

# DUTCH RELIED ALLIANCE INNOVATION FUND

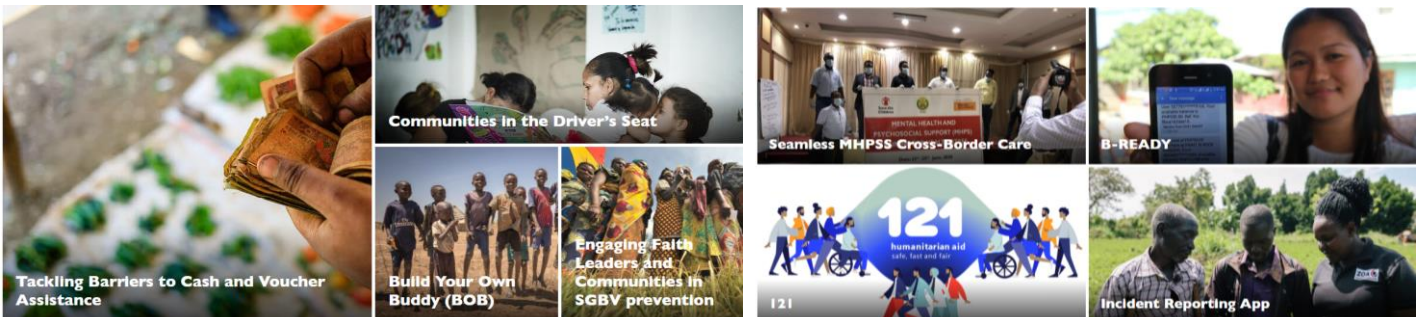


**DIF CALL FOR  
PROPOSALS 2020**

**UGANDA – LOCAL CALL**

**DUTCH RELIEF  
ALLIANCE**

A project of the Dutch Relief Alliance,  
funded by the Ministry of Foreign Affairs of the Netherlands  
and facilitated by the Response Innovation Lab in Uganda



For more information and application  
[www.responseinnovationlab.com/uganda-dra-call](http://www.responseinnovationlab.com/uganda-dra-call)



## 1. INTRODUCTION

The Dutch Relief Alliance Innovation Fund (DIF) proudly presents its third Call for Proposals. The DIF 3 Local Call aims to promote humanitarian innovation as locally as possible. The Call process itself and the granted projects are expected to demonstrate opportunities and barriers to local humanitarian innovation, provide best practice/ learnings on how the sector, and actors such as the DRA, can overcome these barriers, and support local innovations that potentially lead to promising solutions to locally defined problems.

In this document the framework and criteria for the third DIF Call are outlined which have been prepared by the DRA Innovation Working Group (IWG) and the Response Innovation Lab (RIL). It also takes into account several consultations with the DRA Localization Working Group (LocWG), the Local Advisory Group (LAG), DRA Legal, the Block Grant Manager (BGM), DRA Finance and the Netherlands Ministry of Foreign Affairs (MFA). The DRA's IWG is primarily responsible for the tender of the DRA DIF grant process. The total amount available for the DIF 3 "Local Call" is Eur 2 million total.

The DIF was established in 2018 and is supported by the Netherlands MFA. Its first Call for Proposals (CfP) was published in May 2018 resulting in five innovation projects, one of which was closed early 2020. The second CfP was published in 2019 with a thematic focus on Safety and Protection resulting in another five innovation proposals granted.

Based on lessons learned/best practices derived from the evaluations of the previous two DIF Calls for proposals (2018 & 2019), some key changes include the following: 1) key parts of the process are locally driven, 2) the process for applicants is lighter, 3) the local innovation facilitator will play a coaching role in developing the proposals, 4) the funding available for projects is divided into two funding streams with one stream focusing as directly as possible on local organisations, 5) the projects granted will need to be able to show proof of concept ready for piloting or scaling, and 6) feedback received from the External Review Panel will be incorporated into the proposals before final scoring.

### **1.1 Country focus: Uganda**

In order to launch a "Local Call", a country/region is selected that provides the contextual background for funding local humanitarian innovation projects. The decision to narrow the geographic scope down to one country is due to the fact that humanitarian innovation funding is often limited in amount and fragmented, representing a barrier for innovations to go beyond early-stage piloting and contribute to meaningful impact. Additionally, creating a cohort of innovations, driven by diverse types of stakeholders, innovating on a handful of core challenge statements, creates favorable conditions for peer-learning and emulation during the project implementation and for creation of complementarities that can amplify impact for vulnerable communities.

Based on a number of criteria which are listed below, Uganda has been selected by the DRA as the context in which the DIF 3 Local Call will be launched. Although the Call will be launched in one local context, potential for replicability and scale will be key criteria during the selection of innovations to support potential future translation to other countries/regions.

- ❖ **Presence DRA Members ≥ 12:** In Uganda, there are 13 DRA member organisations present, except for Dorcas and Red een Kind. This information has been derived from the 2019-2020 DRA Partner Mapping Chart.

- ❖ **Humanitarian needs:** Uganda hosts more than 1.4 million refugees from South-Sudan, the Democratic Republic of Congo and other countries of which 60% of them are children (and 82% are women and children). The influx of refugees continues while the possibility for people to safely return may take years. Uganda hosts the world's fourth largest refugee population and one of the largest humanitarian operations in Africa. Referring to the Ugandan Refugee Response Coordination, Uganda has included sectors that are not traditionally part of humanitarian responses, such as Connectivity as well as Environment and Energy.

The leadership of the Government in the refugee response and its progressive approach (Comprehensive Refugee Response Framework (CRRF)) means that Uganda provides refugees with freedom of movement, the right to work and establish businesses, access social services, and they receive an allocation of land for shelter and agricultural production. However, the practical challenges that come with hosting such large numbers of refugees over a long period of time are extreme, and the level of unmet needs among both the refugee population and host communities is critical. A 2018 vulnerability study found refugees much more likely to be living in poverty than the host population, even while receiving food assistance, with nearly 70% living below the national poverty line.

- ❖ **Strong local innovation environment with regards to piloting & scaling of innovations:** Uganda faces an increased urgency of creating novel approaches for resilience and self-reliance amongst the refugee and host community populations. The progressive view of the Government of Uganda on hosting refugees, the blooming scene of social businesses and for-profit start-ups, and the rapid expansion of new communication technologies, digital payment models, and connectivity in general as well as stable security conditions contribute to making Uganda a favorable testing and scaling ground for innovations. In 2016, the Ministry of Science, Technology and Innovation (MoSTI), <https://mosti.go.ug/>) was founded to provide better coordination of STI efforts in the country, build effective linkages with all actors, and provide clear policy direction and supervision of STI initiatives.

Furthermore, Kampala hosts a dozen private-sector innovation-focused hubs/labs. Those hubs recently formed Startup Uganda ([https://twitter.com/StartupUganda\\_](https://twitter.com/StartupUganda_)), the association of Innovation and Ecosystem Support Organizations in Uganda to increase capacity strengthening of the hubs and improve their support to innovators and entrepreneurs.

- ❖ **Presence of local innovation facilitator:** More information on RIL Uganda is provided in below section 1.2.
- ❖ **Operational costs:** The DRAC has approved E30,000 resulting from the 2019 DRA SB underspend to be used for facilitation costs of the DIF 3 Local Call. On the basis of interviews and quotes received from a number of innovation facilitators, it emerged that RIL Uganda has a strong presence and network within the local humanitarian ecosystem, sufficient capacity and quality standards to support the DIF 3 Local Call process. Furthermore, the quote received by RIL Uganda lay within the approved funding margins.

## **1.2 Response Innovation Lab Uganda**

For the implementation and facilitation of the DIF 3 Local Call, the DRA will work closely with the Response Innovation Lab (RIL) Uganda. The RIL operates Country Labs in five humanitarian settings around the world, Iraq, Jordan, Somalia, Uganda and Puerto Rico, focusing on strengthening the

innovation ecosystem by mapping, connecting, and supporting both implementers of innovative humanitarian programming and the developers of new solutions.

The functions of the RIL are three-fold: **Convene, Match Make and Project Support**.

- The Convene function aims to bring together all types of actors to map the innovation ecosystem and identify humanitarian challenges that could be solved collectively through innovation.
- The Match Maker function is a platform that humanitarian actors or other ‘challenge holders’ can use to source existing local and global innovations to solve humanitarian challenges.
- The Project Support function supports innovators, incubators, humanitarian actors and established labs to applying best practices in ideation, conceptualization, testing and scaling to rapidly develop solutions.

The RIL Uganda model is unique as it is led by staff based in the country where humanitarian challenges are identified and who understand the context and know the stakeholders. It seeks to address challenges that are both narrow enough to be effectively addressed by a limited number of new products, processes or services but shared by enough humanitarian organisations in Uganda to generate impact at scale. It offers opportunities for the implementers of solutions to benefit from additional support from RIL through tools such as the Humanitarian Innovation Evidence Toolkit and an innovation ethics training.

RIL Uganda is hosted by Save the Children International since 2017. It leverages RIL’s research into the Ugandan humanitarian innovation ecosystem where to date RIL Uganda has catalogued 587 organizations active in Uganda, including 317 local NGOs, social enterprises and private companies involved in the humanitarian market, as well as 248 separate innovations available for piloting or scaling in Uganda. Established relationships with the Ministry of Science, Technology and Innovation and with the association Startup Uganda will particularly be leveraged for this project.

## 2. THEMATIC FOCUS

In the DRA strategy 2018 – 2021, seven innovation themes have been selected as focus for the coming 4 years: dignity, smart use of data, safety & protection, timely response, health & sanitation, cash programming and renewable energy. In support of launching a Local Call for Proposals, with emphasis on “local”, the DIF will follow the following process in selecting a thematic area of focus.

Under facilitation of the RIL, DRA Country Offices in Uganda jointly **selected two of the pre-identified DRA innovation themes** during a kick-off workshop to be held in Kampala. In support of a “Local Call” this is a process that was intended to happen locally. The central question in this workshop was around what the Country Offices consider as the thematic areas with the biggest needs/gaps where innovation can have an impact. Consensus was found around the following themes:

- **Safety & protection**

SAFETY: the condition of being protected from or unlikely to cause danger, risk, or injury. This covers both staff and beneficiary safety.

PROTECTION: the effort to protect the fundamental well-being (mentally and physically) of individuals caught up in conflicts or “man-made” emergencies. This covers responses to SGBV.

- **Renewable energy**

Globally, one of the greatest challenges facing refugees is the lack of quality, reliable, affordable, and clean energy sources - for both electricity and cooking. In addition to refugees

having limited financial means, problems on the supply side include private sector enterprises not being familiar with demonstrated refugees' willingness and readiness to pay for quality energy products, lack of selling points accessible to refugees and customer service capacities. Barriers to uptake on the user side also include lack of appropriate information and incentives. Additionally, humanitarian programmes heavily rely on fossil fuels (fuel for transport, generators) contributing to rather than mitigating CO2 emissions.

The DIF 3 Local Call for Proposals is now being launched in the local ecosystem by RIL Uganda. The next step of the process will be to convene all relevant actors, including DRA country offices and local actors such as local community associations, foundations, local and national NGO's, researchers, social enterprises, start-ups and private sector, to **jointly design challenges/problem statements** that relate to persisting needs of refugees and refugee-hosting communities. **It is expected that each of the selected themes will lead to a maximum of two challenges/problem statements leading to a maximum 4 problem statements in total.** These problem statements will form the thematic basis for the further course of the DIF 3 Local Call. This process will be guided by the RIL Uganda.

### 3. CALL PROCESS

The DIF 3 Local Call process is divided into different phases based on the humanitarian innovation process used previously in DIF Calls for Proposals<sup>1</sup> and RIL's way of working (Convene, Match Make & Support). The following key components have been incorporated into this Call for Proposals to ensure that the process is locally driven and not as heavy as the 2019 DIF Call.

- The selection of a thematic focus is driven locally and not in the Netherlands (explained in Section 2).
- The RIL will play an initial role in reviewing Expressions of Interest (EoI)<sup>2</sup> as it is expected that the number of EoIs submitted will exceed the capacity of the External Review Panel, also considering this is expected to be done on voluntary basis. Based on their local knowledge of the Ugandan innovation context, the RIL is able to determine the relevance of the idea, its feasibility and to estimate the capacities of the applicants. To avoid any potential conflict of interest, two mitigating actions will be put in place: the RIL will use a pre-defined list of criteria, including the Guiding Principles listed in Section 5 below, and the Chair of the External Review Panel will be involved in this phase of the process.
- The RIL will further play a coaching role in building the full proposals, particularly for local partners with limited business development experience, in order to refine their ideas and ensure budget and workplans align with the project narratives.
- The multi-stakeholder External Review Panel will review and provide feedback during the application process on proposals. A lesson learned from a previous DIF funded project was that expertise feedback was not incorporated into project proposals while this is highly valuable feedback. Therefore, the External Review Panel will score the proposals (written process) and provide feedback after which applicants have time to incorporate in their proposal development. The External Review Panel will provide final scoring during a pitching competition.

<sup>1</sup> The Elhra Humanitarian Innovation Guide identifies the following phases in innovation: Recognition, Search, Adaptation, Invention, Pilot and Scale. For further information on humanitarian innovation please see the Elhra HIF Humanitarian Innovation Guide on <https://higuide.elrha.org/>.

<sup>2</sup> This is similar to Concept Notes but this phase in the Local Call is intended to be light.

Below table provides an overview of the different phases of the DIF 3 Local Call with the relevant activities per phase, who is involved and the indicative timeline. It also includes if the activity is relevant for applicants and if the activity refers to a decision-making activity.

Phase	Activity	Who	Relevant for	Decision making	Timeline -
<b>Pre-launch (Scoping)</b>	This is the phase where the DRA's IWG sets up the framework of the Call in collaboration with RIL and the Netherlands MFA, including selection of the local context (region/country).				
	Approval country selection and innovation facilitator	DRA Partners	No	Yes by PM	30-07-20
	IWG input	IWG & RIL	No	No	W/c 3-08-2020
	DRA Partners approval on entire framework	IWG & RIL	No	Yes by PM	W/c 24-08-
	Finalize contract between DRA & RIL	IWG & RIL	No	No	W/c 31-08-
<b>Launch (Recognition)</b>	This is the phase where the Call is launched locally in a selected location through the DRA Partners and RIL's networks. It includes a process to come to a thematic focus matching the local context. The expected outcomes of this phase are the publication/sharing of the DIF 3 Call document (possibly lighter version) within ecosystem and share with other relevant networks; convene the local network (DRA Partners and local actors) by means of a workshop to define problem statements/challenges linked to the thematic focus; and facilitate a process among interested parties so that collaboration opportunities arise. Furthermore, potential members of the External Review Panel will be approached and requested if they would be interested and able to participate.				
	Consultations with DRA Country Offices (digital info session)	By RIL	No	No	W/c 7-09-2020
	Local Call kick-off meeting to select thematic focus (max 2)	DRA Country Offices	No	Yes by DRA Cos	W/c 14-09-2020
	Launch Call details with thematic focus within local eco-system	By RIL	Yes	No	W/c 21-09-2020
	Convene local eco-system to define challenges (max 4 total) - 2 workshops	By RIL with local eco-system	Yes	No	W/c 28-09-2020
	Select DRA Partner as grant agent	DRA Partners	No	Yes	W/c 31-08-
	Commence selection of External Review Panel members	RIL in collaboration with IWG	No	No	W/c 24-08-2020
<b>Search, Design, Matchmaking</b>	This is the phase where local applicants in partnerships/consortia will develop their solutions into concept notes/pitches. This includes a matchmaking process between partners and selection of the most viable Expressions of Interest for the next phase. The expected outcomes of this phase is match-making, including pitching sessions between solutions, local actors, humanitarian sector, DRA Partners, innovation journey and academia/research/learning, potentially through digital means; the External Review Panel installed; and peer-to-peer learnings.				
	Match-making session(s) for local ecosystem in order to build partnerships	By RIL	Yes	No	W/c 5-10-2020
	Submit Expressions of Interest for two funding streams	Applicants	Yes	No	W/c 12-10-2020
	Review & Select Expressions of Interest using pre-defined criteria	By RIL & Chair of External Review Panel	Yes	Yes	W/c 26-10-2020
<b>Accelerate</b>	This phase supports the development of the selected Expressions of Interest towards innovation project Proposals, including sustainable/scaling plans. The expected outcomes of this phase are strong innovation project proposals coached by the RIL which will be presented/pitched to the External Review Panel. The External Review Panel will provide their input towards the project proposals whereafter innovators will have the opportunity to include this into their plans.				
	Facilitate proposal development	RIL	Yes	No	W/c 2-11-2020
	Submit Project Proposals (2 weeks)	Applicants	Yes	No	W/c 2-11-2020
	Review Proposals and provide input	External Review Panel	No	No	W/c 16-11-
	Pitching session of proposals	By applicants / hosted by RIL	Yes	No	W/c 23-11-
	Incorporate feedback into proposals	Applicants	Yes	No	W/c 16-11-
<b>Implementation</b>	This phase supports the implementation of the granted projects. The expected outcomes of this phase are contracting the projects, project kick-offs and sharing the initial results/learnings with the DRA and other relevant stakeholders.				
	Project contracting (vetting started earlier)	BGM, IWG & Grantees	NA	NA	Dec 2020 -
	Project implementation	Grantees	NA	NA	Jan 2021- Dec
<b>Share</b>	Throughout the DIF 3 Local Call process, the RIL and DRA will work on gathering their experiences and share "thought pieces"(for example, blogs) on a number of learnings derived from the process.				

#### 4. LOCAL CALL DETAILS

##### 4.1 Funding streams

Following the aim of this Call of Proposals to be as local as possible, a proportion of the available funding is meant to be directly available for local initiatives without specific interference of DRA Members. Based on the DRA Statutes and input received by DRA's Legal Counsel, it is not possible for DRA to directly contract local actors as it always needs to contract via a DRA Member.

Therefore, the DIF 3 Local Call has identified the following two funding stream with slightly differing eligibility requirements which are explained in below section. **Please refer to below table for more information related to each Funding Stream.**

- 1) **Stream 1: Local innovation partnerships through a DRA Member (NL) as lead applicant – Eur 1.5 million total available.** Although the lead applicant will submit the project proposals in response to the DIF 3 Call for Proposals, the local actor(s) that are partnering with the lead applicant are in the lead of the project.
- 2) **Stream 2: Local innovation partnerships through one DRA Member (NL) who acts as Grant Agent\* for more than one project – Eur 0.5 million available.** The Grant Agent will take on a fund management role but not be involved in implementation activities of the projects. The grant agent will be selected by DRA Members; if there is more than one organization interested in taking this role, they will be requested to provide a justification for their interest and a selection will be made by majority votes. This is the same process when selecting a new JR lead. The Grant Agent will receive 0,5% of the total available for Funding Stream 2.

##### 4.2 Eligibility requirements

The DIF 3 Local Call supports projects **that are ready for the pilot and/or scale phase of their innovation journey**. This means this Call for Proposals will not support projects that are in their recognition, invention or adaptation phase. All projects are required to work in partnerships which can consist of other humanitarian organisations, including INGOs, the private sector, social enterprises, universities, knowledge institutions, civil society organisations (CSOs), community based organisations (CBOs), local partners and/or (local) governments.

To be eligible, applicants must ensure that partnerships must include local actors\* and their innovations must demonstrate proof of concept\* ready for piloting or scaling.

**\*Definition “local actor”:** Based on input provided by DRA's Localisation Working Group, the following definitions apply to local actors: “National and local actors are of two types: 1) Local and national non-state actors are “Organizations engaged in relief that are headquartered and operating in their own aid recipient country and which are not affiliated to an international NGO”. Note: “A local actor is not considered to be affiliated merely because it is part of a network, confederation or alliance wherein it maintains independent fundraising and governance systems”, and 2) National and sub-national state actors are “State authorities of the affected aid recipient country engaged in relief, whether at local or national level”. Furthermore, the LocWG agrees that local actors include a wide range of actors as described above.

**\*Definition “proof of concept”:** Applicants need to be able to provide a written communicate that lays out evidence of how they have tested their original idea and established its feasibility. They will have

concluded early-stage research and have already developed an initial prototyping or small-scale piloting exercise involving users. Innovations that have passed the proof of concept stage are able to address the key assumption(s) for why the innovation is needed and how the original hypotheses that led to its design have fared when tested. These innovations have at least a minimum-viable-product, i.e. a simple version of their innovation, that is ready to be piloted in real-life conditions or scaled up.<sup>3</sup>

**Applicants must:**

- Clearly demonstrate how the proposed project meets the selected thematic focus area and the chosen challenge statement;
- Have the necessary rights/permissions required to operate in the selected implementation area as relevant (i.e. refugee settlements);
- One of the implementing partners should have presence in the project implementation areas;
- Be able to provide a copy of a registration certificate providing legal right to operate in Uganda;
- The lead applicant should demonstrate capacity to provide technical support and work towards building the capacity of the local partner;
- Be able to provide an MoU between partners if pre-existing, a Teaming Agreement or a Letter of Intent;
- Demonstrate proof of concept: be able to demonstrate that the innovation has been under development and iteration since a minimum of a year, provide written evidence of the research and tests conducted, and provide evidence of a prototype or minimum viable product (photos, designs);
- Demonstrate previous experience in implementing similar projects in the selected thematic areas;
- Demonstrate participation or inclusion of feedback (for example earlier assessments) of stakeholder and project beneficiaries in the design of the proposed innovation.
- Be in satisfactory financial health, have adequate financial systems and human resource capacity to implement the project;
- Communicate regularly with RIL Uganda and the DIF during the implementation period and submit regular narrative and financial reports (frequency tbd);
- Be able to fully abide by the contracting terms (tbd);
- Be able to carry out an audit, in line with the DRA audit protocol;
- Adhere to the Core Humanitarian Principles and the Guiding Principles as outlined in Section 5.

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<sup>3</sup> This definition has been derived from the Elhra HIF Guide:  
<https://higuide.elrha.org/toolkits/invention/minimum-viable-solution/>.



	STREAM 1: Local Partnerships through DRA Member as lead applicant	STREAM 2: Local Partnerships through one DRA Member who acts as a grant agent
Budget	Total available budget: €1.5 million	Total available budget: €0.5 million
Per project submission	Up to €500.000 This leads to max 3-4 projects each led by a DRA Member	Up to €150.000 This leads to max 3-4 projects managed by one grant agent structure
Partnership make-up	A partnership must consist of a minimum of 3 partners: at least 2 local actors and 1 DRA member as lead applicant.  Examples of local actors include: <ul style="list-style-type: none"> <li>- National NGO's</li> <li>- Universities/Knowledge institutions</li> <li>- Local community associations, CBOs, CSOs</li> <li>- Social enterprises – from outside Uganda are also allowed only if 1) they have an office in Uganda, or 2) they can argue a very strong added value</li> <li>- Private sector, start-ups</li> </ul> A DRA member may also join a partnership as project member.	A partnership structure is required, minimum 2 partners including a local actor.  Examples of local actors include: <ul style="list-style-type: none"> <li>- National NGO's</li> <li>- Universities/Knowledge institutions</li> <li>- Local community associations, CBOs, CSOs</li> <li>- Social enterprises – from outside Uganda are also allowed only if 1) they have an office in Uganda, or 2) they can argue a very strong added value</li> <li>- Private sector, start-ups</li> </ul> An INGO may also join the partnership.
Number of applications allowed per DRA Member	As lead applicant: Every DRA member can submit one proposal as Lead applicant.  As co-applicant: Every DRA member can participate as co-applicant in two proposals.	NA
Who submits and what does that mean for project budgets, specifically  ICR, Management Fees &  Support Costs. <sup>4</sup>	The DRA member submits and ensures contractual and financial management but fully associates the local partners to the design and later implementation.  Budget rationales will be specifically reviewed and scored during the review process. The DIF 3 Local Call strongly encourages to structure ICR sharing, management fees and support costs in project budgets as locally as possible (ie observe a right balance between the DRA member and its partners).  Management fee: 1% to leading local partner in the consortium.  Support costs: cannot be over 25% of total project.  Other eligible costs DRA Member (such as TE): Max 10% of direct costs	Local actor submits and is in the lead.  Budget rationales will be specifically reviewed and scored during the review process.  Management fee: 0,5% to lead local actor  Support costs: cannot be over 25% of total project
Audit <sup>5</sup> & Evaluation	Evaluation and external audit are necessary to include	Evaluation and external audit are necessary
Match funding	No match funding required	No match funding required

<sup>4</sup> Allowed project costs are defined as 'all direct and indirect costs related to a proposal and the implementation of the proposal'. The DIF follows the generic guidance of MFA with regards to ICR, being maximum 6% or 8% of total costs and a management fee being max 1% of direct costs for the Lead applicant.

<sup>5</sup> Note there are explorative discussions on the current DRA audit thresholds relevant to DIF. If new regulations would be decided upon by the DRAC, updated audit regulations could likely replace the existing one.

**4.3 Project duration**

Projects granted under the DIF Local Call must have an implementation period between 6-13 months, ending by December 31st 2021 as this date marks the end of the current DRA Strategic Period.

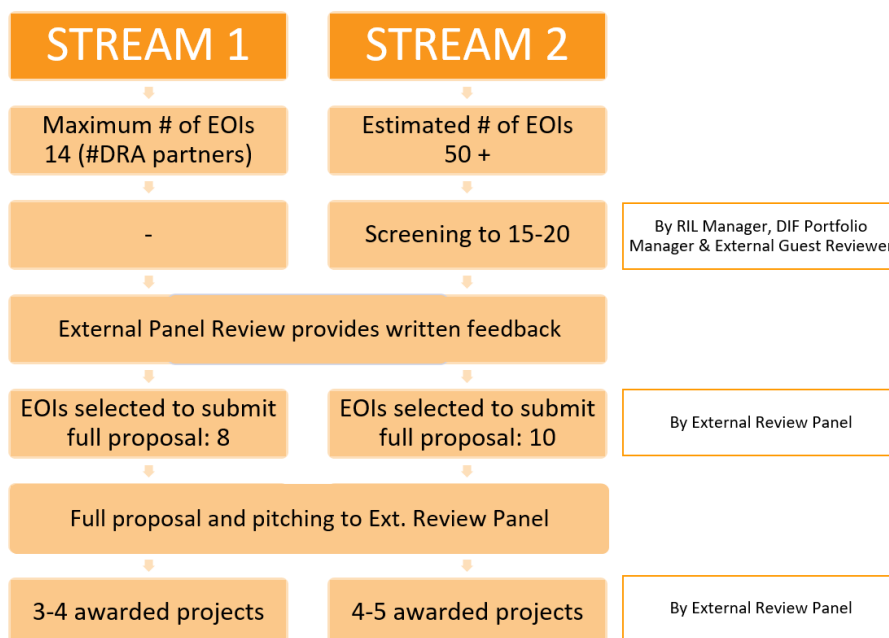
**4.4 Categories of innovation**

Similar to the previous two CfPs, the DIF follows the 4P's model of John Bessant and Joe Tidd defining<sup>4</sup> the four (4) broad categories of innovation. **All four (4) described categories of innovations are allowed under this call, however, these must be innovations that are ready to pilot and/or scale.**

- 1) *Product innovation*: changes in the products and services which an organisation offers;
- 2) *Process innovation*: changes in the ways in which products and services are created or delivered;
- 3) *Position innovation*: changes in the context in which the products and services are framed and communicated;
- 4) *Paradigm innovation*: changes in the underlying mental models which shape what the organisation does.

**4.5 External Review Panel<sup>6</sup>**

To protect the objectivity of the review process and to ensure full expertise in the panel of review, the DIF in collaboration with RIL will install an External Review Panel to review and provide their expert input on the proposals. The External Review Panel members will use scoring criteria that have been developed in accordance with the funding streams, eligibility requirements and the guiding principles described in Section 5. Below graphic shows the Review Process:



<sup>6</sup> Changed from External Review Committee to External Review Panel to fit the Ugandan context better.

It is expected that the External Review Panel will consist of differing profiles depending on the thematic focus. Members can include thematic experts, including representation from local actors and representation in humanitarian aid, a representative from the Ugandan Ministry of Science, Technology and Innovation (MoSTI), other relevant Ministry representatives, representatives from the Refugee Engagement Forum, a private sector representative, such as from Startup Uganda (Association of Entrepreneurship and Innovation Support Organizations in Uganda), INGO Forum representative or INGO delegate from the relevant Sectoral Working Group, representative from the Humanitarian Platform for Local and National NGO and members from the refugee community in Uganda (for example community counselor).

The External Review Panel will be proposed and composed by the RIL Uganda in collaboration with the DIF Portfolio Manager. The final composition of the External Review Panel will be approved by the IWG.

#### **4.6 Intellectual property<sup>7</sup>**

It is expected that the solutions supported by this DIF Call comprise of innovative technologies, services, business models, knowledge and/or products to promote humanitarian action in natural disaster and conflict-affected contexts. In order to ensure meaningful access for relevant populations, the successful development and deployment of these solutions may require involvement by, support of and/or collaboration with multiple organizations, including the private sector, governments and academic and/or non-profit research institutions.

Therefore, agreements on Intellectual Property **must be agreed upon between coalition partners within each application**. This is the responsibility of the submitting partnership. The IWG together with some support from the Legal WG, aims to ensure that the innovation investment will be protected in such a way that **scalability and use of the innovation by DRA and non-DRA members is guaranteed**.

Also, any kind of abuse/misuse or usage which is unwanted by MFA and DRA should be properly addressed in any contractual agreement with (third) parties. Depending on the type of innovation (e.g. new product, new methodology), existing Intellectual Property rights and current Intellectual Property agreements of coalition partners, and the negotiation power of the lead member, it is strongly recommended that the lead member will ask advice at a case by case basis how Intellectual Property should be arranged in an appropriate way.

## **5. GUIDING PRINCIPLES**

The following guiding principles are considered by the DRA to be reflected in the applications towards the DIF Local Call. These are based on the previous two DIF Calls and intend to support the notion of local humanitarian innovation. Furthermore, please consider the Ethical Standards and Principles developed by the RIL specifically for humanitarian innovation which will be taken into account when reviewing the projects.<sup>8</sup> If your innovation includes a digital dimension, please also refer to the principles for Digital Development.<sup>9</sup> Please ensure these standards and principles are safeguarded in the projects.

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<sup>7</sup> This is the same as the previous DIF 2 Call for Proposals.

<sup>8</sup> RIL Ethical Standards and Principles, <https://www.responseinnovationlab.com/publications>

<sup>9</sup> Principles for Digital Development, <https://digitalprinciples.org/>

**Four main guiding principles** should be at the center of the design of the projects:

- **Relevance and local leadership:** The proposed solution should be clearly linked to needs on the ground, answering a gap in the sector. The innovation should be based on a sound problem analysis, contextual awareness and intervention logic. Rather than an innovation looking for a problem, it is critical to show how the innovation responds to a challenge that is meaningful for the wellbeing of the targeted communities and how it is mindful of the local circumstances. You need to be thinking about the impact you want to create and to demonstrate how the rights and interests of affected people are respected. The use of active user-engagement and user-centric design processes is encouraged. Applicants are also requested to demonstrate how local knowledge and expertise are used to guide the design.
- **Level of innovation:** Is the innovation incremental or disruptive? Is it an adaptation, a geographical innovation, a transition of a known method or product to a new sector, a complete invention?
- **Potential for impact:** The proposed innovation must first and foremost have the potential to generate life-saving and life-improving assistance. It must also already outline next steps: What are the sustainability perspectives for this innovation? How many people will benefit from it during the pilot and how many more could benefit if it is successful and scaled? Applicants need to be able to articulate how the investment level justifies the expected outcomes or how an initial investment will later become a cost-efficient approach. The proposal should contain a realistic timeline and budget. In order to maximize potential for impacts, applicants must commit to principles of transparency, open-source and knowledge-sharing.
- **Feasibility:** The main parameters under scrutiny will be technical soundness, team capacity and realistic objective-setting. The call recognizes an element of unknown and risk-taking inherent to the innovation process but encourages applicants to include risk mitigation measures and to minimize exposure and ensure Do No Harm for beneficiaries.

## 6. OTHER

The DIF's Portfolio Manager plays a managerial, compliance and advisory role, executing decisions on behalf of the DRA's IWG. The RIL Uganda plays a facilitating role in this round of DIF's funding and will collaboratively work with the DRA to share any learnings on localisation and humanitarian innovation during the process. This will be done by writing several 'thought pieces' and attending a number of events to share experiences.

## 7. CONTACTS

To express interest in the call and the co-creation process, contact [dif3-uganda@responseinnovationlab.com](mailto:dif3-uganda@responseinnovationlab.com)

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