

Clarification Note: CDKN Innovation Fund (Round 2) Issued 13 July 2012

Following great interest in the launch of Round 2 of CDKN's Innovation Fund, CDKN has received some questions from potential applicants requesting clarification on some issues. As such, CDKN has issued a Clarification Note to further clarify the scope and conditions of the Innovation Fund. If you are unsure of any of these points or wish to ask additional questions, please contact the Innovation Fund at innovationfund@cdkn.org. Please note that the Clarification Note supersedes the Applicant Guidelines. In statements that differ between the two documents, please follow the Clarification Note.

CDKN would like to emphasise and clarify the following points:

1. This support is for game-changing project ideas focused on Africa that require development and shaping through an innovation process over a maximum of 6 months. The outputs must include a proposal for the implementation of the full project. It is anticipated that the proposal would be ready for funding by any number of donors, of which CDKN could be one (see point 2 below). Round 2 of the Innovation Fund will support awards of up to GBP100,000 each, **excluding Value Added Tax [VAT], but including all other applicable taxes** in the country of the LEAD Applicant.
2. Subsequently, CDKN may provide awards of up to **GBP200,000 each**¹ to support the implementation of the project proposal output. The allocation of this subsequent funding is not guaranteed. It will be based on an assessment of the quality of the innovation process, the proposal and any other outputs produced once the project has been delivered². Projects that demonstrate strong proposals, implementation roadmaps and other high-quality outputs from these innovation processes will be more likely to receive the subsequent funding.
3. The applicant group must include **at least two (2) partners. Lead Applicants must be African institutions** (and not international institutions based in Africa). **Additional partners can be African or non-African institutions.** The majority of the funds (at least 60%) must be allocated to African institutions.

¹ Exclusive of VAT, but exclusive of other applicable taxes in the country of the Lead Applicant.

² Decisions on further funding will be made in early to mid 2013.

4. The applicant group should **ideally** include government institutions. If not, you must be able to demonstrate significant government buy-in including and beyond a letter of demand³.
5. Projects can focus at regional, national and/or sub-national in African countries, and may involve **one or more** countries of study.
6. Applications must align to **one or more** of CDKN's thematic priorities, which are:
CDKN's thematic priorities:
 - Climate compatible development strategies and plans
 - Improving developing countries' access to climate finance
 - Strengthening resilience through climate-related disaster risk management
 - Supporting climate negotiators from the Least Developed Countries (LDCs)
CDKN's thematic priorities in Africa:
 - Improving access to clean energy solutions in Africa
 - Addressing climate resilience in the water sector in Africa
 - Strengthening African institutional capacity for implementing climate compatible development
 - Supporting African leadership in climate compatible development research and practice
7. Project examples are provided in the Applicant Guidelines on page 9. Please note that these are **illustrative examples only**. CDKN welcomes a range of varied applications that meet the thematic priorities outlined above.
8. Applications are welcomed from Anglophone, Arabophone, Francophone and Lusophone Africa. Please note, however, that the project proposal and any other project deliverables **must be submitted in English**. Translation costs must be included in the project budget section of the Application Form.
9. CDKN requires organisations to have a UK Service Agent for contracting purposes. A Service Agent will 'accept service of notices, proceedings or documents on behalf of their overseas clients in situations where, usually because of contractual obligations, it is not possible for them to be served abroad'⁴. CDKN will cover the costs of the service agent if included in the project budget (typically GBP600).
10. Please note the following clarification on the evaluation criteria related to 'Fostering Partnerships and Networks' (Annex 1, page18 of the Applicant Guidelines):

³CDKN must be able to be able to investigate this demand from the application form (i.e. contact details for government contacts to be supplied, as well as references to white papers, relevant scoping studies, national climate change strategy papers, ministerial statements, interviews, donor studies or reports and national assessment reports, etc., as appropriate). These documents should reference specific policies that link with project ideas outlined in the application.

⁴ http://en.wikipedia.org/wiki/Process_agent

Under this criterion it states that 'All projects must have at least two African partners and the Lead Applicant must be African', which implies that if an international organisation is part of the partnership at least three partners are required to satisfy the criterion for two African partners. To clarify, all projects must include at **least two (2) partners** and the Lead Applicants must be an African institution (and not an international institution based in Africa). **Additional partners can be African or non-African institutions.**



CDKN Innovation Fund: Applicant Guidelines (Round 2)

Please visit our website [here](#) for upcoming deadlines and to download an Application Form. Applications should be submitted to CDKN at: innovationfund@cdkn.org.

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Background

CDKN

The Climate and Development Knowledge Network ([CDKN](#)) is a convener, knowledge broker and think tank. CDKN achieves these roles through working across the areas of Technical Assistance, Research, Knowledge Management, Partnerships, and Negotiations Support⁵.

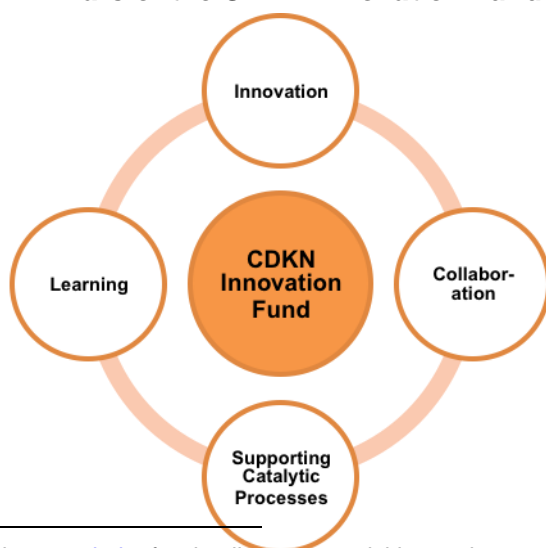
CDKN supports developing countries to deliver climate compatible development, particularly focussing its work at the policy level. One of the ways in which CDKN seeks to achieve impact is by convening and facilitating better coordination and collaboration between networks, coalitions, and communities already working at the climate-development interface.

The value of innovation

Innovation is understood to be a key element in successfully dealing with complex challenges such as climate compatible development (CCD). We define innovation as: *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*⁶.

Successful innovation processes can create “game-changing”⁷ results within the context of CCD. Groundbreaking ideas and new methodologies can be a vital component of the problem-solving process. They feed into pioneering (and implementable) projects and programmes, and ultimately affect positive change at the policy level. This can be seen as a ‘cycle of sustainability’ that continually builds on itself. There are four key elements of this cycle: innovation, collaboration, support for catalytic processes and learning (see diagram below).

Diagram 1: Pillars of the CDKN Innovation Fund (Round 2)



⁵ Please visit our [website](#) for details on our activities and engagements.

⁶ As defined by the [Humanitarian Innovation Fund \(HIF\)](#)

⁷ Defined as: ‘an event, idea, or procedure that effects a significant shift in the current way of doing or thinking about something’ (<http://oxforddictionaries.com/definition/game%2Bchanger>)

The CDKN Innovation Fund

What is it?

The CDKN Innovation Fund promotes innovative thinking **and** action. It is flexible to catalyse a range of different project types, scales of operation and stages of development.

How does it work?

The fund is designed as an open competitive mechanism to provide fast-moving support for creative initiatives in the field of climate change and international development.

The CDKN Innovation Fund opened its first application window in October 2011. The fund received a large number of applications (over 100), many of which were high quality, and it was decided that CDKN would support 13 of these projects. Given the successes of the first round, CDKN has decided to open a second round of funding in June 2012.

Round 2 is now structured around support for organisations in designing and developing innovative projects, in partnership, on CCD, through an **innovation process**⁸. The outcomes of this process will include outputs, such as a ‘game-changing’⁹ project proposal, an implementation road map or plan, learning materials¹⁰, best practice tool kits and policy briefs amongst others. CDKN encourages applicants to suggest other outputs and/or innovation processes that are not outlined in this document, but will result in innovative thinking and action on CCD.

Please note

Round 2 will focus specifically on the Africa region. Applications from other regions will not be considered.

Due to developments in CDKN’s strategy in year 3, the Innovation Fund no longer has its research specific window, which was integrated into Round 1. For further information please see the accompanying ‘Frequently Asked Questions’ document.

Due to the number of projects selected for funding and the development of CDKN’s strategy as a five-year programme, Round 2 may be the last round of the Innovation Fund in its current format.

⁸ Please see page 29 for guidelines to develop a successful innovation process.

⁹ See definition in previous footnotes.

¹⁰ Including a report on how the innovation process worked.

Diagram 2: Innovation Fund (Round 2)

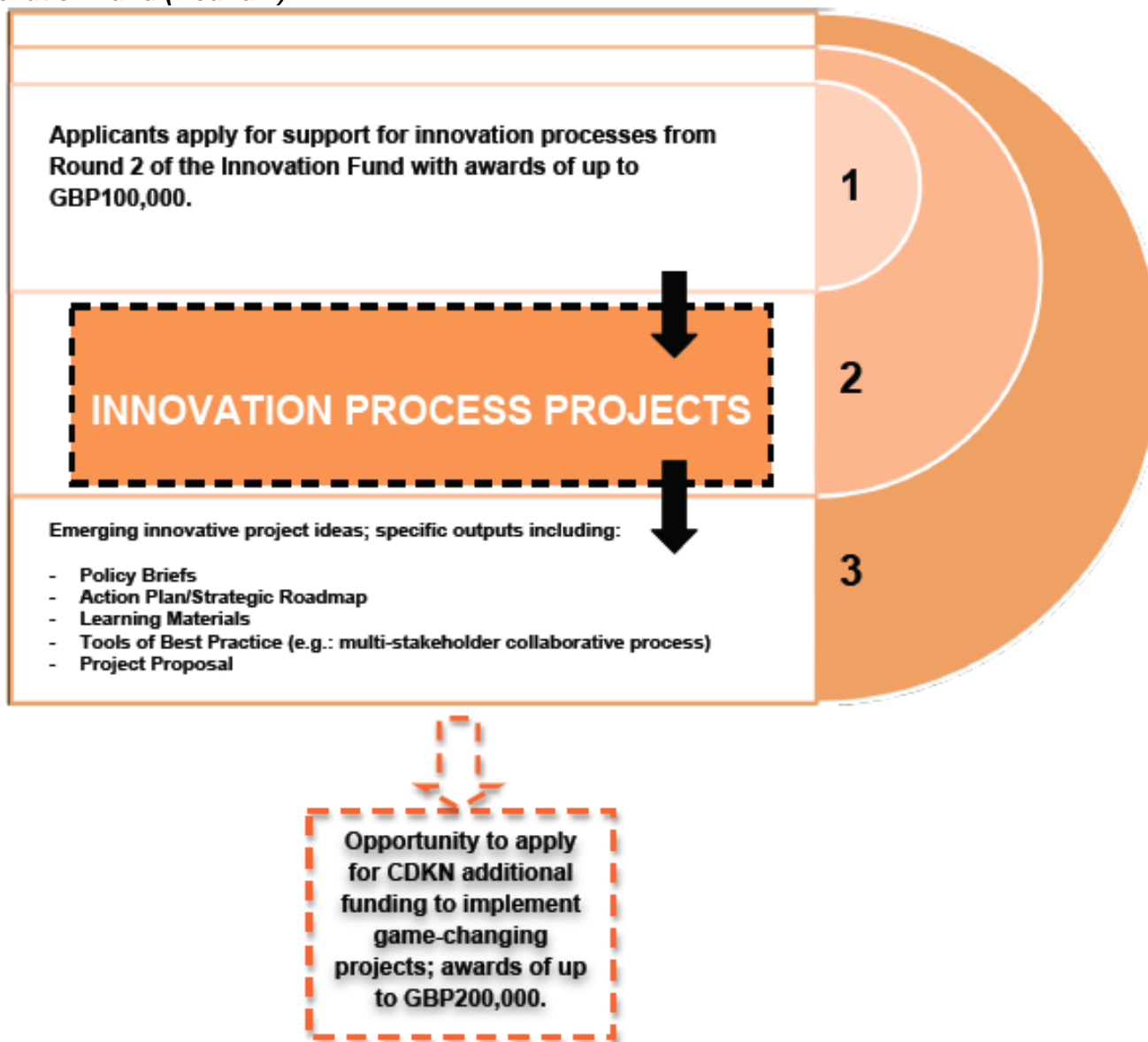


Table 1: Summary of Innovation Fund

Description	Facilitated innovation process resulting in the development of a “game-changing” ¹¹ project proposal and other outputs
Duration	6 months maximum
Value	Up to GBP100,000 ¹²
Outputs	Innovation process workshop/s, project proposal, learning materials, best practice tool kits, policy briefs and implementation road map. Other outputs, as specified by the applicants.

The Innovation Process

The fund provides support for organisations working in partnership to design and develop innovative solutions to CCD. This will be supported through an **innovation process**, and potential outputs products of this process could include a “game changing” project proposal, learning materials, best practice tool kits, policy briefs and an implementation road map amongst others.

CDKN would like to support the development of practical climate change and development focused proposals relating to our [technical assistance](#), [negotiations support](#), [research](#) and [knowledge management](#) outputs.

Support for the innovation process is for a maximum of 6 months and will be **up to GBP100,000** in value, although additional self-funding or funding from another donor can be used to top up this final amount.

Round 2 of the fund will support two (2) innovation process awards. Subsequently CDKN **may** provide **awards** of up to **GBP200,000 each** to support the implementation of high-quality results from these innovation processes. However access to these awards is contingent on review by CDKN of the outputs of the innovation process supported by the Innovation Fund.

Please note that an award from the Innovation Fund **does not** guarantee further funding from CDKN. Applicants submitting projects not suitable for CDKN support will be encouraged to explore alternative sources of funding.

What does an Innovation Process look like?

An innovation process means running a process (often interactive space/s and workshop/s), which convenes relevant stakeholders to identify ‘game-changing’¹³ and original solutions to

¹¹ See definition in previous footnotes.

¹² This includes VAT and any other applicable taxes.

¹³ See definition in previous footnotes.

specific challenges. These solutions should be articulated in the form of outputs such as a project proposal, conceptual frameworks, learning materials, policy briefs, a road map for implementation and/or best practice tool kits. The innovation process **may** want to use tried and tested social innovation and facilitation techniques (e.g. the U-Process¹⁴, Action Research¹⁵, or Open Space Technology¹⁶). It should be designed by people with experience of group facilitation and social innovation processes, and incorporate external content expertise where needed.

Examples of successful innovation processes include the [CDKN Action Lab](#) and the [LEDS Collaboration in Action Workshop](#) (see Annex 3 for more information on these activities). For examples of previous CDKN Innovation Fund projects please see our [Innovation Fund webpage](#). Please review in particular the [projects](#) supported during Round 1 of the Innovation Fund (October 2011), as these align most closely with Round 2.

You should apply to the CDKN Innovation Fund if you:

1. Are an applicant group that includes at least two (2) partners, with one or more being a [Southern partner](#)¹⁷; Lead Applicants **must be African** (and not international institutions based in Africa), **with additional African partners** in the applicant group. International and non-African Southern institutions may also be members of the applicant group. The majority of the funds must go to African institutions.
2. Are an applicant group, **which includes government institutions**; if not, you must be able to **demonstrate** significant government buy-in including and beyond a letter of demand¹⁸. Government institutions/departments/ministries should be involved in the proposed activities as part of the applicant group/implementing team.
3. Are proposing activities that support an **existing network/community of practice**¹⁹ to ensure buy-in and sustainability.
4. Have innovative project ideas/concepts that require development and shaping. Your idea/concept will benefit from being taken through an innovation process, which will provide a forum in which **active (cross-sector and cross-regional) engagement, consultation and collaboration** can directly take place and catalyse the direction, design and structure of a future project or initiative.

¹⁴ <http://www.presencing.com/node/109>

¹⁵ http://en.wikipedia.org/wiki/Action_research

¹⁶ http://en.wikipedia.org/wiki/Open_Space_Technology

¹⁷ http://ssc.undp.org/content/ssc/about/what_is_ssc.html and http://en.wikipedia.org/wiki/South-South_Cooperation

¹⁸ CDKN must be able to be able to investigate this demand from the application form (i.e. contact details for government contacts to be supplied, as well as references to white papers, relevant scoping studies, national climate change strategy papers, ministerial statements, interviews, donor studies or reports and national assessment reports, etc. These documents should reference specific policies that link with project ideas outlined in the application).

¹⁹ Examples include: Local authorities and their associations; River/Lake Basin Organisations (RLBOs); ministerial groupings e.g. African Ministerial Convention on Environment (AMCEN), African Ministerial Convention on Water (AMCOW), Regional Economic Communities (RECs) e.g. COMESA, Southern African Development Community (SADC); policy associations and groupings; existing policy dialogue platforms; NGO networks focused on thematic or sectoral areas.

5. Are **aligned with the evaluation criteria** (see Annex 1).
6. Can set up a **sustainable uptake pathway** for the results of the innovation process, for which a relevant target audience is clearly articulated.

What will we fund?

The CDKN Innovation Fund is designed specifically for projects with a focus at national and/or regional²⁰ level and ideally more than one country of study in [low](#) or [middle-income](#) countries. Projects are expected to respond to developing country demand, clearly demonstrating policy relevance and policy impact²¹.

CDKN has four thematic priorities within the broader concept of climate compatible development (see Box 1 below). We will accept applications that fall under one or more of these thematic priorities²²:

- Climate compatible development strategies and plans
- Improving developing countries' access to climate finance
- Strengthening resilience through climate-related disaster risk management
- Supporting climate negotiators from the Least Developed Countries (LDCs)

Box 1 - CDKN Thematic Priorities

Climate compatible development' is development that minimises the harm caused by climate impacts, while maximising the many human development opportunities presented by transitions to a low-emissions, more resilient future. Charting a path towards climate compatible development is a major challenge for all countries, whatever their level of development and current greenhouse gas emissions.

New policies, technologies and sources of finance need to be mobilised and backed by new levels of political commitment – locally, nationally and internationally. CDKN is positioned to support decision makers in developing countries to design and deliver climate compatible development. Within the broad scope of climate compatible development, we work across four strategic themes:

- Climate compatible development strategies and plans
- Improving developing countries' access to climate finance
- Strengthening resilience through climate-related disaster risk management
- Supporting climate negotiators from the Least Developed Countries

Further information on these themes can be found on the [CDKN website](#).

Round 2 will focus specifically on the Africa region (detailed below). Together with the overall thematic priorities for CDKN, as outlined above, applications should consider CDKN's specific priorities for the Africa region for the following year, and the existing project portfolio

²⁰ 'Regional' can mean either regions within a country, or an area spanning several countries. CDKN generally does not support community-based/local projects.

²¹ Please see Section 4 of the Guidelines for details on these and other evaluation criteria.

²² The CDKN Innovation Fund does not have specific budget allocations for different thematic areas. We will fund the highest quality applications, regardless of which themes they fall under.

(for further details, please see our [website](#)). **The CDKN priorities for Africa are aligned with the overall thematic priorities.**

CDKN Africa's Priorities:

- Climate compatible development policy and programmatic change
- African leadership in climate compatible development research and practice
- Improved access to clean energy solutions
- Strengthened institutional capacity for addressing climate compatible development
- Increased access to climate finance

Please note that 'Relevance to CDKN's objectives' is included in the evaluation criteria.

We are particularly interested in supporting:

- Innovative projects that are testing and breaking boundaries – whether in policy-research dialogue or partnerships/capacity building. **(Please note that 'innovation'²³ is one of the evaluation criteria.)**
- Projects led by African developing country institutions, South-South African partnerships, and/ or projects that build capacity among partner institutions.
- Projects that focus on the Africa region in more than one country and/or have partners from more than one country (multi-regional projects with substantial links to Africa that promote cross regional innovation will also be considered).

Project concepts that CDKN is particularly interested in potentially supporting include the following:

- Innovative engagement, consultation and collaborative processes to support climate compatible development policy and programmes at regional, national, and local levels
- Institutional capacity building to enable climate compatible development, e.g. on the application of energy and water planning tools, accessing climate finance
- Enabling trans-boundary cooperation, planning, learning and implementation in the water sector around shared river basins through, for e.g. existing institutional mechanisms such as River/Lake Basin Organisations (RLBOs)
- Facilitating the use of climate information to support policy, planning and project implementation, including at sectoral levels
- Science-policy dialogues to support evidence-based climate compatible development policy and practice
- Enabling the up scaling of clean energy, e.g. knowledge sharing and idea generation processes around cutting-edge and new examples of energy solutions
- Policy dialogues between technical energy centres and government energy departments/utilities to support the use of energy data to inform policy development and sustainable energy planning at different governance levels

²³ Innovation: *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.* As defined by the [Humanitarian Innovation Fund \(HIF\)](#).

- Supporting linkages between policy makers and communities e.g. policy makers engaging with community adaptation in practice.

Please note that these are suggestions to help guide the development of your application and the inclusion of these concepts in your application will not guarantee funding. CDKN will also consider other project ideas or propositions.

Review process:

The CDKN Innovation Fund strives to ensure that the application process is dealt with in a fast-moving, yet thorough manner. Applications will be reviewed and assessed by an expert review panel, including senior CDKN staff and external thematic experts. We will endeavour to provide a response to applicants within eight (8) weeks of the fund's submission deadline.

Project Evaluation Criteria

The CDKN Innovation Fund has evaluation criteria²⁴ against which **all** applications will be assessed. Please ensure you demonstrate in your application how you will deliver the following requirements:

- **Policy impact.** Projects must have clear objectives to influence policy-making processes, demonstrating how the project will assist developing country decision-makers to consider and respond to complex, climate-related development challenges.
- **Demand.** Projects must respond to developing country needs and/or demands on climate change, as expressly identified by policy-makers and documented in national or regional development reports and demonstrate significant government buy in. If the applicant group does not include a government institution then it must be able to demonstrate significant government buy-in including and beyond a letter of demand, such as white papers, relevant scoping studies, national climate change strategy papers, ministerial statements, interviews, donor studies or reports and national assessment reports, etc.
- **Value for Money.** Projects must demonstrate good value for money in relation to activities and outputs (i.e. efficiency, economy and effectiveness).
- **Alignment with CDKN objectives.** Projects should be relevant to one or more of the CDKN priority themes and priorities for Africa, as well as aligning with CDKN's strategic objectives and existing portfolio.
- **Innovative.** Projects are expected to demonstrate innovation in achieving policy impact, design of methodologies or approaches, and/or fostering partnerships and networks.
- **Focus on African capabilities and learning.** Projects are expected to foster capacity building and catalytic learning (particularly through the innovation process) within partner institutions, government ministries and other stakeholder groups.
- **Design.** Projects are expected to be well designed and effectively managed, using appropriate methodologies and approaches.
- **Partnership.** Projects are expected to foster innovation through partnerships and networks (with an emphasis on partnership amongst African organisations/initiatives).

For more details on how your application will be evaluated and for further details on the evaluation criteria, please refer to Annex 1. For information on organisational eligibility and requirements regarding multi-stakeholder partnerships refer to Annex 3.

²⁴ Evaluation criteria are listed on page 17 of this document.

The Application Process

4.1 Understand the CDKN Innovation Fund Objectives & Evaluation Criteria

To determine whether your project idea is eligible for support from Round 2 of the Innovation Fund, read these guidelines and annexes thoroughly, and refer to the [CDKN website](#) for additional information about our work.

Please contact CDKN should you have any questions: innovationfund@cdkn.org. In the interest of fairness, CDKN is unable to comment on your application. However, we are happy to provide clarification (via email) on information provided in these guidelines.

4.2 Submit an Application

Submit an application to CDKN by emailing innovationfund@cdkn.org. We will send confirmation that we have received your application and assign you a reference number. **Please note** that CDKN is unable to provide any comments on your application until a final funding decision has been made.

Applications and all supporting information must be submitted before the deadline specified. Applications received after the deadline will not be accepted, unless sufficient justification is provided. **Please note** that power/internet failures or language difficulties are not considered sufficient to justify a late submission. If you know that these are potential risks, please submit your application well in advance of the deadline.²⁵

You must use the [Application Form provided here](#). Your application must be submitted in **Microsoft Word format** and in **English**. Please ensure that you have completed all relevant sections of the Application Form, keeping within the word limits where specified. Excess words will be cut out prior to the review process, and therefore will affect the coherence of your proposal. Errors or omissions could delay the application process.

Please *do not* send hard copies of your application; CDKN only accepts electronic copies.

²⁵ In exceptional circumstances CDKN may give written approval for an applicant to have an extension to the deadline (up to one week only), provided that the applicant contacts CDKN well in advance with strong justification for this extension.

COMPLETING THE APPLICATION FORM:

1. Please check that you have met the Basic Evaluation Criteria (page 3 of the application form).
2. Please ensure you complete all sections (A, B and C) of the application form.

You must clearly demonstrate how your application aligns with the objectives and evaluation criteria (see previous section). We also require applicants to refer to Annex 3 for additional guidance on requirements, including organisational eligibility and project characteristics. If you have any questions after reviewing these in detail, please contact: innovationfund@cdkn.org.

In addition to meeting the objectives and evaluation criteria, please ensure that your application meets these **basic eligibility criteria**:

- You have used the CDKN Innovation Fund application form provided and completed **all sections**. **Please note** that CDKN will not accept incomplete applications or submissions that do not use the application form provided.
- Your application is in Microsoft Word format, and is written in English. **Please note** that we do accept supporting documentation (such as CVs and expression of demand letters) in other formats.
- All sections of the application form are within the word limits where specified. **Please note** that excess words will be cut out prior to the review process, and therefore will affect the coherence of your application.
- Your application form and any supporting documents have been submitted before the deadline specified. **Please note** that CDKN is in no way obliged to accept any information submitted after the deadline, although extenuating circumstances may be considered if evidence is provided.²⁶
- The total amount of funding you have requested from CDKN does not exceed the maximum allowed: up to GBP100,000. **Please note** that CDKN will not accept applications that request more than this amount.
- The timeframe of your project is within the limits specified: **up to 6 months**.
- The project team includes **two or more African partners with the majority of funds going to African institutions**. **Please note** that we will not accept an application from an individual or a single organisation. The Lead Applicant must be

²⁶ Power/internet failures or language difficulties are not considered sufficient to justify a late submission. If you know that these are potential risks, please submit your application well in advance of the deadline.

African (and not an international institution based in Africa). We will not accept applications that do not include a lead African partner with additional African partners.

Submit a Non-Disclosure Agreement (NDA). The NDA is a confidentiality agreement that allows an organisation to have open discussions with CDKN staff about the supported work, in advance of a research agreement (the format of the funding allocation) being signed, protecting confidentiality (see Annex 2). Please complete the NDA with the company contact details and the signature of a representative for the Lead Applicant, and send a scanned copy with your application. At the same time you will also need to submit two (2) hard copies of the NDA to the address provided (see Annex 2). Please do not send hard copies of your application form, only the NDA. The NDA is available on our [website](#).

Agree to our terms and conditions & expenses policy: All research agreements under the Innovation Fund will be governed by PwC, who is the managing partner of CDKN²⁷.

Please review the *Terms and Conditions* before you submit your application. You will need to indicate whether you are able to accept these terms and conditions in the checklist at the beginning of your application form. If you have any concerns/areas you want to discuss, please contact our team giving adequate time for issues to be resolved. You will also need to signal that you will comply with our *Expenses Policy*. Both documents are available on our [website](#). *For more information, please see Annex 2 of this document.*

4.3 Review of Applications & Response

Applications will go through a **three-stage review process**:

1. CDKN staff will check that your application meets the basic eligibility criteria outlined above (section 4.2). Applicants will be notified if their application is considered ineligible and the reasons why.
2. Eligible applications will be individually assessed by reviewers according to the specified Evaluation Criteria (see Annex 1). Two reviewers will assess each application.
3. Applications that fit closely with the Evaluation Criteria (based on both reviews) will be discussed further by a formal review panel, which provides funding recommendations to CDKN's Chief Executive.

The review panel will be comprised of senior CDKN staff and external thematic experts. **Please note** that CDKN reserves the right to make a final funding decision based on strategic considerations, in addition to the Evaluation Criteria provided.

We will endeavour to provide a response within eight (8) weeks of the application deadline under normal circumstances.

²⁷ CDKN is an alliance of seven organisations, with PricewaterhouseCoopers LLP providing a managing role. Please see our [website](#) for more information.

For applications recommended for funding the contracting process will then begin.

For unsuccessful applications, feedback/comments from the panel will be available upon request; we will endeavour to provide feedback within two (2) weeks. We may suggest alternative funding opportunities (other CDKN funding sources or external sources).

4.4 Contracting

Pending final confirmation and approval, contracting can commence. The length of time needed to complete this process depends on the size and complexity of the innovation process application. The contract will be arranged as a research agreement.

CDKN is not able to make any payments for expenditure incurred prior to the research agreement commencement date. You must not commit to any expenditure before a research agreement has been issued and has been accepted by your institution, or incur any expenditure prior to the start date contained in the formal award letter and research agreement. CDKN will be unable to reimburse these costs. *Please refer to Annex 2 for additional information.*

4.5 Monitoring and Evaluation

After the research agreement is agreed and signed, the Lead Applicant will complete a *Project Objectives Form* in collaboration with the CDKN project manager, so that we can jointly assess project achievements, and to what extent longer-term objectives have been achieved. This includes a set of Monitoring and Evaluation criteria, related to the CDKN 'Dimensions of Change' impact analysis, and a simple log frame for project objectives and deliverables.

For Innovation Processes: CDKN will also require the project team to undertake *brief and regular reporting* in order for us to assess progress and provide informal assistance and guidance. And, we also require an *impact report* to be carried out after the project has been undertaken/ completed²⁸. The CDKN team will work closely with the Lead Applicant to produce this.

In addition to the more formal reporting, the CDKN may also ask for informal updates (e.g. blogs, reports from the innovation process workshop/s) on an *ad hoc* basis. This is an opportunity for the project team to share updates and stories of change illustrating reach and impact to the broader CDKN team and to the wider climate and development arena; as well as learning from the innovation process, i.e. what worked and what did not work, challenges and successes, etc., and recommendations for future similar processes.

²⁸ Timeframes/deadlines for this will vary depending on the length of the implementation phase of concrete proposals. Decisions on specific dates/timeframes will be outlined within contracts for successful applications.

4.6 Review of Outputs

At the end of the project CDKN will review the outputs against intended deliverables such as technical reports, event reports, policy briefings and project reports.

4.7 Working with the CDKN

We believe that CDKN and its networks have benefits to bring to the work and activities supported by the Innovation Fund, far beyond the financial value of the award. **We will take an active role in engaging with the applicant groups that win funding.** We see mutual benefit to regular communications through which we can engage wider networks and partnerships potentially beneficial to the activities and their outputs, as well as their implications at the policy level.

We require that all events/workshops, presentations, publications, and other media/online products acknowledge funding received from CDKN. This will raise the profile of CDKN for other key stakeholders who may potentially benefit from this initiative. **Guidelines for the use of CDKN branding will be provided to successful applicants on research agreement completion.**

A copy of all publications, other media outputs and the innovation process workshop materials (including briefing materials, agendas, participant lists and report produced for the project) should be sent **as soon as possible** to the nominated CDKN project manager.

Publications (technical reports, briefing papers, etc.) that bear the CDKN logo will need to go through an external peer review process prior to publication and dissemination that will be organised and managed by CDKN e.g. using the [Roster of Experts](#).

See Annexes 1-4 for additional information and guidance.

Annex 1: Evaluation Criteria (Round 2)

To be eligible for support from Round 2 of the Innovation Fund, your application must clearly demonstrate how your project meets the evaluation criteria detailed in Box 2 below.

A formal review panel, including senior CDKN staff and external thematic experts, will assess applications put forward to the review panel, as outlined in section 4.3.

All applicants need to address the criteria, as outlined below.

Box 2: CDKN Innovation Fund Round 2 Evaluation Criteria

Evaluation Criteria	Detail	Marks	Weighting
Policy Impact	<p>Likelihood of uptake of results by policy makers.</p> <p>Degree to which key stakeholders/ decision-makers are integrated throughout the project.</p> <p>Level of contribution to understanding and implementation of climate compatible development (CCD) in African countries.</p>	Out of 10	20%
Demand-led	<p>Degree to which the application responds to demand from the relevant developing country stakeholders, including the strength of evidence provided²⁹.</p> <p>Degree to which there is need for the project to fill a key gap (i.e. evidence that this work is important and not already being done).</p>	Out of 10	10%
Value for Money	<p>Degree to which the proposed activities represent value for money (economy, efficiency and effectiveness) with regard to outputs and activities.</p> <p>Clarity of budget and extent to which costs are adequately justified.</p>	Out of 10	10%
Relevance to CDKN objectives	<p>Relevance of the application to one or more of CDKN's priority themes and to climate compatible development (CCD). Please note: Applications that fail to show this at all will be rejected.</p>	Out of 10	10%

²⁹ Evidence includes signed statements or letters of support from relevant government stakeholders; contact details of government partners, white papers, relevant scoping studies, national climate change strategy papers, ministerial statements, interviews, donor studies or reports and national assessment reports, etc.

	Fit with CDKN's objectives, priorities for Africa and existing project portfolio ³⁰ .		
Innovation	Degree to which the application can be considered innovative; particularly in regard to achieving policy impact, design of methodologies or approaches, and fostering partnerships and networks.	Out of 10	10%
Fostering Partnerships and Networks (emphasis on African organisations/ Initiatives)	<p>Degree to which the application supports the development of partnerships across stakeholder groups/ organisations/ countries/ regions:</p> <ul style="list-style-type: none"> • Fostering new relationships • And/or building on existing partnerships. <p>Degree to which the project team utilises and builds on existing networks/ communities of practice.</p> <p>Please note: All projects must have at least two African partners and the Lead Applicant must be African.</p>	Out of 10	10%
Capacity Building and learning	<p>Degree to which the application will build the capacity of the project team e.g. through mentoring and training.</p> <p>Degree to which the application will build the capacity of key African stakeholders.</p> <p>Degree to which the proposed activities will build on learning, particularly through catalytic processes.</p>	Out of 10	10%
Innovation Process Design	<p>Degree to which facilitation and social innovation processes are considered appropriate and well designed.</p> <p>Degree to which the innovation process utilises multiple designs/methodologies (not only workshops, but other tools such as site visits for example).</p> <p>The extent to which the process is likely to produce action-orientated outputs. Please note: Outputs could include innovation process workshop/s, project proposal, learning materials, best practice tool kits, policy briefs and implementation road map.</p> <p>Consideration of risks and assumptions that are likely to affect project implementation and achievement of the outputs and how they will be managed.</p>	Out of 10	20%

³⁰ For further information on CDKN objectives and portfolio, please visit the CDKN website. You can also subscribe to the CDKN newsletter for regular updates: [here](#).

Annex 2: Procurement and Contracting

CDKN is 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), [South-South-North](#) (Africa) and [LEAD Pakistan](#) (Asia).

PricewaterhouseCoopers LLP (PwC) holds the head contract with the UK Department for International Development (DFID) for the delivery of CDKN. **Therefore all CDKN projects are contracted through PwC.**

CDKN Non-Disclosure Agreement (NDA)

This allows PwC and the applicant to have open discussions about the project in advance of the research agreement being signed. Please populate the NDA with your organisation's contact details and the signature of the Lead Applicant, and send a scanned copy with your application. Please also print and sign two hard copies and return them to PwC at the address below. **Please do not send hard copies of your application form, we only need hard copies of the NDA.**

George Herat, CDKN Procurement, PwC, 7 More London Riverside, London, SE1 2RT.

Following this, CDKN Procurement will send you a copy of the NDA countersigned by PwC for your records. **Without a hard copy of the NDA we will be unable to discuss your application with you or proceed with contracting.**

Terms and Conditions and Expenses Policy

As part of their applications, applicants must confirm that they agree to the Expenses Policy and the Terms and Conditions.

CDKN does not anticipate making changes to our [Terms and Conditions](#), many of which are a direct flow down from our own head contract with DFID and are non-negotiable. When signing the declaration that you accept the terms and conditions, it is your responsibility to ensure that you have the correct authority to accept them. It is not possible for us to consider amendments that are not cited on the application form.

UK Service Agent

In order to manage its risks, and because all our research agreements are let under UK law, one of the key component parts of our research agreements with non-UK organisations is that applicants must have an agent in the UK who can represent the organisation in receiving legal papers or notice should that become necessary. This agent may, for example, be a branch of their organisation in the UK, embassy, solicitor or a commercial organisation that offers such services.

Suppliers who are not based in the UK and do not have a UK branch need to arrange for such a UK service agent.

Please note that we do not require companies to have a UK Service Agent at the proposal stage, only proposals that we take forward to the contracting stage.

Annex 3: Additional Information for Applicants

1. Project Characteristics & Country Focus

Under Round 2 of fund we are looking to support innovation processes, which will be up to **6 months in duration** and up to **GBP100,000** in value³¹, ideally to start between 2-3 months after the application deadline. These awards are for the amount of **total funding requested from CDKN**, and do not include co-funding.

- Applications should be supported with evidence from the national government(s) of interest, ongoing research/projects in this area, and/or direct demand (as outlined in the sections above). In the choice of countries, if not low-income³² countries, applicants should explicitly discuss the potential insights relevant to African country contexts and how they will engage those stakeholders in the course of the project idea development and implementation/delivery.
- We recognise that poverty is prevalent in certain regions of many middle-income countries and would welcome applications relevant to these areas. Activities proposed for middle-income countries should include a strong explanation of its focus on poverty and implications for the poor in those countries.

Please note that the CDKN Innovation Fund will not fund writing up results from previous research or writing books, the launching of new companies, or postgraduate students.

2. Components of a Successful Innovation Process

Key Components

- Set a specific challenge to resolve;
- Involve a multi stakeholder applicant group of eligible partners
- Have a specified structure, design and budget;
- Take place within a workshop process (actual or virtual);
- Create a space to identify and develop innovative concepts, ways of thinking and ways of working;
- Be a multi-stakeholder process;
- Encompass facilitation expertise, using tried and tested facilitation techniques;
- Encompass content expertise;
- Include external interactive and action focused components, such as site visits and challenges.
- Have specific objectives and outcomes as outlined in the sections above (which could include innovation process workshop/s, a project proposal, learning materials, best practice tool kits, policy briefs and implementation road map. These may be re-submitted for consideration by CDKN for additional implementation funding, noting, as outlined in the sections above, that the regional focus of Round 2 is Africa. Please

³¹ Noting that additional funding awards (of up to GBP200,000 each) may be accessible from CDKN to implement game changing results from the innovation process projects.

³² Low income and middle-income countries are defined as the countries in the list [here](#).

also refer to CDKN's priorities for the Africa region and overall strategic priorities, as outlined above.³³).

CDKN: Taking innovation to the next level

CDKN's flagship innovation programme, the [CDKN Action Lab](#), was a cutting-edge, action-orientated programme, focused on celebrating and stimulating innovation at the intersection of climate change and development³⁴. It brought together a dynamic group of over 150 participants drawn from academia, government, civil society, NGOs, donors and the private sector from around the world and produced over 20 game-changing proposals, many of which are now being developed with additional funding from CDKN.

The CDKN Action Lab demonstrated how convening experts (with a wide range of backgrounds) in a facilitated context, and challenging them to identify key climate change and development problems and solutions, is an essential catalyst for fostering innovative thinking, new partnerships and coalitions, and 'game-changing' solutions. In short the CDKN Action Lab provided a platform for innovation, which resulted in concrete project proposals focusing on climate change and development (spanning research, technical assistance, advocacy etc.).

The CDKN Action Lab emerged from our belief that it is increasingly important to convene diverse groups to catalyse collective responses to the current challenges of climate change and development. The CDKN Innovation Fund will build on this model:

- a. Supporting innovative and solutions-orientated thinking;
- b. Strengthening the capacity of coalitions, networks, and partnerships; and
- c. Supporting the implementation of innovative projects (ideas into action).

For other examples of innovative projects funded by Round 1 and other sources within CDKN, please visit our [website](#).

3. Partnerships & Capacity Building

CDKN Innovation Fund awards are intended to facilitate and promote African inter-institutional collaboration, enhance opportunities for interdisciplinary, multi-disciplinary or trans-disciplinary collaboration, build capacity among project partners and government stakeholders, and encourage South-South and South-North collaboration. Please make it clear in your application how your project will foster the development of partnerships and networks, and build capacity among projects partners and key stakeholders.

Innovation Fund applications must include two or more African organisations as part of the applicant group (including those from low income and middle-income countries). **The Lead Applicant must be African.** Partners can include: government institutions and ministries, research institutions, universities, private sector organisations, civil society organisations and

³³ <http://cdkn.org/>

³⁴ http://cdkn.org/resource/cdkn-action-lab-prospectus/?loclang=en_gb

non-governmental organisations, amongst others. The division of responsibilities between partners should ensure that African partners have a lead role to play in project development, strategy and implementation.

4. Providing Evidence of Demand

Support from CDKN should directly respond to developing country needs on climate change and development. If the applicant group does not include a government institution then applicants must be able to demonstrate significant government buy-in including and beyond a letter of demand³⁵. Government institutions/departments/ministries should be involved in the proposed activities as part of the applicant group.

If one of the partners in your applicant group is a government institution or ministry, then this already shows good evidence of developing country demand. However, please make it clear how the proposed project idea is relevant to the needs and priorities or strategy of that ministry. A support letter from the government partner/relevant government/ government departments is also strongly recommended. Policy makers should be integrated into the project from planning to dissemination stages as detailed in a stakeholder engagement plan.

Evidence may also be drawn from documents such as relevant scoping studies, national climate change strategy papers, ministerial statements, interviews, donor studies or reports and national assessment reports. Please reference these sources of evidence in your application form. We require electronic copies of any support letters to be submitted with your application. Please do not submit copies of other documented evidence.

5. Policy Impact

Projects are expected to demonstrate clear policy-relevance. Applications should state **which** policies or policy processes are being addressed, **why** these need to be addressed, and **how** the project intends to engage. Applicants should aim to integrate the decision makers from start to finish, ensuring that outputs funded by the Innovation Fund are fully embraced by decision makers.

Applicants must demonstrate engagement of relevant decision makers during the supported innovation processes, ensuring they are consulted and are providing demand for the project ideas being developed.

6. Outputs & Dissemination

One of CDKN's main roles is to ensure that decision makers get access to the best knowledge products and research.

³⁵ Contact details for government partners will be required.

Outputs that are produced as a result of the Innovation Fund will provide decision makers with tools that will bridge the gap between science and policy, enabling impact and real change to be stimulated and actioned. Examples include the innovation process workshop/s, the project proposal learning materials, best practice tool kits, policy briefs and implementation road map.

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

7. Budget & Co-funding

Projects costs should be considered with care. Be realistic – high costs may not demonstrate good value for money. Very low costs for projects may show an unrealistic expectation of participants' time. Give as detailed a breakdown of costs as possible so that the Panel can properly assess the case for support. This includes providing information on staff day rates and number of days on the project. The application form contains information on 'allowable' and 'not allowable' costs. *Please read this information carefully and refer to the CDKN Expenses Policy, available on our [website](#).*

Awards

- Projects supported by the CDKN Innovation Fund should last up to **6 months** in duration.
- Supported projects should have a value of up to **GBP100,000 including VAT and any applicable taxes**.

CDKN is happy to co-fund projects and we would encourage you to seek additional funding where possible, particularly if your project is larger than the funding available. However, co-funding and in-kind contributions are optional (not a requirement). Any referenced co-funding must be supported by a support letter from the donor.

CDKN will also fund additional components of existing projects. However, you will need to be clear in your application as to how CDKN funding will enhance the project. Where counterpart funding is tentative, the application must clearly indicate which activities and outputs would be covered by the CDKN funding (should the counterpart funding not be secured).

1. **Facilitation** is the cost of hiring someone to facilitate group interactions/workshops/sessions etc. They are therefore helping to guide the 'process' of innovation. You may already have an experienced facilitator in your organisation that you wish to use, or you may want to hire someone external for this purpose.
2. **Content Expertise** is the cost of paying a specialist on the topic that you are working on (e.g. a specialist on carbon markets) to play an advisory role. You may be lucky to find a facilitator who is also a specialist on the topic that you are addressing, or you may already have enough expertise among your project partners. If not, consider hiring someone external, such as a consultant.

8. Organisational Eligibility

The Lead Applicant is expected to have proven expertise and experience working within the climate and development arena; evidence of this includes details on previous successful delivery of projects in the field. The Lead Applicant is expected to have a proven ability to manage projects and funding. We understand that some partners may have weaker capacity and thus we encourage capacity building between partners.

Groups entitled to funding include government departments, research institutions, universities, private sector organisations, civil society organisations and non-governmental organisations (NGOs). We accept applications from organisations in any country, provided that the project meets the criteria outlined in these guidelines.

CDKN will not fund any of the organisations that form part of its management, or their employees, through the Innovation Fund, under the agreement of CDKN with its funders. This includes: [PricewaterhouseCoopers LLP \(PwC\)](#), [Fundación Futuro Latinoamericano](#), [INTRAC](#), [LEAD International](#), [LEAD Pakistan](#), the [Overseas Development Institute](#) and [SouthSouthNorth](#).

Please note that we are unable to contract with UN bodies, therefore Lead Applicants cannot be UN bodies. They can however be part of the broader applicant group.

CDKN will award funds to the Lead Applicant named on each application, who will then be responsible for the distribution and management of funds to other organisations named on the application as necessary. The applicant group should decide on how the partnership will function on a day-to-day basis, as this will not be mandated by CDKN. The main point of contact for CDKN will be the Lead Applicant, who will be expected to act on behalf of the applicant group. **The Lead Applicant must be an African entity and not the African office of an international entity.**

CDKN will fund organisations if they satisfy all of the following conditions:

- (1) The organisation must be a legal entity.
- (2) 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

Organisations that do not meet these requirements may not act as the Lead Applicant to directly receive funds from the awarding body. However, they may be named as a project partner or sub-contractor organisation (and receive funds through the Lead Applicant). Therefore they can participate as one of the group's institutions, but may not be the Lead Applicant on an application.

If the application is successful and offered CDKN funding, the Lead Applicant will be required to undergo eligibility checks before any funding will be confirmed. Full eligibility checks will be conducted for successful applications by CDKN's procurement team. These

will include checks on infrastructure, capacity, critical mass of project support staff, institutional governance and accountability structures, and audit procedures. If there are complications, delays in this may affect the start date of the activities. If you have any questions or concerns about eligibility, you are encouraged to contact CDKN on innovationfund@cdkn.org well in advance of preparing your application.

9. Payments and Funding Responsibilities

All payments for the awards are to be made in Pounds Sterling (GBP), regardless of where the Lead Applicant is based.

CDKN accepts **no** responsibility, financial or otherwise, for expenditure or liabilities arising out of the projects it funds, other than that specifically covered by the conditions of the award and which has been incurred during the period covered by it. As said above, any expenditure relating to activities, goods or services incurred **before an award** is formally awarded, or **retrospective payments** for such expenditure before an approved starting date of an award, are the responsibility of the Lead Applicant 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 Lead Applicant, and ineligible for CDKN funding. Expenditure properly incurred during the lifetime of an award, but for which bills or invoices are 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 organisation. CDKN accepts **no** responsibility for any redundancy, severance or compensation payments, for which the Lead Applicant may become liable as an employer, unless expressly agreed in writing.

10. Changes of Lead Applicant and Transfers of Awards between Organisations

The Lead Applicant must consult CDKN if it is proposed to change the main point of contact, for example, following retirement or resignation. In such circumstances, the institution may nominate a replacement Award Holder. 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 objectives.

The Lead Applicant must notify CDKN if the main point of contact 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 main point of contact. 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 want to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its 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.

11. Changes to Awards

Awards provide support for the applications submitted by the Lead Applicant and accepted (or modified) by CDKN. **The 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 project plans which compromise the prime objectives 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.**

12. Extensions to Awards

CDKN expects that projects will be completed and outlined deliverables be produced in the specified time. It is important that it is completed efficiently within budget and timeframe. Under very limited circumstances, extensions may be allowed (but with no added costs) to the duration of the award. Award holders should approach the CDKN Project Manager with any questions for discussion on a case-by-case basis.

14. CDKN's Right to Terminate funding

CDKN reserves the right:

- (1) To revise or amend at any time the conditions of the award
- (2) 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.

15. Legal Issues

For the purposes of this scheme English Law will apply.

Annex 4: Developing a strong innovation process

Innovation³⁶ as applied to the CDKN Innovation Fund, is defined as an idea that will be ‘game changing’³⁷ and impactful within the context of climate compatible development. The process of innovation should challenge, enable and mobilise by:

- (a) Supporting original and solution-orientated thinking;
- (b) Strengthening the capacity of coalitions, networks, and partnerships; and
- (c) Supporting the implementation of ideas and resulting practice, i.e. transforming ideas into action.

An innovation process means running a process (often interactive space/s and workshop/s), which convenes relevant stakeholders to identify innovative, ‘game-changing’ and original solutions to specific challenges. These solutions should be articulated in the form of outputs such as project proposals, conceptual frameworks, learning materials, policy briefs, a road map for implementation and/or best practice tool kits. The innovation process **may** want to use tried and tested social innovation and facilitation techniques (for example, the U-Process³⁸, Open-Space Technology³⁹, Action Research⁴⁰ or Appreciative Inquiry⁴¹). It should be designed by people with experience of group facilitation and social innovation processes and incorporate external content expertise, where needed (i.e. climate change and development expertise).

There are four main elements that strengthen an innovation process:

1. **Conceptual framework:** context and direction is a foundational component that is required to start moving towards innovative thinking; clarity around the challenge presented and the relevant thematic focus is necessary in order to galvanize collaboration and stimulate constructive thinking and analysis.
2. **Stakeholder engagement:** it is vital that all relevant stakeholders are integrated into and consulted during the innovation process, thus establishing ownership, support and motivation enabling outputs to be implemented.
3. **Expert facilitation:** this is essential in order to guide participants and provide them with a brokered space in which to engage in dialogue and collaborate effectively and efficiently; using expert facilitation methodologies and techniques (such as U-

³⁶ As defined by the [Humanitarian Innovation Fund \(HIF\)](#), Innovation: *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.*

³⁷ See definition in previous footnotes.

³⁸ The U-Process: <http://www.presencing.com/node/109>

³⁹ Open-Space Technology: http://en.wikipedia.org/wiki/Open_Space_Technology

⁴⁰ Action Research: http://en.wikipedia.org/wiki/Action_research

⁴¹ Appreciative Inquiry: http://en.wikipedia.org/wiki/Appreciative_inquiry

Process, Open Space Technology, etc.) to maximize available opportunities to collectively address challenges.

4. **Commitment to collaboration:** social innovation processes require high levels of collaboration and open mindedness to work effectively. Selecting your participants carefully, with these principles in mind, will be essential to the success of your process. The objective of an innovation process is to evolve and create something 'game changing' – therefore all participants must be prepared for and committed to the possibility of change and new thinking.
5. **Interactive elements:** the innovation process should contain interactive elements such as site visits and challenge approaches, to further encourage interactive collaboration and real time learning.

By incorporating these components into the innovation process, you will have a strong base from which to build and expand, allowing concrete proposals for solutions based activities to not only be created, but to also have increased chances of success and levels of impact at the macro level.

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