funding among existing priority projects, or b) approve funding of the reserve project (included in Annex 2). The guiding principle would be to choose the funding judged most likely to have high impact on ODA objectives.

Any increases or decreases to the University's QR GCRF allocation would be made using the same principles as outlined in (6), but taking into account the performance of existing funded projects.

7. 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.

Our approach to 2020-21 funding is the same as for 2019-20: sustaining existing projects subject to performance, allocation to new projects in the event of failure of an existing project and/or increases in funding.

