

Global Prioritisation Exercise Component One: Global Mapping of Humanitarian Research and Innovation Investment Initiatives (Global Mapping Report)

Terms of Reference: January 2021

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1. SUMMARY OF THE ASSIGNMENT

Elrha seek proposals to conduct a mapping exercise of the key outputs, actors and investments in humanitarian research and innovation globally. It builds on a previous global mapping exercise and report conducted by Elrha in 2016/17. The new mapping exercise will build on the 2017 report by identifying trends, but will also have a stronger focus on certain areas such as emerging strategic interests and investments. It will form part of a wider process, the Global Prioritisation Exercise, coordinated by Elrha.

The exercise is funded by the governments of the UK and the Netherlands.

2. BACKGROUND

Humanitarian needs continue to grow. The UN reports that there will be 235 million people in need of humanitarian assistance and protection in 2021. Numbers affected by conflict and displacement have increased significantly with an estimated 51 million new and existing Internally Displaced People and 20 million refugees.¹ Factors including climate change,

¹ Global Humanitarian Overview 2021

poverty, increased rates of infectious diseases, food security and poor services and infrastructure all combine and interact to increase the numbers of people vulnerable to and affected by humanitarian crisis. As humanitarian needs continue to grow, despite high levels of funding, UNOCHA report a gap of 40% in 2020 between inter-agency appeals for funding of humanitarian assistance and funds committed; a consistent trend over years in humanitarian financing. These trends highlight the need for new ways of working.

Research and innovation can play a valuable role in supporting humanitarian action to save lives, relieve suffering and promote dignity by increasing the evidence base of humanitarian response and identifying innovative solutions to challenging and intractable problems. However, current levels of investment in the sector remain low; the best effort to quantify investment in humanitarian research and innovation identified that spending at that time (2014-15) was significantly lower than other sectors, under 0.4% of total annual expenditure.²

In addition to additional investment in research and innovation, Elrha identified a significant and urgent need for a mechanism to facilitate greater global coordination and collaboration around research and innovation investments and activity.

The original Global Mapping Exercise

In 2016/17 Elrha conducted a global mapping exercise of the humanitarian research and innovation landscape which will provide a useful basis for this exercise. The resulting Phase One [Global Mapping Report](#)³ provides a baseline of global humanitarian research and innovation activity as viewed through published outputs during 2016-2017. The research identified a dynamic and growing community and reported there were at least 825 research and innovation actors, supported by 218 funding agencies. Actors considered were organisations, centres or other entities or stakeholders engaged in research and or innovation. These included donors, academic, research institutes, humanitarian organisations, networks and alliances

With humanitarian needs growing and a growing number of research and innovation actors we see an urgent need for effective mechanisms to make research and innovation activity visible in real time and to support coordination between actors to maximize the impact of investments. Elrha has already undertaken work to identify trends and priorities in some areas of humanitarian action, notably in the health sector e.g. Elrha has worked on gap analyses for Water, Sanitation and Hygiene⁴(WASH), Gender Based Violence⁵ (GBV) and the inclusion of

² World Humanitarian Summit Report *The Humanitarian R&D Imperative*, Deloitte, 2015

³ Please refer to Annex A of the Phase One Mapping Report_Nov2017 https://www.elrha.org/wp-content/uploads/2017/03/Elrha-GPE-Phase-1-Final-Report_Nov-2017.pdf

⁴ Gap Analysis in Emergency Water, Sanitation and Hygiene Promotion, Humanitarian Innovation Fund, 2013, <https://www.elrha.org/wp-content/uploads/2016/01/HIF-WASH-Gap-Analysis.pdf> soon to be updated

⁵ Gender Based Violence 2020

people with Disability and Older people in humanitarian response OAI⁶ (DOAI) which also provides important data for this initiative.⁷

This assignment is one workstream in the Global Prioritisation Exercise

The assignment in these ToR is one part of a broader Global Prioritisation Exercise (GPE), through which Elrha aims to improve outcomes for people affected by humanitarian crises by enabling the humanitarian community to target global humanitarian research and innovation capabilities and resources to the most pressing problems.

The GPE responds to some key challenges in relation to research and innovation including:

- a) An urgent need for effective mechanisms to support coordination and targeting between actors and funders of research and innovation investments leading to increases in efficiency, effectiveness and equity.
- b) A lack of visibility of innovation activity (investment and initiatives) and data on the scale, scope and depth of investment and initiatives underway including of the financial value of current investments into humanitarian research and innovation.
- c) A need to shift funding allocations to organisations closer to where humanitarian needs are most directly experienced in line with the Grand Bargain⁸ localisation agenda.

With the support of the governments of the UK and the Netherlands the GPE will:

- a) provide updated and in-depth mapping of humanitarian research and innovation activity (investments and initiatives)
- b) undertake a separate global consultation process to identify priorities for humanitarian innovation and research and then
- c) roll out further communication and engagement processes to build involvement in and support for strategic coordination and collaboration to maximise the impact of humanitarian research and innovation investments.

This terms of reference relates to the first – global mapping - component.

3. PURPOSE, OBJECTIVE(S) & KEY ACTIVITIES

3.1. Details of the Global Mapping Assignment

3.1.1 Aims and objectives

The purpose of the Global Mapping Process is to:

⁶ Gap Analyses the Inclusion of People with Disability and Older, Humanitarian Innovation Fund 2020, <https://www.elrha.org/researchdatabase/gap-analysis-humanitarian-inclusion-disabilities-older-people-literature-review/>

⁷ See for example: [gap-analysis-humanitarian-inclusion-disabilities-older-people-literature-review/](#); [Researching violence against healthcare: gaps and priorities](#); [health-evidence-review/](#) .

⁸ <https://interagencystandingcommittee.org/grand-bargain>

- Identify and map global humanitarian research and innovation initiatives and provide an overview of global outputs
- Update data on key actors for humanitarian research and innovation around the world, since these were last identified in the 2017 mapping exercise
- Map the type of humanitarian research and innovation investments globally and the quality of outcome
- Analyse strategic interests, and investment trends

3.1.2 Deliverables

The GPE mapping process will generate a report and annexes to cover key actors in the humanitarian innovation and research space, investments and funds in this space, and an overview of current strategies to support more use of innovation and research. The report should map and analyse:

a) **Actors in the humanitarian innovation and research space.**

The global mapping process aims to update and expand on the 2017 Phase One Global Mapping Report and to capture more detailed data on humanitarian research and innovation **actors** for the period 2018-20. The updated mapping should show the scope, scale and trends in humanitarian research and innovation actors by location, focus area (subject/theme/question addressed). Attention should be given to include those in the private sector and those in and of humanitarian contexts and high risk countries. Key actors for mapping include:

- **Donors and investors in humanitarian research and innovation** should be profiled by type including government, trust/foundation, private sector, academic, humanitarian organisation and their sub-sets and others.
- **Humanitarian innovation and research expertise**, including academic organisations, centres, networks and alliances or other entities engaged in research, will be mapped by type, thematic focus, and location, including an analysis of trends in the availability and location of this expertise. The mapping of themes and areas of work of these experts will inevitably involve some mapping of their research and innovation outputs. This may draw on the methods used in the 2016/17 exercise (see below).
- **Practitioners and organisations playing intermediary roles** e.g. promoting access to humanitarian research and its use.
- **Actors providing or hosting data repositories and data resources⁹ and evidence platforms.¹⁰**
- **Key locations of humanitarian innovation and research** expertise by type and country.

b) **Areas of current and planned funding and investment:** drawing on the mapping of donor and funding actors, the report should provide analysis of their expenditure; focus areas of expenditure and as far as possible actual figures for 2018-20 and

⁹ This includes portals making data accessible for further research and analysis. For example, the humanitarian data exchange see - <https://data.humdata.org>

¹⁰ This includes platforms bringing together research to promote its accessibility and use by different types of actors and in a range of sectors or thematic areas. For example Evidence Aid see - <https://evidenceaid.org/>

indications of future strategies. It is acknowledged that these data are difficult to access but the data should be of sufficient detail to enable analysis of gaps, priorities already being addressed, and to enable future monitoring of funding trends. This will include detailed data on strategies and funding commitments of major government and non-governmental funders of humanitarian research and innovation (e.g. trusts, foundations, private sector, other). The report will provide analysis of trends in amounts and modes of financing for humanitarian research and innovation. It will also analyse, as much as is possible, funding by different research and innovation problems, thematic area, methodology and types of research and innovation actors funded, extent of involvement of people affected by crisis, and geographic distribution.

- c) **Overview and analysis of current strategies to build and support coordination:** drawing on the mapping of humanitarian research and innovation actors, the paper should map strategies for use of research and innovation in the humanitarian sector e.g. through promotion of access to research and innovation, building capacity to use research and innovation, or linking research and innovation to practice. These can include individual organisational strategies e.g. the UK National Health Service, or strategies (or elements of strategies) that are shared by different actors to prioritise and coordinate. We are also interested in how strategies were/are developed.

- d) **The mapping should provide an overview with selected case studies** of processes used, involving multiple actors **to identify priorities** for research and innovation investment and/or actors (cases should include examples from outside of the humanitarian sector. Lessons from within the humanitarian sector e.g. from cluster-prioritisation processes would be useful.)

The results of the mapping process will be presented in a report and will also be used to populate a publicly accessible database. The report and data will be made available through a website(s) for humanitarian actors to use. These deliverables will directly inform the second phase of work, which will involve global and regional consultations, as well as communication and engagement activities, aiming to achieve consensus on future priorities for research and innovation investments.

The Provider will assign to Elrha all Intellectual Property rights in the Arising Intellectual Property for the full term of those rights (including any copyright and database rights arising in the future), to the intent that those rights will immediately upon their creation vest in Elrha.

3.2 Methodology

Applicants will be responsible for proposing research methods to best achieve the foreseen outcomes. Indicatively these could include:

- a) **An in-depth document review of research and innovation actors, investments and strategies.** The 2016-17 mapping exercise included a robust literature review and meta-analysis, which was used to map research and innovation outputs and products as well as to identify actors. We do not expect the current exercise to repeat all the methods used in the 2016/17 mapping, especially since we are more interested in mapping actors, funding and strategies than research and

innovation outputs. However, proposals should outline approaches to using the data from 2016/17 and collecting new data to be able to say something about trends especially in relation to locations. The data and research protocol used in the 2016-17 mapping process are available from Elrha. There is also a useful list of lessons learned from the online search and analysis process (annex A of the 2017 Phase One Mapping report). But applicants should note this 2021 report and exercise is expected to go further than this output-based review to trace initiatives and investments.

- b) Primary **data collection from a range of** key organisations and groups working in the humanitarian research and innovation space, including donors, research institutes, private sector actors, international financial institutions, international organisations active in humanitarian action, INGOs, regional, national and local bodies and networks etc. This will be broader in scope and more in-depth than the original 2016-17 mapping exercise to enable detailed analysis of financial data and trends. It will capture actual investments of 2018-20 and plans/strategies for the future. We appreciate access to funding data may be challenging and Elrha will attempt to use its network to support these data requests.

A range of methods including, but not limited to, key informant interviews, potential focus group discussions, or electronic surveys, will be considered to capture data as comprehensively as possible. Innovative and more interactive search and consultation methods to gather data and reach actors not easily identified online are encouraged e.g. Local actors, private sector organisations and relevant organisations not “traditionally” part of humanitarian coordination structures and systems. FCDO and Elrha will facilitate access to some of their contacts.

- c) Other methods that could be considered include the development of **case studies** to explore positive examples and trends in humanitarian research and innovation investment and activity, we are particularly interested in capturing case studies where impact can be evidenced. Mapping examples of actors that have experienced change and increased activity in either funding or investing time in humanitarian research and innovation would be useful e.g. selected INGOs, international organisations, new donors.

The methodology as detailed in applicants’ proposals needs to include details of the following areas.

- a) A detailed approach to identifying, mapping and tracking engagement in humanitarian research and innovation by government donors, international organisations, private sector, civil society, academic and other key actors. This should include an approach to mapping key strategies for promoting use of research and innovation in the humanitarian sector of individual or groups of actors.
- b) A detailed approach to mapping major research and innovation initiatives. The literature review process used in the 2017 mapping process is a useful starting point but a more interactive process with key actors will be needed.
- c) A detailed approach for mapping investment. Investment pathways can be complex in the humanitarian system where government donors’ funds may be passed between actors in partnerships and combined with funding secured by humanitarian, research

and innovation actors from other sources including trusts, foundations and their own funding sources.

- d) Details of how the mapping process will establish criteria for inclusion of relevant initiatives in the mapping. Delineating the boundaries of what is regarded as 'humanitarian' research and innovation in the mapping exercise will need to consider: the growth in numbers of people affected by protracted crises and use of development approaches in these contexts; the humanitarian-development-peace building nexus bringing together humanitarian, development and peace-building interventions; and relationships of humanitarian action to issues of climate change, resilience, response preparedness and other issues seen as relevant.
- e) An approach that considers the extraordinary year of 2020 and COVID-19 response with its unprecedented attention to research to respond to a global pandemic. Proposals should explain how they will incorporate COVID-19 related research and innovation, and its potential impact on broader research and innovation, but without distorting underlying trends preceding it.
- f) How the mapping process will deal with the varying quality, scope and depth of initiatives. It will be important to go beyond simply counting actors and initiatives to provide a more comprehensive overview of the scope and scale of research and innovation in different areas (geographical, thematic, questions/challenges/opportunities addressed).
- g) Criteria and areas to be addressed through any suggested case studies. Case studies might explore organisations motivation to engage in research and innovation, how a growth in investment was enabled and factors that enabled or constrained it.

The mapping process will also generate a data resource of the raw data organised and accessible for future searches and comparison of trends.

TIMELINE

- 9am 22 February 2021: Submission Deadline
- 22 February – 3rd March: Review of Proposals and shortlisting
- 3rd March – 10 March: Review of shortlist and selection
- 12th March Selection Committee Proposals
- 14-27th March: Finalisation of contract
- Mid-April: Inception plan, detailing how the consultant team(s) will structure the work, which methodologies will be used, etc., proposed structure for the final outputs
 - Report of a) Actors in the humanitarian innovation and research space.
 - Report of b) Areas of current and planned funding and investment:
 - Report of c) Overview and analysis of current strategies to build and support coordination
 - Report of d) overview with selected case studies of processes used, involving multiple actors to identify priorities
- Meeting with subgroup of reference committee to present approach
- End May: Revised (as appropriate) structure for final outputs
- Early July: First draft of Global Mapping Report(s)
- Early August: Final draft of output(s)

Component one: The Global Mapping report will inform and provide the basis for Component two: The Consultation. The successful contractor can also apply for this next phase of the Global Prioritisation Exercise. There will be a separate tender process for component two.

REPORTING LINES

This contract will operate under the direction of the Elrha Director of Policy Engagement and Communications and will be primarily managed by the Global Prioritisation Research Manager. The selected organisation or consortium will be expected to work closely with our team to provide frequent updates on progress and will receive regular input from other Elrha team-members.

A reference group has been established to support the global prioritisation exercise. It includes representation of key stakeholders with technical insight, advice and recommendations to set the priorities of the project, identify key stakeholders and engagement opportunities and promote the work of the exercise.

QUALIFICATIONS AND EXPERIENCE REQUIRED

Specific professional experience and skills

- Strong teams from institutional consortia, leading research institutions, consultancies and are encouraged to apply. The global scope of this work requires a team that includes members with a deep knowledge of different geographic areas of expertise and ideally with experience of humanitarian contexts.
- Teams and team members should show proven expertise and a record of excellence in delivering high-level policy analysis to leading global audiences in the international humanitarian, and/or international affairs space. We are looking in particular for clear expertise in conducting strategic global policy network analysis, ecosystems mapping, systematic evidence reviews, and financial/economic analysis.
- The successful team should be able to demonstrate knowledge, expertise and experience in tracking financial flows in humanitarian systems. These data flows can be complex in the humanitarian system where government donors' funds may be combined with funding secured by humanitarian, research and innovation actors from other sources including trusts, foundations, own funding and use of unrestricted donor funding. "Pathways of expenditure" are often long, involving donors, international organisations and a range of partners using multiple sources to fund specific initiatives. Expertise will be needed in tracking financial flows, avoiding double-counting of investments and to be able to identify significant funds allocated but that are not clearly or explicitly named as research and innovation.
- The successful team will have interdisciplinary social research expertise using a wide range of both qualitative and quantitative methodologies and experience in conducting key informant interviews with senior policy, practice, and academic respondents.

- Defined thematic knowledge and experience in humanitarian research policy, innovation and change processes are essential.
- The successful team should also be able to demonstrate pre-existing access to well-established professional networks across the humanitarian research and innovation policy communities, including donors, humanitarian practitioners, the private sector, academics and national governments in both the Global South and Global North.

AVAILABLE BUDGET AND EXPECTED STRUCTURE OF FINANCIAL OFFER

A budget of up to £180,000 is available, excluding applicable UK VAT but including any taxes that overseas suppliers may be liable for outside the UK.

Please indicate if you/your company is VAT registered and where.

The budget submitted to us should be broken down by activity and with any allocations for individual team members shown clearly. This should include any travel costs and other expenses.

PROPOSAL REQUIREMENTS

The application deadline is **09:00** GMT on **22/02/21**. We will not be able to consider incomplete applications or applications submitted after the deadline.

Proposals must include the following:

- Covering letter explaining your team's interest in and suitability for this research project (2 pages maximum)
- Proposal with intended methodology and project plan for delivery of the outputs identified in Section 3.2.2 above and included details of areas identified in the section 3.3. Maximum length excluding annexes [12 pages maximum]
- Budget with proposed remuneration in pounds sterling (days and rate) and any other costs. Please indicate any remuneration difference between team member roles – i.e. research fellows, research officers, research assistants, etc. (Annex)
- CVs and evidence of relevant past projects of each team member and the group with links to relevant outputs. (Annex)

Short-listed candidates are expected to present their proposals to an Elrha selection committee on 12th March.

You may wish to include (attached as links or appendices):

- Examples of relevant work and materials produced.
- References or testimonies from previous partners or clients.

We are looking for proposals to demonstrate a concise and clear communication style. Proposals can be submitted as Word documents or Pdfs.

Submit applications FAO Jean McLean, to comms@elrha.org.

PROPOSAL EVALUATION

The quality of each technical offer will be evaluated in accordance with the award criteria and the weighting detailed in the evaluation grid below. The award criteria will be examined in accordance with the requirements indicated in these terms of reference.

Upon completion of the technical evaluation, the financial offers will be evaluated. Financial offers exceeding the maximum budget available for the contract are unacceptable and will be eliminated.

Evaluation Criteria	Maximum score
Organisation and methodology (coherence with purpose, objective(s), key activities & expected deliverables)	[20]
Team composition (members of team have lived experience of humanitarian and development contexts)	[40]
Experience of humanitarian sector, access to humanitarian networks and of high-level policy analysis. Defined thematic knowledge and experience in humanitarian research policy, innovation and change processes are essential.	[40]
Expertise and experience in tracking financial flows ideally in humanitarian systems	[20]
Qualifications of key staff and interdisciplinary balance	[20]
Timeline	[20]
Financial offer	[40]
Overall total score	[200]

DUE DILIGENCE CHECKS AND CONTRACTING

We must ensure any potential supplier is evaluated for compliance to relevant statutory and quality requirements, and that appropriate due diligence checks are carried out, proportionate to the nature and value of the contract.

Due Diligence is our process of reviewing your organisation's finances, governance structure and business activities (including vetting key team members and/or board members, as applicable). We carry out this process on all our suppliers before we can enter into an agreement.

Please note that shortlisted suppliers will be required to complete a detailed Due Diligence Questionnaire.

We run our Contracting process in parallel to our Due Diligence. We have a standard agreement which all providers are expected to sign up to. You can request a copy to contracts@elrha.org. If you have any questions about this, please include them in your submission.

Thank you.