Department for
Business, Energy
& Industrial Strategy

GCRF Appendices

working in partnership with

Contents

Annex A: Interview protocols

Scoping interview protocol (management review questions)[1]

What do you want to achieve with your GCRF funding?

    a.   What is your strategy for achieving this?

    b.   How is GCRF different from other parts of your portfolio?

How is your allocation of funding from BEIS determined?

    a.   How do you decide how to share it out between programmes?

What relationships with other DPs/BEIS/UKRI centrally?

    a.   How are these facilitated?

What relationships do you have with those you fund?

    a.   How do you communicate with your award holders?

How do you manage relationships with actors in global south?

What are your processes for monitoring and evaluation?

    a.   How do they support learning?

---

[1] Note additional questions were also included relevant to the other modules in these interviews.

BEIS interview protocol

Team

1. Please could you tell me a bit about your role at BEIS? What are your responsibilities?

2. Which other BEIS groups and personnel do you interact with most? What are their roles? How is it coordinated between you?

Strategy

3. How is strategy developed at BEIS level?

   Prompt: what do you see as the roles of:
   Portfolio, Operations and Management Board (POMB)?
   Official Development Assistance (ODA) Research & Innovation Ministerial Board?
   ODA Officials Group/GCRF Fund Management Team?
   Strategic Advisory Group?

4. What are the strategic goals of the GCRF?

5. How does BEIS ensure that the research supported by DPs is aligned with these strategic goals?

6. Do you face challenges in ensuring alignment between the strategic goals of the GCRF and the research supported by DPs?

7. How effective do you feel the devolved structure of the GCRF is?

8. Would you say your strategy is specifically tailored to deliver good value for money (VfM)? If so, how?

   Prompt: do you have specific criteria of efficiency when developing strategy, do you undertake cost-benefit analyses for different options?

Allocations

Individual allocations

9. The largest share of GCRF funding is given to delivery partners (DPs) individually as annual allocations. How are these individual allocations determined?

   Prompt: how are decisions made about the amount of funding a DP will get in its annual allocation?

10. How effective do you think this approach is?

11. How fair do you think this approach is?

12. How is the relevance of these allocations to GCRF's strategic goals ensured?

13. Would you say the process of determining annual allocations is well set up to support good value for money? Could anything be improved?

14. To what extent are annual allocation decisions informed by value for money?

Collective funds

15. Most of the remaining GCRF funding is placed in two 'Collective Funds' – one for the Research Councils and one for the academies – which then accept joint bids, either from all the Research Councils or all the academies. Could you talk me through the process through which joint bids are evaluated?

    Prompts: could you please clarify the role of the Unallocated Funds Assessment Panel and how it reviews joint bids?

16. Do you think this is an effective, fair and relevant approach?

17. Would you say the process of assessing joint bids is well set up to support good value for money? Could anything be improved?

18. To what extent are joint bid decisions informed by value for money?

Funding councils

19. The four UK Higher Education Funding Councils for England, Scotland, Wales and Northern Ireland also receive GCRF funding. What is the process for allocating the funding to the councils, and determining the distribution?

20. Do you think this is an effective, fair and relevant approach?

21. Would you say the process of determining funding council allocations is well set up to support good value for money? Could anything be improved?

22. To what extent are these council allocation decisions informed by value for money?

Relationship with UKRI

23. It seems that a lot of responsibilities are shared between BEIS and UKRI. How well does the relationship work?

Monitoring, evaluation and learning (MEL)

24. What are the key mechanisms in place for M&E of GCRF at the BEIS level?

    Prompt: Could you please clarify the purpose and function of:
    BEIS tracker
    KPIs
    ODART
    Annual reporting

25. What are the key purposes of M&E in GCRF?

    a. How is the information used to monitor, scrutinise and report upon funding?

    b. To what extent does M&E evidence feed into learning and inform future programme design?

26. What are the main challenges facing M&E of GCRF at the BEIS level?

27. How is communication with DPs managed for the purposes of MEL? How effective are these relationships? (Ad hoc requests)

28. What has been achieved through MEL? What have you learned and what have you changed? Prompt: How do you use the information you capture? How and how well do M&E processes support learning/future programme design?

29. What other mechanisms are in place to promote communication and learning across the Fund?

General reflections

30. How would you describe the role of BEIS within the GCRF? What added value do you bring?

31. What are your biggest challenges?

32. What would you like to do better?

33. Is there anything else that you would like to add?

UKRI central interview protocol

Team

1. Please could you tell me a bit more about your role at UKRI? What are your responsibilities?

2. Who else is involved in overseeing GCRF at UKRI? What are their roles? How is it coordinated between you?

Structure and strategy

3. How do you see UKRI's role in GCRF?

4. Does UKRI have a strategy for achieving this? Are there specific practices or policies that help achieve this?

5. How do you see UKRI's role in relation to BEIS and DPs?

6. Is UKRI's strategy is specifically tailored to deliver good VfM?

   a. If so, how?

7. Do you have specific criteria of efficiency when developing strategy?

8. How do are joint calls developed? Can you talk me through an example?

9. Do you think the process is well set up to support good value for money?

Specific topics (include/delete as relevant)

Challenge leaders

10. In your view, what is the role of Challenge Leaders?

11. How much autonomy/authority do Challenge Leaders have? Can you give me some examples?

12. Is there a selection process to become a Challenge Leader and what skills are particularly valued in a Challenge Leader?

13. Is there scrutiny of decisions made by Challenge Leaders?

14. Do Challenge Leaders report to anyone?

15. How do Challenge Leaders manage their dual management structure/are there any challenges associated with it?

16. To what extent do Challenge Leaders enhance strategic capability?

17. To what extent is there collaboration between Challenge Leaders? How often do they all meet?

18. Are there structures in place to encourage information sharing?

19. Do you know if other management mechanisms besides Challenge Leaders were considered to enhance the strategic capability of GCRF?

20. What is the relationship between the GCRF Strategic Advisory Group and the Challenge Leaders? How often do they meet?

21. How were the Challenge Areas (Global Health, Food Systems, Conflict, Resilience, Education, and Sustainable Cities) chosen?

22. Can you tell me a bit more about the relationship between Challenge Leaders and Challenge Managers?

UKRI International Development Peer Review College

23. Why was this set up in early 2018?

24. What impact has the College had?

25. How are members for the Peer Review College selected?

    a. What criteria are valued in members and how is this assessed?

Monitoring and evaluation

26. How does M&E happen in UKRI?

    a. What are your processes?

27. What is the time frame for this?

28. How do you capture M&E information and what impact does this information have?

29. Do you specifically look at value for money?

30. How is the use of funding monitored, scrutinised and reported upon?

    a. How do you feed back to BEIS? Is it useful?

31. What are the main challenges facing M&E of GCRF at the UKRI level?

Reflections

32. How would you describe the role of UKRI within the GCRF? What added value do you bring?

33. What do you think UKRI does well?

34. What are your biggest challenges?

35. What would you like to do better?

36. Is there anything else you'd like to add?

Delivery partner interview protocol

Team

1. Please could you tell me a bit about your role at [DP]? What are your responsibilities?

2. Who else is involved in overseeing GCRF at X? What are their roles? How is it coordinated between you?

Strategy

3. What do you want to achieve with your GCRF funding?

4. What is your strategy for achieving this?

5. Do you have a theory of change (ToC)?

6. How does the research you support align with these priorities? How do you check that?

7. Do you have any specific policies or practices in place to help you achieve these goals?

8. Would you say your strategy is specifically tailored to deliver good VfM? If so, how?

   Prompt: do you have specific criteria of efficiency when developing strategy, do you undertake cost-benefit analyses for different options?

9. How is GCRF different from other parts of the X portfolio?

Planning

10. How is your allocation of funding from BEIS determined?

11. How do you decide how to share it out between programmes?

12. How do joint calls come about? Can you talk me through an example?

Relationships

13. What relationships with other DPs/BEIS/UKRI centrally? How are these facilitated?

14. What relationships do you have with those you fund? How do you communicate with your award holders?

15. How do you manage relationships with actors in Global South?

Funding processes

16. What does your funding process look like?

    a. How do you decide what to fund, how do you get bids in and how do you evaluate them?

    b.   What is the process, what are the assessment criteria?

    c.   Do you think the process is well set up to support good value for money?

    d.   Could anything be improved?

17. How do you review this process?

    a.   Do you think it is fair and proportionate?

    b.   How do you know?

18. How do you set priorities and who is involved?

19. How do you incorporate value for money into your funding decisions and processes?

Monitoring and evaluation

20. What are the key purposes of M&E in GCRF at X?

21. What are your processes for monitoring and evaluation?

    a.   At the award level?

    b.   At the programme level?

22. What are the time lines for these? (e.g. how frequently does reporting happen, does it continue beyond the lifetime of the award?)

23. How do you use the information you capture?

24. How and how well do M&E processes support learning?

    a.   At a project or programme level

    b.   At a DP level

    c.   Across GCRF

25. To what extent does M&E evidence inform future programme design?

26. Do you specifically address the question of VfM in your M&E?

27. How is the use of funding monitored, scrutinised and reported upon?

28. What do you have to report to BEIS and how does that work? Is it useful?

Reflections

29. What things do you think you do well?

30. What are your biggest challenges?

31. What is the one thing you would like to change or improve?

Programme interview protocol

Team

1. Please could you tell me a bit about your role at X. What are your responsibilities?

2. *Prompt: ask about wider background and what they bring to the role*

3. Who else is involved in delivering the aims of GCRF through programme at X? What are their roles? How is it coordinated between you?

Strategy

4. What is the aim of your programme?

5. What is your strategy for achieving this?

6. Do you have a theory of change?

    a. If yes, could you share it with us after this call?

7. How does the research you support align with these priorities? How do you check that?

8. Do you have any specific policies or practices in place to help you achieve these goals?

9. Would you say your strategy is specifically tailored to deliver good VfM? If so, how?

    Prompt: do you have specific criteria of efficiency when developing strategy, do you undertake cost-benefit analyses for different options?

10. How is GCRF different from other parts of your organisation's portfolio?

Planning

11. How was the topic of the programme determined?

12. *Prompt: and if appropriate the calls within it?*

13. How was the value of the programmes decided?

Relationships

14. What interactions do you have with others working for the GCRF:

    a. With other programmes within your DP?

    b. With other DPs delivering the GCRF?
    Note: we want to understand how this works for cross-DP programmes as well as those delivered by one DP.

    c. BEIS/UKRI centrally?

15. How are these relationships facilitated?

16. What relationships do you have with those you fund?

    Prompt: How do you communicate with your award holders?

17. How do you manage relationships with actors in global south?

Funding processes

18. What does your funding process look like?

    a.   How do you decide what to fund?

    b.   How do you get bids in?

    c.   How do you evaluate them?

        i.   Who is involved and what are the assessment criteria?

19. How do you incorporate value for money into your funding decisions and processes?

20. What works well about the programme?

21. Could anything be improved?

22. How do you review this process?

    a.   Do you think it is fair and proportionate?

        i.   How do you assess this?

Monitoring and evaluation

23. What are your processes for monitoring and evaluation?

    a.   At the award level?

    b.   At the programme level?

24. What information do you capture for M&E?

    a.   Do you specifically address the question of VfM in your M&E?

25. What are the time lines for reporting these metrics?

    a.   How frequently does reporting happen?

    b.   Does it continue beyond the lifetime of the award?

26. What are the key purposes of M&E in [name of programme]?

    a.   How do you use the information you capture?

    b.   To what extent does M&E evidence

        i.   Feed into learning at a project level

        ii.   Inform future programme design?

27. Who do you have to provide this information to?

    a.   What are the benefits of this to you?

    b.   How is the use of funding monitored, scrutinised and reported upon?

Reflections

28. What things do you think you do well?

29. What are your biggest challenges?

30. What is the one thing you would like to change or improve?

Comparators interview protocol

Introduction

31. Please could you tell me a bit about [Name of fund]? What is your role in its delivery?

   Prompt: What are its aims and why was it set up?

Strategy

How was the strategy behind the fund developed?

   Prompt: Did they use a theory of change and if so or not why? What criteria were considered – for example VfM?

Has the strategy stayed the same or has it adapted? How common is the strategy across all of the Fund, or do different aspects of the Fund have different aims and approaches?

Structure

How is the Fund organised? Who is involved in managing and delivering the Fund and what are their roles and relationships?

How do different parts of the Fund operate? To what extent is Fund management centralised or decentralised? Do you share common processes or is there flexibility for different ways of working?

How do you ensure coherence and coordination across the Fund?

Relationships

How is the allocation across different parts of the Fund determined? Who is involved in the decision making?

   Prompt: programme employees, academics etc.

How do you maintain relationships and communicate across and within the different levels in the Fund? What works well and where are the challenges?

How do you share learning across the Fund?

What relationships do you have with those you fund/award holders? How do you communicate with them?

Funding

How do you evaluate funding proposals received by the Fund?

a.   Who is involved in the decisions and what are the assessment criteria?

b.   How do you incorporate value for money into your funding decisions and processes?

Learning and improving

How do you use, and learn from, the information you capture through monitoring and evaluation?

> *Prompt: How does monitoring feed into learning and future planning/strategy across the Fund?*

How do you share this with stakeholders?

Reflections

What things do you think you do well?

What has been the biggest challenges in delivering this Fund? OR What is the one thing you would like to change or improve?

Is there anything else you think we should consider in our evaluation?

Annex B: Management review: Module Design and Approach Paper

Introduction and revisions

This annex sets out the module design as specified in the Inception Report delivered to BEIS in September 2020. The work conducted in the management review module has largely followed the design specified here. However, there have been some minor modifications in the approach taken based on the experience of implementing the approach and through feedback received, as follows.

1. **Use of the '7-S' framework:** We note below that the 7-S framework will be used in our work in the management review module. Some of the feedback we received in relation to this module design note suggested that this may be challenging to apply because of the nature of the Fund. As management does not take place entirely within one organisation but is dispersed across BEIS, UKRI and 14 delivery partners, the '7-S' cannot be assessed at the fund level – as they will vary by organisation. This indeed proved to be the case, so we have used the 7-S framework to inform our thinking and to provide a different perspective on the evidence collected – particularly in internal workshops – rather than as an underpinning analytical frame for the module as a whole. Instead, analysis is primarily structured around the four aspects of Strategy, Processes, MEL and VfM, as illustrated in the structure of the report.

2. **Planning for VfM in stage 1b:** We have focused in this module on providing a broad management level review across the 'four Es' as specified. We have also spent some time consulting with BEIS and others and thinking through a plan for VfM for stage 1b. However, we have not yet selected specific case studies for analysis in stage 1b. This will form part of the initial planning and scoping for stage 1b and will draw on other aspects of the evaluation – for example, the other modules in stage 1a and the forthcoming process evaluations.

3. **Sample of DPs:** We specify in the note below that we will select one research council, one of the academies, one funding council, Innovate UK and UKSA. Instead, we selected two research councils and did not include Innovate UK. However, we did analyse Innovate UK's 'Demonstrate Impact' programme as part of our programme-level analysis. This alteration was intended to increase the diversity of our sample, and the final sample of DPs, programmes and comparator funds was agreed with BEIS and the DPs prior to conducting our analysis.

4. **Internal workshops:** Due to the timescale of the evaluation, we had to work with a relatively large team of evaluators to deliver this module. In order to ensure sharing of learning and observations, and to inform and guide our analysis, we conducted three internal workshops on different aspects of the analysis. The first covered insights on strategy, process and MEL. The second focused on VfM. The final workshop looked at lessons from the comparator funds. These workshops provided an opportunity for members of the team to share findings from the different analyses conducted at the

programme, DP and comparator level, reflecting on shared observations, differences, and considering these in the light of wider existing knowledge and across the '7-S' framework. The output of each of these workshops was an initial set of themes which informed our further analysis and ultimately, when refined, formed the set of key findings included in this report.

Overview

In common with all modules in this evaluation, this module is designed to have synergies with all other modules. It is particularly designed to support and draw upon considerations of fairness, relevance, equity and value for money (VfM) and will demonstrate a strong interest in identifying improvements that might be made in real time. Specifically, this module will examine the economy, efficiency, effectiveness and equity (fairness and inclusivity) of the management and governance arrangements for the Global Challenges Research Fund (GCRF). Good management will help THE Department for Business, Energy and Industrial Strategy (BEIS) to work with others to make the best use of resources in delivering the Fund outcomes. We will describe existing management procedures and arrangements, assess them against performance criteria reflecting good practice, and identify improvements. We discuss management of the Fund in relation to: policies, strategy, planning, reporting, decision making, governance, administration, risk management, resourcing, communication and information flows, learning and adaption.

In order to provide focus and to generate practical insights, the management review will primarily concentrate on the management of resources at the Fund level, as expressed in the UK Strategy for the Global Challenges Research Fund (2017),[2] to:

- promote challenge-led disciplinary and interdisciplinary research, including the participation of researchers who may not previously have considered the applicability of their work to development issues;

- strengthen capacity for research, innovation and knowledge exchange in the UK and developing countries through partnership with excellent UK research and researchers;

- provide an agile response to emergencies where there is an urgent research need.

---

[2]
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/623825/global-challenges-research-fund-gcrf-strategy.pdf

This proposed approach contrasts with the original proposal in the following ways:

Proposed plan	Revised plan	Rationale
Complete module by Dec 2020	Extend timeline for module and deliver final report by Jan 2021	Allow more time and flexibility for consultation particularly with DPs given limitations in availability and pressures related to Covid-19
Interviews and desk research for strategy review and process mapping conducted in parallel	Desk research frontloaded with interviews to follow	Enables interviews to be more focused and targeted, reduces burden on stakeholders.
Planned c.60 interviews with BEIS, HMG and DPs	Increase to c.75 interviews	Increase number of interviews to incorporate more analysis at the programme level (see below).
Analysis primarily at level 'A' and 'B' (Fund and DP level), with award level analysis for a sample of awards.	More focus on analysis at level 'C' (programme level)	Management at the programme level is an important aspect of the delivery of GCRF, and there are various different models (e.g. individual DP-led programmes or cross-DP programmes, scale and scope of programmes). It is important to understand how management operates at this level. Award level analysis is less effective in assessment management at this level. We plan to include award level analysis for VfM specifically from phase 1b onwards, and focus at a broader level at this stage.
Six case studies focused on international R4D funders	Three case studies from international R4D funders, three case studies covering other Funds run by the UK government	The challenges of the particular operating environment within the UK government context are just as important for management considerations of the challenges of operating in the R4D space. This split of comparators allows us to draw in learning on both aspects of GCRF management.

Evaluation questions

The key evaluation question relevant to this module is: 'Is GCRF relevant, coherent, well targeted, fair, gender-sensitive, socially inclusive and well managed?' This module will have a specific focus on the following element of this question: 'is GCRF is well managed?' However, potential synergies with other modules (e.g. fairness and VFM) will be built into the review from the start and, indeed, conceptually 'good management' includes both being fair and delivering VFM.

Table 1 presents the evaluation questions and sub-questions for this module. Questions have been revised as indicated and the implications for this module identified.

Table 1: Original and revised evaluation questions relevant to this module

Original question	Suggested revisions	Implication for management review
MEQ1: Is GCRF relevant, fair, well targeted, socially inclusive and well managed?	MEQ1: Is GCRF relevant, coherent, fair, well - targeted, fair, gender-sensitive, socially - inclusive and well - managed?	Focus remains on the fund being well managed
1.1 To what extent has GCRF developed an internally coherent and consistent suite of programmes to address the global challenges?	1.1 To what extent has GCRF developed an internally coherent and consistent suite of programmes to address the global challenges? ?	*No change*
1.7 How well is the selection, implementation and oversight of awards and programmes being managed?	1.7 How well is the selection, implementation and oversight of awards and programmes being managed?	*No change*
1.8 How can the relevance, fairness, targeting and management of GCRF be improved?	1.8 How can the relevance, coherence, fairness, targeting, gender-sensitivity, social inclusion and management of GCRF be improved?	In the management review, this will focus specifically on how the management of the GCRF can be improved, but with a recognition that this is closely tied to the ability of the management structure and systems in place to deliver against the other aspects (e.g. relevance, fairness, targeting).

Why this module is important

The goal of GCRF is to 'support cutting-edge research that addresses the challenges faced by developing countries.'[3] The foundation evaluation started to explore this issue but was largely focused on initial commissioning and distribution of funds and it is recognised that the management of the fund has evolved since then. This management review will seek to understand this evolution of approach and, now that the management of the fund has had the opportunity to mature, understand how it supports and drives the programme management, strategic alignment and coordination across the delivery partners. This is a key module because it provides an opportunity to take stock of how the management of GCRF has evolved, how these compare with what might be plausibly better, and make recommendations for future improvements.

Conceptual framework

In terms of the ToC, this module focuses on the 'initial research and innovation activities' aspect, looking at what it is that the GCRF does, how it does it, and whether that is likely to facilitate the desired outcomes in terms of results and VfM. This also includes one of the feedback loops 'learning feeds back in to commissioning', capturing the extent to which learning feeds effectively into those initial research and innovation activities. To support this analysis we draw on a number of useful underpinning concepts and frameworks that allow us to structure our work, as follows.
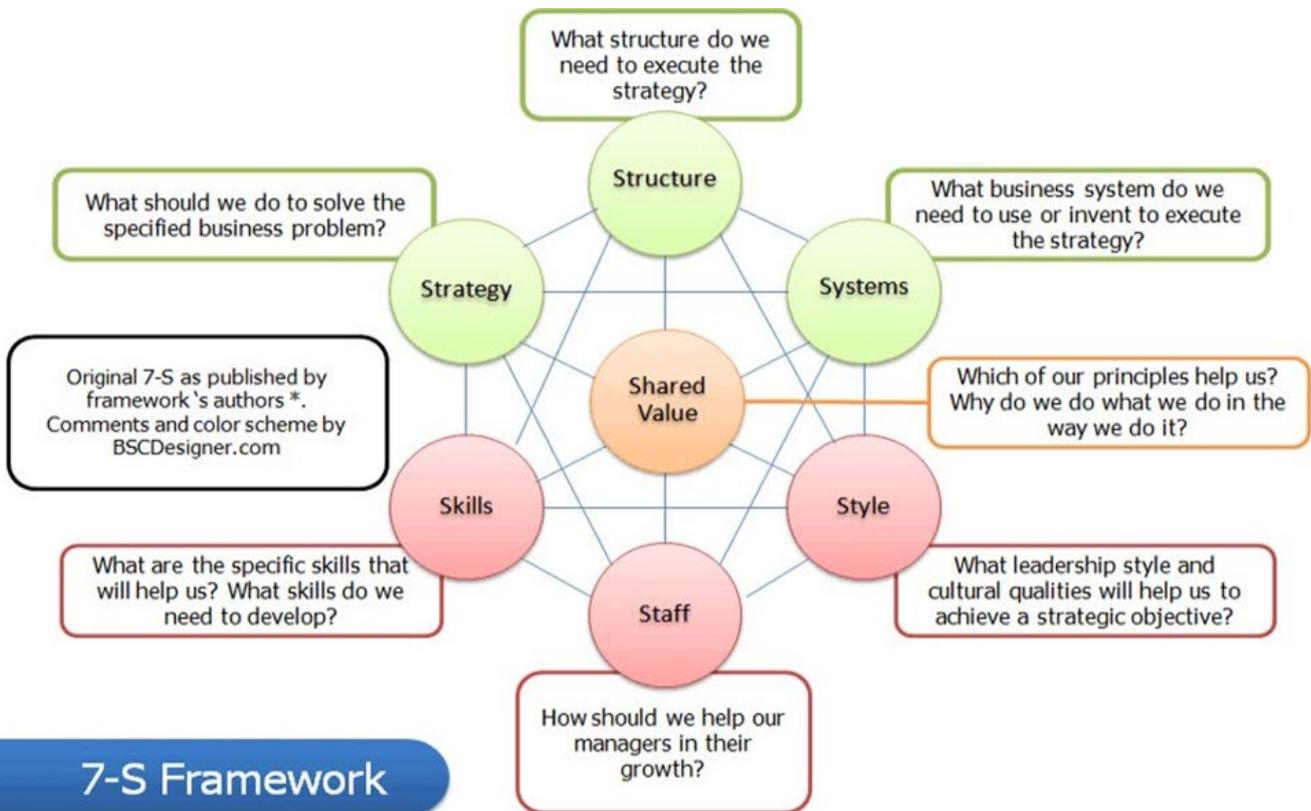
1. A first key underlying principle is the concept that 'good management' cannot be abstracted from the thing being managed. Managing complex and adaptive systems requires a different approach than managing linear and simple delivery chains. We will seek to understand the complexity and tensions inherent in managing a fund that is academically excellent (and meets the Haldane Principle), interdisciplinary, problem focused, works across geographical levels and time scales, and sits well with the strategic aims and accountabilities of the GCRF while synergising with other departmental aims across Whitehall. We will recognise the varying skill sets, information and managerial capacities required to navigate these different aspects.

However, providing rigour and structure to such a review requires more than 'admiring the problem'. We will draw upon the McKinsey's 7S framework[4], a well-developed model for assessing good management, to support our analysis and inform, for example, our interview approach. This is summarised in the figure below. This will allow us to consider not just the formalised processes, but also go beyond this to capture 'softer' aspects of management such as culture and skills which we recognise as core to effective management and delivery We note here the alignment with the gender, poverty and social inclusion module which also draws on the 7S framework. We plan to coordinate closely and consider the extent to which aspects

---

[3] https://www.ukri.org/research/global-challenges-research-fund/
[4] https://www.mckinsey.com/business-functions/strategy-and-corporate-finance/our-insights/enduring-ideas-the-7-s-framework

supporting effective inclusivity and wider effective management are aligned or in tension, which may provide some interesting and useful insights.
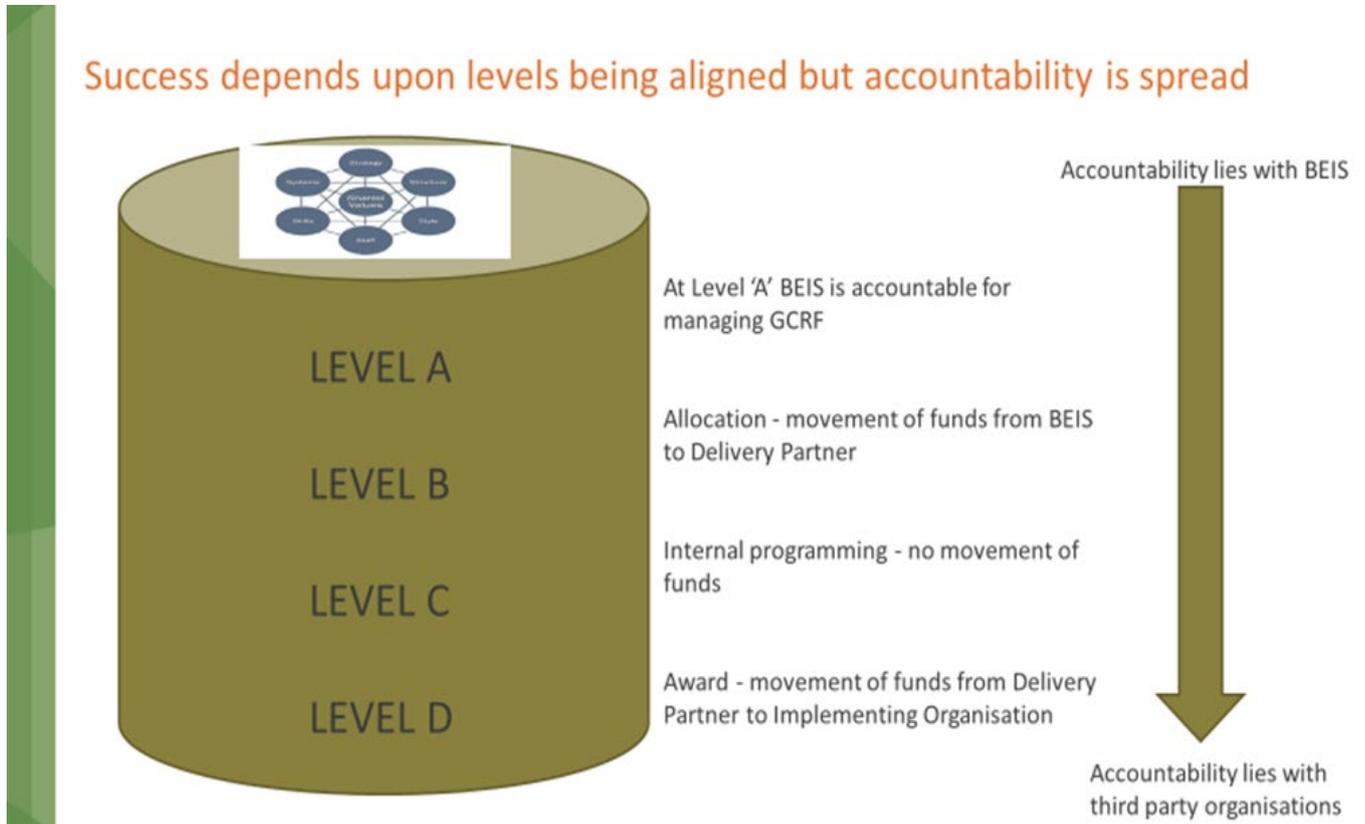
2. We also recognise that, conceptually, the fund operates at different levels and our review will take account of this. In the figure below we outline the four levels as described by BEIS. This review will focus on how well levels A, B and C are managed, and how well this supports good outcomes at level D. For clarity, we will not directly review management at level D in this module.

Success depends upon levels being aligned but accountability is spread

Accountability lies with BEIS

At Level 'A' BEIS is accountable for managing GCRF

Allocation - movement of funds from BEIS to Delivery Partner

Internal programming - no movement of funds

Award - movement of funds from Delivery Partner to Implementing Organisation

Accountability lies with third party organisations

Module scope

Using the conceptualisation described in section 4, this review will consider how well the fund is managed, recognising that there is a triangulation of requirements: meeting the strategic expectations and requirements of the fund; supporting academic independence and excellence; meeting official development assistance (ODA) criteria. These often reinforce each other, but not always. Drawing on evidence from other modules, for example, we might seek to understand how gender as a GCRF and ODA priority comes to be represented (or not) in the research and networking achieved by academic researchers. What formal and informal mechanisms support this, and how this is manifest in management practices. The management review will be focused on management at levels A B and C as shown in table 2.

Table 2: Analysis at different levels of aggregation A-D

Level of aggregation	Level A: BEIS Fund management	Level B: DP level	Level C: Programme level	Level D: Award level
Coverage in this module	Analysis of policies and management process for BEIS and UKRI	Detailed analysis and process mapping for a sample of 5 DPs. We will include one RCs, one Academy, one Funding Council, Innovate UK and UKSA.	Detailed analysis for a sample of 8 programmes, including 2-3 cross-DP programmes (e.g. Resilient Futures), and 2 of the flagship programmes (e.g. GROW) as well as some smaller more niche programmes. Sample intended to span the scope of the portfolio - capacity building, networking, research awards, innovation etc.	No formal analysis at the award level at this stage; selection of 200 case studies for VfM analysis in stage 1b.

Methodology

Within the conceptual approach mapped out above, we will take the following steps:

- **Step 1 Initial strategy review:** This will be based on document review and 5-6 high-level scoping interviews and will be used to structure and prioritise the rest of the module. This step will detail a picture of GCRF's management, governance structures and processes and the extent to which they are oriented towards being challenge led, agile, and capabilities strengthening. A document review will assess the GCRF strategy. We will then select key informants to conduct short high-level scoping interviews. At the end of this step, we will refine our hypotheses and prioritise subsequent evidence collection. This enables us to efficiently compile evidence and identify areas where deeper exploration is required.

- **Step 2 Process mapping:** This will consist of desk review initial, with the emerging approach then tested in interviews to agree process maps of major policy and management processes, identifying responsibilities and accountabilities across the GCRF at the fund and DP level. Processes to map include coordinating calls, building synergies, managing knowledge and mobilising knowledge. This will extend the desk review and interviews to construct process maps of major policy and management processes, identifying responsibilities and accountabilities. This will cover decision making around: (1) the GCRF strategy and its evolution; (2) programming in GCRF, including cross-DP programming and joint calls; (3) arrangements for M&E and use of evidence; (4) organisational learning; and (5) publicity and communications. This step will also illustrate how management is

operationalised in practice (e.g. 'unwritten rules' covered in the McKinsey 7S criteria on 'shared values') beyond the documented policies and procedures. This will inform the first stage of our rubrics-based approach; describing and summarising current practice. For this analysis we plan to cover the BEIS and UKRI level (level 'A') in detail; then focus our mapping on a sample of 5 DPs (level 'B'). The sample will cover one research council, one of the academies, one funding council, Innovate UK and UKSA. To inform this analysis, we will conduct 4-5 interviews at the Fund-wide level, 10-12 interviews at the UKRI level (including the Challenge leaders), and 2-5 interviews for each of the 5 DPs selected.

- Initial VFM: Value for Money (VfM) analysis will primarily be conducted in phase 1b. However, we conduct an initial review and lay the groundwork for this later work in this phase of the evaluation. This initial VFM assessment will focus on the process, economy and efficiency aspects of DFID 4Es approach, and refine and develop the VFM framework and its rubrics for use in later stages of the evaluation. Two key questions of focus will be: (i) What information is collected that can inform VFM decisions throughout the GCRF delivery chain, who collects it, does it provide sufficient evidence to assess VFM?   ? (ii) At each stage of the delivery chain, how well is VFM being managed? Who is responsible for using the information to make decisions? How has this information affected investment decisions to date? What positive impact can we see this having on the value for money of the impacts achieved? In later stages of the evaluation (stage 1b onwards), VfM will also start to look at a third aspect (iii) What is known about the (potential) impacts of GCRF (pragmatically focusing on big ticket items) and what is known about costs? Can an evidence-based judgement be made? It will also be important to integrate our VfM work effectively with the BEIS framework for VfM and will discuss this further over the course of phase 1a to ensure we effectively align and integrate our approach as we conduct this initial assessment and refine our design for phase 1b. .

- **Programme level analysis:** During the process mapping and initial VFM activities we will identify a sample of programmes across the focus DPs to analyse in more detail. This analysis at the programme level (level 'C') will look at a sample of 8 programmes in detail, including 2-3 cross-DP programmes (e.g. Resilient Futures), and 2 of the flagship programmes (e.g. GROW) as well as some smaller more niche programmes. The sample is also intended to span the scope of funding types within the portfolio (e.g. capacity building, networking, research awards). For each of these selected programmes, we will look at processes and strategy in more detail, exploring how the programmes are managed and how effectively this delivers against their aims and the aims of the GCRF. This will consist of desk research, portfolio analysis for those programmes and 4-5 interviews with programme oversight and leadership, funding review panels, and other key stakeholders related to those programmes. The analysis will also take into account coherence and fit within the wider portfolio at the DP and Fund level. We will also use this analysis to identify approx. 150-200 case studies at the award level (level 'D') to analyse in more detail in stage 1b as part of the VfM work.

- **Comparators:** These will be based on desk research and (later) interviews with up to six comparators to assess management process in the GCRF and draw out learning from other examples. The primary focus will be on overall management but we will also look at approaches to vfm. In particular, we will focus on challenges and issues emerging from our analysis at the Fund, BEIS and DP level to see what learning can be drawn from comparator organisations to address these. We anticipate 3 of the comparators will be other international funders in research for development, since these will provide insights into the challenges of delivering a portfolio of this nature. Another 3 will be other large funds run by UK government departments, to understand the operating constraints and how to deliver effectively within these. While we will be able to create a comprehensive assessment of GCRF's governance and management, this needs to be contextualised within some understanding of what is reasonable to expect for similar large 'research for development' programmes and government-led funds. We will engage with the six comparator programmes to help assess whether the management issues identified in the process mapping are common to similar funds, are an unrealistic expectation to place on GCRF, or perhaps unique to GCRF and the UK research and innovation landscape. We will identify our comparators in discussion with BEIS and DPs and based on the specific challenges identifies in our process mapping, drawing from the 14 R4D funds (such as the Global Research Fund, ACP–EU, Norad's NORHED, the Swiss R4D, CGIAR, Germany's DAAD, IDRC etc.) for our selection of comparators in that space, and looking at comparable funds run by UK government departments for those comparators. We plan to conduct 3-4 interviews per comparator organisation.

We will compile the evidence from the strategy review, process mapping and benchmarking against the framework that we established at the start (McKinsey 7S criteria, sub-questions, hypothesis, data sources and analysis) from which we can synthesise the findings for the management review report.

Data sources

Table 3. Data sources for the management review

GCRF global documents	Other documents
• Strategy / scope documents for the portfolio, programmes, calls and Hubs. Documents that reference the challenge areas, SDGs and global priorities • BEIS tracker • Foundation stage mapping of grants to challenge areas	See Annex 1 for background texts for this review At a global, regional, national and sub-national level: • Strategy / vision / programme documents from other initiatives relevant to prioritised SDGs • Policy and planning documents, e.g. national / regional operational plans (National Development Plans, NAMAs) • Media reports that provide insights into priorities (e.g. through speeches, announcements, events)
Award-holder documents	**Interviews**
• Call documentation provided to grantees • Proposal text and pathways to impact statements • Any stakeholder analysis / contextual mapping conducted by the project • Any reporting documents • Publications and other outputs (e.g. workshop notes, policy briefs)	• 5-6 high-level scoping interviews in the initial strategy review • 5-6 interviews at the Fund-wide level • 5-6 interviews at UKRI level • 4-5 interviews for each DP selected • 5-6 interviews per comparator

Team considerations

The technical lead for this module is Professor Tom Ling. Andy Hirst will provide expert advice on the VFM aspects of this module. The module lead is Dr Susan Guthrie. This module will be delivered primarily by the RAND Europe team.

Dependencies, risks and limitations

Table 4. Dependencies, risks and limitations

Dependency, risk, limitation	Considerations / mitigations
Low/uneven engagement of GCRF researchers with evaluation team	Flexibility will be offered to GCRF researchers in terms of modes and times of engagement (e.g. offering interviews outside business hours, in particular to accommodate family constraints during Covid-19 restrictions). When reaching out to researchers, we'll stress the learning/ formative dimension of the evaluation. 'Flagship' awards will be selected based on award holders putting themselves forward. This will provide more depth to the analysis without compromising the representative nature of the sample.
Difficulties in reaching out to GCRF researchers and partners in the Global South, leading to potential bias in analysis.	We will be proactive in reaching out to Southern researchers and partners, offering a variety of modes of engagement as well as different timings (to accommodate time differences). This engagement will be led by our regional partners in the regional leaders and also tap into existing networks of Southern researchers and practitioners. The open call for crowdsourcing will stress the formative and learning nature of the evaluation.
Low/uneven quality of VFM and other administrative data.	Wherever practical we will collect cost and consequence data from published sources and routine data and complement this by drawing upon known costs in comparable activities.

Deliverables and timeline under Covid-19

- **June–September 2020:** Evidence gathering for initial stage review and process mapping (desk review, textual analysis, interviews with BEIS and DP programme staff).

- **September–November 2020:** Interviews and documentary analysis for programme level analysis and comparators.

- **December 2020–January 2021:** Analysis of evidence and write-up.

The final report for the management review will be delivered by the end of January 2021.

Documentary analysis will be brought forward where possible, interviews to be rescheduled online, and final write-up delayed by one month.

Background texts used for this design note

BEIS (2017). UK Strategy for the Global Challenges Research Fund (GCRF). BEIS, London.

BEIS Allocation of research funds (2016). https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/505308/bis-16-160-allocation-science-research-funding-2016-17-2019-20.pdf

BEIS Statement of Intent for ODA.

BEIS UK Strategy for GCRF https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/623825/global-challenges-research-fund-gcrf-strategy.pdf

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

ESRC Insights team 'GCRF: Review of Research Councils' Commissioning Process' – February 2017.

GCRF Strategic Advisory Group – Full details, including membership, can be found on the UKRI website. https://www.ukri.org/research/global-challenges-research-fund/strategic-advisory-group/

GCRF Strategic Advisory Group (2017). Criteria for GCRF Funding. UKRI, Swindon. https://www.ukri.org/files/legacy/international/global-challenges-research-fundsagcriteria-pdf/

HM Treasury and DFID (2015). UK Aid: tackling global challenges in the national interest. HMT, London.

How the fund works: https://www.gov.uk/government/publications/global-challenges-research-fund/global-challenges-research-fund-gcrf-how-the-fund-works

ICAI (2017). Global Challenges Research Fund A rapid review September 2017
https://icai.independent.gov.uk/wp-content/uploads/ICAI-GCRF-Review.pdf

ICAI (2019). Rapid review 'How UK aid learns'. https://icai.independent.gov.uk/wp-content/uploads/How-UK-aid-learns.pdf

Morgan Jones et al. (2018). Organising for excellence: An international review of good practice in organisational design and governance of research funding bodies, RAND Europe.
https://www.rand.org/pubs/research_reports/RR1711.html

Newman, K. (2014). What is the evidence on the impact of research on international development?, London: Department for International Development (DFID).

OECD/DAC newly revised evaluation criteria: https://www.oecd.org/dac/evaluation/revised-evaluation-criteria-dec-2019.pdf

Ofir, Z. Schwandt, T. Duggan, C. McLean, R. 2016. Research Quality Plus A Holistic Approach to Evaluating Research. IDRC Ottawa, Canada.

Pinnington, R. and Barnett, C. (forthcoming). Key Performance Indicators in R4D Funds: A review of donor practice. A report for BEIS.

UKRI Impact toolkit: https://esrc.ukri.org/research/impact-toolkit/

GCRF Guidance from UKRI to DPs:
https://www.ukri.org/files/legacy/international/gcrfodaguidance-pdf/

DPs also provide advice, see: https://bbsrc.ukri.org/research/international/funding/gcrf/ for example.

This publication is available from:

If you need a version of this document in a more accessible format, please email enquiries@beis.gov.uk. Please tell us what format you need. It will help us if you say what assistive technology you use.