

Annexes to Final Report

Global Challenges Research Fund Evaluation Gender Equality, Social Inclusion and Poverty Audit

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Annex 1: GESIP module design

Overview

This module combines two audits set out in the Terms of Reference (TOR): (1) the formative poverty and social inclusion audit; (2) gender audit. **We propose linking this module with the formative gender audit as there are important connections between the two, and we believe this will provide crucial efficiencies in data collection and analysis and reduce the burden on delivery partner (DPs).**

The approach to the combined gender, inclusion and poverty module will be a ‘social audit’ that will assess the extent to which poverty, inequality and other forms of social exclusion, particularly disability, are addressed in the planned outcomes and pathways to impact of GCRF programmes and other investments.

Our proposed approach will provide:

(1) a comprehensive, light touch view of how well issues of poverty, social inclusion and gender are reflected across the entire GCRF using data analysis techniques such as text analysis and natural language processing of core award documents (this will be led by our partner, Digital Science, see Box 3 and Annex 3), and

(2) an in-depth audit of the organisational layers of GCRF and a sample of awards to assess how well issues of poverty, social inclusion and gender are reflected in core policies and systems and in the objectives, design and delivery of research projects. The level of analysis for poverty and social inclusion will take a higher-level view than the audit of gender equality. The rationale for this is that audit enquiries on gender in parts of the GCRF ecosystem are pre-existing, suggesting the need to enquire at a deeper level compared to poverty and social inclusion, which are relatively under-explored (see Annex 1 for more information). As a result of the above, the overall balance of depth vs breadth in this module is skewed towards depth for the aspects focusing on gender equality, and towards breadth for the components assessing social inclusion and poverty. This proposed approach contrasts with the original proposal in the following ways:

Table 1: Overview of changes in approach to GESIP

Proposed plan	Revised plan	Rationale
Approach targeted social inclusion and poverty separately to gender equality (as per MEQ1)	The module has been compressed to into an overarching framework which collectively examines gender equality, social inclusion and poverty (GESIP)	Efficiencies in data collection and analysis and reduce the burden on DPs
Main point of reference is the gender, poverty and social inclusion audit framework (Table 3)	The framework now includes additional performance metrics, which follow the addition of a ‘Social Relations Approach’ framing this includes elements of the McKinsey 7S approach	An overarching framework was needed to connect GESIP enquiries in a way that reduced duplication while covering multiple categories of organisational performance throughout the four layers of the GCRF structure
GESIP were to be treated with the same breadth of enquiry	Gender equality enquiries are to go further in-depth than social inclusion and poverty	Pre-established evidence on gender equality within the GCRF system
An individual key informant interview (KII) approach is proposed to cover primary investigations at the award level	A group KII approach is proposed to cover to cover primary investigations at the award level	Conducting 2–3 interviews per 65–70 awards requires an extensive budget and planning time. We propose grouping interviewees together to maintain efficiencies (resulting in 65–70 group interviews, rather than up to 210)

Evaluation questions

Evaluation questions: This module will provide the evidence to answer MEQ1: *Is GCRF well targeted, gender sensitive and socially inclusive?* This question will be addressed in relation to gender, social inclusion and poverty (GESIP). As specified in the Invitation to Tender (ITT), the formative poverty and social inclusion audit will be a ‘social audit’ that will assess the extent to which poverty, inequality and other forms of social exclusion, particularly disability, are addressed in the planned outcomes and pathways to impact on GCRF programmes and other investments. MEQ1 has been amended to reflect the legal requirement of the 2014 Act. Additionally, the GESIP social audit will address three sub-questions corresponding to the three components of the audit. The table below outlines the areas of enquiry and rationale. The audit will also seek to address the hypothesis in the GCRF Theory of Change, which assumes that ‘*Research and innovation partnerships can design-in an explicit focus on gender and social inclusion, diversity and equity to achieve inclusive impacts*’.

Table 2: Evaluation questions and rationale

Evaluation questions	Rationale
<u>Suggested revision</u> <i>MEQ1: Is GCRF well targeted, gender sensitive, socially inclusive?</i>	The question needs to be explicit regarding the gender equality component. It will capture the extent to which GCRF is both compliant with the 2014 act and mainstreaming gender throughout the different levels of the fund
1.1. How is poverty framed and understood within the GCRF ecosystem?	Question framing reflects the current heterogeneity in addressing poverty across the three challenge areas of GCRF wherein SDG 1 is not being explicitly addressed. It aims to capture different understandings, approaches and frameworks identifying commonalities, differences and outliers
1.2 How can gender equality mainstreaming be strengthened throughout the fund?	The approaches to gender equality review (GCRF 2020) did not focus on the extent to which gender equality had be mainstreamed throughout GCRF. The audit will address this gap
1.3 How is social inclusion framed and understood within the GCRF ecosystem?	UKRI assessment of equality and diversity and the GCRF identified that consideration of issues of social inclusion, including intersectionality, ¹ was still nascent. The baseline established by the GCRF and UKRI assessments will be drawn on to map and identify approaches to, and frameworks of, social inclusion in the GCRF

Why this module is important

The International Development Act (2014)² requires that official development assistance (ODA) must ‘*provid[e] development assistance that is likely to contribute to reducing poverty in a way which is likely to contribute to reducing inequality between persons of different gender*’. This module will provide important insights into strengths and weaknesses across the fund and suggestions for improvement.

We have spoken with Tetra Tech and recognise the need to build on the BEIS Gender Equality Review of GCRF and Newton Fund. However, there is less direct assessment of the pro-poor poverty focus of GCRF through the layers of operation and across the challenge themes even though poverty reduction is central

¹ 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+thnkpiece+November+2017.pdf>

² UK Parliament International Development (Gender Equality) Act (2014). Available at: www.legislation.gov.uk/ukpga/2014/9/section/1/enacted

to ODA disbursements – although a 2015 ICAI report concluded that ODA disbursements were largely not reducing a pro-poor focus.³

The ‘Approaches to Gender Equality Review’ by Tetra Tech aims to inform the development of BEIS’s ODA Research and Innovation Gender Equality, Diversity and Inclusion strategy, while the GCRF Foundation Stage Evaluation (November 2018) recommended that emphasis be placed on gender equality as an evaluation purpose and that a gender audit should be conducted across the fund. This module contributes to both of those purposes, as well as providing accountability for how gender equality, inclusion and poverty are being integrated and addressed at all levels in GCRF.

Other work has also been conducted by DPs on equality, diversity and inclusion (EDI), including two evidence reviews on the key challenges for EDI both in the UK and internationally and the effectiveness of different interventions and practices.⁴ These reviews found increasing confidence from UKRI staff concerning the evidence around diversity training programmes and diversity management policies – although uptake and impact of training was demonstrated to be less successful. Importantly, the international review of EDI approaches concluded that monitoring and evaluation exercises (particularly those focusing on effectiveness) were constrained by a lack of comparable data sets across different research and innovation sectors.

Together with the Foundation Evaluation, these reviews provide a good baseline from which to explore the broader aspects of GESIP.

Conceptual framework

The conceptual framework is organised to capture the three (GESIP) enquiry domains. Box 1 defines gender, social inclusion and poverty for the purposes of the GESIP audit. These definitions are accepted by the GCRF (**gender**) and underpin the goals and targets of the SDGs (**poverty and social exclusion**). We will explore understandings of these terms within the GCRF against these definitions during the social audit.

Box 1: Defining terms – gender, social inclusion and poverty

Gender is a social scientific term used to describe shared social ideals of femininity and masculinity, associated behavioural expectations and relations between sexes.⁵ 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, is excluded or disadvantaged in terms of accessing and benefiting equally from economic, political and societal resources and opportunities. The concept of ‘**intersectionality**’ is an important component in understanding gender equality, as it incorporates the idea that GESIP can combine to further exclude gender identities.

Social inclusion is defined as the process of improving the terms of participation in society, particularly for people who are disadvantaged, through enhancing opportunities, access to resources, voice and respect for rights.⁶ Some authors focus on the three domains of social participation, economic participation and political participation as key aspects of social inclusion, thereby capturing elements around gender equality and poverty.⁷ However, for the purposes of this evaluation we will exclude gender and poverty from our definition of social inclusion, but highlight aspects concerning inclusivity issues for disabled persons.

Poverty entails more than the lack of income and productive resources to ensure sustainable livelihoods. Its manifestations include hunger and malnutrition, limited access to education and other basic services, social discrimination and exclusion, as well as the lack of participation in decision making.⁸ We take a consciously

³ ICAI (2015). A preliminary investigation of Official Development Assistance (ODA) spent by departments other than DFID.

⁴ <https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/equality-diversity-and-inclusion/>

⁵ 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. Further elaborated in Tetra Tech (2020) The Newman Fund and The GCRF: Review of approaches to gender equality, p.7.

⁶ UN Department of Economic and Social Affairs (2016) Report on the world social situation 2016: Leaving no one behind – the imperative of inclusive development. <https://www.un.org/esa/socdev/rwss/2016/chapter1.pdf>

⁷ Beall, J. & Piron, L. H. (2005). DFID social exclusion review. London: Overseas Development Institute, pp. 32, 37.

⁸ <https://www.un.org/en/global-issues/ending-poverty>

broad approach to the framing of poverty in this note to capture the full range of ways in which it is expressed in and across GCRF structures.

Our approach uses an adapted and simplified ‘Social Relations Approach’⁹ as well as a McKinsey 7s framework¹⁰ to provide a conceptual framing. This will enable:

- contextualisation to research and organisational frameworks in which GCRF operates and to the different levels from an institutional ‘gender mainstreaming’ perspective
- the cross-referencing and capturing of synergies/overlaps with the Management Review module through the use of the 7s framework applying a GESIP lens
- the ability to focus on aspects relating to gender equality and women’s empowerment at the individual, societal and institutional level
- integration of poverty and social inclusion with gender, allowing the capture of issues of intersectionality (e.g. access to rights and opportunities) across the three domains.

The McKinsey 7s framework identifies seven interlinked elements, which are useful in exploring how various parts of an organisation work together. For GESIP, we are applying it to the different levels of the GCRF, from BEIS through delivery partners to grantees. The model categorises the seven elements as either ‘hard’ or ‘soft’, as illustrated below.

Table 3: The hard and soft elements of the McKinsey 7s framework

Hard elements	Soft elements
<ul style="list-style-type: none"> • Strategy • Structure (organigram, reporting lines) • Systems (databases, formal policies and procedures) 	<ul style="list-style-type: none"> • Shared values • Skills and competencies • Style of leadership adopted • Staff (human resources and capabilities)

Previous reviews¹¹ have identified a degree of compliance with the 2014 Act and, while variable across the fund and DPs, strategies, structures and systems are in place, particularly with regard to GESIP. Less consideration has been given to the softer elements. The 7s framework is useful as it enables an analysis of the interactions between the soft and hard elements and the teasing out of processes and practices between and within the different layers of the GCRF that are shaped by institutional culture, values, relationships and individual idiosyncrasies. These soft elements are often critical to the adoption and embedding of GESIP considerations in research processes.

While the McKinsey 7s framework provides the framing to review the GESIP categories from a ‘mainstreaming’ perspective, the adapted Social Relations Approach (SRA) adds emphasis on more context-specific categories of analysis that relate specifically to GESIP concerns (see Table 3). While there are, arguably, several areas of overlap with the 7s approach (see Table 4), we propose that the SRA will become increasingly prominent in the examination of level C (where delivery partners fulfil the requirements of level B funding) and level D (where DPs allocate funds to third party delivery actors).

⁹ We draw on Kabeer, N. ‘Social relations approach.’ March, C., Smith, I. and M. Mukhopadhyay (1999), A Guide to Gender-analysis Frameworks, UK, Oxfam, pp. 102–22, but simplify the approach into three domains: individual, society and institutions.

¹⁰ <https://www.mckinsey.com/business-functions/strategy-and-corporate-finance/our-insights/enduring-ideas-the-7-s-framework>. See the Management Review module for a fuller explanation of the 7s framework.

¹¹ UKRI Evidence Review GESI UK and Evidence Review GESI International and Tetra Tech, 2020.

Table 4: Adapted social relations approach

Categories (Applicable at Individual, Society and Institutional levels)	Category detail	Overlap with 7S
<ul style="list-style-type: none"> • Rules – how things get done • Activities – what is done • Resources – what is used, what is produced • People – who is in, who is out, who does what? • Power – who decides, and whose interests are served? 	<ul style="list-style-type: none"> • what is done; how it is done; by whom it will be done; who will benefit • who does what; who gets what; who can claim what? • human resources, material resources, intangible resources • who is assigned resources, tasks and responsibilities? • who exercises authority and control in decision making, who do they represent, how representative are they of whom they represent? 	<ul style="list-style-type: none"> • Strategy; structure, shared values • Systems • Skills • Staff • Style

Finally, although the SRA was designed primarily as a gender analysis framework, we intend to use it to unpack key elements relating to both social inclusion and poverty lenses. For example, Table 3 (above) includes categories that cater for social inclusion (who is in? who is out? etc.) as well as poverty (what is used? what is produced? who can claim what?).

Audit matrix and indicators

There are four levels to audit the GESIP framework, reflecting the BEIS/GCRF reporting hierarchy and fund flows (Fund, DP, programmes and awards). Table 5 below outlines indicative criteria against each level.¹² The audit framework will include rubrics against each criterion to assess how well it is being met. This is in recognition that the issues being assessed through audits are rarely present/absent, but rather have gradations of performance. This approach will in turn provide a useful tool, once the assessment is complete, to step back and identify key patterns in the data.

¹² Our aim would be to develop the audit framework, such that it includes rubrics against all criteria to assess how well each one is being met. This is in recognition that the issues being assessed through audits are rarely present/absent, but rather have gradations of performance. This approach will in turn provide a useful tool, once the assessment is complete, to step back and identify key patterns in the data.

Annex 2: Evaluation matrix

Table 5: Evaluation matrix

MQ1: Is GCRF relevant, well targeted, fair, gender sensitive, socially inclusive and well managed?				
SUB-EQs	AUDIT QUESTIONS	JUDGEMENT CRITERIA (Fund level A, B, C, D)	ANALYSIS AND APPROACH (7Ss/SRA)	DATA SOURCE
EQ 1.5 How can gender equality mainstreaming be strengthened throughout the fund?	<ul style="list-style-type: none"> To what extent do BEIS, the GCRF and DPs have strategies, policies, systems and processes in place to address gender equality? <i>(focus on DPs and grant holders)</i> BUILD ON TETRA TECH What skills and competences are in place, or are being developed, to support consideration of gender at the different levels of the GCRF? 	<ul style="list-style-type: none"> Gender Equality Review Recommendations taken forward A/B Policies/strategies and/or frameworks on GE, legally compliant & responsive to GCRF in place at all levels A–D Fully resourced Implementation plans for policies/strategies operational A, B, D Named senior person identified that is accountable for the policies/strategies A–D Gender expertise appropriate to context at all levels of GCRF A–D Training/guidance available to support potential applicants integrate gender into proposals Systems and Processes are in place for monitoring and reviewing implementation of the plan/policies 	<p>Strategy and structure</p> <p>Strategy, shared values, systems, structure, rules, activities</p> <p>Staff, structure resources activities, power</p> <p>Style, structure, rules, resources, power</p> <p>Structure, skills, staff, resources, people</p> <p>Systems, structure, staff</p> <p>People, power, rules</p>	<p>GCRF public & internal documents including meeting minutes</p> <p>Staffing data</p> <p>KIIs/FGD</p> <p>Textual analysis – data mining</p> <p>Award-level mini-case studies</p>

	<ul style="list-style-type: none"> • How effective are MEL systems and processes for gender equality and gender sensitivity at the different levels of the GCRF (especially between DPs and Grant holders)? • To what extent are the key stakeholders (BEIS, DPS, Challenge leaders, Grantees, etc.) held accountable to GE commitments and requirements? • To what extent are the communication strategies and research outputs of the GCRF gender sensitive? • To what extent have GCRF actors demonstrated gender sensitivity in adapting to C19 contexts? 	<ul style="list-style-type: none"> • Evidence that MEL data is being used A, B, D • Disaggregated data (SAAD) standard across GCRF and used consistently A–D • Prioritisation placed on GE policies /strategies, reflected in budgets (e.g. ring-fenced budgets for GE) B, E • Evidence that conditionalities &/or sanctions have been applied • Gender equality considerations reflected in the call for proposals, including the ODA wording • Evidence that programmes and proposals call for a comprehensive analysis of GE issues • Gender equality issues reflected in communication strategies and research outputs of GCRF, DPs and key GCRF actors 	<p>Systems, strategy, style, resources, rules, power</p> <p>Shared values, systems, rules, activities, resources people</p> <p>Systems, strategies, rules, activities</p>	
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<p>EQ 1.6 How effectively is poverty framed and understood within the GCRF ecosystem?</p>	<ul style="list-style-type: none"> ▪ How and to what extent is poverty/poverty alleviation understood and addressed within the GCRF ecosystem? A–D ▪ To what extent, and where, are there the skills, capacities and resources to frame and address poverty at the different levels within the GCRF ecosystem? ▪ To what extent and where does the GCRF ecosystem monitor, capture and disseminate poverty data, findings and research outputs? 	<ul style="list-style-type: none"> • Poverty and/or poverty alleviation referred to and/or defined in strategies, policies • Evidence that programmes, calls and proposals call for poverty analysis and/or justification in terms of addressing poverty dimensions of GCRF challenge/thematic areas • Evidence poverty issues raised and discussed within challenge funds/cross-fund fora and other events • Poverty expertise appropriate to context at all levels of GCRF A–D • Training/guidance available to support potential applicants to address and integrate poverty into proposals A, B, C • Data disaggregation includes poverty/wealth status • Evidence that monitoring systems collect, use and disseminate poverty data • Poverty/poverty alleviation considerations reflected in the call for proposals, including the IDA wording • Evidence that programmes and proposals call for a consideration 	<p>Strategy, systems, structure, specifically for grant holders – SRA Rules, etc.</p>	<p>GCRF public & internal documents, including meeting minutes</p> <p>Staffing data</p> <p>KIIs/FGD</p> <p>Textual analysis – data mining</p> <p>Award-level mini-case studies</p>
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	<ul style="list-style-type: none"> ▪ To what extent have GCRF actors addressed dimensions of poverty in adapting to C19 contexts? 	<p>and analysis of poverty-related issues</p> <ul style="list-style-type: none"> • Poverty/poverty alleviation issues reflected in communication strategies and research outputs of GCRF, DPs and key GCRF actors 		
EQ 1.8 How can the relevance, coherence, fairness, targeting, gender sensitivity, social inclusion and management of GCRF be improved?	<ul style="list-style-type: none"> ▪ Where and what are the opportunities for improving gender sensitivity within the GCRF? ▪ How can targeting (compliance with ODA goals of poverty alleviation, economic development and welfare) of research and innovation within the GCRF be improved? ▪ How can attention to social inclusion within GCRF be improved? 	<ul style="list-style-type: none"> • Primary data (EQs 1.5, 1.6. & 1.9) analysis and synthesis A–D • Rubric ratings and identification of good practice D 	7Rs and SRA lenses applied to overall analysis across all levels with main focus on D – Award level	<p>Audit findings</p> <p>Mini-case studies</p>
EQ 1.9 How effectively is social inclusion framed and understood within the GCRF ecosystem?	<p>How and to what extent is social inclusion understood and addressed within the GCRF ecosystem?</p> <p>To what extent and where are there the skills, capacities and resources to frame and address</p>	<ul style="list-style-type: none"> • Portfolio analysis includes mapping and monitoring to SDGs and specifically 1 (No Poverty), 5 (Gender Equality) and 10 (Reduced Inequalities) • Calls reflect concepts of target, marginalised groups that reflect the challenges and contexts (not ‘one size fits all’) • Issues social inclusion reflected in the communication strategies • Poverty expertise appropriate to context at all levels of GCRF A–D • Training/guidance available to support potential applicants to 	Strategy, systems, structure, specifically for grant holders – SRA Rules etc	<p>GCRF public & internal documents including meeting minutes</p> <p>Staffing data</p> <p>KIIs/FGD</p> <p>Textual analysis – data mining</p>

	<p>social inclusion at the different levels within the GCRF ecosystem?</p> <p>To what extent does the GCRF monitor, capture and disseminate social inclusion data, findings and research outputs?</p> <p>To what extent have GCRF actors addressed inequalities and discrimination in adapting to the C19 contexts?</p>	<p>address and integrate social inclusion issues (discrimination, exclusion, etc.) into proposals A, B, C</p> <ul style="list-style-type: none"> • Data disaggregation includes dimensions of social inclusion e.g. disability, ethnicity, etc. • Evidence monitoring systems collect, use and disseminate poverty data • Social inclusion considerations reflected in the call for proposals, including the IDA wording • Evidence that programmes and proposals call for consideration and analysis of social inclusion issues • Social inclusion issues reflected in communication strategies and research outputs of GCRF, DPs and key GCRF actors 		<p>Award-level mini-case studies</p>
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Annex 3: Award snapshot template

Award analysis write-up For GESIP ‘Award Snapshots’ Guidance for analysts on using the template

The template has been designed to help you organise the award-level information and analysis in a way that is, as much as possible, consistent across awards and analysts. **We do not expect that you will necessarily be able to fill all the boxes for all the awards.**

Guidance on the GESIP analytical framework

We are looking at gender equality, poverty and social inclusion in this evaluation. Our approach is that of a social audit. We aim to assess the extent to which gender, poverty, inequality and other forms of social inclusion, particularly disability, are addressed at the award level. Our time frame is 2017–2020. The award audit provides a snapshot of the extent to which the award had considered and addressed GESIP at each stage of the award from proposal through to research outputs. It will allow us to:

- provide a **stocktake of what the award did or did not do in relation to GESIP and**
- identity – **what and where are the potential improvement opportunities for GESIP and specifically for Gender Equality?**

The analytical framework underpinning the audit is adapted from the McKinsey 7s framework which identifies seven interlinked elements, which are useful in exploring the operation of an organisation, going beyond documented practices to look at how these work in practice and what the ‘unwritten rules’ are, taking into account softer aspects such as culture and skills. At the level of the award, we are also using an adapted and simplified social relations approach. These analytical framings have been embedded within the evaluation matrix at the level of audit questions for each of the sub-EQs. For reference refer to the evaluation matrix when completing an award analysis.

Guidance for rubric assessment

The rubrics include two separate assessments:

1. A rating of the criterion according to the scale of values. Here you are trying to give ‘your best guess’, on the basis of the evidence available, on which of the ratings the award best fits into.
2. A rating of the confidence that you have in the strength of the evidence to substantiate your claim. This is based on how strongly the evidence emerges from your individual sources, as well as the degree to which you were able to triangulate these claims.

Summary rubric explanation (full explanation in annex)

	Absent	Beginning	Developing	Good	Exemplary
Gender equality	<i>Gender blind</i> Gender not considered by the award at any stage	<i>Gender aware</i> Gender considered in award rational but not in later stages	<i>Gender sensitive</i> Gender addressed throughout the award but does not (yet) extend to analysis and action to address gender inequalities	<i>Gender responsive</i> Gender considered throughout the award but does not (yet) extend analysis and action to address the underlying structural factors	<i>Gender transformative</i> Gender integrated throughout fund with focus on a contributing to gendered impacts

	Absent	Beginning	Developing	Good	Exemplary
				such as norms and power relations that contribute to gender inequalities	
Social inclusion	<i>SI blind</i> SI issues not considered by the award at any stage	<i>SI aware</i> Some SI issues considered in award rationale but not addressed in later stages	<i>SI sensitive</i> Some SI issues considered throughout the award but does not (yet) extend to analysis & action to address discrimination, exclusion and inequalities	SI considered throughout the award but does not (yet) extend analysis & action to address the underlying structural factors contributing to exclusion, discrimination & inequalities	<i>SI transformative</i> SI addressed in all its dimensions across the award with an aim to contributing to increased SI
Poverty	<i>Poverty blind</i> Poverty not considered by the award at any stage	<i>Poverty aware</i> Poverty considered in the rationale but not addressed in later stage	<i>Poverty sensitive</i> Poverty considered throughout the award but not systematically & does not (yet) extend to analysis & action to address the multiple factors contributing to acute & chronic poverty	<i>Poverty responsive</i> Poverty considered throughout the award but analysis & action does not (yet) extend to address the multi-dimensional aspects of acute & chronic poverty	<i>Poverty transformative</i> A poverty focus integrated throughout the award with the aim to contributing to poverty alleviation

Confidence in evidence:

Red – low-depth evidence (only one document source + one interview sources)

Amber – medium-depth evidence (two document sources and at least two interview sources)

Green – high-depth evidence (3+ document sources and 3+interview sources)

Award analysis write-up template for GESIP sample

This template outlines the structure to write-up the analysis of each award included in the core sample. For the unique ID codes, the author should refer to the 'IP Interviews Master list' spreadsheet.

Author:

--

INTERVIEW INFORMATION

Unique IDs of interviewees

--

DOCUMENT REVIEW INFORMATION

Please list the documents that have been reviewed for this write-up

--

AWARD INFORMATION

Award name

--

Unique BEIS ID

--

PI name

--

Lead institution

--

Primary research partners

--

Start–end dates

--

Total budget

--

Delivery partner

--

Funding call

--

Type of awards (*e.g. research grant, training grant, fellowship, networking grant*)

--

SUMMARY OF KEY GESIP FINDINGS (approx. 200 words)

--

Notes about data and methodological limitations

--

SHORT DESCRIPTION OF THE AWARD

Please provide a short narrative describing the award, including objectives, country/countries of focus, intended impact(s), if known (approx. 200 words)

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Gender equality mainstreaming – this section relates to sub-EQ 1.5

Strategies, policies, systems & processes in place to address gender equality – note whether due to GCRF or independent to either grantee or DP
Expertise available to support addressing gender equality – note whether internal or external
Monitoring and learning in approach to gender equality/sensitivity
Accountability to gender equality ODA requirements – note absence, changes during time frame of award as well as type of accountability process/mechanism if in place
Gender sensitivity of communication strategies and research outputs

RUBRIC ASSESSMENT

Rubric assessment (i.e. absent/beginning/developing/good/exemplary – see guidance for details)
Confidence in evidence (i.e. red, amber, green – see guidance for details)
Rationale for judgement (please give details on how you reached your conclusions)

The framing and understanding of poverty alleviation – this section relates to sub-EQ 1.6

How the award understands and addresses poverty (alleviation) – note if there has been no attention given as well as evidence relating to understanding and addressing and whether internally or externally (e.g. from DPs, other awardees, Hubs, etc.)
Expertise available to support addressing poverty alleviation – note whether internal or external
Monitoring and learning and dissemination of the poverty dimensions of award

RUBRIC ASSESSMENT

Rubric assessment (i.e. absent/beginning/developing/good/exemplary – see guidance for details)

Confidence in evidence (<i>i.e. red, amber, green – see guidance for details</i>)
Rationale for judgement (<i>please give details on how you reached your conclusions</i>)

Framing and targeting of social inclusion – this section relates to sub-EQ1.9

How the award understands and addresses social inclusion – <i>note what dimensions of SI have been addressed (e.g. disability, discrimination, inequality), if there has been no attention given as well as evidence relating to understanding and addressing and whether internally or externally (e.g. from DPs, other awardees, Hubs, etc.)</i>
Expertise available to support addressing social inclusion – <i>note whether internal or external</i>
Monitoring, learning and dissemination of the social inclusion dimensions of the award

RUBRIC ASSESSMENT

Rubric assessment (<i>i.e. absent/beginning/developing/good/exemplary – see guidance for details</i>)
Confidence in evidence (<i>i.e. red, amber, green – see guidance for details</i>)
Rationale for judgement (<i>please give details on how you reached your conclusions</i>)
Rubric assessment (<i>i.e. absent/beginning/developing/good/exemplary – see guidance for details</i>)
Confidence in evidence (<i>i.e. red, amber, green – see guidance for details</i>)
Rationale for judgement (<i>please give details on how you reached your conclusions</i>)

IMPLICATIONS OF COVID-19 – this section compiles findings from across sub-EQ5, 6 and 9 relating to Covid-19

For projects active during Covid-19, please describe any effect that the pandemic had on the award in terms of addressing GESIP (state if cut across GE, SI and P or only addressed one or two dimensions and, if present, in what ways adaptations were demonstrated)

Key conclusions and implications for the evaluation

‘So what?’ Emerging recommendations for funders – this section relates to sub-EQ1.8 of the evaluation matrix

Annex 4: Topic guide for KIIs and FGDs

MEQ1: Is the GCRF relevant, coherent, well targeted, fair, gender sensitive, socially inclusive and well managed?

Sub-EQ1.5: How can gender equality mainstreaming be strengthened throughout the fund?

Sub-EQ1.6: How effectively is poverty framed and understood within the GCRF ecosystem?

Sub-EQ1.8: How can the relevance, coherence, fairness, targeting, gender sensitivity, social inclusion and management of GCRF be improved?

Sub-EQ1.9 How effectively is social inclusion framed and understood within the GCRF ecosystem?

We are looking at gender equality, poverty and social inclusion in this evaluation. Our approach is that of a social audit. We aim to assess the extent to which gender, poverty, inequality and other forms of social inclusion, particularly disability, are addressed within and across GCRF. Our time frame is 2017–2020.

During the primary data collection phase, we will be conducting FGDs with key stakeholders selected from each of the sampled grant awards. We have adjusted our original approach to the audit as a trail down the different levels of the GCRF. This is because of the substantive gaps in the data recording and documentation uncovered in the first phase of data collection. Our focus now is on:

1. Identifying and assessing the GESIP-focused work across the GCRF ecosystem – **stocktaking the current situation;** and
2. Useful learning experiences in the GCRF ecosystem – **what and where are the potential improvement opportunities for GESIP and specifically for gender equality?**

The ‘snapshot’ of each sampled award will be the core part of the evidence needed to conduct the audit as now described. Below is a checklist of questions based on the audit questions set against each sub-EQ within the evaluation matrix. The audit questions have been adjusted to (a) reflect the modifications to the original GESIP audit framework and (b) remain relevant to the award level (**levels C and D in the GCRF operational framework**).

These checklists will guide the interviews and the completion of the Interview template and the one to two-page award audit/snapshot. Sub-EQ8 in the checklist is the last question set, in order to maintain the logic of question flow from the current situation to improvement opportunities. These are guidelines only. Select checklist questions appropriate to the type of award, its research focus and duration (e.g. some awards being audited may have completed before C19, be multiyear or for months or be for a single researcher or organisation not a consortium).

No.	Sub-EQ/audit questions	Checklist
1.5	How can gender equality mainstreaming be strengthened throughout the fund?	
i	What strategies, policies, systems and processes have	10 Talk me through how you address gender equality in your award – from the start, at the proposal

No.	Sub-EQ/audit questions	Checklist
	you followed or put in place to address gender equality? THINKING	stage and in implementation. What steps have you taken and why? 11 How is gender equality financially resourced in your award/work? (Prompt: dedicated or ring-fenced budgets aligned to strategy or policy? in specific activities or ?) 12 Have there been any challenges in operationalising GE strategies or policies (if have them)? If so, what? - Any changes in what you do in relation to GE over the duration of the award? If so, how effective were the changes? [probe all for period over 2017]
ii	What skills and competencies are there available to support addressing gender equality? ACTION	<ul style="list-style-type: none"> - What support was available to you in developing the proposal for the award? (Prompt: guidelines, training, gender expertise etc.) How useful was the support? - What gender expertise is available or within the award (team) to support gender equality mainstreaming? How senior is that support (Prompt: Principal, co-investigator, researcher, project support....) - What changes have there been in the availability or use of gender expertise over the duration of the award?
iii	What are the MEL systems and processes for gender equality and gender sensitivity? RESULTS	<ul style="list-style-type: none"> i. Do you report against the BEIS gender marker? If so, how useful is it and in what ways? ii. How do you monitor and review gender equality in the award in relation to gender balance in team or in who is included in the work and reach of the award? iii. How are the gender dimensions of the award's focus monitored and in what ways are the results used by you? iv. How is data disaggregated to track gender equality? by sex or gender? v. Any changes in the gender sensitivity of MEL systems and processes over the duration of the award? if so why?
iv	How are you and the people you work with including key stakeholders held accountable to gender equality ODA requirements and has this changed? ACTION	<ul style="list-style-type: none"> i. How you submitted an equality impact statement or gender equality statement? If so, what feedback did you get? how did it affect the design or implementation of your proposal? ii. How does the Funder* hold you accountable for the ODA gender equality commitments? iii. How do you hold people you work with accountable for ODA gender commitments? (Prompt: through requirement of gender analysis, disaggregation, review, KPIs, MoUs, ToRs, contract obligations) iv. Has the way you are held account or hold others to account for gender equality changed in any way since 2017?

No.	Sub-EQ/audit questions	Checklist
v	How are your communication strategies and research outputs gender sensitive? RESULTS	<ol style="list-style-type: none"> 1. Talk me through what you do to make the range of communications, used by you, in the award gender sensitive. <ul style="list-style-type: none"> - Any changes in the gender sensitivity of communications and outputs over the duration of the award? If so, why? - How gender sensitive do you think your outputs are? And why?
vi	How has your work/award demonstrated gender sensitivity in adapting to C19 contexts? ACTION	Only if relevant What was done and why?
1.6	How effectively is poverty framed and understood within the GCRF ecosystem?	
i	How do you understand and address poverty alleviation? THINKING	<ul style="list-style-type: none"> ▪ Was poverty alleviation flagged in the call? If so, how? ▪ How is poverty and poverty alleviation thought about or addressed in the context of your award? ▪ Is there a shared definition of poverty and/or poverty alleviation at the programme level? At the award level? ▪ What was done to identify and address poverty issues in the award project/programme? (Prompts – discussions in team meetings, webinars or other events a component of the research?)
ii	What expertise did you have in the team/project/programme to address poverty alleviation? ACTION	<ol style="list-style-type: none"> i. Was dedicated expertise available in the team or call-down or short-term support? ii. Was there any training or guidance given by funder to support you address poverty alleviation in the proposal or implementation? If so, what?
iii	How did you, if at all, monitor and disseminate the poverty dimensions of your work? RESULTS	<ul style="list-style-type: none"> ▪ Did monitoring include monitoring of wealth status, economic deprivation and/or other poverty data (workshops KIIs/FGDs, etc.)? ▪ How were the poverty dimensions of the award outputs reported – to the funder/GCRF and more widely – e.g. in publications, webinars, etc.?
iv	To what extent has your work/award addressed the poverty dimensions in adapting to C19 contexts? ACTION	Only if relevant 1. What was done and why?
1.9	How effectively is social inclusion framed and understood within the GCRF ecosystem?	
i	How do you understand and address the term social inclusion? THINKING	<ul style="list-style-type: none"> ▪ Was social inclusion or diversity flagged in the call? If so, how? ▪ Is there a shared definition of SI at the programme level? At the award level? ▪ What was done to identify and include attention to marginalised groups e.g. PWD** or discrimination/exclusion in the award/programme? (Prompts – targeting, context analysis, adjustments to award focus, other?)
ii	What expertise did you have in the team/project/programme to address SI? ACTION	<ol style="list-style-type: none"> i. Dedicated personnel, call-down or short-term support? ii. Was there any training or guidance given by funder to support you address SI issues in the proposal or implementation? If so, what?

No.	Sub-EQ/audit questions	Checklist
iii	How did you, if at all, monitor and disseminate the social inclusion aspects of your work? RESULTS	<ul style="list-style-type: none"> ▪ Do you report to the BEIS disability marker? If so, how useful is it to you and how? ▪ Did monitoring include monitoring diversity of personnel and people involved (workshops KIIs/FGDs, etc.)? ▪ What level of social disaggregation was used to track inequalities and social difference (Prompts: e.g. sex and age only or other factors, disability, religion, ethnicity, etc.)? ▪ How were the social inclusions dimensions of the award outputs reported – to the funder/GCRF and more widely – e.g. in publications, webinars?
iv	To what extent has your award addressed inequalities and discrimination in adapting to C19 contexts? ACTION	<p>Only if relevant</p> <ul style="list-style-type: none"> ▪ What was done and why?
1.8	How can the relevance, coherence, fairness, targeting, gender sensitivity and social inclusion and management of GCRF be improved?	
i	Where and what are the opportunities for improving gender sensitivity within the GCRF? ACTION	<ul style="list-style-type: none"> ▪ What has worked well in addressing gender sensitivity in the design, implementing and reporting of your work? ▪ On a scale of 1–10, how gender sensitive has your work under the award been? Why the score? ▪ What would be the one thing that would improve the gender sensitivity of your award? ▪ What would be the one thing that would improve the gender sensitivity of GCRF?
ii	How can targeting (compliance with ODA goals of poverty alleviation, economic development and welfare) of research and innovation within the GCRF be improved? ACTION	<ul style="list-style-type: none"> ▪ How well do you think your work has done in supporting ODA goals of poverty alleviation, economic development? ▪ What score would you give it on a scale of 1–10? And why? ▪ What might you do differently in future? ▪ What would be the one thing that would improve the poverty and or economic development and welfare focus of your award of GCRF?
ii	How can attention to social inclusion within GCRF be improved? ACTION	<ul style="list-style-type: none"> ▪ How well do you think your work has done in addressing social inclusion, especially disability in its design, implementing and reporting, and why? ▪ What score would you give it on a scale of 1–10? And why? ▪ What might you do differently in future? ▪ What would be the one thing that would support improvements in GCRF work like your own increase attention to social inclusion/disability? (e.g. people involved, issues addressed, how SI data identified and reported?)

* Funder refers to GCRF or a specific DP or programme, depending on the type of award being audited

**PWD – People living with disabilities

Annex 5: KII/FGD recording template

Interview record – GESIP module

This template contains the key evaluation questions under each sub-EQ for the GESIP module. The accompanying question checklists within the module topic guide will guide the interview. The interviewer should adapt this document for each interview, only asking questions from the check list that are relevant to the award being audited.

Interviewee(s)	Name of award and identifying number from sample list
[state role of each interviewee, e.g. principal investigator, co-investigator and their organisation]	
Interviewer(s)	Date and time of interview
General notes (e.g. interview was short, participant was distracted, etc.)	

INTRODUCTION

General introduction:	
<ul style="list-style-type: none"> We are evaluators from Itad, RAND and Digital Science – a UK-based consortium of research organisations with specialisms in evaluation We have been commissioned by BEIS to carry out an evaluation of GCRF – as part of the evaluation we are conducting a GESIP audit The purpose of this interview is to understand the ways in which gender equality, social inclusion and poverty are addressed and incorporated into your award [tweak for each interview] The interview will last between 60 and 90 minutes 	
Consent:	
<ul style="list-style-type: none"> As this is an independent evaluation, all interviews are confidential, anonymised and non-attributable. Everything you tell us will be confidential, and your name will not be used in any of our reports Do you have any questions about the research, or concerns you would like to raise before we start? Do you consent to be interviewed on this basis? 	
Did interviewee(s) consent to be interviewed?	Yes / No
Recording consent [only if you choose to record]:	
<ul style="list-style-type: none"> We would also like to record the interview to facilitate note-taking and later analysis 	

- The recording would not be accessed by anyone beyond our team and would be deleted following analysis
- Do you consent to being recorded on this basis?

Did interviewee(s) consent to be interviewed?

Yes / No / N/A

QUESTIONS

Intro: we are looking at gender equality, poverty alleviation and social inclusion in this evaluation. Our approach is that of a social audit. We aim to assess the extent to which gender, poverty, inequality and other forms of social inclusion, particularly disability, are addressed within and across GCRF. The audit is both as a stocktaking for BEIS/the GCRF and to identify learning for enhancing GESIP practices in the GCRF

Sub-EQ1.5. How can gender equality mainstreaming be strengthened throughout the fund?

1. What strategies, policies, systems and processes have you followed under GCRF or put in place independently to address gender equality?
2. What expertise was/are there available to support addressing gender equality?
3. How do you monitor or learn in your approach to gender equality and gender sensitivity?
4. How are you held accountable to gender equality ODA requirements and has this changed?
5. How are your communication strategies and research outputs gender sensitive?
6. How has your award demonstrated gender sensitivity in adapting to C19 contexts? (only if relevant)

Sub-EQ1.6 How effectively is poverty framed and understood within the GCRF ecosystem

Specific

▪ How does your award understand and address poverty alleviation?
▪ What expertise did/do you have in the award team to address poverty alleviation?
▪ How did/do you, if at all, monitor and disseminate the poverty dimensions of your work?
▪ To what extent has your award addressed the poverty dimensions in adapting to Covid-19 contexts?

Sub-EQ1.9 How effectively is social inclusion framed and understood within the GCRF ecosystem

<ul style="list-style-type: none"> How does your award understand and address social inclusion?
<ul style="list-style-type: none"> what expertise did/do you have in the award team to address social inclusion?
<ul style="list-style-type: none"> How did you, if at all, monitor and disseminated the social inclusion aspects of your work?
<ul style="list-style-type: none"> To what extent has your award addressed inequalities and discrimination in adapting to Covid-19 contexts? [Only if relevant]

Sub-EQ1.8 How can the targeting, gender sensitivity and social inclusion of GCRF be improved?

<ul style="list-style-type: none"> Given your own experiences, where and what are the opportunities for improving gender sensitivity within the GCRF?
<ul style="list-style-type: none"> Given your own experience, how can targeting (compliance with ODA goals of poverty alleviation, economic development and welfare) of research and innovation within the GCRF be improved?
<ul style="list-style-type: none"> Given your own experience, how can attention to social inclusion, especially disability issues be improved in GCRF?
<ul style="list-style-type: none"> Anything else you would like to add?

Annex 6: Delivery partner literature review (methodology)

The delivery partner (DP) document review has been carried out as part of the Gender Equality, Social Inclusion and Poverty (GESIP) module. The module aims to assess the extent to which GESIP themes and content have been understood and addressed within and across the various levels of the broader GCRF ecosystem. The review is an analysis of GCRF DP documents. It aims to assess the extent to which GESIP considerations and content have been integrated into the GCRF at the level of DPs.

Table 2a Case studies and documents reviewed for each DP

Delivery Partner	GESIP case-studies	Number of documents for
AHRC	9	6
AMS	0	12
BA	3	44
BBSRC	1	7
DEFNI	0	5
ESRC	11	9
HEFCW	0	15
Innovate UK	0	21
MRC	5	7
NERC	1	3
RAEng	3	61
Research England	1	15
Royal Society	0	4
SFC	0	29
UKRI	N/A*	52
UKSA	1	23
	35	313

Table 1b Number and year of documents reviewed

Year	Number of documents
2013	1
2015	2
2016	15
2017	15
2018	75
2019	94
2020	73
Not dated	38
	313

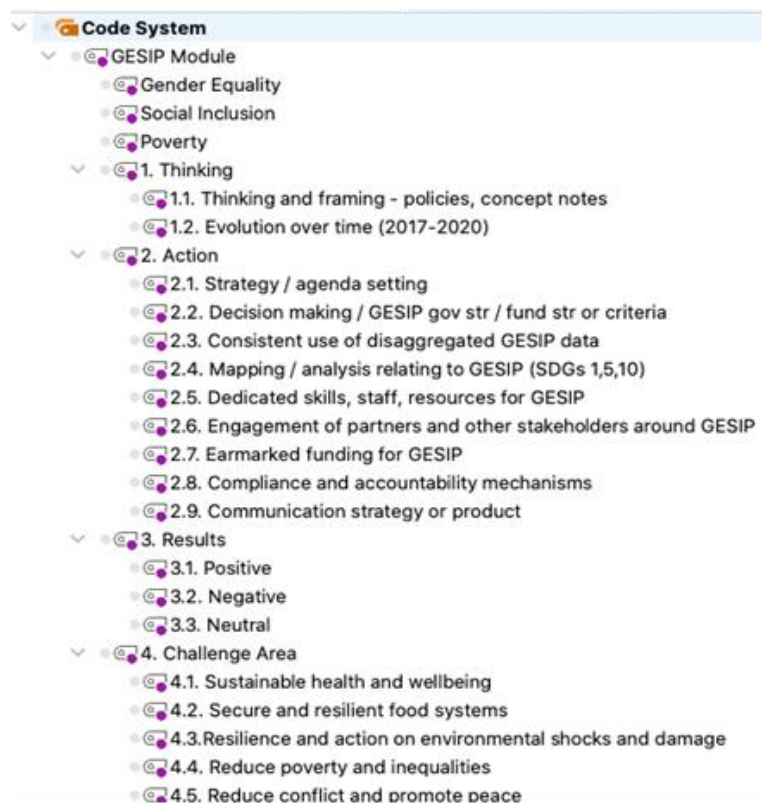
The review involved an analysis of 313 documents from 16 DPs. Special focus has been given to those DPs which have awards being assessed in the GESIP module award-level case studies (see Table 2a). The documents reviewed were published between 2013 and 2020, with the majority from 2018 to 2020. 38 documents were not dated (see Table 4b). A number of different types of documents were reviewed, including funding calls, proposals, strategic plans, delivery plans, funding/proposal guidance notes, research hub documents, impact and monitoring reports, and examples of communications/knowledge dissemination. A full breakdown of documents reviewed is included in the reference list of this report.

Method of analysis: The documents were first uploaded to MAXQDA, a qualitative data analysis software package. The documents were then coded using a framework designed to capture GESIP content across four levels of the GCRF: (i) thinking, (ii) actions, (iii) results, and (iv) challenge areas (see Annex 4). GESIP content was identified through a Boolean lexical search involving 30 key words and phrases and through cross-referencing content between documents. Only clear references to GESIP themes and content were coded.¹³

¹³ This means that superficial or highly tangential indirect references to GESIP were excluded.

Once coded, the data from the documents was extracted to an evaluative matrix built around the four relevant evaluation sub-questions (sub EQs 1.5, 1.6., 1.8, 1.9) and the corresponding set of 17 GESIP audit questions (detailed in the evaluation matrix in Annex 2). The matrix was used to organise the data in a way which would both facilitate evaluation-relevant analysis and highlight any information gaps in the context of the evaluation’s key areas of focus. In addition, the depth of GESIP content in funding call documents was reviewed in terms the context, framing and rationale of the award and the extent to which GESIP content was part of the proposal assessment criteria. The data was then synthesised and written up into a narrative form.

Figure 1: Coding framework



Assumptions and limitations

- The aim of the literature review is to provide an overview of GESIP thinking, action and results at the level of the delivery partners. However, the review is limited by the source data in several key ways:
- There was a substantial variation in the quantity of documents which were available for review for different delivery partners. For example, while there were 52 documents for UKRI, there were only five for DEFNI. For some DPs there were no documents available (e.g. STFC).
- The mixture of document types is not consistent across DPs.
- There were some types of documents that were not accessible. This has resulted in some information gaps, particularly about how DPs record, assess and support award holders with GESIP themes and content (especially with regard to research itself). Most importantly, the review was not able to analyse DP response documents which record their decision-making process in response to award proposals.

- These limitations mean that the analysis can only offer a picture which is partial and highly fragmented. The limited and fragmentary nature of the available DP documentation means that:
 - The review cannot provide an equal assessment of each DP across all the evaluation sub-questions and audit questions.
 - The review is limited to providing 'snapshots' of DP activity accompanied by varying degrees of analytic depth depending on the combination DP and audit question.
 - The review has limited scope to identify larger trends and patterns.
 - Large data gaps also mean that the review is effectively blind to a number of audit questions for some DPs (i.e. in some cases no documentation was available to allow a specific question to be answered with regard to a specific DP).

Annex 7: Topic modelling analysis method and GESIP keywords

A key part of our approach uses quantitative data science approaches to analyse GCRF's awards and their associated publications, patents and policy outputs, among others, in order to identify broad trends and patterns about the portfolio and how it has been performing in LMICs and globally.

Our partner, Digital Science, manages a large database of linked scholarly information: Dimensions, one of the most comprehensive in global research.¹⁴ Dimensions offers a comprehensive collection of linked data in a single platform: from grants, publications, datasets and clinical trials to patents and policy documents. The database links publications and citations, investigators and their institutions with related grants and supporting funders, article metrics and the related patents, clinical trials, policy documents and datasets, to deliver a holistic view of the research landscape. By December 2019, Dimensions contained more than 106 million publications.

We have been curating and developing the GCRF dataset by:

- Locating publications and other outputs from GCRF awards into Dimensions, matching the GCRF grants reported by BEIS to grants in Dimensions via their grant number.

DP	Source	Additional data sourced/assumptions
UKRI and the Research Councils	BEIS tracker grant IDs matched to Gateway to Research Records	
British Academy	BEIS tracker	
Research England	Annex D Monitoring Returns (2018–2019) aggregated for each university	
HEFCW	Custom report to BEIS	
DfE Northern Ireland	Custom report to BEIS	
Academy of Medical Sciences	Custom reports for GCRF Networking grants and Springboard	
Innovate UK	Custom reports for Agri-tech Catalyst and Energy Catalyst programmes	
Royal Academy of Engineering	Custom reports for EDRF, EABW, HEPSSA and EEEP programmes	Award amounts were sourced from the BEIS tracker. In the case of the Africa Prize, individual award amounts could not be sourced, and a proxy value of 12,000 was used.
Royal Society	Custom Report prepared for this analysis	
Scottish Funding Council	Custom report to BEIS	
UK Space Agency	Custom report to BEIS, with amounts sourced from the BEIS tracker	

¹⁴ Information is available at: <https://www.dimensions.ai>

- Drawing on GCRF project information from Gateway to Research and ResearchFish to combine with the Dimensions analysis.
- Aggregating information provided by DPs in a range of different formats summarising their portfolio, as summarised in the table below.

Just over 5000 awards were identified and analysed based on these sources of data.

One of the techniques we have used with this dataset is **topic modelling**. Topic modelling is an innovative data science technique that draws a range of informative interpretations from a large text corpus. Topics are different from themes or categories: they represent the words that appear together in documents, which are then processed, weighted and analysed with reference to natural language to produce a rich semantic and conceptual analysis of the documents in the corpus.¹⁵

We have analysed topics in the dataset relating to GCRF to draw out information about coverage of SDGs, GCRF challenge areas and more specific information about how gender, poverty and social inclusion are integrated into grants and publications.

In addition to topic modelling, we also analysed additional information on the awards and the publications associated with them to inform the modules conducted in stage 1a. In particular, we looked at the range and nature of different outputs from the GCRF portfolio and we analysed the role of southern partners in awards, assessing where they were named as co-investigators and where publications resulting from GCRF awards were co-authored by individuals based at LMIC institutions. This analysis was conducted based on the data sourced from Dimensions and Gateway to Research only, and therefore likely has more partial coverage of some parts of the portfolio not covered in Gateway to Research.

There are, however, a number of caveats to this analysis:

- **Data structure:** The data we received from different DPs to inform the topic modelling analysis was varied in terms of content and structure. The level of detail provided and the amount and purpose of the text available to inform the topic modelling analysis differed between the different formats. Even within DPs we were sometimes provided with separate datasets for different programmes, which offered differing levels of detail on the content of awards. Because of this variation, although we conducted topic modelling across all DPs, our analysis of the use of key words related to gender, poverty and social inclusion is limited to DPs covered in Gateway to Research (i.e. UKRI and the Research Councils) as the information available for analysis in that dataset is more comprehensive. Looking for keywords in the text provided by other DPs (typically just an abstract) would give a misleading picture and would be unlikely to provide meaningful information on the extent to which these concepts were addressed in those awards. Even within Gateway to Research this picture is likely to have limitations since this consists only of the abstract, the potential impact and the technical approach, and there are likely to be deeper nuances to the awards that could be picked up by further data and analysis.
- **Data quality:** The quality and completeness of the datasets provided will vary depending on their source. For example, Gateway to Research data is self-reported by award holders, so the quality and detail provided is likely highly variable. Prior analysis has shown that the data is typically partially and suffers from underinclusion rather than overinclusion. Other DPs have also provided data which typically includes some form of abstract, and the content of this will depend on both the specified requirements of the DPs and programmes in question, and the information that award holders have included in the text. Therefore

¹⁵ Draux, H. and Szomszor, M. (2017). Topic Modelling of Research in the Arts and Humanities. An analysis of AHRC grant applications. Digital Research Reports, November 2017. Available at: https://digitalscience.figshare.com/articles/journal_contribution/Topic_Modelling_of_Research_in_the_Arts_and_Humanities/5621260/1

the quality of the data is likely to be variable, and as such the analysis should be considered a partial rather than a complete picture.

- **Data collection point:** Topic modelling analysis was conducted primarily on information such as abstracts which are likely to be produced either at the proposal stage, perhaps with refinement at project inception. However, we are aware that in R&I, what is stated in proposal documents does not reflect what happens in practice. Proposals are written to reflect the funding call requirements, monitoring reports are often written to reflect positive performance, and are often narrowly focused to the parameters of the grant, missing the wider breadth of spin-off partnerships, networks, and applications of R&I outside the grant. This limits what this kind of dataset can tell us about what is taking place in the awards themselves.

GESIP keywords used for the topic modelling analysis

social_inclusion = social inclusion OR social cohesion OR promote social OR community cohesion OR inclusivity OR civic engagement OR social enterprise OR social capital OR social justice OR improve social OR inclusive OR support social OR social wellbeing OR support young OR community organisations OR disenfranchised OR empowerment OR social engagement OR civic, Disabled, disability, disab*OR Marginalised OR marginalized OR Vulnerability OR Discrimination, discriminatory OR disaggregation OR Caste OR class OR race OR age OR gender OR sex OR Participation OR participatory OR Exclusion OR Adverse incorporation OR Voice OR Leave(ing) no-one behind OR Diversity OR EDI

gender_equality = women OR teenage OR young women OR men OR girls OR boys OR young men OR men's OR women's OR heterosexual OR adolescent girls OR menstruation OR African women OR enable women OR adolescents OR young women OR sexual violence OR risk behaviours OR sexual health OR family planning OR sexual behaviour OR partner violence OR sexual risk OR adolescents OR Gender OR Feminis* OR Transgender OR LGBT*OR gay OR lesbian OR Gender based violence OR GBV OR domestic violence OR intimate partner violence OR IPV OR Equal rights OR Equit* OR inequit* OR equal* OR unequal* OR Gender blind OR gender neutral OR gender aware OR gender sensitive OR gender transformative OR SRHR OR Masculin* OR Intersectional* OR Gender rights OR women's rights OR Leave(ing) no-one behind

poverty = poor OR disproportionately OR inadequate OR exacerbated OR poverty OR poverty reduction OR reduce poverty OR low-income OR least developed countries OR urban poor OR poor people OR rural poor OR extreme poverty OR poverty alleviation OR inequalities OR address poverty OR poor rural OR income countries OR world's poorest OR economic development OR lower income OR low-income OR food insecurity OR poor rural OR poor urban OR poor communities OR urban poor OR Pro-poor OR Leave(ing) no-one behind OR Poorest OR Lowest quintile OR lowest quartile OR lowest decile OR Rural poor OR Slum OR informal settlement OR capabilities approach.



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