Announcement of the second CDKN International Research Call
On Climate Compatible Development

September 2011

Following a phase of consultation and scoping since inception in March 2010, CDKN is now launching its second international research call on the following themes:

- **Climate Compatible Development - policies and processes**
- **Climate-related Disaster Risk Management and Resilience**

Applications are invited for projects with a value of up to £500,000, with exceptional projects able to apply for funding of up to £1 million per project. The approximate total budget for the call is £ 4m. We expect to fund around 8 projects of 18-24 months' duration, depending on quality of applications and size of funding requested.

The call is launched on Thursday 1st September 2011.

The deadline for submitting proposals is Monday, 24th October 2011, 17:00 British Summer Time (GMT+1).

We expect to notify applicants of the outcome of their proposal by 15th February 2012. Projects are expected to commence before 1st April 2012.

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1.   Background to the call

The Climate and Development Knowledge Network (CDKN) is an initiative funded by the British and Dutch Governments. CDKN supports decision-makers in designing and delivering climate compatible development. We do this by combining research, advisory services and knowledge management in support of locally owned and managed policy processes. We work in partnership with decision makers in the public, private and non-governmental sectors nationally, regionally and globally. Climate compatible development is "development that minimises the harm caused by climate impacts, while maximising the many human development opportunities presented by a low emissions, more resilient, future" (Mitchell and Maxwell, 2010). Please see the CDKN website see for more details and background papers.

Research under CDKN is designed to link closely with the wider goals of CDKN of **assisting developing country decision makers with expanding understanding and achieving policy changes needed for climate compatible development.** Research under CDKN is different to normal research programmes that focus purely on research excellence, for two reasons. Firstly, in addition to research excellence, we encourage research to be results-focussed. Policy impact is central to the whole research project from conception to post-project evaluation. Secondly, we create a closer working relationship with research project award holders, to ensure improved research and policy uptake and share the skills of our Alliance partners and other award holders including technical skill-bases, policy-uptake experience and networks.

CDKN Research Output's guiding principles are to design **high quality research** on climate and development, ensuring that it is '**demand-led**' and **considered a priority by developing country policy makers**.

CDKN has a total research budget of £15 million over its five year lifespan. It aims to produce high quality research evidence on climate compatible development, with significant policy impact. Beyond the theme of climate compatible development as a whole, the niche of CDKN's research programme lies first in its focus on policy impact and second in the depth of its integration with the wider CDKN programme, through which it both obtains information, networks and contacts and disseminates research findings. Broadly, the research budget is split into three main areas of activity:

   (a) Competitive research calls (regional and global calls for response to specific research questions CDKN develops, based on demand);

(b) Innovation Fund (fund for project proposals from researchers to develop new, experimental project ideas, or add-ons to existing projects strongly related to policy impact);

(c) Short term research (projects aligned with Technical Assistance output research requirements, scoping out current research in specific areas, and Annual Climate and Development Research Review).

To date, 51 projects have been selected for funding. Details can be found here.

This is the second international research call[1], with approximately £4 million to be allocated for projects of 18 to 24 months' duration. We expect most researchers will request a budget of £400,000-£500,000 for their projects. However, projects that have an exceptionally strong rationale for applying for more will be considered, up to a maximum of £1 million per project. We will make grants to projects which specify clear, challenging research questions and propose realistic methods and budgets to answer them.

Over the last six months, the CDKN Research team has conducted an in-depth scoping process to identify priority research gaps and questions for the academic and policy community in order to inform the choice of themes in this research call. More details of this process are available in Annex 1.

The two themes selected are:

- **Climate Compatible Development - policies and processes**
- **Climate-related Disaster Risk Management and Resilience**

CDKN Research principles

Applicants wishing to submit a proposal for CDKN funding should ensure that they are aware of the principles applied to CDKN Research as these will be used as important evaluation criteria, namely:

Excellence and quality: CDKN focuses on supporting the best quality research in climate change and development, to be produced as scientific journal articles and briefings for non-specialist consumption.

Response to demand: well-targeted, accessible and high quality research benefits from having a direct link with policy makers – we aim to integrate the research with policy makers from start to finish, ensuring that research is taken up immediately.

Fostering partnerships and networks: CDKN fosters relationships between research institutions and actors in the research-policy arena; particularly in assisting development of long term South-North and South-South relationships, training and mentoring[2].

Impact: CDKN will be closely monitoring the impact and uptake of research outputs created through this funding stream, honing and reviewing the funding process on an ongoing basis to ensure greatest productivity, effectiveness and value for money.

Ethics: CDKN expects the highest ethical standards of its researchers, and alignment with rigorous ethics policies on research.

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[1] 'International' calls mean that there are no restrictions on geographical location of research within the call beyond the focus on low income countries, as defined in the list here. We support nationally- and regionally-based research in this call, especially where lessons learned can be transferred across countries effectively

[2] If Northern institutions apply for funding, we expect them to partner with at least one institution based in a developing country in this research, and we will not fund North-North capacity building or research.

2.   Objective of the call

Our vision is to support the best social science research with clear links to, and direct impact on, international and national efforts to deliver climate compatible development

In this call we challenge the international academic community to construct the most appropriate and innovative research to provide a robust evidence base for decision making. Researchers will work directly with decision makers during the course of their research to achieve maximum impact. We will support the application of the best social science(s), and where relevant other scientific disciplines, to the multi-dimensional issue of climate compatible development. The highest standards of theory and rigour are expected. Multi- or inter-disciplinary research collaborations are encouraged, where they improve research quality.

3.   Research Themes

Research Theme 1: Climate compatible development – policies and processes

Development approaches are central to efforts to tackle climate change and variability. CDKN emphasises the links between climate policy and development policy, adding a development perspective to the usual focus on mitigation and adaptation. We are especially interested in the way in which both climate change, and the policies adopted to deal with climate change, will alter the prospects for human development, poverty reduction and growth in developing countries[3] – potentially closing down some avenues, whilst opening others.

Both the theory and practice of climate compatible development would benefit from further scrutiny. First, climate compatible development should not be thought of as value free and politically neutral. Climate compatible development is socially and politically challenging, and is implemented in specific contexts; context-specific understanding is often missing. Second, leadership and participation are important elements of an effective climate approach; these influences are poorly understood. Third, climate compatible development planners can draw on a wide range of policy instruments – fiscal and regulatory, national and international. Choosing the right mixture of measures for the long term is, however, beset with technical and political difficulty (see for example, here). Why should this be so? What propositions can be developed about which approaches and techniques will work best in different kinds of environment? And how can these propositions be tested?

The focus of this theme will relate to three specific areas of climate compatible development. **We expect proposals to focus on one of the three issue areas only**, unless a convincing case is made for integrating more than one theme.

In developing proposals relating to any of the thematic areas below, we expect researchers to deploy disciplinary research skills with strong theoretical underpinning. Topics might include, for example: the implications for dominant development paradigms; dealing with market failure; theories of inclusion, governance or decision-making; designing a consistent long-term regulatory regime; prioritising public expenditure; managing risk and uncertainty; public-private sector engagement; approaches to development/humanitarian cooperation at different levels; or implications for social justice and power relations.

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[3] As defined in the list here.

Research areas on climate compatible development

1. Designing and delivering climate compatible development

2. Decision paths, tools and processes for climate compatible development

3. Low Carbon Policies on Development and Growth

We have decided not to be prescriptive about specific research questions under these research areas, challenging researchers to develop their own questions and approaches in their proposals. It may be useful to refer to CDKN's scoping exercise in Annex 1 to examine some issues that policy makers have identified as high priority. However, we do not expect you to use these as your research questions.

PLEASE NOTE: Work already commissioned by CDKN

CDKN has published several briefings already on the theme of Climate Compatible Development. A short term research project has begun recently on practical toolkits and methodological approaches to Climate Compatible Development with Ecofys/IDS. See here for more details.

Research Theme 2: Climate-related disaster risk management and resilience

Climate change is increasing the frequency and severity of some hazards in some regions, including heat waves, droughts and intense rainfall, and is changing the vulnerability and exposure of people and assets. Scaling up existing strategies to manage disaster risk will require research to explore the different ways in which disaster risk management strategies can be adapted to build short and long-term resilience at multiple scales.

This research call theme focuses on four specific areas of climate-related disaster risk management and resilience. **We expect proposals to focus on one of the four issue areas only,** unless a convincing case is made for integrating more than one theme.

We expect researchers to deploy disciplinary research skills with strong theoretical underpinning. Topics might include, for example: the relationship between public and private spheres in financing risk managing, the role of risk and uncertainty in cost-benefit methodologies, the political economy of risk governance, securing accountability and participation, the links between models of public administration and effectiveness of risk management and the implications of climate change for development, or risk management and humanitarian co-operation across scales.

Research areas for climate-related disaster risk management and resilience

1. Design of disaster risk management systems

2. Disaster responses that build resilience

3. Risk financing leading to risk reduction

4. Costs and benefits of risk management strategies

We have decided not to be prescriptive about specific research questions under these research areas, challenging researchers to develop their own questions and approaches in their proposals. It may be useful to refer to the scoping exercise in Annex 1 to examine some issues that policy makers have identified as high priority. However, we do not expect you to use these as your research questions.

Please see the remaining documentation for further information on the application process, eligibility requirements and evaluation criteria for this call. With any questions, please contact the CDKN Research Team at researchcall@cdkn.org.

4.	Eligibility criteria

Both the project and the research organisations must demonstrate their eligibility for funding under the project requirements. If you are unsure whether you meet the criteria, please do not hesitate to contact the Research Team at researchcall@cdkn.org.

4.1 Research project eligibility

(i) Research projects are to be carried out for a period of minimum 18 and maximum 24 months, anticipated to start no later than 1st April 2012

(ii) We expect most researchers will request a budget of £400,000-£500,000 for their projects. However, projects that have an exceptionally strong rationale for requesting more will be considered, up to a maximum of £1 million per project. This is for the total amount of funding requested from CDKN.

(iii) Country case study choices should be supported with evidence of direct demand for the proposed research from a local or national government body, such as (but not limited to) a support letter from government/government departments. Please refer to the proposal application guide for further details. **CDKN will not provide this evidence – the researchers must supply this evidence in, or with, the proposal.** In the choice of country studies, if the research is not focused on low income countries, researchers should explicitly demonstrate how the potential insights are applicable to low income country contexts and how they will engage those stakeholders in the course of the research.

(iv) Research awards are intended to facilitate and promote **inter-institutional collaboration**, enhance opportunities for interdisciplinary, multi-disciplinary or trans-disciplinary collaboration, build capacity and encourage North-South and South-South partnerships. The proposed research project must clearly demonstrate how this will be achieved.

(v) **Each proposal must be submitted as a joint proposal with a minimum of two eligible organisations, at least one of which must be from a developing country** (low income and middle income countries), **as defined as any of the countries in the list here**. Organisations which are located in developed countries may apply but should ensure that developing country researchers and research organisations play a **significant role** in their proposed projects.

(vi) **The organisations undertaking research should be based in more than one country, with at least one developing country based partner taking a significant role in the research[4].**

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[4] NOTE: International organisations with country offices in a number of countries do not qualify as 'based in more than one country', if only one country office is involved in the proposed research. If unsure, applicants are advised to contact the Research Team to ensure their proposed partnership meets this criterion.

(vii) We recognise that poverty is prevalent in certain regions of many middle income countries and would welcome research into these areas. Research proposed for middle income countries should include a strong explanation of its focus on poverty and implications for the poor in those countries.

(viii) Case studies may be included from developed countries as part of the research if designed as a 'light-touch' comparative analysis, with the majority of the research effort focused on the developing country case. A strong rationale for inclusion of any developed country comparison should be included in the project proposal.

(ix) The Principal Investigator (PI) will be expected to act on behalf of the research group as the focal point for contact with the CDKN Research Output.

CDKN will **not** fund: studentships including PhDs, writing up results from previous research or writing books.

4.2   Organisation Eligibility

CDKN will not fund any of the organisations that form part of its management, or their employees in the research call, under the agreement of CDKN with its funders. This includes: PricewaterhouseCoopers LLP (PwC), Fundación Futuro Latinoamericano, INTRAC, LEAD International, the Overseas Development Institute, and SouthSouthNorth.

Organisations entitled to funding include research institutions, universities, private sector organisations, Civil Society Organisations and Non Governmental Organisations.

CDKN will fund organisations that wish to undertake this research **if** they satisfy **all of the following conditions:**

(i) The organisation must be a legal entity.

(ii) The organisation must be able to demonstrate an independent in-house capability to undertake and lead research and training in the field or discipline in which it wishes to be funded. This would normally involve employment of at least three permanent or long term staff, each of whom has 4-6 years postdoctoral research experience or equivalent, and has published research at national and at international level in recognised academic journals. The organisation must also be capable of leading innovative research projects, and providing necessary supervision of junior staff.

(iii) The organisation must meet the accountability and audit requirements of CDKN. This requires the organisation to provide, on request, full documentation to give assurance of:
  • Institutional governance and accountability structure
  • Audit and accountability procedures
  • Sources of core funding and other funding

(iv) **Organisations that do not meet these requirements may not act as the lead organisation (i.e. as a Principal Investigator) and directly receive funds from the awarding body.** CDKN will award funds to the lead organisation named on each application, which will then be responsible for the distribution and management of funds to other organisations named on the application as necessary.

(v) Organisations that do not meet the criteria above **may** be named as a Co-Investigator, Project Partner or sub-contractor organisation (and receive funds through the lead organisation). Therefore they can participate as one of the group's institutions, but may not be the lead institution on an application.

4.3 Contract

The CDKN is being managed by an alliance of partners led by PricewaterhouseCoopers LLP and comprising the Overseas Development Institute (ODI), LEAD International, INTRAC, and three regional partners – Fundación Futuro Latinoamericano (Latin America), SouthSouthNorth (Africa) and LEAD Pakistan (Asia).

The contract will therefore be issued by PwC, and will be governed by the PwC Research Terms and Conditions. Please review these terms and conditions before you submit your proposal. You will need to indicate whether you are able to accept these terms and conditions in the checklist at the end of your application form. You will also need to signal that you will comply with the CDKN Expenses Policy which is attached to the research call announcement. **Please see section J of the Application Guide for more details**.

4.4 PwC Non-disclosure agreement (NDA)

The Non-disclosure agreement (NDA) allows CDKN and the applicant to have open discussions about the project in advance of the contract being signed. The NDA gives the research applicants a guarantee that the intellectual property within the application will not be disseminated or used by others. You will need to send a signed copy of the NDA with your application. **Please see Section J of the Application Guide for more details**.

If the proposal is successful and CDKN offers funding, the lead organisation (i.e. the organisation of the Principal Investigator) on any proposal will need to undergo eligibility checks before any funding will be confirmed. Full eligibility checks will be conducted for successful proposals by CDKN's procurement team. These will include checks on research infrastructure, intellectual capacity, critical mass of researchers, institutional governance and accountability structures and audit procedures**.**

If you have any questions or concerns about eligibility, you are encouraged to contact the Research Team in advance of preparing your application.

5.   Application Procedure and Evaluation

5.1 Application procedure

- **The CDKN research call invites full proposals for application by Monday 24th October 2011 at 17:00 British Summer Time (GMT+1)**.
- **Proposals will only be accepted in English, in order to facilitate review by our international panel of reviewers**.
- The CDKN Research Team will undertake a preliminary filtering of proposals to ensure eligibility criteria are met. **Proposals that are disqualified on grounds of eligibility will receive notification by Friday, 4th November 2011.**
- Eligible proposals will then be evaluated in a peer-review process involving an international panel of climate and development experts. The panel will consist of between 10-18 experts. Each proposal will be individually assessed by 2 or 3 experts (variable depending on the volume of proposals received), representing research, NGOs and policy makers and the geographical regions.
- Proposals will be assessed using a set of evaluation criteria (see Section 5.2). The panel will meet to discuss the proposals and will make funding recommendations to the CDKN Research Output at the end of November/early December 2011.
- **Final decisions on funding will be taken in January 2012 by CDKN senior management and the CEO of CDKN following panel recommendations**. CDKN reserves the right to fund any proposals it sees fit, or to not fund any proposal.

However, if such decisions are taken the reasons for this will be made publicly available. The expectation is that the CDKN will closely follow the advice of the independent expert panel.

- **Once a final decision has been made by the CEO of CDKN, organisations will be notified of the outcomes by 15th February 2012**, when the contracting process will begin. **Applicants** will receive notifications of the outcomes by email.
- **Projects are expected to start as soon as the contracting phase is completed, and no later than 1st April 2012.** Any research group wishing to start their research after 1st April 2012 should contact the Research Team to discuss this **before commencing detailed work on the proposal.** Few, if any, exceptions will be made.
- The UK's Economic and Social Research Council (ESRC) has provided advice on the research call to ensure that robust processes are followed as far as possible. However, ESRC are not to be held accountable for any omissions or errors in the content or process of this research call.

Apart from the submission deadline, all dates may be subject to change depending on numbers of proposals received for processing. CDKN will notify the Principal Investigator of any changes to these dates in advance.

5.2   Evaluation criteria

Expert peer reviewers will assess each proposal. The evaluation will be based on the eight criteria below. Projects will be scored out of 50 marks, with weighting towards the demonstration of scientific excellence and policy impact amongst the other criteria. Proposals scoring less than 7 on either of the first two criteria will not be considered for funding.

	Evaluation Criteria	Detail	Scoring
1	Scientific Excellence and Research Quality	Level of scientific quality of research in climate change and development. Scientific methodology, scoping study and progress beyond the current state-of-the-art knowledge. Degree to which the proposed research applies new, innovative research approaches and/or results in new findings.	10
2	Policy Impact	Evidence of need and likelihood of uptake of research results by policy makers. Level of contribution to understanding and implementation of Climate Compatible Development in developing countries.	10
3	Demand-led[5]	Degree to which the proposed research directly responds to developing country research needs on climate change. Degree to which research is integrated with policy makers throughout duration of the project.	5
4	Research Communication and Dissemination	Degree to which research outputs are likely to be communicated across a variety of publication formats and types, for example. Peer-reviewed journal articles, policy briefing papers, working papers, etc. Level of production of scientific journal articles and targeted briefings for non-specialist audiences.	5
5	Value for Money[6]	Cost of proposed research and value for money considered with relation to its significance and scientific	5

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[5] Please note that research projects that do not provide sufficient evidence of research being demand-led will not be eligible for this research call. This criterion will look at the strength of this evidence and will be assessed once eligibility criteria has been met.
[6] Applicants must ensure funding requests are realistic as well as demonstrating value for money. Low or under-costed proposals do not necessarily demonstrate value for money and may be deemed unrealistic.

		excellence.	
6	Fostering Partnerships and Networks	Quality, impact, and sustainability of relationships between research institutions and actors in the research-policy area. Degree to which proposed research assists with the development of long-term South-South, South-North partnerships. Level and quality of capacity building, training, and mentoring between research partner institutions.	5
7	Relevance to CDKN call	Degree to which researchers show a strong understanding of Climate Compatible Development in theory and practice (NB. applications which fail to demonstrate any level of this will be rejected).	5
8	Project design	Appropriate project planning tools for monitoring both management and research activities including key milestones and dates that they are expected to be achieved. Risks and assumptions that are likely to affect project implementation and achievement of the outputs and how they are planned to be managed.	5

6.   Application Guide and Form

A detailed Proposal Application Guide and the Proposal Application Form can be downloaded here:

- **Proposal Application Guide**
- **Proposal Application Form**

Please use the proposal application form as a template for the proposal, closely following the Proposal Application Guide. Applications will not be accepted in any other format. The proposal application guide provides valuable insight into what CDKN expects from research, and which proposals are likely to be funded. Applicants are strongly advised to read these documents in detail before submitting an application. The word limits and format specifications must be strictly adhered to, otherwise proposals may be disqualified.

The application form must be submitted electronically to the CDKN Research Call Secretariat as a Word document by **Monday, 24th October 2011, 17:00 British Summer Time (GMT+1)** to the following email address: researchcall@cdkn.org. Please ensure you take different time zones into consideration. **No late submissions or re-submissions will be accepted after the deadline.**

7.   CDKN engagement with Funded Research Projects

7.1   Working with CDKN

The research we will commission is central to CDKN's interests. **We think that CDKN and its networks will bring benefits to this research far beyond the financial value of the award. We will take an active role in managing the research and engaging with the research groups that win this funding**. We see mutual benefits to regular communications through which we can engage wider networks and partnerships potentially beneficial to the research and policy application of the research.

We will require projects to provide limited amounts of documentation for our dissemination purposes throughout the course of the research. This will include an initial summary of 250

words and an update where appropriate at key stages. We may invite you to showcase your research project on the CDKN website, which would greatly enhance its international visibility. An 'end of project' report will be completed by the successful institutions within 3 months of project completion. This will include a 250 word summary of research findings which CDKN will use for publicity purposes.

We also require that all publications and presentations use the CDKN logo to acknowledge funding received from CDKN. A copy of all publications and other media resources produced for the project should be sent **as early as possible** to the CDKN Project Manager. Many outputs from projects will have their own external peer review process (such as academic journal articles). Other publications (technical reports, briefing papers, etc.) will need to go through an external peer review process prior to publication and dissemination, this will be organised and managed by the CDKN research output using their Roster of Experts.

Research funded by CDKN should acknowledge this funding in all publications, posters, presentations, web-products and other media produced as a result of this award through use of the CDKN logo or other branding types agreed with CDKN. These actions will raise the profile of CDKN for other researchers or policy makers who may potentially benefit from this initiative.

7.2   Monitoring and Evaluation

Research Assessment

CDKN will undertake assessment of the completed research for four reasons:

- To provide an assessment of accountability (i.e. whether public funds were spent as agreed).
- To assess whether the project has been conducted effectively, whether it has met its objectives and to make an early assessment of the quality and impact of the research.
- To provide award holders with some feedback about the management, quality and rigour of the research, and to provide comments on uses or potential uses of the research.
- To inform the content and direction of any future research investments that the CDKN may make.

For these projects, we will expect applicants to:

- Undertake light-touch quarterly reporting to allow us to assess progress and provide informal assistance and guidance
- Develop, in collaboration with CDKN, a set of Monitoring and Evaluation criteria related to the CDKN Dimensions of Change impact analysis
- Develop a log frame for project objectives at inception so we can jointly monitor progress during the project
- Provide an impact report 9 to 12 months after the research has been undertaken. CDKN Research Output staff will work with the researchers to produce this

CDKN is particularly interested in stories of change and results and impacts directly related to the project it funds. As such, CDKN may ask the awarded organisations outside the formal reporting mechanisms to share such stories.

8.   Contact, Comments, and Complaints

8.1   Contact

If you have any questions about this second international research call, please contact Franziska Schwarz, the International Research Call Coordinator at researchcall@cdkn.org

8.2   Comments on research process

We aim to make this process as easy as possible for potential researchers. We appreciate feedback on the research call process, including any comments about ease or difficulty of usability, or any mistakes or omissions that you have noted.

Please send any comments to Franziska Schwarz at **researchcall@cdkn.org**

8.3   Complaints procedure

The CDKN is committed to high standards of service in all its operations. Despite this we recognise that things can go wrong. Some individuals and organisations may wish to share comments, complaints and ideas relating to CDKN policies and procedures.

Formal complaints should be directed in writing, by post or electronically to Dr. Natasha Grist, Head of Research in CDKN, who will aim to acknowledge receipt of the complaint and/or seek clarification within **five** working days. Comments or complaints will be referred to the relevant team members or to the CEO Sam Bickersteth in the event of non-resolution. The postal address is: Dr Natasha Grist, Head of Research, Climate and Development Knowledge Network, Overseas Development Institute, 111 Westminster Bridge Road, London SE1 7JD. Email: natasha.grist@cdkn.org

To help deal with any comment or dissatisfaction promptly it would be helpful if you would provide the following information in your communication with us:

- A clear description of the content of the issue
- The name of the CDKN staff involved (if known)
- An indication whether this is a first complaint or a follow up to an earlier complaint which has not been resolved satisfactorily
- Copies of or links to any relevant documentation (e.g. emails/proposals) to help us to cross-reference in our data systems
- All complaints will be investigated, and we aim to resolve the issue as swiftly as possible.

We will aim to provide a full response within 15 working days. Where a full response is not possible within that timescale, we will email you outlining progress towards a response and setting a target, usually within a further 15 working days, by which a full response will be made.

Complaints may relate to a perceived:

- Failure to follow stated policies or procedures
- Unreasonable delay or inefficiency in responding to an enquiry or operating our procedures

- Unhelpful or insensitive attitude of a member of the CDKN Alliance during interactions relating to the research call

Please note that the following types of complaints are excluded from this procedure:

- Complaints which involve a disagreement with a decision of CDKN or its panels or other advisory groups
- Matters which are the subject of litigation or legal proceedings

ANNEX 1

CDKN's research team scoped high priority themes for this research call. Firstly, the team canvassed the many interactions of senior CDKN staff with policy makers, academics and professionals working on development and climate change issues. Secondly, we reviewed the most recent academic literature, policy reports, and policy-oriented conference proceedings. Through these two main sets of sources, the research team grouped a series of topics and sub-questions and honed them through discussions within CDKN's technical and regional experts and DFID counterparts. CDKN management team decided to support two of its main themes in this research call, which have been strongly requested in our interactions externally.

Through the scoping process CDKN identified a number of policy-focussed questions on each of the key themes of this research call. We are not asking researchers to frame their research around these questions, but thought it could provide some useful background on issues that are relevant to policy makers currently.

Research Theme 1: Climate Compatible Development – policies and processes

1. Designing and delivering climate compatible development:

- What are the incentives and disincentives to creating climate compatible development in different societies and cultures? How can barriers to climate compatible development best be overcome?
- How can climate compatible development progress be achieved within existing political and economic realities?
- What are the distributional implications on access to resources, and implications for society in improving development benefits such as reducing marginalisation, creating societal benefits, promoting gender and ethnic equality?

2. Decision paths, tools and processes on climate compatible development:

- What are the most effective paradigms, approaches, institutions and tools for forward planning and decision-making on climate compatible development in developing countries?
- What are the hard and soft decision processes involved in creating climate compatible development policy? How can these processes be improved to achieve best outcomes regarding trade-offs between policy responses to climate change at national level and local levels?
- How can regional (supra-national) cooperation and learning optimise institutional frameworks for coping with climate change?
- What institutional structures and leadership will maximise aid effectiveness from available climate finance?
- How can climate change responses be integrated with existing development approaches, risk management strategies and political objectives?

3. Low Carbon Policies on Development and Growth

- What are the social and economic implications (e.g. co-benefits and costs, employment and distributional effects), as well as local environmental impacts of low

carbon development paths? What are the main barriers to their adoption and the strategies to overcome them?

- What legislative, economic and technical frameworks are needed to achieve low carbon development, and how can they be introduced in different countries?
- What types or characteristics of mitigation strategies enhance resilience to a changing climate?
- How can poor countries best ensure that incentives for lowering emissions/maintaining low emissions also generate development and poverty-reduction benefits?
- In setting up Monitoring, Reporting and Evaluation, what lessons are useful from previous development initiatives in designing effective approaches?

Research Theme 2: Climate-related Disaster Risk Management and Resilience

1. Design of Disaster Risk Management Systems:

- What implications does climate change have for the way disaster risk management functions are distributed between stakeholders?
- What are the relative benefits and drawbacks for accountability, institutions, incentives and efficiency of either increasing the centralisation or decentralisation of responsibility for managing disaster risk?
- How do these experiences vary between governance contexts and particularly in fragile states?

2. Transformative Disaster Responses:

- Given that disaster events often present windows of opportunity for change, what social, economic and governance processes can help to promote adaptation to climate change and minimise the replication of disaster risk in the relief and reconstruction phases?

3. Risk financing for risk reduction:

- Under what circumstances can risk financing mechanisms, including pooling, sharing and transfer, directly support actions to reduce risk and adapt to climate change?
- To what extent can risk financing mechanisms be more strongly linked to social policies and what is the result?

4. Costs and benefits of risk management strategies:

- How can the costs and benefits of disaster risk management strategies be evaluated in the context of climate change?
- How do the costs and benefits of risk management investments vary when accounting for changing hazard frequencies and magnitudes and associated dynamic risks over different time scales?
- What implications do these findings have for existing disaster risk management practices have in developing countries?

ANNEX 2

Research Funding Guide

Further issues relevant for the research application are outlined here below. The CDKN Research Funding Guide is based on advice from the ESRC.

1.   Eligible Costs and Funding Responsibilities

All payments for the research awards are to be made in Pounds Sterling, regardless of where the Principal Investigator is based.

The CDKN accepts **no** responsibility, financial or otherwise, for expenditure or liabilities arising out of the research it funds, other than that specifically covered by the conditions of the award and incurred during the period covered by it. Any expenditure relating to activities, goods or services incurred **before an award** is formally awarded and accepted by the research organisation, or **retrospective payments** for such expenditure before an approved starting date of an award, are the responsibility of the Research Organisation and are ineligible for CDKN funding.

Any expenditure **in excess** of the approved award Cash Limit, or expenditure incurred **after** the end date of the award, are also the responsibility of the Research Organisation, and ineligible for CDKN funding. Expenditure properly incurred during the lifetime of an award, but for which bills or invoices are generated unavoidably after the end date, **can** be charged to an award. However expenditure relating to activities, goods or services commissioned during the period but for delivery **after** the end date are **NOT** eligible, and must be the responsibility of the Research Organisation. The CDKN accepts **no** responsibility for any redundancy, severance or compensation payments, for which the Research Organisation may become liable as an employer, unless expressly agreed in writing.

2.   Ethics

The CDKN recognises that it has an important obligation to the general public and academic community to ensure that the research, which it funds, is carried out to a high ethical standard. Applicants are expected to outline their approach, aims and methods for maintaining high ethical standards in research in the application following ESRC's [Key Principles of Ethical Research](). **Six key principles of ethical research are outlined below:**

1. Research should be designed, reviewed and undertaken to ensure integrity, quality and transparency.
2. Research staff and participants must normally be informed fully about: research purpose, methods, intended possible uses of the research, what their participation in the research entails and what risks, if any, are involved.
3. The confidentiality of information supplied by research participants and the anonymity of respondents must be respected.
4. Research participants must take part voluntarily, free from any coercion.
5. Harm to research participants must be avoided in all instances.
6. The independence of research must be clear, and any conflicts of interest or partiality must be explicit.

In order to implement these principles:

•   The responsibility for conduct of the research in line with relevant principles rests with the Principal Investigator and the research / employing organisation.

- The responsibility for ensuring that research is subject to appropriate ethics review, approval and monitoring lies with the research organisation seeking or holding an award with the CDKN. This is the research organisation which employs the researchers performing the research, or some of the researchers when it is acting as the co-ordinator for collaborative research involving more than one organisation.
- Research organisations should have clear, transparent, appropriate and effective procedures in place for ethics review, approval and governance whenever it is necessary.
- Risks should be minimised.
- Research should be designed in a way that the dignity and autonomy of research participants is protected and respected at all times. Ethics review should always be *proportionate to the potential risk,* whether this involves primary or secondary data.
- Whilst the secondary use of some datasets may be relatively uncontroversial, and require only light-touch ethics review, *novel use of existing data and especially data linkage*, as well as some uses of administrative and secure data will raise issues of ethics.
- Research involving primary data collection will always raise issues of ethics that must be addressed.

Breaches of good ethics practice in CDKN funded research will be treated seriously. Where these occur, the institution, researchers and Principal Investigator must be called to account by the Principal Investigator and/or lead organisation and sanctions may apply depending on the severity of the breach. These could result in the immediate suspension of the individual project and other projects based at or under the co-ordination of the contracting institution, and a halt to the consideration of further applications from that institution.

3.   Reporting Frequency

Reporting is expected on a **quarterly** basis to the CDKN Research Project Manager through established reporting procedures and templates. Please see Section 7 above. Reporting guidelines and templates will be discussed and agreed at inception stage.

4.   Time off (Maternity/Paternity/Sick Leave)

Research Award funds may be used to provide paid maternity, paternity and adoption leave where it is taken during the original period of the award. The Research Organisation will be responsible for any liability for maternity, paternity and adoption leave pay for staff supported by the award outside the original period of the award. If, for example, an award ends while a member of research staff is part-way through her maternity leave, the Research Organisation will be responsible for that part of the maternity leave which is taken after the research award has ended**.** Where there is a continuous period of sick leave in excess of 3 months, the Research Organisation may apply to CDKN to discuss the possibility of a substitute appointment to safeguard progress on the project. Where a Research Assistant has been on sick leave in excess of 3 months the Research Organisation must comply with all their obligations to consider reasonable adjustments before making a substitute appointment. Where a Research Assistant has been on sick leave for an aggregate (not necessarily continuous) period in excess of 3 months, due to a single condition or a series of related conditions, the Research Organisation may request an extension to the duration of the project.

5.   Changes to Awards

Research awards provide support for the research proposals submitted by the Applicant and accepted (or modified) by CDKN. **The research award is made on the understanding that**

CDKN's contribution to the cost will not be increased. The funds available within any award may only be applied to meet the objectives and outputs of the award approved by CDKN, and may not be diverted to any other purpose. Award-holders may encounter circumstances forcing them to modify their research plans which compromise the prime objectives of the research as approved in the award. There may also be circumstances where modifications are proposed to take advantage of new opportunities or new technology. In such cases **award-holders must obtain the prior written approval of CDKN before the implementation of any modifications**.

6.   Extensions to Awards

CDKN expects that research will be completed in the specified time. As this research is in high demand, it is important that it is completed efficiently. Under very limited circumstances, CDKN may allow extensions (but with no added costs) to the duration of the award. Award holders should approach the CDKN Research Project Manager at the earliest possible stage with any questions for discussion on a case-by-case basis.

7.   Changes of Principal Investigators and Transfers of Awards between Organisations

The Lead institution must consult CDKN if it is proposed to change the Principal Investigator, for example, following retirement or resignation. In such circumstances, the institution may nominate a replacement Principal Investigator. CDKN will wish to be assured that the replacement meets the eligibility criteria and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

The Research Organisation must notify CDKN if the Principal Investigator intends to transfer to another organisation. If that organisation can demonstrate it is eligible to hold awards, and is able to provide a suitable environment to enable the project to be successfully completed, the expectation is that the award would be transferred with the Principal Investigator. Written agreement to this is required from both the relinquishing and receiving organisations before CDKN will approve any such transfer. No transfers can be undertaken without the express, prior, written agreement of CDKN.

CDKN will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, CDKN will consider withdrawing its support or terminating the award. Where there is a basis for continuing involvement by the relinquishing organisation, agreement should be reached between both organisations on the apportionment of work and the distribution of related funding. Awards will not be re-costed following transfer.

8.   CDKN's Right to Terminate funding

CDKN reserves the right:
  (i)   To revise or amend at any time the conditions of the award
  (ii)   To suspend or terminate an award at any time.

In reserving these rights CDKN will, where possible, seek to ensure that in the event of changes or termination, reasonable notice is given to the award-holder. The minimum notice will be one month. In appropriate cases, CDKN will consider paying such final instalments as may be necessary to cover outstanding and unavoidable commitment.

9. Research Data Policy

Data are the main asset of research. CDKN recognises that publicly-funded research data as valuable, long-term resources that, where practical, must be made available for secondary scientific research.

CDKN's Research Data Policy reflects the principles of ESRC's [research data policy](). This is built upon the principle adopted by the Organisation for Economic Cooperation and Development. This states that publicly-funded research data are a public good, produced in the public interest and, therefore, should be openly available to a maximum extent possible. CDKN is, therefore, committed to long-term preservation, high quality data management and strengthening the provision for secondary data analysis. We expect award holders to uphold the same values.

We expect successful award holders to generate scientifically robust data ready for further re-use. However, while we strongly advocate further re-use of data we also recognise that some research data are more sensitive than others and argue that it is a responsibility of the award holders to consider all issues related to confidentiality, ethics, security and copyright before initiating the research.

Upon award, CDKN will discuss plans with the award holders for data generation and management on a case-by-case basis.

10. Legal Issues

For the purposes of this research call English Law will apply.