

Development and Implementation Phase Grant Facility

Applications can only be made using our online application platform. We will not be accepting proposals sent by email.

- First time applying to the HIF on the grant application platform online? Register [here](#) to start preparing an Expression Of Interest
- Already registered on the grant platform? Login [here](#) to start an Expression Of Interest

Included in this key document is:

- What are the Development and Implementation Phase grants?
- Eligibility
- Selection Criteria
- Review process and documents for application to the facility
- Guidance on MEL, Dissemination, Data sharing, Intellectual property and Ethical Considerations
- Supporting documents

A. What are the Development and Implementation Phase grants?

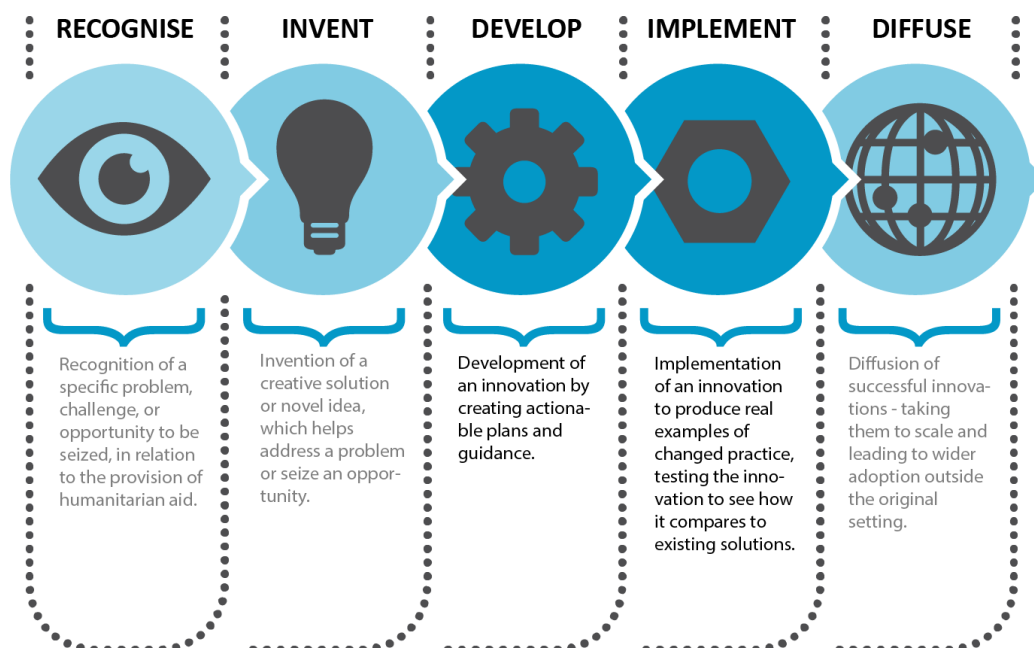
The Development and Implementation grants are for projects from £75,000 to £150,000 for a period of **up to 24 months** (after which no extensions are available). These grants will principally support the development, implementation and testing of an innovation. Calls for applications for these grants are made biannually; the latest dates are shown in our timeline document or you can check our [website](#) to see if the facility is currently open or closed.

What do we mean by development and implementation phase grants?

Development stage: This means the development of an innovation by creating practical, actionable plans and guidelines. Turning ideas into action, the development stage takes designs from the drawing board and transforms them into real-world solutions.

Implementation stage: This means the implementation of an innovation to produce tangible real examples of changed practice, testing the innovation to see how it compares to existing solutions. Often using pilot projects to move beyond proof of concept, this stage establishes how an innovation performs in practice.

The Innovation Process





B. Eligibility

While it is possible for a **single organisation** to make an application to the HIF, we strongly encourage consortia applications that bring together a range of actors and draw on a relevant diversity of knowledge, experience and expertise.

Lead Applicant

The lead applicant must:

- Have legal status and be registered in the country(s) in which the project will be carried out.
- Not act as an intermediary but be directly responsible for the preparation, management and implementation of the project proposed.
- Present signed audited financial statements and reports.

Consortia Requirements

Consortia must be able to demonstrate through their members:

- Relevant operational experience of humanitarian programming.
- Training and/or experience in the area of research and development.
- Understanding and ability to adhere to International Humanitarian Principles and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief.

The HIF also encourages financial or in kind contributions from all applicants.

Single Entity Applications

Applicants that are not part of a consortium must be able to demonstrate that they can fully satisfy all requirements of both the 'Lead Applicant' and 'Consortia' prerequisites. Single entity applicants must also demonstrate significant effort to engage with a broader audience/stakeholder community through their project implementation and dissemination plan.

Note: Lead (or single) applicants can **only submit two proposals per round**. Applicants can also be part of any number of consortia applying to the HIF. Applications to the Early Stage Innovation facility will not count towards the maximum application allowance.

Note: there is no geographic restriction as to the origin of an applicant

C. Selection criteria

In addition to the HIF Purpose outlined above, all proposals will be assessed against the following selection criteria (equally weighted):

- Potential impact and scalability
- Methodology/Approach
- Project feasibility and effectiveness
- Team composition and capacity to implement

1. Potential impact and scalability

All project proposals must be in line with the overall objective of the Humanitarian Innovation Fund, i.e. identify, develop and test new technologies, products and processes that will lead to demonstrated and cost-effective improvements in humanitarian practice. They should clearly demonstrate how the innovation will contribute to improving the relevance, appropriateness, coverage, efficiency and / or effectiveness of humanitarian aid relative to existing practices¹.

¹ Definitions of each of these criteria can be found in the ALNAP guide to Evaluating humanitarian action using the OECD-DAC criteria, available at: http://www.alnap.org/pool/files/eha_2006.pdf



In particular, a project application should clearly indicate how the issue it aims to address presents a significant challenge within the field of humanitarian practice. Relevant evidence (such as literature review, case studies, evidence of demand by practitioners and beneficiaries, evidence of an opportunity) should be provided to support the project rationale.

It is important that projects demonstrate the potential to have a positive impact on the effectiveness of humanitarian action through potential scale up and/or transferability within the sector. The scalability of an innovation is an important criterion for selection.

Note: the definition used for humanitarian aid is taken from Global Humanitarian Assistance: <http://www.globalhumanitarianassistance.org/data-guides/defining-humanitarian-aid>

2. Methodology/Approach

All project proposals will be assessed for the clarity, relevance and rigour of the methodology and approach used to test, measure and build evidence around particular innovations and the contribution they make to improvements in humanitarian performance. In particular proposals should seek to articulate how the innovation will compare to existing practice.

Applications should be able to demonstrate the appropriateness of the methods used to test, develop, implement or share an innovation in the context. Evidence of the support to this methodology by stakeholder groups/networks, practitioners and/or beneficiaries should be clearly indicated in the proposal. Where the methodology is judged to be not sufficiently detailed or developed, the project team will be asked for more information.

A clear and convincing strategy as to how the project findings / lessons will be shared must also be included.

3. Project feasibility and effectiveness

Applications will be expected to present a convincing implementation plan (including monitoring and evaluation) and illustrate how the proposed activities will support the achievement of the project's objective. Particular attention will be paid to ensuring that the proposed budget represents value for money.

It is also expected that applications identify and rate potential risks associated with the project, and present a coherent strategy for their mitigation. (This also includes risk to the innovation not just project implementation).

Note: Applications must include a section on what might go wrong and what we might learn from this.

4. Team composition and capacity to implement

The project team should be clearly capable of carrying out the work described and have a relevant track record which supports the project proposal. Applicants should be able to demonstrate an understanding of how to bring new practices into operational contexts. Applicants will be expected to use the template provided. Applicants should also submit any other documentation detailing operational/research experience.

5. Building credible evidence around the performance of the innovation:

It is important that grantees address two areas related to information collection and analysis.

- (1) The first is monitoring and reporting on the project deliverables and systems, answering questions about the progression of the project on an output level.



- (2) The second is establishing an approach to make evidentially robust statements about the performance of the innovation (and particularly how the innovation compares with current practice).

The Funding Committee will look for evidence that both areas have been addressed in the application. The extent to which the project team is seen as capable of effectively delivering on the project activities on time and to budget will be assessed under the 'feasibility' criteria. The 'approach / methodology' criteria will be used by the Funding Committee to assess the way in which the project plans to collect credible evidence of the innovation's performance, and in particular how this will be measured against existing practice (this will include an assessment of the appropriateness of the chosen criteria against which performance will be measured).

Note - creativity and rigour:

While innovations involve creativity, they also involve a rigorous approach to the creative process. As indicated above in relation to the methodology criteria, you should think about what criteria your project will use to demonstrate that the innovation is successful or not, what indicators you will use to judge this, and how you will gather robust evidence to support your proposal. It is particularly important to try and compare an innovation with existing practice. Failure to do so will impact negatively on your chances of success.

D. Review process and documents for the facility

The deadline for submitting an Expression of Interest (EoI) can be found on our [timeline document](#). If the EoI fulfils the Humanitarian Innovation Fund's requirements, you will be invited to submit a full application.

Required information

Development and Implementation phase grant applications will be processed in two stages. Applicants are required to submit a short EoI for an initial eligibility screening before being invited to complete a full application. Full applications will be evaluated by the HIF's Technical Reviewers before being sent to the HIF Funding Committee for final selection.

Applicants must use the templates provided when instructed on the online application system.

Expression of Interest (EoI)

The following documentation must be uploaded onto the online application system at Expression of Interest stage:

- **Appendix A:** Brief budget information, including applicant's/consortium's financial and/or in kind contribution if any
- **Appendix B:** Work plan
- **Appendix C:** Legal status registration (upload under organisation documents)

Initial screening

An initial screening of the Expression of Interest will be performed by the HIF team. Expressions of Interest will not be considered if:

- The application is incomplete
- The applicant, project, or costs are not eligible
- The application is received after the submission date
- Any of the required documents outlined above have not been uploaded



Invitations to submit Full applications will be sent to applicants after the screening stage. At this stage the Funding Committee will be required to declare any conflict of interest in relation to any applicants invited to prepare a Full application.

Unsuccessful applicants will be notified of the decision after this date. *Please note it is not possible to provide detailed written feedback on unsuccessful Expressions of Interest.*

Full Application for the Development and Implementation Phase grants

Please note: You must complete an Expression of Interest and be invited to submit a Full application. It is not possible to bypass the Eol stage even if requested to re-apply.

If invited to complete the full application you can access your account via the online grants application system you used to submit your EOI. Your organisational information will be retained from Eol stage.

The full application should include the following supporting information uploaded under **programme documents**:

- **Appendix A: Project Details** page (use template provided online system)
- **Appendix B: Summary CVs** of key members of the team (use template provided)
- **Appendix C: Detailed budget & Budget Narrative** information, including applicant's/consortium's financial and/or in kind contribution if any (use template provided)
- **Appendix D: Detailed work plan** (applicants can use the format provided but are welcome to use their own)
- **Appendix E:** Detailed statement of applicants/consortium's **previous work** and experience. Indicate your (or the consortium's) previous work / research / operational experience in the area of proposed intervention
- **Appendix F: Partner details** (including main contact details and email/letter of support from each partner)

Supporting information to be uploaded under organisational documents:

- **Appendix G: Legal registration** (should already be attached from Eol, please retitle appendix I)

The HIF team will review all applications and may ask the applicant for clarifications or further information as needed.

The deadline for applicants to submit a Full Application can be found in the timeline document.

Screening of Full applications and background check

A detailed screening of the quality of proposals, including the enclosed budget and the capacity of the applicant, will be carried out in accordance with the selection criteria set out above. The proposals will be sent to the Funding Committee for final selection.

At this stage, projects will not be considered if:

- The application is incomplete
- The applicant, project, or costs are not eligible



- The proposal exceeds the maximum duration/value allowed
- The application was received after **the submission date**.

Final Selection and Notification / Announcement

The final evaluation and selection of applications will be made by the Funding Committee comprising of independent voluntary experts with a range of expertise in various humanitarian programming sectors, as well as innovation processes more generally.

The announcement of the projects to be funded will be made following the Funding Committee meeting. Notifications will be made thereafter.

Please note: while there isn't a quota of grants to award, we expect to fund 3 projects in this round. The final number of grants funded will be dependent on the quality of applications and the funding available.

Please note: a due diligence process will be undertaken at the contracting stage and additional documentation may be requested from successful applicants.

F. Addition guidance on MEL, dissemination, data sharing, intellectual property and ethical considerations

Monitoring, evaluation and learning (MEL)

Generating evidence-based learning about innovations is a key strategic objective for the HIF. In order to fulfil this goal, it is expected that grantees will:

- 1) Take the lead in generating data and evidence throughout the implementation of grants, feeding back into the project in order to assist adaptation and development.
- 2) Produce and document data leading to evidence-based conclusions about the performance of specific innovations.
- 3) Contribute to the development of knowledge and learning around innovation processes in operational humanitarian contexts and how they can be strengthened and supported.

In addition to and building on these activities, the HIF team will be working to gather case study evidence and build examples of innovations with funded grantees.

Expectations for monitoring, learning and research activities

Responsibility for the various activities contributing to the learning and knowledge sharing activities will be divided between the grantees and the HIF team.

Grantees will take primary responsibility for the design and implementation of individual monitoring and evaluation plans that are tailored to the needs of proposed innovation activities. The HIF team will support this, supplemented by third party technical experts if necessary and appropriate:

Development and Implementation grant holders should aim to:



- Produce credible data on the progression of innovations, in ways that are consistent with the key funded activities, and use this to reflect on and modify activities through the lifetime of the grant.
- Use data to make assessments on the advantages of funded innovations, and feed into specific research and evaluation efforts.
- Make this data available to the HIF team for subsequent analysis and documentation, which might include incorporation into Innovation Case Studies or other synthesised research outputs.

In practice, these requirements will mean different things for different grants, depending on the type of innovation (i.e. product, process etc) and the stage in the innovation process that a grant focuses on advancing (i.e. development, implementation etc).

The details of specific approaches will need to be specified for individual grants at the outset of projects, as part of the application.

Knowledge Sharing and Innovation Case Studies

Towards project completion, each grant will also be assessed in terms of its potential to inform an Innovation Case Study. The development of case studies will be led by the HIF team, with close support and input from grantees. Case Studies are intended to act as a shared information tool for use by humanitarian actors in their continuing efforts to capture and diffuse innovations more effectively across the sector. It is hoped that case studies will be undertaken for the majority of Development and Implementation Phase grants.

Dissemination, data-sharing and intellectual property

Rather than attempting to recreate traditional models of innovation which suggest that products and services are developed in a 'closed' internal model, the HIF is committed to pursuing open models for collaborative innovation. With an open approach, innovation is seen as a multidimensional system of interacting contexts, actors and processes. The closed, linear model of innovation has been replaced by more holistic models which stress the dynamic, networked, flexible, and 'open' nature of the innovation; and which acknowledge the importance of wider organisational, social, economic and political contexts. While the stages of the traditional innovation model – from recognition through development to dissemination - are still relevant, the sources of ideas and the drivers of the process are recognised as becoming increasingly diffuse, spanning organisational and geographic boundaries.

To promote such a dynamic open model of innovation, the HIF (in addition to encouraging collaboration and partnership in grant applications) is committed to the sharing and active dissemination of knowledge and data generated through HIF grants.

As established, the nature of innovation is such that not all grants will result in success, but none the less the process of developing and testing innovation is itself of value, and should be documented. A central purpose of the HIF team is to document and disseminate lessons



learned about humanitarian innovations and managing innovation processes in the context of humanitarian action. Grant recipients are expected to participate in an action-research process that analyses and documents the lessons from their innovative efforts, contributing to a comparative dataset on real-world innovation processes. This process includes collaborating with the HIF team on case studies and other research. Grantees would also be expected to participate actively in practitioner forums, both virtual and in person, to share their experiences with other grant recipients as well as with those interested in learning about humanitarian innovation.

Intellectual Property

Intellectual property rights will be retained by the successful applicant for all material (including, but not limited to, reports, data and designs, whether or not electronically stored) produced by the applicant or its personnel, members or representatives in the course of undertaking the project.

The applicant will be required as a condition of the grant agreement to acknowledge that all Intellectual property produced as a result of the project will be made publicly available for use and dissemination by the wider humanitarian assistance community. The applicant will therefore be required to provide the HIF team with full access to any such documents and consent to the publication of such documents for free public use and access via the HIF website.

Ethical considerations

The HIF team expects applicants to pay particular attention to and address any ethical questions arising from the proposed project. Applicants will be expected to have received clearance from the appropriate national body whenever necessary.

Here is a set of basic principles to follow:

- The project must not cause harm to the beneficiaries in particular and to people in general
- The project should aim to make a positive contribution towards the welfare of people
- The project must respect and protect the rights and dignity of beneficiaries and people in general
- The benefits and risks of the project should be fairly distributed and agreed to among people
- The project should make every effort to receive clearance from the appropriate national authorities

The following links contain useful information when considering ethical questions:

- Humanitarian Ethics in Disaster and War, *IFRC*, 2003
<http://www.ifrc.org/publicat/wdr2003/chapter1.asp>
- Ethics in disaster response – *IFRC*:
<http://www.ifrc.org/what/disasters/responding/ethics.asp>
- *Health and Human Rights Info* thematic page:
<http://www.hhri.org/thematic/ethics.html>
- Ethics of conducting research in conflict settings. *Conflict and Health*, 2009
<http://www.conflictandhealth.com/content/3/1/7>



F. Large grants proposal applicants should refer to the following documents:

Core documents:

- [Timeline document](#)
- [Key questions to ask yourself before applying](#)
- [Monitoring, Evaluation and Learning Note](#)
- [Frequently Asked Questions](#)

Large Grant Proposal Application Pack:

These documents are templates for the application process and available on the online application system

- Expression of Interest Reference Form
- Full application project details page (template)
- Budget Template
- CV Template
- Example of Work Plan

Additional Resources

- Innovation Resource Centre:
<http://www.elrha.org/hif/innovation-resource-hub/>