

Grant Order 1 between the Department of Foreign Affairs and Trade and The University of Birmingham under Head Agreement no.74804

Item number	Description	Standard Grant Conditions reference	Details
1.	Grant Order Number	N/A	
2.	DFAT Representative	1.1 and 14.1	Kate Sullivan, Governance Section
3.	Recipient Representative	1.1 and 14.1	Professor David Hudson, Director Development Leadership Program
4.	Activity Start Date	1.1 and 3	26 February 2019
5.	Activity End Date	1.1 and 3	1 June 2022
6.	DFAT Material	1.1	Nil
7.	Moral Rights – Specified Acts	22	Nil
8.	Insurance	29	Recipient to cover all staff indemnity consistent with HR policies and procedures including when staff travel overseas.
9.	Address for Notices	36	<p>DFAT: Kate Sullivan, Governance Section Governance Growth and Fragility Branch Development Policy Division</p> <p>Postal address: Department of Foreign Affairs and Trade – Australian Aid Program</p> <p>R.G. Casey Building John McEwen Crescent Barton ACT 0221 Australia</p> <p>Physical address: 255 London Circuit</p>

Item number	Description	Standard Grant Conditions reference	Details
			<p>Canberra ACT 2601 Australia</p> <p>Email: kate.sullivan2@dfat.gov.au</p> <p>Recipient: Director of Research Support Services</p> <p>Postal address: Finance Office</p> <p>The University of Birmingham Edgbaston Birmingham B152TT United Kingdom</p> <p>Physical address: Finance Office</p> <p>The University of Birmingham Edgbaston Birmingham B152TT United Kingdom</p> <p>Email: I.R.Lyne@bham.ac.uk</p>
10.	Special Conditions	1.1 and 2	Nil
11.	Reports		<p>(a) Draft two foundational papers on 'developmental leadership' – 1 May 2019</p> <p>(b) Standard Operating Procedures - 1 September 2019</p> <p>(c) Partnership Document - 1 September 2019</p> <p>(d) DLP3 Research Plan - 1 October 2019</p> <p>(e) Engagement and Outreach Strategy - 1 October 2019</p> <p>(f) Annual Progress Report, updated Research Plan, and Financial Acquittal - 31 July 2020</p> <p>(g) Program Health Check Report – 31 July 2020</p> <p>(h) Annual Progress Report, updated Research Plan, and Financial Acquittal -</p>

Item number	Description	Standard Grant Conditions reference	Details
			<p>28 February 2020</p> <p>(i) Annual Progress Report, updated Research Plan, and Financial Acquittal - 28 February 2021</p> <p>(j) Final Report – 1 April 2022</p>
12.	Tranche payments		<p>Tranche 1 February 2019 \$900,000</p> <p>Tranche 2 April 2020 \$900,000</p> <p>Tranche 3 April 2021 \$900,000</p>

Signing page

Signed for and on behalf of the Commonwealth of Australia represented by the Department of Foreign Affairs and Trade

Signature: 

(authorised signatory)

Name: Nicholas Smith

Title: Ag Dir Governance

Date: 26/2/2019

Signed for and on behalf of The University of Birmingham

Signature: 

(authorised signatory)

Name: Ian Lyne
Director of
Research Support Services

Title:

Date: 19th February 2019

Annex 1 – Activity Details

1. Total Funds

Subject to this Agreement, the maximum amount of grant funding payable by DFAT under this Agreement is AUD 2,700,000. No other amount of grant funding is payable by DFAT under this Grant Order.

1.1 Payment of Funds by DFAT

(k) Subject to the Standard Grant Conditions and sufficient grant funding being available to DFAT, DFAT will provide grant funding to the Recipient as set out in this Grant Order.

(l) DFAT's liability under this Grant Order is limited to the Total Funds.

1.2 Payment

Subject to this Agreement, DFAT will pay the Funds to the Recipient in instalments as set out in the table below.

No.	Payment Criteria	Payment Claim Indicative Date	Instalment
1.	- Receipt and acceptance of documents from Inception Period	February 2019	\$900,000
2.	- Receipt and acceptance of Program Health Check report - Receipt and acceptance of annual report and update research plan - Receipt and acceptance of an acquittal report for the period from February 2019 to June 2020	April 2020	\$900,000
3.	- Receipt and acceptance of annual report and update research plan - Receipt and acceptance of an acquittal report for the period from July 2020 to June 2021	April 2021	\$900,000
Total			\$2,700,000

1.3 Tranche Payment

Subject to this Agreement, Tranche payments outlined in clause 1.2 will be made as follows:

Estimated Date	Tranche	Payment amount
February 2019	Tranche 1	\$900,000

April 2020	Tranche 2	\$900,000
April 2021	Tranche 3	\$900,000

1.4 Invoicing requirements

- (a) To be a correctly rendered invoice the invoice must include:
 - (i) the agreement number and Activity title;
 - (ii) the payment event number(s) notified by DFAT;
 - (iii) the amount of grant funding to be paid by DFAT together with any substantiating material required;
 - (iv) the name of the DFAT Representative;
 - (v) be accompanied by any supporting documentation and other evidence specified in item 3 of Schedule 3 for that instalment; and
 - (vi) such other information as DFAT requires.
- (b) Where Australian GST applies to this Agreement all invoices must be in the form of a valid tax invoice. Invalid tax invoices will be returned to the Recipient. Information on what constitutes a valid tax invoice can be found at: <http://www.ato.gov.au/businesses/content.asp?doc=/content/50913.htm>
- (c) Invoices must be submitted to:

Department of Foreign Affairs and Trade – Australian Aid Program
GPO Box 887
Canberra ACT 2601 Australia

or

accountsprocessing@dfat.gov.au and a copy sent to the DFAT Representative.

2. Assets

2.1 Assets to be acquired with the Funds

None specified

2.2 Ownership of Assets

Default position to apply

2.3 Asset Register

The Recipient must maintain the Asset Register which must record:

- (a) non-consumable items of a portable nature with a value below the Asset Threshold;
- (b) all Assets with a value at or above the Asset Threshold;
- (c) Asset description;
- (d) purchase price or total lease cost;
- (e) date of purchase or lease and date of payment;

- (f) reason for acquisition;
- (g) type and term of lease (if applicable);
- (h) date of receipt of the Asset at the Activity site;
- (i) identification number for the Asset;
- (j) location of Asset;
- (k) disposal date;
- (l) disposal method; and
- (m) reason for disposal.

Annex 2 – Activity details – DL3 Design Document

DLP description

The Developmental Leadership Program Phase 3 (DLP3) will operate over the period 2019-2022. It begins in February 2019 with an inception period of three months. DLP3 will undertake a program of research, engagement, networking and communication until June 2022. Subject to DFAT decision-making processes, there will also be the option of a two year extension, taking the program implementation period to 2023-24. This extension option is considered essential in the context of a research program, which requires sufficient lead time to invest in long-term activities.

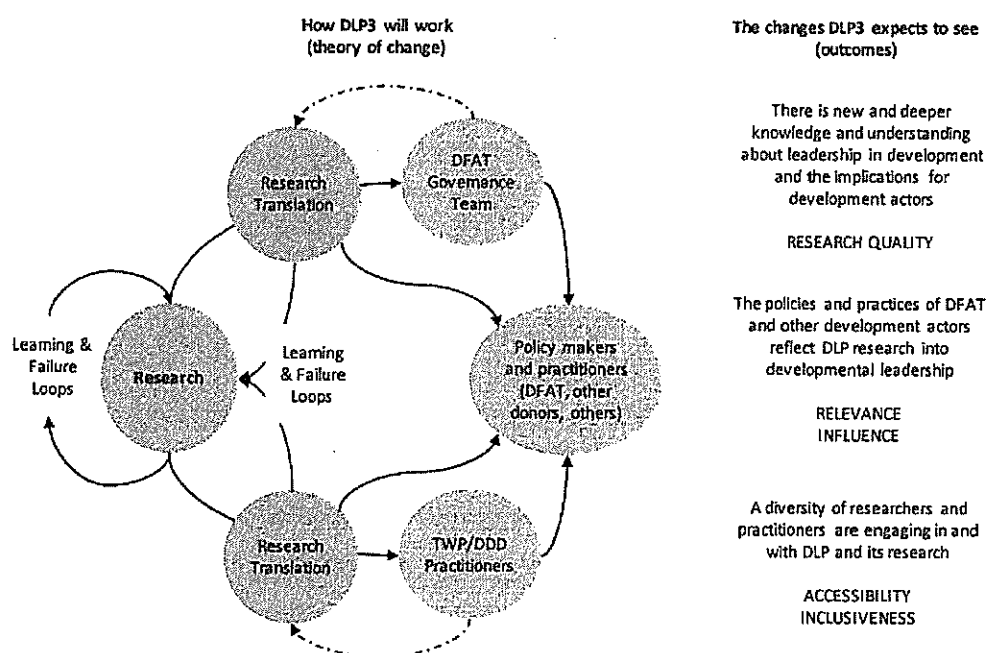
DLP will be implemented through a partnership between DFAT and the University of Birmingham for the core management of the program, with a portfolio of collaborative research projects and networks of influence addressing the research questions. La Trobe University will function as an associate institution of the program.

Outcomes

Phase 3 of DLP will implement a carefully calibrated program of research, communication and engagement with a clear focus on achieving three intended outcomes. These outcomes were developed collaboratively through the design process and reflect the shared vision of the current DLP team and DFAT. They should be understood as intersecting and mutually reinforcing:

- There is new and deeper knowledge and understanding about leadership in development and the implications for development actors (knowledge)
- The policies and practices of DFAT and other development actors reflect DLP research into developmental leadership (uptake)
- A diversity of researchers and practitioners are engaging in and with DLP and its research (outreach)

In order to achieve these outcomes, the design articulates a theory of change for DLP3. Building on the theory underpinning DLP2, this theory is shown in the diagram overleaf. It recognises that there is uncertainty inherent in the research to impact continuum and that there is no single, linear pathway to achieving the intended outcomes for the DLP research. To succeed it is essential to understand the complexity of the policy making environment, the way this influences practice, and how research needs to engage with this complexity to be truly influential. Thus, the program reflects its understanding that continuous loops of learning, reflection and refinement will be central to the way it operates, both within its research projects and throughout its outreach and engagement efforts.



Ultimately there are two main ways research can be influential:

- It may be instrumental, influencing changes in policy, practices and behaviour,
- It may be conceptual, changing people's knowledge, understanding and attitudes towards social issues .

The theory of change presents a necessarily simplified depiction of the pathways to impact for DLP3 and its research, focusing mainly on the first route to impact. But the second, more indirect route is also important. It can reinforce and broaden the more direct impact of research and is thus also necessary in understanding how DLP3 will contribute to change.

Research Questions

DLP3 research will be theoretically grounded and empirically rigorous. It will engage meaningfully with the key theories of the role of leadership in social change, including institutional theory (historical, organisational, rational choice institutionalisms) that has been at the forefront of thinking on the political economy of reform processes. The research will take a mixed method approach, with potential to incorporate quantitative surveys on perceptions of leadership, network analysis to discover how leaders are connected in different contexts and how they navigate into positions of power, process tracing to explore how leaders legitimise themselves over time, case studies of how coalitions operate in practice, deep historical analysis of where different understandings of leadership come from, and qualitative studies of how development agencies are supporting developmental leadership in practice. The regional focus of the research is the Indo-Pacific, and will take a comparative approach; comparing countries in the region, but also within countries, comparing relative progress versus stagnation in development, and inclusive versus closed systems.

The focus, analytically, is on understanding leadership as a political, strategic and collective process. Collectively, the aim is to provide a more fine-grained understanding of where 'political will' comes from, why reforms are sometimes adopted without 'will', and what institutional change and individual responses generate a transformation of 'will'. Critically,

this will provide an evidence base to inform the policies and practices of development actors to effectively support reform.

DLP3 will tightly focus on four research questions that emerged out of the findings of DLP2. These core questions, set out in further detail below, ask what leadership means in different contexts, where developmental leaders come from, how they lead reforms and maintain or change institutions, and what insiders or outsiders can do to support these processes. Together, these questions will enable us to test and further develop our working theory of 'developmental leadership' set out in the phase 2 synthesis. By focusing on these questions, and ensuring that all DLP research directly addresses them, DLP3 will produce a coherent and integrated portfolio of work that can make a signature contribution to both academic knowledge and the field of practice.

- RQ1: How is developmental leadership understood in different contexts?
- RQ2: How are the values and interests of (future) leaders formed?
- RQ3: How do leaders collectively influence institutions?
- RQ4: What can be done by actors – internal and external – to support these processes?

Developmental leadership is a theory of how change happens. It has been central to DLP thinking since its inception. The idea is that in order for positive change to happen in development, motivated leaders must work together to overcome collective action problems and form formal or informal coalitions that accrue sufficient power and legitimacy to be able to change institutions or secure effective reform. To be sustainable and durable, institutions must be locally appropriate and legitimate. This collective change process is a fundamentally political one, and it involves contestation, persuasion and bargaining. At the heart of this are important processes of debate and contestation over ideas and social norms, which in turn shape power relations and issues of inclusion and identity. These can be catalysed or stymied by the prevailing political environment, or by periods of crisis and change, or by the actions of other internal or external actors, whether intentionally or unintentionally. There are windows of opportunity for local actors as well as external development partners to positively influence these processes, by for example supporting leaders to emerge and facilitating safe spaces for collective action. However, there is also potential for harm where actors seek to over-engineer these processes. For these reasons, politically informed programming is vital for encouraging developmental leadership.

These research questions are situated within the changing global context, and address the core concerns of development partners to encourage positive, inclusive change while avoiding harm. In a context where traditional aid is diminishing in importance, and it is increasingly recognised that politics and power relations drive development, aid practitioners need smarter ways to operate in order to maximise their potential impact. Politics and power cannot be bypassed, wished away or ignored – rather, they need to be understood, engaged with and embraced in order to effectively support developmental change. Many of the problems confronting humanity, such as climate change and large-scale displacement of people, require new forms of leadership and collective action and problem-solving that cannot be solved without careful international collaboration. DLP3 recognises that understanding the ideas and incentives of a range of strategic actors – including the private sector (domestic and international), governments, politicians, bureaucracies, civil society, social movements and international actors – is therefore vital for understanding the possibilities and limits of development assistance in any given context.

RQ1: How is developmental leadership understood in different contexts?

DLP research has demonstrated that there is never one conception of 'leadership'. What leadership actually means, and what leaders are expected to do, is always context-specific and often deeply contested. There are many routes to leadership, whether through traditional institutions, formal democratic procedures, or hidden political processes. A leader may become a leader through inheritance, because of their personal ability or reputation, or due to their strategic positioning in powerful elite networks.

The various pathways to leadership mean that different leaders can have very different sources of legitimacy. Understanding the basis for leadership legitimacy is important because it can influence actors' power, their room for manoeuvre, and their will and capacity to pursue good change. Likewise, different groups in society can have different conceptions of the purpose and value of leadership, and of what good leadership looks like. History is an important determinant of this. It affects how people understand leadership, and why they accept some forms of leadership as legitimate but not others – for example, authoritarian versus democratic, inclusive versus exclusionary forms of authority. It can also influence ideas on how inclusive leadership should be, and the social acceptability of women taking up leadership positions.

The key areas of investigation will include:

- What are the different types of leadership that operate in society?
- Where do leaders get their legitimacy from?
- How does a leader's source of legitimacy affect their capacity and power to pursue good change?

Potential research subjects may include:

- Developing typologies of leadership in contexts where formal and informal forms of leadership operate, sometimes in tension (particularly in clan-based or ethnically divided contexts).
- Comparative studies of how different types of leaders legitimise themselves in different institutional contexts (e.g. in patrimonial, developmental, or hybrid institutional systems).
- Surveys of perceptions of leadership legitimacy, particularly in contexts where forms of leadership are stagnant and non-developmental over time (e.g. in authoritarian contexts where policy space is typically closed down).
- The legitimacy of women in formal positions of power, and how this affects their capacity to operate (e.g. whether formal quotas for women's political participation actually increase women's power to act).

RQ2: How are the values and interests of (future) leaders formed?

Developmental leadership cannot happen without individuals willing to mobilise and drive change, but what motivates individuals to exercise leadership? We know that to understand intrinsic motivation, we need to consider not only people's interests, but also their ideas and values. But how are the values and ideas of (future) leaders formed? Earlier DLP research identifies the role of secondary and higher education, public service, religious or political values, gender, social norms, and the potential of scholarships in shaping these values. Yet research has also shown that in order to exercise the political agency required to change institutions – whether it's pushing through legal reforms at the macro level, or agitating for

women's rights at the local level – motivation alone is insufficient. Even the most willing agents need a combination of power and opportunity to realise their goals. What kinds of opportunities, networks and skills do motivated individuals need to become leaders? How does this relate to their position in an organisational field, their particular institutional histories (biographies), or their capacity for reflexivity?

In addition, we know that to be effective, all leaders rely on power and resources: people, ideas, and followers. They need to win legitimacy, work within systems of rules, values, ideas and norms, and mobilise others to implement change. DLP research will therefore explore the variety of sources of legitimacy and authority available to leaders, and ask how their source of legitimacy affects their willingness and capacity to act to maintain or disrupt institutions.

The key areas of investigation will include:

- What motivates individuals to become leaders?
- How does an individual's identity, gender, and culture influence their leadership?
- What kinds of opportunities, networks and skills do motivated individuals need to become leaders?

Potential research subjects may include:

- Narratives documenting the pathways to leadership for individual leaders, including how their values and ideas were formed, and how they used strategic agency and networks to overcome any barriers to taking up a leadership role. This research could compare the experience of leaders with a range of identities and backgrounds.
- Qualitative and quantitative studies on the role of shared experience of higher education in forming value-based networks or coalitions of developmental elites, and examining how inclusive those networks are.
- Studies examining the impact of aid-funded scholarship programs on motivating future leaders – both women and men – to act in the interests of inclusive development.

RQ3: How do leaders collectively influence institutions?

Developmental leadership is a fundamentally collective process: even the most powerful leaders cannot disrupt or bring about change single-handedly. Developmental leadership therefore relies on motivated agents or organisations working together. This usually also means overcoming significant barriers to cooperation, and forming alliances, interest groups, networks, or formal or informal coalitions with shared goals. How and when do leaders overcome collective action problems? And once formed, what makes interest groups more or less effective and durable? Previous DLP research suggested the sustainability of a reform might depend on whether a collective is more values- or interest-based. Moreover, their power and legitimacy may be affected by who is included and excluded, what networks they can tap into, and the types of formal and informal political strategies they use to manoeuvre in or around existing power structures.

Future research will investigate when, where and why the characteristics, identity and inclusiveness of formalised or informal alliances matter for their effectiveness. In turn, DLP3 will directly ask how these groups can most effectively do the institutional 'work' required to disrupt or challenge institutions that constrain development. It will also more explicitly

explore the power of ideas in their effectiveness – in particular, how coalitions contest and de-legitimise one set of ideas and legitimise an alternative set through the strategic use of reform narratives and framing.

The key areas of investigation will include:

- What are the different manifestations (types) of collective action?
- When and how do leaders overcome collective action barriers to forming (formal or informal) alliances: interest groups, coalitions, networks, social movements, or organisations?
- How do alliances accrue the power and legitimacy to act?
- How do alliances do the institutional ‘work’ required to maintain or disrupt institutions?
- What is the role of framing and narrative in this political process of (de)-legitimation?
- How is collective action shaped by diverse identities?

Potential research subjects may include:

- Comparative studies of the process of forming different types of alliances, comparing formal versus informal groups, and values-based versus interest-based groups, across different contexts (e.g. authoritarian, patrimonial, semi-democratic).
- Analysis comparing more or less successful alliances, examining how inclusion and identity affects their reputation, legitimacy and power to act, particularly for excluded or marginalised groups.
- Studies of the strategies and tactics used by alliances to change policy, comparing the effectiveness of using closed, invited and claimed spaces (including digital spaces) across different institutional environments.
- Tracing the process of how alliances work to change ideas, how they frame reforms and campaign messages to mobilise popular support and overcome opposition (e.g. how coalitions tackle gender norms or religious beliefs they view as oppositional to their aims).

RQ4: What can be done by actors – internal and external – to support these processes?

Key to all three of these research questions is the ‘so what?’ question. DLP will continue to build on its previous work by keeping the programming and policy implications of the research front and centre by addressing a series of practical questions. What should and can external actors – bilateral or multilateral donors, NGOs, and other private actors – do to support these processes? How can they work in ways that are politically informed as well as technically sound? And what should they not do? How do they avoid backlash against the politically vulnerable groups they are trying to support? This also applies to partner governments and civil society actors who work to influence domestic change processes.

This stream of work will build on DLP2’s conclusions that supporting actors can support these processes, by working to create the space for, or create an ecosystem that is conducive to, the emergence of inclusive developmental leadership. DLP3 will also explore the

interaction between local, national and international drivers of change in order to understand how changes at multiple levels can reinforce or undermine reforms.

The key areas of investigation will include:

- How can internal or external actors most effectively support the emergence of developmental leadership?
- How can they support the formation and effectiveness of interest groups or formal and informal coalitions while avoiding doing harm?
- What does 'politically informed practice' mean for supporting developmental leadership?

Potential research subjects may include:

- Case studies examining how different types of development agencies (local, national, international) have worked politically to support the emergence of individual leaders and collective interest groups.
- Studies comparing different approaches to support, including financing and donor visibility, and its effects on the perceived legitimacy and effectiveness of interest groups.
- Studies examining the effect of international, national and local policies, normative frameworks and organisations (e.g media and business interests) on the effectiveness of interest groups, particularly looking at any tensions that can arise, and how aid agencies can navigate these.
- Qualitative, action research on how international development agencies have navigated internal organisational processes and established monitoring and evaluation frameworks that can accommodate the kind of adaptive programming necessary to support developmental leadership.

Principles

DLP will undertake all its activities, both research and engagement, in accordance with its core principles. These reflect the foundational commitments the program makes regarding how it will work, and how it will expect its researchers and partners to operate when they are part of DLP:

- **Rigour:** All research work will be undertaken with strong academic rigour to ensure it is of high quality and therefore credible and reliable.
- **Relevance:** Research within DLP3 will be selected and undertaken with a focus on being relevant: to policy, to practice, and to the achievement of positive development outcomes.
- **Ethics and integrity:** The work of DLP3 will be designed and implemented with high integrity and a firm commitment to ethics. Compliance with UoB and other applicable ethics approvals will underpin this commitment and research leadership will champion integrity throughout.
- **Independence:** Independence is a critical element of DLP's intellectual integrity and credibility as a serious academic research program, which is essential for its effective impact. Its intellectual agenda – along with this set of principles – will guide its work, and there will be clear and agreed points in the research cycle

where DFAT engages in decision making, implementation, and communication and outreach.

- **Inclusiveness:** DLP research will always consider the extent to which there are gender issues which require examination as part of a research project. This is particularly important given that some elements of work in the broader thinking and working politically field has not always closely considered gender issues, and DLP is committed to contributing to addressing this gap. The program will also work to include diverse perspectives and voices within projects, and to consider other issues of disadvantage and exclusion such as disability, to deepen its capacity to understand developmental leadership.
- **Constructive collaboration:** DLP will actively seek to undertake research in collaboration with researchers and institutions in developing countries, to ensure research is grounded and contextualised, and reflects local knowledge and perspectives, while also supporting the strengthening local research expertise.

Implementation arrangements

DLP3 will be implemented through a partnership between DFAT and the University of Birmingham for the core management of the program, with a portfolio of collaborative research projects and networks of influence addressing the research questions. La Trobe University will function as an associate institution of the program.

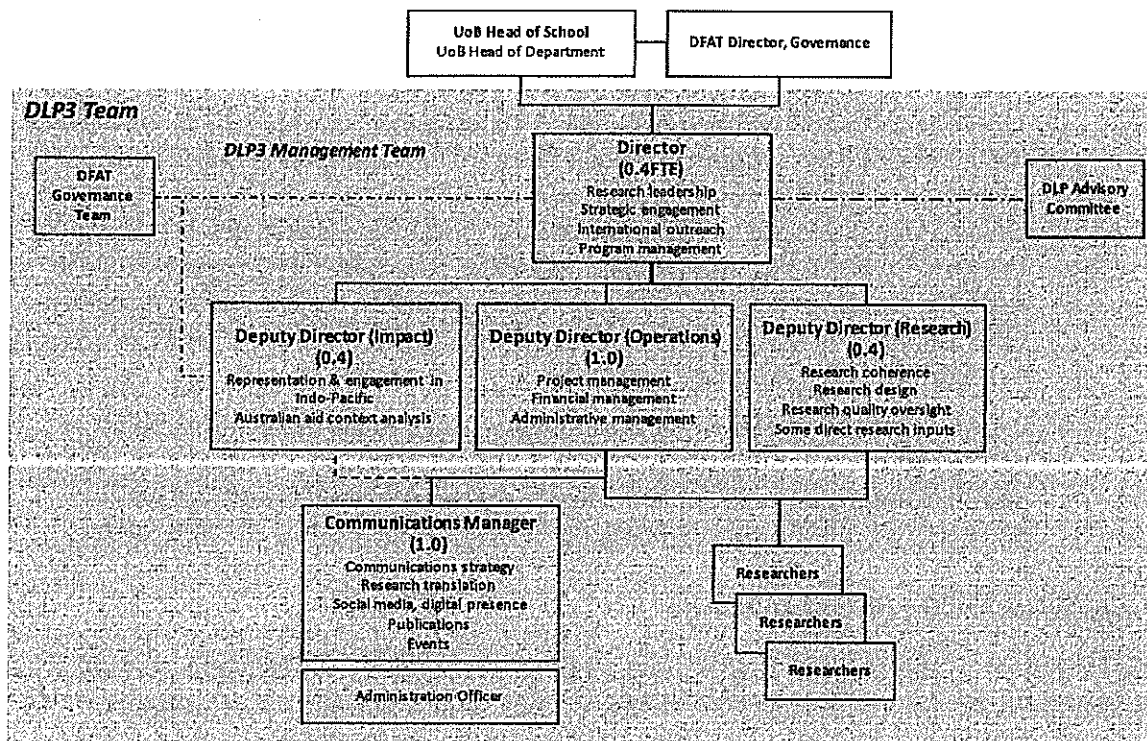
DLP3 will be established as one of 14 Research Centres within the College of Social Sciences, UoB. This will not only increase its profile within the university, but facilitate its increased collaborating and shared learning with other Centres working on the cutting edge of research design, quality and impact. DLP3 will be supported by well-established systems to ensure the highest quality of academic research is produced, including academic mentoring, significant support for research impact (e.g. a 'REF Incubator' process supporting pre-publication peer review), and an active culture of sharing and critically reviewing research through internal and external seminars. The new Institute for Global Innovation within UoB may also provide opportunities for additional support to DLP3. It is designed to bring together diverse strands of research to support multidisciplinary programs that will have global impact, with funding for pilot projects, travel, fellowships, workshops and teaching relief to free up academic time for impact-focused research.

Management and governance

The management structure for DLP3 will achieve efficient and transparent implementation so the focus of the core personnel within DLP management and the DFAT governance team can focus on the research and engagement agenda.

DLP Core Team

DLP3 will be managed by a core management team within UoB, supplemented by an Australia-based Deputy Director (Impact). The organisational structure is shown below. It allows for effective management and clear lines of authority, responsibility and communication.



The core management team is comprised of four positions (noting that most positions are not full-time, as shown above):

- The Director has overall responsibility for DLP3. S/he will provide the research vision and leadership, including playing a leading role in key research projects. S/he will provide senior strategic engagement within UoB, DFAT, and internationally, and will ensure DLP3 remains focused on its research questions and intended outcomes across its core research and any commissions. The Director will direct all management and operations, and oversee the rest of the team.
- The Deputy Director (Research) will work closely with the Director to oversee the internal coherence of DLP3's research portfolio. S/he will lead research design and provide ongoing oversight of the quality of DLP3 research, as well as undertaking her own research work within the program.
- The Deputy Director (Impact), who will be based in Australia, will be the representative of DLP3 in the Indo-Pacific region. S/he will play a leading role in the research impact and stakeholder engagement work of the program, maintaining deep and extensive networks within DFAT and the development and research communities in the region (through this role and his wider professional activities). The Deputy Director (Impact) will also contribute to some research projects and oversee the DLP Impact and Learning project (see section 11).
- The Deputy Director (Operations) will be responsible for the management of all research projects, ensuring they are appropriately resourced and implemented in line with agreed plans. Collaborating researchers will report to the Deputy Director (Operations) through their research contracts. S/he will oversee the work of the Communications Manager and will lead on operational engagement with the financial, administration, HR and logistical partners within UoB.

Supporting the DLP management team is the wider DLP team within UoB: the Communications Manager and the Administrative Officer. This team size and structure is designed to support the current core funding and its research portfolio. As noted above in Section 7, research commissions will require an expanded DLP team to continue effective research leadership, management and administration. To that end, every additional funding contribution to DLP3 will provide a contribution into the DLP core budget (separate from UoB overheads (indirect costs or estate costs)).

Implementation of DLP3 also relies on the inputs of the DFAT Governance Team, and the community and network of collaborating researchers who will undertake DLP3 research projects. Both are considered to be 'inside' DLP3 – part of the DLP team – and both will contribute significantly to achieving the intended outcomes. The role of researchers and research partners will include responsibilities for engagement, communication and impact-focused activities as well as the research work.

DFAT Governance Team

Overall, DFAT plays an important enabling role for the effective delivery of DLP3. DFAT will support the core DLP management team, as well as aim to strengthen the influence and impact of DLP3 research across the Department.

The GOV Director, Assistant Secretary, and Principal Governance Specialist (and DFAT representative on the Advisory Committee) will ensure relevant DLP3 research findings are drawn on when providing strategic advice to the DFAT Executive on development policy and emerging policy issues. Possible mechanisms include: the monthly Aid Governance Board, cable system and briefs to HOMs/HOPs during pre-posting and mid-term consultations.

The whole GOV team (currently six people) will work to ensure DLP research is translated into DFAT policy and practice where it is relevant. This is part of GOV's broader mandate to ensure implementation of the *Effective Governance Strategy 2015*. Throughout DLP3, it will be GOV responsibility to:

- Ensure relevant research, including DLP research, is actively shared directly with relevant geographic and thematic areas to guide **overarching strategy and policy development** (economic partnerships, country strategies, and Aid Investment Plans), for example, DLP GAPP research is used to inform investments aimed at building women's leadership, including political participation. The GOV team will also follow-up with areas to discuss how the DLP research was used, and this will be recorded to share with the DLP management team and utilised as part of the overall Monitoring and Evaluation system.
- Build DLP policy implications into the **production of guidance notes, delivery of training, and trialling the ongoing mentoring of posted officers** (such as draft guidance on capacity development, political economy analysis training, governance and fragility training, graduate training, thematic training), and other tools as appropriate (for example, building DLP Synthesis findings on framing, norms, and identity into DFAT's political economy analysis tool).
- Promoting evidence-based decision-making and policy consistency across the Department through advice informed by DLP3 to geographic areas on ongoing **implementation challenges** including effective policy dialogue with partner governments and civil society groups, delivering aid in middle-income countries, and achieving results through multi-sectoral facilities.

- Tracking the list of planned investments in the pipeline and actively providing advice to geographic and thematic areas on **scheduled evaluations, designs, concepts and monitoring work**. This also includes providing targeted support to LES staff who oversee the delivery of programs in complex, uncertain environments. For example, DLP research on coalitions informs advice given to the PNG Governance Facility, and DLP Synthesis and GAPP findings used to inform input into DFAT's global volunteering strategy.
- Contribute to the reach and influence of DLP research in external processes and with regional and multilateral stakeholders, including Australia's representation on the GovNET committee, the TWP CoP, United National High Level Forum on Sustainable Development, Human Rights Council, and the World Bank Governance Facility partnership.

Priority geographic and thematic areas will be determined following the finalisation of the DLP Research Plan, and also be responsive to the needs and opportunities for DFAT policy and program teams over the life of the investment.

The GOV team will also make a concerted effort to ensure a greater number of **foreign policy and trade officers within** the Department have a greater awareness and use of DLP3 research, particularly those working in developing country contexts.

Within the GOV team, there will be a **DLP Focal Point**, who will take primary carriage of the management of DLP. This person will initially be 1.0 FTE (during the inception period), and then will reduce to 0.4 FTE dedicated staff. The role of the DLP Focal Point will be to:

- Coordinate DFAT engagement with DLP
- Work as the first point of contact for DLP staff and researchers into DFAT
- Have oversight of contract and financial management within DFAT
- Ensure DFAT engagement with key processes including the research cycle (see below), monthly management meetings, and the advisory committee.

Management Meetings

The DLP Director, DFAT Director (Governance) and the DLP Focal Point will continue to have monthly telephone meetings to enable routine management and implementation discussions across the portfolio of DLP activities. These are essential to the partnership relationship between DFAT and UoB, providing a regular forum for information sharing as well as the resolution of management matters. This close link and frequent communication is fundamental to maintaining the genuinely collaborative approach to DLP which has served the program well to date, and which supported the engagement of multiple areas within DFAT with the work and personnel of DLP. It will also provide a forum for agreement about potential research commissions and the extent to which they align with the research focus of DLP3.

Governance

The governance structure for DLP3 is straightforward, retaining elements of the well-established arrangements from DLP2, and reflecting the simplicity of the bilateral relationship between DFAT and UoB. Governance discussions will formally take place in February of each year at an Annual Meeting. This meeting will usually take place in Australia, aligned with the core DLP team's regular participation in the Australasian Aid Conference and as part of the team's regular visits to the region. The Annual Meeting will

bring together the DLP management team with the Assistant Secretary and Director (Governance) for a minuted discussion about progress, performance and the forward workplan. The DLP management team will provide its Annual Report and Workplan (see section 11 below) to DFAT in advance of the Annual Meeting, to provide a consolidated presentation of achievements, challenges and findings for discussion at the meeting.

(n) UoB Institutional Governance

Personnel within the DLP management team who are UoB staff will also operate within the management and governance structures of the university, particularly as many of them are only allocated part-time to DLP. This means they also have responsibilities within UoB which are not DLP-related. They will monitor and report their time allocation to DLP and the university will support them to balance these commitments with their others across the institution.

DLP staff will also have reporting responsibilities to the Head of the International Development Department, for example, including a monthly reporting obligations relating to funding, staffing and management. They will also and will be subject to broader institutional obligations regarding research impact, financial and operational administration, human resources, research ethics and public engagement, among others. Because most DLP staff are only allocated part-time to DLP3, they also have UoB responsibilities outside the program.

Advisory Committee

To strengthen the strategic focus of the program while also providing additional avenues for outreach and influence, DLP3 will establish a small Advisory Committee. The Committee will bring together selected senior stakeholders so they can consider research priorities of the program, ultimately becoming global advocates for DLP3 and its work. The Committee plays no governance or decision-making role in DLP3: it is definitively advisory. Envisaged as a small group, membership will be finalised in discussion between the DLP management team and the DFAT governance team during the inception period. The Advisory Committee will reflect a balance of gender and perspectives and will include specific expertise in gender equality and social inclusion.

With limited resources, the Advisory Committee will only meet virtually via phone and video links, aiming for twice yearly meetings. One of these could be scheduled in parallel with other relevant meetings involving key members, such as a meeting of the TWP Community or Practice or a conference such as the Australasian Aid Conference.

Program Components

The DLP3 program comprises two integrated components: the body of research (comprised of a portfolio of research projects) and the more 'impact-focused' activities, which include communications, engagement, networking and outreach. Both are essential to achieving the outcomes of DLP3. These two components do not reflect a binary split: they will work together. Impact activities will be integrated throughout all research projects, and engagement and networking activities will be contributors to the research effort. The DLP management team will balance the overall portfolio of work to ensure sufficient investment in research and in engagement and outreach. This balance will also reflect the available resourcing, both within the core team (e.g. mindful of the 0.4 FTE allocation for the Deputy Director (Impact)) and within the budget and resources allocated to specific research projects.

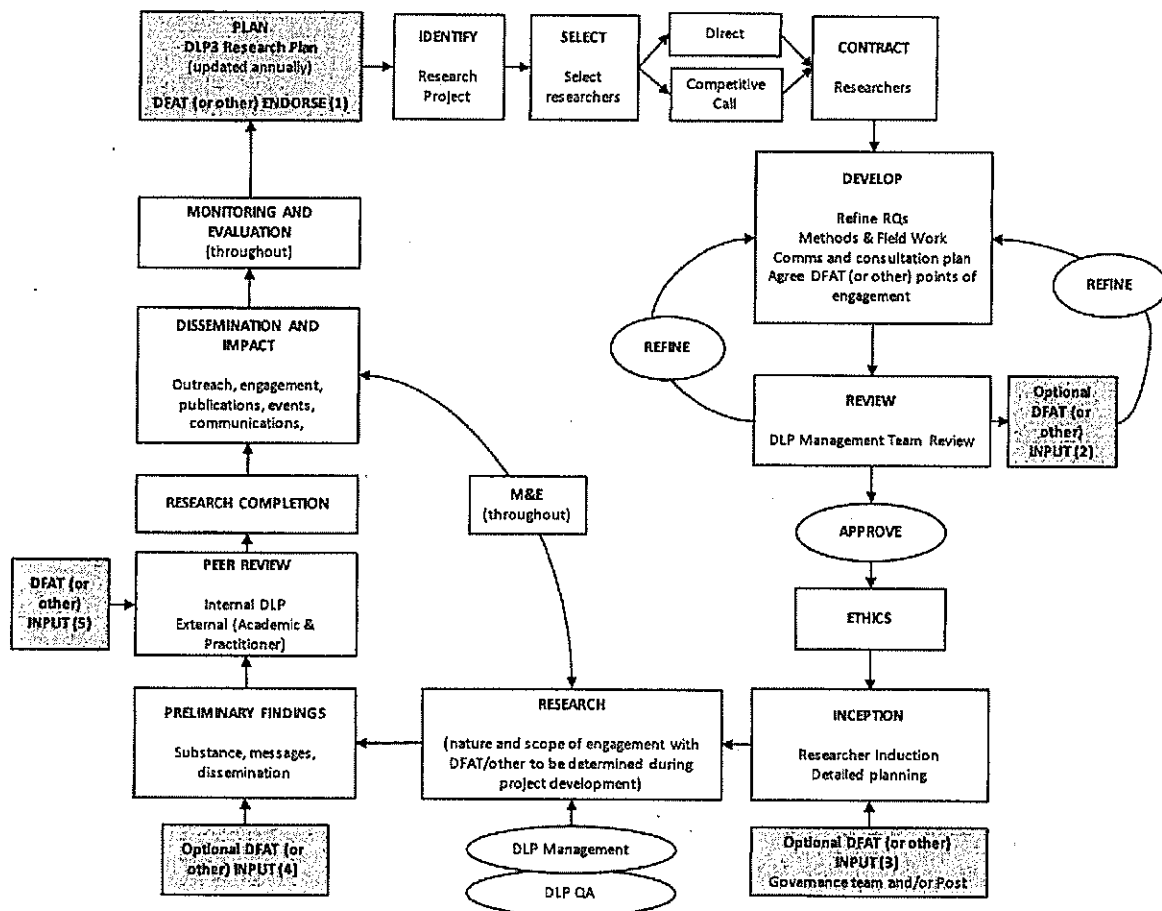
Research Activities

The DLP3 research program will be led by the core DLP team and will utilise the core funding provided by DFAT and the contributions provided by UoB (direct and the broader opportunities for impact and research support resources) to develop and manage a coherent and ground-breaking set of activities. Implementation of that research will draw in many and varied researchers and institutional partners so that the most relevant expertise is drawn into each project. The researchers within the core DLP3 team will undertake some of the research directly, but will oversee the quality and integrity of all research projects.

The initial core funding from DFAT will enable the program to develop a set of core research addressing the research questions. These will be set out in a DLP3 Research Plan, which will cover the core research program for the three years of the current funding commitment, with a small proportion of the funding remaining for flexible allocation in response to emerging opportunities throughout the program. The allocation of the small remaining flexible fund, will be documented for DFAT in the regular program Annual Report and Workplan.

The program is also designed to enable the acceptance of research commissions. In DLP3, commissions will be accepted where they effectively contribute to the research focus as articulated in the research questions and the broader program design. This clarity will ensure that DLP3 retains a sharp focus on its overall aims and areas of interest, with commissions enabling a more comprehensive investigation into the questions.

The design process facilitated the development of an indicative research cycle, shown below. This process provides an outline of the cycle of research planning and implementation which will operate in DLP3. Documentation of the process will enable the management team and funding contributors to have mutual understanding of processes, decision points and responsibilities. In this way, it will provide transparency of process and minimise misunderstandings or confused expectations. The inception period of DLP3 (see below) will see the management team further refine and detail this research cycle so it can be used throughout the program as a management and planning tool, as well as for communication with funders, both existing and potential. This will include establishing clear processes for receiving and accepting research commissions.



The ongoing coherence and relevance of the DLP3 Research Plan, and the portfolio of activities within it, will be subject to periodic internal review. The management team will ensure that the research portfolio is adjusted in response to evidence of those activities which are effective, and those which are less than effective. The team will use monitoring and evaluation data to reconfigure the portfolio and will document any adjustments in each year's Annual Workplan.

(o) Independence

Independence is a critical element of DLP's integrity and credibility as serious academic research program. As noted earlier, DLP will operate independently when selecting, designing and approving research based on clear, transparent, and highly rigorous academic standards, within the agreed research focus for DLP3. While this process will be responsive to policy needs, and designed from the outset to have policy impact, it will be primarily guided by DLP's intellectual agenda and its guiding principles. In the same way, the conduct of research, and the representation of findings from research, will be true to academic standards of reliability and rigour.

The most significant points for DFAT engagement with the research process are at the development of the Research Plan (see plans for the inception period), as well as at the research communication phase, as shown by the shaded boxes in the diagram above, although additional engagement points can be agreed on a project-by-project basis and may include the additional points shown above. This could include engagement in determining when and how DFAT (especially Posts) are involved during the implementation of in-country research activities. During the development of the Research Plan, GOV Section will assist DLP to

consult with geographic areas on possible projects and topics. DLP Standard Operating Procedures will assist with this process, providing guidance for both DFAT and DLP personnel. Indicative elements for the key, and guide new colleagues, some sample key messages / scripts are in Annex # – they can be edited as necessary and should be rolled into the Standard Operating Procedures, as appropriate.

The research cycle provides a formalisation of what independence means in operational terms. The DLP team will further refine this cycle and the associated process during the inception period, but it will ensure that all parties, as well as any newcomers to the program, can understand how independence applies in DLP3. This will be important should new partners come into the program, but also if and when DFAT programs wish to commission DLP research. It will also be important to have this clarity should key personnel within the Governance team move on and are replaced. The cycle shows the specific points in research activities when DFAT – or another contributing funder – would have formal engagement in a research project, whether it is core or commissioned work.

In practice this cycle need not be implemented in so linear a fashion as the diagram suggests. There will be feedback loops at each stage, and some steps could be completed in parallel (for time and process efficiencies) or may in fact be unnecessary for certain projects. What is important is that DLP3 has a clear and deliberate research cycle which will support the quality and coherence of the overall program.

DFAT's input at each stage of the research cycle is described in more detail in Attachment One. The research cycle seeks to maintain and protect the independence of the research. The quality of the research is an academic judgment and lies with DLP. The purpose of DFAT input is to ensure the research is relevant to DFAT policy and practice. It is also to ensure the research does not adversely impact upon sensitivities in Australia's bilateral or regional relationships. Ongoing communication between DLP and DFAT will be key to managing this, as not all circumstances can be anticipated. As set out below, the researcher is key to ensuring good quality research. It is incumbent on the researcher – with the assistance of the governance team – to make every effort to be aware of and navigate the political economy on a research topic, so that it doesn't result in negative consequences to DFAT's reputation or programs. The intention of the research is to be influential, and so expressing influential messages, in a way that does not cause a backlash, is an essential part of the research.

To facilitate research uptake, research communication will be a collaborative effort, particularly around the messaging, framing and presentation of research. Researchers will seek to test messages and findings early on and engage with DFAT staff to help them interpret the policy and practice relevance of their findings. It is intended that the process of consultation and engagement will ensure research topics are guided by DLP's intellectual agenda, and likely to have policy impact, whilst avoiding areas likely to engage bilateral or regional sensitivities. Not all issues can be anticipated though, and in extreme cases, if a research product is likely to cause considerable operational or reputational risk to DFAT, DFAT can request that publications be amended, redacted, not published, or published in an independent journal without DLP and/or Australian association. However, research findings will not be amended or adjusted in ways that compromise standards of transparency or the academic integrity of DLP. The ultimate authority on this will be the Assistant Secretary, Governance Fragility and Water Branch, with the input of the relevant geographic area

(p) Researcher Selection

Critical to DLP's research is the selection and management of the researchers – both individual and institutional – who will undertake much of the research itself. For each research project, whether commissioned or core, the DLP management team will identify the most appropriate research team. In some cases this will continue to be via a direct engagement process, utilising their existing academic networks and knowledge of expertise and fields of interest. But in phase 3 DLP will also undertake competitive calls for research teams. This will aim to broaden the community of DLP researchers while also maintaining and enhancing transparency, value for money and diversity.

The selection of researchers and, indeed, research project design, will also give some priority to the involvement of researchers within the Indo-Pacific region. Seeking meaningful collaboration with local researchers is a principle guiding DLP3. It should deepen the quality and insight of the research while also strengthening its capacity for influence and impact by engaging stakeholders throughout the process rather than just as passive 'receivers' of the messages at its conclusion.

During the inception period, the DLP team will document the key characteristics of a DLP researcher, and these will form part of the assessment of any possible research collaborator. These characteristics will reflect the emphasis DLP places on the research-policy-practice interface and the fact that DLP researchers will need to operate effectively in this context. Ideally DLP researchers will not only be excellent in their research field, but will be effective communicators and pragmatic thinkers who can engage with policy and practice stakeholders during the conduct of their research as well as its eventual dissemination.

Ethics

All DLP research projects will require formal ethics approval. For research which is undertaken by UoB staff, or by individual researchers contracted by UoB, research will go through the UoB ethics approval process. For DLP research which is undertaken by other institutions contracted by UoB, research will need to go through that institution's ethics approval process. In order to ensure that ethics consideration is sufficiently rigorous, UoB will review all other institutional ethics approval to verify that it meets the same standards. If it does, no further approval is required, but if the approval is assessed as deficient, research will also be required to seek UoB ethics approval. Through this process the ethical standards of DLP research will be closely managed.

Engagement and Outreach Activities

The impact of DLP3 research will require strategic and carefully planned activities including communications, publications, networking, outreach and engagement with partners, funders, participants and stakeholders. This work will take place within the countries of research focus, in the Indo-Pacific region more widely, within Australia and the UK and within the academic community. Targeting this effort within the limited available budget and human resources will require careful planning and management by the DLP management. The creation of the Deputy Director (Impact) role, supported by the Communications Manager, is central to this effort. The strategies and tactics to support research uptake and influence will be developed as part of every research project design so they are integrated throughout each project, and as noted above, researchers will be selected so they can make substantive contributions here too.

Feedback from users of DLP research and contacts in donor organisations suggests that DLP2's focus on networking with policy and practice audiences to establish influential relationships has been particularly effective. This provided opportunities for internal

communication within organisations such as DFID, the World Bank and USAID and within policy networks (such as OECD thematic fora). It also helped establish DLP ‘champions’ who promoted the research findings within their spheres of influence.

Building on its success to date, DLP3 will continue to play an active role in the international development community, as a core element in its influencing strategy. It will engage with other research programs and researchers examining relevant issues so as to enhance the evidence base and expand collective impact. This will include – but by no means be limited to – the Thinking and Working Politically Community of Practice (TWP COP), the OECD Governance Network (GovNet) and the World Bank Global Partnership on Collaborative Leadership for Development. Part of this effort will seek to draw global attention towards the developmental leadership experiences and analysis in the Indo-Pacific, especially to the Pacific island countries. It will equally seek to bring DLP research insights to the global dialogue around leadership and development, enabling and informing more substantive participation by DFAT and the Australian aid program.

DLP3 will widen the range of media and mechanisms it utilises to communicate its work and its findings to diverse audiences, building on its well-established global brand, its known web presence and its growing body of publications. Conventional outputs such as academic papers, books and conference papers will continue to be essential, core as they are to high quality academic practice. However, DLP3 will give increased emphasis to producing accessible documents such as practice notes, policy briefs / summaries and regular newsletters and blog posts where these are more effective means to reach target users and audiences. Short briefs and comment pieces will highlight key implications of research findings for policy and practice, and will target time-pressured practitioners in donor and consultancy organisations and their front-line staff and partners. Communication avenues will also expand to include podcasts and other audio visual communication techniques. Discussions with focus groups of target audiences will shape decisions on the formats/media used.

The team will continue to expand its communications reach by building relationships with the editors of influential external websites, blogs and media outlets and exploring opportunities to contribute opinion pieces. This will help to highlight the relevance of research findings to current events, and will help to reach high-level policy audiences, drawing attention to DLP’s other accessible outputs. Such opportunities will be discussed in advance with DFAT to ensure appropriate recognition of Australian Government funding.

Complementing the global engagement, DLP3 will focus significant attention on its engagement with and within DFAT and other Australian development actors. With its core Australian funding base, this is a central component of DLP3, and it will include:

- Collaborative communications, engagement and outreach activities recognising that DLP requires DFAT participation in these processes to make them truly effective;
- Regular visits to DFAT, Australia, and the Indo-Pacific region, reflecting the intentions which will be details in the Communications Strategy and SOPs relating to DFAT engagement;
- Preparation of general and targeted documents, publications and other multi-media channels and products, tailored to meet the specific needs of each research project and adjusted in response to opportunities and events arising;

- Participation in forums in the region, such as the Australasian Aid Conference; and
- Stand-alone and/or collaborative learning and communications events which focus specifically on DLP3 work, both in Australia and in the region, providing more direct avenues of dialogue and influence in countries of research priority.

The Deputy Director (Impact) will play a central role in this part of DLP3's work, but the Director, Deputy Director (Research), and the researchers themselves are also important here, as is the DFAT governance team.

(q) Research Impact Support

There are expanding resources supporting research impact within UoB: in the lead-up to REF 2020 the university has created a new Vice-Chancellorship dedicated to impact and uptake. The DLP team within UoB will be able to tap into several new institutional systems designed to maximise research impact:

- Within the College of Social Sciences there are impact acceleration grants available to facilitate research communication or policy engagement, at short notice.
- The DLP team will receive specialist advice to develop an impact case study (under the REF). This will enable the program to better plan for, continuously monitor, and evaluate the global impact of its research.
- A dedicated team of impact specialists within UoB will support individual research projects to increase their profile and impact.
- DLP will have access to the REF Incubator, which provides pre-publication peer review support, focusing on research impact.

Inception Period

To ensure the design of DLP3 is fully translated into practical action, the program will commence with a concentrated three month inception period from September – November 2018. The DLP3 management team will invest this time in a series of essential foundational activities which will establish DLP3 on a firm grounding for its research, communication and influence activities. The DFAT DLP Focal Point will be a fully-contributing member of the DLP team during this inception period and will assist with the development of all the specified inception outputs. During this period, DLP3 will develop the following, for agreement with DFAT in December 2018:

- A core activity during inception will be the preparation of **four foundational papers on developmental leadership**. These papers will provide a baseline for the four research questions, recording what is already known through a stocktake of the current state of global knowledge on these questions. They will be designed to be publishable, but also to guide DLP researchers into the key theoretical debates and latest thinking, to inform individual research projects and encourage convergence around a single intellectual agenda. These papers will be accompanied by plans for its socialisation via a range of channels including blog posts, a podcast, and other avenues for wide distribution, including by the Governance Team in DFAT.
- An overarching three year rolling **DLP3 Research Plan** which will set out the core research projects for DLP3, in line with the research questions and the overall design and covering the three year period of core funding. The aim of the Research

Plan will be to develop a diverse portfolio of research and outreach activities, balancing large and small (short- and longer-term) research projects; direct engagement and competitive selection of researchers and collaboration partners, and a balance of effort across the research questions. While the first Research Plan will program the majority of research funding, it will also leave some room for opportunistic responses to emerging ideas or openings for important research. These will be documented in each year's updated Research Plan.

- The core team will undertake a series of strategic consultations on research design to feed into the preparation of the DLP Research Plan. The consultations will present the proposed research questions and explore the potential audience, relevance and impact of the work arising out of those questions. Discussions will enable the DLP team to hear diverse perspectives on how its research can be meaningful and useful to key potential users, to hear directly about the types of research that is most useful for people in specific countries (both insiders and outsiders), about priorities and challenges, and about barriers and enablers facing research uptake. These visits will also enable DLP to build links with local researchers and the wider academic and policy communities. Consultations are proposed for three strategically important countries in the region: Indonesia, Fiji and PNG. Consultations may also include a short online survey of a wider DFAT audience of potential users.
- A **Partnership Document** which articulates the ways in which UoB and DFAT will work together through DLP3, mutually agreed and reflecting both partners' priorities, preferences, capabilities and institutional requirements.
- A documented set of **Standard Operating Procedures (SOPs)**. These will provide a clear articulation of how DLP will implement key processes throughout the research cycle and more broadly, including:
 - decision making,
 - DFAT engagement,
 - researcher selection and induction,
 - collaboration approach,
 - management of independence,
 - reviewing process,
 - researcher responsibilities, including those relating to engagement and communication,
 - style guide,
 - branding rules,
 - document templates, and
 - approaches to gender equality and disability inclusion.

The SOPs will include all necessary provisions for compliance with prevailing policy obligations such as child protection, anti-corruption and anti-terrorism.

- A comprehensive **Engagement and Outreach Strategy** which will describe the intentions of DLP3 engagement, outreach and communications, the tactics and strategies to be used, and the approaches and avenues which will be utilised, including the extent to which DLP3 can utilise digital and audio visual channels for communication and influence. This Strategy will be built on a deliberate analysis of the networks, influence entry points, potential champions and significant audiences for DLP's work – initially within DFAT but also more widely. This Strategy will guide the work of the Deputy Director (Impact) as well as the Communications Manager and the rest of the DLP team. The role of the DFAT Governance Team will be important here: the DLP Focal Point will contribute to the development of this Strategy and the DFAT team will have specified roles in its implementation.

During this inception period, the DLP core team will work closely with the DFAT team, particularly the DLP Focal Point and the Principal Specialist, Governance. This will ensure that all the foundational work outlined above is completed in a way that aligns DLP and DFAT priorities and work plans, and sets DLP3 on track for focused and successful implementation.

Monitoring, Evaluation, Learning and Reporting

Both instrumental and conceptual impacts of research are difficult to measure. When research has an instrumental impact on policy or practice, this often occurs in conjunction with a series of other events and relationships, and thus the relative contribution of the research to the outcome is not easily determined. This difficulty is enhanced even further when it comes to conceptual impacts, where research may have been converted into an attitude, an idea, or received wisdom, through various networks and in tandem with other sources and ideas.

The monitoring, evaluation and learning (MEL) approach for DLP3 is designed to be appropriate in scale and complexity for a program of its small size. It draws on the systems of UoB and the expertise of the DLP team, and will utilise the opportunities provided by the management of DLP3 within the university system. It is straightforward and relevant, and will provide the necessary monitoring data for DFAT requirements (and at the time required by DFAT) as well as the information needed for effective program management by UoB and for deep learning, reflection and program improvement.

The Deputy Director (Impact) will lead on operationalising the monitoring, evaluation and learning approach, which will be finalised during the inception period, for agreement between DLP and DFAT. Once agreed, the Deputy Director (Impact) will also oversee its implementation, with support from the rest of the DLP team. Overseen by the Director, the UoB DLP team (Deputy Director (Operations)) will have primary responsibility for monitoring and reporting, while the Deputy Director (Impact) will have primary responsibility for evaluation and learning.

Monitoring

The Deputy Director (Operations) at UoB, with contributions from the Deputy Director (Impact), will maintain a simple monitoring database of data throughout DLP3. This will ensure the team is able to provide accurate and timely information to DFAT – through regular reports and on request – regarding the number and type of research projects, researchers, and issues being explored. These data will enable simple descriptive analysis and disaggregation (e.g. by geographic location, gender) so DLP and DFAT can monitor the reach, coverage, and

range of DLP activities and researchers. This monitoring effort will be led by the Deputy Director (Operations) and will be integrated with the systems which support program and project management.

The data collected will include, website statistics on number of visitors (new and returning), page sessions, most popular pages, source of visit, downloads, geographic regions, organisations, and platform used. DLP will also monitor the number of users and conduct analysis of reach from its Twitter account, which it uses to publicise and engage with its audience. Monitoring will also include continual maintenance of the DLP register of impact which includes details of citations of work, mentions in social media, personal correspondence and praise, and invitation and participation in events.

Evaluation and Learning

Complementing this routine monitoring, DLP3 will also make an important investment in evaluation and learning. This will focus on identifying evidence regarding the outcomes of the program, and on understanding the process of researching developmental leadership, especially in the process of achieving impact with that research.

With its strong and increasing capacity to support the evaluation of research impact, UoB will provide ongoing support to DLP in capturing and documenting the impact of its work. DLP will ensure that the evaluation work it does for UoB purposes is equally aligned to the evaluation requirements within DFAT. As noted above, the DLP team will receive specialist advice to develop an impact case study (under the REF). This will enable the program to better plan for, continuously monitor, and evaluate the global impact of its research. Research impact case studies within DLP will be also utilised as evaluation evidence for DFAT purposes.

(r) DLP Embedded Research Impact Project

Central to the evaluation and learning approach will be an Embedded Research Impact Project (ERIP) that works across DLP3 management and implementation, established and funded as a PhD scholarship. This will provide, at low cost, an early career researcher to ‘accompany’ the program throughout phase 3, collecting and analysing information on: the process, the networking, the influence elements of the theory of change, the changing context and relationships, and the outcomes to which DLP is contributing. As such, it will support valuable double loop learning for DLP. This embedded research design, creating a full-time resource who can work as a critical friend to the program, will enable far richer analysis and learning than conventional evaluation structures, particularly within such limited resources. It will also bring access to the theoretical foundations of research influence and impact which will bolster the practice of the DLP research team.

The design does not predetermine whether the Research Impact researcher should be based in the UK with UoB, or in Australia (closer to the influencing and impact focus); the DLP team will decide this in the lead up to the inception period. Regardless, the PhD will be co-supervised by one senior DLP researcher (possibly the Deputy Director (Impact)) and a relevant researcher from another institution. This will ensure a suitable balance of embeddedness and independence and create an essential element of contestation throughout the research. It will also be designed to ensure that it meets program evaluation and learning needs throughout – not just providing findings and conclusions at the end of the project.

Evaluation Questions

While these will be refined during the inception period, the following indicative evaluation questions set out the areas of inquiry which will be addressed through the entire monitoring, evaluation and learning approach:

- How are DLP and its researchers contributing to global and local discussions about the role of leadership in achieving inclusive development outcomes?
- What kinds of people and organisations are participating in DLP, what contributions are they making, and how are they utilising DLP research and networks?
- To what extent are the products and networks created by DLP being utilised by development organisations and practitioners, and especially by DFAT?
- How well is DLP considering issues of gender, disability, and disadvantage in all its research projects and engagement activities?
- What are proving to be the most effective ways to make DLP's work influential and relevant for policy, practice and research?
- What challenges does DLP face in its research, and in making that research relevant and useful, and how is it responding to these challenges?
- How efficiently is UoB managing the funding provided for DLP, and how well is it utilising that funding to make progress towards the outcomes?

Review and Evaluation

Two important review and evaluation activities will form a core element of the monitoring and evaluation approach for DLP3.

Program Health Check

After the first year of DLP3 UoB will engage a facilitator/evaluator to design and support a program health check, which will be funded within the DLP budget. This internal, reflective process will provide a structured opportunity for the DLP team and DFAT to mutually review progress over the first year of DLP3 and identify any changes required, whether operational or strategic. The process will also explicitly review the partnership document which will be developed during the inception period, to ensure the relationship between DFAT and UoB remains sound and based on mutual understanding and commitments. This process may also inform DFAT's independent evaluation. It will take place alongside the regular Annual Meeting in February 2020.

Independent Evaluation

Late in the second year of DLP3 DFAT will commission a modest independent evaluation of DLP3, to be funded separately by DFAT. DFAT will work with the DLP management team to design an evaluation which provides an independent assessment of the program's performance and achievements, as well as an investigation into how it has been functioning as a partnership and as an influencing and convening mechanism, and a review of implementation of the UoB Due Diligence Action Plan.

The evaluation will feed into the decisions for DFAT (especially regarding its extension of DLP3 funding for an additional two years, as provided for in this design), as well as providing evidence for UoB to assist with consideration of future support for developmental leadership research.

Policy Issues

The design of DLP3 responds to important Australian aid policy commitments and the requirements to meet a set of obligations and responsibilities, as a program funded through Australia's aid budget.

Sustainability

This design will approach sustainability by focusing on the following:

Creating and maintaining an enabling environment for evidence-based practice: Helping to find and maintain opportunities to influence practice will be key to the sustainability of both DLP's research and its ability to influence change. By investing in uptake and outreach, DLP will enable external actors to respond to its research through innovative testing of ideas and evidence-based practice. This will be further supported by the role of Deputy Director (Impact) who will seek to convene, develop and maintain ongoing engagement with development, private sector and civil society practitioners interested in developmental leadership and supporting locally-led reform efforts.

Sustaining outcomes: With its core emphasis on doing research which is policy and operationally relevant, DLP seeks to contribute to sustainable changes in the practice of development. To achieve this, the investment in an integrated program of research plus impact work (communications and engagement) is critical. A robust consultation process during inception will support DLP to establish ongoing relationships with programs, with a view to capitalise on entry-points for influence as they arise. DLP's Monitoring, Evaluation and Learning approach will also support DLP to draw on lessons learned, and reorient its approach where necessary to find new ways to influence development outcomes in iterative and adaptive ways.

Development of local research capacity: With its increased commitment to collaborating with local researchers and research institutions in its projects, DLP will make a contribution towards research capacity within the countries and regions of focus. While this is not the primary aim of the program – it is not a research capacity development investment – it will nevertheless work in ways which create opportunities to invest in local research. As such it will contribute to a more sustainable knowledge and innovation sector in the countries where it works.

Moving towards institutional sustainability: This third phase of DFAT support also aims to catalyse additional core funding for the program. This would reduce UoB dependence on the Australian government for the ongoing work of DLP – making it institutionally more sustainable – while broadening the community of organisations which are deeply engaged in DLP's strategic focus. This phase will also see DLP's work further embedded within the University of Birmingham's systems, processes and culture, with co-investment of the University also moving DLP towards a more sustainable institutional home.

Gender Equality

Some earlier DLP research, especially Gender and Policy in Practice, has contributed important understanding of gender issues in developmental leadership and related areas of interest. But there have also been gaps in the extent to which some research has genuinely considered the gender aspects of the context, questions and issues. The principles for DLP3 set out in section 5 point to a renewed level of interest in, and commitment to, inquiry into the gender aspects of developmental leadership.

The program will demonstrate its commitment to gender equality in practical and operational ways too. The selection of researchers, research partners and participants will seek to reflect a balance of gender identities across the portfolio, at all levels of seniority and across diverse roles.

There may be scope for DLP3 to undertake commissioned research work financed through the DFAT Gender Equality Fund. Building on past experience of work supported through Pacific Women Shaping Pacific Development, the more defined commissioning process in DLP3 lays the foundation for even stronger collaborations to address gender equality issues given priority by the aid program for additional research support through DLP3.

Finally, the MEL system which will support DLP3 will give full attention to gender equality, as described in the relevant section above.

Disability Inclusion

The Developmental Leadership Program approach to disability inclusion will focus on the following priorities:

- **Inclusive research themes:** The concept of developmental leadership is based on an understanding of, and commitment to, progressive and inclusive development. In all cases DLP3 will consider the extent to which there are gender and inclusion issues which require examination as part of a research project. This is particularly important given that some elements of work in the broader thinking and working politically field have been limited in their consideration of intersectionality and compounding disadvantage; including gender, disability and indigeneity. DLP is committed to contributing to the process of reducing this gap.
- **Inclusive recruitment:** Mandated through University of Birmingham's recruitment systems, which commit to equal opportunity and diversity, DLP will always take an inclusive approach to recruitment. Inclusive approaches to recruitment will also be integrated into competitive calls for research and reflected in subcontracts with researchers and other support staff as part of DLP3's Standard Operating Procedures.
- **Inclusive research cycle:** Ongoing dialogue with DLP to date has revealed a gap in DFAT's existing guidance to research partners on inclusive research processes and approaches. In response, DFAT is commissioning comprehensive practical guidance on achieving inclusion in the research cycle. DLP3 will utilise this new DFAT evidence-based guidance on how to ensure inclusion in all stages of the research cycle, to ensure the research process and products benefit from the diverse views of people living with disability.
- **Inclusive research communication and outreach:** In refreshing its public communications for a third phase, DLP3 will upgrade its website and publication materials to be consistent with best practice communication approaches for people living with disability. DLP staff and researchers will also actively consider inclusive communications when undertaking outreach activities and presenting in conferences and public fora.

Safeguards

As an Australian aid funded program, DLP3 will comply with the relevant safeguards obligations. The SOPs which the management team will develop during the inception period will set out how these obligations will be met, particularly regarding child protection. Other

significant safeguards issues for DFAT – environmental protection and displacement and resettlement safeguards – are not relevant for the work of DLP3. Additional to child protection, the SOPs will document how the program will be managed to comply with other important considerations such as anti-terrorism.

In order to specify the safeguards processes the management team will work with DFAT and UoB to marry the prevailing policies, processes and obligations across both institutions to ensure compliance across the board.

Risk

This third phase of DLP is a low risk investment for DFAT. There are no significant risks associated with the operating environment for the program, nor with safeguards or partner relations. The main risks faced by the program will be:

Results: There is always a risk that investments will not achieve their intended outcomes. For DLP3 that risk mainly arises as the risk the research will not be taken up – that it will not be influential or utilised. The design responds to that risk by establishing an interlinked set of outcomes and a supporting theory of change which will guide DLP towards a coherent program of research which is well aligned with policy and practice needs (it will be highly relevant), which is of high quality, and which has communications, engagement and outreach activities integrated within all research activities. It also creates the specific senior role of Deputy Director (Impact). In these ways the program will lay the foundations for uptake throughout all work, and it will dedicate appropriate resources to this uptake and communications work, as well as those resources dedicated to the actual research.

Further, the resources within DFAT are essential to the achievement of the intended outcomes for DLP3. The role of the governance team, described in Section 8 above, is central to ensuring both the relevance of DLP research, but more significantly, the influence and uptake which will make it most valuable. Only that team, working within DFAT structures and networks, can really catalyse any changes in policy and practice in response to the research. Therefore, if DFAT does not continue to make governance team time and expertise available, there is risk that DLP3 impact will be reduced.

Fraud/Fiduciary: The misuse of funds is extremely unlikely in DLP3, as funds will be provided to UoB, a leading UK university working within UK and institutional financial management and governance systems. What is more possible (based on past experience) is a pattern of delayed and/or inaccurate financial reporting to DFAT. This can cause difficulties for DFAT in managing the program fund, and for the DLP team in managing activities and costs. Where funds are applied to sub-contracted researchers, however, there may be some risk of less effective financial management, so the establishment of standard operating procedures within DLP will mitigate against that risk. Further, there is a significant increase in UoB-DLP commitment to financial management and administration. This includes the creation of a full time Administration and Finance Officer role, which will be co-located within the UoB's central Research Finance Office for one full day each week. This will both support that risk mitigation, and improve the timeliness and accuracy of financial reporting to DFAT.

Reputation: Part of the rationale for continued support to DLP is the opportunity it brings to continue building Australia's international reputation as a significant contributor to global dialogue about effective governance. It will also enable Australia to continue developing innovative ways for development actors, including DFAT, to engage with developmental

change with a governance perspective, especially in the Indo-Pacific region – further enhancing Australia’s reputation. However this also brings a modest reputational risk: research activities in some countries, addressing particular topics, could face sensitivities or confront broader Australian priorities or concerns. Further, it is possible that a research project could lead to findings or conclusions which are sensitive or critical – or perceived as such – by partner governments or significant stakeholders.

The more defined research cycle, clearer management and governance structures and processes, and defined principles for DLP3 implementation, will all enable DLP3 and DFAT to identify potential points of reputational risk well in advance – during research project design – and agree tailored methods to mitigate that risk. But overall, there is limited reputational risk arising from DLP3.

A risk assessment is included in the design document, and the DLP management team will be responsible for the ongoing assessment and management of risks at program level. Within individual research projects, the Principal Investigator (the project leader) will have primary responsibility for risk management, under the oversight of the DLP Deputy Director (Operations).

The standard operating procedures for DLP3 will set out the obligations, tools, and processes for risk management at both program and project level, which will align with those of DFAT. Wherever possible, the requirements will be those applying within UoB (i.e. utilising existing institutional systems and processes), only upgraded where necessary to meet DFAT requirements.

Budget

The implementation of DLP3 will be funded by the combined contributions of DFAT, the University of Birmingham, and LaTrobe University. Those contributions are as follows, with a financial contribution from DFAT, and a mix of financial and in-kind contributions from UoB and LaTrobe.

Contributor	Year 1	Year 2	Year 3	Total
DFAT	\$871,257.00	\$895,202.65	\$933,540.36	\$2,700,000.01
UoB	\$379,932.08	\$394,059.68	\$408,465.20	\$1,182,456.96
LaTrobe	\$44,355.26	\$45,825.92	\$47,084.28	\$137,265.46
TOTAL	\$1,295,544.34	\$1,335,088.25	\$1,389,089.84	\$4,019,722.43

Research funding from this core budget will be managed by the DLP management team, with research focus to be planned across a portfolio of activities addressing the research question (see DLP3 Research Plan, milestone 4, above). In addition to the core research funding, DLP3 will be able to accept commissions for additional research work from other parts of the Australian aid program, or from another organisation with interest in developmental leadership and coalitions.

The funding structure for any research commissions will include an allocation of 15% of the commission budget into the DLP3 core budget. This will ensure DLP3 can maintain the capacity required within the core team and can address the larger research portfolio. The

contribution from commissioned research will be retained within DLP and allocated to research activities and/or research support or outreach as required.

UoB contribution

The University of Birmingham will provide a significant co-investment to DLP3, totalling A\$1.18 million (GBP612,672). This will substantially increase the value of DFAT's funding commitment so the program's reach can be expanded.

The institutional partnership also provides full access to all the academic and research resources within UoB, such as library, journals, data sets, and operational and logistical support for planning, managing and undertaking research. It will allow DLP3 to access additional funds from the university to support student internships, conference travel, research assistance and professional development (up to GBP7,000/AUD12,000 each year).

DLP research will be supported by well-established ethics review, security and travel systems, which will safeguard researchers and by extension, DFAT. In line with UoB's strategic vision for the next REF there is also funding available to ensure all DLP journal articles are published open access (ungated), increasing their potential impact and especially ensuring access to researchers and practitioners in developing countries. Further, researchers hired by UoB will have access to a range of specialised training within UoB, including publication writing, research communications, and impact acceleration.

La Trobe contribution

As an Associate Institution of the Developmental Leadership Program, La Trobe University will contribute A\$137,265 (GBP71,122) to finance 0.2FTE of the Deputy Director (Impact), half of the cost of this role. This will enhance La Trobe University's contribution to research impact by further leveraging innovative collaborations with different stakeholders from government and non-government organisations, private sector institutions and philanthropists. At the same time it will allow the University to build cross-institutional academic collaborations with University of Birmingham, gaining access and insights into a university at the forefront of the impact agenda in the United Kingdom. It will also allow La Trobe to explore possible interdisciplinary partnerships through the University of Birmingham's new Institute for Global Innovation, which supports research and practitioner collaboration to meet global development challenges.

Personnel

Personnel	Role
David Hudson	Director
Claire McLoughlin	Deputy Director (Research)
TBC	Deputy Director (Operations)
Chris Roche	Deputy Director (Impact)
TBC	Communications Manager

DFAT will be included in the recruitment process for Core DLP staff, including in the event of replacing any of these individuals.

Reporting

With its focus on reflective practice, research integrity and resource efficiency, DLP3 will not have a heavy formal reporting schedule. The DLP management team will prepare an Annual Report and Workplan to DFAT each year in late January, scheduled to feed directly into the annual Aid Quality Check and performance reporting process, and to be provided before each Annual Meeting in February. It will include an overview of each year's workplan, which will set out the intended activities and strategies for the coming year, in response to the lessons identified in the Annual Report. The Annual Report and Workplan will also be provided to the Advisory Committee for information.

Financial acquittals and reporting will be provided separately to DFAT in accordance with the requirements of its program fund planning and management, aligned to Australia's July-June financial years. UoB will provide financial reports in a timely way to ensure that annual tranche funding can be provided as scheduled.

Annual report and updated Research Plan

- (a) The Recipient must provide an Annual Report and an updated DLP Research Plan as required by item 14.
- (b) Each Annual Report must include:
 - (i) the name of the Recipient and all subcontractors;
 - (ii) the Activity title and number;
 - (iii) the period to which the report relates;
 - (iv) a Budget update (including cost to completion);
 - (v) a statement of the Funds provided or spent;
 - (vi) the reconciliation of Assets required under clause 12 and a copy of the Assets Register; and
 - (vii) a description and analysis of the progress of the Activity, including:
 - (A) whether the Activity is proceeding in accordance with the Budget and, if it is not, an explanation of why the Budget is not being met, the effect this will have on the Activity and the action the Recipient proposes to take to address this;
 - (B) progress on achieving the Outcomes;
 - (C) any major issues or developments which have arisen and the effect they will have on the Activity; and
 - (D) any proposed changes to the Activity.

Acquittal reports

- (c) The Recipient must provide acquittal reports:
 - (i) as required by item 11; and
 - (ii) within 40 days after the earlier of the Activity End Date, expiry or termination of this Agreement.
- (d) Each acquittal report must include the following:

	Content	Prepared by
(i)	audited financial statements in accordance with the Applicable Auditing Procedures in respect of the Funds (separately and in the context of the Recipient's overall financial position), which must include a definitive statement as to whether the financial information for the Activity represents the financial transactions fairly and is based on proper accounts and records.	an Independent Auditor
(ii)	where there are any qualifications or limitations on the audit, a letter to the Recipient, or a report providing an outline of the reasons for the qualifications or limitations and the remedial action recommended.	an Independent Auditor
(iii)	a certificate: (A) that all Funds were spent for the purpose of the Activity and in accordance with this Agreement and that the Recipient has complied with this Agreement; and (B) the amount remaining in the account referred to in clause 6.	the CEO or CFO of the Recipient

Final report

- (e) Unless stated otherwise in item 6 of Schedule 2, the Recipient must within 60 days of the completion of the Activity provide a report which includes:
- (i) the name of the Recipient and all subcontractors;
 - (ii) the Activity title and number;
 - (iii) a statement of the Funds provided and spent;
 - (iv) the amount (if any) remaining in the account referred to in clause 6
 - (v) a description and analysis of the progress of the Activity, including:
 - (A) evidence that the Activity has been completed, and the Milestones have been achieved;
 - (B) details of the extent to which the Activity achieved the Outcomes;
 - (C) any highlights, breakthroughs or difficulties encountered; and
 - (D) conclusions or recommendations (if any) arising from the Activity;
 - (vi) copies of any published reports, promotional material, media publicity, pamphlets or other documentation relevant to the Activity; and
 - (vii) reconciliation of Assets and a copy of the Asset Register.

Ad hoc reports

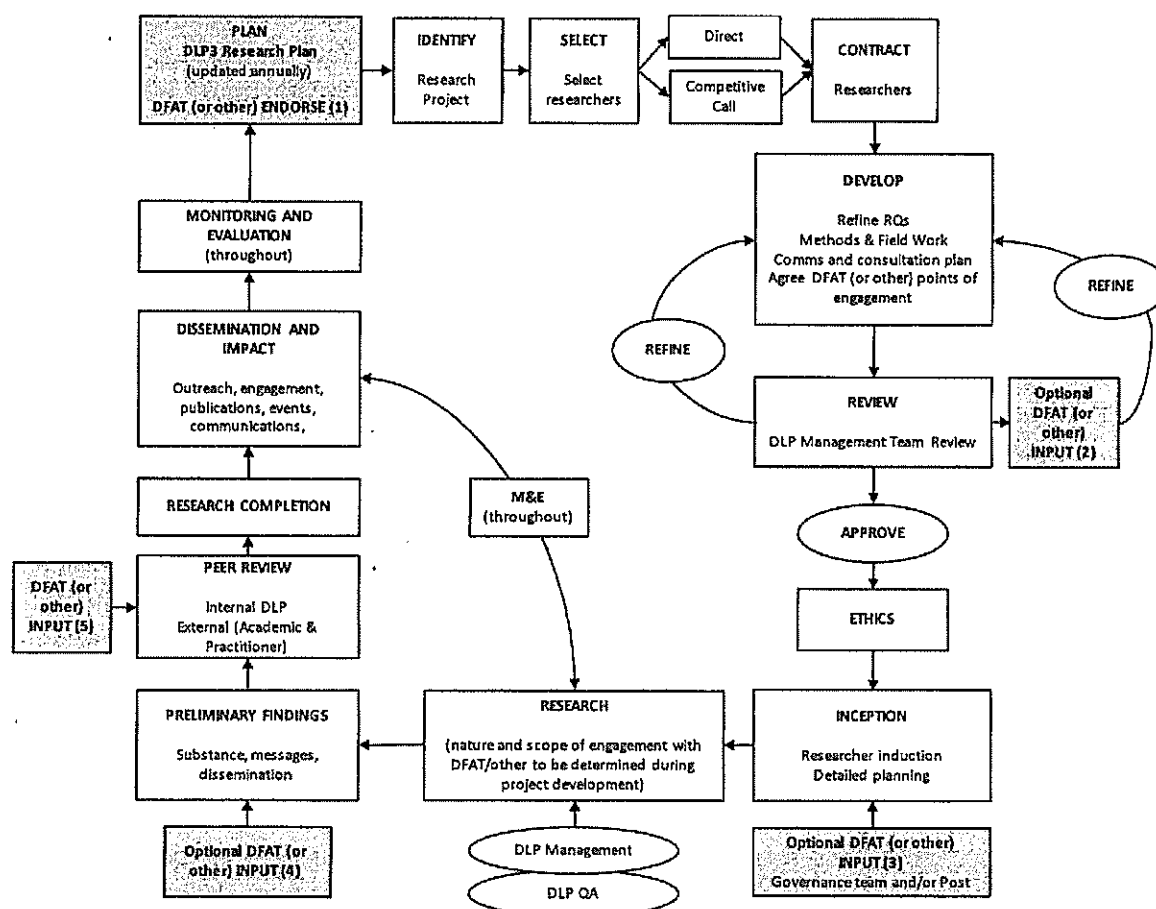
The Recipient must provide ad-hoc reports as requested by DFAT from time to time at the time and in the manner reasonably required by DFAT in relation to any significant

developments concerning the Activity or any significant delays or difficulties encountered in undertaking the Activity.

Attachment One

The following provides an expanded explanation of the research cycle, including some suggested (or sample) scripts for operationalising the principles of independence, rigour, quality, and managing potential bilateral or regional sensitivities throughout the research. These are intended as a resource, they can be edited as necessary and should be rolled into the Standard Operating Procedures, as appropriate.

It is important to note the distinction between those stages of DFAT input which are standard – stages 1 and 5 – and the remainder which are optional. **Whether these additional options points of DFAT engagement are included in a research project must be discussed and agreed during the identification and design of each research project.**



1. As the research program is being formulated, GOV Section will assist DLP to consult with DFAT geographic areas on possible studies related to DLP's core research questions.

The key message is “DLP is an independent research initiative, funded by Australia. It aims to produce policy and program relevant insights into supporting locally driven processes of reform, with a particular focus on supporting local leaders to make positive change. DLP is going through a process of identifying research studies on its theme of developmental leadership, and we would appreciate input into what research on this topic would be useful to policy or programs. DFAT values the independence of DLP’s research and its research pieces are widely published to contribute to international understanding and practice, as well as informing DFAT. Given the research will be published, please tell us if DLP’s research on this topic, as currently framed, is likely to raise significant regional or bilateral sensitivities. If so, we’d like to discuss with you how to manage those sensitivities, or whether it would be better to select another research study. We will ensure that the research is shared in advance with you, and you will have input on policy recommendations, but you will not be able to alter the findings or conclusions of any written outputs”.

2. As the researcher is being oriented, DLP will advise the researcher: “It is incumbent on the researcher to be aware of and navigate the political economy of a research topic, so that it doesn’t have any negative consequences for DFAT’s reputation or programs. The intention of the research is to be influential, and so expressing messages in a way that does not cause a backlash is an essential part of the research. In order to ensure policy impact and uptake, we would like you to engage with relevant DFAT officers to gather input on possible policy messages. This can be done via an aide memoire type process, during or after fieldwork”.

The extent and nature of researcher contact with DFAT at this stage must be negotiated in advance.

3. At inception phase, and if agreed in the research design, GOV Section will assist DLP to consult with the relevant DFAT Post – in advance of commencing research. The key message is “I am a DLP researcher, undertaking independent research on [add topic]. I will be conducting fieldwork during [relevant time period]. This research will be published to contribute to international understanding and practice, as well as informing DFAT. Given the research is funded by DFAT, I would appreciate the chance to meet with you and discuss your perspectives on the issue, as well as get your input into relevant informants. I would also be happy to meet with you at the conclusion of the fieldwork to share my initial findings, and discuss possible messages for policy and practice”.

The extent and nature of researcher contact with DFAT at this stage must be negotiated in advance.

4. Once preliminary findings have been developed, GOV Section will assist DLP to consult with the relevant DFAT Desk/ Post. This *may* include seeking assistance in refining the policy messages of the research.

The key message is [edit as necessary] “I am a DLP researcher, undertaking independent research on [add topic]. I undertook fieldwork during [relevant time period]. This research will be published to contribute to international understanding and practice, as well as informing DFAT. Given my aim is to ensure the research is relevant to policy and practice, I’d like the chance to discuss with you my preliminary findings and the key messages for policy and practice. I intend the

paper to be finalised by [add date], and I am happy to share a copy with you”.

5. At peer review stage, GOV section will send a copy of the paper to the relevant geographic area.

The key message is “DLP is an independent research initiative, funded by Australia. It aims to produce policy and program relevant insights into supporting locally driven processes of reform, with a particular focus on supporting local leaders to make positive change. In [add time period], we spoke to you about the DLP undertaking research on the topic of [add topic]. They undertook fieldwork in [add time], with the support of [add Post]. We are pleased to attach the paper. It is intended that it be published in [add time]. As discussed at the outset, this topic was chosen to add to give us policy and practice insights into the topic of leadership. The research will be published with a coda that it is independent research, and does not reflect the views of DFAT. We would appreciate your input on any empirical inaccuracies, the relevance of the findings and their potential implications for policy and practice. The research has been conducted throughout with a view to ensuring it does not adversely impact on Australia’s bilateral or regional relationships.”

DLP WORKPLAN Year 1

[illegible]

