DUTCH RELIEF ALLIANCE

INNOVATION PROPOSAL

CONTENTS

1.1 GLOBAL NEED FOR JOINT HUMANITARIAN INNOVATION

In 2018, more than 128 million people are expected to be in need of humanitarian aid and more funding than ever before is required to help them.[1] However, the amount of funding available is not growing at the same pace as the needs. This increasing need for humanitarian aid on the one hand, and the growing shortage of finance on the other hand, call for more radical innovation of the humanitarian sector.

Whilst innovation has not been mentioned as such in the committed Grand Bargain commitments, many of the committed goals do directly link to the need for innovation. This joint need for innovation, however, cannot be done by individual organisations on their own. Research shows that humanitarian innovation benefits in many ways from collaboration – from the cross-sectoral and cross-organisational fertilisation of ideas, to partnership in the development, implementation and scaling-up of an innovation.[2] Private sector organisations, academic institutions, non-humanitarian service organisation, government agencies at all levels and local and international humanitarian organisations need to collaborate to address the changing needs and use available resources in an efficient and effective manner. It is important to also engage the affected people in innovation processes, wherever feasible.

1.2 CURRENT INNOVATION LANDSCAPE

A broadly accepted definition of humanitarian innovation has been formulated by ELRHA: "Innovations are dynamic processes which focus on the creation and implementation of new or improved products and services, processes, positions and paradigms. Successful innovations are those that result in improvements in efficiency, effectiveness, quality or social outcomes/impacts".[3]

In recent years, a number of initiatives within the international community have been undertaken to spur humanitarian innovation. For reference and to prevent overlap, a list of initiatives is summarized in Annex A Looking at the Humanitarian Innovation Ecosystem as a whole, six priorities have been identified for the innovation system by Brighton University[4], including i.e. the priority to address resource gaps and approaches, to strengthen and facilitate ecosystem interactions and relationships and to build a global alliance to strengthen the innovation ecosystem. The Dutch Ministry of Foreign Affairs (MoFA) and the Dutch Relief Alliance (DRA) have a joint ambition to contribute to the global Innovation Ecosystem aiming for changes that lead to improved efficiencies, effectiveness, impact and quality in humanitarian responses. This call for proposals is the first step to realise this ambition.

---

[1] http://interactive.unocha.org/publication/globalhumanitarianoverview/

[2] https://www.alnap.org/system/files/content/resource/files/main/hif-alnap-2016-innovation-more-than-luck.pdf

[3] http://www.elrha.org/hif/innovation-resource-hub/innovation-explained/introduction-humanitarian-innovation/

[4] https://www.brighton.ac.uk/_pdf/research/centrim/humanitarian-innovation-ecosystem-research-project-final-report-with-recommendations.pdf

1.3 COORDINATION OF INNOVATION INTERVENTIONS: ESTABLISHMENT OF DRA INNOVATION FUND

The DRA has set its strategy for 2018-2021 in partnership with the Dutch MoFA. In this strategy, the DRA acknowledges and underpins the importance of humanitarian innovation, being one of their four strategic priorities. As a result of this prioritisation, the DRA Innovation Working Group (IWG) was initiated. The objective of the IWG is:

"To enable an environment for piloting, scaling up and implementing innovation, ensuring Dutch NGO's are at the forefront of change and solutions to deliver high quality humanitarian action."

A key deliverable of the IWG is to set-up and manage the DRA Innovation Fund (DIF): within the available DRA budget 2018-2021, a budget of €12 million has been allocated to this fund. This has been published in the MoFA policy framework for 2018 in December 2017.[5] This budget covers the DRA period of 2018-2021, with €3 million available in each year.

This Call for Proposals sets the funding & allocation framework for the DIF 2018 budget.

ELIGIBILITY CRITERIA AND THEMATIC FOCUS

2.1 WHO CAN APPLY?

The Lead applicant must always be a DRA member.[6] DRA members can apply individually, but it is **strongly encouraged to apply in partnership with co-applicants and other parties**: co-applicants can only be other DRA-members; other parties are defined as 'other non-profit organisations, companies and universities'. Please refer to chapter 3 for more detailed information.

2.2 THEMATIC FOCUS

In the DRA strategy 2018 – 2021, 7 innovation themes have been selected as focus for the coming 4 years: dignity, smart use of data, safety & protection, timely response, health & sanitation, cash programming and renewable energy. With this prioritisation, the DRA largely follows the key themes of the Dutch Coalition for Humanitarian Innovation (DCHI), with whom the IWG closely partners for access to innovation expertise as well as access to relevant partners to support multi-disciplinary innovation. Every year, the IWG will consult DRA members on the thematic priorities for the upcoming year, selecting from the 7 overall DRA innovation themes.

For this Call for Proposals, the three (3) thematic areas are outlined below. Per theme, relevant key challenges are listed. Innovation applications under this DIF Call **have to relate to one (or more) of these key challenges.** The review committees will **not consider proposals outside these 3 thematic**

---

[5] Staatscourant, Nr. 70561, 8 December 2017: 'Besluit van de minister voor Buitenlandse Handel en Ontwikkelingssamenwerking van 1 december 2017, nr. MINBUZA-2017.7963 tot vaststelling van beleidsregels en een subsidieplafond voor subsidiëring op grond van de Subsidieregeling Ministerie van Buitenlandse Zaken 2006 (Noodhulp Nederlandse NGO's 2018-2021)

[6] The 16 DRA members are: CARE, Cordaid, Dorcas, ICCO, Oxfam Novib, Plan, Save the Children, SOS Kinderdorpen, Red een Kind, Stichting Vluchteling, Terre des Hommes, Tearfund NL, War Trauma Foundation, Warchild, World Vision, ZOA.

frameworks. The DIF is aiming to grant at least one project per thematic area, depending on the submitted applications.

A guidance note with further thematic guidance per theme is included in Annex B.

SMART USE OF DATA

- **Smart use of data for humanitarian purpose**: how to ensure better collection and use of data for humanitarian purposes (protection, food security, nutrition, WASH, health, education, emergency telecommunication, logistics, camp management and coordination, early recovery, etc.)
- **Smart use of data for improved coordination of humanitarian interventions**: how to prevent fragmentation, poor quality of data integrity and lack of access to or uptake of available data, (including monitoring and evaluation data from and towards the beneficiaries) sitting in various offices hampering humanitarian coordination.
- **Smart use of data to address privacy, personal safety and security concerns**: how to improve privacy, personal safety and security in relation to data. Data is not value free. If better sharing is achieved, possibilities for sharing of sensitive data increase and the likelihood of sensitive data traveling in the system will need to be addressed.
- **Smart use of data by local actors**: how to improve the local capacity to collect, analyse, use and disseminate data is limited.
- **Big Data & Open Data**: how can open data with spatial analytics and location intelligence be combined that could improve needs assessment and/or preparedness; how to support the development of indicators/classification to define where DRA members would add most value in responding to crises. Large datasets that could help improve targeting remain largely unused, as tools to integrate them into humanitarian data sets that inform decision-making are lacking;

CASH PROGRAMMING

- **Cash preparedness in emergency settings**: how to improve operational efficiency and coordination (improvements in speed, scale and cost-efficiency) in emergency setting to deliver cash transfers 72 hours after a disaster or crisis.
- **Cash evidence base**: how to innovatively demonstrate the effectiveness of cash relief to achieve outcomes in humanitarian settings beyond meeting basic needs, including women's protection & empowerment, prevention of under-five mortality, diversification of livelihoods, and strengthening economic well-being.
- **How to develop new delivery models and innovations which can be used to increase the impact, quality and scale of (Cash Transfer Programming) CTP.** This includes new partnerships with communities, knowledge institutions, the private sector, governments and other actors.
- **The creation of tools and systems that demonstrate adequate financial controls and secure systems for safe delivery of cash** all along the chain from donor to beneficiary, particularly in cross-border or other contexts with limited access on the ground.
- **Building CTP capacities** of local actors in line with the Localization agenda and Grand Bargain commitment 2, to ensure that principled humanitarian action is as local as possible and as international as necessary.
- **How to use CTP as a catalyst for further innovation,** such as linking CTP to beneficiary accountability (i.e. by using block chain).

SAFETY & PROTECTION

The framework of this theme has been set for Safety and Protection separately:

A) Safety

- **Staff safety**: how to increase (local and expat) staff safety, such as training, cooperation and alert systems.
- **Beneficiary safety**: how to increase safety for beneficiaries, for example, improved protection from abuse, caused by those who are providing humanitarian aid. This may include data protection and privacy, treated under 'smart use of data'.
- **How to improve (technological) reporting and alert systems** for imminent natural or man-made risks in emergency contexts and the adequate use of these system. This may go beyond 'smart use of data'.

B) Protection

- **Child Protection**: **what are possible innovative responses to protect from, or recuperate from identified Child Protection risks, including addressing possible underlying causes (prevention)?** Challenge is often that communities are uprooted, community structures not functioning and therefor lacking a safety net for children and other vulnerable people. What can be done in these emergency settings, the new circumstances, to use these internal resources of people to prevent and respond to abusive situations?
- **Sexual and gender-based violence:** what are possible innovative responses to protect from, or recuperate from identified Protection risks, most notably for girls, boys and women, including addressing possible underlying causes (prevention)? What are useful ways to involve the IDP and/or host community in prevention and response to GBV?
- **What could be innovative approaches to train & educate staff and local structures, and/or awareness raising on safety & protection;**

2.3 ELIGIBLE CATEGORIES AND PHASES OF INNOVATION

2.3.1 CATEGORIES OF INNOVATION

The DIF follows the 4P's model of John Bessant and Joe Tidd, defining[7] the four (4) broad categories of innovation. All four (4) described categories of innovations are **allowed** under this call:

1. **Product innovation**: changes in the products and services which an organisation offers
2. **Process innovation**: changes in the ways in which products and services are created or delivered
3. **Position innovation**: changes in the context in which the products and services are framed and communicated
4. **Paradigm innovation**: changes in the underlying mental models which shape what the organisation does.

---

[7] http://www.elrha.org/hif/innovation-resource-hub/innovation-explained/types-humanitarian-innovation/

2.3.2 PHASES OF INNOVATION

	Recognition *Opportunity*	Invention *Opportunity*	Development	Implement *Pilot*	Diffusion *Scale*
What happens in the phase	• Define the challenge; including understanding of need, context analysis, existing solutions, and desired outcome.	• Scan opportunities including stakeholder mapping. • Design solution • Feasibility study	•Develop Beta version of solution •Functional and technical testing •Business case development	•Pilot innovation •Testing Business model •Gather evidence •Strategy for launch	• Multiple organisations adopt solution • solution applied in Multiple locations • Further development of business model •Monitoring and evaluation
Deliverable of Phase	• Challenge description (vraag articulatie) incl. perspective / experience of end-users • Objective and requirements of solutions (Oplossingsrichting) • Plan for additional needs for resources and expertise in next steps.	• Proof of Concept / prototype • Small scale test of PoC • Match between solution requirements / POC • Proof of commitment from partners for next phase • Plan for development	• Beta version of solution • Evidence based on functional/technical test • Roadmap for roll-out • Business case	• Solution 1.0 • Results of pilot including evaluation and next steps (needs for further development?) • Launch strategy (including partner commitments)	• Product widely available • Continued improvement and development of solution (based on M&E)

Table 1 - Source: DCHI[8]

Within each innovation category (see 2.3.1), five (5) phases of innovation can be distinguished: Recognition, Invention, Development *(this includes small scale tests of Proof of Concept and realisation and piloting of prototypes)*, Implement and Diffusion. For this Call, DIF has decided to consolidate the above table in to the following three phases:

Phase 1:   Recognition, invention and development

Phase 2:   Implement (piloting)

Phase 3:   Diffusion (upscaling)

An application must **link to one of these three described phases**. It is important that each application clearly mentions to which phase of innovation their plans link, and what are the outcomes expected at the end of the project for which financial support is sought. This information must be indicated on the CN Template (see chapter 3).

2.4 ALLOWED PROJECT COSTS AND ICR

Allowed project costs are defined as 'all direct and indirect costs related to a proposal and the implementation of the proposal'. The DIF follows the generic guidance of MoFA with regards to ICR, being maximum 8% of

---

[8] The IWG is following the current innovation funnel of DCHI. This funnel is never finalised, as innovation is an organic process. This could mean that in future DIF Calls this table can be redefined/adjusted.

total costs. A management fee (max 1% of direct costs) for the Lead applicant may be incorporated in the application.

Throughout the implementation, projects will need to be monitored and reported on. Costs for monitoring and evaluation must be included in the applicant's budget – this includes an impact assessment. The evaluation will be an external evaluation organised by the applicant, for which the DIF will provide a Terms of Reference (ToR). The content of the ToR will be agreed with the DRA MEAV Working Group and MoFA. The evaluation requirements for phase 1 could be lighter than for phase 2 and 3.

Lastly, all innovation projects need to include sufficient budget for an external audit.

APPLICATION PROCESS

3.1 AMOUNT (MAX) PER APPLICATION

As explained in section 1.3, the available budget for DIF in 2018 is €3 million. The DIF did not define a minimum amount. The maximum amounts per application differ depending on the phase of innovation:

- Recognition, Invention and Development: maximum of €400.000
- Piloting: maximum of €800.000
- Diffusion: maximum of €800.000

3.2 DURATION OF THE PROPOSED INNOVATION INTERVENTION

There is no minimum duration. The maximum duration for the DIF 2018 allowed depends on what the phase of innovation is of the application:

- Recognition, Invention, Development: maximum of 12 months
- Piloting: maximum of 24 months
- Diffusion: maximum of 24 months

No guarantees can be given for financing of next phases in the innovation timeline in future DIF Call for Proposals, though DIF is interested to consider follow-up financing for a scaling strategy after a successful phase 1 (Recognition, Invention and Development) or successful phase 2 (pilot).

3.3 JOINT RESPONSE RELATED INNOVATION VS. OTHER/WIDER INNOVATION IDEAS

The key focus of the DIF is to encourage sector-wide humanitarian innovation, so addressing broader innovation needs than specifically related to particular DRA Joint Response programmes. But in addition to these wider innovation needs, applications are allowed that relate to a specific - currently implemented - Joint Response of the DRA. Such applications also need to fall under the selected DIF themes as defined in paragraph 2.2. **The DIF aims to grant a maximum of two (2) JR specific applications** under this Call 2018.

3.4 NUMBER OF APPLICATIONS ALLOWED PER DRA MEMBER

As Lead applicant:

Within the DIF 2018, every DRA member is allowed to **submit two (2) proposals as Lead applicant**. Within this maximum of 2 application, a Lead application can submit one (1) per **selected theme[9]** (see selected themes in chapter 2), and one (1) application as Lead applicant may be related to **a specific Joint Response innovation**.

As co-applicant:

Participation for DRA members as co-applicant is **unlimited**.

3.5 NUMBER OF APPLICATION ALLOWED FOR NON-DRA MEMBERS

The DIF strongly encourages to create strong and broad coalitions consisting of DRA members and external actors. This element will be reflected in the review process. There is no limit to the number of applications in which 'other parties' (defined as 'other non-profit organisations, companies and universities') may act.

3.6 SUBMISSION PHASE

The call for proposals consists of two (2) different phases:

1. Concept Note (CN) phase: attached to this Call for Proposals is the CN format, see Annex C. Applicants are required to summarize their plans in 2-3 pages, following the instructions in the format.

2. Full Proposal (FP) phase: selected CNs are invited to submit a full proposal including a narrative, detailed implementation plan and detailed budget. (templates will be shared after the CN phase)

The review process (3.7) and the timeline (3.8) are further explained below.

3.7 REVIEW PROCESS

To protect the objectivity of the review process, and to ensure full expertise in the panel of review, the DIF decided to set up an independent committee for each of the 3 selected thematic focus. These committees will be set up in coordination with DCHI and MoFA. The review committee will consist of 3 external experts from existing networks on the specific selected themes (through DCHI ecosystem) and 2 DRA representatives. The 2 DRA representatives will be chosen based on A) prevention of conflict of interest and B) thematic expertise on the relevant themes.

Annex D of this Call for Proposals shows the evaluation grid that will be used for the review process. Between the CN and FP phase, the committees will also provide technical and thematic support to the applicants to ensure the highest quality of the full proposals.

---

[9] The DIF understands that in certain innovation proposals there might be overlap of more themes; in the sense that more than one theme is included in the proposal (e.g. a S&P proposal that includes Smart use of Data aspects). In that case there should always be one **primary** theme – that can be complemented by one of the other two themes. In the templates the primary theme should be indicated.

The DRA IWG will have two informative meetings with the Ministry throughout the review process (after the CN selection and after the FP final allocation) to ensure the Ministry is aware of the discussions and decisions made.

3.8 TIMELINE CALL FOR PROPOSALS

Kindly find below the tentative timeline for the application process:

Action	Deadline (time zone GMT +2)
DIF Call for Proposals published	Monday 28 May 10.00h
Concept Note (CN) submission deadline	Friday 6 July 17.00h
Review CN's	Week of 9 – 13 July
Announcement selected CN's	Friday 13 July 16.00h
Full Proposal (FP) submission deadline	Friday 10 August 17.00h
Review FP's + award publication	Week of 13 – 17 August
Joint award event	Thursday 23 or Friday 24 August (tbd)

3.9 Intellectual Property

The solutions supported by this DIF comprise innovative technologies, services, business models, knowledge and/or products to promote humanitarian action in natural disaster and conflict-affected contexts. In order to ensure meaningful access for relevant populations, the successful development and deployment of these solutions may require involvement by, support of and/or collaboration with multiple organizations, including the private sector, governments and academic and/or non-profit research institutions.

Therefore agreements on Intellectual Property should be agreed upon between coalition partners within each submission. The Innovation WG will look after that the innovation investment will be protected in such a way that scalability and use of the innovation by DRA and non-DRA members is guaranteed. Also will any kind of abuse/misuse or usage which is unwanted by MoFa and DRA be properly addressed in any contractual agreement between the DRA Block Grant Manager with (third) parties. Depending on the type of innovation (e.g. new product, new methodology), existing Intellectual Property rights and current Intellectual Property agreements of coalition partners, and the negotiation power of the lead member, guidance will be given in the contracts between the DRA Block Grant Manager and the lead member on how Intellectual Property should be arranged in an appropriate way.

This section elaborates on what the DRA considers important to be reflected in the applications for the DIF. We make a distinction between threshold criteria and quality criteria on the one hand and Concept Note and Full Proposal stage on the other hand. The threshold criteria apply to the Concept Note stage, while the quality criteria for the Concept Note are a subset of the quality criteria for the Full Proposal. All criteria are also reflected in the evaluation grids (Annexes C & D).

4.1 Threshold criteria

We define two threshold criteria which apply both for the Concept Note stage as for the Full Proposal stage:

Thematic Focus

The review committees will not consider proposals outside the 3 yearly chosen thematic frameworks.

New Innovation for the humanitarian sector

The proposed product, process, positioning or paradigm innovation is new for the humanitarian sector. Therefore, it is strongly suggested to research existing solutions before applying and justify how your innovation contributes and builds on the existing innovation landscape. This strong encouragement is also reflected in the scoring grid.

4.2 QUALITY CRITERIA FULL PROPOSAL

The Quality criteria are partly based on "Humanitarian Innovation Principles" and on Grand Bargain commitments.

Humanitarian Innovation Principles

The proposal has to be compliant with "humanitarian principles". However, no Code of Conduct for Humanitarian Innovation has been formally adopted by the humanitarian system. DCHI has developed guiding principles that aim to support humanitarian innovation at making an impact at scale. It is expected that Elhra will publish a Elhra/HIF Guide on humanitarian innovation principles soon. In order to put these principles at work, both sets of principles have been integrated in the following **principles and recommendations** to evaluating proposals and monitor the innovation process along the way:

1. **Accountability to affected people:** demonstrating how the rights and interests of affected people are respected in an innovation is seen as a minimum standard for all innovation processes. Humanitarian organisations must take specific measures to ensure that any increased risk in terms of cost-effectiveness remains confined to the innovating organisation, rather than the affected community.

2. **Ensuring participation and user-led design:** people affected by crisis are at the center of the innovation design, acknowledging innovation capacity within communities and placing them at the heart of the innovation process. Disaster affected people and other relevant stakeholders are informed, engaged and able to actively participate in the development process to ensure that their needs and expectations inform design decisions (See also: http://www.engagehcd.com/).

3. The DIF encourages **Responsible Risk taking**. While dynamic innovation processes can eventually lead to improvements in humanitarian assistance, many false starts, unsuccessful pilots and revisions to original plans and prototypes occur along the way. To increase innovation, the principle of 'failing fast' is embraced to support adaptation and improvement and increase efficiencies. The provision of a separate framework for humanitarian innovation, apart from Joint Response operations, will tackle the risk-averse nature of humanitarian response operations. Since human lives are at stake, innovations are requested to comply with the principles of "*Do No Harm*". Proposals also need to present a risk analysis with proper mitigation measures to minimise the occurrence and potential impacts of possible risks.

4. **Joint innovation:** the **collaborative ecosystem** of the DRA harbours good conditions for sharing and diffusion of solutions. The DIF incentivises collaboration by awarding points for joint innovation initiatives, from Lead Applicants with one or more co-applicants. The DIF encourages initiatives which involve partnerships with a broad range of actors engaged in innovation projects.

5. Innovations must **comply with the DRA strategy.** A clear vision on the inclusion of crosscutting themes in the proposal needs to be presented.

6. **Open and effective knowledge sharing** within and beyond the humanitarian sphere is considered primordial for their success. To ensure the maximum reach and uptake, material produced by the projects should be shared on recognized, existing platforms instead of creating new, project-driven (online) platforms.

A combination of the above mentioned Humanitarian Innovation Principles[10], the Grand Bargain Commitments and the DRA strategy lead us to the following **quality criteria** which will be followed by DIF:

1. **Relevance of the innovation:** the proposed solution should be clearly linked to needs on the ground, answering a gap in the sector. The innovation should be based on a sound problem analysis, contextual awareness and intervention logic.

2. **Proposed innovation:** justification of the 'innovation logic', including description of the process, targets, indicators and monitoring.

3. **Efficiency and effectiveness / value for effort:** the innovation must be disbursed with a minimum of bureaucracy , the proposed innovation must be timely and cost-efficient to gain efficiencies in delivering assistance. Furthermore, the proposed innovation must have the potential to generate life-saving or life-improving assistance. The proposal should contain a realistic timeline and budget. The costs need to be explained in terms of deliverables, with relevant justification given for any high expenditure on support costs.

4. **Transparency, adoption and scalability:** The proposed innovation should be as transparent as possible. Furthermore, the innovation should be appropriate to scale and used by others to improve humanitarian performance.

5. **Localisation:** the DRA supports building local capacities and partnerships. Where possible, local actors should be involved in the innovation process.

6. **Collaboration:** to what extent is the proposal the result of a joint and effective coalition from various types of stakeholders?

---

[10] https://odihpn.org/magazine/separating-the-good-failure-from-the-bad-three-success-criteria-for-innovation/

7. **Accountability:** the innovation must be accountable towards the affected people, the donor and the Dutch public.

8. **Participation:** To what extent are affected people meaningfully engaged in design and/or implementation?

9. **Gender and inclusiveness**: is the innovation sensitive towards differences in gender and age? Is the proposed innovation inclusive towards the most vulnerable groups?

10. **Consolidated learning and evidence:** strong monitoring and evaluation should lead to learning and evidence. New knowledge should be generated and shared, either on enhanced evidence base around the innovation or around the performance of the innovation itself. A strategy for dissemination of the information is part of the proposal.

11. **Risk:** a thorough risk analysis with appropriate mitigation measures needs to be part of the proposal to ensure that innovations take the "Do No Harm" principle into account, as well as other potential risk factors.

In case of questions concerning the DIF Call for Proposal 2018, please reach out to the IWG:

Martine Bergwerff, Chair of the IWG
martine.bergwerff@savethechildren.nl
t: +31 (0) 703384448
m: +31 (0) 633688347

LIST OF ANNEXES

Annex A: Current Innovation Landscape – List of Initiatives

Annex B: Guidance notes for further thematic guidance on themes Cash Programming and Smart Use of Data *(no additional guidance provided for Safety & Protection)*

Annex C: DIF Concept Note (CN) template

Annex D: Evaluation grid

LIST OF ABBREVIATIONS

CaLP   Cash Learning Partnership

CN   Concept Note

CTP   Cash Transfer Programming

DCHI   Dutch Coalition for Humanitarian Innovation

DIF   DRA Innovation Fund

DRA   Dutch Relief Alliance

ELRHA   Enhancing Learning and Research for Humanitarian Assistance

FP   Full Proposal

GBV   Gender Based Violence

HIF   Humanitarian Innovation Fund

IWG   Innovation Working Group

KUNO   Kennis-Uitwisseling over Noodhulp

MEAV   Monitoring, Evaluation, Added Value

MoFA   Ministry of Foreign Affairs

ToR   Terms of Reference

WASH   Water, Sanitation and Hygiene

Annex A: **Current Innovation landscape – List of initiatives in humanitarian innovation**

- **Science** initiatives:

    o Humanitarian Innovation Project 2012-2017, followed up by the Refugee Inclusive Economies programme. https://www.refugee-economies.org/innovative-practices

    o The IHSA has been propagating scientific reflection on humanitarian innovation and made it one of the tracks during the upcoming conference in The Hague, August 27-29. https://conference.ihsa.info/about/themes/

    o Brighton University undertook a research project on mapping the humanitarian ecosystem. https://www.brighton.ac.uk/_pdf/research/centrim/humanitarian-innovation-ecosystem-research-project-final-report-with-recommendations.pdf

- **NGO** initiatives:

    o An Innovation Resource Hub has been established by Save the Children, who are hosting ELRHA http://www.elrha.org/hif/innovation-resource-hub/

    o ALNAP & HIF study on Innovation: Innovation, More than luck. https://www.alnap.org/system/files/content/resource/files/main/hif-alnap-2016-innovationmore-than-luck.pdf

- **UN** initiatives:

    o UN-OCHA published a report in 2014 on the State of the Art in Humanitarian Innovation. https://www.unocha.org/sites/unocha/files/Humanitarian%20Innovation%20The%20State%20of%20the%20Art_0.pdf

    o UNICEF developed a number of Principles for Innovation and Technology in Development. https://www.unicef.org/innovation/innovation_73239.html

- **Bilateral** initiatives:

    o ECHO: Innovation in Humanitarian Response and Disaster Management. https://europa.eu/capacity4dev/file/29617/download?token=FW9RrOcm

    o GLI (Ausaid):

- **Cross-sectoral** initiatives:

    o A mapping of the landscape that includes innovation initiatives across various sectors was done by the Global Public Policy Institute as part of the INSPIRE Consortium. https://europa.eu/capacity4dev/file/29617/download?token=FW9RrOcm

    o The Dutch Coalition Humanitarian Innovation (DCHI) is comprised of governmental actors, knowledge institutes, academia, businesses, and humanitarian organizations in the Netherlands who develop and scale innovative solutions to increase the impact and reduce the costs of humanitarian action; www.dchi.nl.

Annex B: **Guidance note for further thematic guidance**

1. Further guidance on the theme 'Cash Programming':

Introduction: Cash transfer programming (hereafter referred to as 'CTP'[11]) has been used for development purposes for a number of decades, particularly in the field of social protection in low- and middle-income countries[12]. More recently, CTP is adopted in humanitarian settings aiming to meet basic needs of affected populations through a dignified, effective and efficient response. The evidence base of cash based programming in humanitarian settings is showing a singular picture that cash based interventions have the potential to provide great efficiency and (cost) effectiveness gains especially in the sectors Food and Non-Food Items. Moreover, with the commitment to Grand Bargain 3 "increase the use and coordination of cash-based programming" CTP has been put worldwide on the agenda as the Grand Bargain commitments were signed by major humanitarian donors, NGOs and UN agencies. Key humanitarian players when it comes to moving forward the Cash agenda are e.g. WFP and IFRC, investing globally in this methodology.

In light of the increasing gap between humanitarian needs and funding, CTP is considered more often, but not yet systematically. In 2016, an estimated $2.8bn in humanitarian assistance was disbursed through cash and vouchers[13] becoming the 10.3% of the global Humanitarian Aid According to the 2018 CaLP, "The State of the World's Cash Report", CTP has a transformative potential but to be able to realize the full (transformative) potential of CTP actors need to (1) integrate CTP into humanitarian responses, systems and organizations; and (2) innovate to benefit from the new and disruptive opportunities created by CTP.

The DRA has committed itself to integrate CTP into humanitarian responses by adopting a 'cash unless' approach where, if no cash programming is built into the proposal, DRA members should explain why they decided not to employ a cash-based intervention. As well the DRA has committed itself to continue investing in change and innovation in partnership, within the DRA but also outside this alliance. Finding and using technology to achieve better technical standards and greater transparency and accountability. Establish multifunctional partnerships early in the process, tackle bottlenecks or foster (demand driven) innovation in cash-based interventions through facilitating think thanks, hackathons, wicked model plaza where all relevant actors come together and join forces and pilot potential solutions[14]. As well seek to pilot new financing models for localizing support and delivering cash such as direct individual to individual giving, community to community models with INGOs acting as brokers and quality guarantors and links to microfinance, mobile money and insurance[15].

DRA partners have identified the following **bottlenecks** (as discussed in the DRA/KUNO cash expert meeting held August 2017) in CTP:

- Donors, service providers and implementing NGOs are currently not equally sharing risks of cash transfer programming, especially when reliance on informal banking systems is required.
- The current Risk & Compliance framework set by governments and the financial sector push CTP implementers into the informal system, resulting in significant risks and transparency concerns. Current Risk & Compliance framework of governments and banks does not fit the push for CBP.

---

[11] CaLP, Glossary of Cash Transfer Programming, www.cashlearning.org/resources/glossary

[12] DFID, Cash Transfers, Evidence paper, Policy Division 2011, http://webarchive.nationalarchives.gov.uk/+/http:/www.dfid.gov.uk/Documents/publications1/cash-transfers-evidence-paper.pdf

[13] CaLP, The State of the World's Cash Report, February 2018, http://www.cashlearning.org/downloads/calp-sowc-report-exs-web.pdf

[14] DRA/KUNO Cash Expert Meeting Aug 2017 - Takeaways

[15] Dutch Relief Alliance Strategy 2018-2021

- Real collaborative impact cannot be achieved if beneficiary data is not shared amongst implementing partners and between service providers. However privacy and data sensitivity (especially in conflict settings) hampers effective collaboration.
- CTP is not an appropriate modality to reach the most vulnerable in humanitarian crisis. Cash based programming should not be perceived as a stand-alone intervention, but should be embedded in specialized programming such as ensuring equal access to basic services and inclusiveness of the most vulnerable.

Increased integration and innovation is needed to be able to tackle these bottlenecks. The DRA Innovation cash sub-working group therefore proposes the following **thematic areas for the call for proposals**:

- Cash preparedness in emergency settings: how to improve operational efficiency (improvements in speed, scale, and cost-efficiency) in emergency setting to deliver cash transfers 72 hours after a disaster or crisis
- Cash evidence base: to participate in Demonstrating the effectiveness of cash relief to achieve outcomes in humanitarian settings beyond meeting basic needs, including women's protection & empowerment, prevention of under-five mortality, and strengthening economic well-being
- Developing new delivery models and innovations which can be used to increase the impact, quality and scale of CTP. This includes new partnerships with communities, knowledge institutions, private sector, governments and other actors
- Tools and systems that demonstrate adequate financial controls and secure systems for safe delivery of cash all along the chain from donor to beneficiary, particularly in cross-border or other contexts with limited access on the ground.
- Building CTP capacities of local actors in line with the Localization agenda, Grand Bargain commitment 2 and CaLP Global Framework for Action[16] Global Objective N.3 , to ensure that principled humanitarian action is as local as possible and as international as necessary
- Using CTP as a catalyst for further innovation such as linking CTP to beneficiary accountability (f.e. by using block chain)
- collaborate to improve coordination among cash partners to better serve affected crisis population.

2. Further guidance on the theme 'Smart use of Data':

The following general principles are particular relevant for the Smart use of Data innovation stream within the Dutch Relief Alliance:

- a bottom up approach where needs are preferably expressed by the beneficiaries with minimal loss of data or classification when accruing the numbers to estimate total needs resulting in blue-print responses;
- innovations have a humanitarian focus and are scalable to various Joint Response situations;
- data solutions will need to be compatible with platforms used by relevant humanitarian networks & stakeholders, both abroad and in the Netherlands.

The overall objective of the smart use of data innovation stream is: "improved access to and use of data by developing data-driven solutions that tackle inefficiencies in the humanitarian system and/or improve impact of humanitarian assistance"

---

[16]CaLP, Global Framwork for Action, www.cashlearning.org/downloads/calp-framework-web.pdf

Five areas where key-challenges occur have been identified. However, this list is not exhaustive. Should there be justification for another Smart Use of Data innovation that does not fall in line with identified priorities, it can still be submitted for funding.

- **Smart use of data for humanitarian purpose**: how to ensure better collection and use of data for humanitarian purposes (protection, food security, nutrition, WASH, health, education, emergency telecommunication, logistics, camp management and coordination, early recovery, etc.)
- **Smart use of data for improved coordination of humanitarian interventions**: how to prevent fragmentation, poor quality of data integrity and lack of access to or uptake of available data (including monitoring and evaluation data) sitting in various offices hampers humanitarian coordination.
- **Smart use of data to address privacy, personal safety and security concerns**: how to improve privacy, personal safety and security in relation to data. Data is not value free. If better sharing is achieved, possibilities for sharing of sensitive data increase and the likelihood of sensitive data traveling in the system will need to be addressed.
- **Smart use of data by local actors**: how to improve the local capacity to collect, analyse, use and disseminate data is limited.
- **Big Data & Open Data**: how can open data with spatial analytics and location intelligence be combined that could improve needs assessment and/or preparedness; how to support the development of indicators/classification to define where DRA members would add most value in responding to crises. Large datasets that could help improve targeting remain largely unused, as tools to integrate them into humanitarian data sets that inform decision-making are lacking;

Below some guidance for each of these sub-themes is being provided in terms of the type of challenges we hope to resolve or opportunities we aim to take advantage of.

I. Smart use of data for humanitarian purpose

Key-challenge: how to ensure better collection and use of data for humanitarian purposes (protection, food security, nutrition, WASH, health, education, emergency telecommunication, logistics, camp management and coordination, early recovery, etc.)

There are several ways how smart use of data can contribute towards increased coordination of humanitarian interventions, such as:

- Data collected for needs assessments and preparedness: timely, consistent and accurate data collection at local level. Which can be used in in preparation of or during an (acute) crises.
- Strategic planning: Improved data sharing and inclusiveness of big data. Establish coordination mechanisms, which seek to harness technology for better, agile monitoring and management of operations, allowing for changes in planned responses halfway an implementation period based on real-time information.

Innovative ways of collecting data and using it for humanitarian purposes is very much part of this funding stream.

II. Smart Use of Data for Improved Coordination of Humanitarian Interventions

Key-challenge: how to prevent fragmentation, poor quality of data integrity and lack of access to or uptake of available data (including monitoring and evaluation data) sitting in various offices hampers humanitarian coordination.

"One of the big problems many organizations struggle with is incomplete and fragmented data sets and knowledge," https://www.devex.com/news/solving-the-data-conundrum-how-to-leverage-tech-and-big-data-for-impact-88406. There are multiple platforms and stakeholders collecting data. This can lead to

a) fragmented data; as the humanitarian sector is complex, consisting out of a large number of entities (NGOs, UN agencies, governments, civil societies, private sectors ect) all trying to support the affected population
b) data available but not used in a crisis situation
c) unavailable data sources which could be contributing towards humanitarian responses and improved decision-making

Data has the potential to improve towards more efficient and quality responses, especially seeing new developments in open & big data and new technologies for data gathering and sharing. There is a steep increase of the collection of data. Innovations could focus on smart linking of data sources/platforms for more concise/complete data through apps and the like.

III. **Smart use of data to address privacy, personal safety and security concerns**:

Key-challenge: *how to improve privacy, personal safety and security in relation to data. Data is not value free. If better sharing is achieved, possibilities for sharing of sensitive data increase and the likelihood of sensitive data traveling in the system will need to be addressed.*

Interventions using data for the benefit of protection issues, human rights and responsible use of data are welcomed under this theme. They can focus on addressing challenges and opportunities in an innovative manner. On the positive side, data can be used to address protection and human rights issues, for example:

- Protection: Use of data for the identification of the most vulnerable already before a crisis. So safeguarding issues can be sorted prior to the intervention.
- The use of satellite data to address human rights: For example the reveal of human rights violations in Baga, Nigeria through the use of satellite data (http://www.irinnews.org/report/101038/we-saw-what-you-did-satellites-and-human-rights).

However, on the negative side, poor use of data can result in protection problems. Poorly managed personal data in situations of conflict or persecution can mean life or death. For example when the beneficiary data ends up in the hands of stakeholders with harmful intentions:

- Concerns, related to the responsible use data, are reported on Irin and Devex. such as the concerns on for example the Red Rose platform; As one of the Red Rose competitors claimed to access data of beneficiaries in West-Africa, including names, pictures, PIN numbers. Another concern are the protection issues around the Rohinya: "Some Rohingya refugee families (for whom verified identity is critical) may be registered three times, with data handled by three different agencies, each with unknown data-sharing agreements" (https://www.irinnews.org/opinion/2017/10/23/irresponsible-data-risks-registering-rohingya). In addition, there are no humanitarian standards, on for example auditing, certification and training, how digital data should be managed and secured.
- Another Issue around the responsible use of data is, for instance, the problems at WFP: https://www.irinnews.org/news/2018/01/18/exclusive-audit-exposes-un-food-agency-s-poor-data-handling

IV.   Smart Use of Data by Local Actors

Key-challenge: *how to improve the local capacity to collect, analyse, use and disseminate data is limited.*

The need to improve data literacy at every level was recently re-confirmed as one of the key priorities to enhance the role of technology in M&E at the MERL tech in London (see: http://merltech.org/merl-tech-london-2018/). Data literacy refers to the collection, analysis and use of data and should be inclusive of local actors. Challenges include:

- **Design**: Mobile data gathering has made it easy to collect data. It often results of long questionnaires and thus a lot of data, while only limited parts of that data are actually used, and sometimes/often part of the information is already available through other secondary data sources. Also privacy issues should be taken much more serious in the design phase
- **Exchange**: Within many organizations data gathering takes place in silo's. There is a need to set up and test infrastructures that combine data in a meaningful way
- **Analysis**: capacities within both international NGOs and local organizations to analyse data in a meaningful way are limited. This includes capacities to gather and analyse secondary data, including open & big data sources.
- **Use**: new and better information (due to proper data gathering and analysis) does not always lead to improvements or adjustments in program design. The focus of DRA/CfP is on this area: to make practical improvements in the quality of humanitarian programming.
- **Data and beneficiary accountability**: Most data collected by first line operators is used upstream in the chain. Data solutions that feedback collected data to beneficiaries requires data literacy by the same (above) but also tools to access the data. Also the collection, analysis and use of (smart = via mobile apps) data by local partner organisations can be improved.

V. Big Data & Open Data

Key-challenge: how can open data with spatial analytics and location intelligence be combined that could improve needs assessment and/or preparedness; how to support the development of indicators/classification to define where DRA members would add most value in responding to crises. Large datasets that could help improve targeting remain largely unused, as tools to integrate them into humanitarian data sets that inform decision-making are lacking;

Big data in humanitarian sector is becoming more and more important to save lives, livelihoods and to invest in preparedness for more rapid response. Big data aims for the use of all sorts of data sources for humanitarian purposes. Open Data refers to the availability for use and re-use of data and also links to the quest for transparency with regard to decision-making and resource flows.

Since the earthquake of 2010 in Haiti big data has gained its important place on the global humanitarian agenda. It featured high on the World Humanitarian Summit agenda which called for innovation and new ways of working to address nowadays unprecedented humanitarian needs. New technologies and data allow for power shifts towards local stakeholders and private individual donors (e.g. through crowdsourcing). There is a search for better faster and stronger tools for data gathering & analysis (e.g. computarisation of analysis). As a result a growing number of data scientists is being deployed as staff of humanitarian organisations.

Initiatives one can think of is the use and uptake by local actors into their humanitarian programs of existing open databases of different stakeholders (humanitarian, development, public, private, etc.), as well as of initiatives that can foster the use and uptake of big data and collaborations around big data.https://www.weforum.org/agenda/2018/01/3-ways-big-data-is-changing-the-humanitarian-sector/

Nowadays there are good opportunities to track geo-information (eg. GPS coordinates). This allows for discovering spatial patterns in data. Geographical Information Systems (GIS) are supportive in discovering these patterns. GIS used to be a specialistic field but in the past years more easy-to-use systems have evolved leading to great opportunities, in the humanitarian field, to use GIS in a very practical way.

Annex C: **CN & FP templates for submission**

Both attached to this DIF Call for Proposal (incl. budget template)

Annex D: **Evaluation Grid CN & FP phase**

1. Evaluation Grid Concept Note Phase

Threshold criteria	
Thematic area (at least 1 of below thematic areas should be ticked as 'yes')	
Smart use of data	y/n
Cash programming	y/n
Safety & Protection	y/n
New humanitarian innovation	
Is the proposed innovation new for the humanitarian sector?	y/n
Type of innovation: product / process / position / paradigm	-
Phase of innovation: recognition, invention, development / implementation /diffusion	-
Evaluation Grid Concept Note	
Relevance of the proposed innovation to the beneficiaries and/ or staff from humanitarian actors, including a problem statement/ analysis	
Clear description of the context and challenge/problem statement (analysis)	15
Relevance of innovation to affected population and/ or staff from humanitarian actors	15
Proposed innovation with process	
Is the innovation process clearly articulated, including a description of the main activities, output(s) and main proposed aim/ outcome?	15
The degree to which the innovation is truly innovative/ unique/ inventive (avoidance of duplication)	15
Scalability/ replication of proposed innovation	10
Partnerships and track records	
Partnerships and track records related to the theme of the Lead Applicant, Co-applicants and other partners	15
Budget rational	
Budget rational, including cost effectiveness/ setting clear boundaries/ realistic costs description and planning	15
TOTAL POINTS THAT CAN BE SCORED	**100**

2. Evaluation Grid Full Proposal Phase (copy – see original grid attached in excel)

Evaluation grid - DIF Call for Proposal 2018	Threshold:	Yes/No		Total score:	0
name of applicant					
co-applicants					
title of proposal					
Type of innovation (mark the one that applies)			*Thematic area (tick the one that applies)*		
Product					
Process				Smart Use of Data	
Position				Cash Programming	
Paradigm				Safety & Protection	
Phase of innovation (mark the one that applies)					
Recognition, Investion, Development					
Implementation					
Diffusion					

Quality criteria				Questions/indicators to be considered during subjective scoring (to be further developed)	
1. **Relevance of the innovation:** the proposed solution should be clearly linked to needs on the ground, answering a gap in the sector. The innovation should be based on a sound problem analysis and contextual awareness.		10		Has proof of concept been demonstrated for the proposed solution? (proof of concept is the stage during the development of a product when it is established that the product will function as intended) Does the proposed solution have the potential to generate life-saving or life-improving assistance for vulnerable people in humanitarian contexts? Avoidance of duplication	
2. **Proposed innovation:** description of process, including targets, indicators and monitoring		10		*Including target, indicatoren, monitoring (template will follow) . Similar to CN phase but more detailed.	
3. **Efficiency and effectiveness / value for effort:** the proposal should contain a realistic timeline and detailed budget. The costs need to be explained in terms of deliverables, with relevant justification given for any high expenditure on support costs. the innovation must be disbursed with a minimum of bureaucracy , the proposed innovation must be timely and cost-efficient to gain efficiencies in delivering assistance. Furthermore, the proposed innovation must have the potential to generate life-saving or life-improving assistance.		10		* Detailed budget (template will follow) * efficiency * effectiveness	
4.**Transparency, adoption and scalability:** The proposed innovation should be as transparent as possible. Furthermore, the innovation should be appropriate to scale and used by others to improve humanitarian performance.		10			
5. **Localisation:** the DRA supports building local capacities and partnerships. Where possible, local actors should be involved in the innovation process.		10			
6. **Collaboration:** to what extent is the proposal the result of a joint and effective coalition from various types of stakeholders?		10			
7. **Accountability:** the innovation must be accountable towards the affected people, the donor and the Dutch public.		5			
8. **Participation:** To what extent are affected people meaningfully engaged in design and/or implementation?		10			
9. **Gender and inclusiveness**: is the innovation sensitive towards differences in gender and age? Is the proposed innovation inclusive towards the most vulnerable groups?		5			
10. **Consolidated learning, evidence and sustainability:** strong monitoring and evaluation should lead to learning and evidence. New knowledge should be generated and shared, either on enhanced evidence base around the innovation or around the performance of the innovation itself. A strategy for dissemination of the information is part of the proposal as well as how the sustainability of the innovation will be ensured. .		10			
11. **Risk:** a thorough risk analysis with appropriate mitigation measures needs to be part of the proposal to ensure that innovations take the "Do No Harm" principle into account, as well as other risks.		10			
Bonus: proposal contains market reserach showing that the proposed innovation is new for the humanitarian sector and buils on the existing innovation landscape		5			
Score		**105**			