



# Climate Resilient Cities in Latin America

Research Call Terms of Reference

May 2016

# Contents

<b>1. OVERVIEW</b>	<b>3</b>
<b>2. BACKGROUND TO THE INITIATIVE</b>	<b>4</b>
<b>3. OBJECTIVE OF THE RESEARCH CALL</b>	<b>6</b>
<b>4. KEY TERMS</b>	<b>7</b>
<b>5. RESEARCH THEMES</b>	<b>8</b>
<b>6. ELIGIBILITY CRITERIA</b>	<b>13</b>
<b>7. APPLICATION PROCEDURE AND EVALUATION</b>	<b>15</b>
<b>8. OUR ENGAGEMENT WITH FUNDED RESEARCH PROJECTS</b>	<b>18</b>
<b>9. CONTACT AND COMMENTS</b>	<b>20</b>

# 1. Overview

Following a phase of consultation and scoping, we are pleased to launch this research call for the Resilient Cities Initiative on Climate Change in Latin America ('the Initiative'). The Initiative focuses on the theme of climate resilience in urban contexts, specifically in small and medium sized cities in Latin America that are experiencing rapid growth. This is a joint Initiative of the Climate and Development Knowledge Network (CDKN), the International Development Research Centre of Canada (IDRC) and Fundación Futuro Latinoamericano (FFLA).

The total budget for the call is up to **US\$1.5 million**. We expect to fund around 6 projects of between 12-21 months' duration, depending on factors including the quality of applications and funding requested by applicants.

The call launches on Monday 16<sup>th</sup> May 2016.

The research call will follow a two-stage process. Applicants are first required to submit completed **expression of interest forms (EOIs)** outlining initial concepts and approaches in response to this Terms of Reference (TOR), and demonstrating eligibility and experience. Shortlisted applicants will then be invited to submit full proposals in a second, competitive phase.

We invite **clarification questions** on these TOR, which must be submitted by **Friday, 27<sup>th</sup> May 2016 at 12:00 (midday) Quito time**. Details on how to submit clarification questions are detailed in Section 7. Please note that we can only respond to questions regarding the research call process, eligibility and thematic focus; we cannot provide feedback at on individual project ideas at this stage.

The deadline for submitting EOIs is **Monday, 13<sup>th</sup> June 2016 at 12:00 (midday) Quito Time**. Any EOIs received after this time will be discounted and will not be eligible for consideration for the full proposal stage.

Applicants shortlisted on the basis of their EOI submission will be invited to submit full proposals. We expect to notify shortlisted applicants by **8<sup>th</sup> July 2016**. Shortlisted applicants will be required to submit full proposals by **5<sup>th</sup> August 2016**. Following review and selection, we expect to notify applicants of the preliminary outcome of their full proposal submission in early September, when funding offers will be made subject to any clarifications and requested modifications.

Please be aware that the dates following the EOI submission deadline are subject to change if more time is needed for review; applicants will be notified of any changes to the timeline.

## 2. Background to the Initiative

### 2.1 About us

The **Climate and Development Knowledge Network (CDKN)** supports decision-makers in designing and delivering climate compatible development (CCD)<sup>1</sup>. CDKN does this by combining research, advisory services and knowledge management in support of locally owned and managed policy processes. CDKN works in partnership with decision-makers in the public, private and non-governmental sectors globally, regionally, nationally and sub-nationally, and holds strongly to the ideals of human development and environmental sustainability.

CDKN's programme is focussed on 13 priority countries across Africa, Asia, and Latin America and the Caribbean<sup>2</sup>. Through research, technical assistance and knowledge management support, the programme looks to enrich the global evidence base on issues relating to CCD, and provide practical technical input to support decision making. This means that CDKN's partners work closely with developing country governments and other decision-makers to: strengthen the integration of climate resilient and low-carbon growth in policy-making, planning and implementation; increase capacity to leverage climate finance; and improve coordination among sectors and countries to deliver CCD. A significant portion of projects supported by CDKN are focussed at subnational or city level.

The majority of CDKN's research programme has been funded through previous research calls, most recently the CCD Impact Research Fund ([CIRE](#)). CDKN-commissioned research is characterized by its thought-leadership and its applied, policy-relevant nature. For more information specifically on this research programme please visit the [Research pages](#) of the CDKN website.

**Fundación Futuro Latinoamericano (FFLA)** is a CDKN Alliance Partner, leading CDKN's regional programme for Latin America and the Caribbean. FFLA's own work focuses on multi-stakeholder dialogue, conflict related to natural resources, environmental governance, cooperation among civil society and governments on issues of importance to sustainable development, including natural resource management, socio-environmental conflicts and climate change. FFLA also provides training, facilitation and advisory services in related areas. In the six years of implementation of CDKN, FFLA has coordinated processes in more than 15 countries in Latin America and the Caribbean, where the needs of decision-makers regarding policies on climate change and development have been identified and prioritised for their definition and implementation.

The **International Development Research Centre (IDRC)** is a Canadian Crown corporation established by an act of Canada's parliament in 1970, investing in knowledge, innovation and solutions to improve lives and livelihoods in the developing world. IDRC's Climate Change programme has emerged since 2006, when adaptation first appeared on the UNFCCC agenda, and has included initiatives such as the *Collaborative Adaptation Research Initiative in Africa and Asia (CARIAA)*. The new (2015-2020) Climate Change programme aims to support research, partnerships and networks that inform the adoption of cost-effective solutions to extreme weather and climate change, while generating long-term social and economic gains. Building resilience in cities through improving the evidence base to inform planning and action, and through exploring new investment approaches for climate-resilient infrastructure, is among the priority areas for this Climate Change programme.

---

<sup>1</sup> See section 4 for definition.

<sup>2</sup> More precisely, 12 countries and one sub-region: Bangladesh, Caribbean sub-region, Colombia, El Salvador, Ethiopia, India, Indonesia, Kenya, Nepal, Pakistan, Peru, Rwanda, Uganda

## 2.2 About the Initiative

Given our common areas of interest, specifically on resilience, adaptation, cities and the move toward policy implementation, **CDKN, FFLA and IDRC have partnered** under this Initiative on Climate Resilient Cities in Latin America.

**This Initiative is focussed specifically on Latin America, on the theme of climate resilience in the urban context.** We are targeting sub-national territories, with a focus on small and medium sized cities in Latin America that are experiencing rapid growth.

CDKN has conducted a scoping exercise to identify priority research gaps and opportunities for the academic and policy community on this topic, which are outlined in Section 5 below.

Please note that country selection is not restricted to CDKN's priority countries, and there will be no advantage or disadvantage given to projects within CDKN's priority countries.

### 3. Objective of the Research Call

Through this Initiative, we aim to promote innovative solutions for the design and delivery of CCD, and ultimately to improve the quality of life for those most affected by climate change.

The objectives of the initiative are:

1. To develop solutions and foster action on climate-resilient development at the subnational level in Latin America, underpinned by robust research.
2. To deliver ambitious, innovative research to fill knowledge gaps on policy and practice aimed at achieving climate resilience in urbanising contexts.
3. To maximise the use and usefulness of evidence, through collaboration and engagement with decision makers and other key stakeholders, tailored communication and learning.

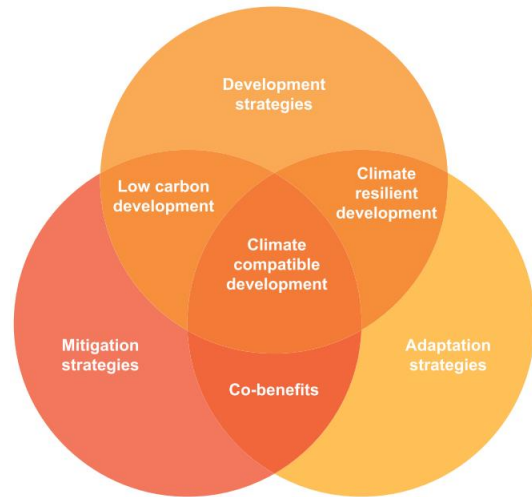
In this research call we challenge the Latin American and international research community to design appropriate and innovative research that will create a robust and accessible evidence base for decision making and achieve maximum policy impact. We will support the application of the best social science, and where relevant other scientific disciplines, to improve understanding of the multi-dimensional issue of climate resilience. The highest standards of theory and intellectual rigour are expected. Multi- or inter-disciplinary research collaborations are encouraged, where they improve the quality of research, knowledge outputs and/ or policy engagement processes.

## 4. Key terms

Key terms relating to the topic of this research call are defined as follows:

**Climate compatible development** is development that minimises the harm caused by climate impacts, while maximising the many human development opportunities presented by a low emissions, more resilient, future.<sup>3</sup>

**Climate resilient development in urban contexts** is concerned with how individuals, communities, businesses and systems manage and respond to climate shocks and stresses, but also seeks opportunities to transform urban development processes. While not the focus of this call, climate resilient development pathways should also aim to avoid high carbon trajectories. Resilience thinking encourages a holistic view of an urban system, understanding the interconnected and complex nature of a city's spatial plan, physical assets, functions, organisational and socio-economic dimensions. Broadly speaking, the factors that influence a city's resilience include: the range and severity of hazards; the risk to lives and property; the vulnerability and exposure of human, social and environmental systems, and; the degree of preparedness of both physical and governance systems to any shock or stress.<sup>4</sup>



**There is no agreed common definition of 'small' or 'medium' sized cities.** Definitions based on physical size, population and other factors vary considerably across Latin America, and defining a small or medium sized city is made difficult by the fact that the links and boundaries between urban areas, peri-urban and rural areas are also poorly defined. Typically, relatively little is known about them outside of their national or subnational contexts, but they often have close functional relationships with other cities in their region and proximal peri-urban and rural areas. We ask applicants to use their judgement regarding what constitutes a small or medium city in the context of the country of their research, but place minimum and maximum bands on population size of 20,000 and 500,000 people respectively. We specifically exclude capital cities and megacities, and are particularly interested in cities which have not already been the subject of significant analysis in the literature on climate change, disaster risk reduction or resilience. Please note that we use the terms urban areas, urban agglomerations and cities interchangeably in this ToR.

**Rapid growth of a city** can refer to increasing population, urban extent and/ or Gross Domestic Product (GDP).

<sup>3</sup> Mitchell, T. and Maxwell, S. (2010) Defining Climate Compatible Development. CDKN ODI Policy Brief.

<sup>4</sup> United Nations Task Team on Habitat III (2016) Habitat III Issue Paper 15: Urban resilience. New York, 31<sup>st</sup> May 2015.

# 5. Research themes

## 5.1 Background and Rationale

Following the Paris Agreement and the Development and Disasters frameworks agreed in 2015, there is an opportunity to harness new momentum to steer Latin America's development along a climate resilient pathway. New global and regional initiatives are emerging to support countries to meet internationally agreed targets, and new national frameworks related to climate resilience need to be implemented. Intended Nationally Determined Contributions ((I)NDCs) submitted prior to the Paris COP21 create one such opportunity; the majority of INDCs submitted by Latin American countries include adaptation priorities in sectors such as water, health and infrastructure<sup>5</sup>, making the implementation of NDCs an entry point for building a climate resilient future.

Latin America's population is predominantly urban, and the region has a high number of large cities. Approximately 80% of people already live in urban centres, making Latin America the most urbanised region in the world<sup>6</sup>. This trend is slowing, but ongoing; and in absolute terms the urban population will increase significantly over the coming decades<sup>7</sup>.

Despite important progress, Latin American cities of all sizes commonly exhibit high degrees of social inequality, poverty, informality, crime and insecurity. While the intensity of these problems varies significantly between and within countries, the region is characterised by stark differences in housing quality and problems relating to infrastructure and service provision<sup>8</sup>. Peri-urban areas on the outskirts of a city, especially, are typically home to marginalised populations with precarious livelihoods, often in informal sectors or tied to agriculture and highly dependent on natural resources<sup>9</sup>. Inadequate quality and quantity of domestic water supply, sanitation and transportation options are common problems. Climate shocks and stresses, which are increasing in frequency and intensity with climate change, have a strong impact on these water-related services, as well as on health, livelihoods, infrastructure and the built environment.

Although climate change risks in capitals and megacities tend to capture the headlines, the bulk of urban growth in Latin America is taking place in smaller and medium urban areas. Some large urban centres are contracting, but many of these small and medium-sized cities are growing in terms of population, urban extent and/ or GDP. Given that a disproportionate amount of urban growth over the coming decades is expected to occur in low elevation coastal zones, in flood-prone areas and drylands, a growing proportion of the population will be exposed to climate-related hazards<sup>10</sup>.

Decentralisation and regional economic policies that encourage the growth of intermediate sized cities are common across the region<sup>11</sup>, and are just one of many push and pull factors contributing to this growth. Migration from rural areas is often characterised by people in agricultural regions moving to service centres nearby that are expanding and offering employment opportunities. People are attracted by economic opportunities but also increasingly driven by

---

<sup>5</sup> EUROCLIMA (2016) INDCs in Latin America: Priorities and Targets, February 2016  
[http://www.euroclima.org/images/Publicaciones/Posters/Infographic\\_INDCs-AL\\_en.pdf](http://www.euroclima.org/images/Publicaciones/Posters/Infographic_INDCs-AL_en.pdf)

<sup>6</sup> Hardoy J. and Lankao P.R. (2011) Latin American cities and climate change: challenges and options to mitigation and adaptation responses, *Current Opinion in Environmental Sustainability*, 3:158-163.

<sup>7</sup> Jongman B., Ward P.J. and Aerts J.C.J.H. (2012) Global exposure to river and coastal flooding: long term trends and changes, *Global Environmental Change* 22:4, October 2012 p.823-835.

<sup>8</sup> Hardoy J. and Lankao P.R. (2011) Latin American cities and climate change: challenges and options to mitigation and adaptation responses, *Current Opinion in Environmental Sustainability*, 3:158-163.

<sup>9</sup> Button C., Mias-Mamonong M.A.A., Barth B., Rigg J. (2013) Vulnerability and resilience to climate change in Sorsogon City, the Philippines: learning from an ordinary city? *Local Environ.* 18, 705–722.

<sup>10</sup> Güneralp B., Güneralp I. and Liu Y. (2015) Changing global patterns of urban exposure to flood and drought hazard, *Global Environmental Change* 31, March 2015, Pages 217–225.

<sup>11</sup> United Nations Department of Economic and Social Affairs, Population Division (2014) *World Urbanization Prospects: The 2014 Revision, Highlights*.



impacts of climate change on agricultural and ecosystem-based livelihoods. Alongside rural-to-urban migration, another phenomenon is driving some of this rapid growth of small and medium cities: in some of the region's large cities and megacities, people are moving out to the suburbs and surrounding smaller, satellite cities. Factors driving people away from larger cities include air pollution, traffic, lack of affordable housing and difficulties navigating a large urban centre including long commute times, restricted access to services and livelihood opportunities. The model of urban growth varies depending on the sector that is creating growth and employment opportunities, and typical examples in the region include tourism, mining and exploitation of natural resources, and food processing.

Whatever the drivers of growth, small and medium urban centres are seen to be places benefitting from increased public and private investment and development, improved service provision, new jobs and opportunities, offering residents a better quality of life. Increasingly, small and medium cities across Latin America are offering a diversity of services and opportunities that have traditionally been concentrated in bigger cities.

As these cities grow they have an important opportunity to steer their development along a climate-resilient pathway. Doing so requires effective urban planning (including developing appropriate land use plans), regulation, risk-sensitive investment and resource allocation decisions, for example. Thoughtful and innovative planning is critical in order to avoid some of the very serious challenges faced by larger cities of poor air quality, access to water, sanitation and other services, and new risks created by settlement growth in hazard-prone areas and risk-blind decision making. By investing in resilience and reducing the 'background risk' associated with high levels of exposure and vulnerability, city and municipal authorities are also likely to attract private investment and skilled workers, bolster economic activity and generate further employment opportunities<sup>12</sup>.

Realising this opportunity presents a considerable governance challenge for smaller urban areas as these are often institutionally weak, with limited capacity to plan and implement effective climate resilient actions<sup>13</sup>. Despite high levels of decentralisation to local or municipal governments on paper, in practice, local or municipal authorities often lack the resources and skills to undertake strategic, long-term planning across complex, interconnected urban systems: in many cases they are professionally, structurally, financially and administratively weak. Connections with national government, and with other cities within their region, are therefore particularly important for resource and knowledge sharing. Cities in more centralised countries can face further difficulties as local governments may lack the authority to deviate from planning frameworks defined at the national level, which may not be in line with resilience approaches. Furthermore, as a city grows, it is often in the peri-urban areas on the outskirts where population growth and land use changes are most rapid and significant<sup>14</sup>. Peri-urban areas can lie outside of municipal government jurisdiction, and managing development in these places can be problematic<sup>15</sup>.

While the entry points, scope and degree of success vary, many cities across Latin American are already making positive efforts to enhance their resilience, often linked to initiatives and networks such as 100 Resilient Cities, C40 Cities or Making Cities Resilient. Where resilience-building actions are made, they are typically financed within municipal budgets<sup>16</sup>, though some international funding sources are also targeting cities. However, despite the growing volume of climate finance available, much of this is directed to large, well-managed cities given strict requirements for strong fiduciary standards, social and environmental safeguards and creditworthiness<sup>17</sup>. Despite great opportunities, there are also significant challenges for small and medium cities to overcome in building climate resilient urban futures for all.

---

<sup>12</sup> Tanner, T.M., Surminski, S., Wilkinson, E., Reid, R., Rentschler, J.E., and Rajput, S. (2015) The Triple Dividend of Resilience: Realising development goals through the multiple benefits of disaster risk management. Global Facility for Disaster Reduction and Recovery (GFDRR) at the World Bank and Overseas Development Institute (ODI), London.

<sup>13</sup> Hardoy J. and Lankao P.R. (2011) Latin American cities and climate change: challenges and options to mitigation and adaptation responses, *Current Opinion in Environmental Sustainability*, 3:158-163.

<sup>14</sup> Simon D. (2008) Urban Environments: Issues on the Peri-Urban Fringe. *Annual. Rev. Environ. Resource.* 33, 167–185.

<sup>15</sup> Mehta L., Allouche J., Nicol A. and Walnycki A. (2014) Global environmental justice and the right to water: The case of peri-urban Cochabamba and Delhi. *Geoforum* 54, 158–166. doi:10.1016/j.geoforum.2013.05.014

<sup>16</sup> C40 and Arup (2015) *Climate action in megacities 3.0*. London: C40 Cities and Arup.

<sup>17</sup> Junghans, L. and Dorsch, L. (2015) *Finding the finance: Financing climate compatible development in cities*. Bonn: Germanwatch.

## 5.2 Research Themes

Reflecting the findings of our scoping study, we have identified one overarching theme and a series of subthemes for this research call. These are areas of research that we believe can make a significant contribution to theory and policy relating to resilient cities in Latin America.

**The overarching research question:**

***How can the rapid growth of small and medium cities in Latin America be harnessed to deliver climate-resilient, transformational urban development?***

In response to this question and the subthemes posed below, we invite applicants to submit **solution-oriented, thought-leading, innovative proposals which reflect their own ideas, expertise and experience.**

This initiative aims to develop solutions and foster action on climate resilient development in the urban context, underpinned by robust, thought-leading research. As such, we are looking for ambitious proposals which **aim for action, and enhanced policy, planning and practice**, as a core outcome of research. Research partners should work closely with stakeholders to promote climate-resilient development pathways. To achieve this, research proposals would benefit from the following:

- An established relationship between research partners and relevant decision makers, for instance by involving a trusted local partner within a consortium;
- Engagement with the target audience during development of research questions and methodologies to ensure policy-relevant framing, establish demand and, where relevant, build on existing momentum;
- Close participation, collaboration and engagement with multiple stakeholders, including relevant government authorities, throughout the research process;
- A strategy for, and capacity for delivering, accessible and appropriate communication and knowledge products for the target audience;

As such, we are looking for **applied research initiatives** that sit across the boundary between research and advisory services.

However, proposals **must** ensure that they are answering a genuine research need, filling a knowledge gap and stating a clear research question on climate resilience in the urban context, rather than solely furnishing an operational need. Indeed, delivering credible, thought-leading research which influences international or national discourses can help enhance the scale-up and scale-out potential of initiatives. Applicants should therefore also propose a strategy for influence beyond immediate policy stakeholders.

There are clear overlaps between the subthemes and topics outlined below, and therefore applicants may either:

- Propose research questions which relate to one specific subtheme;
- Or, propose questions that fit within multiple subthemes, where there is a benefit to doing so.

Subthemes	<b>Overarching research question: How can the rapid growth of small and medium cities in Latin America be harnessed to deliver climate-resilient, transformational urban development?</b>
1	<p><b>Building climate resilient and inclusive urban futures.</b> Under this subtheme we invite research proposals that explore ways to avoid the negative outcomes of rapid growth and risk accumulation, and to optimise the benefits of climate resilient pathways. We would like to see a focus on enhancing social equality (with emphasis on gender equality), through improved access and inclusion.</p> <p>Examples of potential research topics under this subtheme might include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Measures that promote inclusive climate resilient development that benefits marginalised groups and gender equality;</li> <li>• Innovative ways to enhance climate resilience by integrating climate risk concerns into plans and investments for meeting related development priorities around, for instance, water supply, sanitation and ‘liveability’.</li> </ul>
2	<p><b>Realising the business and investment opportunities of climate-resilient development in cities.</b> Under this subtheme we invite research proposals that assess finance options open to small and medium sized cities for climate resilience, and the city-level business opportunities and co-benefits that can result from public investment in climate resilience.</p> <p>Examples of potential research topics under this subtheme might include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Opportunities for accessing national and international, public and private, finance to support resilience-building actions, including implementing national policy frameworks related to climate resilience;</li> <li>• How climate resilient development can be used to enhance a city’s image and competitiveness to attract desirable private investment, enhance economic growth, promote opportunities for small businesses and create employment.</li> </ul>
3	<p><b>Promoting innovative, multi-scale urban governance to support resilience building.</b> Under this subtheme we invite research proposals that examine and enhance forms of urban governance that improve climate resilience through improvements in policy coherence, capacity and accountability, including those that build links across national or regional government, with other cities and neighbouring jurisdictions and/or with communities.</p> <p>Examples of potential research topics under this subtheme might include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Critical examination of the potential of multi-scale and transboundary governance systems for overcoming the institutional challenges faced by small and medium sized cities to achieve, and scale up/ out, climate resilient and transformational urban development.</li> </ul>

## 5.3 Research Principles

Applicants wishing to submit a proposal for the Initiative funding should ensure that they are aware of the principles underpinning our research, namely:

- We expect the highest standards in research ethics. We expect that research institutions will have their own standards and requirements regarding ethical considerations, incorporating principles regarding concern for welfare of participants, respect for people and the environment, and an obligation to treat people fairly, equitably and with dignity.
- Research projects must address the needs of stakeholders in Latin American countries, especially marginalised groups within those countries, and clearly show how policy impact will be achieved.<sup>18</sup>
- Project methodologies must demonstrate academic rigour and the highest academic standards.
- Research projects must be gender sensitive. Applicants may wish to refer to recent CDKN publication [10 things to know: Gender equality and achieving climate goals](#) for more information regarding gender-sensitive approaches, including on gender approaches to urban development.
- Projects should aim to build the capacity of developing country research organisations through collaboration and partnership. South-south or south-north partnerships are highly desirable, as are collaborations that bring together different disciplines and involve practitioners and policy makers.
- Project outputs must include academic and policy outputs, including open-access, peer-reviewed journal articles,<sup>19</sup> and easily digestible, policy and practice oriented deliverables such as short films, policy briefs or action plans. All written outputs must be peer reviewed by technical experts for quality assurance purposes and accompanied by a strong dissemination strategy.
- Projects must demonstrate value for money. This is defined as demonstrating economy, efficiency and effectiveness within your proposed budget.

---

<sup>18</sup> We will require indicative details as part of applicants' EOIs and full details in their proposals. Relevant ways of showing how policy impact will be achieved include, but are not limited to: providing evidence of demand for the research from key policy stakeholders; involving policy stakeholders in the project itself; providing clear evidence of practical need for the research; setting out a strong communication strategy and research dissemination plan for policy stakeholders.

<sup>19</sup> We will require applicants to budget for any costs of publishing findings in open access journals as part of their full proposals

## 6. Eligibility criteria

Both the projects proposed and the research organisations applying must demonstrate their eligibility for funding.

*If you are unsure whether you meet the criteria, please contact us at [researchcall@cdkn.org](mailto:researchcall@cdkn.org).*

### 6.1 Research project eligibility

- **Duration and commencement:** Research projects are to be carried out for a period of minimum 12 and maximum 21 months, anticipated to start no later than October 2016 (following a prior contracting process).
- **Budget size:** The minimum budget is US\$100,000, and the maximum budget is US\$300,000. We expect most applicants will request a budget of US\$150,000- US\$250,000 for their projects.
- **Financial and non-financial contributions:** Contributions to the project in form of financial resources or in-kind contributions are encouraged, but are not a requirement.
- **Geographic scope of research:** Research must relate to one or more of the following countries in Latin America: Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, Guyana, Guatemala, Honduras, El Salvador, Mexico, Nicaragua, Paraguay, Peru, Suriname, and Uruguay. The Initiative is focussed on small and medium cities. We ask applicants to use their judgement regarding what constitutes a small or medium city in the context of the country of their research, but we define the minimum and maximum bands for population size as 20,000 and 500,000 people respectively.
- **Geographic location of research organisations:** Research awards are intended to facilitate and promote interdisciplinary, multi-disciplinary or trans-disciplinary collaboration, build capacity and encourage South-South and North-South partnerships. We encourage joint proposals from two or more eligible organisations. Where joint proposals are submitted, at least one of these must be from a Latin American country as defined above, and we encourage southern-led proposals. Organisations which are located in developed countries may lead such applications but must ensure that researchers and research organisations in Latin America play a significant role in their proposed projects.
- **Language of EOIs and proposals:** An English version of the EOI **must** be submitted. This may be accompanied by a Spanish language version if applicants wish to do so. If the EOI is submitted in both languages, the applicant must indicate which application is their primary copy. If there is any confusion or lack of clarity due to language we will refer to the primary copy.
- **Number of applications permitted:** Organisations may submit more than one proposal either as the lead organization or in partnership with another organisation, provided these are substantively different e.g. they respond to different subthemes, or are entirely separate projects under the same area. Individual researchers may be named on more than one proposal.

### 6.2 Organisation eligibility

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

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

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

- **Legal entity:** The organisation must be a legal entity.

- **Demonstrable capacity in research:** The organisation or research consortium must be able to demonstrate an independent in-house capability to undertake and lead research in the field or discipline in which it wishes to be funded. This would normally imply that the organisation or research consortium will involve employment of at least three permanent or long term staff, each of whom has 4-6 years postdoctoral research experience or equivalent, and has published research at national and at international level in recognised academic journals. The organisation must also be capable of leading and disseminating results of innovative research projects, and providing necessary supervision of junior staff.
- **Accountability and audit requirements:** The organisation must meet our accountability and audit requirements. This requires the organisation to provide, on request,<sup>20</sup> 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 organisation (i.e. as a Principal Investigator) and directly receive funds from the awarding body. We will award funds to the lead organisation named on each application, which will then be responsible for the distribution and management of funds to other organisations named on the application as necessary.

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

## 6.3 Contract

FFLA, on behalf of CDKN, will issue contracts with the lead organization (i.e. the organisation of the Principal Investigator) of selected proposals. Applicants shortlisted on the basis of their EOI will be supplied with the Terms and Conditions that will relate to these contracts before submitting full proposals.

## 6.4 Non-disclosure agreement (NDA)

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

If the proposal is successful and we offer funding, the lead organisation on any proposal will need to undergo eligibility checks before any funding will be confirmed. Full eligibility checks will be conducted for successful proposals by our procurement team.

---

<sup>20</sup> We do **not** expect such evidence to be submitted as standard, either as part of the EOI or full proposals

# 7. Application procedure and evaluation

## 7.1 Application procedure

**All dates may be subject to change depending on numbers of proposals received for processing. We will notify the Principal Investigator of any changes to these dates in advance.**

- Written clarification questions on this Initiative's TOR should be submitted to [researchcall@cdkn.org](mailto:researchcall@cdkn.org), up to **Friday, 27<sup>th</sup> May 2016 at 12:00 (midday) Quito Time**. We expect to circulate responses to clarification questions to all applicants that have provided their details,<sup>21</sup> by **3<sup>rd</sup> June**. Depending on the number of questions already submitted by the 20<sup>th</sup> May, we *may* release an additional set of responses to those earlier questions in the interim period; in which case, this would be updated to include any additional questions received before the deadline on the 27<sup>th</sup> May.

Generalised questions and responses that do not relate to intellectual property will be shared with all potential applicants as part of a general clarification document. Please note that we can only respond to clarification questions regarding the research call process, eligibility and thematic focus; we cannot provide feedback at on individual project ideas at this stage. Please title your email as follows:

- For questions relating to general aspects of the TOR, please title your email 'Clarification - general'
- For questions relating to Subtheme 1, please title your email 'Clarification T1'
- For questions relating to Subtheme 2, please title your email 'Clarification T2'
- For questions relating to Subtheme 3, please title your email 'Clarification T3'

If you have multiple questions corresponding to multiple subthemes, please send separate emails.

- Completed EOI forms (with completed non-disclosure agreements) must be submitted to [researchcall@cdkn.org](mailto:researchcall@cdkn.org) by **Monday 13<sup>th</sup> June at 12:00 (midday) Quito Time**. Please title your email 'Resilient Cities Initiative EOI'. Applicants should observe the following requirements:
  - No late submissions or re-submissions will be accepted after the deadline.
  - Word limits as set out in the EOI will be strictly enforced. Any text over the word limit specified for each section will be deleted and will not be made available to reviewers, which may severely compromise the integrity of your application.
  - Before completing this proposal application form, please ensure you have read this TOR in detail and also make sure you meet the eligibility criteria.
  - Please ensure that you include a signed copy of the FFLA non-disclosure agreement along with this form when you submit.
  - Only fully completed EOI forms in .doc, .docx or .odt format will be accepted – applications in any other format or template will be rejected.
- Eligible EOIs will be evaluated by FFLA/ CDKN and IDRC as per the evaluation criteria below (see Section 7.2). Applicants will be notified of the outcome of their EOI submission by **Friday 8<sup>th</sup> July 2016**.

---

<sup>21</sup> All applicants that download this TOR from the CDKN website will have provided their email address

- Shortlisted applicants will be invited to submit full proposals, which we will require to be submitted by **Friday 5<sup>th</sup> August 2016**.
- Full proposals will be evaluated in a peer-review process involving an international panel of climate and development experts, including staff from our CDKN's alliance members, IDRC and external organisations. Each proposal will be individually assessed by 2 or 3 experts (variable depending on the volume of proposals received), representing relevant thematic and geographic expertise.
- We expect to notify applicants on the preliminary outcome of their full proposal submission by early September 2016. Unsuccessful applicants will also be notified. Successful applicants will enter into final dialogue with us on the scope and details of their proposed research projects, and may be asked to resubmit their proposals on the basis of any changes requested (see below).
- Final decisions on funding will be taken by the Initiative Steering Committee following review panel recommendations. We reserve the right to fund any proposals we see fit, or not to fund any proposal. However, if such decisions are taken the reasons for this will be made publicly available. The expectation is that we will closely follow the advice of the expert review panel.
- Applicants which are accepted for funding will be taken forward for contracting.

Projects are expected to start as soon as the contracting phase is completed. We will require the majority of research projects to commence in October 2016, in order to be able to submit a first set of deliverables (e.g. detailed research uptake plan, report of inception meeting with local partners), before February 2017.

- We reserve the right to augment the application procedure, as follows:
  - To conduct one or more virtual engagement events for shortlisted applicants, in order to facilitate further clarifications on the TOR and our expectations. These will be held online using web conferencing. One representative per shortlisted application will be permitted to attend.
  - To enter into dialogue with successful applicants following review of full proposals. In the course of this dialogue we may request modifications to the scope and detail of the research proposals. In such cases, revised proposals will be requested and evaluated before the applicant proceeds to final approval and contracting.



## 7.2 Evaluation criteria for EOIs

Eligible EOIs will be reviewed against the specific sections C, D and E.1-3, set out in the EOI form. Each section will be scored separately as per the table below, for a maximum score of 50. The highest scoring proposals will be shortlisted (there is no minimum score threshold for shortlisting).

EOI section	Detailed evaluation questions	Scoring
C. Summary of research project	Is the budget appropriate for the proposed research, and does this provide value for money?	10
D. Demonstrated experience (project examples)	Do examples of previous projects demonstrate experience and capability in relation to: <ul style="list-style-type: none"> <li>• Delivery of high quality research</li> <li>• Achieving policy impact, including planning and facilitating participatory processes to inform decision making</li> <li>• Innovative knowledge management and communication practices for reaching policy and practice audiences</li> <li>• Effective financial and technical management of research programmes, including multi-partner consortiums</li> </ul>	10
E.1. Technical question 1: Describe the specific research questions you will tackle; the main methodological approach; and the scope (geographical, sectoral) of your proposed research	Are the research question(s), scope and methodology action-oriented, robust, innovative and relevant to the TOR and subtheme(s) that the project seeks to tackle?  Does the proposed methodology and composition of the team demonstrate scientific rigour and expertise?	10
E.2. Technical question 2: Explain your approach for fostering action and enhancing policy, planning and/or practice in relation to your research question, and to thought leadership	Does the EOI demonstrate a clear pathway for how policy impact, and thought leadership, will be achieved?  Do the approach and composition of the research team demonstrate appropriate relationships with stakeholders, and knowledge management expertise?	10
E.3. Technical question 3: Outline the indicative approach to organising and managing the research, identifying who will be involved and how, and setting out how the approach will deliver a coherent overall programme	Does the approach to organising and managing research show good understanding of the operational and political complexities of conducting research and of achieving policy impact on these issues?  Does the approach to organising and managing research show an awareness of the TOR including the importance of collaboration, communication and knowledge sharing?	10
Total available score: 50		

## 8. Our engagement with funded research projects

### 8.1 Working with us

Research partners funded through this research call will work with a group of professionals who will accompany the implementation of research.

**Technical Advisory Panel:** The Initiative has a multidisciplinary Panel of experts in areas related to the theme and subthemes of this call. This Panel is composed of professionals from IDRC, ODI, PwC and FFLA, who will participate in different phases of the initiative: evaluation of EoIs and full proposals; quality assurance of research outputs; and technical backstopping in specific areas of the research projects, if needed.

**Project Managers (PMs):** We will assign a project manager to each of the successful projects, who will be located in the office of FFLA in Ecuador. PMs will accompany the project in all of its steps, from review of the workplan and budget before the signature of their contract with FFLA, to the closure of the project. In coordination with research partners, PMs will perform financial and technical monitoring of the project, risk assessments, and will ensure that members of the Technical Advisory Panel are assigned for the provision of quality assurance to deliverables. PMs will also provide guidance and support to research partners regarding monitoring and evaluation reporting.

**Facilitators and experts on participation and dialogues:** We are aware of the challenge we are presenting applicants to engage with policy stakeholders and deliver participatory processes around the research project, for facilitating policy up-take. To support this, FFLA will support research partners in the implementation of their participation strategies, according to their needs.

**Communication and Knowledge Management Team:** Communication and knowledge management are fundamental ingredients for engaging with stakeholders and to allow information and experience from the research projects and the Initiative to be maximized. Transforming information into knowledge is not a simple task and through the initiative we aim to build capacities of partners in this relation. We will request that each project appoints a knowledge champion, who will work closely with CDKN regional and global staff in the generation of tailored communications and knowledge products. A regional community of practice will be built and at least two face-to-face learning events are expected along the implementation of the Initiative.

### 8.2 Monitoring and Evaluation<sup>22</sup>

Research Assessment: we will undertake assessment of the completed research in order to:

- Assess accountability (i.e. whether public funds were spent as agreed).
- Assess whether the project has been conducted effectively, whether it has met its objectives and to make an early assessment of the quality and impact of the research.
- Inform the content and direction of any future research investments that we may make.

Successful research institutions and consortiums will be required to:

- Develop, in collaboration with us, a log frame for project objectives at inception so we can jointly monitor progress during the project.
- Undertake biannual reporting (using our template) to allow us to assess progress and provide informal assistance and guidance.

---

<sup>22</sup> An M&E Framework is being built for the Initiative and will be presented for the preparation of the full proposal.

- Write an end of project report (using our template), which will include a summary of research findings and impact which we will use for publicity purposes.
- Cooperate with our monitoring and evaluation team to provide an impact report 9 to 12 months after the research has been completed.
- We are particularly interested in stories of change, results and impacts from the projects we fund. As such, we may ask the awarded organisations outside the formal reporting mechanisms to share such stories.

## 9. Contact and comments

### 9.1 Contact

For any queries please contact [researchcall@cdkn.org](mailto:researchcall@cdkn.org)

### 9.2 Comments on research process

We aim to make this process as easy as possible for potential researchers. We appreciate feedback on the research call process, including any comments about ease or difficulty of usability, or any errors or omissions that you have noted. As before, these can be sent to [researchcall@cdkn.org](mailto:researchcall@cdkn.org).

*This document is an output from a project commissioned under the joint “Climate Resilient Cities in Latin America” initiative (the Initiative) of the Climate and Development Knowledge Network (CDKN), Fundación Futuro Latinoamericano (FFLA), and Canada’s International Development Research Centre (IDRC).*

*CDKN is a programme funded by the UK Department for International Development (DFID) and the Netherlands Directorate-General for International Cooperation (DGIS) and is led and administered by PricewaterhouseCoopers LLP. Management of the delivery of CDKN is undertaken by PricewaterhouseCoopers LLP, and an alliance of organisations including Fundación Futuro Latinoamericano, LEAD Pakistan, the Overseas Development Institute, and SouthSouthNorth.*

*The Initiative is funded by DFID and IDRC. The views expressed and information contained in this document are not necessarily those of or endorsed by DFID, DGIS, IDRC and its Board of Directors, or the entities managing CDKN which can accept no responsibility or liability for such views, completeness or accuracy of the information or for any reliance placed on them.*

*This publication has been prepared for general guidance on matters of interest only, and does not constitute professional advice. You should not act upon the information contained in this publication without obtaining specific professional advice. No representation or warranty (express or implied) is given as to the accuracy or completeness of the information contained in this publication, and, to the extent permitted by law, IDRC and the entities managing the delivery of CDKN do not accept or assume any liability, responsibility or duty of care for any consequences of you or anyone else acting, or refraining to act, in reliance on the information contained in this publication or for any decision based on it.*

© 2016, All rights reserved