



Department for
Business, Energy
& Industrial Strategy

Review of Approaches to Gender Equality

The Newton Fund and the Global Challenges
Research Fund

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TETRA TECH
International Development



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Abbreviations

BEIS	Department for Business, Energy and Industrial Strategy
CSSF	Conflict, Security and Stability Fund
DFID	Department for International Development
DLG	Delivery and Learning Group
DPs	Delivery Partners
ESRC	Economic and Social Research Council
FCO	Foreign and Commonwealth Office
G2LM LIC	Gender, Growth and Labour Markets in Low Income Countries Programme
GCRF	Global Challenges Research Fund
HEFCE	Higher Education Funding Council for England
HMG	Her Majesty's Government
ICAI	Independent Commission for Aid Impact
ICF	International Climate Finance
ICTs	In-Country Teams
IZA	Institute of Labour Economics
KII	Key Informant Interviews
KPI	Key Performance Indicators
ODA	Official Development Assistance
RMT	Research Management Team
OECD-DAC	Organisation for Economic Co-operation and Development's Development Assistance Committee
PEER	Partnerships for Enhanced Engagement in Research
PMO	Programme Management Office
R&I	Research and Innovation
SAG	Strategic Advisory Board
SCOR	Strategic Coherence of ODA-funded Research
UKRI	UK Research and Innovation
USAID	United States Agency for International Development

Executive Summary

Under UK law, Overseas Development Assistance (ODA) has a duty to have regard to gender equality. Spending should 'contribute to reducing inequality between persons of different genders'.¹ Beyond legal compliance, it is incumbent on the research and innovation sector to tackle instances of underrepresentation, differential needs and systemic disadvantage to improve the societal relevance of research and innovation findings, and ultimately contribute to reducing gender-based inequalities.

The UK Department for Business, Energy and Industrial Strategy (BEIS) is committed to improving its approach to gender equality in the administration of ODA funds.² Previous reviews and evaluations³ have highlighted weaknesses in the approaches to gender equality in The Newton Fund and the Global Challenges Research Fund (GCRF). In response, efforts have been made to strengthen the approach. Most of these have been focussed at the fund implementation level.

The **Newton Fund** is a dedicated £735m fund aimed at promoting economic development and social welfare of partner countries. It began in 2014, and is implemented over a seven-year period, ending in 2021.

The **GCRF** is a £1.5 billion fund aimed at harnessing the expertise of the UK's research base to pioneer new ways of tackling global challenges. It was launched in 2015, and is implemented over a four-year period, 2016-21.

The review

The overall purpose of the review was to provide BEIS with insights into the current fund-level approaches to gender equality and to identify potential additional steps that can be taken to improve the overall approach.

Taking a formative approach, the review included an internal dimension focussing on BEIS' fund level processes and approaches adopted by UK Delivery Partners (DPs), and an external dimension exploring similar funds within the UK context and internationally. The review did not focus on broader aspects of equality, diversity and inclusion or the extent to which gender

¹ UK Parliament International Development (Gender Equality) Act (2014). Available at: <http://www.legislation.gov.uk/ukpga/2014/9/section/1/enacted>

² The Newton Fund and the GCRF. BEIS also shares responsibility for the delivery of the cross-government UK International Climate Finance (ICF) which is outside the scope of this review.

³ Mid-Term Evaluation of Newton Fund (December 2018). Available at: <https://www.newtonfund.ac.uk/files/newton-fund-mid-term-evaluation-report/>. Independent Commission Aid Impact (ICAI) The Newton Fund: A Performance Review (June 2019). Available at: <https://icai.independent.gov.uk/wp-content/uploads/The-Newton-Fund.pdf>. Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF_Evaluation_Foundation_Stage_Final_Report.pdf

equality has been mainstreamed by DPs, within BEIS or other donors.⁴ Rather, it used their experience to provide insights and learning.

The review drew on evidence from multiple sources, including 11 interviews with stakeholders from BEIS, UK Department for International Development (DFID), Foreign and Commonwealth Office (FCO) and United States Agency for International Development (USAID), an online survey covering 17 DPs, a detailed document review of over 60 sources and a validation workshop with BEIS.

Conclusions

Conclusion 1: GCRF and the Newton Fund share the same governance and management structure but have different implementation mechanisms which influences how they are delivered. Efforts to date have focussed at fund level in the absence of an explicit organisational or portfolio commitment, strategy or policy for gender equality.

The Newton Fund and the GCRF have distinctive purposes and mechanisms, but they have a shared governance, oversight and management structure, which is a positive feature for ensuring coherence and creating robust cross-fund mechanisms. The fund management cycle is found to follow similar steps - across the funds - with BEIS' internal fund management entity ODA Research Management Team (RMT) and PMO (Programme Management Office) responsible for fund management.⁵ The funds have different implementation mechanisms (including selection and accountability processes) which influences their delivery and stakeholder structures. This is an important consideration for the design of fund level approaches, notably in the case of the Newton Fund with co-funding country partners.

BEIS' efforts to improve gender equality have been aimed at understanding fund level approaches, and there is less evidence of efforts at the portfolio or organisational levels. Efforts include the introduction of a cross-fund Gender Equality, Inclusion & Diversity Matrix; revising grant letter terms to include gender equality; mainstreaming equality and diversity into cross-fund Key Performance Indicators (KPIs); emerging definitions of gender equality and UK Research and Innovation's (UKRI) introduction of a mandatory gender statement requirement for all calls for research.

Conclusion 2: Learning efforts are predominantly focussed at fund level. There are multiple formal and informal channels, and there is a recognition that portfolio and fund level learning could be improved which provides an opportunity to foster buy-in for the integration of gender equality considerations.

Learning functions are important features of portfolio and fund management. Outside of formal reporting structures and meetings to facilitate communication, we found less evidence of a systematic approach that supports course correction and evidence-based decision-making. The Cross- Fund Delivery Learning Group (DLG) was cited as the main vehicle for learning at both the portfolio/organisational level and at the fund level – acknowledging that the group's learning remit is a recent addition. We noted that DPs tend to treat the funds quite separately (from a management perspective) and found that the majority like to have clarity on how the

⁴ The review did not assess the extent to which gender equality is mainstreamed as the funds were previously found to lack an approach or requirement. The focus was therefore on understanding and learning from what is happening within and outside the funds, to contribute to the development of an approach.

⁵ The Newton Fund is 'actively' fund managed by ODA RMT and PMO. The GCRF, has direct fund allocations to UK Delivery Partners which are research driven. Changes to GCRF allocations are currently agreed by the BEIS policy team.

information they are asked to provide will be used. This is an important consideration when designing learning mechanisms to ensure the right audiences are targeted.

Conclusion 3: Delivery Partners organisational approaches to gender equality and/or broader equality considerations provide a solid foundation to build on at the fund level.

We found that most partners have either a commitment, policy or strategy that addresses either broader equality considerations or is specific to gender equality. The majority apply to the organisation as a whole and address gender as part of broader equality considerations. All have either formal or informal expertise dealing with gender or equality issues. Partners' view of their capacity to adhere or implement approaches is relatively strong – with 65% describing their capability as 'strong' and 35% as 'fair'. The most common reason why partners developed approaches was related to internal organisational initiatives. We found less evidence of comprehensive monitoring frameworks or implementation plans at the organisational level – which are typically reported annually. Over half of the partners stated their organisation provides training on the commitment, policy or strategy. While efforts to approach gender equality are a relatively recent development for partners, many share good practice or guidance with other research bodies and government institutions both formally and informally.

Conclusion 4: There are inconsistencies between Delivery Partners on both funds at the call or project level. Minimum requirements vary, as does the use of gender equality scoring criteria and involvement of expertise in design and selection processes. There is no evidence to suggest any major variations in approaches between the funds.

Only two partners reported having a minimum requirement on the number or proportion of projects that consider gender equality, but not as the primary objective. Six partners have gender equality considerations as explicit exclusion criteria, while five reported considerations as explicit selection criteria in calls for proposals. Less than half of the partners sampled score applications for funding (award or project) using specific gender equality or equality/diversity criteria more broadly. Although all partners reported having either formal or informal gender equality expertise, only nine reported involving these individuals in the design of calls for proposals, while two reported their involvement in the selection of proposals.

Conclusion 5: There is inconsistent gender equality reporting among Delivery Partners at the fund level. There is a latent demand among DPs for BEIS to provide clarity on fund level gender equality reporting requirements and to provide a clear statement of BEIS' gender equality strategy for the portfolio.

Seven partners reported they are required to report on gender equality at the fund level, of which four indicated this was a GCRF requirement. Most partners called for BEIS to provide fund level guidance on how to monitor gender equality. Partners also called for a clarity on gender equality strategies at the fund level to improve consistency on interpretation, and to convene cross-fund gender learning efforts. At the award level, there is also a mixed picture. We found that half of the partners require award holders to report data on gender equality during the project cycle. The most common reasons cited were that there isn't a fund level requirement to do so and the amount of resources it would take. Five partners have gender equality as part of a standardised monitoring framework - of which most require data to be monitored during the project cycle. Even fewer (two) provide guidance on how to collect and analyse the data.

Conclusion 6: It is critical to ensure any new approach to gender equality is adequately resourced with clear responsibilities, has buy-in at all levels and is based on an understanding of how the approach is central to fund objectives.

Our review of other fund approaches found that no external funds sampled had a fund-specific commitment, policy or strategy that is either specific to gender equality or broader equality considerations in place from the outset. The evidence shows that in order to do this effectively, dedicated in-house expertise and resources is essential. Making a case for this expertise is best supported by understanding how tackling and understanding the gender, diversity and inclusion dimension of the fund will support the underlying objective. This means it is important to consider whether reframing the fund with this aspect as an integral aspect would enable the fund to be more successful. The evidence also demonstrates that commitment and buy-in at all levels is a pre-requisite to the implementation of an approach. We found that in cases where the approach was integrated or mainstreamed into the fund objectives – the process was reportedly easier and complements the case for additional dedicated resourcing. Beyond this, the approach needs to be devolved through the fund cycle with assigned responsibilities. The evidence also indicates that encouraging synergies and capitalising on mutually reinforced efforts can support mainstreaming efforts.

Recommendations

Recognising the devolved nature of fund delivery, recommendations are presented to inform BEIS' strategy. They have been informed by the findings from our Delivery Partner research and good practice identified from the review of external funds.

Recommendation 1: BEIS should develop a clear, coherent approach to gender equality at the ODA portfolio level.

The lack of such an approach at present means that practice varies across levels (fund; programme; call; award). A portfolio commitment or vision should set out how and why gender equality is an important consideration in ODA supported research and innovation; the strategic level opportunities it presents; and, how BEIS will work with partners to respond. We suggest this commitment be defined at the policy level, and the (high-level) opportunities be built around the main purpose/objectives of each fund within the portfolio and linked to broader policy goals. Putting in place a portfolio level commitment will provide a common understanding and a basis for articulating fund level approaches which can be tailored to the specific mechanisms of each fund.

Recommendation 2: BEIS should institute a systematic approach to learning, clearly differentiating between internal and external functions at key stages in the fund management cycle.

Currently, there are multiple formal and informal learning channels that are used for a variety of purposes. Other than the DLG (which is external), and management boards (internal), there is no formal fund or portfolio level learning function. In the absence of such, there is no internal existing forum or function to start the conversation on approaching gender equality or to institute learning cycles that will help inform implementation and course correction. We suggest creating a cross-team internal forum (or making gender equality and the portfolio level learning function more explicit in the Portfolio Operations and Management Board terms for reference) that has a wider function of tracking overall fund progress; generating evidence; surfacing portfolio learning and engaging in evidence informed adaptation during the fund management

cycle. This function should also consider how it will link into the wider cross-HMG gender equality efforts.

When introducing a new approach or adaptation to fund cycles, such as for gender equality, we suggest that BEIS places emphasis on how gender equality is currently addressed and understood within and across funds, across government and other research bodies by sharing the efforts and learning to date. The aim would be to create a common understanding about how BEIS will consider gender equality in the administration of ODA research and innovation to promote learning processes internally and external, and foster buy-in.

Recommendation 3: BEIS should develop a fund level approach to gender equality, diversity and inclusion that is tailored to each of the funds.

The UK FCO and DFID have developed resources to integrate gender equality in the policy and programming cycle and USAID has a well-advanced approach to integrating gender equality into the programme cycle. Both provide useful learning and could be used as models for developing and implementing an approach for the Newton Fund and GCRF

Fund level approaches should reinforce the portfolio approach but be tailored to the specific fund objectives and implementation mechanisms. They should also be flexible enough to allow partners to interpret as relevant to their programmes of work. This is an important consideration when designing fund level approaches as respondents and partners emphasised during the research. Useful tools and resources are detailed in Annex 4, with supplementary references in Annex 7.

Recommendation 4: BEIS should ensure there is dedicated senior management capacity, sufficient resourcing and clear accountabilities at all levels to design, implement, monitor and adapt the approach to gender equality.

Management capacities, expertise and staff responsibilities will vary. BEIS should therefore include an assessment of management, expertise and resourcing needs at each level during the design. This should consider the overall budget, the number of partners, and the degree of coordination and support that will be needed across government. As part of this assessment, there also needs to be a review of what level of resources are likely to be required to generate the evidence and learning needed to monitor implementation (e.g. monitoring support; capacity building/training of staff; ad hoc studies, evaluations, partner assessments, etc.).

1. Introduction

In 2014, the UK parliament amended the International Development Act 2002⁶ to introduce the promotion of gender equality in the provision of overseas development (and humanitarian) assistance to countries outside the United Kingdom.⁷ The amendment stipulates that prior to the provision of development assistance, the Secretary of State must consider whether the proposed assistance will reduce poverty in a way which is also likely to contribute to reducing gender inequality. The Act also introduced a duty to report on gender in the International Development (Reporting and Transparency) Act 2006. International frameworks such as the UN Sustainable Development Goals⁸ and the UN Convention on the Elimination of All Forms of Discrimination against Women⁹ provide an international consensus that gender inequality needs to be carefully considered in development policy and actions.

The Newton Fund and the GCRF are administered by BEIS. Both funds are funded by the UK's ODA.¹⁰ The Newton Fund's spending authority is the International Development Act 2002, which requires the spending body to give due consideration to reducing gender inequality in the administration of aid. While the GCRF's spending authority is the Science and Technology Act 1965¹¹ and Higher Education and Research Act 2017¹², it is administered in the spirit of the International Development Act 2002. The activities of the funds should, therefore, be expected to contribute to poverty reduction and give due consideration to reducing gender inequality.

Previous reviews and evaluations¹³ found the Newton Fund to be lacking a sufficiently developed approach to the consideration of gender equality in administering the fund.¹⁴ BEIS is now seeking to address these recommendations as outlined in its Government Response (July 2019).¹⁵ The GCRF Foundation Stage Evaluation (November 2018)¹⁶ recommended that

⁶ UK Parliament International Development Act (2002). Available at:

<http://www.legislation.gov.uk/ukpga/2002/1/contents>

⁷ UK Parliament International Development (Gender Equality) Act (2014). Available at:

<http://www.legislation.gov.uk/ukpga/2014/9/section/1/enacted>

⁸ UN Sustainable Development Goals. Available at: <https://sustainabledevelopment.un.org/?menu=1300>

⁹ UN Committee on the Elimination of Discrimination Against Women. Available at:

<https://sustainabledevelopment.un.org/?menu=1300>

¹⁰ In the case of the Newton Fund, it is co-funded by partner countries.

¹¹ UK Parliament Science and Technology Act (1965). Available at: <http://www.legislation.gov.uk/ukpga/1965/4>.

¹² UK Parliament Higher Education and Research Act (2017). Available at:

<http://www.legislation.gov.uk/ukpga/2017/29/contents>.

¹³ Mid-Term Evaluation of Newton Fund (December 2018). Available at:

<https://www.newtonfund.ac.uk/files/newton-fund-mid-term-evaluation-report/> ICAI The Newton Fund: A Performance Review (June 2019). Available at: <https://icai.independent.gov.uk/wp-content/uploads/The-Newton-Fund.pdf>

¹⁴ The MTE (December 2018) found the fund lacking a “fund-level strategy or guidance on how gender equality is expected to be addressed or BEIS’ expectations in terms of gender mainstreaming in the implementation and management of activities”. The ICAI Review (June 2019) also found that the fund lacked an approach and recommended that: “the Newton Fund should ensure it meaningfully considers options for reducing gender inequality and reports against its progress.

¹⁵ ICAI Review of Newton Fund Government Response (July 2019): As part of developing a formal Newton Fund overarching strategy, we will review DFID best practice and guidance and develop an ambitious plan to maximise the positive impact on gender equality. We will also reflect this in our approach to the GCRF– sharing best practice across the two funds”. Available at: https://www.gov.uk/government/publications/icai-review-of-the-newton-fund-government-response?utm_source=miragenews&utm_medium=miragenews&utm_campaign=news

¹⁶ Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF-Evaluation-Foundation-Stage-Final-Report.pdf

emphasis is placed on gender equality as an evaluation purpose and that a gender audit is conducted across the fund. It is therefore opportune for BEIS to review the approach to gender equality in the GCRF – to maximise learning across the funds and partnerships. This review is a contribution to BEIS' ongoing efforts to strengthen the approach to gender equality, diversity and inclusion in the delivery of ODA within BEIS. It provides an internal review of two funds – the Newton Fund and the GCRF – to understand how they are administered and if the funds DPs are approaching gender equality in their work. The review also looks at how other similar funds have approached gender equality and based on this, makes some suggestions for how BEIS' approach to gender equality could be improved.

1.1 Purpose and scope

The **purpose** of the review is to provide BEIS with insights and learning to contribute to the development of a forthcoming ODA Research and Innovation (R&I)¹⁷ Gender Equality, Diversity and Inclusion Strategy which will strengthen the approach to gender equality in the Newton Fund and the GCRF. The objective is to provide insights into the current fund-level approaches and to identify potential alternative approaches to gender equality.

The **scope** takes a formative approach including an internal dimension (focussing on BEIS fund level processes and approaches adopted by DPs), and an external dimension (exploring approaches on similar funds within the UK context and internationally). Taking the definitions outlined in Box 1 below, the scope included portfolio and fund level approaches to gender equality. The review does not focus on broader aspects of equality, diversity and inclusion or the extent to which gender equality has been mainstreamed by DPs, within BEIS or other donors.¹⁸ Rather, it uses their experience to provide insights and learning.

1.2 Structure

The report is structured in six sections. Section 1 introduces the purpose, objectives and scope of the review. Section 2 provides background to gender equality in research and innovation and why it is important; and introduces the Newton Fund and the GCRF. Section 3 presents the approach. Section 4 describes the findings which are structured according to the research areas (BEIS Portfolio and fund approaches to gender equality; DP approaches to gender equality and other fund approaches to gender equality). Section 5 presents the conclusions, and Section 6 the recommendations. The annexes include the original concept note, the list of stakeholders consulted, useful reference tools and a list of documents reviewed.

Throughout the report several terms are consistently used. For the purpose of clarity and consistency around their meaning, Box 1 provides a list of definitions.

Box 1: Definition of key terms used in the report

Organisation - where reference to BEIS as an organisation is made, it should be interpreted as BEIS ODA R&I in the context of this report.

Portfolio - a collection of funds, interventions or initiatives that together contribute to a common set of strategic objectives and have a common underlying logic. The portfolio is

¹⁷ Research and Innovation for development.

¹⁸ The review did not assess the extent to which gender equality is mainstreamed as the funds were previously found to not have an approach or requirements for gender equality considerations outlined. The focus was therefore on understanding and learning from what is happening within and outside the funds, to contribute to the development of an approach.

overseen by BEIS, ensuring policy coherence and alignment to strategy. In this case the portfolio refers to the Newton Fund and GCRF as BEIS' two ODA funded activities.

Fund – an individual fund (i.e. The Newton Fund, GCRF) or subunit within a broader portfolio. Funds are managed using practices and procedures to oversee the disbursement of grants to DPs (i.e. recipients of grant funds). This includes reporting, monitoring and evaluation of grants.

Programme - funding instruments for the distribution of Newton Fund and GCRF funding. DPs lead, design and manage programmes.

Call – instance where DPs invite applications under a given programme. There may be multiple calls under one programme or there may only be a single call under a programme (in which case 'call' and 'programme' are synonymous).

Project - award made by DPs these include award holders, principal investigators and co-investigators etc. Projects have vertical lines of accountability to the DP, share a core unifying element, but their specific objectives and interventions may be quite different.

Gender or equality commitment - affirms an organisations commitment to supporting the realisation of gender equality. This can be a statement on an organisation's website or published in other internal documents such as annual work programmes.

Gender or equality policy - a statement of intent that is implemented as a procedure or protocol. It is usually adopted by the governance or management structure within an organisation. It may or may not contain a set of principles to guide implementation.

Gender or equality strategy - provides the organisational framework for achieving or mainstreaming gender equality in an organisations' mandates, policies, operations and programmes. This is usually a separate written document and may contain objectives, targets or an implementation plan.

2. Background

This section provides some wider gender equality, diversity and inclusion context in research and innovation (2.1); an overview of BEIS' ODA research and innovation (2.2); an introduction to the Newton Fund (2.3) and the GCRF (2.4); an overview of DPs (2.5) and finally, details how the funds differ (2.6).

2.1 Gender equality, diversity and inclusion in research and innovation

Under UK law, ODA spending has a duty to have regard to gender equality. It should 'contribute to reducing inequality between persons of different genders'.¹⁹ Beyond legal compliance, it is also incumbent on the research and innovation sector to tackle instances of underrepresentation, differential needs and systemic disadvantage to improve the relevance of research and innovation findings, to support inclusion, to reduce the impact of bias and ultimately, to contribute to reducing inequalities between genders.²⁰ The impact of new technologies and knowledge production cannot be assumed to have equal benefit or positive effects for everybody, while opportunities to access and participate in the research and innovation process itself may also be unequal.

Gender is a social scientific term used to describe shared social ideals of femininity and masculinity, associated behavioural expectations and relations between sexes.²¹ These shared ideals vary across organisations, countries, legislative and cultural boundaries. Gendered attitudes and behaviours are (re) produced at multiple levels – in individuals' identities, and expectations, in social, economic and political institutions, and in wider society and culture. This leads to inequalities between genders, where one gender, usually women, are excluded or disadvantaged in terms of accessing and benefiting equally from economic, political and societal resources and opportunities.

Drivers of change that can foster gender equality, diversity and inclusion vary within sectors and organisations, as well as regional and national contexts. Common drivers include: the 'business case' (increased productivity, staff retention, reputation); ethical and human rights arguments; and legal or regulatory provisions.²² The role of the researcher and funder can also be an important driver of change.²³ Staying informed (beyond diverse and inclusive teams) can support the efficacy of research and innovation from the gendered implications of health studies²⁴ to racialised bias in technology innovations²⁵; improving work/life balance to boosting professional capabilities of women; implementing gender fair organisational structures to

¹⁹ UK Parliament International Development (Gender Equality) Act (2014). Available at:

<http://www.legislation.gov.uk/ukpga/2014/9/section/1/enacted>

²⁰ Cavaghan, R. (2020) Gender, Science, Technology and Development: Literature Review for the University of Edinburgh's Working Group on Integrating Gender in GCRF Applications. 10.13140/RG.2.2.18199.73125.

²¹ Ibid note 19.

²² World Bank (2010) Gender Equality as Smart Economics. Available at:

<http://documents.worldbank.org/curated/en/125221468175766844/pdf/605830NEWS0Gen10Box358323B01PUBLIC1.pdf>

²³ Moody, J. and Aldercotte, A. (2019) UKRI: Equality, Diversity and Inclusion in Research and Innovation: International Review. Available at: <https://www.ukri.org/news/ukri-publishes-equality-diversity-and-inclusion-evidence-reviews/>

²⁴ Canadian Institutes of Health Research and Institute of Gender and Health (2012) What a difference sex and gender make: a gender, sex and health research casebook. Available at: <https://ssrn.com/abstract=2199670>

²⁵ Barocas, S., Selbst, A. D., (2016). Big Data's Disparate Impact. California Law Review. Vol. 104. Issue 3.

integrating gender equality dimensions in research and teaching; fostering ethical research and innovation to increasing research, innovation and economic outputs.²⁶

A series of evidence reviews commissioned by UKRI (2019)²⁷ found that a large proportion of research and innovation interventions already consider elements of gender (or sex) equality, or wider equality, diversity and inclusion issues (such as 'diversity training') in design. However, other characteristics such as disability, religion or age were less likely to be the primary target of interventions, which suggests that wider diversity and inclusion considerations and intersectionality²⁸, are nascent in approach. Carrying out research should include careful consideration of context specific gender and equality challenges. This may include for example, the underrepresentation of indigenous peoples in research and academia or being aware of the different historical and legal contexts which impact how partners and local researchers understand equality 'monitoring', culture change and majority or minority experiences.²⁹ Given the scope of the international research and innovation landscape, these factors mean that a wide range of identities, cultures and interactions may be considered through a gender equality, diversity and inclusion 'lens'.

Existing socio-economic inequities should also be considered and assessed in the research design, which means that tackling these issues may require new ways of thinking.³⁰ When gender and equality assumptions are not considered they can introduce bias into research and undermine the utility of knowledge production and new innovations. They can also exacerbate existing inequalities which are inconsistent with a 'do no harm' approach.

Incorporating gender equality, and broader equality, diversity and inclusion considerations into research and innovation should take account of the hierarchies, roles and social relations between people of different genders. Without doing so, it risks having a negative impact on inequality. Where innovation and new technology is concerned, new innovations may inadvertently have unequal impacts on men and women – exacerbating inequalities. 'Sex-blind' research and technology development processes are therefore at risk of creating knowledge and products that systemically perpetuate inequality between men or women. 'Gender blind' research risks creating knowledge or technologies that ignore social factors, and relationships between people that shape interactions with technology.³¹

It should be noted that tools and best practices developed for the integration of gender equality into development projects, may not be directly relevant for research purposes across multiple disciplines. These may include relationships between scientific research, lab-based research and end users; the integration of sex and domains of gender inequality in (scientific) research and the challenges of trans/interdisciplinary research.³² Existing tools could be adapted to

²⁶ EFFORTI (2019) The EFFORTI Framework: Toolbox V2.0. Available at: <https://efforti.eu/efforti-toolbox-intro>

²⁷ Guyan, K. and Douglas, F. (2019) UKRI: Equality, Diversity and Inclusion in Research and Innovation: UK Review. Available at: <https://www.ukri.org/news/ukri-publishes-equality-diversity-and-inclusion-evidence-reviews/>

²⁸ Intersectionality is defined as 'assessing how particular constellations of identities and social positions impact on access to rights and opportunities, and how policies, programmes, services and laws affect people in different, context-specific or even unexpected ways. Understanding different intersecting systems of oppression enables us to recognise the different experiences of women, and how gender inequality is shaped by these intersections. Gender and Development Network (2017). Available at:

<https://static1.squarespace.com/static/536c4ee8e4b0b60bc6ca7c74/t/5a130e9d53450a0abd9c0f8f/1511198367912/Intersectionality+GADN+thinkpiece+November+2017.pdf>

²⁹ Ibid note 26.

³⁰ Ibid note 19.

³¹ Ibid note 19.

³² Ibid note 19.

consider these different contexts and settings and reconfigured according to the aims and design of the research project.

The requirement to consider gender equality in ODA research and innovation helps to break down gendered assumptions in perspectives of society. These are largely unconscious biases – but in some cases can be deliberate.³³ Research practitioners – across all disciplines - need to be aware that gender equality is a specialist, social scientific expertise and it is wrong to assume that all social scientists can supply gender equality expertise. Researchers should also be mindful of the time required to conduct interdisciplinary research.³⁴ Understanding how and why it is important to consider gender equality perspectives in the design and application of research and innovation should enable researchers to conduct accurate analysis of dynamics that are relevant to their discipline and research subject. This could include an understanding of how gender equality functions at different levels in society (individual, household) and across domains (research, economy, politics) which can lead to significant adaptations in research methodologies.³⁵

2.2 BEIS ODA research and innovation

The UK Aid Strategy's (2015) goal is to further sustainable development and welfare of developing countries while placing international development at the heart of national security and foreign policy.³⁶ The strategy recognises the critical role³⁷ the UK's research and innovation system can play in tackling global challenges, from investment in research and innovative solutions to developing capacity through collaboration between researchers within a global research system.

BEIS' primary objective for ODA research and innovation funding is to reduce poverty by generating and putting into use knowledge and technology to address development challenges and advance development for the poorest people and countries.³⁸ This will be achieved by growing the research and innovation capacity of developing countries, contributing to the continued strength of the UK's research and innovation system, and supporting wider prosperity and global influence. Building partnerships between researchers in the UK and researchers, policy makers, the private sector and development initiatives in low- and middle-income countries is cited as critical to achieving this objective.

³³ Coe R.I., Wiley, R., Bekker, L. (2019) Organisational best practices towards gender equality in science and medicine. The Lancet Review: Vol. 393, Issue 101071. Available at: [https://doi.org/10.1016/S0140-6736\(18\)33188-X](https://doi.org/10.1016/S0140-6736(18)33188-X)

³⁴ European Commission (2012) Structural change in research institutions: Enhancing excellence, gender equality and efficiency in research and innovation. Available at: https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/structural-changes-final-report_en.pdf.

³⁵ Ibid note 19.

³⁶ UK HM Treasury/DFID (2015) UK Aid: Tackling Global Challenges in the National Interest. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/478834/ODA_strategy_final_web_0905.pdf

³⁷ Investments in scientific and technological knowledge – from better medicines and vaccines to the 'green revolution' (new seeds and farming practice able to produce high yields) – have driven major development advances. Infant mortality has more than halved in the poorest countries, and hunger has reduced significantly: BEIS (2017) Research and Innovation: Official Development Assistance (ODA) Statement of Intent. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/623850/beis-research-innovation-oda-statement.pdf

³⁸ BEIS (2017) Research and Innovation: Official Development Assistance (ODA) Statement of Intent. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/623850/beis-research-innovation-oda-statement.pdf

As the second highest ODA spending department (total spend was £851 million in 2018)³⁹, BEIS delivers two core policy interventions – The Newton Fund and the GCRF - and shares responsibility for the delivery of the cross-government UK International Climate Finance (ICF).⁴⁰ The Newton Fund's primary focus is on building partnerships with designated countries to support their research and innovation capacity to solve development challenges, whilst the GCRF's primary focus is to support cutting-edge research that addresses the challenges faced by low and middle-income countries.

2.3 The Newton Fund (2014-21)

The Newton Fund is a dedicated £735m fund aimed at promoting economic development and social welfare of partner countries.⁴¹ It does so by developing and strengthening partner country science and innovation capacity and unlocking funding to support this work. The fund has a secondary objective to secure benefits to the UK by presenting further research opportunities, improving the skills and activity of UK innovators and researchers and unlocking opportunities for trade. The Newton Fund began in 2014, and is implemented over a seven-year period, ending in 2021.⁴² With an emphasis on collaborative models of delivery, the Newton Fund is co-funded, co-designed and co-delivered with each of the partner countries.

Designed to address a funding gap owing to perceived risk and potential returns on innovative research projects for businesses, academics and investors, the fund supports 17 partnerships between the UK and other countries, underpinned by government to government agreements (see figure 1 below). To achieve its aim, some partnerships formed must last beyond the lifetime of the fund itself – ultimately leading to systemic improvement in science and innovation capacity in the longer term. Managed by BEIS, the Fund is delivered through seven UK DPs (see section 2.5) in collaboration with country DPs. UK DPs work with country counterparts in each location to codesign programmes and call proposals which are submitted to a competitive, peer-reviewed selection process.

The fund delivers three types of activity⁴³, categorised by pillar:

- 1. People Pillar:** Capacity-building in science and innovation, individually and institutionally in partner countries;
- 2. Research Pillar:** Research collaborations on development topics; and

³⁹ BEIS (2019) Annual Report 2018-19. Available at: <https://www.gov.uk/government/publications/beis-annual-report-and-accounts-2018-to-2019>

⁴⁰ The ICF is delivered by three government Departments (DFID, BEIS and Defra) between 2016 and 2021.

⁴¹ The Newton Fund was established from the 'Emerging Powers Opportunities Fund' paper (2013). It outlined a need for the UK to react to the changing international science and innovation landscape, stating that although emerging powers are increasingly global players, established networks between these countries and the UK are not as strong as they could be. These networks were deemed unlikely to materialise organically, thus government intervention was a necessary first step to target 'emerging powers' with potential for scientific excellence for partnership. Source: Mid-Term Evaluation of Newton Fund (December 2018). Available at: <https://www.newtonfund.ac.uk/files/newton-fund-mid-term-evaluation-report/>

⁴² The fund was conceived in 2014 as a £375m, 5-year programme targeting 15 countries. In late 2016, the UK government committed to extending the fund, which will now run until 2021 and includes 18 countries, with an increased total budget of £735m. Source: Mid-Term Evaluation of Newton Fund (December 2018). Available at: <https://www.newtonfund.ac.uk/files/newton-fund-mid-term-evaluation-report/>

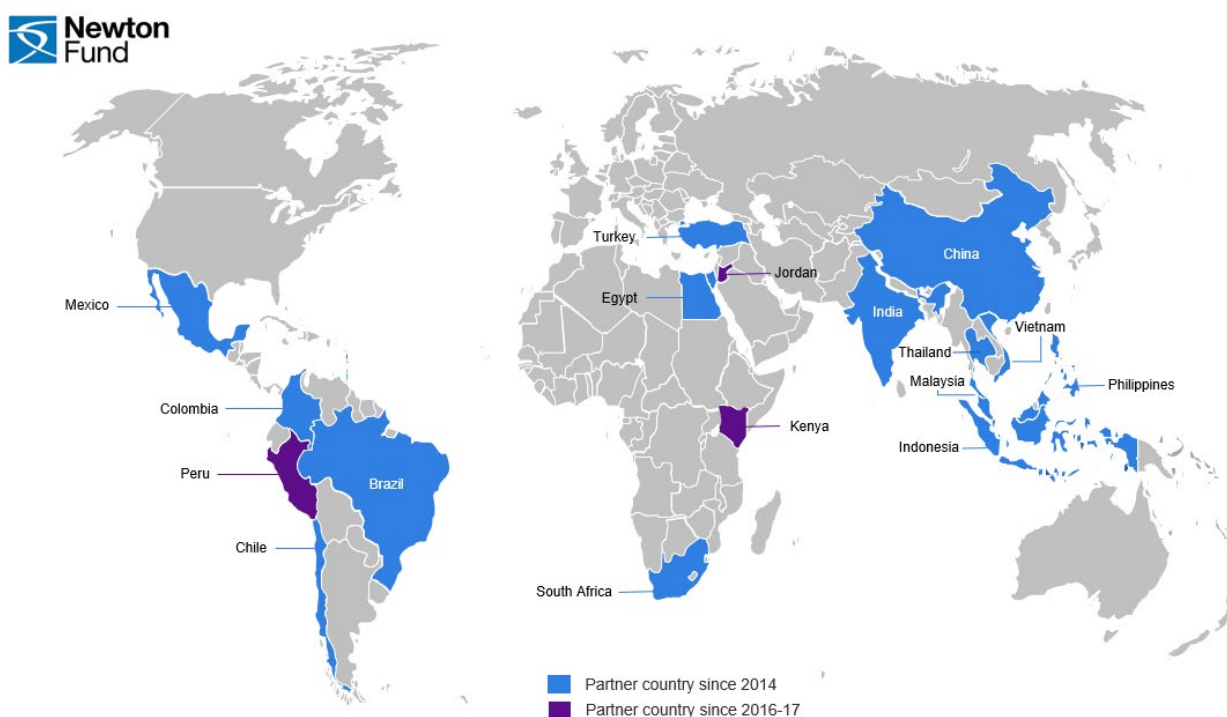
⁴³ Examples include joint research on development topics; student and researcher fellowships and mobility schemes; challenge funds to develop innovative solutions on topics of interest to developing nations; and capacity-building.

3. Translation Pillar: Creating collaborative solutions to development challenges and strengthening innovation systems.

The Newton Fund has 17 active partnerships.⁴⁴ Countries are selected to enter partnerships based on criteria⁴⁵ and all are (or were at the time of selection)⁴⁶ on the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) list of ODA recipients. Partnerships focus on lower and upper middle-income countries rather than low income, least developed which helps expand the reach of ODA spend and complements other funds (see section 2.6).

Activities (or calls) are co-designed by UK DPs, in-country partnering government organisations and funders. Each partnership is unique but includes a mix of joint research and innovation programmes and capacity building programmes. A distinctive feature of the Newton Fund is the requirement for co-investment from each partner country - 'matched' funding or effort – is an inherent part of the co-design model.

Figure 1: Newton Fund Partner Countries



2.4 Global Challenges Research Fund (2016-21)

The GCRF is a £1.5 billion fund aimed at harnessing the expertise of the UK's research base to pioneer new ways of tackling global challenges (strengthening resilience and response to crises; promoting global prosperity; and tackling extreme poverty and helping the world's most vulnerable). The fund will ensure UK science takes the lead in addressing the problems faced

⁴⁴ Kazakhstan is no longer an active partnership.

⁴⁵ Selection criteria includes: Identification under the Foreign Office Emerging Powers Initiative (2010) as a country with whom the UK should be increasing its efforts to engage; be a Development Assistance Committee (DAC) Overseas Development Aid recipient; demonstrate strong Research and Innovation (R&I) excellence; willingness for R&I engagement with the UK on areas that will help meet development goals and ability to meet conditions for partnership through matching resource or effort.

⁴⁶ In the case of Chile which graduated from the OECD-DAC eligibility list in 2017, its outcomes/research must benefit countries/people who are ODA eligible.

by developing countries, whilst developing ability to deliver cutting-edge research.⁴⁷ It does so by emphasising interdisciplinarity and building partnerships in developing countries to achieve a positive transformational impact on development research and sustainable global development.⁴⁸ The GCRF was launched in 2015, and is implemented over a four-year period, 2016-21.

The GCRF was conceived as a unique opportunity to build a global community of researchers committed to sustainable development and the eradication of poverty. It is designed to complement, expand and develop other forms of international and multinational funding for development research by deploying UK research excellence to ‘generate solutions to complex problems faced by developing countries and strengthen their research capability’.⁴⁹ Managed by BEIS, the GCRF is delivered by nine UK DPs (see section 2.5). Decisions on research priorities are made independently from BEIS, and the fund works primarily at the research base level.

The GCRF does not have an explicit priority list of countries. Instead, the fund supports universities, industry and research organisations to do challenge-led disciplinary and interdisciplinary research, strengthen capability for research and innovation within developing countries, and provide an agile response to emergencies, where there is an urgent research need. The fund supports a diverse portfolio of activities, with the common feature of addressing the research agenda for enabling change, the Sustainable Development Goals (SDGs) and maximising the practical impact of research and innovation to address poverty alleviation. The GCRF aims to address global challenges in three main themes:

1. Equitable access to sustainable development;
2. Sustainable economies and societies; and
3. Human rights, good governance and social justice.

Themes are further categorised into 12 challenge areas⁵⁰, with six strategic challenge portfolios⁵¹ to bring coherence to the work and amplifying research outcomes and impact. Within challenge areas, the GCRF supports research that addresses a significant problem or development challenge. Funded activity should directly contribute to the sustainable and inclusive prosperity of people in developing countries. Given the complexity and breadth of the challenge areas, the GCRF takes an integrated approach but prioritises activities that: have a strong likelihood of impact; is problem and solution focused; demonstrates research excellence; builds capacity and partnerships and builds equitable partnerships.

2.5 Delivery partners

⁴⁷ BIS (2016) The Allocation of Science and Research Funding 2016/17 TO 2019/20. Department for Business, Innovation and Skills, London.

⁴⁸ Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF_Evaluation_Foundation_Stage_Final_Report.pdf

⁴⁹ BEIS (2017) UK Strategy for the Global Challenges Research Fund. Available at: <https://www.ukri.org/files/legacy/research/gcrf-strategy-june-2017/>

⁵⁰ Secure food systems; Health and well-being; Inclusive education; Clean air, water, sanitation; sustainable energy; Sustainable livelihoods; Environmental resilience and action; Sustainable cities and communities; Sustainable production and consumption; Forced displacement and refugee crises; Conflict, peacebuilding, justice and humanitarian action; Poverty reduction, inequality and gender.

⁵¹ Global health; Food Systems; Resilience; Conflict; Education and Sustainable Cities.

The Newton Fund and the GCRF are implemented by UK based DPs (in the case of the Newton Fund, also by country DPs through which match funding is required based on a partnership approach). While the funds differ (see section 2.6), they share many of the same UK based DPs. BEIS selects DPs through a competitive process to deliver and implement programmes that are aligned to the overall objectives of the funds. DPs design programmes, deliver calls, allocate and manage resources they receive from BEIS. DPs represent a wide range of research and innovation institutions, providing the Newton Fund partner countries and the GCRF with access to the UK research and innovation ecosystem and expertise to deliver excellence in collaborative research and innovation.

The Funds have the following UK DPs in common: The Academy of Medical Sciences, the Royal Society, the Royal Academy of Engineering, the British Academy and UKRI (a non-departmental public body sponsored by BEIS).

Box 2: What is UKRI?⁵²

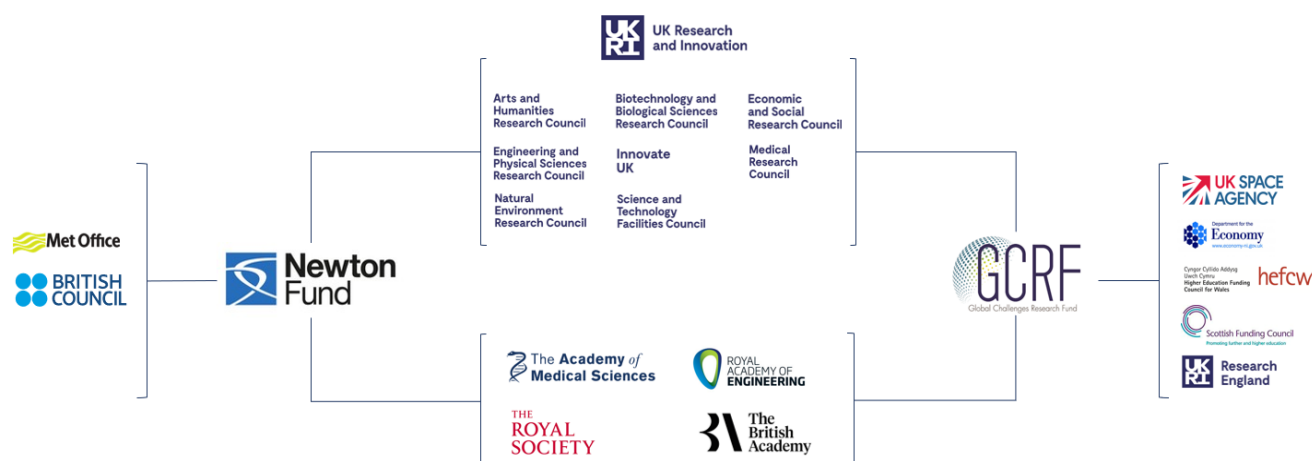
UKRI was established by the UK Higher Education and Research Act (2017) to bring together seven research councils, Innovate UK, and the research and knowledge exchange functions of the Higher Education Funding Council for England (HEFCE). The BEIS Secretary of State is the minister with formal responsibility for UKRI. Day-to-day ministerial oversight is delegated to the Minister of State for Universities, Science Research and Innovation. UKRI works in partnership with universities, research organisations, businesses, charities, and government to create the best possible environment for research and innovation to flourish.

In addition, the Newton Fund partners with the British Council and the UK Met Office⁵³, whereas the GCRF partners with the UK Space Agency, Research England (part of UKRI) and a separate category of National Funding Councils – the Department for the Economy, Northern Ireland; Higher Education Funding Council Wales and the Scottish Funding Council. Both the Met Office and the UK Space Agency are executive agencies of BEIS. Figure 2 outlines the DPs delivering across both funds as well as those specific to each.

Figure 2: Delivery Partners

⁵² BEIS (2018) UKRI Framework Document. Available at: <https://www.ukri.org/files/about/ukri-framework-document-2018-pdf/>.

⁵³ The Met Office is an Executive Agency of, and a Trading Fund within, BEIS. The Secretary of State for BEIS holds formal responsibility for the Met Office, with oversight provided by the Minister of State for Universities, Science, Research and Innovation. BEIS' Permanent Secretary is the Principal Accounting Officer. It is led by a Chief Executive Officer, who is overseen by the Met Office Board and BEIS Met Office Sponsorship Team. BEIS (2019) Met Office Framework Document. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/786668/met-office-framework-document-2019.pdf.



2.6 How the funds are complementary, but differ

As ODA eligible funds, the Newton Fund and the GCRF share the same primary and secondary objectives. The mechanisms by which they will achieve these objectives are, however, fundamentally different. The Funds share many of the same UK DPs and are both managed and overseen by BEIS. They differ in size (the GCRF is much larger), timing, scope and funding modalities. The GCRF lacks some of the distinctive features of the Newton Fund, notably, the requirement for matched investment from partner countries. The Newton Fund focusses on building partnerships to support research and innovation capacity in partner countries, while the GCRF focusses on using the UK's research and innovation strengths to find solutions to global challenges. Table 1 outlines how the funds compare.

Table 1: How the funds compare

	The Newton Fund	GCRF
Timeframe	2014-21	2016-21
Value of UK Investment	£735 million	£1.5 billion
Primary Objective	Promote the economic development and welfare of partner countries	Promote the economic development and welfare of developing countries
Secondary Objective	Contribute to continued strength of UK's research and innovation base, wider prosperity and global influence	Contribute to continued strength of UK's research and innovation base, wider prosperity and global influence
Focus areas	Supports bilateral and regional science and innovation partnerships between the UK and partner countries to build science and innovation capacity, and address development challenges affecting the partner country	Supports UK challenge led disciplinary and interdisciplinary research focussed on addressing global challenges which most significantly impact upon developing countries or where there is an urgent need
Funding Model	UK investment must be matched by investment from partner country	No matched investment required

Country Focus	Lower and upper middle-income countries	Low income and least developed countries
Country Target	Selects partner countries	Does not specify countries
ODA Eligibility	Must be ODA eligible ⁵⁴	Must be ODA eligible
Strategic Oversight	BEIS ODA Research and Innovation Board	BEIS ODA Research and Innovation Board
Policy Oversight	BEIS ODA Research and Innovation Team	BEIS ODA Research and Innovation Team
Fund Manager	BEIS ODA RMT and PMO	BEIS ODA RMT and PMO
Delivery Partners	UK research councils; academies; executive agencies; British Council and partner country DPs	UK research councils, academies; national funding councils and executive agencies

⁵⁴ Countries must be ODA eligible at the time of selection. In the case of Chile which graduated from the OECD-DAC eligibility list in 2017, its outcomes/research must benefit countries/people who are ODA eligible.

3. Approach

This section describes the overall approach to the review of approaches to gender equality. Sections 3.1–3.2 outline the approach and tools used (interviews, online surveys) and the overarching synthesis approach. Section 3.3 details the limitations of the review while 3.4 details the how we ensured confidentiality throughout. Annex 5 details the survey questionnaire; Annex 6 a list of consultations and survey respondents while Annex 7 provides a list of documents reviewed and references.

3.1 Formative

The review took a formative, collaborative approach placing emphasis on improving the current approach and facilitating learning rather than making judgements on, if, or how BEIS and the funds currently approach gender equality. This approach was appropriate given the review's purpose, the evolving nature of the two funds and the fact that some of the DPs may already have approaches to gender equality or be undertaking initiatives that aim to address gender equality. It enabled the review to take stock of DPs efforts while also exploring learning for BEIS and other partners.

3.2 Methodology

A thematic review⁵⁵ was considered the most suitable methodological approach as it enabled the review to identify patterns of meaning across the dataset. It is theoretically flexible, meaning the review could apply different methods internally and externally; and explore questions related to understanding and the construction of meaning (i.e. how the approach to gender equality is being applied). Patterns identified provided answers and learning in response to key questions (i.e. What approaches are currently being applied and what alternative approaches can be considered?). The review was operationalised through three workstreams: 1) Internal review of approaches to gender equality; 2) External rapid review of approaches to gender equality; and 3) Analysis and synthesis.

Workstream 1: Internal review of approaches to gender equality

This workstream gathered data to construct an evidence base on how gender equality is currently approached at various points in the fund management cycle and implementation processes from the portfolio, fund management and implementation levels. The interviews took place in February 2020 and the online survey took place during the period 22 January – 6 March 2020.

Key Informant Interviews (KIIs)

We conducted five semi-structured KIIs with BEIS staff to take stock of how gender equality is approached in the Newton Fund and the GCRF (i.e. portfolio level operational approach). Respondents were purposively selected from BEIS ODA Research and Innovation Team and ODA Research Management Team. The KIIs explored current practice, unpacked how the funds are managed (i.e. the fund management cycle), gender equality efforts to date and how

⁵⁵ A thematic review identifies patterns of meaning across a dataset (usually qualitative). Patterns are identified through a process of data familiarisation, data coding, and theme development.

BEIS learns. The KILs surfaced key documentation which was reviewed as part of a desk review.

Online Survey

The online survey was the preferred method to gather data on approaches to gender equality at fund implementation level. The online tool enabled the research approach to be adaptive, as information pertaining to the roles and responsibilities of the DPs was emerging during the design phase. Two versions of the survey were designed, the first containing 47 questions covering five areas⁵⁶ and the second containing 27 questions covering four areas of review.⁵⁷ The key difference between the versions is the omission of the organisation section in the second version was considered not applicable to UKRI members following consultation. The survey was administered using a combination of email and SurveyMonkey (a customised web-based application), following a participatory based design phase which involved consultations with BEIS, UKRI and a paper-based survey pilot with two DPs.⁵⁸ The survey allowed for a comprehensive data set to be collected within the time constraints and budget available. Key considerations for the design included ensuring participants perceived and responded to the survey as expected⁵⁹, ensuring participants completed the survey by minimising the time burden and ensuring that the survey was accessible regardless of location. The total cross-fund sample consisted of 20 DPs; nine of which are under the remit of UKRI and three are devolved administrations. 11 DPs were administered the first version (47 questions) and the nine UKRI members were administered the second version (27 questions). The survey achieved an 85% response rate⁶⁰ with 17 out of 20 DPs participating and 40 individuals contributing across the partners.

Workstream 2: Rapid review of gender equality approaches in other ODA funds

This workstream gathered information on approaches to gender equality in the management and administration of five other sampled funds that have similar characteristics to The Newton Fund and the GCRF. The research focused on how gender equality is approached at the fund or programme level and the broader organisational approach to gender equality, diversity and inclusion. The interviews took place during the period February – March 2020.

Rapid review

We constructed a sample⁶¹ of five funds for rapid review. These funds were selected following a desk review of available information against a list of criteria⁶² which was co-created with BEIS. The five funds sampled for the review are:

⁵⁶ Respondent Details; Organisational approach to gender equality; Approach to gender equality at the project level; Monitoring and reporting on gender equality and Improving approaches to gender equality on the Newton Fund and the GCRF.

⁵⁷ Respondent Details; Approach to gender equality at the project level; Monitoring and reporting on gender equality and Improving approaches to gender equality on the Newton Fund and the GCRF.

⁵⁸ The Academy of Medical Sciences and Research England.

⁵⁹ Additional mitigations were put in place to ensure participants understood the purpose of the survey as a learning exercise as opposed to an assessment; and that participants received and accessed the survey information in a timely manner. These mitigations included developing bespoke briefing notes and survey scripts in PDF format and avoiding mass emailing where possible.

⁶⁰ Innovate UK, Economic and Social Research Council and the Department of Economy, Northern Ireland did not provide a response.

⁶¹ Details on the sampling approach and process are contained in the Review Concept Note (Annex 1).

⁶² Criteria included: level of comparability with the Newton Fund and the GCRF in terms of: Aims/objectives, types of activities; countries targeted/grantees, budget size, implementation period, existence of a gender equality strategy.

- UK Prosperity Fund – Cross Whitehall (HMG);
- UK Conflict, Stability and Security Fund - FCO;
- UK Joint Fund for Poverty Alleviation Research - DFID/ Economic and Social Research Council (ESRC);
- UK Gender, Growth and Labour Markets in Low Income Countries Programme (G2LM|LIC) - DFID/Institute of Labor Economics (IZA);
- USAID Partnerships for Enhanced Engagement in Research (PEER)

All are UK government funds with the exception being the USAID PEER programme. We conducted six semi-structured targeted KIs with focal points for each fund and carried out a desk review of key documentation shared. Data quality was consistent and complete across the funds, the semi-structured guides complemented the desk reviews and where required, follow-up conversations took place to address remaining gaps. This involved exploring how gender equality is approached or implemented in practice and reviewing relevant documentation with each of the funds. The rapid review informed our understanding of how other similar funds approach gender equality and helped to identify areas of learning for BEIS.

Workstream 3: Analysis, synthesis and learning

Finally, using the guiding questions across the data collection tools, we collated, compared and synthesised data gathered from the workstreams. We validated the emerging findings and conclusions with the BEIS ODA team and used this feedback to improve the accuracy and utility of our conclusions and recommendations. This resulted in high quality, accessible findings which draw out key lessons and insights for BEIS to take forward.

In summary, the review conducted 11 KIs, surveyed 17 DPs, and facilitated a virtual workshop with the BEIS team to validate the emerging findings and conclusions. These primary data sources were complemented by a desk review of over 60 secondary data sources which provided additional data and insights to address the review purpose and objectives.

3.3 Limitations

There are three main limitations in the approach:

Confirmation and selection bias. There is a risk of confirmation bias as the primary data sources are the internal staff and team members of external funds. While we attempted to mitigate this bias by seeking views outside the BEIS teams (the DPs), and being transparent about our sampling, there is always a risk of selection bias in purposive sampling approaches. Such bias is also mitigated by the purpose of the review – being learning rather than an assessment.

Response bias: Survey respondents may, for various reasons, provide responses that they think we want to hear, rather than the reality. We mitigated this by providing respondents with clear guidance, facilitated calls on the purpose of the review – and were explicit that it is not an assessment of organisations but a learning exercise; by asking for reasons behind given answers and seeking additional information or examples to get beyond rhetoric.

Rapid review is not a systematic evidence base review. We conducted a rapid expert review of five external funds. This review gathered information on approaches to gender

equality in the management and administration of other funds that have similar characteristics to The Newton Fund and the GCRF. An in-depth systematic review was beyond scope, as the purpose is to inform the development of an approach to gender equality, rather than advise on technical content. While a rapid review is limited in terms of the quality of evidence appraisal, and depth and breadth of analysis, we mitigated this by ensuring that we interviewed the most informed experts who are directly involved in the approaches on other funds and obtaining additional documentation beyond what is available publicly, which allowed for a more informed analysis. We also ensured that our desk review complemented the KIIs and sought further conversations where data gaps remained.

3.4 Confidentiality and data ownership

We put several protocols in place to safeguard data shared, survey responses, KIIs conducted and sensitive documentation. The main guiding principle is that data remains confidential unless explicitly authorised for sharing by BEIS. Documents and data shared that were marked as sensitive were additionally protected such that only team members for whom it is of direct relevance can access this material. We adhered to the following principles throughout:

Obtained informed consent from interviewees. In our KIIs, we respected respondents' right to pull out at any time. We informed participants how the information obtained will be used and shared in our introductions to KIIs. We then obtained verbal consent to conduct and record the interview.

Protected the anonymity and confidentiality of individual informants. We respected people's right to provide information in confidence and ensured sensitive information cannot be traced to its source (through data management, analysis, reporting and dissemination). We did this by explaining at the start of the interview that people's views will not be associated with their name but with their position, asking whether they agree to this process. At the report writing stage, drafts were shared with BEIS, and any sensitive issues that might be identifiable to an individual (implicitly) were pinpointed and mitigating actions agreed.

Acted with integrity and honesty in our relations with all stakeholders. We did this by being sensitive and understanding about stakeholders' time and other commitments in all our interactions with BEIS, the DPs and other informants.

Ensured confidentiality is maintained on data capture, storage, sharing and disposal. Tetra Tech's internal storage facility restricts user access by applying permissions where sensitive data is stored. Identifiable data is kept separately from interview/focus group transcripts where possible. Survey data will be disposed one month following the review completion. We obtained consent from all respondents regarding use of the survey data. Tetra Tech is also registered under the UK Data Protection Act 1998 and has Data Protection Policies and Information Security Policies in line with GDPR, which include procedures on data retention and confidentiality

4. Findings

This section presents the review findings. It is structured in three main sections. Section 4.1 presents the findings from portfolio and fund management level and explores how BEIS learns at these levels. Section 4.2 details findings at the fund implementation level (DPs). Section 4.3 explores gender equality approaches across a sample of other funds with similar characteristics to the Newton Fund and the GCRF and is supported by Annexes 3 and 4. Several terms are consistently used when describing or referring to operational levels throughout this section. Please refer to Section 1.2, Box 1 ‘Definition of key terms used in the report’ for their meaning.

4.1 BEIS Portfolio and fund approaches to gender equality

This section contains two sub sections which focus on approaches at fund governance, oversight and management and the formal and informal structures in place for learning.

4.1.1 Fund governance, oversight and management

Initiatives aimed at improving or understanding approaches to gender equality at the fund level or contributing towards the development of an overall commitment, policy or strategy are presented in text boxes throughout the section. Annex 2 details a mapping of BEIS’ fund governance, oversight and management functions with these efforts mapped for reference.

Finding 1: The Newton Fund and the GCRF have distinctive purposes but share a common oversight and management structure. While there is no explicit organisation or portfolio level gender equality commitment, strategy or policy in place, this provides an opportunity for a common high-level approach.

The Newton Fund and the GCRF are core policy interventions that are part of the same portfolio, designed to achieve the objectives in BEIS’ ODA Statement of Intent (2017). BEIS’ governance and oversight function aims to ensure that both funds align with government policy, are implemented effectively to deliver intended objectives and are coherent with other HMG ODA funding⁶³ at the portfolio level. Coherence is achieved by working in partnership with other HMG departments, including UK DFID Research and Evidence Division, Treasury, the FCO and across government more broadly.⁶⁴

The ODA Research and Innovation Board⁶⁵ is responsible for policy level strategic direction, coherence, holding DPs to account and overseeing evaluation plans. The Board has an accountability function to the Minister for Science, Research and Innovation and bodies such as the Independent Commission for Aid Impact (ICAI) and the UK Parliament’s International Development Committee.⁶⁶

⁶³ For example: DFID Research, the Prosperity Fund, Fleming Fund, Ross Fund and Soft Power Fund.

⁶⁴ BEIS (2017) Research and Innovation: Official Development Assistance (ODA) Statement of Intent. Available https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/623850/beis-research-innovation-oda-statement.pdf.

⁶⁵ Chaired by the UK Minister for Universities, Science, Research and Innovation.

⁶⁶ Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF-Evaluation-Foundation-Stage-Final-Report.pdf

The Strategic Coherence of ODA-funded Research (SCOR) Board⁶⁷ aims to build coherence across HMG funded development, science and research. The Portfolio and Operations Management Board supports the ODA Research and Innovation Board⁶⁸ providing fund level management oversight and cross-government coordination through the SCOR Board and the Whitehall Data Mapping and Analysis Group (D-MAG).⁶⁹ Two advisory groups, the Evaluation Advisory Group⁷⁰ and the GCRF Strategic Advisory Group⁷¹ provide evaluation guidance and strategic advice. Both groups report and support the functions of the Portfolio and Operations Management Board, though at the time of the review the evaluation group was not functioning.

The Directorate of Global Science and Innovation holds overall accountability for the strategic direction and overarching delivery of the funds (including monitoring and evaluation). These functions are carried out by two teams: the ODA Research and Innovation Team⁷² which oversees policy, strategy and analysis, and the ODA RMT⁷³ and PMO which oversees the fund management function. ODA RMT and PMO is hosted by UKRI.⁷⁴ Responsibility for programme delivery and implementation is devolved to the DPs.

Finding 2: The fund management cycle follows similar steps across both funds and is overseen by BEIS' internal fund management entity (ODA RMT and PMO). Efforts to improve the approach gender equality have been focussed on fund implementation in the absence of any fund or portfolio/organisational level commitments or strategies.

As fund manager, the ODA RMT and PMO are responsible for operational fund management, coordination, reporting and compliance of the Newton Fund.⁷⁵ The GCRF has direct fund allocations to UK Delivery Partners, changes to allocations are currently agreed by the BEIS policy team. ODA RMT also has a fund level monitoring and evaluation function which works closely with the ODA Research and Innovation Team, Research and Analysis function. ODA RMT and PMO formally reports to the Directorate of Global Science and Innovation⁷⁶ on operational financial oversight, compliance, impact tracking and analysis of how the funds are implemented and managed by DPs. ODA RMT and PMO aims to provide consistency and

⁶⁷ SCOR Board was established in 2017 to coordinate ODA flows across government by DFID; DOH; BEIS; and UKRI.

⁶⁸ Established in 2017, the Portfolio and Operational Management Board comprises of BEIS Programme Management; Country Leads; UK DFID; FCO SIN Challenge Leaders.

⁶⁹ Overseen by UK CDR, the D-MAG meets a few times a year to discuss issues with analysing the UK research ODA landscape. The group sits under the SCOR Board with director level membership across UK DFID, BEIS, Wellcome Trust, Department of Health and Social Care and UKRI.

⁷⁰ BEIS convened, reports to the Portfolio and Operations Management Board – currently in the process of being re-established.

⁷¹ GCRF specific Strategic Advisory Group advises on strategic development, engagement with research and stakeholder communities, the facilitation of new ideas and opportunities, and the development of a strategic research agenda.

⁷² Based in BEIS London Office.

⁷³ ODA RMT and PMO are based in the BEIS Swindon Office.

⁷⁴ UKRI is a non-departmental public body sponsored by BEIS. It was established by the UK Higher Education and Research Act (2017) to bring together the seven research councils, Innovate UK, and the research and knowledge exchange functions of the HEFCE. The Secretary of State is the minister with formal responsibility for UKRI. Day-to-day ministerial oversight is delegated to the Minister of State for Universities, Science Research and Innovation (the Science Minister). BEIS (2018) UKRI Framework Document. Available <https://www.ukri.org/files/about/ukri-framework-document-2018-pdf/>.

⁷⁵ KII1

⁷⁶ KII5

coherence across funds, embedding systems and standards to contribute quality evidence into policy making.⁷⁷

Box 3: Efforts to improve the approach to gender equality

Cross-fund Gender Equality, Inclusion & Diversity DP Matrix. Led by ODA RMT, BEIS circulated a template requesting information on DPs governance processes, reporting and risk assessment regarding gender, equality, inclusion and diversity in December 2019. The template contains a RAG rating system applied by BEIS. The purpose of the matrix is to gather information in response to external review recommendations.⁷⁸

Efforts to mainstream equality and diversity in KPIs.⁷⁹ BEIS is working with DPs to finalise fund specific and cross fund (Newton Fund and the GCRF) KPIs for piloting and roll out post 2020. The KPIs are designed to improve fund -level monitoring and facilitate learning. There are 26 shortlisted KPIs, of which 18 are cross-fund. The KPIs recognise the challenge of assessing gender equality and social inclusion given the dearth of output, outcome and impact data that systematically covers these issues. However, efforts to mainstream gender and inclusion are evident, with cross fund KPI 7⁸⁰ reflecting a commitment to using funds to promote gender equality and inclusion. Where feasible, BEIS is committed to the gender disaggregation of data across the KPI set – for example by characterising the breakdown of those who are and are not included as key contributors to ODA-funded activity i.e. grant staff. This will be further explored by assessing the extent to which aspects of gender and social inclusion are addressed within project impact statements.

The Fund Management Cycle⁸¹

Both funds follow the same management process. The fund management cycle is found to have seven key stages – detailed in Figure 3 below.

Figure 3: Fund Management Cycle

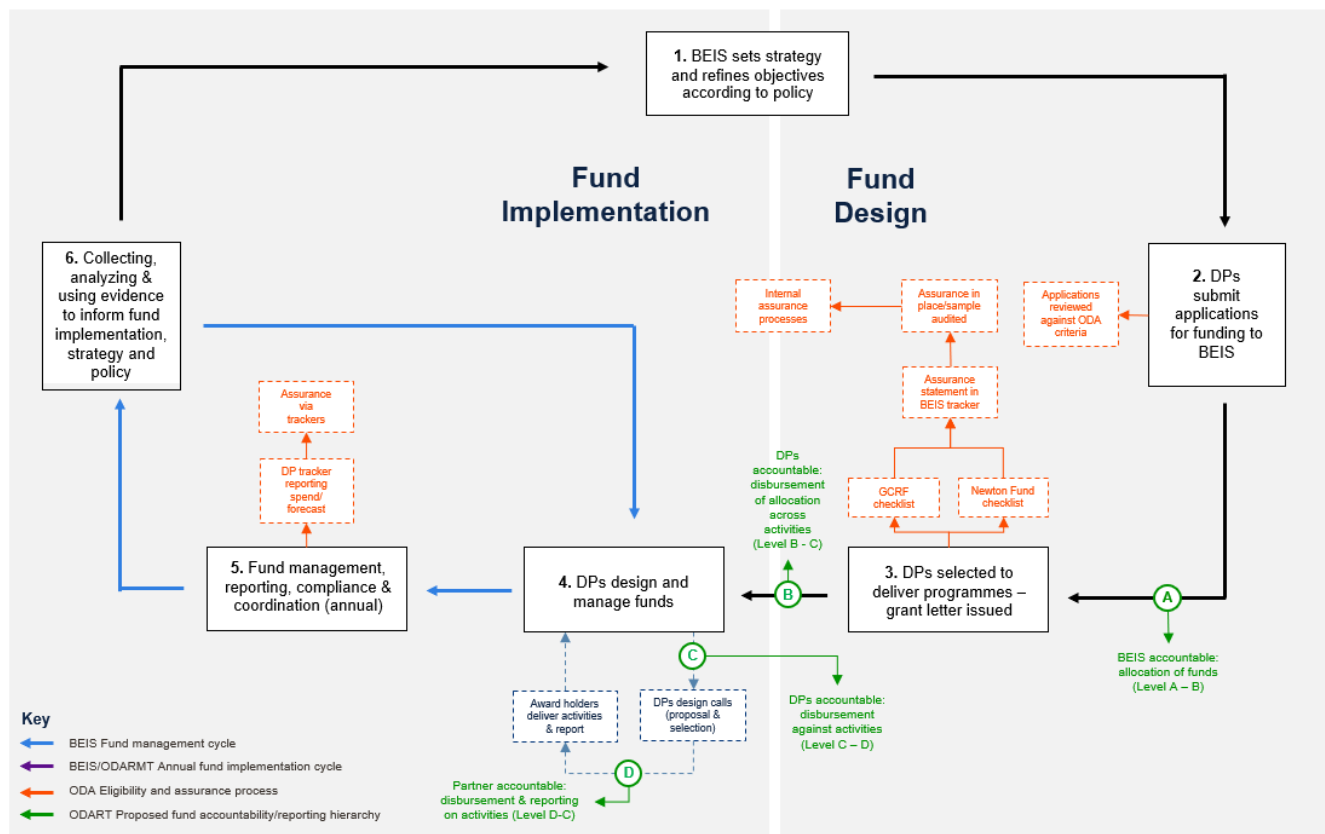
⁷⁷ KII5

⁷⁸ KII1; KII3.

⁷⁹ KII1

⁸⁰ Cross fund KPI 7: 'Aggregate gender and ethnicity figures of both funds: UK lead (either academic or non-academic) (and LMIC lead if possible (whether research co-investigator or partner country business) and project partners per financial year per DP'. Source: BEIS (2020) Draft GCRF and Newton Fund Key Performance Indicators Technical Summary.

⁸¹ KII3



The cycle begins at design stage where funds are established according to BEIS' policy and strategic objectives. DPs then submit funding applications which BEIS assesses and evaluates according to criteria.⁸² Selected DPs receive a grant letter (detailing the overall commitment, responsibilities and obligations for the funding period) to deliver those programmes on behalf of BEIS.⁸³ DPs then (co-) design programmes in response to the fund purpose/objectives and apply for programme funding. Programmes are then delivered by DPs through a series of calls – which are not necessarily cyclical and within the remit of the DP to design and manage. DPs design and issue calls, which are the funding instruments within a programme that recipients (i.e. award holders, principal investigators and co-investigators) submit proposals for evaluation and selection. Successful projects are delivered by the recipients under the management and oversight of the DP.

Financial accountability and reporting are denoted in Figure 3, according to ODART's fund accountability and reporting hierarchy.⁸⁴ Funding is disbursed annually upon satisfactory receipt of reporting and ODA assurance commitments. Annual reporting to date has been focused on financial compliance and spend reviews.⁸⁵ BEIS are currently reviewing these requirements – having introduced improved risk reporting, safeguarding provisions, quarterly

⁸² DP selection criteria for The Newton Fund includes: Meeting ODA eligible expenditure assurance; Demonstrating capacity to meet demands and priorities of partner countries; Demonstrating ability, and proven track record, to deliver effective large-scale research and innovation programmes. BEIS (2020) Draft Newton Fund Operational Framework.

⁸³ In the case of GCRF, after step 3, BEIS defers responsibility to the UK DPs to manage and assess on a programme by programme basis.

⁸⁴ BEIS (2020) ODART Proposed Reporting Hierarchy for Delivery Partners.

⁸⁵ KII3

and programme completion reporting for FY 20/21.⁸⁶ New reporting guidance and templates are currently under design with a planned launch of April 2020.⁸⁷

Box 4: Efforts to improve the approach to gender equality

FY 20/21 grant allocation letters have been revised to include terms and conditions that consider equality, diversity and inclusion.⁸⁸ BEIS has revised the grant allocation letters which constitute the formal agreement and terms between BEIS and the DP on each fund. The current draft includes a new provision (section 13.6) stipulating that the DP must ensure the provision of development assistance complies with the UK Parliament International Development Act (2002) and subsequent amendment in the UK Parliament International Development (Gender Equality) Act (2014).⁸⁹

UKRI's introduction of a mandatory gender statement requirement for all Newton Fund and GCRF calls. UKRI, as a BEIS sponsored public body, introduced a mandatory requirement for applications to UKRI calls (Newton Fund and GCRF) published after April 1st, 2019 to provide a gender equality statement as part of their wider efforts to strengthen their approach to Equality, Diversity and Inclusion. Guidance⁹⁰ on how applicants should approach this requirement was also published – with detailed criteria.⁹¹ UKRI assesses statements using a three-stage approach. The first, is a statement eligibility check carried out by UKRI (prior to peer review); the second involves the sharing of statements with external peer reviewers (for optional comment) and finally, the peer review panel assesses the appropriateness of the statements as part of the assessment criteria. This is taken then into consideration when the proposal is scored.

Finding 3: Both funds have different implementation mechanisms which influences their delivery and stakeholder structures. This is an important consideration for fund level approaches to gender equality.

The Newton Fund

The Newton Fund is overseen by BEIS' Research and Innovation ODA Board. The Board is supported in this function by the Portfolio and Operational Management Board, the ODA Research and Innovation Team (guiding overall policy and strategy), ODARMT (providing fund management) and the cross-fund DLG which facilitates integration and co-ordination between DPs, including with the GCRF). ODARMT coordinates DP activities and reporting. At the time

⁸⁶ BEIS (Feb 2020) Draft Newton Fund Operational Framework.

⁸⁷ KII3

⁸⁸ KII3

⁸⁹ UK Parliament International Development (Gender Equality) Act (2014). Available at:

<http://www.legislation.gov.uk/ukpga/2014/9/section/1/enacted>

⁹⁰ UKRI (2019) Gender Equality Statement Guidance. Available at: <https://www.ukri.org/files/research/gcrf/gender-equality-statement-guidance/>

⁹¹ 1. 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 the beneficiaries of the research. 2. The expected impact of the project (benefits and losses) on people of different genders, both throughout the project and beyond. 3. 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. 4. How will any risks and unintended negative consequences on gender equality be avoided or mitigated against, and monitored? 5. Are there any relevant outcomes and outputs being measured, with data disaggregated by age and gender (where disclosed)? Source: UKRI (2019) Gender Equality Statement Guidance. Available <https://www.ukri.org/files/research/gcrf/gender-equality-statement-guidance/>

of review, the BEIS ODA Research and Innovation Team were in the process of drafting an operational framework for The Newton Fund and were also in the process of designing a portfolio level framework for monitoring, evaluation and learning.⁹²

BEIS' Regional Leads are responsible for bilateral partnerships (including with Newton Fund partner countries). They coordinate and support In-Country Teams (ICTs) who work with DPs to establish connections and ensure support from local funding partners. ICTs are dedicated Newton Fund staff based in all active countries, in some cases there are also representatives of UK DPs who liaise with the local partners directly. Their role is described as a 'bridge' between BEIS, the UK DPs and Newton Fund partner countries and can include negotiating partnerships but also identifying possible opportunities and synergies.

DPs are selected to deliver Newton Fund programmes through a competitive process⁹³ conducted by BEIS. DPs receive funding from the Newton Fund through annual allocations. Programmes and calls are co-designed by DPs and in-country delivery partners who are co-funders. As there is a co-fund element, the Newton Fund needs to be cognisant of partner countries views on gender equality. Calls broadly follow similar selection processes and must be open, transparent processes. Funded activities (applications) must demonstrate eligibility for ODA, have a clear development need and in-country benefit, provide evidence the activity would not take place without the fund support, provide matched investment and contribute to scientific excellence and value for money.

Box 5: Efforts to improve the approach to gender equality

Defining gender equality as a concept. BEIS have defined gender equality in two sources available at the time of review (The Newton Fund's Draft Operational Framework and UKRI's Gender Equality Statement Guidance). The definitions are the same (UK DFID, 2008), which indicates consistency at the early stages of designing an approach. The Draft Newton Fund Operational Framework (2020) provides a recognition of the importance of a fund level approach and seeks to define BEIS' approach beyond compliance.

GCRF

The BEIS Research and Innovation ODA Board provides high-level strategic oversight and is responsible for the coherence and strategic alignment of the GCRF. The Board is supported in this function by BEIS' ODA Research and Innovation Team (policy and strategy support), ODA Research Management Team (fund management support) and the GCRF Strategic Advisory Board (SAG)⁹⁴ (strategic development, independent external advice and cross cutting oversight). The cross-fund DLG supports integration and co-ordination between DPs (including with the Newton Fund).

⁹² KII2

⁹³ Selection criteria includes: Meeting ODA eligibility; Demonstrating capacity to meet demands and priorities of partner countries; Demonstrating ability, and proven track record to deliver large scale research and innovation programmes effectively. Source: BEIS (2020) Draft Newton Fund Operational Framework.

⁹⁴ SAG membership is decided via an open nomination process and is comprised of individual academics. The SAG advises on strategic development, engagement with research and stakeholder communities, the facilitation of new ideas and opportunities, and the development of a strategic research agenda. Source: Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF_Evaluation_Foundation_Stage_Final_Report.pdf

DPs were selected to deliver the GCRF programmes based on their long-standing experience in leading research in the international development arena.⁹⁵ Decisions regarding thematic focus, coherence of GCRF programmes and choice of funding instruments⁹⁶ is delegated to DPs. It is a bottom up approach⁹⁷, designed to allow the research base to determine what topics are submitted and the peer review process to determine what awards are made. DPs receive funding from GCRF through annual allocations and through a collective funds process. DPs follow broadly similar selection processes for programmes and calls - which involves awarding grants (from annual allocations) onwards to research institutions, industry or non-profit organisations (individually or in consortia) through a competitive process.

4.1.2 Learning at portfolio and fund level

Finding 4: Learning efforts were found to be predominantly focussed at fund level through multiple formal and informal channels. There is a recognition that portfolio and fund level approaches could be strengthened – providing an opportunity to integrate gender equality considerations.

BEIS recognises there are multiple levels of learning within, across and outside each of the funds. At the portfolio level, learning takes place through multiple channels, formal and informal (see table 2). Respondents cited a need to strengthen BEIS' portfolio approach to learning⁹⁸ (i.e. developing a more structured approach, providing clarity on the purpose and utility – to support course corrections, adaptations and inform decision making). Learning, to date, has been predominantly focussed at the fund level⁹⁹, where there is also a recognition that the approach could be improved.¹⁰⁰ The cross-fund DLG is currently the main channel for learning. It is facilitated by the ODA Research and Innovation Team and occurs bimonthly.¹⁰¹ Respondents cited examples of learning being facilitated at this level (i.e. ODA compliance), engagement with DPs (communication about requirements) and noted that although the DLG is a cross-fund initiative, DPs treat the funds quite separately.¹⁰² In summary, there is less evidence of a systematic approach to learning (i.e. portfolio and/or fund level progress towards objectives etc).

Table 2: BEIS learning channels¹⁰³

Level	Formal	Informal
Portfolio	<ul style="list-style-type: none"> ODA Evaluation Advisory Group; DP Advisory Group and Cross-Whitehall Advisory Group. 	<ul style="list-style-type: none"> Engagement and information sharing across: BEIS London and Swindon teams

⁹⁵ RCUK (now UKRI) advised BEIS on what allocations Research Councils should receive, and the basis on which they were made. Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF_Evaluation_Foundation_Stage_Final_Report.pdf

⁹⁶ Research grants etc.

⁹⁷ Itad/Technopolis (2018) GCRF Evaluation Foundation Stage: Final Report. Available https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810137/GCRF_Evaluation_Foundation_Stage_Final_Report.pdf

⁹⁸ KII2; KII1

⁹⁹ KII3; KII1; KII4

¹⁰⁰ KII3; KII1

¹⁰¹ KII1; KII2.

¹⁰² KII3; KII1; KII5

¹⁰³ KII4; KII2; KII3; KII5

	<ul style="list-style-type: none"> • Reporting and accountability channels • Bi-monthly meetings between the BEIS ODA R&I evaluation team and the BEIS ICF evaluation lead • SCOR Board and Officials Group, UK Collaborative on Development Research and sub-groups (such as data mapping) • Cross HMG ODA Community of Practice • UKCDR data working group 	<ul style="list-style-type: none"> • BEIS Regional Leads • ICTs (Newton Fund) • Independent domestic and international partners • Other HMG Departments
Fund	Cross-Fund <ul style="list-style-type: none"> • DLG • Reporting and accountability channels 	Cross-Fund <ul style="list-style-type: none"> • ODA virtual group (biweekly) BEIS London and Swindon teams
	GCRF <ul style="list-style-type: none"> • Several cross-DP groups (i.e. evaluation group; GESI) 	GCRF <ul style="list-style-type: none"> • Call-to-call learning
	The Newton Fund <ul style="list-style-type: none"> • ICT teleconferences (biweekly) • Global Conference – ICTs; DPs; Regional Leads, and the wider BEIS ODA team (Swindon & London) 	

4.2 Delivery Partner approaches to gender equality

This section presents the findings from the online survey. It is structured in four sub sections, which address the synthesis findings from across partner responses. Further analysis tables from the survey, which support these findings, is presented in Annex 3. The survey questionnaire is provided in Annex 6, for reference.

4.2.1 Cross – fund overview

Finding 5: Most partners are implementing programmes across both funds. All have either formal or informal dedicated expertise dealing with gender or equality issues, with the majority (eleven) in a formal capacity. Partners view their capacity to adhere or implement approaches to be relatively strong – with 65% describing their capability as ‘strong’ and 35% as ‘fair’.

The majority (ten)¹⁰⁴ of partners are implementing programmes across both the Newton Fund and the GCRF (as shown in figure 4). Two partners reported implementing other ODA eligible funds¹⁰⁵, both other UK government initiatives (i.e. DFID Africa Capacity Development

¹⁰⁴ DP3; DP4; DP5; DP6; DP7; DP11; DP12; DP13; DP14; DP17.

¹⁰⁵ DP5; DP6

Initiative). Notably, all partners reported having either formal¹⁰⁶ or informal¹⁰⁷ dedicated expertise dealing with gender or equality issues, with the majority (eleven) stating that expertise are in a formal capacity. There is no evidence to suggest that there is any significant difference between the use of formal or informal expertise between the funds. Albeit, one partner reported having dedicated formal expertise on the Newton Fund, whereas, on the GCRF it is informal.¹⁰⁸

Figure 4: Funds types and presence of dedicated expertise dealing with gender or equality issues

	Fund Types			Dedicated Gender or Equality Expertise	
	Newton Fund	GCRF	Other ODA Funds	Formal*	Informal**
Delivery Partner 1	•			👤	
Delivery Partner 2	•				👤
Delivery Partner 3	•	•		👤	
Delivery Partner 4	•	•			👤
Delivery Partner 5	•	•	•		👤
Delivery Partner 6	•	•	•	👤	
Delivery Partner 7	•	•		👤	
Delivery Partner 8		•			👤
Delivery Partner 9		•		👤	
Delivery Partner 10		•		👤	
Delivery Partner 11	•	•		👤	
Delivery Partner 12	•	•			👤
Delivery Partner 13	•	•		👤	
Delivery Partner 14	•	•		👤 (Newton)	👤 (GCRF)
Delivery Partner 15	•				👤
Delivery Partner 16		•		👤	
Delivery Partner 17	•	•		👤	

*Formal: person/team is formally assigned to take this role

** Informal: person/team is not formally assigned to take this role, but fulfils role in practice

65% of partners described their organisations capacity to adhere to gender equality approaches as ‘strong’, whereas 35% described their capacity as ‘fair’. Partners were asked to select a rating based on a five-point Likert Scale ranging from ‘Very Poor’ to ‘Very Strong’. When asked about ways in which their organisation’s gender equality approaches can be improved, five partners¹⁰⁹ suggested formally adopting a policy, strategy or commitment; eight partners¹¹⁰ suggested the development of clear implementation guidelines; while six partners¹¹¹ would value the establishment of a dedicated team or designated individual to lead on approach.

4.2.2 Organisational approaches¹¹²

Finding 6: Almost all partners sampled, have either a commitment, policy or strategy that addresses either broader equality considerations or is specific to gender equality. The

¹⁰⁶ Formal is defined as having a person or a team formally assigned to this role

¹⁰⁷ Informal is defined as having a person or team not formally assigned to this role, but fulfils it in practice

¹⁰⁸ DP14

¹⁰⁹ DP5; DP11; DP12; DP16; DP17

¹¹⁰ DP1; DP2; DP3; DP5; DP11; DP12; DP16; DP17

¹¹¹ DP16; DP17; DP14; DP1; DP2; DP12

¹¹² Section 2 of the online survey (Annex 6) was administered to non- UKRI members only. Following consultation with UKRI and piloting, this section was considered to not apply to UKRI members who are assumed to apply the UKRI approach. Further details on the sampling are contained in Section 3.2 while Section 2.5 provides some context to UKRI's approach.

majority apply to the organisation as whole and address gender as part of broader equality considerations.

Nine partners reported having either a commitment, policy or strategy (see section 1.2, Box 1 for how these terms are defined) that addresses either broader equality considerations or is specific to gender equality in place (See figure 5). Seven partners¹¹³ have a broader equality commitment, policy or strategy in place, while two partners¹¹⁴ also reported having a commitment, policy or strategy that is specific to gender equality in place. All these commitments, policies and strategies apply to the organisations as a whole. Two partners¹¹⁵ reported having commitments or policies that are specific to gender equality and only apply to ODA funds. One partner¹¹⁶ is currently in the process of developing a commitment, policy or strategy that is specific to gender equality. Of the nine partners that have a gender or equality commitment, policy or strategy in place, five partners¹¹⁷ reported having a definition of gender equality (definitions shared are provided in Annex 3, Table 2).

Figure 5: Partners Gender or Equality Commitments, Policies or Strategies and their applicability

	*Broader Equality (inc. gender considerations)			Specific to Gender Equality			**Under Development	Applicability
	Commitment	Policy	Strategy	Commitment	Policy	Strategy		
Delivery Partner 1								Whole Organisation
Delivery Partner 2								Whole Organisation
Delivery Partner 3								Whole Organisation
Delivery Partner 4								Whole Organisation
Delivery Partner 5								-
Delivery Partner 6								Whole Organisation
Delivery Partner 7								ODA Funds Only
Delivery Partner 8								ODA Funds Only
Delivery Partner 9								Whole Organisation
Delivery Partner 10								Whole Organisation

*Includes gender considerations (also addresses equality/diversity more broadly i.e. race, disabilities, inclusion, etc.)

** Developing a commitment, policy or strategy that includes gender equality

Partners who provided further details (title, date of adoption and operation, and online links) on their gender or equality commitment, policy or strategy and guidance¹¹⁸ are detailed in Annex 3, Table 1. Six partners¹¹⁹ reported having implementation guidance for the gender or equality commitment, policy or strategy, whereas two partners¹²⁰ do not currently have guidance and one partner is developing guidance.¹²¹

¹¹³ DP1; DP2; DP3; DP4; DP6; DP9; DP10

¹¹⁴ DP1; DP10

¹¹⁵ DP7; DP8

¹¹⁶ DP5

¹¹⁷ DP1; DP6; DP7; DP8; DP10

¹¹⁸ The review defined 'guidance' as the provision of a framework or implementation plan which provides information on how to operationalise the policy, strategy or commitment in the organisations' operations, programming or grant cycle management processes. This may be a set of instructions or steps that help you consider gender equality issues when you are designing a programme, a grant call or assessing an application.

¹¹⁹ DP1; DP6; DP7; DP8; DP9; DP10

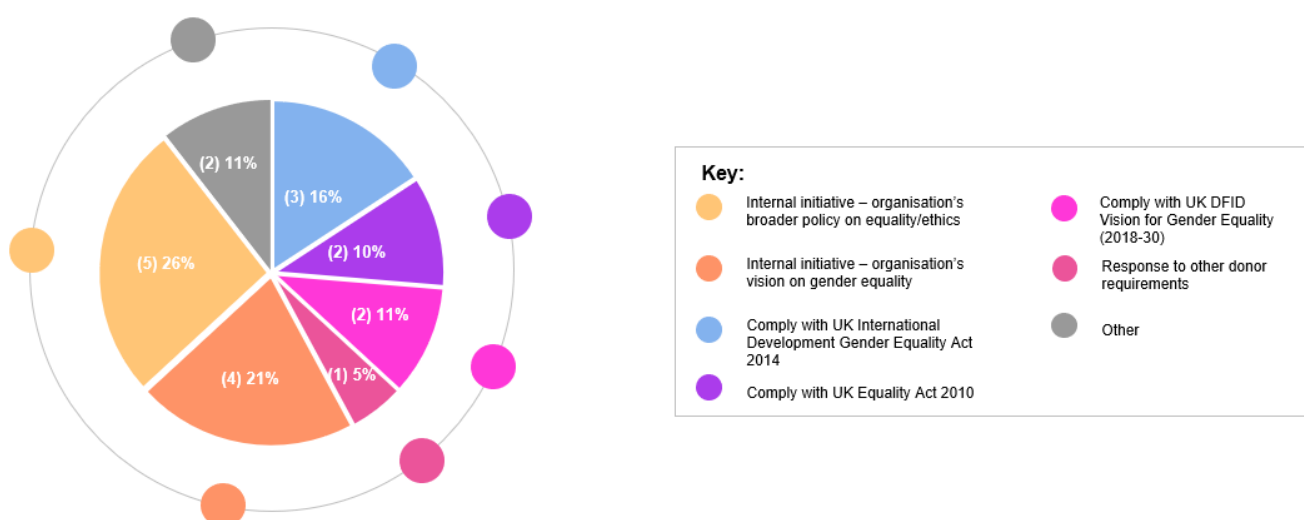
¹²⁰ DP3; DP4

¹²¹ DP2

Finding 7: The most common reason for developing a gender or equality commitment, policy or strategy related to internal organisational initiatives. 16% of partners indicated the main reason was complying with UK International Development (Gender Equality) Act (2014).

The main rationale for partners developing a gender or equality commitment, policy or strategy were cited as internal initiatives – either as a result of their broader policy on equality (cited by 26% of responses) or as a result of their general vision on gender equality (cited by 21% of responses). 16% of responses cited compliance with the UK International Development (Gender Equality) Act 2014. Only 5% of responses indicated in response to other donor requirements.

Figure 6: Partner rationale for developing a gender or equality commitment, policy or strategy



Finding 8: Six partners have monitoring plans in place for implementing their commitment, policy or strategy, typically on an annual basis. Half of the partners stated their organisation provides training on implementing the commitment, policy or strategy.

Six partners¹²² reported they have monitoring plans or frameworks in place to implement their gender or equality commitment policy or strategy. One partner¹²³ stated they didn't have a formal monitoring plan for objectives in place but provided ample detail on how they monitor diversity and inclusion as an organisation (see table 2, Annex 3). Five partners¹²⁴ reported that they monitor and report on their commitment, strategy or plan annually, whereas some partners¹²⁵ referred to programme or project level monitoring frequencies. One partner¹²⁶ is currently developing organisation level monitoring framework.

¹²² DP1; DP2; DP4; DP7; DP8; DP9; DP10

¹²³ DP3 as an organisation, monitors Diversity and Inclusion action plans and has designated Diversity and Inclusion individuals that are part of a Diversity and Inclusion Committee.

¹²⁴ DP3; DP4; DP6; DP9; DP10

¹²⁵ DP2; DP7; DP8

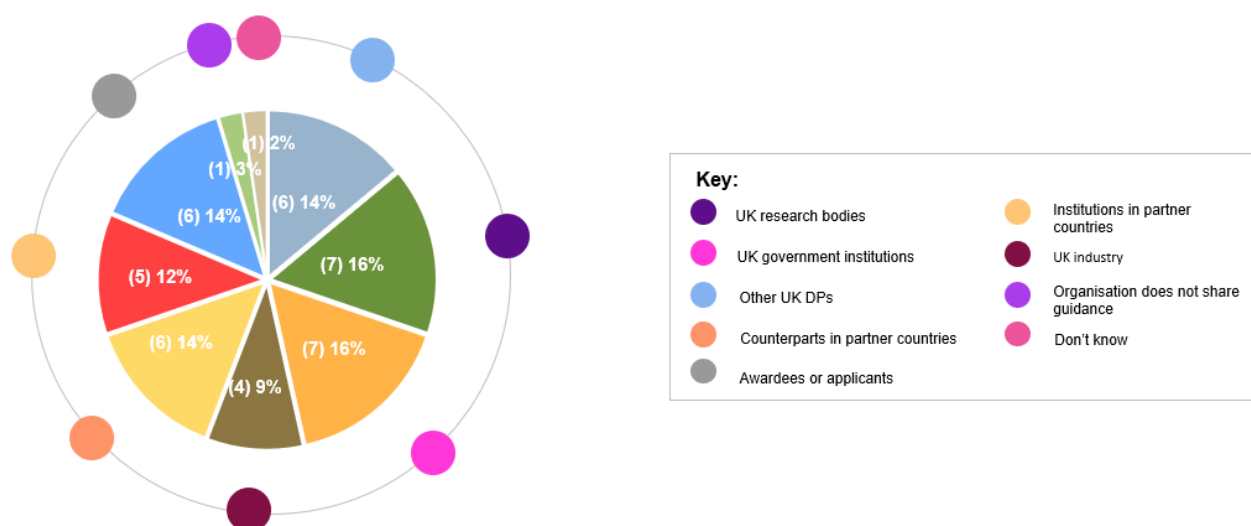
¹²⁶ DP2

Just over half of the sampled partners (six)¹²⁷ stated that their organisation has either provided training in the past (or does so on a compulsory basis) on implementing the gender or equality commitment, policy or strategy. The types of training¹²⁸ varied, from organisation wide to more specific (i.e. operationalising the approach in programming or grant cycle management processes).

Finding 9: Eight partners reported (in)formally sharing good practice or guidance on gender equality. Good practice or guidance is predominantly shared with other UK research bodies and government institutions.

Eight partners¹²⁹ reported sharing good practice or guidance on gender equality either in a formal or informal capacity. Good practice or guidance is predominantly shared with other UK research bodies and government institutions (16% of responses, respectively); other UK DPs, awardees or applicants and counterparts in partner countries (14% of responses, respectively).

Figure 7: Sharing of gender equality good practice or guidance



4.2.3 Call or project approaches

Finding 10: Only two partners reported having a minimum requirement on the number or proportion of projects that consider gender equality but not as the primary objective. No partner reported having a minimum requirement that specifically targets gender equality as an objective.

No partner reported having a minimum requirement in place on the number (or proportion) of projects or funds allocated that specifically target gender equality.¹³⁰ This is, however, unsurprising as both the Newton Fund and the GCRF promote gender equality as a mainstreamed consideration as opposed to a specific objective or purpose. Only two partners

¹²⁷ DP1; DP2; DP3; DP6; DP7; DP4

¹²⁸ Equality, Diversity and Inclusion Certification; Gender, Equality, Diversity and Inclusion training; Video on Unconscious bias for panel members; Unconscious Bias Training; Gender Equality Act Compliance Training.

¹²⁹ DP1; DP2; DP4; DP7; DP10; DP6; DP5; DP3

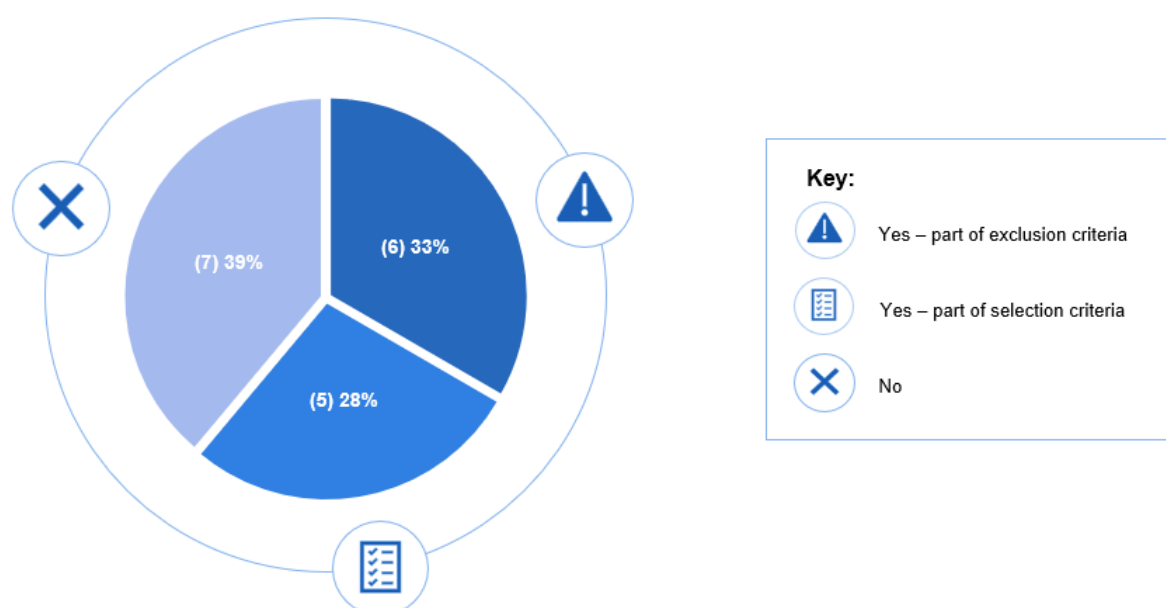
¹³⁰ The review distinguishes between gender equality considerations in the allocation of projects/funds as a primary objective and gender equality considerations that are not the primary objective of the project/funds. Merit based and targeting gender equality are mutually exclusive.

reported having a minimum requirement on the number or proportion of projects that consider gender equality but not as the primary objective.¹³¹ One partner¹³² stated that while ‘research excellence is the driver behind funding decisions, they do not seek a minimum of any gender, however, the panel does give consideration to gender balance of awardees before recommendations are confirmed’.

Finding 11: Six partners have gender equality considerations as explicit exclusion criteria, while five reported considerations as explicit selection criteria in calls for proposals. There was a difference in approaches between funds where one partner reported to include gender equality considerations as an explicit exclusion criterion on the GCRF but not for the Newton Fund

Six partners¹³³ reported that gender equality considerations are stated as explicit exclusion¹³⁴ criteria in calls for proposals, while five partners¹³⁵ reported gender equality considerations as explicit selection¹³⁶ criteria in calls for proposals. Seven partners¹³⁷ reported not having any gender equality considerations as part of criterion for calls for proposals. One partner¹³⁸ reported a difference in approach across the funds – on GCRF, gender equality considerations are included as an explicit exclusion criterion – whereas, on Newton Fund there are no such criterion.

Figure 8: Prevalence of gender equality considerations as explicit exclusion or selection criterion in calls for proposals



¹³¹ DP4; DP9

¹³² DP4

¹³³ DP1; DP7; DP9; DP13; DP14; DP17

¹³⁴ Exclusion criteria is defined as conditions which render an application ineligible.

¹³⁵ DP2; DP8; DP11; DP12; DP15

¹³⁶ Selection criteria is defined as criteria which are applied to eligible applicants to select the strongest application(s).

¹³⁷ DP3; DP4; DP5; DP6; DP10; DP14; DP16

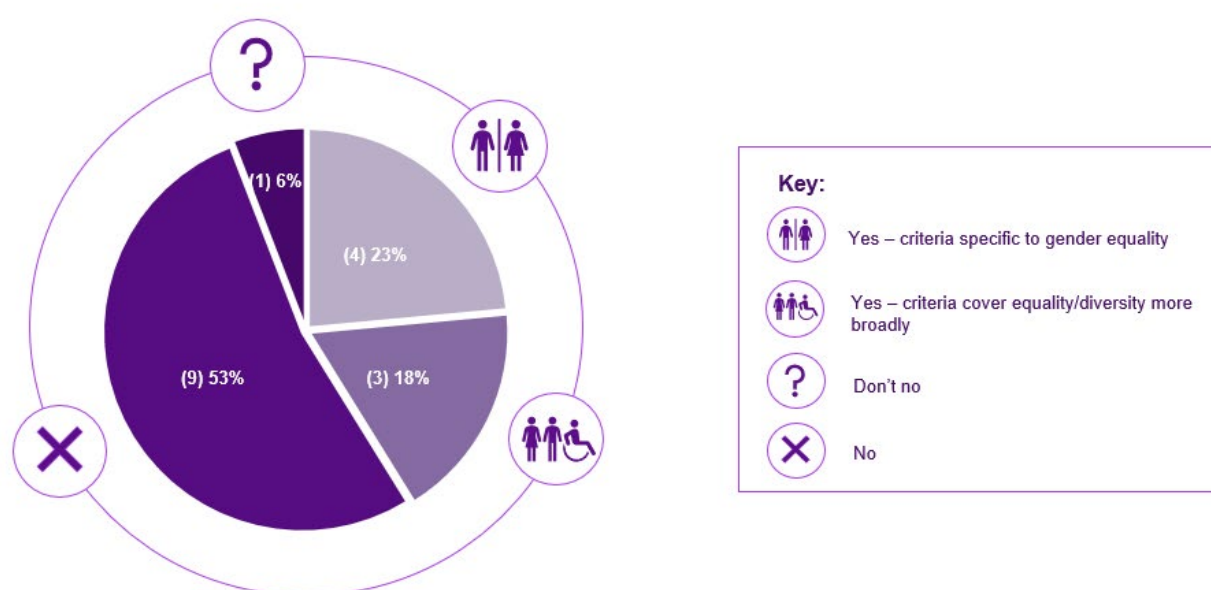
¹³⁸ DP14

Most partners who have gender equality considerations stated as explicit exclusion criteria, or selection criteria, provide applicant guidance regarding gender equality requirements in calls for proposals.¹³⁹ Only one partner¹⁴⁰ reported not having guidance in place. Table 3, Annex 3 provides the guidance details reported by partners.

Finding 12: Fewer than half of partners sampled score applications using specific gender equality or equality/diversity criteria. The majority do not use gender or equality scoring criteria. All partners reported having either formal or informal gender equality expertise, but only nine involve these individuals in the design of calls for proposals, and two in the selection of proposals.

Of those who reported using scoring criteria, the most common types of criteria used are evidence that: ‘the proposal demonstrates an understanding of gender equality issues within context’ and ‘the proposal incorporates a gender sensitive approach in its design’. Four partners¹⁴¹ reported using criteria that differed from the options provided in the survey, these criteria mainly related to UKRI’s guidance and requirements (see table 4, Annex 3 for details). Nine partners¹⁴² reported ‘other means’ of considering gender equality in the selection of proposals, details from partners who shared examples are contained in Table 5, Annex 3.

Figure 9: Does your organisation score applications based on gender or equality scoring criteria?



While all DPs reported having either formal or informal gender quality expertise (see figure 4), only nine¹⁴³ reported involving these individuals in the design of calls for proposals, while

¹³⁹ DP1; DP7; DP13; DP14; DP17; DP2; DP8; DP11; DP12; DP15

¹⁴⁰ DP9

¹⁴¹ DP7; DP11; DP12; DP15

¹⁴² DP1; DP4; DP5; DP6; DP7; DP11; DP2; DP14; DP17

¹⁴³ DP3; DP4; DP5; DP6; DP8; DP11; DP13; DP14; DP15

two¹⁴⁴ reported their involvement in the selection of proposals. The latter is unsurprising as most DPs award funding using a panel selection process.

4.2.4 Monitoring and reporting

Finding 13: There is a lack of clarity on whether partners are required to report on gender equality at the fund level at present as shown by the differences in responses. There is widespread desire among partners for more clarity and guidance from BEIS on requirements.

Seven partners¹⁴⁵ reported that they are required to report on gender equality at the fund level (The Newton Fund or the GCRF). Of these, four partners¹⁴⁶ referenced reporting in the context of GCRF and only one¹⁴⁷ in the context of Newton Fund annual reporting. One partner¹⁴⁸ cited an expectation that the ongoing fund level KPIs will be gender inclusive, and that the quarterly GCRF reporting includes scoring or rating of project focus against various policy areas – which includes gender equality.

Fourteen partners¹⁴⁹ indicated they would like to receive guidance from BEIS on how to monitor gender equality in implementing the funds. Partners stated that guidance on cross government best practice; on how to monitor projects designed before new requirements were applied; on how to monitor at different levels (i.e. programme, project and wider equality, diversity and inclusion as a research theme or challenge area) are understood and reported on would be helpful. They also stated a need for a clear gender equality strategy (Newton Fund); greater clarity on interpretation, definitions and tracker tags and convening cross fund (or DP) discussions on gender equality in ODA funding would be useful. One partner¹⁵⁰ emphasised the need for an aligned approach across partners, while another¹⁵¹ emphasised the need for broader consultation on any guidance being developed as GCRF funding is managed and allocated differently to other UKRI funds – i.e. similar other devolved administrations.

Finding 14: Half of the partners reported requiring award holders to monitor data on gender equality during the project cycle, mostly on an annual basis. Those who don't, reasoned that there is no requirement to do so and a need for additional resources.

Half of partners¹⁵² reported they require award holders to monitor data on gender equality during the project cycle (see figure 10). Those who don't currently require monitoring, stated reasons including the fact that there isn't currently a fund level reporting requirement (Newton Fund); some are putting in place the necessary gender equality commitment/policies; the increased time and resource commitment it takes as well as GDPR considerations; it is a new requirement which some partners will apply for new calls and there hasn't been any yet (Newton Fund); the current GCRF monitoring process is designed to examine ODA eligibility

¹⁴⁴ DP8; DP15

¹⁴⁵ DP6; DP10; DP11; DP12; DP14 DP15; DP16

¹⁴⁶ DP6; DP10; DP11; DP14

¹⁴⁷ DP6

¹⁴⁸ DP11

¹⁴⁹ DP1; DP2; DP3; DP4; DP5; DP6; DP7; DP8; DP9; DP10; DP11; DP12; DP16; DP17

¹⁵⁰ DP7

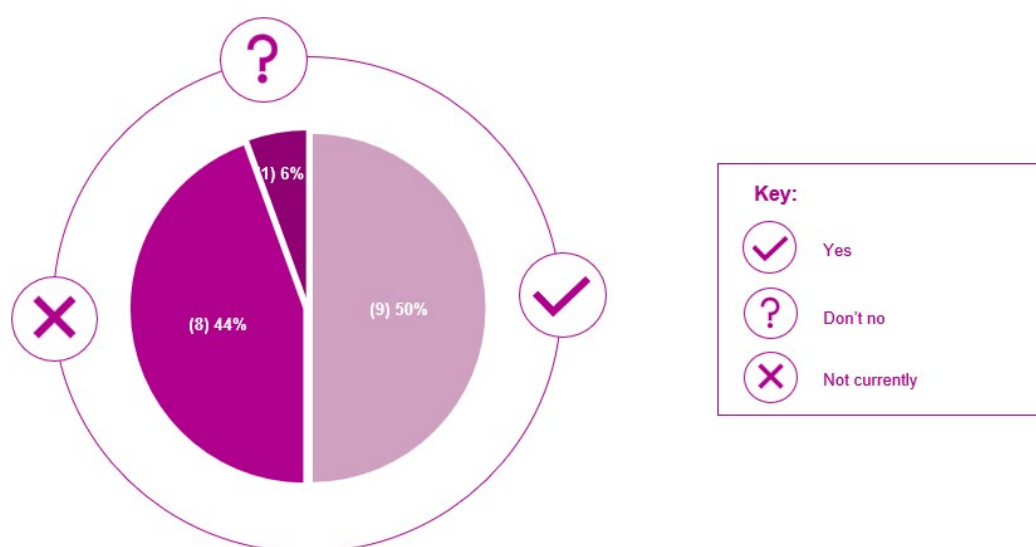
¹⁵¹ DP16

¹⁵² DP2; DP3; DP7; DP8; DP10; DP11; DP13; DP14; DP17

and activities against an institutions GCRF Strategy which may or may not include gender equality.

Partners who require award holders to report on gender equality request this information either annually¹⁵³ or bi-annually.¹⁵⁴ One partner¹⁵⁵ requires award holders to report at the baseline, midline and end line evaluations, therefore it is dependent on the projects evaluative cycle. Another partner¹⁵⁶ stated that the frequency of reporting varied and is depending on the award duration (i.e. quarterly or end of cycle).

Figure 10: Does your organisation require award holders to monitor data on gender equality during the project cycle?



Finding 15: Five partners have gender equality as part of a standardised monitoring framework provided to award holders - of which most (four) require data to be monitored during the project cycle. Even fewer (two) provide guidance on how to collect and analyse gender equality data.

Five partners¹⁵⁷ stated that gender equality is part of the standardised monitoring and evaluation framework they provide to all award holders; four of which require award holders to monitor this data during the project cycle. Five partners¹⁵⁸ also reported that they do not provide a monitoring and evaluation framework to award holders. Two partners¹⁵⁹ stated that they develop award holder monitoring requirements whereas, two partners¹⁶⁰ stated that the award holders develop their monitoring requirements. Further detail on these requirements are outlined in Annex 3, table 3. Two partners¹⁶¹ stated that they provide guidance to award holders on how to collect and analyse gender equality data. One partner¹⁶² stated that while

¹⁵³ DP11; DP13

¹⁵⁴ DP14

¹⁵⁵ DP8

¹⁵⁶ DP5

¹⁵⁷ DP8; DP11; DP12; DP14; DP5

¹⁵⁸ DP3; DP4; DP6; DP10; DP15

¹⁵⁹ DP5; DP14

¹⁶⁰ DP8; DP11

¹⁶¹ DP8; DP14

¹⁶² DP8

they, together with their M&E supplier, provide guidance, most projects have their own expertise.

4.3 Other fund approaches to gender equality

This section presents findings from the rapid review. It is structured in three sub sections. The first, presents an overview of the approaches in funds sampled; the second presents key enablers and finally, challenges to consider when developing an approach are detailed. Annex 4 provides an overview with details on the sampled funds, but for the purposes of the summary of findings we summarise the status with regards to the approach to gender / inclusion in the sampled funds in figure 11.

4.3.1 Overview of sampled funds

Finding 16: None of the sampled funds had a commitment, policy or strategy that is either specific to gender equality or broader equality considerations in place from the outset (i.e. design), but all have subsequently developed (or are developing) an approach indicating it is possible to introduce at a later stage.

No fund reviewed had a commitment, policy or strategy that is either specific to gender equality or broader equality considerations in place from the outset.¹⁶³ Despite this, commitments, policies or strategies were (or are being) developed across all five funds. While respondents¹⁶⁴ highlighted that the development of such has required dedicated expertise and resources, they have been introduced within existing structures, either by mainstreaming (i.e. where gender equality is not the main objective, but gender dimensions are fully integrated into all aspects of the fund); and / or through standalone / targeted programmes / calls. The evidence shows that gender equality, as a specific approach (rather than equality, diversity and inclusion more broadly) is the focus in the four out of the five funds. This is found to be as a result of a Departmental commitment to considering gender equality in the delivery of ODA funds, which in the case of the UK, is driven by the International Development (Gender Equality) Act 2014.

Figure 11: Snapshot of fund approaches gender specific or equality approaches

¹⁶³ The Joint Fund on Poverty Alleviation which was initiated in 2005 would have had a requirement to report on gender but this was rather a matter of compliance.

¹⁶⁴ KII9; KII10; KII11.

		Timeframe	Approach		**Level
			*Broader Equality (inc. gender considerations)	Gender Equality Specific	
UK Cross HMG (DFID; FCO)	Prosperity Fund	2016 - 23		<ul style="list-style-type: none"> Gender Policy for Inclusive Growth (2018) Gender and Inclusion Framework (2017) 	Mainstreamed at fund level
UK Cross HMG (DFID; FCO)	Conflict, Stability and Security Fund (CSSF)	2015 - 21		<ul style="list-style-type: none"> Gender Strategy under development (due 2020) Gender Policy in place (internal process and protocol) Gender equality commitment in annual work programmes and reports 	Mainstreamed at fund level
UK (DFID; ESRC)	Joint Fund for Poverty Alleviation	2012 - 21	<ul style="list-style-type: none"> Equality, diversity and inclusion commitment 		Mainstreamed at fund level
UK (DFID; IZA)	Gender, Growth and Labour Markets in Low Income Countries Programme (G2LM LIC)	2019 - 24		<ul style="list-style-type: none"> Gender equality is a core aim of the programme 	Mainstreamed at programme level
US (USAID)	Partnerships For Enhanced Engagement In Research (PEER)	2011 - ongoing		<ul style="list-style-type: none"> USAID Gender Equality and Female Empowerment Policy (2012) Fund requires evidence of plans to promote participation of women, mainstreamed into selection process and M&E etc. 	Mainstreamed at portfolio and fund levels

*Includes gender considerations (also addresses equality/diversity more broadly i.e. race, disabilities, inclusion, etc.)

** Please refer to Section 1.2 for a definition of levels

The UK Prosperity Fund and Conflict, Stability and Security Fund (CSSF) have either developed or are developing gender equality specific approaches. These are fund level approaches, that are (or will be) mainstreamed across programmes. Gender equality considerations will therefore be (or are) mainstreamed at the fund level (i.e. not as the main objective, but fully integrated as a consideration in all aspects of fund implementation).

The PEER Program applies USAID's agency-wide approach to gender equality and female empowerment, mainstreaming it into the design of all fund processes. Additionally, the PEER Women in Science Mentoring Program is a standalone objective that explicitly targets gender equality.¹⁶⁵ The UK DFID and ESRC Joint Fund for Poverty Alleviation¹⁶⁶ applies an overarching fund level commitment to equality, diversity and inclusion, as well as a specific funding call that dealt with intersectionality and gender.

The UK G2LM|LIC which has gender equality as a core aim did not have a policy, commitment or strategy when its predecessor was launched. G2LM|LIC, now in its second phase¹⁶⁷, focuses on gender as central component of the programme objectives. This is as result of learning from the first phase of implementation – where gender was one of five research themes.

4.3.2 Key enablers for developing an approach

Finding 17: Understanding how gender equality, diversity and inclusion supports the fund objectives and making this explicit builds organisational buy-in.

In the UK, there is a legal obligation for all ODA spend to comply with the International Development (Gender Equality) Act 2014. There is a risk associated with not doing so, in the event of a judicial review. Beyond the legal requirement, understanding how mainstreaming

¹⁶⁵ USAID PEER Women in Science Mentorship Programme. Available at:

https://sites.nationalacademies.org/PGA/PEER/PGA_184663

¹⁶⁶ The fund applies a broader conceptualisation of Equality, Diversity and Inclusion, which originates from the ESRC (part of the UKRI network).

¹⁶⁷ The first iteration of the programme, Growth, and Labour Markets in Low-Income Countries (2011- 19), had a gender equality focus in one strand of research supported.

gender equality, diversity and inclusion supports and aligns with the fund purpose and objective is crucial. This understanding will enable the design of a more meaningful approach and attract buy-in to invest and implement the approach.¹⁶⁸

In the case of the UK Prosperity Fund, the core rationale is that prosperity goals cannot be achieved unless there is consideration for the winners and losers when growth is achieved. Gender equality is therefore a crucial consideration to deliver the fund's primary purpose of inclusive growth and poverty reduction. For G2LM|LIC, the learning from phase one of the programme, influenced the design of phase two, recognising that gender equality is central to successful labour market and growth policies. For USAID, gender equality is not *part of*, but rather the *core* of its development initiatives.¹⁶⁹

Finding 18: Dedicated gender equality expertise together with clearly devolved responsibilities across levels is a pre-requisite to successfully implementing an approach.

Political and institutional commitments are all preconditions to investing in the right resources and expertise to develop the approach. The importance of in-house resources and expertise was cited as a key enabler in the design and mainstreaming of the approach to gender equality in the UK Prosperity Fund, the Conflict, Stability and Security Fund and in the case of the USAID's PEER.¹⁷⁰ In the case of the UK Prosperity Fund, there was a limited approach built in from inception but once this gap was identified, a dedicated senior advisor was put in place to design a policy/vision for how gender and inclusion could be understood; to develop a set of guidance notes and build capabilities to implement this policy; to establish a quality assurance mechanism and appropriate monitoring systems. This role was vital as a point of contact, capacity builder and main driver of the approach – and crucially, a function that was not outsourced or borrowed from other departments.

USAID's model is well established – with their Gender Equality Policy being in place since 2012.¹⁷¹ Setting out clarity on the overarching vision or goal, as well as operational principles and roles that apply to the various levels is essential. USAID Bureaus and Missions have staff with gender expertise and technical knowledge to support the implementation of the Policy. There is ample programming guidance provided, covering the policy and strategy formulation stage through to portfolio and project design, and monitoring and learning. An update to the Policy is forthcoming.¹⁷² USAID has instituted gender advisors and points of contact across all its Missions and Operating Units.

Finding 19: Several tools exist which support the development and implementation of an approach at the organisational/portfolio and fund levels.

The UK FCO and DFID developed a useful 'How to' guidance note for integrating gender equality into policy and programming management processes.¹⁷³ The note identifies key stages of the cycle; is designed to be easily applied across HMG programme cycle

¹⁶⁸ KII9.

¹⁶⁹ USAID Organisational Approach. Available at: <https://www.usaid.gov/what-we-do/gender-equality-and-womens-empowerment>

¹⁷⁰ KII9; KII10; KII11.

¹⁷¹ USAID (2012), Gender Equality and Female Empowerment Policy.

¹⁷² USAID (2017) Integrating Gender Equality and Female Empowerment in USAID's Program Cycle. Available at: <https://www.usaid.gov/sites/default/files/documents/1870/205.pdf>

¹⁷³ UK DFID/FCO (2019) 'How to' Guidance Note on Gender Equality; A Practical Guide to Integrating Gender Equality into DFID and HMG Policy and Programming. This document is not publicly available.

management but should, be embedded in an overarching departmental or portfolio approach or policy (see Annex 5). The UK CSSF approach uses this resource as a basis.¹⁷⁴ USAID has published multiple complementary resources which address other levels of management – at portfolio and organisation levels.¹⁷⁵

The UK Prosperity Fund uses a framework designed specifically for purpose. It focusses on three points of entry for approaching gender based on levels of ambition. These ambitions specify what it would constitute to have minimum compliance, inclusion, empowerment or transformation through a given programme/project. A similar approach is followed in the UK CSSF to track and assess ways in which gender equality is assessed. Respondents emphasised the utility and importance of a score when considering where an intervention fit.

Finding 20: There is value in encouraging synergies within and between organisations and capitalising on mutually reinforced efforts.

Most respondents highlighted the importance of encouraging synergies, particularly where an approach has come from an organic process (i.e. driven by the initiative of one person or several people).¹⁷⁶ In the case of US PEER, USAID's policy provides an overarching organisational/portfolio framework for addressing gender equality. However, it was reliant on an individual's initiative to identify how the programme could improve and do more to tackle the gender dimension of research supported (see box 6). As a benchmark, this example demonstrates the time it takes to reach a point of gender equality in terms of researchers supported (circa. eight years).¹⁷⁷

Box 6: Focus on PEER: Women in Mentorship Programme¹⁷⁸

A persistent problem in academia is the disproportionate fraction of qualified women who leave science as they move up the educational and higher education career ladder. For example, women earn 41 percent of PhDs in STEM fields, but make up just 28 percent of tenure-track faculty. The PEER program managers saw this problem and addressing these disparities gave rise to the Women in Science Mentorship Program. The PEER Women in Science Mentoring Program invites cohorts of female scientists, consisting of one senior faculty member as the mentor, and 2-4 junior faculty with complementary research focus from the same university, to apply for this mentorship program. Selected cohorts attend trainings that include topics such as mentoring for career success, networking, negotiation, communication skills, publishing research, and applying for research awards. Mentees are also eligible to apply for a competitive \$10K USD grant to pursue research, as access to grants are a major determinant of whether women stay as principal investigators. The training concludes with each cohort creating a mentee led plan for cohorts to meet monthly to focus on personal and professional development skills to increase career success such as work-life balance, lab management, and proposal writing. Although the program is new, the feedback and

¹⁷⁴ UK CSSF (2016) Gender Note for Framework Suppliers. [This document is not publicly available.](#)

¹⁷⁵ USAID (2017) Integrating Gender Equality and Female Empowerment in USAID's Program Cycle. ADS Chapter 205. Available at: <https://www.usaid.gov/sites/default/files/documents/1870/205.pdf>

¹⁷⁶ KII6; KII10; KII11.

¹⁷⁷ KII11.

¹⁷⁸ National Academies of Sciences, Engineering and Medicine (2018) Women in Science Mentorship Programme. Available at: https://sites.nationalacademies.org/PGA/PEER/PGA_184663

evidence suggest this can make a positive contribution to tackling some of the barriers women face.

4.3.3 Key considerations for designing and implementing an approach to gender equality

Finding 21: Ensuring and maintaining organisational coherence (external and internal) can create opportunities to strengthen the approach.

Coherence across government, to not only consider the legal obligation to consider gender equality in ODA spend, but to also consider the commitment to gender equality in the domestic setting is a way to strengthen the approach and make it more robust by virtue of being part of a broader approach.¹⁷⁹ There is a cross HMG group set up to do this, however, respondents¹⁸⁰ stated that the cross-HMG function could be strengthened. From an internal perspective, coherence should be considered by looking across the policy and portfolio areas – which may be managed in distinct ways. Responsibilities should also be considered at each level.

Finding 22: Introducing a new approach or requirement into existing fund cycles should, ideally, happen when processes are being revisited or when new phases of the fund are beginning.

Respondents highlighted that where feasible, new requirements on gender equality should be introduced with new funding streams. This enables the fund cycle management to be re-visited and aligned rather than trying to integrate requirements into existing structure and processes.

If gender equality is not “built in” through an organisational or fund-level approach then, where feasible, new requirements should be introduced with new funding streams. The second phase of the UK G2LMJLIC mainstreamed gender equality into the re-design of the fund – placing it as its core aim. Processes did not need to wholly change; gender was built in at every stage, as the focus had shifted but as an example, the reviewers of research proposals needed to be gender experts.

This is not always possible, however, and in other funds, the approach has been phased in. For example, where the UK CSSF is currently developing their approach, it is more difficult to retrospectively address gender equality in pre-existing work but, the fund can ensure future work is gender sensitive by adapting the fund management processes. Likewise, the Prosperity Fund was able to introduce the gender process after inception and mainstream the approach through the fund-cycle management. In the case of the UK Joint Fund on Poverty Alleviation, the importance of the gender equality as one of many cross-cutting structural inequalities was understood towards the end of the fund and subsequently addressed through a specific call for funding in 2016-2017.¹⁸¹ USAID highlighted that making gender equality a condition for funding can help to ensure it is at the forefront of applicant’s minds.¹⁸²

¹⁷⁹ HM Government (2019) Gender equality at every stage: a roadmap for change. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/821889/GEO_GEEE_Strategy_Gender_Equality_Roadmap_Rev_1_1_.pdf

¹⁸⁰ KII9; KII10.

¹⁸¹ The Development Frontiers call required “applicants must make a genuine effort to integrate adequate analysis of gender and other structural inequalities in their research design, even where this may not be the central focus of the project.”

¹⁸² KII11.

Finding 23: Take stock of capacity at all levels, as building gender sensitive awareness is challenging and takes time to implement.

Respondents highlighted the lack of awareness, understanding and expertise on gender equality issues at all levels of fund implementation.¹⁸³ Any approach should consider how to build capacity on gender sensitive awareness. In the case of PEER¹⁸⁴, the focus is on delivering research grants with high scientific impact as opposed to gender equality per se, however, applications that fail to consider gender equality adequately score poorly in the ‘development impact score’ (during selection). Over the course of eight years delivering the programme – the learning is that scholars are not accustomed to considering gender equality in their work when it is not the focus. Gender equality issues tend to be very context specific, where global experts tend to be ‘eurocentric’.¹⁸⁵ Similar concerns were cited in the case of UK CSSF and G2LM|LIC.¹⁸⁶ Respondents also highlighted challenges with the selection and review of fund applications, where gender equality expertise can be difficult to ensure on panels and review processes.¹⁸⁷ As such, it is important to be realistic about the need to build capacities over time.

¹⁸³ KII8; KII9; KII10; KII11

¹⁸⁴ PEER funds scientists and engineers in developing countries to partner with U.S. government-funded researchers to address global development challenges.

¹⁸⁵ KII11; KII8

¹⁸⁶ KII8; KII10

¹⁸⁷ KII8; KII11

5. Conclusions

This review has assessed BEIS' organisational/portfolio and fund approaches to gender equality – while also reviewing wider approaches to gender equality across similar funds/other donors. This section presents our conclusions.

Conclusion 1: GCRF and the Newton Fund share the same governance and management structure but have different implementation mechanisms which influences how they are delivered. Efforts to date are focussed at fund level in the absence of an explicit organisation or portfolio level gender equality commitment, strategy or policy.

The Newton Fund and the GCRF have distinctive purposes and mechanisms, but they have a shared governance, oversight and management structure, which is a positive feature for ensuring coherence and creating robust cross-fund mechanisms. The fund management cycle is found to follow similar steps - across the funds - with BEIS' internal fund management entity (ODARMT) responsible for fund management. We found more evidence of a strategy for the GCRF (available publicly) but are aware that there is an operational framework under development for the Newton Fund. The funds have different implementation mechanisms (including selection processes) which influences their delivery and stakeholder structures. This is an important consideration for the design of fund level approaches, notably in the case of the Newton Fund with co-funding country partners.

BEIS' efforts to improve gender equality have been aimed at understanding fund level approaches, and there is less evidence of efforts at the portfolio or organisational level. Efforts include the introduction of a cross-fund Gender Equality, Inclusion & Diversity Matrix; revising grant letter terms to include gender equality; mainstreaming equality and diversity into cross-fund KPIs; emerging definitions of gender equality and UKRIs introduction of a mandatory gender statement requirement for all calls.

There is opportunity to improve coherence between these efforts – particularly as failure to do so will impact on BEIS' ability to improve the overall approach to gender equality.

Conclusion 2: Learning efforts are predominantly focussed at fund level. There are multiple formal and informal channels, and there is a recognition that portfolio and fund level learning could be improved which provides an opportunity to foster buy-in for the integration of gender equality considerations.

Learning functions are important features in portfolio and fund management. Outside of formal reporting structures and meetings to facilitate communication, we found less evidence of a systematic approach that supports course correction and evidence-based decision-making. The Cross-Fund DLG was cited as the main vehicle for learning at both the portfolio/organisational level and at the fund level – acknowledging that the groups learning remit is a recent addition. We noted that DPs tend to treat the funds quite separately (from a management perspective) and found that the majority like to have clarity on how the information they are asked to provide will be used. This is an important consideration when designing learning mechanisms to ensure the right audiences are targeted.

Conclusion 3: Delivery Partners' organisational approaches to gender equality and/or broader equality considerations provide a solid foundation to build on at the fund level. There is no evidence to suggest any significant differences between the funds.

We found that most DPs have either a commitment, policy or strategy that addresses either broader equality considerations or is specific to gender equality. The majority apply to the organisation as a whole and address gender as part of broader equality considerations. All have either formal or informal expertise dealing with gender or equality issues. Partners view of their capacity to adhere or implement approaches is relatively strong – with 65% describing their capability as 'strong' and 35% as 'fair'. The most common reason why DPs developed approaches was related to internal organisational initiatives.

We found less evidence of comprehensive monitoring frameworks or implementation plans at the organisational level – which are typically reported on annually. Over half of the partners stated their organisation provides training on the commitment, policy or strategy. While efforts to approach gender equality are a relatively recent development for partners, many share good practice or guidance with other research bodies and government institutions both formally and informally.

Conclusion 4: There are inconsistencies between Delivery Partners on both funds at the call or project level. Minimum requirements vary, as does the use of gender equality scoring criteria and involvement of expertise in the design and selection processes. There is no evidence to suggest any major variations between the funds.

Only two DPs reported having a minimum requirement on the number or proportion of projects that consider gender equality but not as the primary objective. Six DPs have gender equality considerations as explicit exclusion criteria, while five reported considerations as explicit selection criteria in calls for proposals.

Less than half of the partners sampled score applications for funding (award or project) using specific gender equality or equality/diversity criteria more broadly. Although all partners reported having either formal or informal gender equality expertise, only nine reported involving these individuals in the design of calls for proposals, while two reported their involvement in the selection of proposals.

Conclusion 5: There is inconsistent gender equality reporting among Delivery Partners at the fund level. There is a latent demand among DPs for BEIS to provide clarity on fund level gender equality reporting requirements and to provide a clear statement of BEIS' gender equality strategy for the portfolio.

Seven DPs reported they are required to report on gender equality at the fund level, of which four indicated this was a GCRF requirement. Most partners called for BEIS to provide fund level guidance on how to monitor gender equality. Partners also called for a clarity on gender equality strategies at the fund level to improve consistency on interpretation, and to convene cross-fund gender learning efforts.

At the award level, there is also a mixed picture. We found that half of the partners require award holders to report data on gender equality during the project cycle. The most common

reasons cited were that there isn't a fund level requirement to do so and the amount of resources it would take. Five DPs have gender equality as part of a standardised monitoring framework - of which most require data to be monitored during the project cycle. Even fewer (two) provide guidance on how to collect and analyse the data.

Conclusion 6: It is critical to ensure any new approach to gender equality is adequately resourced with clear responsibilities, has buy-in at all levels and is based on an understanding of how the approach is central to fund objectives.

Our review of other fund approaches found that no external funds sampled had a fund-specific commitment, policy or strategy that is either specific to gender equality or broader equality considerations in place from the outset. The evidence shows that in order to do this effectively, dedicated in-house expertise and resources is essential. Making a case for this expertise is best supported by understanding how tackling and understanding the gender, diversity and inclusion dimension of the fund will support the underlying objective. This means it is important to consider whether reframing the fund with this aspect as an integral aspect would enable the fund to be more successful. The evidence also demonstrates that commitment and buy-in at all levels is a pre-requisite to the implementation of an approach. We found that in cases where the approach was integrated or mainstreamed into the fund objectives – the process was reportedly easier and complements the case for additional dedicated resourcing. Beyond this, the approach needs to be devolved through the fund cycle with assigned responsibilities. The evidence also indicates that encouraging synergies and capitalising on mutually reinforced efforts can support mainstreaming efforts.

6. Recommendations

The following section details our recommendations on how to improve the approach to gender equality at the portfolio and fund levels. Recognising the devolved nature of fund delivery, recommendations have been informed by the findings from our Delivery Partner research and our review of external funds to inform BEIS' ambitious strategy. We have also provided specific recommendations for the Newton Fund and the GCRF to improve current approaches.

Recommendation 1: BEIS should develop a clear, coherent approach to gender equality at the ODA portfolio level.

The lack of such an approach at present means that practice varies across levels (fund; programme; call; award). A portfolio commitment or vision should set out how and why gender equality is an important consideration in ODA supported research and innovation; the strategic level opportunities it presents; and, how BEIS will work with partners to respond. We suggest this commitment be defined at the policy level, and the opportunities (high level) be built around the main purpose/objectives of each fund within the portfolio and linked to broader policy goals. Putting in place a portfolio level commitment will provide a common understanding and a basis for articulating fund level approaches which can be tailored to the specific mechanisms of each fund.

Recommendation 2: BEIS should institute a systematic approach to learning, clearly differentiating between internal and external functions at key stages in the fund management cycle.

Currently, there are multiple formal and informal learning channels that are used for a variety of purposes. Other than the DLG (which is external), and management boards (internal), there is no formal fund or portfolio level learning function. In the absence of such, there is no internal existing forum or function to start the conversation on approaching gender equality or to institute learning cycles that will help inform implementation and course correction. We suggest creating a cross-team internal forum (or making gender equality and the portfolio level learning function more explicit in the Portfolio Operations and Management Board terms for reference) that has a wider function of tracking overall fund progress; generating evidence; surfacing portfolio learning and engaging in evidence informed adaptation during the fund management cycle. This function should also consider how it will link into the wider cross-HMG gender equality efforts.

When introducing a new approach or adaptation to fund cycles, such as for gender equality, we suggest that as a starting point, BEIS places emphasis on how gender equality is currently addressed and understood within and across funds, across government and other research bodies by sharing the efforts and learning to date. The aim would be to create a common understanding about how BEIS will consider gender equality in the administration of ODA research and innovation to promote learning processes internally and external, and foster buy-in.

Recommendation 3: BEIS should develop a fund level approach to gender equality, diversity and inclusion that is tailored to each of the funds.

The UK FCO and DFID have developed resources to integrate gender equality in the policy and programming cycle and USAID has a well-advanced approach to integrating gender equality into the programme cycle. Both provide useful learning and could be used as models for developing and implementing an approach for the Newton Fund and GCRF

Fund level approaches should reinforce the portfolio approach but be tailored to the specific fund objectives and implementation mechanisms. They should also be flexible enough to allow partners to interpret as relevant to their programmes of work. This is an important consideration when designing fund level approaches as respondents and partners emphasised during the research. Useful tools and resources are detailed in Annex 4, with supplementary references in Annex 7.

Developing a portfolio level approach to gender equality, diversity and inclusion and using the fund management cycle (figure 3, section 4.1.1) as a starting point, we suggest the following list of actions for improving current fund level approaches:

Table 3: Fund level list of actions

Both funds
<ul style="list-style-type: none"> • The DP selection process is an important first step in the fund cycle. It provides an opportunity to introduce new requirements; and communicate gender equality, diversity and inclusion priorities. We suggest including gender equality criteria or adapting current criteria and giving due consideration to additional resourcing reporting requirements. • Develop fund level expectations for gender equality, diversity and inclusion that are coherent with existing efforts (i.e. UKRI's approach). This will enable BEIS to align fund expectations with partner expectations; provide clarity on reporting requirements and manage expected results/outcomes improving consistency in approaches at the programme and call levels. • Consider how and what gender equality, diversity and inclusion data is needed and can be collected at each fund level and integrate this requirement into the new RODA (ODART) reporting tool (to be launched later this year). Communicate how gender equality, diversity and inclusion data gathered from reporting will be used. • Pilot the use of a gender quality marker (sample in Annex 5) for the remainder of the fund cycle. The marker is a useful tool for assessing approaches at different levels. Consider aligning this to the ODA assurance process.
The Newton Fund
<ul style="list-style-type: none"> • Finalise the Draft Operational Framework. We suggest refining the draft approach taking into consideration how gender equality, diversity and inclusion complements the achievement of the Newton Fund objectives. There are multiple entry points from the DP selection process, country partnership development to award selection processes. In the case of co-funding partner countries, the Fund should consider how to align approaches/share best practice on gender equality.
GCRF
<ul style="list-style-type: none"> • The UK Strategy for the Global Challenges Research Fund (2017) should be revised to include how gender equality, diversity and inclusion considerations complement fund objectives.

- Ensure the upcoming GCRF evaluation has gender equality, diversity and inclusion as an evaluation purpose (helping to build the evidence base for future cycles).¹⁸⁸

Recommendation 4: BEIS should ensure there is dedicated senior management capacity, sufficient resourcing and clear accountabilities at all levels to design, implement, monitor and adapt the approach to gender equality.

Management capacities, expertise and staff responsibilities will vary. BEIS should therefore include an assessment of management, expertise and resourcing needs at each level during the design. This should consider the overall budget, the number of partners, and the degree of coordination and support that will be needed across government. As part of this assessment, there also needs to be a review of what level of resources are likely to be required to generate the evidence and learning needed to monitor implementation (e.g. monitoring support; capacity building/training of staff; ad hoc studies, evaluations, partner assessments, etc.).

¹⁸⁸ The Newton Fund Evaluation already includes this as focus area.

Annex 1: Review Concept Note

Thematic Review: Approaches to Gender Equality – The Newton Fund and Global Challenges Research Fund

Context

In 2014, the UK parliament amended the International Development Act 2002¹⁸⁹ to introduce the promotion of gender equality in the provision of overseas development (and humanitarian) assistance to countries outside the United Kingdom.¹⁹⁰ The amendment stipulates that prior to the provision of development assistance, the Secretary of State must consider whether the proposed assistance will reduce poverty in a way which is also likely to contribute to reducing gender inequality. The Act also introduced a duty to report on gender in the International Development (Reporting and Transparency) Act 2006.

The Newton Fund and the Global Challenges Research Fund (GCRF)¹⁹¹ are administered by the Department for Business, Energy and Industrial Strategy (BEIS). Both funds are wholly funded by the UK's Official Development Assistance. The Newton Fund's spending authority is the International Development Act 2002, which requires that aid must be likely to contribute to a reduction in poverty and that the spending body must give due consideration to reducing gender inequality. For the GCRF, BEIS opted to use the Science and Technology Act and Higher Education Act as the legal bases for GCRF expenditure. The GCRF, is however, administered in the spirit of the International Development Act. The activities of the funds should, therefore, be likely to contribute to poverty reduction and consider options for reducing gender inequality.

The Mid-Term Evaluation (MTE)¹⁹² and the Independent Commission for Aid Impact (ICAI) Performance Review of the Newton Fund¹⁹³ found it to be lacking a sufficiently developed approach to the consideration of gender equality in administering the fund. The MTE (December 2018) found the fund lacking a "fund-level strategy or guidance on how gender equality is expected to be addressed or BEIS' expectations in terms of gender mainstreaming in the implementation and management of activities".¹⁹⁴ The ICAI Review (June 2019) also found that the fund lacked an approach and recommended that: "the Newton Fund should ensure it meaningfully considers options for reducing gender inequality and reports against its progress."¹⁹⁵

Rationale

BEIS is now seeking to address both the ICAI and MTE recommendations, as outlined in its Government Response (July 2019)¹⁹⁶. In doing so, it is opportune for BEIS to review the

¹⁸⁹ UK Parliament International Development Act (2002). Accessible [here](#)

¹⁹⁰ UK Parliament International Development (Gender Equality) Act (2014). Accessible [here](#).

¹⁹¹ The GCRF is a £1.5 billion fund supporting cutting-edge research that addresses the challenges faced by developing countries launched in late 2015. It is administered by BEIS and is part of the UK's Official Development Assistance (ODA) commitment,

¹⁹² Mid-Term Evaluation of Newton Fund (December 2018). Accessible here: [here](#).

¹⁹³ ICAI The Newton Fund: A Performance Review (June 2019). Accessible here: [here](#).

¹⁹⁴ Ibid. Note 192.

¹⁹⁵ Ibid. Note 193.

¹⁹⁶ ICAI Review of Newton Fund Government Response (July 2019): *As part of developing a formal Newton Fund overarching strategy, we will review DFID best practice and guidance and develop an ambitious plan to maximise*

approach to gender equality in the GCRF and the Newton Fund – to maximise learning across the funds and partnerships.

A thematic review of BEIS' approach to gender equality¹⁹⁷ across both the Newton Fund and the GCRF is proposed. The review will both look internally at BEIS processes and at the Fund level, and externally, at similar funds within the UK context and internationally. The objective of the review is to provide insights into the adequacy of the current fund-level approach and to identify potential alternative approaches to gender equality. It will provide insights and learning for BEIS, which will contribute to ongoing efforts (including the development of a BEIS Gender Equality Strategy) to strengthen the approach to gender equality on both the Newton Fund and the GCRF.

Why is a thematic review a suitable methodology?

A thematic review is considered the most suitable methodology as it will enable the team to identify patterns of meaning across a dataset (usually qualitative) that will provide an answer to the question being asked (i.e. is the current approach adequate and what alternative approaches can be considered?). Patterns are identified through a process of data familiarisation, data coding, and theme development. The advantage of a thematic review is that it is theoretically flexible so it can be used within different frameworks making it appropriate for exploring the approach in both funds. It is particularly applicable when exploring questions related to understanding and questions related to the construction of meaning (i.e. how the approach to gender equality is being applied and its adequacy).

Approach

In March 2018, the UK Department for International Development (DFID) published a Strategic Vision for Gender Equality¹⁹⁸, which sets out a long-term vision for improving gender equality. We will use this vision and that of other relevant funds that have applied gender equality approaches to help frame our review. We are aware that some of The Newton Fund and GCRF partners may be already undertaking gender equality initiatives in their organisations. These initiatives are useful for this review as it will enable us to take stock of partners efforts while also exploring learning that may be useful for BEIS and other partners.

Our approach will be formative, collaborative and will offer an opportunity to reflect on current approaches by identifying strengths and weaknesses and surfacing learning to strengthen practice. It will be operationalised through three workstreams:

- **Internal review** of the current approach to gender equality within the Newton Fund and the GCRF - including the approaches adopted by Delivery Partners (DPs): activities include a document review, Key Informant Interviews (KIIs) and an online survey (targeting DPs).
- **External rapid review** of approaches to gender equality applied in other funds with similarities to the Newton Fund and GCRF through document review and KIIs.

the positive impact on gender equality. We will also reflect this in our approach to the Global Challenges Research Fund – sharing best practice across the two funds". Accessible [here](#).

¹⁹⁷ For the purpose of this Review, we define gender equality according to the UK DFID's definition (Gender Manual 2008): "Gender equality means equal visibility, empowerment and participation of all sexes in all spheres of public and private life. It puts both women and men at the heart of policy-making and takes into account the diversity among men and women to ensure good governance and development."

¹⁹⁸ DFID Strategic Vision for Gender Equality (March 2018). Accessible [here](#).

- **Analysis and synthesis** of how well the Newton Fund and the GCRF are currently approaching gender equality. This workstream will involve (a) collating workstreams 1 and 2, to identify learning for BEIS and the development a proposed framework outlining entry points/alternative approaches to gender equality to inform ongoing learning and (b) a validation workshop with BEIS.

Methodology

Workstream 1: Internal review approaches to gender equality (Newton Fund and GCRF)

This workstream will involve the gathering data to construct an evidence base on how gender equality is currently approached at various points in the decision-making processes (i.e. award/allocation) by BEIS, as well as by the DPs. This evidence will inform our understanding of how the Funds currently approach gender equality considerations throughout the fund management cycle – i.e. the ‘stock-take’. We will gather data on ‘if’ and ‘how’ gender equality considerations are embedded into the Newton Fund and GCRF fund management cycles at the macro-level (BEIS) and at the meso -level (DPs) from the point of selection/award through to monitoring, reporting and learning. We will use tailored topic guides to assess the fund management cycles through gender lens – which enable us to map the process and current points of entry as well as compare the cross-fund approaches. We will carry out the following activities:

BEIS stock-take: Evidence from BEIS on how gender equality is approached in the Newton Fund and the GCRF (i.e. macro-level operational approach).

A **desk review** of documentation from BEIS and **KIIs** with internal key stakeholders for the Newton Fund and the GCRF which enable the review to understand the ‘macro-level’ approach to gender equality. We anticipate that much of the documentation will be identified through the KIIs – which will facilitate the sharing of relevant material and minimise the time burden on staff.

DP stock-take: Evidence from the DPs on how gender equality is approached in the Newton Fund and GCRF (meso-level operational approach)

A short **online survey**¹⁹⁹ will be conducted to gather evidence from the DPs. The survey will contain primarily multiple-choice questions and will include functionality for DPs to upload relevant documentation. This will enable the review to gather data on the DPs processes and approach to gender equality which will inform our meso-level understanding. Additionally, the survey mechanism will ensure that data is consistent across DPs, facilitating a meso-level synthesis of approaches which can be aggregated by DP ‘typology’ for internal learning. It might also be necessary to carry-out follow-up cases (i.e. where the types of activities supported require contextualisation).

The output of workstream 1 will be a stock-take and comparative assessment of the approach to gender equality across both the Newton Fund and the GCRF. This will involve a review of both ‘macro’ and meso’ level approaches and a mapping of internal operational processes illustrating the current mainstreaming efforts and points of entry. This will inform the areas of review for workstream 2 and help to identify where improvements can be made and facilitate cross fund learning under workstream 3.

¹⁹⁹ A short online survey is less time-demanding for DPs as it will avoid the time burden associated with document sharing and participating in interviews.

Workstream 2: External rapid review of approaches to gender equality (other ODA funds with an atypical focus, UK and non-UK)

This workstream seeks to gather exemplary approaches to gender equality in the management and administration of other funds which, when combined with an understanding of how gender equality is currently approached (Workstream 1) will be used to construct a framework for best practice and identify areas of learning for BEIS. We will carry out the following activities:

Determine external rapid review sample

In collaboration with BEIS, we identified a sample of external funds for review. This sample was determined by conducting a brief analysis of a list of other funds²⁰⁰ with similar characteristics to the Newton Fund and the GCRF. Purposive sampling was used to determine an initial long list using the criteria detailed in Table 2. Table 3 outlines the final list of sample funds. Annex 1 contains the sample shortlisting process and assessment.

Table 2: External rapid review sample criteria

- High level of comparability with the Newton Fund and the GCRF in terms of:
- Aim/objective of the Fund
- Types of activities funded
- Types of countries targeted / grantees
- Budget size
- Implementation period/duration
- Existence of a gender equality strategy (ideally one that is publicly available) and willingness to share and collaborate for learning
- Sample funds are not limited to those within the UK, but also include comparable funds (i.e. EU or US funds).

Table 3: Final list of sample funds

Fund	Managing Authority	UK/Non-UK
The Prosperity Fund	Cross-Whitehall	UK (ODA Non ODA)
Conflict, Stability and Security Fund (CSSF)	FCO	UK (ODA Non ODA)
Joint Fund for Poverty Alleviation Research	ESRC-DFID	UK (ODA)
Partnerships for Enhanced Engagement in Research (PEER)	USAID	US (ODA)

²⁰⁰ Newton Fund Revised Evaluation Strategy - Final Evaluation Stage (November 2019) Table 4 Donors and programmes working in the same space as the Newton Fund. Additional funds were added based on the discussions with BEIS and additional desk research. Annex 1 contains the detailed sample shortlisting process and assessment.

Gender, Growth and Labour Markets in Low Income Countries Programme	IZA/DFID	UK (ODA)
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Design rapid review

The design of the rapid review components will be iterative and based on the completion on workstream 1. Proposed review areas may include:

- Description of fund [funder, objective, budget, delivery model]
- Delivery of gender equality approach/strategy
- What are the ambitions of the strategy?
- How was it developed? Why was it developed?
- Is there guidance and training provided?
- Who is responsible for the strategy? And who implements the strategy?
- What is the model for delivery of the strategy through disbursement of funds?
- How is the strategy monitored? What indicators are used?
- How is the strategy disseminated and reported on?

Conduct desk research and targeted KIIs

We conduct a desk review of publicly available documentation pertaining to the design and implementation of each fund. This will involve reviewing documentation on the approach to gender equality and conducting up to two KIIs²⁰¹ with each of the sample. The KIIs will explore how the gender equality approach or strategy is implemented in practice. Topic guides will be designed to guide the conversations and will explore the following areas:

- Strengths and weaknesses of the approach/strategy;
- Roles/responsibilities for the approach, and how these work in practice (i.e. degree to which responsibility is de-centralised, meso v macro);
- How the approach to gender equality is mainstreamed through disbursement of funds (meso-level) and the availability/quality of monitoring data
- Challenges and learning

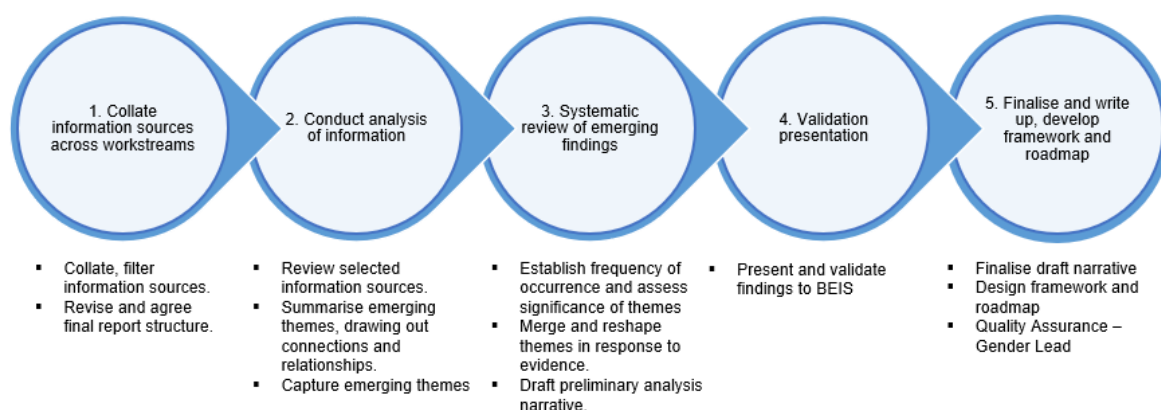
The output of workstream 2 will be a rapid review of external approaches to gender equality in funds which have similar characteristics to the Newton Fund and the GCRF. This will involve an assessment of other approaches and the identification of learning areas for BEIS. This information will feed into workstream 3 (analysis and synthesis) and the development of a proposed best practice framework.

²⁰¹Access will depend on the availability and willingness of those contacted to participate.

Workstream 3: Analysis and synthesis

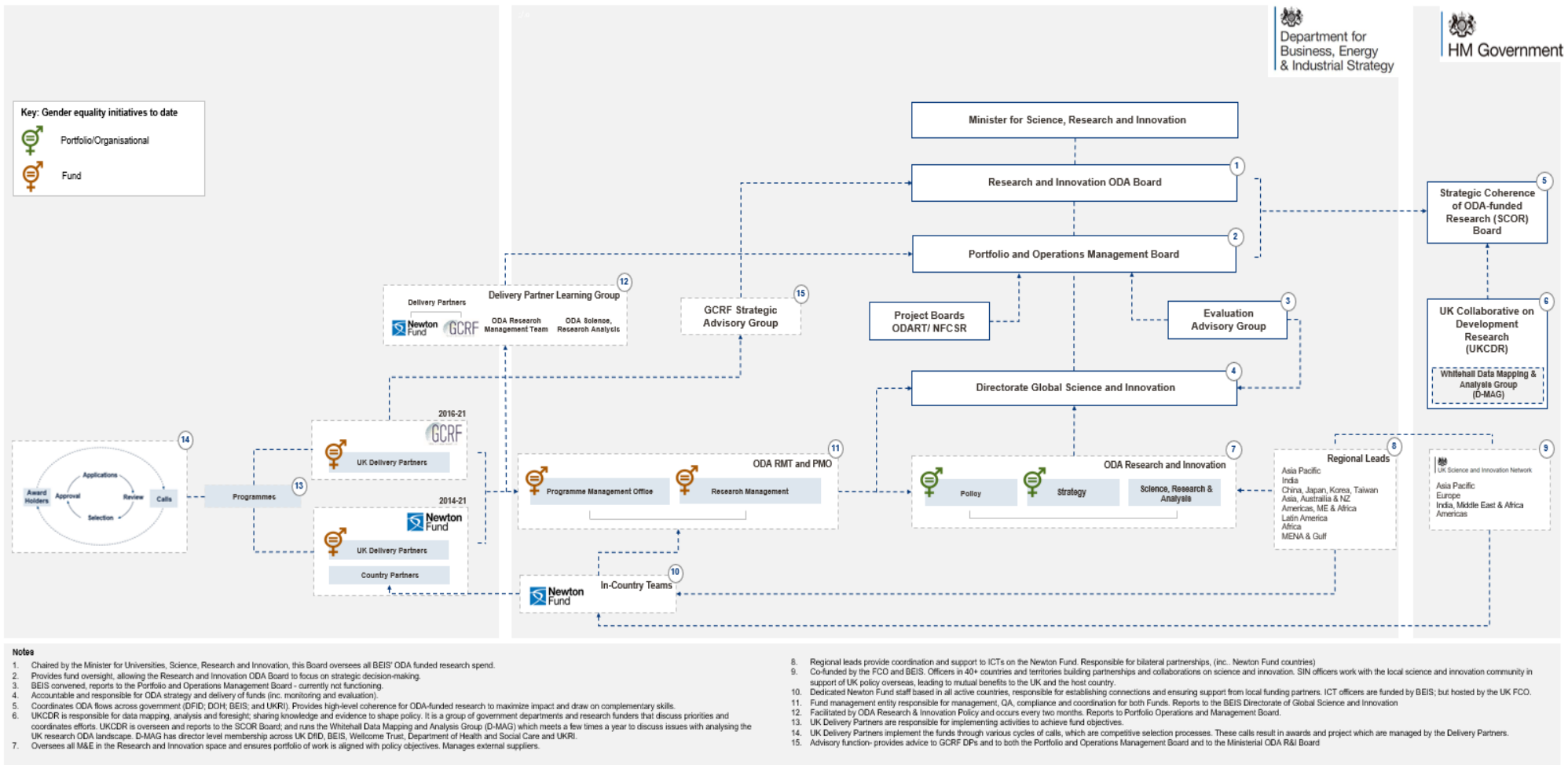
Our approach to the analysis and synthesis will be guided by the questions (outlined in the rationale) to allow for collation and comparison across the workstreams and funds. Data collected will be synthesised using a five-step approach set out in figure 1 below. This will enable the review to build up a collective picture of the adequacy of the current approach to gender equality and to surface learning. Data analysis from the workstreams will take place periodically (as and when data collection takes place) to ensure that the highest standards of accuracy are achieved. The approach will be transparent enabling BEIS and other stakeholders to clearly see how our synthesised findings are supported by the evidence. We will conduct a workshop with BEIS to validate the findings, recommendations for learning and agree dissemination plans. This step will help ensure the utility of the review meets BEIS learning objectives and is appropriately disseminated.

Figure 1: Five step approach to validation and synthesis



The output of workstream 3 will be a final report which is the key deliverable for this assignment. The final report will detail our analysis and findings as well as provide a framework for strengthening the approach to gender equality to inform BEIS learning and ongoing development of internal mainstreaming tools.

Annex 2: BEIS fund governance, oversight and management structure



Annex 3: Overview of sampled funds

	Fund	Description	Target	Timeframe	Budget
UK Cross HMG	Prosperity Fund	A cross government fund that blends ODA with a small amount of non-ODA to reduce poverty and promote inclusive growth, particularly in emerging markets and middle-income developing countries, while at the same time creating opportunities for UK and international business. Focus on promotion of economic reforms and remove barriers to trade; strengthening policy capacity and build strong institutions in these sectors: infrastructure, energy, finance, education and healthcare; and tackling corruption.	Emerging market partner countries, i.e. ODA-eligible middle-income countries	2015 - 23 ²⁰²	£1.2 billion
UK Cross HMG DFID/FCO	Conflict, Stability and Security Fund (CSSF)	A cross government fund that supports and delivers activity to tackle instability and to prevent conflicts that threaten UK interests. UK government departments or agencies engaged in addressing conflict, instability and insecurity abroad can submit proposals for funding to the CSSF (e.g. the FCO, DFID, National Crime Agency, Ministry of Defence, Home Office, Crown Prosecution Service). The fund also blends ODA with a small amount of non-ODA.	70 countries at risk of instability as well as in regions suffering from long running conflicts.	2015-21	£1.26 billion
UK DFID/ESRC	Joint Fund for Poverty Alleviation Research	The Joint Fund was set up in 2005 to commission world class social science research which provides a robust conceptual and empirical basis for development with strong potential for impact on policy and practice for poverty reduction. While the research calls are jointly designed by the UK's DFID and the ESRC, the management of the fund sits with ESRC.	Developing countries	2005-10; 2009 – 16; 2012-21	£62 million

²⁰² Spending in 2021/2022 and 2022/2023 is subject to confirmation in the next spending review.

Review of Approaches to Gender Equality

UK DFID/IZA	Gender, Growth and Labour Markets in Low Income Countries Programme (G²LM LIC)	This programme aims to foster research that guides future gender and labour market policies, and particularly to enhance equality of opportunity for women in the labour market. G ² LM LIC is funded by DFID and implemented by IZA. It funds high-quality research in the areas of gender, labour markets and economic growth and supports capacity development and fostering research activities through short courses for participants from low income countries, conferences and workshops to encourage collaborations between researchers and various stakeholders.	Low-income countries ²⁰³	2019 – 24 ²⁰⁴	£12 million
USAID	Partnerships for Enhanced Engagement in Research (PEER)	PEER is an international grants program that funds scientists and engineers in developing countries who partner with U.S. government-funded researchers to address global development challenges. The program is funded by USAID and is overseen by the Center for Development Research at the U.S. Global Development Lab. However, USAID does not provide grants directly. PEER is implemented by the U.S. National Academies of Sciences, Engineering, and Medicine, which manages the proposal review process, as well as disburses and monitors grants awarded.	50+ developing countries.	2011 - ongoing	\$120 million

²⁰³ List of Low-income countries available [here](#).

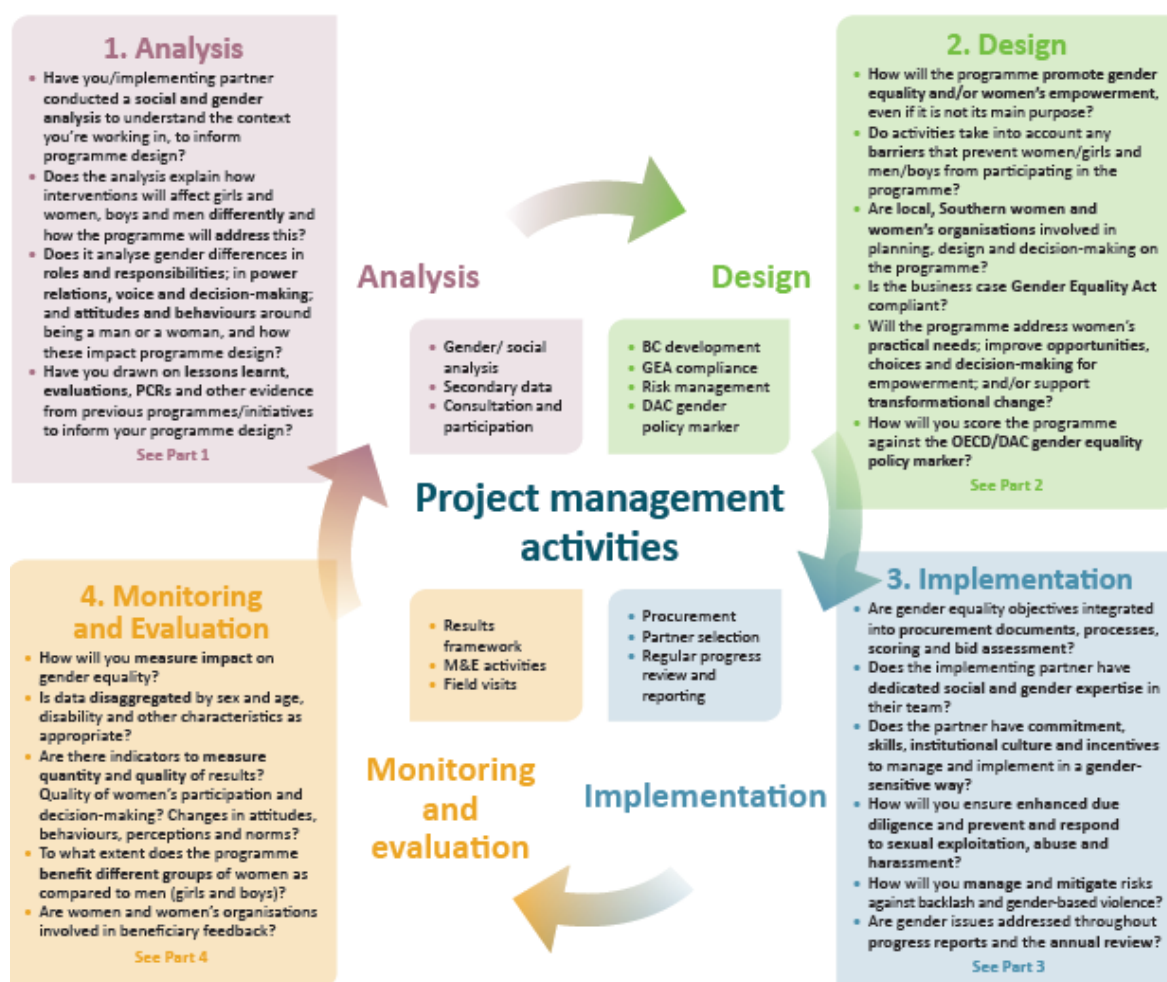
²⁰⁴ This programme was preceded by the Growth and Labour Markets in Low Income Countries Programme (GLM|LIC programme) 2011 – 2018.

Annex 4: Useful reference tools

UK DFID and FCO Approach to Gender Equality in Programme Cycle Management

UK DFID and UK FCO have developed a 'How to' guide on Integrating Gender Equality into DFID and HMG Policy and Programming (2019).²⁰⁵ The excerpt below, provides a useful basis for considering how to integrate gender equality considerations into programmes and policy. The process can be mapped to department-specific cycles. It identifies the key stages of a programme cycle and is designed to be easily applied or adapted across HMG programme cycle management. UK CSSF has applied this framework.²⁰⁶

Figure 1: Excerpt detailing how to integrate gender equality considerations onto HMG programme cycle management



²⁰⁵ DFID/FCO (2019) 'How to' Guidance Note on Gender Equality; A Practical Guide to Integrating Gender Equality into DFID and HMG Policy and Programming. [This document is not available publicly.](#)

²⁰⁶ UK CSSF (undated) Approach to Gender. Available at:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/527749/Gender_Note_for_framework_suppliers.pdf.

OECD-DAC Sample Gender Equality Marker

This section provides a sample gender equality marker which has been developed using the OECD-DAC Gender Equality Policy Marker²⁰⁷ as a basis. The marker is a useful tool to assess the extent to which gender equality is reflected in the objective(s) of a fund, programme or project. The marker recognises three broad categories of funds, programmes or projects:

- 1. Gender-unaware/not targeted (score 0):** funds, programmes and activities that are designed without taking specific gender-equality related needs and contexts into consideration. This lack of analysis may reinforce gender inequalities or fail to fully maximise the potential of the intervention to achieve sustainable impact. At worst, gender unaware interventions risk taking advantage of or exacerbating existing gender inequalities.
- 2. Gender-sensitive/significant (score 1):** funds, programmes and activities where gender equality is an important and deliberate objective, but not the principal reason for undertaking the initiative.
- 3. Gender-transformative/principal (score 2):** funds, programmes and activities where achieving gender equality is the main objective and is an integral part of its design and expected results. The initiative would not have been undertaken without this gender equality objective.

Guidance on using the marker

All funds, programmes and activities must be scored using the gender equality marker. Initiatives that are scored using the marker that do not meet the minimum gender sensitive criteria (score 1) are considered to be gender unaware (score 0).

A score of 0 is not a default value – do not assign it to projects that have not been reviewed and marked.

BEIS is committed to making sure that all funds, programmes and activities are gender sensitive at minimum. If your fund, programme or project does not meet these minimum requirements, please contact [insert] who can advise you.

When should I use the marker? In the first instance, you should use the marker to score fund, programmes or project proposals. You should then use the marker to score the annual report to reflect any changes in fund; programme or project cycle since the design stage.

Who should complete this? This will depend on whoever is responsible for managing the fund, programme or project. [insert] will be held accountable for ensuring the marker has been completed and that follow-up actions are taken should a fund; programme or project receive a score lower than 1.

What should I include in 'comments from the reviewer'? This should be evidence used to support or justify your answer. Please provide as much detailed guidance as you can, as this will help inform design.

²⁰⁷ OECD-DAC (2016) Gender Equality Policy Marker. Available [here](https://www.oecd.org/dac/gender-development/dac-gender-equality-marker.htm). <https://www.oecd.org/dac/gender-development/dac-gender-equality-marker.htm>

What should I do once I've completed the marker? Once you have completed the marker, please get sign-off from the [accountable officer]. Signed markers should be collated, analysed and monitoring centrally.

[Insert team] will carry out regular audits to assess the quality of the completed forms and to encourage and share learning with wider teams.

Gender-sensitive programme (score 1)

	Minimum Criteria (should be met in full) ²⁰⁸	Yes/No	Reviewer observations
1	A gender equality analysis of the fund/programme/project has been conducted (there is evidence) ²⁰⁹		
2	Findings from this analysis have informed the design of the fund/programme/project and the intervention adopts a 'do no harm' approach		
3	Data and indicators are disaggregated by gender (sex) where applicable		
4	There is commitment to monitor and report on gender (sex) equality results achieved by the fund/programme/project		
5	Presence of at least one explicit gender equality objective backed by at least one gender-specific indicator (or a firm commitment to do this if the monitoring framework has not been elaborated)		

Gender-transformative programme (score 2)

	Minimum Criteria (should be met in full)	Yes/No	Reviewer observations
1	A gender equality analysis of the fund/programme/project has been conducted (and there is evidence) ²¹⁰		
2	Findings from this analysis have informed the design of the fund/programme/project and the intervention adopts a 'do no harm' approach		
3	Data and indicators are disaggregated by gender where applicable		

²⁰⁸ The first four minimum criteria are the same for both gender sensitive and gender transformative programmes.

²⁰⁹ It may not always be possible or appropriate to conduct a full analysis at the design stage. In these situations, you should not that there is no evidence.

²¹⁰ It may not always be possible or appropriate to conduct a full analysis at the design stage. In these situations, you should not that there is no evidence.

4	There is commitment to monitor and report on gender equality results achieved by the fund/programme/project		
5	The high-level ambition of the fund/programme/project is to advance gender equality		
6	The monitoring framework measures progress towards the fund/programme/project gender equality objectives through-specific indicators to track outcomes/impact		

Reviewer

Name: _____

Signature: _____

Date: _____

Accountable Officer

Name: _____

Signature: _____

Date: _____

Annex 5: Survey questionnaire

Introduction Page

Thank you for agreeing to take part in this survey.

This survey is a research exercise for BEIS and its Delivery Partners (DPs). Partners will not be ranked or assessed, data gathered will be used for learning purposes only and presented in aggregate format.

The survey seeks to understand your organisation's approach to gender equality in the context of the UK's requirement to promote gender equality in the provision of ODA - on the Newton Fund and GCRF, for example, the International Development (Gender Equality) Act 2014. We are interested in understanding if your organisation currently has a commitment, policy, mainstreaming strategy or ad hoc systems / activities in place that consider and monitor gender equality.

Please allow up to 50-60 minutes to complete the survey. There is an option to upload relevant supporting documentation at the end of the survey should you wish to do so.

It is structured in five sections:

Section 1: Respondent details

This section gathers information about your organisation, the ODA funds your organisation is currently implementing. We ask what your role is within the organisation, details of survey contributors and finally, if there is a dedicated individual or team dealing with gender equality in your organisation. This information will help us understand what partners are currently doing, identify areas of learning and allow us to take -stock of gender equality efforts across The Newton Fund and the GCRF.

Section 2: Organisational approach to gender equality

This section seeks to understand if and how your organisation approaches gender equality considerations. The questions are aimed at understanding if your organisation has a gender or equality policy, strategy or commitment in place; how it is implemented, if there are objectives/targets and if they are monitored at the organisational level. This information will help us understand what partners are currently doing, identify areas of learning and allow us to take -stock of gender equality efforts across The Newton Fund and the GCRF.

Section 3: Approach to gender equality at the project level

This section explores how your organisation's gender equality policy, strategy or commitment is operationalised or implemented in practice. The questions aim to understand if or how your organisation considers gender equality in for example, the grant management cycle with award holders (from selection through to award). This information will help us understand how your organisation works with award holders/partners (in

country or downstream) which will help us understand how partners are engaged in gender equality issues at the project level.

Section 4: Monitoring and reporting on gender equality

This section looks at monitoring and reporting on gender equality. We are interested in the existence of processes at different levels (i.e. at the Fund level, the award holder level, projects etc). This information will help us understand if or how partners are required to report at the Fund level, and if or how partners ask award holders/partners (in country or downstream) to report on gender equality.

Section 5: Improving approaches to gender equality on the Newton Fund and the GCRF

This section asks for your opinion of your organisation's capacity to address gender equality approaches and what might be needed to improve this capacity going forwards. It also asks if your organisation requires further guidance and what BEIS could do to assist. Finally, it provides space for any further context or supporting information to be shared. This information will help us understand if (or how) organisations require more guidance.

Data Consent Page

Privacy and data policy

This survey is being conducted by Tetra Tech International Development Ltd. In addition to your opinion, we will also collect some personal information about you such as your role, responsibilities. We also ask you to share relevant documentation. We will securely store this data until the end of this assignment (May 2020) when the research period is over. We respect your trust and protect your privacy, and therefore will never sell or share this data with any third parties. By completing the survey, you agree that we will process your data in line with our [privacy policy](#). If you have any questions, please contact our survey manager Aoife.murray@tetrattech.com.

1. I consent to the privacy and data policy outlined:

☐ (check box to proceed)

Section 1: Respondent details

This section gathers information about your organisation, the ODA funds your organisation is currently implementing. We ask what your role is within the organisation, details of survey contributors and finally, if there is a dedicated individual or team dealing with gender equality in your organisation. This information will help us understand what partners are currently doing, identify areas of learning and allow us to take -stock of gender equality efforts across The Newton Fund and the GCRF.

2. Please select the organisation are you part of:

(Select one)

Academy of Medical Sciences	<input type="checkbox"/>	Skip to Q4
British Academy	<input type="checkbox"/>	
British Council	<input type="checkbox"/>	
UK Met Office	<input type="checkbox"/>	
Royal Academy of Engineering (RAEng)	<input type="checkbox"/>	
Royal Society	<input type="checkbox"/>	
UK Space Agency	<input type="checkbox"/>	Go to Q3
UK Research and Innovation (UKRI)	<input type="checkbox"/>	

3. If part of UKRI, please select the organisation are you part of:

(Select one)

Arts and Humanities Research Council	<input type="checkbox"/>
Biotechnology and Biological Sciences Research Council	<input type="checkbox"/>
Economic and Social Research Council	<input type="checkbox"/>
Engineering and Physical Sciences Research Council	<input type="checkbox"/>
Innovate UK	<input type="checkbox"/>
Medical Research Council	<input type="checkbox"/>
Natural Environment Research Council	<input type="checkbox"/>
Research England	<input type="checkbox"/>
Science & Technology Facilities Council	<input type="checkbox"/>

4. Please select the funds your organisation is currently delivering:

(Check all that apply)

The Newton Fund	<input type="checkbox"/>
The Global Challenges Research Fund	<input type="checkbox"/>
Other Overseas Development Assistance funds (Please specify below)	<input type="checkbox"/>

5. What is your role within your organisation?

Note: Please specify your title and briefly detail your responsibilities. If this response has been a collaborative effort, please list all those contributing.

Text Box:

6. Please indicate if your organisation has a designated individual or team dealing with gender equality issues?*(Select only one option)*

Yes – formal (person/team is formally assigned to take this role)	<input type="checkbox"/>
Yes – informal (person/team is not formally assigned to take this role, but fulfils role in practise)	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

Section 2: Organisational approach to gender equality

This section seeks to understand if and how your organisation approaches gender equality considerations. The questions are aimed at understanding if your organisation has a gender or equality policy, strategy or commitment in place; how it is implemented, if there are objectives/targets and if they are monitored at the organisational level. This information will help us understand what partners are currently doing, identify areas of learning and allow us to take -stock of gender equality efforts across The Newton Fund and the GCRF.

7. Does your organisation have any of the following in place?*(Select all that apply)**Note: This survey defines these terms as follows:*

- A **gender or equality commitment** can reaffirm an organisations commitment to supporting the realisation of the gender equality. This can be a statement on your organisation's website or published in other internal documents such as annual work programmes.
- A **gender or equality policy** can be a statement of intent that is implemented as a procedure or protocol. It is usually adopted by the governance or management structure within an organisation. It may or may not contain a set of principles to guide implementation.
- A **gender or equality strategy** can provide the organisational framework for achieving or mainstreaming gender equality in an organisations' mandates, policies, operations and programmes. This is usually a separate written document and may contain objectives, targets or an implementation plan.

A commitment, policy, or strategy may be focussed on gender equality specifically or, may be included as part of a wider strategy or commitment to equality, diversity and inclusion.

An equality commitment that includes gender considerations (also addresses equality/diversity more broadly i.e. race, disabilities, inclusion, etc.)	<input type="checkbox"/>	Q8 - 15 need to be completed.
An equality policy that includes gender considerations (also addresses equality/diversity more broadly i.e. race, disabilities, inclusion, etc.)	<input type="checkbox"/>	
An equality strategy that includes gender considerations (also addresses equality/diversity more broadly i.e. race, disabilities, inclusion, etc.)	<input type="checkbox"/>	
A commitment that is specific to gender equality	<input type="checkbox"/>	
A policy that is specific to gender equality	<input type="checkbox"/>	
A strategy that is specific to gender equality	<input type="checkbox"/>	

Developing a commitment, policy or strategy that is specific to gender equality	<input type="checkbox"/>	Skip to Q17
Developing a commitment, policy or strategy that includes gender equality	<input type="checkbox"/>	Skip to Q17
No commitment, policy or strategy that includes gender considerations in place	<input type="checkbox"/>	Skip to Q16
Don't know	<input type="checkbox"/>	Skip to Q16
Other: (Please briefly detail in box provided)	<input type="checkbox"/>	Q8 – 15 need to be completed.

8. Please provide the below details for your organisation's gender or equality commitment, policy or strategy:

Note: We understand that such documents may be iterative – the latest information or last known is sufficient. Please list all relevant documents.

Name of commitment, policy, strategy (please detail all that apply)	Text Box
Date adopted (by organisation) (Please provide year/month, if known – for each)	Text Box
Date operational (Please provide year/month, if known – for each)	Text Box

9. Is your organisation's gender equality commitment, policy or strategy publicly available?

(Select one option)

Yes - please insert weblink in box or upload document at end of survey	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

10. Which of the following applies to your organisation's gender or equality commitment, policy or strategy?

Note: Your organisation may have a gender, equality, diversity or inclusion policy in place that applies to the whole organisation or it may be specific to the management of ODA funds. We are interested in understanding both aspects, organisational and ODA specific (as relevant).

(Select one)

The commitment, policy or strategy applies to the whole organisation	<input type="checkbox"/>
The commitment, policy or strategy applies only to the implementation of ODA funds	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

11. What was the rationale for your organisation developing a gender or equality commitment, policy or strategy?

(Check all that apply)

To comply with UK International Development (Gender Equality) Act 2014	<input type="checkbox"/>
To comply with UK Equality Act 2010	<input type="checkbox"/>

To comply with UK DFID Vision for Gender Equality (2018-30)	<input type="checkbox"/>
In response to other donor requirements	<input type="checkbox"/>
Internal initiative: my organisation's general vision on gender equality	<input type="checkbox"/>
Internal initiative: my organisation's broader policy on equality/ethics	<input type="checkbox"/>
Other (Please specify in text box)	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

12. Does the gender or equality commitment, policy or strategy contain any guidance for implementation?

Note: Guidance is usually the provision of a framework or implementation plan which provides information on how to operationalise the policy, strategy or commitment in the organisations' operations, programming or grant cycle management processes. This may be a set of instructions or steps that help you consider gender equality issues when you are designing a programme, a grant call or assessing an application.

(Select one option)

Yes	<input type="checkbox"/>	Skip to Q15
No	<input type="checkbox"/>	
Guidance is under development	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	

13. Please provide the below details for your organisation's gender or equality guidance:

Note: We understand that such documents may be iterative – the latest information or last known is sufficient.

Name of guidance/plan <i>(please detail all that apply)</i>	Text Box
Date adopted (by organisation) <i>(Please provide year/month, if known – for each)</i>	Text Box
Date operational <i>(Please provide year/month, if known – for each)</i>	Text Box

14. Is your organisation's gender or equality guidance publicly available?

Note: We understand that such documents may be iterative – the latest information or last known is sufficient.

Yes – Please paste weblink in box provided or upload document at end of survey	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

15. Has your organisation provided any training on implementing the gender or equality commitment, policy or strategy?

Note: This could be organisation wide or a more specific training on operationalising the approach in programming or grant cycle management processes.

(Select one option)

Yes – please insert training name in box provided	<input type="checkbox"/>
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Training is available upon request	<input type="checkbox"/>	Skip to Q19
Training is compulsory	<input type="checkbox"/>	
No	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	

[ONLY answer if selected either: No commitment, policy or strategy that includes gender considerations in place or Don't know to Q7]

16. Does your organisation have any plans to develop a commitment, policy or strategy that addresses gender equality before the end of Fund period 2021?

(Select one option)

Yes	<input type="checkbox"/>	
No	<input type="checkbox"/>	Skip to Q18
Don't know	<input type="checkbox"/>	Skip to Q25

[ONLY answer if selected either: Nothing in place, but developing a commitment, policy or strategy that is specific to gender equality OR An equality commitment, policy or strategy that includes gender considerations is being developed to Q7]

17. Why is your organisation planning to develop commitment, policy or strategy that addresses gender equality?

(Check all that apply)

To comply with UK International Development (Gender Equality) Act 2014	<input type="checkbox"/>	Skip to Q25
To comply with UK Equality Act 2010	<input type="checkbox"/>	
To comply with UK DFID Vision for Gender Equality (2018-30)	<input type="checkbox"/>	
In response to other donor requirements	<input type="checkbox"/>	
Internal initiative: my organisation's general vision on gender equality	<input type="checkbox"/>	
Internal initiative: my organisation's broader policy on equality/ethics	<input type="checkbox"/>	
Other (Please specify in box provided)	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	

18. Why does your organisation not plan to develop a commitment, policy or strategy that addresses gender equality?

(Check all that apply)

Other areas are of a higher priority	<input type="checkbox"/>	Skip to Q25
Resourcing issues	<input type="checkbox"/>	
My organisation is already doing good work/compliant without an explicit policy or strategy	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	

Other (please specify the barriers or challenges in box)	<input type="checkbox"/>	
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Part A: Existence of organisational gender equality definition, objectives or targets

19. Does your organisation's gender or equality commitment, policy or strategy define what 'gender equality' is?

(Select only one option)

Yes - please specify in box	<input type="checkbox"/>	
No	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	

20. Does your organisation's gender or equality commitment, policy or strategy detail objectives or targets?

(Select only one option)

Yes	<input type="checkbox"/>	
No	<input type="checkbox"/>	Skip to Q22
Don't know	<input type="checkbox"/>	

21. If Yes, please paste the objectives/targets below, share link to source or upload at the end of the survey.

Text box:

Part B: Monitoring and reporting of gender or equality commitment, policy or strategy

22. Does your organisation have a monitoring plan for assessing progress on the gender equality commitment, policy, strategy?

Note: The monitoring or implementation plan should contain details on measuring progress, indicators and data plan.

(Select only one)

Yes - please detail what is monitored or provide a weblink/upload a document at the end of the survey.	<input type="checkbox"/>	Skip to Q24
No	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	Skip to Q25

[ASK ONLY IF 'NO' TO Q22]

23. How does your organisation monitor progress towards achieving the gender or equality policy, strategy or commitment (e.g. using monitoring framework on annual basis, reporting progress in annual report)?

Text Box:

24. Please indicate how often your organisation monitors and reports on implementing the commitment, policy or strategy?

Note: Reporting could include for example an annual report on diversity (incl. gender considerations; it could be a monthly update on gender equality indicators, or it could be an update on gender considerations gleaned from case studies. This is usually captured at the organisation level.

(Select only one option)

Monthly	<input type="checkbox"/>
Quarterly	<input type="checkbox"/>
Bi-annually	<input type="checkbox"/>
Annually	<input type="checkbox"/>
Less than once a year	<input type="checkbox"/>
Other – please specify in box provided	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

25. Does your organisation share good practice or guidance on gender equality?

Note: This may be formal or informal. Guidance is usually the provision of information or set of instructions/ steps that help you consider gender equality issues when you are designing a project or assessing an application.

(Select all that apply)

With other Delivery Partners in the UK	<input type="checkbox"/>
With other research bodies in the UK	<input type="checkbox"/>
With other UK government institutions	<input type="checkbox"/>
With industry in the UK	<input type="checkbox"/>
With counterparts working in partner countries	<input type="checkbox"/>
With institutions in partner countries	<input type="checkbox"/>
With awardees and/or applicants	<input type="checkbox"/>
The organisation does not share good practice or guidance on gender equality	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

Section 3: Approach to gender equality at the project level

This section explores how your organisation's gender equality policy, strategy or commitment is operationalised or implemented in practice. The questions aim to understand if or how your organisation considers gender equality in for example, the grant management cycle with award holders (from selection through to award). This information will help us understand how your organisation works with award holders/partners (in country or downstream) which will help us understand how partners are engage in gender equality issues at the project level.

26. Does your organisation have a minimum requirement on the number or proportion of projects/funds allocated that specifically target gender equality as the primary objective?

Note: We distinguish between gender equality considerations in the allocation of projects/funds as a primary objective and gender equality considerations that are not the primary objective of the project/funds. Merit based and targeting gender equality are mutually exclusive.

(Select one option)

Yes - please specify what the minimum requirement is or share link in box	<input type="checkbox"/>
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No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

27. Does your organisation have a minimum requirement on the number or proportion of projects that consider gender equality but not as the primary objective?

Note: We distinguish between gender equality considerations in the allocation of projects/funds as a primary objective and gender equality considerations that are not the primary objective of the project/funds. Merit based and targeting gender equality are mutually exclusive.

(Select one option)

Yes - please specify what the minimum requirement is or share link in box	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

28. Are gender equality considerations stated as an explicit exclusion or selection criterion for applicants in your organisation's call for proposals?

(Select only one option)

Yes - as part of exclusion criteria (i.e. criteria used to assess whether proposals meet the eligibility criteria)	<input type="checkbox"/>
Yes – as part of selection criteria (i.e. criteria used to score the proposals on their content, also known as the award criteria)	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

29. Does your organisation provide any requirement or guidance on gender equality for applicants in the call for proposals?

Note: this can be in the application form or as part of general information.

(Select only one option)

Yes - requirements (e.g. by publishing the gender related exclusion and/or selection criteria in the calls for proposal)	<input type="checkbox"/>	
Yes – we provide guidance	<input type="checkbox"/>	
Yes – for some but not all (ex. Calls where gender equality is the primary objective)	<input type="checkbox"/>	
No	<input type="checkbox"/>	Skip to Q31
Don't know	<input type="checkbox"/>	Skip to Q31

30. If Yes, please specify or paste the weblink, or upload documentation at end of survey.

Text box

31. Does your organisation score applications based on gender or equality scoring criteria?

(Select only one option)

Yes – the criteria are specific to gender equality	<input type="checkbox"/>	
Yes – the criteria cover equality/diversity more generally (inc. race, disability, gender etc).	<input type="checkbox"/>	
No	<input type="checkbox"/>	Skip to Q33
Don't know	<input type="checkbox"/>	Skip to Q33

32. What are the scoring criteria related to gender equality?*(Tick all that apply)*

The extent to which the project delivery team is gender balanced	<input type="checkbox"/>
The proposal incorporates a gender sensitive approach in its design	<input type="checkbox"/>
There is clarity on how gender equality will be mainstreamed	<input type="checkbox"/>
The proposal demonstrates an understanding of gender equality issues within context	<input type="checkbox"/>
The extent to which improved gender equality is a key objective of the project	<input type="checkbox"/>
The extent to which gender is monitored and reported on an ongoing or periodic basis	<input type="checkbox"/>
Equality (human rights, inclusion, gender) issues are considered in the proposal	<input type="checkbox"/>
Other: (Please specify in box provided)	<input type="checkbox"/>

33. Does your organisation carry out any other means of considering gender equality in the selection of proposals?

Yes - please specify in box provided or upload	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

34. If your organisation has a gender or equality individual (or team) are they involved in:

Note: If your organisation does not have a gender or equality individual (or team) please select not applicable

(Select all that apply)

	Yes	No	Don't know
The design of calls for proposals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The selection of projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 4: Monitoring and reporting on gender equality

This section looks at monitoring and reporting on gender equality. We are interested in the existence of processes at different levels (i.e. at the Fund level, the award holder level, projects etc). This information will help us understand if or how partners are required to report at the Fund level, and if or how partners ask award holders/partners (in country or downstream) to report on gender equality.

Monitoring and reporting on gender equality at the Fund level

35. Are you required to report on gender equality in ODA funds (i.e. the Newton Fund and / or the GCRF)? This question applies to fund level reporting.

(Select only one)

Yes	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

36. Would your organisation like to receive guidance from BEIS on how to monitor gender equality in ODA funds (i.e. the Newton Fund and / or the GCRF)? This question applies to fund level reporting.

(Select only one)

Yes – please detail in text box what kind of guidance	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

Monitoring and reporting for award holders

Note: This section is aimed at understanding more about if and how your organisation liaises with award holders to monitor activities and the reasons for this.

37. Does your organisation require award holders to monitor data on gender equality during the project cycle?

Note: Where award holders are individuals, monitoring could include a requirement for the recipient to detail how they have addressed gender equality considerations in the activities they are undertaking for the award.

(Select only one)

Yes	<input type="checkbox"/>	Skip to Q39
Not currently	<input type="checkbox"/>	
Not applicable	<input type="checkbox"/>	
Don't know	<input type="checkbox"/>	

38. What are the reasons your organisation does not currently require award holders to monitor data on gender equality? Please detail any the barriers/challenges.

Text Box:

39. Is gender equality part of a monitoring and evaluation framework provided to all award holders?

(Select only one)

Yes	<input type="checkbox"/>	
No	<input type="checkbox"/>	Skip to Q44
We don't provide a monitoring and evaluation framework to award holders	<input type="checkbox"/>	Skip to Q44
Don't know	<input type="checkbox"/>	Skip to Q44

40. If Yes, please briefly detail the reporting requirements/indicators for gender equality or provide a weblink. Alternatively, please upload any documentation at the end of survey.

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41. Who develops award holders monitoring requirements/indicators for each project?

(Select only one)

This is developed internally (i.e. by my organisation)	<input type="checkbox"/>
This is developed by the award holder	<input type="checkbox"/>
Other: (please specify in box provided)	<input type="checkbox"/>

42. How often are award holders required to report to your organisation on gender equality data?

(Select only one)

Monthly	<input type="checkbox"/>
Quarterly	<input type="checkbox"/>
Bi-annually	<input type="checkbox"/>
Annually	<input type="checkbox"/>
Less than once a year	<input type="checkbox"/>
Other (please specify in box provided)	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

43. Does your organisation provide guidance to award holders on how to collect and analyse gender equality data?

(Select only one)

Yes - please detail or provide a weblink to the guidance or upload a document at the end of survey	<input type="checkbox"/>
No	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

Section 5: Improving approaches to gender equality in the Newton Fund and the GCRF

This section asks for your opinion of your organisation's capacity to address gender equality approaches and what might be needed to improve this capacity going forwards. It also asks if your organisation requires further guidance and what BEIS could do to assist. Finally, it provides space for any further context or supporting information to be shared. This information will help us understand if (or how) organisations require more guidance.

44. How would you describe your organisation's capacity to adhere to gender equality approaches?

(Select only one option)

Very Strong	<input type="checkbox"/>
Strong	<input type="checkbox"/>

Fair	<input type="checkbox"/>
Poor	<input type="checkbox"/>
Very Poor	<input type="checkbox"/>

45. How can your organisation's approach or capacity to ensure gender equality be improved?

(Select all that apply)

Formally adopt a policy, strategy or commitment	<input type="checkbox"/>
Develop implementation guidelines	<input type="checkbox"/>
Set up of a dedicated team or designated individual to lead approach	<input type="checkbox"/>
It does not need to be improved	<input type="checkbox"/>
Don't know	<input type="checkbox"/>
Other - please specify in box	<input type="checkbox"/>

46. Do you, or your organisation, have any other suggestions to improve the approach to gender equality in The Newton Fund or GCRF?

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47. Please attach or upload any relevant documentation on your organisation's approach to gender equality that you can share with us – here:

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Annex 6: List of consultations/survey responses

Workstream 1: Key Informant Interviews	
Section	Organisation
Global Science & Innovation	Department for Business, Energy and Industrial Strategy
Science, Technology & Innovation Analysis Team	Department for Business, Energy and Industrial Strategy
ODA Research and Innovation	Department for Business, Energy and Industrial Strategy
Science, Technology & Innovation Analysis Team	Department for Business, Energy and Industrial Strategy
ODA Research Management Team	Department for Business, Energy and Industrial Strategy
ODA Research Management Team	Department for Business, Energy and Industrial Strategy
Workstream 1: Online Survey Responses	
British Council	UK Met Office
Academy of Medical Sciences	The Royal Society
Royal Academy of Engineering	The British Academy
UK Space Agency	Higher Education Funding Council Wales
Scottish Funding Council	UK Research and Innovation <ul style="list-style-type: none"> - Arts and Humanities Research Council - Biotechnology and Biological Sciences Research Council

Review of Approaches to Gender Equality

	<ul style="list-style-type: none"> - Engineering and Physical Sciences Research Council - Medical Research Council - Natural Environment Research Council - Research England - Science and Technology Facilities Council
Workstream 2: Key Informant Interviews	
ESRC-DFID Joint Fund for Poverty Alleviation Research	
IZA/DFID Gender, Growth and Labor Markets in Low Income Countries Programme (G ² LM LIC).	
UK Prosperity Fund	
Conflict, Stability and Security Fund	
USAID Partnerships for Enhanced Engagement in Research	

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Weblinks to sampled funds		
Organisation	Fund	Link
UK FCO	Conflict, Security and Stability Fund (CSSF)	https://www.gov.uk/government/organisations/conflict-stability-and-security-fund/about
UK DFID/IZA	Gender, Growth and Labour Markets in Low Income Countries Programme (G2LM LIC)	https://g2lm-lic.iza.org/

UK DFID/ESRC	Joint Action on Poverty Alleviation	https://esrc.ukri.org/research/international-research/international-development/esrc-dfid-joint-fund-for-poverty-alleviation-research/
UK Cross HMG	Prosperity Fund	https://www.gov.uk/government/publications/cross-government-prosperity-fund-programme
USAID	Partnerships for Enhanced Engagement in Research (PEER)	https://www.usaid.gov/what-we-do/GlobalDevLab/international-research-science-programs/peer

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