

**UNIN COMPARATIVE TABLE****Joint United Nations Programme on HIV/AIDS (UNAIDS)****Information gathered:** December 2016**Area 1. Innovation: Definition institutional vision and scope**

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- Innovation is quoted several times in the *Strategy 2016-2012* as a way to work on technology, information and communication as well as to improve solutions for the final users.
- Innovation is also mentioned as a way of doing things in the *Agenda 2030 to end Aids*. For the implementation of the Agenda, the "*Fast Track approach*" was adopted in 2014. UNAIDS explains this approach as a way of changing the "business as usual" and innovation is a crucial item of the approach explained as a mean to expand the services, to better address people's needs and specially to populations with the highest HIV burden.

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- Innovation is not a stand-alone strategy but it has been integrated as a way of doing things in the organization through different means:
 - Some innovative initiatives have taken place in the organization, as an example In 2012 UNAIDS launched a crowdsourcing contest called "*CrowdOutAIDS*", which was an innovative youth-led initiative for policy making.
 - In 2014 UNAIDS launched the *Fast Track Approach* which aimed to change the business as usual approach of the organization. The approach includes innovation as key element to change the business as usual by testing and rapid scale up of innovative solutions.
 - The most recent announcement is the launching of the *Leveraging Innovations and Financing for Ending AIDS Initiative (LIFE Initiative)* aimed to catalyze innovation and financing to end the global AIDS epidemic.
 - The *Diagnostics Access Initiative to achieve the 90-90-90 treatment target* is a partnership among health organizations that work together to end aids. The initiative is a "new target for HIV treatment scale-up" that looks to "maximize innovative and effective use of available tools and to develop and scale up new tools and strategies to ensure the earliest possible diagnosis of HIV".
 - The Lab Initiative (short name) was adopted in 2016 by UNAIDS.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- For UNAIDS innovation is:
 - Use of new technologies to improve responsiveness, specifically related to data collection (including real time data), accessibility of solutions for the people (including mobile health, eHealth and telehealth), information management and communications (including digital and social media usage).
 - New business processes: innovation as a mean to deliver better and more accessible solutions, better policy setting, adopting community-level service delivery models, scalability of solutions.
 - Innovative approaches to increase efficiency and effectiveness in the organization (e.g. Fast

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| Tracking, South-South cooperation). |
| <ul style="list-style-type: none"> ○ Better response: Agility and commitment to the <i>Agenda 2030 to end Aids</i>. ○ Innovative funding mechanisms: scaling of funding mechanisms such as special tax levies, air passenger travel, mobile phone usage, alcohol and tobacco purchase or Innovative mechanisms combining public and private resources, such as vaccine bonds that contribute to generate predictable, long-term funding. |
| 1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions? |
| N/A |
| 1.5 How are specific issues in need of innovation selected and prioritized ? (<i>E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation</i>) |
| N/A |
| 1.6 What are the phases, sequence and main elements of the innovation process ? |
| <ul style="list-style-type: none"> ● UNAIDS acts as a catalyst in the HIV/AIDS international community adding expertise, know how and resources in finding innovative solutions to end AIDS. ● UNAIDS focuses on solutions that have proved to work so far in ending AIDS for global scale up. ● UNAIDS looks for innovative ways to improve response management and the organizations business processes to give better response. ● UNAIDS works on deploying new technologies (see 1.3 “new technologies” for examples). |

| Area 2. Organizational structure |
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| 2.1 Leadership: How is innovation led in the organization? <i>E.g. through innovation sponsors, innovation committees, strategic board on innovation.</i> |
| <ul style="list-style-type: none"> ● There are three leadership levels within the organization. The Executive Office, the Programme Branch and the Management and Governance Branch. ● Innovation is integrated in the three leadership levels as a way of doing things (see 2.2). ● The Lab Initiative established in June 2016 is now a federated voluntary way of reflecting and doing innovation. |
| 2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects) |
| <ul style="list-style-type: none"> ● The innovation function is housed in different branches of the organization: <ul style="list-style-type: none"> ○ The Programme Branch: This is the branch leading the Fast Track approach into the Agenda of the UNAIDS work. ○ The Management and Governance Branch leads the Technology and Innovation Department (see 1.3. “Use of technologies”). ○ The Executive Office: The Executive Office leads The Lab Initiative although it is voluntary. |
| 2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels) |
| <ul style="list-style-type: none"> ● Innovation is mainly dealt through the <i>Fast-Track approach</i>: this is a locally led global implementation agenda. ● Each country designs its own <i>Fast-Track approach</i> and set its own Fast-Track milestones for 2020. ● The countries determine how they will implement the approach. To assist countries in fast-tracking their response, UNAIDS has redeployed substantial numbers of staff from its global headquarters to |

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| priority Fast-Track countries and regions. |
| 2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure? |
| N/A |

| Area 3. Profile of staff and staff resourcing |
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| 3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Voluntaries, full-time, consultant) |
| <ul style="list-style-type: none"> The innovation function is not delivered as a specific task or role of responsibility. The department of Technology and Innovation is constantly working on innovations for technology, data and information. However, other innovation expertise is delegated to external advisors that give input in specific issues such as innovative tools for global data. |
| 3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (<i>Core, non-core</i>) |
| <ul style="list-style-type: none"> There is no specific staff working on innovation. The Fast Track approach is an implementation approach to be adapted by the entire organization. The Lab initiative is a partnership among international organizations that shares resources (financial, expertise, human) to better track and scale up of innovative solutions. |
| 3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected? |
| N/A |
| 3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments? |
| N/A |
| 3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed? |
| N/A |
| 3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops) |
| N/A |
| 3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (<i>incentives, recognition & rewards, risk-taking</i>) |
| N/A |

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- Innovation is mentioned as a key element that is used to describe the context throughout the Strategic Plan (SP) 2016-2021 (as something “fresh” that can give “solutions”).
- Innovation is key to achieve the ambitious aims of the *Strategic Plan 2016-2021* of UNAIDS and it is mentioned in the foreword, on page 4: “Investing in science, innovation and strategic information now will help achieve these ambitious aims”.
- The *SP 2016-2021* of UNAIDS is called the fast-track approach that aims at a new business approach towards a rapid scaling up of effective HIV services. The strategy sets 10 goals and targets for 2020.
- The strategic leadership agenda on the strategic plan includes that in order to reach those “far-reaching” and “people-centered” goals and targets of the SP there is a need for transformative shift in different levels of the organization including “catalysing innovation for people who need it most”. This work has to be done with communities, countries and partners (page 15 on the executive summary and 39 on the strategic plan).
- UNAIDS includes innovation in the strategic plan in two ways: as a focus on one of the five-core aspect to deliver on its response (page 82) and as an issue cutting across the other four core aspects (information, investment, inclusion and integration).
- Innovation as a core aspect includes access to HIV service delivery through technology including mobile health, eHealth and telehealth (page 82). Countries are encouraged to develop and use these technologies in partnership with communities, government agencies, health providers and the private sector. “UNAIDS will support partners in strengthening systems and scaling up services on an unprecedented scale” (page 83).
- Examples of innovation as an issue cutting across the other core aspects includes giving innovative opportunities to join its work with the private sector (on investment), collecting sub-national data and increasing the availability of real-time data through new technologies such as crowdsourcing (on information page 76), innovation in research and science to produce better, optimized and long-lasting formulations of antiretroviral medicines, vaccine and cure, as well as more effective and affordable treatment for common co infections such as TB, STIs and hepatitis (page 45).

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- As an approach to the strategic plan: The *Fast Track approach* is integrated into the Programme Branch of UNAIDS. Each country will determine the milestones for 2020. UNAIDS will guarantee that successful solutions can be rapidly scaled up into regional and global level.
- As globally led initiatives: examples (i) *Diagnostics Access Initiative 2015*: maximize innovative and effective use of available tools and to develop and scale up new tools. (ii) *Treatment 2015 Initiative*: integrates innovative approaches in different countries that have resulted with high impact.
- As innovative interventions examples: the Situation Room has worked on using innovative tools to leverage country level data sets that can be expanded to accessing community level data.

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

- There is no specific reporting system to capture innovation.
- However, in the new business approach (*Fast Tracking approach*) there is a process change in the monitoring and evaluation of programmes that allows for real-time monitoring systems and web-based data visualization (e.g. situation room). Although this is not specifically focusing on innovation.

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

N/A

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

- The *SP 2016-2012* fully integrates a scale up strategy that focuses on solutions that have proved to work so far in ending AIDS and by looking for potential innovative solutions that are scalable. The *SP 2016-2021* states that this will be done by redistributing opportunities, collaborating across sectors and investing in the intersections of AIDS and other development challenges:
 - The *Fast-Track approach* focuses on rapidly scale up of effective HIV services responses in 2015-2020.
 - The *Lab initiative* is a partnership among international organizations that shares resources (financial, expertise, human) to better track and scale up of innovative solutions.
- The *SP 2016-2021* clearly states that “UNAIDS will support partners in strengthening systems and scaling up services on an unprecedented scale” with specific focus on:
 - Scale up programmes that are on men who have sex with men and transgender people, especially to Young people through innovation in social media (online outreach) and community management (*SP 2016-2012* page 89).
 - Scale up programmes that include comprehensive prevention programmes for people who inject drugs and “replace drug detention centers with voluntary community-based treatment and support services” (*SP 2016-2012* page 89).
 - Scale up programmes for HIV protection and economic empowerment of women (*SP 2016-2012* page 60).
 - Scale up programmes for adolescents and young people to have access to quality CSE by integrating programmes into the school curricula (*SP 2016-2012* page 60).

Area 5. Monitoring and evaluation**5.1 M&E systems:** How is innovation integrated in the organization's M&E systems?

- Although not specifically focusing on innovation: the new business approach (fast tracking) proposes a change in the monitoring and evaluation systems to one that allows for real-time monitoring systems and web-based data visualization (e.g. situation room).
- The *SP 2016-2021* establishes that there is a need to develop real-time monitoring of services and programmes “to enable critical data to be collected and disseminated using widely available tools such as mobile phones and the cloud”.

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

N/A

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

N/A

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

N/A

Area 6. Funding frameworks**6.1 Strategy:** What is the funding strategy/approach for innovation in the organization?

- There is no specific strategy to leverage funds for innovation in the organization.
- UNAIDS looks to leverage funds to invest in interventions that are innovation focused. This initiative is called the *Leveraging Innovations and Financing for Ending AIDS Initiative*. The investment approach is to allocate resources towards interventions that will achieve the greatest impacts.

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

- The business plan as established in *fast track approach* has a main focus on innovation. This means that the entire organization incorporates innovation as a crosscutting issue or as specific interventions or programmes part of the core work of the organization. The strategy is supported by core funds.

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

- No specific funds related exclusively to innovation are distributed to countries or regions.
- However, to assist countries in fast-tracking their response, UNAIDS has redeployed substantial numbers of staff from its global headquarters to priority Fast-Track countries and regions. Funds are also allocated throughout the priority countries and regions countries.

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case?

- UNAIDS focuses specifically on scale up of innovation solutions.

Area 7. Innovation Funds structure and functioning (if applicable)**7.1 Rationale:** What is the rationale of the innovation fund? (What does it fund, why and what for? - including what innovation stages are covered by the Fund)

There is no innovation fund in place.

7.2 Management process: What is the management process from goal setting to allocation of funds? (Brief description; voting, call for proposals, selection phases)

There is no innovation fund in place.

7.3 Governance: What governance mechanisms are in place? (Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects)

There is no innovation fund in place.

7.4 Selection: What are the project selection criteria to award innovation projects (rationale, allocations - including funding caps)? How are these criteria communicated to the participants? Are they integrated in guidelines?

There is no innovation fund in place.

7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels)

There is no innovation fund in place.

Area 8. Partnerships

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| 8.1 Rationale and scope: what are partnerships used for and when? (<i>Ideation, development of solutions, scale-ups, etc.</i>) |
| <ul style="list-style-type: none"> Partnerships are built to contribute to research, to improve service delivery and for resource mobilization. For example, partnerships among communities, government agencies, health providers and the private sector in countries are used to develop innovative HIV prevention technologies, promote community awareness of new innovations, or to examine broader HIV testing methods. |
| 8.2 Partners: Who are the main partners in innovation and in what sectors? |
| <ul style="list-style-type: none"> Some of the main partners in innovation for UNAIDS include: <ul style="list-style-type: none"> UNITAID (to leverage its impact on expanding access to services and product-based preventive tools). Medicines Patent Pool (to elaborate analyses on the patent landscape of HIV medicines and forecasting of newer HIV-related products). African institutions: African Union Commission, the NEPAD Agency, and the African Development Bank. The Diagnostics Access Initiative is a global partnership among UNAIDS, the World Health Organization (WHO), the Clinton Health Access Initiative (CHAI), the United States President's Emergency Plan for AIDS Relief (PEPFAR), the Global Fund to Fight AIDS, Tuberculosis and Malaria, the US Centers for Disease Control and Prevention (CDC), the African Society for Laboratory Medicine, USAID, UNITAID and UNICEF. |
| 8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from? |
| N/A |
| 8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific? |
| N/A |
| 8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms) |
| <ul style="list-style-type: none"> The SP 2016-2021 recognizes that partnering with the private sector is essential to achieve the Agenda 2030. <i>The SP 2016-2021 also states that the Joint Programme will help countries diversify funding for their HIV strategies "by closer engagement of the private sector", among others, "to close the AIDS resource gaps".</i> UNAIDS has expressed its interest to "increase the collaboration with private-sector associations, such as the Global Business Coalition for Health, to identify how private-sector expertise and resources can accelerate and strengthen the response, including through social responsibility and social impact investing" (SP 2016-2021page 79). |

Area 9. Learning from innovation

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| 9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (<i>Especially for failed projects / solutions?</i>) |
| N/A |
| 9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated? |

- The Strategic Plan 2016-2021 established that there would be specific mechanisms in place to increase efficiency and effectiveness through South-South cooperation including sharing innovative approaches.
- However, there is no further information on how this will be articulated.

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (*What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate*)

- Although not specifically on innovation, the Situation Room is an online platform that puts together information data to understand the AIDS epidemic situation country based. The tool brings together policy makers, UN AIDS programme staff and implementers to identify then the best fast tracking solution. If successful then the initiative is subject to scale.
- During 2016 UNAIDS hosted a one-day activity named *Innovation Marketplace* which aimed to provide a platform for private sector companies, NGOs and other organizations working in AIDS to showcase their innovative programs, new technologies and unique approaches to AIDS; share new ideas; foster and create new partnerships; and explore ways to scale up proven activities (*Innovation Market Place concept note*).

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

N/A

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

N/A

Sources:

- Interview with Sima Newell – Director of Technology and Innovation in UNAIDS.
- UNAIDS technology and innovation department:
<http://www.unaids.org/en/ourwork/managementgovernancebranch>
- Strategic Plan 2015-2021:
http://www.unaids.org/sites/default/files/media_asset/20151027_UNAIDS_PCB37_15_18_EN_rev1.pdf
- Understanding Fast Track initiative:
http://www.unaids.org/sites/default/files/media_asset/201506_JC2743_Understanding_FastTrack_en.pdf
- Diagnostic Access Initiative:
http://www.unaids.org/sites/default/files/media_asset/20150422_diagnostics_access_initiative.pdf
- Treatment 2015 initiative:
http://www.unaids.org/sites/default/files/media_asset/UNAIDS_15by15_en.pdf
- Acceleration and innovation in Chinas AIDS response:
http://www.unaids.org/en/resources/presscentre/featurestories/2016/may/20161013_China
- Smart Investments: http://www.unaids.org/sites/default/files/media_asset/20131130_smart-investments_en_1.pdf
- UNAIDS Guidelines: Working in Partnership with the Private Sector:
http://data.unaids.org/pub/manual/2007/unaids_guidelines_august2007_draft4_en.pdf
- UNAIDS | 2016–2021 Strategy On the Fast-Track to end AIDS
http://www.unaids.org/sites/default/files/media_asset/20151027_UNAIDS_PCB37_15_18_EN_rev1.pdf
- Global Aids Response Progress Reporting 2016.
https://aidsreportingtool.unaids.org/static/docs/GARPR_Guidelines_2016_EN.pdf
- UNAIDS and Kenya launch data and technology partnership to Fast-Track progress towards ending the AIDS epidemic by 2030
- Situation room:
http://www.unaids.org/en/resources/presscentre/pressreleaseandstatementarchive/2015/september/20150917_PR_HIV_Data_Kenya



UNIN COMPARATIVE TABLE

**Office of Information and Communications Technology
(UN OICT)**

Information gathered: December 2016 and February 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- UN-OICT's Innovation Unit facilitates technology innovations that support United Nations programmes by connecting staff within the United Nations to expertise, ideas and external partners in order to find solutions to the complex challenges that the Organization faces.

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- Unite Labs is the Innovation Unit of the organization and was launched in May 2016.
- Innovation is also incorporated in the Strategic Plan as a means to modernize the current technologies being used in the UN system.

1.3 Scoping of what is innovation and what is not innovation *e.g. innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

In scope:

- Assisting offices and departments in finding new ways to use existing and emerging technology to support their work.
- Research on emerging technologies and their usefulness for UN programmes.
- Education of UN staff and Delegates on the effects of emerging technologies on society and their implications for the UN and its member states, for instance through briefings and technovation talks.
- Liaison with private sector (in-kind donations and exchange of expertise).
- Setting up a network of Innovation Labs in collaboration with Member states.
- Engage the public, for example through our Crowdsourcing platform, Unite Ideas.

Out of Scope:

- Organizational change management.
- Innovation that does not involve technology.

1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?

- The Innovation Unit of the UN-OICT (Unite labs) identifies innovations and innovators through a global mapping exercises:
 - The web platform (UNITE ideas) allows UN staff to propose a challenge to external partners and grab ideas.
 - By networking existing innovators in the UN and outside the organization to exchange ideas.
- The United Nations Chief Information Technology Officer (UN CITO) makes decisions as to focus and prioritization of innovation areas.

1.5 How are specific issues in need of innovation selected and prioritized? (*E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation*)

N/A

1.6 What are the phases, sequence and main elements of the innovation process?

- According to UN-OICT the innovation process is as follows:
 - Identifying global hubs through mapping.
 - Engaging thought leaders at hubs.
 - Briefing UN staff.
- Note: UN briefings are done in a regular basis and agencies can also request briefings on specific topics.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? *E.g. through innovation sponsors, innovation committees, strategic board on innovation.*

- N/A

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- The Innovation Unit is housed in the Global Services Division, which reports to the UN CITO.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels)

- UN-OICT operates at central level and supports other duty stations (Geneva, Santiago, Vienna, Bangkok, etc).

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- N/A

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

- There are currently three full time staff working on innovation.

3.2 Funding: where do the financial resources to pay for to staff with specific responsibilities on innovation come from? (*Core, non-core*)

N/A

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

N/A

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

N/A

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

N/A

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

N/A

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

N/A

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- The UN-OICT is in charge of implementing the UN ICT strategy (<https://unite.un.org/sites/unite.un.org/files/docs/unitednations-ict-strategy.pdf>). This strategy has a strong focus on innovation, as a singled out main pillar of the strategy as well as a cross cutting element.
- “Innovate” is one of the 5 pillars of the strategy (modernise, transform, innovate, optimize, govern). The Innovate pillar is defined as “ Foster innovative solutions that enable the UN to fulfill its mandates”.
- Innovation on ICT in the UN is a key element of the strategy:
 - “Over the next five years, the Office of Information and Communications Technology and its partners globally will continue to modernize, transform and innovate ICT in the UN, while strengthening governance and optimizing our resources” (page v).
 - “We will shift the approach to technology in the UN to one that fosters innovative solutions in support of the substantive work, programmes and mandates of the Organization” (page 4).
- Innovation also cut across the other pillars of the strategy:
 - Under the “modernize” pillar “Through modernization, the Organization will be better able to leverage the expected benefits of enterprise solutions; to effectively protect data and information; to ensure resilience in the face of disaster; to strengthen accountability; and to utilize innovation to support its core work”.
 - Under the “innovate” pillar it is stated “We will proactively leverage new technologies to innovate our business processes, strategies and services”.
 - “We will broaden global capacity in analytics, enabling the development of innovative solutions that could assist in crisis Management (...”).
 - Similarly, under the “Govern” pillar the text states “The Chief Information Technology Officer’s overarching role is to create and sustain a set of shared views, programmes and values, and to implement innovative technologies to support and facilitate the work of the UN”.
 - In the conclusion of the strategy the text the ultimate goal of innovation to the UN OICT: “The ICT strategy is designed to support the Organization’s mission with innovation, information and transformation. The core work of the UN is what gives direction to our mission, and ultimately the aspiration that we use technology and innovation to reduce human suffering.

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- Unite Labs is a product/service that the organization provides to the UN Secretariat entities as well as to UN Permanent Missions.

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

N/A

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

N/A

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

N/A

Area 5. Monitoring and evaluation**5.1 M&E systems:** How is innovation integrated in the organization's M&E systems?

N/A

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

N/A

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

N/A

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

N/A

Area 6. Funding frameworks**6.1 Strategy:** What is the funding strategy/approach for innovation in the organization?

N/A

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

N/A

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

N/A

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case?

N/A

Area 7. Innovation Funds structure and functioning (if applicable)**7.1 Rationale:** What is the rationale of the innovation fund? (What does it fund, why and what for? - *including what innovation stages are covered by the Fund*)

N/A (No Innovation Fund in place).

7.2 Management process: What is the management process from goal setting to allocation of funds? (*Brief description; voting, call for proposals, selection phases*)

N/A (No Innovation Fund in place).

7.3 Governance: What governance mechanisms are in place? (*Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects*)

N/A (No Innovation Fund in place).

7.4 Selection: What are the project selection criteria to award innovation projects (*rationale, allocations - including funding caps*)? How are these criteria communicated to the participants? Are they integrated in guidelines?

N/A (No Innovation Fund in place).

7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels)

N/A (No Innovation Fund in place).

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, development of solutions, scale-ups, etc.*)

- UN-OICT promotes cross sector partnerships to exchange ideas and resources on innovation.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- Partnerships include with academia, private sector, and civil society.

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

- The resources allocated to developing partnerships come from the core budget of the organization.
- There is no specific strategy on innovative partnerships.

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- Innovation specific partnerships are MOU-based.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- Private sector partnerships are based on UN Secretariat policies (e.g. on pro bono contributions) and approvals.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

N/A

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

N/A

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (*What are the tools in place e.g., internet-based collaboration/communications tools that allow staff - and external partners - to share knowledge, and further innovate*)

N/A

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

- A main insight is the importance of creating a trusted collaborative network to support efforts both inside and outside the organization.

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

- Culture to mitigate risk and go through long approval processes makes it difficult to make bold moves in innovation so risks must be considered and value delivered early on.

Sources:

- Interview with Radia Funna, former staff, Innovation OICT. Written inputs from Lambert Hogenhout, present Chief Analytics, Partnerships and Innovation, OICT/DM.
- Website: <https://unite.un.org/services/unite-labs>
- United Nations ICT Strategy Book <https://unite.un.org/sites/unite.un.org/files/docs/unitednations-ict-strategy.pdf>



Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- UN Women's definition of innovation is available in its Briefing on Innovation to scale up gender equality and the empowerment of women made to its Executive Board in September 2016: <http://www.unwomen.org/-/media/headquarters/attachments/sections/executive%20board/2016/second%20regular%20session/unw-2016-innovations%20background%20brief-en.pdf?vs=4206>. UN Women leverages innovation to break trends and accelerate the achievement of gender equality and women's empowerment.
- UN Women Deputy Executive Director in the remarks for a side ("How Can Social and Technological Innovations Contribute to Achieving Gender Equality") in the Czech Republic in March, stated that "Innovation is about how we use the tools available to us to disrupt, to recalibrate, to upend, to challenge inequalities and to accelerate human development and gender equality" (<http://www.unwomen.org/en/news/stories/2016/3/lakshmi-puri-speech-at-social-and-technological-innovation-side-event>).

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- Innovation was formally announced within the organization in 2014 when the Government of Denmark earmarked resources (3 million Danish Kroner - about \$450,000 annually) to incorporate innovative approaches into UN Women's work.
- Prior to that, UN Women was supporting Knowledge Management and Technology for Development initiatives e.g. access to the internet / broadband for women – the focus was on closing the gender digital divide. With financial support from the Government of Denmark UN Women moved to prototyping and testing of innovative approaches e.g. in prevention of violence against women, and in building enterprise platforms to support women's entrepreneurship.

1.3 Scoping of what is innovation and what is not innovation *e.g. innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- At the beginning (2014) the Innovation Facility operated on the basis of open calls within UN Women's areas of work.
- At present, the Innovation Facility currently focus on prototyping and piloting innovations with a view to scale in a number of thematic areas (e.g. Ending Violence against Women and Women's Economic Empowerment) as well as on promoting women innovators, expanding the market for innovations that advance women and ensuring a gender response approach to the innovation cycle. See this link for the strategy: <http://www.unwomen.org/en/digital-library/publications/2017/7/making-innovation-and-technology-work-for-women>

1.4 How is the **scoping process** conducted (of what is innovation and what it is not)? And who makes those decisions?

- UN Women has used an open call for proposals' scope for innovations. UN Women's Innovation Facility also specifically invests in innovations it believes have the potential to accelerate the achievement of gender equality and women's empowerment.

1.5 How are specific issues in need of innovation **selected and prioritized?** (*E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation*)

- The scoping process takes place within the call for proposals as well as specific priorities that UN Women has identified. The innovation team in partnership with other units within UN Women makes decisions on selection.

1.6 What are the phases, sequence and main elements of the **innovation process**?

- At present the ideation phase (generation of ideas) occurs as part of the call for proposal for the Innovation Facility; proof of concept (from idea to first results) takes place during the implementation of the projects funded by the innovation facility. Diffusion (spread across the organization) and scale up takes place through UN Women's programming. For example, UN Women's innovative Buy From Women Platform that was prototyped and piloted in Rwanda is currently being scaled up through its women's empowerment through climate smart agriculture programmes in Mali, DRC and Cameroon.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? *E.g. through innovation sponsors, innovation committees, strategic board on innovation.*

- Innovation at present is led by the Innovation Facility under the office of the Deputy Executive Director in charge of Policy and Programmes.
- The head of the Innovation Facility is core staff, senior advisor at the Policy & Programme Bureau.

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- There is an innovation team within the Innovation Facility. The Facility is under the Policy & Programmes Bureau: this is an enabling factor to mainstream innovation throughout the organization.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels)

- The Innovation Facility is managed from the headquarters and operates across the organizations (calls for proposals are open).
- Some initiatives related to innovation take place at regional and country level independently of the Innovation Facility (e.g. see 9.3).
- Innovation takes place primarily through innovation champions and the Facility.

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- Innovation solutions are mainly generated, prototyped and tested by the Innovation Facility and country offices. Scaling up is starting to take place. See example under 1.6.
- The decision on what solutions to test is with the Innovation Facility, under the Policy and Programme Bureau.

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

- At present there are four members in the innovation team within the Innovation Facility.

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (Core, non-core)

- Core resources, Junior Professional Officers (JPO) and non-core.

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- The expertise within the unit includes experience in innovation, technology, business development, and partnerships. UN Women leverages expertise across the organization for its innovation work.

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

- UN Women has an internal programme with innovation champions: at the regional offices, country offices and at headquarters, innovation champions are responsible to prototype particular ideas.
- In some particular cases - such as in the Moldova country office – a particular skill set for technological prototypes was required and they pulled in the specific skills from outside.

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

- Innovation champions are staff who dedicate part of their time to prototype their innovation projects.
- At the Innovation Facility at headquarters focuses on implementation of its Innovation and Technology Strategy.

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- The first global call for proposals revealed difficulties understanding what innovation initiative / approaches are, and how to conceive and measure them. 10 innovation champions were selected (senior management at regional and country offices) and a training program was delivered by NESTA UK (innovation foundation).
- Subsequent to the training delivered by NESTA, Moldova organized a training session in the country office with partners.
- At the time of the interview with UN Women, the Innovation Unit was working on developing a comprehensive capacity building plan for innovation to embed innovation throughout the organization.. As a part of the plan a stocktaking exercise was conducted, compiling the capacity building initiatives that UN Women had done to date e.g. a retreat with NESTA 2015 consisting of 12 staff on a Trainer of Trainers approach. The exercise also included interviews with these 12 staff to enquire about the practical roll out of the cascade training. The result will be a various capacity building activities targeting staff on basic understanding of innovation and guidance on how to embed innovation into their work.
- UN Women holds regular innovation brownbags to exchange knowledge and learning.

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

- One key formal reward system is receiving funding from the innovation unit to take forward innovative initiatives. Recognition comes from the top management e.g. emails from the Executive Director (ED) and the Deputy Executive Directors (DED) congratulating the country representative in Moldova on the way innovation had been incorporated in the way of working of the country office.
- Staff have the opportunity to present their work to colleagues during brownbag meetings and during lunches and learning sessions. Staff can also share their work using the UN Women intranet.

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- Innovation is referred to in two parts of the Strategic Plan 2014-2017.
- In the context of partnerships with the private sector. Paragraph 75 of the SP 2014-2017 refers to “innovative partnerships with the private sector and private philanthropic foundations”. The text also points out: “These partnerships will enable UN Women to leverage business supply chains, technology, innovation and philanthropic trends, and access goods and services and pooling of resources to advance women’s empowerment and gender equality”.
- Paragraph 95 states: “ UN-Women will employ global and regional programmes to work on universal issues, (...) promote innovation, (...”).
- The Integrated Results Framework does not include any outcomes, outputs or indicators explicitly related to innovation.
- Innovation and technology are one of the key drivers of change in UN Women’s new draft Strategic Plan 2018-2021. <http://www.unwomen.org/en/executive-board/documents/strategic-plan-2018-2021>.

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| 4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.) |
| <ul style="list-style-type: none"> Projects funded by the Innovation Facility are integrated into country programmes, including UN Women's Flagship Programming Initiatives. |
| 4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation? |
| <ul style="list-style-type: none"> Reporting on innovation takes place to the innovation facility as well as within UN Women's standard reporting requirements. UN Women reports regularly to Denmark on its progress. |
| 4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs? |
| <ul style="list-style-type: none"> The Danish Government has funded the Innovation Facility and UN Women reports to the Government of Denmark in line with its reporting rules and procedures (narrative and financial report). Performance audit is conducted for projects receiving seed funding. |
| 4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes? |
| <ul style="list-style-type: none"> Scale up takes place through UN Women's programming. For example, UN Women's innovative "Buy From Women Platform" that was prototyped and piloted in Rwanda. This initiative is currently being scaled up through its "women's empowerment through climate smart agriculture" programmes in Mali, DRC and Cameroon. |

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| Area 5. Monitoring and evaluation |
| 5.1 M&E systems: How is innovation integrated in the organization's M&E systems? |
| <ul style="list-style-type: none"> The current Integrated Results Framework does not include any outcomes, outputs or indicators explicitly related to innovation. UN Women's new Integrated Results and Resource Framework includes two indicators on innovation. |
| 5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed? |
| <ul style="list-style-type: none"> Key criteria for assessing innovativeness developed with Denmark include: Originality, potential impact, potential to scale, measurability of benefits, demonstrated innovation in relation to UN Women's mandate. |
| 5.3 Monitoring: How are innovation interventions/solutions monitored? (<i>What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism</i>) |
| <ul style="list-style-type: none"> The innovation and project team monitor the results of the projects supported by the Innovation Facility (at present the results of the 10 projects funded during the global call for proposals are being monitored) There is a monitoring system based on activity reports from the projects provided with seed funding from the Innovation Facility. The Innovation Unit provides the reporting templates. |
| 5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (<i>What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?</i>) |
| <ul style="list-style-type: none"> Innovation projects are only about 1 to 2 years old and have not yet been evaluated. |

Area 6. Funding frameworks**6.1 Strategy:** What is the funding strategy/approach for innovation in the organization?

- Innovation activities are funded by the contribution from Denmark and recently by Innovation Norway.

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

- External donors: Government of Denmark. In 2014 the Government of Denmark earmarked resources to foster innovative approaches in UN Women's work: An annual contribution of approximately U\$450,000 (3 million Danish Kroner).
- UN Women received \$300,000 from Innovation Norway for an innovative project on leveraging blockchain technology for women in fragile contexts.

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

- Innovation resources are not allocated by level of the organizational structure: the calls for proposals from the Innovation Facility are global. Most of the funds are allocated to country level.

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case?

- The first two calls for proposals of the Innovation Facility (2014, 2015) consisted of seeds funds to support proofs of concept. In the last call for proposals, 6 out the 10 tested proof of concept worked.
- At present the plan is to use the remainder of the funds to continue supporting the projects that have proven successful, rather than launching another call for proposals to fund more proofs of concept.

Area 7. Innovation Funds structure and functioning (if applicable)**7.1 Rationale:** What is the rationale of the innovation fund? (What does it fund, why and what for? - *including what innovation stages are covered by the Fund*)

- The Danish Government earmarked funds for innovation in order to enable UN Women to promote innovation to accelerate the achievement of gender equality and women's empowerment.

7.2 Management process: What is the management process from goal setting to allocation of funds? (*Brief description; voting, call for proposals, selection phases*)

N/A

- UN Women's innovation unit is under the leadership of its Deputy Executive Director for Policy and Programme and managed in line with UN Women's innovation and technology strategy (<http://www.unwomen.org/en/digital-library/publications/2017/7/making-innovation-and-technology-work-for-women>).

7.3 Governance: What governance mechanisms are in place? (*Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects*)

- The innovation team supports a call for proposal and evaluates proposals jointly with other units within UN Women on the basis of specific selection criteria.

7.4 Selection: What are the project selection criteria to award innovation projects (*rationale, allocations - including funding caps*)? How are these criteria communicated to the participants? Are they integrated in guidelines?

- 10 proposals were selected for seed funding out of the global call for proposals in 2015.
- A panel selected these proposals on the basis of specific selection criteria.
- See section 7.3 on the selection group and 5.2 on the selection criteria.

7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels)

- See section 6.3.

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, development of solutions, scale -ups, etc.*)

- The rationale for partnerships is mostly to learn how other UN agencies approach work on innovation and to scale innovation successes.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- NESTA - did the training and innovation workshop.
- UN Global Pulse gave a presentation on big data during an innovation retreat.
- Partnership with UNICEF in doing innovation breakfasts (the objective is to learn on how UNICEF is approaching innovation).
- UN Women has also attended UNDP's innovation conversations, which are considered very helpful. These conversations include discussions on potential joint projects.
- UNIN network – UN Women attends the meeting of the network.
- Discussions with UNOPS on partnering on their global innovation centres.
- Initial exchanges with UNFPA to conduct event together, an “innovation week” (similar to Nairobi’s innovation week).
- About 25 large private sector, not-for-profit and academic institutions that form part of UN Women’s Global Innovation for Change.

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

- Innovation team at the Innovation Unit does the work related to partnerships in close collaboration with UN Women’s Strategic Partnership Division.

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization’s general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- Arrangements are project- specific, MOUs, or part of the general partnership portfolio.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- UN Women is launching its Global Innovation Coalition for Change, which brings private sector, not for profit and academic institutions together to deepen the market for innovations that advance women and girls.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

- The integration of learning is part of the monitoring and reporting process.

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

- Links between the Innovation Facility and UN Women policies area are taking place.
- Linkages with knowledge management and south-south linkages have not yet taken place.

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the

organization and external partners? (*What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate?*)

- On February 2016, UN Women Eastern and Southern Africa Regional Office used the Innovative Market Place Platform at the Timeless Women's Conference, as an opportunity to share great initiatives/ innovations/ interventions and programmes that create social and economic impacts in the lives of women in Africa (<http://africa.unwomen.org/en/news-and-events/events/2016/02/the-innovative-market-place-platform-at-the-timeless-women-s-conference-2016>).
- The Moldova country office has implemented a successful innovation project. The project is fully documented. The project features multiples approaches, engagement with end users, stories to help women struggling with violence. The project was actually developed by survivors of violence. The project was implemented in a couple of districts and the violence rates lowered considerably. UN Women published the case study in Moldova and it will also be published in Oxford University. The project generated substantial evidence (before and after the intervention).
- The Innovation Unit is starting to show case what Moldova has done. In Moldova they even restructured the whole office space to incentivize innovations.
- The Innovation Unit is planning to start exchanges between offices that have implemented innovation projects and offices that have not yet done so.

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

- The key takeaways pointed out by the Innovation Facility are:
 - It is important to use a funnel approach to innovation. Including innovation in the Strategic Plan explicitly will help mainstreaming innovation across the organization.
 - Private sector partnerships are key. Main barriers to gender and innovation include: the limited market for innovations that work for women; the lack of integration of gender throughout the innovation cycle; the under-representation of women as innovators; and the need for specific innovation and technology solutions to meet the needs of women.

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

- The champions approach works well particularly when encouraged by regional and country offices. It worked were the regional directors and country reps made it a priority e.g. by incorporating "thinking days" and innovation workshops to prompt thought-provoking spaces as part of the regular activities of the offices. This has worked well in some countries.
- Linking the ICT division with the innovation work has been very useful in driving innovation and technology projects forward.

Sources:

- Two interviews with Ruth Miyandazi from the Innovation & Technology for Development Unit. Written inputs from Fiona Bayat-Renoux, Senior Advisor to the UN Assistant Secretary General and UN Women Deputy Executive Director & Director of Innovation.
- Remarks by UN Women Deputy Executive Director Lakshmi Puri at “How Can Social and Technological Innovations Contribute to Achieving Gender Equality”, a side event organized by the Czech Republic on the occasion of the 60th session of the Commission on the Status of Women on 17 March, 2016 (<http://www.unwomen.org/en/news/stories/2016/3/lakshmi-puri-speech-at-social-and-technological-innovation-side-event>)
- The Innovative Market Place Platform at the Timeless Women’s Conference, 2016. UN WOMEN AFRICA (<http://africa.unwomen.org/en/news-and-events/events/2016/02/the-innovative-market-place-platform-at-the-timeless-women-s-conference-2016>)
- Briefing on Innovation to scale up gender equality and the empowerment of women made to its Executive Board in September 2016: <http://www.unwomen.org/-/media/headquarters/attachments/sections/executive%20board/2016/second%20regular%20session/unw-2016-innovations%20background%20brief-en.pdf?vs=4206>.
- UN Women’s innovation and technology strategy: Making Innovation and Technology Work for Women <http://www.unwomen.org/en/digital-library/publications/2017/7/making-innovation-and-technology-work-for-women>



UNIN COMPARATIVE TABLE

United Nations Development Operations Coordination Office (UN DOCO)-Secretariat and technical and advisory support unit of the UNDG.

Information gathered: December 2016 and February 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- UN DOCO is the Secretariat and technical and advisory support unit of the United Nations Development Group (UNDG), which has 32 UN agency members delivering together for development. *Innovation* is a core element of the institutional definition of UN DOCO: “(the UN DOCO) brings together the UN development system to promote change and innovation to deliver together on sustainable development” (see page 9, of the UNDG Functioning & Working Arrangements at <https://undg.org/wp-content/uploads/2016/09/UNDG-Functioning-and-Working-Arrangements-3.pdf>)
- Although there is no formal definition of what innovation is, or explicitly formulated in terms of why innovate and what for, innovation is a core part of increasing and improving UN coherence, which is what UN DOCO supports across the UN Development Group.

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- In 2015, UN DOCO established an UNDAF innovation facility to support UNCTs to generate examples of UNDAFs that increase multi-stakeholder engagement, are better informed by data analytics and supported by innovations in joint operations. For the first time in 2015, the virtual facility supported 29 innovations in 25 countries, spanning innovation in data, public engagement, sustainable development planning and business operations. Given limited funding for UN strategic planning processes, the facility provides seed funds on a competitive basis to UNCTs in the design phase of their strategic plans. The UNDAF innovation facility provides advisory services for UNCTs testing out innovations as prototypes for consideration to scale wider in the UN development system. To foster peer-to-peer knowledge sharing, in 2015 UN DOCO organized 18 webinars on topics including the data revolution, crowdsourcing techniques and foresight innovations in strategic planning – bringing together over 1,500 people from over 20 agencies and 100 countries. The innovations tested, documented and shared in 2015 informed the interim UNDAF guidance illustrating new methods for situation analysis; methods to engage the general public in UN planning; and techniques to plan for future sustainability challenges as a key part of development that meets the current generation's needs without compromising the ability of future generations to meet their needs.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- Based on lessons learned from investing in joint UN innovation in 50 countries in 2015-2016, the following innovation areas are those in which the state-of-the-art indicates innovative joint work is most promising to generate the new solutions for Agenda 2030. UN DOCO is looking for innovations that advance learning based on the summary below. Innovation principles adopted throughout the UN will frame this effort. There are 5 Innovation areas (the fifth area on finance has been recently added in the second call for proposals):
 - Data: Innovate in citizen-generated data, big data and open data for decision making and real time monitoring for SDG programming.
 - Voice: Innovate ways for people to be more actively involved in decision making, documenting their lives and experiences, generating solutions, raise funds or designing SDG solution.
 - Futures: Innovate how we overcome cognitive biases when planning for sustainable futures, even in uncertain conditions.
 - Business innovations: Innovate improve joint UN operations, particularly through data and tech. Innovate for a better link between UN principles and its operations.
- Finance: Innovate beyond ODA to include national budgets, new asset classes (disaster bonds, DIBs, pay for

success and advanced market commitments), crowdfunding and peer to peer finance.

1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?

- There are two scoping process. A direct and an indirect one. The direct one is the one that takes place when selecting the topics (Innovation Areas) within the calls for proposals for the UNDAF Design Innovation Facility. The indirect one is related to the areas of work of the Working Groups and Task Forces in the UNDG.

1.5 How are specific issues in need of innovation selected and prioritized? (E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation)

- Same as in scoping process.

1.6 What are the phases, sequence and main elements of the innovation process?

- Innovation at UN DOCO covers the testing/proof of concept phase (addressed by funding innovation projects through calls for proposals): “(...) the facility provides seed funds on a competitive basis to UNCTS in the design phase of their strategic plans. The UNDAF innovation facility provides advisory services for UNCT testing out innovations as prototypes for consideration to scale wider in the UN development system” (page 75, Together Possible).
- Scale up methods are developed in two ways: 1) integration of innovation areas for which proof of concept has been shown into UNDG guidance and policies (for example UNDAF Guidance) and 2) where several UN Country Teams are working on similar innovations, the scale up method is to co-design between country and headquarter-level solutions that serve many contexts. The best example of this underway is the development UN info – a digitized UNDAF system to improve data literacy, standardization and transparency.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? E.g. through innovation sponsors, innovation committees, strategic board on innovation.

- The Knowledge and Innovation Team leads Innovation at UN DOCO and supports UN Country teams to lead on innovations.
- The UNDAF Design Innovation Facility is coordinated through the Offices of the Resident Coordinators in country together with UN Country teams.
- There is no formal Board. Yet, there are informal consultations between the Innovation team and colleagues in innovation throughout the UN Development system, with help from the UN innovation network.

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- The innovation function at UN DOCO is explicitly embedded in the “Knowledge and Innovation Team” but throughout DOCO colleagues work to advance innovation in programme, operations and communications.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels)

- Work on innovation is done by UN DOCO at global level (and support to country level) and by the Offices of the Resident Coordinators, who coordinate the UNDAF Design Innovation Facility at country level.

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- At present “innovation solutions” are essentially related to the proposals funded under the UNDAF Design Innovation Facility.

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Voluntaries, full-time, consultant)

- No staff at UN DOCO has an exclusive focus on innovation. Rather, existing staff takes up innovation to accomplish their goals, in particular those related to knowledge management, communications and business intelligence.
- There are leading programme staff (called Innovation Area Leads) for each of the five innovation areas of the Innovation Facility.
- The head of the Innovation Unit carries out the monitoring, makes sure operations are on track and conducts quality control.
- There is intended rotation in staff at the Innovation Facility. Every year the role of Area Lead is offered to staff as an opportunity. The Innovation Facility looks for motivated people that are looking forward to interact with field offices in this area (implementation of innovation initiatives).

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (*Core, non-core*)

- Core (though staff cover other responsibilities – knowledge management, communications and business intelligence).

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- There are no innovation specialists as such - no staff specifically trained on Innovation.
- Innovation windows for the Facility - now called innovation areas – each have an Areas Leads, staffs that select the proposals sent to the Innovation Facility and conduct back stopping and ensure the functioning of the blog. For example, business operation specialists have been assigned to the *Business Innovations* area, the communication and knowledge management specialist is in charge of the *Voices* innovation area; and staff from sustainable development is in charge of the *Futures* innovation area.

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

- Job descriptions have a minimum technical knowledge in technical related tasks e.g. systems management, website content management, ability to learn, new knowledge sharing platforms. Soft skills related to innovation are also sought – end user orientation, scanning capacities, collaborative leadership.
- UN DOCO uses the UNDP system - for each post they tick the relevant competencies, and innovation is an option that can be ticked. There is a scale.
- That said, it is the recruitment protocols of the knowledge management and communication staff that reflect more comprehensively the soft collaborative skills required in innovation.

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

- Innovation specific tasks are an add-on to regular tasks. Staffs involved in innovation do it on a volunteering basis and takes it as an additional workload; they are driven by motivation.
- Though additional tasks, innovation related duties are perceived as an opportunity (for Area Leads) to engage directly with the field and see the practical application of the *policy – practice* feedback loop.

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- Skills development on innovation across Resident Coordinator offices: Recently UN DOCO organized an innovation learning and results workshop in Jordan bringing together Resident Coordinator Offices in 25 countries as well as staff from the Global Pulse, UNDP and UNICEF. The workshop was run by the NESTA, the innovation foundation and entailed bringing together innovation experiences.

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

- Staffs usually have the ability to adopt innovation approaches. However, given no staff have exclusive focus on innovation, the ability to self-direct prototypes, partnerships etc. are often undertaken above and beyond their core set of assigned tasks.
- Staff are able to select learning activities and these are encouraged to focus on innovation.
- One deliberate incentive is to support ‘positive deviants’ to share their work publicly through the UNDG blog – silofighters.org. Often intensive editing support is provided so that staff in Resident Coordination and DOCO, and across the UNDG staff are encouraged to ‘work out loud’. This has been (and still is) an ongoing cultural shift as many feel that only when a new approach shows results can it be shared. Most staff perceives that failures or early ideas should not be public.
- In the Innovation Unit at UN DOCO all staff have chosen an innovation result in their performance management development (PMD) exercise.

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- Innovation is integrated in both UNDG / UN DOCO strategic frameworks as a modality to achieve the agenda 2030 for sustainable development. It appears in these terms in several of the documents that conform the strategic framework for the UNDG. Examples below:
- Innovation is a constituent element of the desired UN Development System. One of the two strategic entry points outlined in the UNDG Strategic Priorities for 2013-2106 is: “Define the elements of a strong UN Development System, one that is inclusive coherent, innovative (...”).
- “Innovative partnerships and operative modalities” are one of the elements included among the proposed shorter-term initiatives to enable the UN development system to deliver on the post-2015 development agenda included in the “UNDG Vision and Framework for Actions for UN Operational Activities in support for the post-2015 Agenda” (page 4).
- The “Theory of Change” for the UN Development System to Function “as a System incorporates innovation in several parts: (i) As a systemic tool to support SGD: “Creating space for, and fostering, experimentation and innovation is key in this regard, and it will be important to facilitate strategic experimentation in the UNDS in support of the SDGs at all levels” (Page 2); (ii) innovation is considered a strategic capacity: “Also important are dedicated strategic capacities, research and development, innovation, knowledge management and policy capacity available to the UNDS “as a system” (...)” (page 4); (iii) One of the key assumptions underpinning the theory of change is formulated as: “there is political will and commitment to address change at the global level, as well as greater space and support for innovation, and increased “risk appetite” and support for risk-takers” (page 6); moreover “greater support to innovation and experimentation at all levels in support of the 2030 Agenda” is mentioned as one of the critical areas discussed at the October 2015 UNDG ASG Advisory Group retreat (page 8).
- The foreword by Helen Clark, chair of the UNDG, in the Together Possible report, states: “The report is a call to the UN System to provide for creative policy spaces and innovations in data and technologies, new business models and financing mechanisms, and exciting new partnerships at global, regional and country levels that will help accelerate progress on the SDGs across all countries” (page 7).
- Outcome 1 of the Results Matrix for the *Delivering Together for Sustainable Development Facility* is directly directed to innovation: “UNDG utilizes proofs of concept tested at the country level to improve shared results and efficiency of operations to better support SDG achievement” (pages 25-26 of the Delivering Together Facility for Sustainable Development. UN DOCO).

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- Innovation is also integrated in the 2016 UNDG Work Plan.
- One of the deliverables of the Work Plan is: “Knowledge flows, peer-to-peer networks and innovation exchange are in use for the 2030 Agenda, all SOPs pillars, the human rights agenda and UN coordination”.
- Similarly, two of the strategic priorities and results of the Work Plan are: (i) “UN Country Teams supported to

lead advocacy and public engagement around the SDGs, with a view to building political will, encouraging popular ownership and supporting innovation” and (ii) “UNCTs coherently support the implementation of the 2030 Agenda for Sustainable Development, while enabling and financing innovation”.

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

- Reporting mechanisms are established within the UNDAF Design Innovation Facility as follows: (1) A mid-way learning report and End Results Note: A final report on what happened, with successes and failures of the initiative, and recommendation for scale up if any (and/or lessons to avoid the pitfalls); (2) Sharing short stories: Submission to and review of your country’s references in a global report, 2 blogs to be produced in 2016-2017 to share the learning from the UNDAF Facility; (3) How, and how much, of the money was spent: By the end of 2016 a financial overview of how the allocation has been set up including expenditures incurred; and by the end of 2017: a final financial report reflecting expenditures including balances, if any.
- The silofighters.org, so-called “the blog”, is where knowledge on innovation is actually captured and made public.

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

- Innovation projects are audited as all others projects.

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

- The main formal channel is scaling up through UN wide policy or guidance: the Innovation Facility feeds quite often into the revised guidance of the UNDAF. In spring 2016 for examples there was an interim revised guidance on the UNDAF that feature innovations from the Innovation Facility (The Facility feeding into policy is a way of scaling up).
- At times, the innovations funded through the UNDAF Innovation Facility are innovations from a UNICEF, UNESCO or UNDP that are being tested beyond their mandate e.g. Real-time monitoring (from UNICEF) in Mauritania being scaled up to the health sector. They scaled it up to cover all the areas of health under the UNDAF health outcome. In such cases the Innovation Facility can act as a scale up facility in itself. The same happens with the foresight innovation projects from UNDP and UNESCO.

Area 5. Monitoring and evaluation

5.1 M&E systems: How is innovation integrated in the organization’s M&E systems?

- The UNDG Information management system includes a set of questions that enquire about innovation (e.g. is UNCT applying innovation?). Innovation is applied as a joint UN effort being monitored by UN DOCO. The Global reporting systems for the UNCT (similar to the ROAR) thus, asks questions of 11 areas of work; one of these areas is emerging issues, which includes an enquiry about innovation (the question is: “*Does the UNCT apply innovation during UN country programming?*”).

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

- Innovativeness is assessed in terms of contribution to learning and scaling. Proposals for the UNDAF Design Innovation Facility are assessed for their “contribution to innovation learning in this early phase of the Agenda 2030 and SOPs implementation”.
- Indirect measures of innovativeness are included in the template for the proposals to the UNDAF Design Innovation Facility e.g.: “Fast-forward to the final UNDAF, how will it be better if this innovation is applied? Which part(s) of the UNDAF process does the innovation target? [Common Country Assessment, Vision 2030, Strategic Planning, Monitoring and Evaluation] Assessment [max 1 page]”. Also, innovativeness is somehow implicit when the template asks: “What is the innovation? [1 page]” (<https://undg.org/wp-content/uploads/2016/01/UNDAF-Design-Innovation-Facility-2016.pdf>).

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

- There was no overall M&E Framework for the first couple of years of the Facility. At present however, under the “Delivering Together Facility for Sustainable Development” there is a funding framework that covers one

window on innovation (plus leadership and crisis support. This window has an M&E framework attached to it (<https://www.un.org/ecosoc/sites/www.un.org.ecosoc/files/files/en/2016doc/delivering-together-facility-fact-sheet-undoco-2016.pdf>).

- The reporting mechanisms presented in the section on reporting systems (area 4.3) above act as a monitoring mechanism i.e. the mid-way learning report and end results note; the short stories and the financial reporting.
- The mechanism for the identification of success/failure is the *mid-way learning report and End results note* ("A final report on what happened, with successes and failures of the initiative (...)".
- There are no standard monitoring/tracking mechanisms to monitor the solutions. It is left open for the applicants to establish the mechanisms: One of the sections of the proposals to the Fund is "*How do you intend to track progress or evaluate the success of your innovation (methods and key metrics)? [½ page]*". The proposals offer very limited information on how they will monitor and evaluate the proposal e.g. <https://undg.org/wp-content/uploads/2016/03/UNDAF-Innovation-Facility-2016-Montenegro.pdf>; others offer general outlook on how they will approach M&E: <https://undg.org/wp-content/uploads/2016/03/UNDAF-Innovation-Facility-2016-Montenegro.pdf>. Apparently, M&E systems will be developed by grantees once they receive the funds.

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); When? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

N/A (*The process is at an early stage. Evaluation has not yet been introduced*).

Area 6. Funding frameworks

6.1 Strategy: What is the funding strategy/approach for innovation in the organization?

- The Delivering Together Facility for Sustainable Development constitutes the funding framework from 2017 onwards.

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

- The German Cooperation funded the UNDAF Design Innovation Facility during the period 2015-2016.
- DFID, Sweden and the Swiss cooperation have joined as donors for the period 2017-2019.

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

- Resources are allocated to UNCT in countries.

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case?

- The UNDAF Innovation Facility focuses on testing/proofs of concept related to designing UNDAFs and One Programmes.

Area 7. Innovation Funds structure and functioning (if applicable)

7.1 Rationale: What is the rationale of the innovation fund? (What does it fund, why and what for? - *including what innovation stages are covered by the Fund*)

- UNDAF Design Innovation Facility will award seed funding to UNCTs who develop innovative proposals for designing their UNDAFs and One Programmes (<https://undg.org/wp-content/uploads/2016/01/UNDAF-Design-Innovation-Facility-2016.pdf>).
- The fund focuses on supporting joint innovations conducive to the Delivering as One Approach: " This fund will support joint innovation at country level, where innovation is at its most cutting edge. As the take up of the Standard Operating Procedures for Countries adopting the Delivering as One Approach gains momentum, this new business model will both require and enable country level innovation". The Fund, among others, "(...) targets countries that are advancing business operations innovations in support of UNDAF design" (<https://undg.org/wp-content/uploads/2016/01/UNDAF-Design-Innovation-Facility-2016.pdf>).
- There are four innovation windows: (1) Data capture and analysis; (2) public engagement and partnerships; (3) sustainable development planning; and (4) business operations innovations. In the last call for proposals, launched on March 6th 2017, there is an additional window on Finance.

7.2 Management process: What is the management process from goal setting to allocation of funds? (*Brief description; voting, call for proposals, selection phases*)

- The process in brief is: Call for proposals → selection of winning proposals by the UN DOCO team → disbursement of funds → awarded funds must be disbursed in full by December 2016 → comply with reporting requirements, which include: a mid-way learning report and End Results Note, sharing short stories and final reporting (end of 2016 and end of 2017).

7.3 Governance: What governance mechanisms are in place? (*Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects*)

- The guidelines for applicants include a section on selection process, a section on disbursement and management of funds.

7.4 Selection: What are the project selection criteria to award innovation projects (*rationale, allocations - including funding caps*)? How are these criteria communicated to the participants? Are they integrated in guidelines?

- Seed funding is awarded to United Nations Country Teams (UNCT) up to 75,000 USD per innovation window, up to a maximum of 150,000 per country.
- About the selection process, guidelines for applicant mention: "Proposals received by the deadline will be assessed by UN DOCO according to clarity of purpose and contribution to innovation learning in this early phase of the Agenda 2030 and SOPs implementation" (<https://undg.org/wp-content/uploads/2016/01/UNDAF-Design-Innovation-Facility-2016.pdf>).
- In 2015 the UNDAF (virtual) innovation facility supported 29 innovations in 25 countries (page 75 of the Together Possible report).
- Among the criteria for the selection of projects there are: whether the project improves the UNDAF process; accountability and inclusivity; scalability and whether the project builds on standard operation procedures.
- (Learning/insight) In the first calls for proposals Area Leads tended to grant funds for the implementation of global policies for which funds were scarce. A small pool of funds was actually used for pushing the boundaries in terms of incorporating innovative approaches (a filling-the-funding-gap-effect similar to what happened in UNFPA). The idea that the Innovation Facility should be used to push the limits and testing of new ideas took some time to set in.

7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels)

- The UNDAF Design Innovation Facility is targeted at UNCT at country level. Regional UNDG teams drive innovations as part of their strategic positioning of the UN in each region (i.e. Asia UNDG team is working on a data literacy course, Arab States and Asia Pacific are integrating foresight into their UNDAF technical support trainings. The Caribbean is developing a multi-country UNDAF. Resident Coordinator offices and DOCO collaborate closely with UN Global Pulse in Africa, Asia, and at global level.

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, solutions development, scale-ups*)

- There is a formal partnership with NESTA. Through a MoU, NESTA does pro bono work with UN DOCO in areas NESTA wants to test in developing countries, such as collective intelligence. NESTA has been conducting theoretical work on this and wanted to test it out (operational strategy in developing countries – it took place in Lesotho and Moldova). UN teams in the ground have benefited from NESTA team capacity on innovation (transfer of capacity). In Lesotho NESTA did an SDG challenge prize and made a call for innovative solutions also working on Uber ambulances in remote areas by using private citizens.
- UN DOCO developed an alliance with the UN Global Pulse in the area of big data. Big data does not have a regulatory framework on how companies can provide data to the UN (e.g. Ebola – track where people are moving to; migration flows to target response). The Global Pulse put together guidance for big data privacy and protection and they have a network of privacy regulators in several countries. The UN DOCO scaled the guidance to the entire UN System.
- Another partnership is with Tableau Software, a software company that developed a data visualization programme called Tableau. This company sponsor UN DOCO data visualization contest (<http://open.undg.org/>; <https://undg.org/undg-data-visualization-contest/>). Whereas the Facility is at country level this contest is rather at global level.
- At the time of interviewing UN DOCO they were developing partnerships with AID:Tech (<https://aid.technology/>) in Jordan where different UN agencies are providing vouchers for cash assistance. AID:Tech works on blockchain, which allows knowing what was bought with the vouchers, thus monitoring the purchases. The idea is to consolidate a block chain database for refugees.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- NESTA (innovation capacity and skills), UN Global Pulse (big data), Tableau (data visualization).

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

- They are allocated on a case-by-case basis, depending on the type of arrangements.
- UN DOCO perceives partnerships as a full scope of work (a fully-fledged activity in itself). They require human resource and specific time allocations to be developed.
- Partnerships develop in spite of the procedures rather than as a result of them (due diligence procedures are necessary yet at times not fully adapted to developing partnerships with the private sector).

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- Partnership arrangements vary: MoU with NESTA; activity-based with UN Global Pulse; based on a sponsorship with Tableau.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- UN procedures make it challenging to develop partnerships with the private sector. Due diligence procedures are quite stringent. In this context the fact UN DOCO is administered by UNDP and thus are under their regulations has been quite positive. The data visualization contest for example, implied giving cash award to people. The fact UNDP had a policy allowing this made it possible for UN DOCO to offer prizes. It is called "Innovation challenges policy December 2013".
- The incorporation of the mutual recognition of best practices in terms of policies and procedures it is seen as a substantial advancement. This is a new approach that involves recognizing procedures in other agencies if that saves time and money – based on paragraph 52 of the Quadrennial Comprehensive Policy Review (QCPR) of December 2016.
- Paragraph 21 of the QCPR calls for leverage with partnerships, and paragraph 70 calls for the introduction of knowledge management policies, shared knowledge and a system wide open data collaborative approach, which is conducive to partnerships within the UN system.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

- Learning is a prioritized aspect: "To foster peer-to-peer knowledge sharing, in 2015, UN DOCO organized 18 webinars on topics including the data revolution, crowdsourcing techniques and innovations in strategic planning – bringing together over 1,500 people from over 20 agencies and 100 countries. The innovations tested, documented and shared in 2015 informed the interim UNDAF guidance illustrating new methods for situation analysis; methods to engage the general public in UN planning; and techniques to plan for future sustainability challenges (...)" (page 75 of the Together Possible report).
- The latest call for proposals for 2016 intends a similar approach. It explicitly states, in the guidelines for applicants that: "Learning from this exercise will be shared publicly and guided by the UNDG to inform policy development" (<https://undg.org/wp-content/uploads/2016/01/UNDAF-Design-Innovation-Facility-2016.pdf>).

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

- The points on scale up in section 4.5 above are applicable here as well on the linkages between innovation and policy.
- The main formal channel is scaling up through UN wide policy or guidance: the Innovation Facility feeds quite often into the revised guidance of the UNDAF. In spring 2016 for example there was an interim revised guidance on the UNDAF that feature innovations from the Innovation Facility (The Facility feeding into policy is a way of scaling up).
- At times, the innovations funded through the UNDAF Innovation Facility are innovations from a UNICEF, UNESCO or UNDP that are being tested beyond their mandate e.g. Real-time monitoring (from UNICEF) in Mauritania being scaled up to the health sector. They scaled it up to cover all the areas of health under the UNDAF health outcome. In such cases the Innovation Facility can act as a scale up facility in itself. The same happens with the foresight innovation projects from UNDP and UNESCO.
- The links between innovation and knowledge management take place through the Information Management System and the blog.

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (*What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate*)

- Cross learning from the UNFPA Design Innovation Facility has not yet occurred. That said, the call for proposals made strong emphasis on knowledge sharing and cross learning. Guidelines for applicants establish that: "To promote global policy learning from this investment, successful countries should commit to: Creative documentation of the innovation including blogs on the UNDG blog: Silofighters: One blog to pitch the idea: Here's what UN DOCO is planning. At least one blog to report back on the experience with the innovation". Also: "Participation in global and/or regional innovation and learning events and willingness to input into policy development surveys where relevant" (<https://undg.org/wp-content/uploads/2016/01/UNDAF-Design-Innovation-Facility-2016.pdf>).
- Nesta was working on a report on innovating as one (The UN: Innovating Together) covering the learning of the 4 windows of the Facility during the period 2015-2016.

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

- The Knowledge and Innovation Team at UN DOCO started with the assumption that UNCT and resident coordinator offices would be highly versed in developing innovation proposals and would not need much support from UN DOCO at headquarters. Practice though has proven that although this is the case at times, there are cases in which awareness raising on scanning is highly required, as it has proved to be a weakness.

The Innovation Team at UN DOCO has thus identified a need to develop the capacity and skills to scan what is already out in the ecosystem (e.g. what is already out in block chain and how can it be used for). In the new call for proposals in 2017, there is requirement to explain the type of scanning that has been conducted previous to the development of the proposal.

- Another lesson is the need to devote more UN DOCO time to assist country offices in developing proposals. The Facility should consider providing not only funds but also technical assistance for the development of proposals, which often imply a dialogue process with the country.

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

- *"Culture has to do with a focus on innovators rather than on innovation. It is about their names, their profiles and their twitter accounts".*
- *"Culture is about making people feel proud of this process. Innovation should be about making people love their jobs again".*
- *"A culture of innovation has to do with people being proud of their role and identity. That is why the blog is so important in terms of building the culture".*
- When it comes to UNDG, the concept of "delivering as one", which began in 2008, was an innovation model in itself. As of today 58 countries applying this approach worldwide. The Knowledge and Innovation Team at UN DOCO has tried to instil a sense of pride in the role of the resident coordinators making it a symposium of innovation.

Sources:

- Interview with Gina Lucarelli (Team leader, knowledge and innovation team, UNDG Innovation)
- UNDG Functioning & Working Arrangements at <https://undg.org/wp-content/uploads/2016/09/UNDG-Functioning-and-Working-Arrangements-3.pdf>
- UNDG Strategic Priorities for 2013-2016 (Update December 2014)
- UNDG Vision and Framework for Actions for UN Operational Activities in support for the post-2015 Agenda. Recommendations from UNDG as a contribution to the CEB post-2015 "fit for purpose" discussions in November 2014 (14 November 2014)
- A "Theory of Change" for the UN Development System to Function "As a System" for Relevance, Strategic Positioning and Results Summary Paper Version 1.0 (26 January 2016)
- Together Possible: gearing up for the 2030 Agenda. 2015 Results of UNDG Coordination. United Nations Development Group.
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- 2016 UNDG Work Plan. April 2016 (<https://undg.org/wp-content/uploads/2016/07/UNDG-2016-Work-Plan-final-April-2016.pdf>)
- Delivering Together Facility for Sustainable Development. UN DOCO. Operational as of January 2017 (<http://www.sdfund.org/delivering-together-facility-sustainable-development>)
- <https://www.un.org/ecosoc/sites/www.un.org.ecosoc/files/files/en/2016doc/delivering-together-facility-fact-sheet-undoco-2016.pdf>



UNIN COMPARATIVE TABLE

United Nations Development Programme (UNDP)

Information gathered: December 2016 and February 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- The UNDP Innovation website states: "Innovation for development is about identifying more effective solutions that add value for the people affected by development challenges – people and their governments, our users and clients. And we firmly believe that achieving the Sustainable Development Goals (SDGs) requires deliberate, calculated investments in testing new ways of triggering change." This has also been reflected in the speech the UNDP Administrator made at the Joint Meeting of the Executive Boards of UNDP/UNFPA/UNOPS, UNICEF and UN Women.
- UNDP has invested in dedicated staff to advance innovation in the organization - to 'disrupt' business as usual, encourage change in the search for ever greater effectiveness, and identify new ways of doing things which could be of wide benefit. (UNDP, 2014 Annual Review Innovation Facility).
- There is no unique definition at institutional level. The term innovation may adopt several meanings across the organization. What all these possible definitions have in common is that Innovation in UNDP "needs to add value to the end-user and make measurable progress to bring about real improvements in peoples' lives". It should not focus only on the use of technology or a creative process but rather on how UNDP can positively affect people and add value to them.
- "The UNDP Innovation Facility defines innovation as novel approaches that add value to the end user. A novel approach can be an adapted approach that is well established in another context but new to the specific case" (page 36. UNDP Innovation Facility. 2015 Year in Review).

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- The genesis is related to the genuine interest of a regional hub adviser inspiring other colleagues to look at emerging trends in innovation (the Practice Leader, Knowledge and Innovation at UNDP Europe and the Commonwealth of Independent States (ECIS), Bratislava Regional Centre).
- The formal start took place when a Knowledge and Innovation (K&I) team was set up in the Regional Centre for Europe and the CIS in 2010. The K&I team invested in a range of activities to build the innovation capacity in the region (Evaluation of the Initiative "Knowledge and Innovation in the Europe and CIS Region 2012-2013").
- In 2012 Management at UNDP decided to fund the first Challenge in ECIS, and the first proof of concepts were launched. That was the seed for the establishment of the Innovation Facility, which started in 2014. The Innovation Facility is a global mechanism to support innovation for development – effectively the "home" of UNDP drive to systematically innovate.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- The definition of innovation by the Innovation Facility offers a first framework for scoping. Two elements determine what innovation is and it is not is: adding value to the final user that makes measurable progress to bring about real improvements, and the novel approach concept.
- The emerging *UNDP Innovation Framework* offers some more elements of what innovation is: "Innovation happens when business as usual is replaced with a more agile way of working. When assumptions are formulated based on available data and then tested with quick feedback cycles" (page 34, 2015 Year in Review Report).
- From 2014, the launch of the Innovation Facility to date, more than 110 innovation initiatives have been

supported with funding across 76 countries, an additional 40+ initiatives have been supported with advisory services. The scoping criteria have evolved over the period 2012-2016. The 9 Principles of Innovation frame UNDP approach to innovation and is among the criteria when selecting innovation projects. (<http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation/principles-of-innovation.html>). Other criteria that help framing the scope include: a path for scalability and sustainability (identifying partners that will scale the project, as well as a pathway for operational and financial sustainability) and the skills of the team implementing the Project, etc.

1.4 How is the **scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?**

- Scoping takes place in the framework of the Innovation Facility: innovation projects are aligned to the country programmes / embedded in the country programmes. The essence is that innovation projects deliver in the UNDP programmatic ecosystem.
- The challenges set out by the SDGs: delivering, financing and implementing the ambitious goals are also among the elements that determine what the Innovation Facility funds. The selection and decisions on the initiatives to be funded by the Innovation Facility are made by an internal committee, comprised of colleagues from the Innovation Facility based in the respective Regional Hubs and HQ and UNDP staff from the respective Regional Bureau. Partners from other UN agencies, innovation think tanks and civil society organizations are also part of the review and scoring committee.

1.5 How are specific issues in need of innovation **selected and prioritized? (E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation)**

- The 2015 Year in Review (page 34) presents an emerging *UNDP Innovation Framework* that describes UNDP approach to innovation. These approaches define the focus: “our approach to innovation focuses on the identification of bottlenecks, rapid testing of innovative solutions through prototypes, scaling up what is proven to work and, generally, “working out loud” at all times to learn from user, partner and stakeholder feedback”.
- The Facility’s portfolio is firmly rooted in the 2030 Agenda for Sustainable Development. While initiatives span 16 of the 17 Goals, the majority of initiatives address Sustainable Development Goals that eradicate poverty, enhance livelihood options, reduce inequalities as well as build resilient and peaceful societies (<http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation.html>).

1.6 What are the phases, sequence and main elements of the **innovation process?**

- From the website and the annual reports it may be inferred there are three phases: early stage (ideas generated, prototypes created and initial user-feedback collected to further develop the concept); testing & evidence collection (the initiative is being tested with a subset of target users, partners and stakeholders. Evidence is being collected to support an impact assessment and feasibility analysis of the initiative before it progresses); scaling up (following testing, the initiative has solid data proving the effectiveness of the innovation and is now working with partners to expand the scope) (page 46, 2015 Year in Review report).
- Methods and vehicles for ideation in the Early Stage include innovation labs, innovation camps, hackathons, and open challenges. Innovation labs bring diverse actors together to generate ideas (via camps, hackathon, Challenge Prizes, etc), create prototypes, test and iterate solutions to development issues, before sustainably scaling these services and products. To date UNDP has set up 13 Innovation Labs: 6 co-hosted with governments and 7 hosted in partnerships with private sector and academia (Page 5, 2015 Year in Review report - see also <http://www.undp.org/content/undp/en/home/blog/2016/10/12/Drivers-of-public-services-and-policies-of-tomorrow-the-role-of-government-innovation-labs-.html>).
- The Innovation Facility plays a role in the follow up of the Open Innovation Challenges (<http://www.undp.org/content/undp/en/home/blog/2016/3/9/Open-Innovation-Challenges-find-new-perspectives-and-solutions-to-complex-problems.html>) and funds initiatives in the ideation, testing and evidence collection, and scaling up phases.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? *E.g. through innovation sponsors, innovation committees, strategic board on innovation.*

- There is an *Innovation Board*, composed of senior management, the; (1) Assistant Secretary-General, UNDP Assistant Administrator and Director, Bureau for Policy and Programme Support; (2) Assistant Secretary-General, UNDP Assistant Administrator and Director, Regional Bureau for Asia and the Pacific; (3) The Assistant Secretary-General, UNDP Assistant Administrator and Director, Bureau for Management Services; (4) UNDP Director for Communications, Bureau of External Relations and Advocacy; and (5) UNDP Deputy Assistant Administrator and Deputy Regional Director, Regional Bureau for Africa.
- The main roles of the Innovation Board are to provide strategic direction, overseeing a pipeline of initiatives, and holding accountability for the agenda in the organization (page 37. 2015 a Year in Review Report). The Innovation Board has the pulse of the strategic aspects that UNDP should innovate around.
- An external *Advisory Board to the Innovation Facility* was formed in December 2015 to provide the Innovation Facility with feedback and guidance. Board members are experts in Systems Design Thinking; Public Service and Policy Design; Entrepreneurship and Innovative Financing; and Technology Innovation in Development (<http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation/advisory-board.html>)

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- The Innovation Team was placed, initially, under the Knowledge Management Unit. Subsequently there was shift and, at present, the Innovation Team is part of the Development Impact Group of the Bureau of Programme and Policy Support (this group also features the evaluations and environmental standards team at UNDP).
- The placement of the Innovation Team within the programmatic bureau gives it the opportunity to engage in programmatic intervention across all thematic areas and regions. A shift, closer to senior management would, however, further benefit the team's ability to mainstream innovation within the organization.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country)

- UNDP has an Innovation Team with dedicated staff at the Headquarters in New York and in the 5 Innovation Specialists in the Regional Hubs.
- Innovation champions spread around more than 76 country offices.
- Approximately 6 country offices have invested in creating dedicated posts for Innovation Specialist or innovation-focused jobs.

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- Solutions may be generated anywhere. Ideation may happen at country offices, regional hubs or headquarters. Open Innovation Challenges and Innovation Labs are two of the main tools to generate ideas for solutions. New ideas for solutions may also be produced during the implementation of country programmes.
- The Innovation Facility plays an important role in supporting the testing and scaling up of innovation initiatives. The Innovation Facility Board and the Innovation Team play a role in the decisions.
- In Asia and the Pacific region there is a Scaling Up Fund.
- There are different options in terms of making decisions on what should be tested or scaled up: For country-level initiatives that show results from the testing stage, it can be the UNDP Country Office management or partners that decide to invest in further scaling. Such an uptake occurred in more than 60% of initiatives in 2014 & 2015; and /or the Innovation Facility decides to further invest in scaling initiatives. In 2016 the Project Board endorsed an investment framework that encourages an investment of 40% in innovation projects that are ready to scale. Another scaling pathway for approaches is that UNDP tests new ways of working, for example by investing in Strategic Foresight exercises with governments, and after demonstrating impact, UNDP units adopt this way of working. While the Foresight team received initial investment from the Innovation Facility, it is now part of UNDP corporate service offering on the SDGs and it is mainstreamed. There is a similar potential scaling pathway for big data initiatives and Challenge Prizes – they become mainstream / are scaled within UNDP.

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

- UNDP has an Innovation Team with dedicated staff at HQ and all 5 regional hubs (<http://www.undp.org/content/undp/en/home/librarypage/development-impact/undp-innovation-facility-year-in-review-2014/>)
- HQ staff is full time - one P4 position. The Hub colleagues range from P4 to P5 positions and also have Knowledge Management responsibilities. Champions usually do not have innovation in their ToR with the exception of 5 staff in ECIS (Europe and the Commonwealth of Independent States), who have 20% dedicated to innovation, and one full time staff in Fiji.
- Generally, the approach is not to hire people with a specific innovation profile but rather to identify current staff with strong thematic background (with interest in innovation and innovation skills) to run innovation activities. However, for future recruitments for the IF core team UNDP will seek individuals who bring both skill sets: innovation and development.
- The approach builds on the assumption that to deliver on innovation a high degree of technical and thematic expertise is required (in the areas you are innovating for).
- Staff with strategic profiles within the organization conducts *horizon-scanning* exercises to explore areas where innovation ideas could/should focus upon.
- The approach uses innovation champions as innovation ambassadors within and outside the organization. See more on these programmes: <http://diytoolkit.org/from-troublemakers-to-transformation-leads/>

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (Core, non-core)

- For staff from core. For programmatic interventions from UNDP core funds and from the Government of Denmark.

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- The staff running innovation activities are staff with a thematic background (as opposed to staff with an innovation specific profile).
- At the beginning of the process, some of the staff at the Knowledge and Innovation Team at the Regional Centre for Europe and the CIS (2010) had specific profiles on innovation. The profiling of the team was: digital communication, knowledge management and service design.
- The Innovation Facility members and innovation champions come with different thematic expertise (governance, environment, gender, capacity building) and have developed dedicated innovation skills over the years by hands-on learning. A boutique roster of Social Innovation Experts is also available to all of UNDP. These experts have skills in emerging innovation approaches being tested at UNDP. UN Development Operations Coordination Office (UN DOCO) has also used the talent on the roster.

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

- UNDP Competency Framework includes innovation as a core competency.
- <http://www.undp.org/content/dam/undp/library/corporate/Careers/undp-hr-core-competency-2016.pdf> However, there remains further work to highlight the required skills for new recruitments and staff development. The Innovation Team is working with NESTA on a skills framework.
- Recently, a requirement for innovation has been included in the calls for recruitment of staff.

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

- For staff supporting an Innovation Facility-funded project, the Innovation Facility writes to the Head of the Office requesting her/him allocate funds, but also to encourage that the staff are supported - by being given the time and flexibility to innovate. In 2017, with the criteria that innovation projects should be cost-shared by the country office, thematic or regional team, staff should have more support from their offices to implement innovation projects.
- Innovation is in many cases an after-work activity. More information on this is available here: <http://www.nesta.org.uk/blog/innovation-undp-weekend-sport-daily-practice>.

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- The UNDP Innovation Facility provides technical assistance to country offices and delivers mentorship programmes to encourage innovation champions on the ground.
- UNDP invest in the capacity of innovation champions through: innovation skill-building exercises, hands-on learning events in design thinking, games for social change, foresighting (page 35, 2015 Year in Review) More here: <http://diytoolkit.org/from-troublemakers-to-transformation-leads/>
- Innovation has been included as one of the four pillars of the Leadership Development Programme launched by the UNDP Office for Human Resources.
- Course on human-centred design (partnership with Acumen and IDEO) and courses and webinars on innovation with Harvard Business School.
- Innovation champions (currently transitioning into “Innovation Ambassadors” in Asia): train colleagues in their country and region on innovation. In Asia Pacific, 300 mid-managers have been covered through courses (page 35, 2015 Year in Review). Alternatively, they may pull external innovation experts and direct them to country offices to provide technical assistance.

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

- In addition to allocating funds to the project run by the staff member; the staff member is recognized as the focal point of the innovation project among country office leadership, and encouraged to blog about their progress. In Asia Pacific, the UNDP Regional hub gives innovation trophies to the top performing offices at strategic meetings. One (small) incentive is a monthly profile of an innovator in the UNDP newsletter. The Innovation team, at the time of the second interview in December 2016, was working on an *intrapreneur programme* to further incentive staff.

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- Innovation is integrated in the Strategic Plan 2014-2017, as an element very closely related to partnerships and scaling. The Plan mentions that: Innovation will support planning at sub-national levels to help connect national priorities with action on the ground. The text mentions innovation will do this “through partnerships and catalytic funding that bring together communities, the private sector, foundations and civil society” (page 23, SP 2014-2017).
- Innovation is also explicitly mentioned in other parts of the Strategic Plan in relation to a number of areas: (i) “This will mean assisting countries to look at options and test scalable innovations across a number of issues” (page 25); (ii) “greater innovation in governance to adapt to changing conditions and public expectations” (page 30); (iii) “(...) innovation to manage risks through insurance and resilient infrastructure, under the DRR, preparedness, response and recovery section of the Strategic Plan” (page 36); (iv) on the UNPA approach to institutional change section, the Strategic Plan says: “Innovation, replication opportunities and lessons learned will be explicitly considered in programme development, management and review so that results”(page 53); (v) “Scaling-up strategies will be an essential aspect, to ensure better coverage and impact of development innovations(...). Fostering innovation and assessing and actively mitigating multi-faceted risks affecting programmes and operations will also be an explicit part of our approach” (page 59).
- Output 7.6 of the Integrated Results and Resources Framework (Annex 6 of the Strategic Plan 2014-2017 is centred on innovation: “Innovations enabled or development solutions, partnerships and other collaborative arrangements”. There are two indicators associated to this output on type of partners and scaling (See section

5.1 below).

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- Innovation is rather integrated as a *way of working*: “knowledge management and innovation” (paragraph 21 of the Regional programme Document 2014-2017).
- Grants from the Innovation Facility focus on initiatives often linked to ongoing projects and programmes across UNDP thematic portfolio (UNDP Innovation Facility Annual Review 2014).

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

- Innovation projects should show proof of concept or minimum viability within 8 to 9 months.
- Through the “working out loud” open reporting mechanism, innovation projects are encouraged to log information about their experiences share information and write about implementation.
- The ROAR (Results-Oriented Annual Report) has a specific section on Innovation. The section was first introduced in the system-wide reporting framework in 2015 at the request of the Innovation Facility. Each year the analysis of the data results in further evolving the questions or adding further questions to surface actionable results and better map UNDP innovation journey. In this section country offices are requested to provide coded information on: the description of the innovation projects, implementation status, type of innovative methods w applied or tested, specification of the partners involved in the innovation project, type of scaling, and the development results achieved. As a result, at the end of every year Country Offices now report on whether they have tested a new method or worked on scaling an innovation.
- Annual report on the achievements of the Innovation Facility (UNDP Innovation Facility Annual Review).
- Regional Reports on innovation (featuring initiatives supported by the Innovation Facility) (<http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation/resources-for-innovation/publications-and-reports.html>).

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

- The innovation project undergoes the same mechanisms, including annual Quality Assurance Reviews, and regular reviews at Project Board meetings.

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

- The Innovation Facility includes supporting the scaling up phase of innovation initiatives (it actually covers early stage, testing & evidence collection and scaling up). To be eligible for funds from the Innovation Facility, the initiative/project has to demonstrate scaling potential.
- Uptake is one of the pathways to scale as it involves partners adapting and scaling initiatives. 60% or 3 in 5 of Innovation Facility initiatives from 2014 and 2015 have seen uptake in 2016 from UNDP country offices and partners (government, private sector, civil society organizations (CSO), UN entities as well as academia/ think tanks). 51% of initiatives reported uptake by more than one partner suggesting the formation of a multi-stakeholder partnership, which promises greater sustainability.
- Also via the ROAR, 65% (75 of 114) of country offices reported implementing innovative initiatives that have shown to scale in 2016 by increased geographic reach, people reached as well as type of partner uptake. The diagram alongside shows the trends by region. It is worth noting that 80% of the country offices that reported on implementing and scaling innovative initiatives have received funding or advisory services from the Innovation Facility.
- UNDP in Asia and the Pacific launched a Scaling Up Fund in 2013, in order to systematically identify successful pilot innovations and support amplifying their impacts. Through a competitive process, 14 projects have been sought out and awarded with resources throughout 2013 and 2014 (<http://www.asia-pacific.undp.org/content/rbap/en/home/ourwork/development-impact/innovation/scaling-up-innovation.html>) . The Scaling Up fund only supported initiatives that already had evidence for initial results whereas the Innovation Fund supports early stage initiatives.
- The Innovation Facility works with all recipients of its funds on scaling pathways, using a Scaling Checklist. This checklist will be replaced in 2017 with an updated scaling framework that is currently being developed with the Brookings Institute and that is aligned to the work of the Scaling Working Group of the International

Development Innovation Alliance.

Area 5. Monitoring and evaluation

5.1 M&E systems: How is innovation integrated in the organization's M&E systems?

- Innovation is integrated in the Integrated Results and Resources Framework. Output 7.6, which is directly related to innovation, has two indicators associated: 7.6.1 Number of new public-private partnership mechanisms that provide innovative solutions for development; and 7.6.2 Number of pilot and demonstration projects initiated or scaled up by national partners (e.g. expanded, replicated, adapted or sustained).

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

- Criterion 3 of the selection criteria for submissions from UNDP Country Offices for funding from UNDP Innovation Facility 2015 is: "The proposed idea possess an increased value added that complements or substitutes traditional solutions to the same problem".

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

- As the portfolio develops, the instruments and metrics to monitor and evaluate innovations continue to iterate and evolve (2015 Year in Review Report (page 36)).
- "Success of innovative models" is assessed using a range of variables: scaling, uptake, breadth, amount of new funding triggered, new partnerships, reach and inclusiveness of the process, and impact of the solution (page 36 of the 2015 Year in Review report).
- In terms of monitoring mechanisms used at intervention level, there are two templates: the section of the ROAR on innovation, which has to be completed by all offices; and the offices that receive funding have to report additional information outlined in a template called End-of-year Report (documenting results and insights).
- UNDP Innovation Unit intends to consider a real time monitoring approach for innovation projects as the portfolio matures (similar to the approach adopted a few years ago by UNICEF).

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); When? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

- Each innovation initiative undergoes the evaluation of the larger project in which they are situated. The "working out loud", as well as end-of-year report back to the Innovation team allows for ongoing evaluation and corrective action to inform the programming.
- As noted in 5.3, as is the nature of innovation, instruments and metrics to evaluate innovations continue to be iterative (2015 Year in Review Report (page 36)) As the new approach to innovation began to take root, there was a one-time evaluation of the initiative 'Knowledge and Innovation in the Europe and CIS Region 2012-2013' to assess the learning and trajectory. The final report is dated December 2014.

Area 6. Funding frameworks

6.1 Strategy: What is the funding strategy/approach for innovation in the organization?

- The Innovation Facility provides funds for early stage, testing & evidence collection and scaling up for high potential, high impact proposals that apply to the fund.
- Partnership approach for scale up: the organization explicitly believes that sustainable scaling pathways need sustainable partnerships (page 2 of the Innovation Facility brochure: <http://www.undp.org/content/undp/en/home/librarypage/development-impact/undp-innovation-facility/>)
- The Innovation Unit tracks how innovation mobilizes additional resources on the country-level, and the data is comprehensive for the Innovation Facility portfolio. The Innovation Team works on resource mobilization for the global fund (Innovation facility at headquarters) but there are no sharable strategies available.

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

- The Innovation Facility is funded with resources from the Government of Denmark (co-founding donor of the facility) as well as UNDP resources (in addition to staff salaries).
- Innovation approaches supported by the Innovation Facility are mobilizing new resources for further testing and scale up (several examples on page 2, 2015 Year in Review report). These resources come from the government (e.g. Burkina Faso), from private companies (e.g. Baidu in China) and from donors (European Commission).

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

- Each Regional Innovation Lead is allocated a financial envelope, based on an agreed formula by the Innovation Board, to support capacity building, advocacy and portfolio management.
- In addition to this (and in to support programmatic innovation) the Regional Innovation Lead sources proposals through open calls or targeted outreach to encourage country offices in its region that have never applied for innovation funding to consider testing new approaches – aligned to regional and country priority areas (Page 10, 2014 Annual Review UNDP Innovation Facility). While from 2014-2016 the financial allocation depended on the same formula noted above, in 2017 proposals from all regions are competing for a larger amount of funds from the same global fund.

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (*Ideation, testing/proof of concept and scale up?*) And what is the origin of the resources in each case?

- Early Stage | Open Innovation Challenges: UNDP has put in place a new policy on Open Innovation Challenges, enabling country office, regional hubs and Headquarter unit to award prizes of up to US\$ 40,000 for innovative and effective solutions.
- Scale up: In Asia and the Pacific the Innovation Facility supports a regional Scaling Up Fund since 2013 (<http://www.asia-pacific.undp.org/content/rbap/en/home/ourwork/development-impact/innovation/scaling-up-innovation.html>).
- The Investment Framework highlights the suggested split of the fund for a) adaptation b) scaling c) R&D.

Area 7. Innovation Funds structure and functioning (if applicable)

7.1 Rationale: What is the rationale of the innovation fund? (*What does it fund, why and what for? - including what innovation stages are covered by the Fund*)

- The Innovation Facility provides funds (grants) for innovation projects. But it has a wider scope. It works on 4 thrusts: (1) horizon scanning; (2) seed funding award (for testing and scale up); (3) fosters networks of innovation champions for knowledge sharing; (4) creates new norms (Page 4, 2015 Year in Review Report).
- The Innovation Facility has funded initiatives in three stages: (1) early stage, (2) testing & evidence collection and (3) scaling up.
- From the onset, the Innovation Facility was intended as a mechanism to identify what works, what does not work and what can be scaled.

7.2 Management process: What is the management process from goal setting to allocation of funds? (*Brief description; voting, call for proposals, selection phases*)

- There is no standard operating procedures related documentation available. The reason is that UNDP pursues slightly different approaches in the regions and also changes them from year to year, based on lessons learnt.

7.3 Governance: What governance mechanisms are in place? (*Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects*)

- All governance mechanisms are specified in the Management arrangements section of the UNDP Innovation Facility project document. This document details the roles and responsibilities of all the actors included in the project organization structure i.e. the UNDP Project Board, the Project Assurance, the Project Manager and the Project Support Team.

- The process of generating and selecting innovation project proposals, including the allocation of funds and monitoring process are clearly detailed in the Project document.
- The assessment of proposals is based on “blind rating” (the people assessing the proposals do not know who are the submitters).

7.4 Selection: What are the project selection criteria to award innovation projects (*rationale, allocations - including funding caps*)? How are these criteria communicated to the participants? Are they integrated in guidelines?

- The Innovation Team ran a call for proposals in 2014 and 2015. In 2016 the Innovation Team handpicked initiatives, based on the Investment Framework due to reduced amount of staggered made funding available. Calls for proposals did not yield a large enough number of high-quality proposals.
- In 2014 and 2015 calls for proposals were regionalized in order to fit regional contexts. Regional offices produce a shortlist of projects. In 2017, the call for proposals was the same for all regions, though the Regional Innovation Lead further reviews all submission – putting forward only the most promising.
- The actors involved in the selection of innovation project proposals are: the regional bureau at the headquarters, the Regional Innovation Leads, the headquarters’ Innovation team and thematic and private sector experts drawn from the Innovation Unit’s networks.
- Criteria for assessing prototyping projects (Selection criteria for submissions from UNDP country offices for funding from UNDP’s Innovation Facility 2015)
(<http://www.asia-pacific.undp.org/content/rbap/en/home/ourwork/development-impact/innovation/about-innovation-fund/2015-Innovation-Fund-Selection-Criteria.html>)
- Criteria for assessing scaling-up proposals:
(<http://www.asia-pacific.undp.org/content/rbap/en/home/ourwork/development-impact/innovation/about-innovation-fund/2015-innovation-fund-scaling-up.html>)
- Grants from the Innovation Facility are between \$20,000 per initiative to \$160,000 for cross-regional initiatives and focus on initiatives linked to ongoing projects and programmes across UNDP thematic portfolio, and displaying the potential for scaling-up or adaptation.
(<http://www.undp.org/content/undp/en/home/librarypage/development-impact/undp-innovation-facility-year-in-review-2014/>)
- The criteria when appraising proposals are:
 - Is the problem statement based on clear and solid evidence generated from a wide (and possibly “unusual”) variety of sources using inclusive and participatory mechanisms? /10
 - Does the idea have clarity, focus and clear purpose on what its intended to achieve? /10
 - Does the proposal enhance the achievement or monitoring of the SDG target identified? /10 (added in 2017)
 - Does the proposal catch the interest of the global development circles and beyond (or possess the “x factor”)? /10
 - Does the proposal show evidence of research, in scanning for or seeking inspiration from similar ideas external to UNDP that can be adapted? / 10 (used 2014-2016; shifted to be within a question in 2017)
 - Can the idea be realistically tested within the suggested timeframe? /10
 - Does the proposal have a strong and sustainable monitoring mechanism (especially real-time monitoring) to generate actionable evidence to measure progress, success and learning? /10
 - Does the proposal include a path for scalability and sustainability (identifying partners that will scale the project, as well as a pathway for operational and financial sustainability)? /10
 - Does the proposal reflect adequate risk awareness? And an effective mitigation strategy? (2017)
 - Does the team have all the required skills to execute this? (If not, please note in the comments section what necessary skills are required to bring on board) (2017)

An additional question for proposals in the scaling phase is:

- Does the proposal include sufficient evidence of success in the prototyping stage and offer potential for scale? /10

7.5 Levels: How is the innovation fund structured throughout the different organizational levels (central, regional, country levels)

- The Innovation Facility grants are available to UNDP offices across all regions (funds projects in all geographical areas), thematic and operational areas.
- In the Asia and the Pacific Region, a region-specific Innovation Fund has been established with the support of the Innovation Facility: the RBAP Innovation Fund – called UNDP Asia Pacific Innovation Fund in 2014.
- In ECIS, a regional project on Innovation Labs and another regional initiative on Alternative Finance has additional financial support from the Slovak Government (1.5million for 3 years), which is managed by the Regional Innovation Advisor for ECIS.

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, development of solutions, scale -ups, etc.*)

- Partnerships play a key role in scaling up: the “Invest in innovation” section of the Innovation Facility Brochure v4.0 – identifies sample pipeline initiatives with significant scale potential for which UNDP is actively seeking additional partners and funds.
- The geographical scope of partnerships with the private sector is usually at country or regional level. To date there are no global partnerships with private sector.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- In country offices local partners are usually:
 - 40% of the initiatives are tripartite partnerships between the private sector, UNDP and government (page 3, 2015 Year in Review).
 - Private sector and local start-ups: 1 in 2 initiatives partnered with the private sector to test and scale solutions in 23 countries. Partners include stalwarts like IBM, Microsoft, Unilever, Baidu, Barclays as well as local start-ups in Myanmar and Bangladesh.
 - UN Agencies and specialised agencies: 1 in 4 initiatives partner with UN & specialized entities to test and amplify solutions across 15 SDGs in 12 countries.
 - Academia, accelerators, innovation labs and think tanks: 50% of initiatives worked with academic and research institutes to generate ideas and explore new solutions across 15 SDGs in 23 countries. Civil society and local organizations: 1 in 2 initiatives across 24 countries partners with civil society organizations.
- UNDP offices that tested new ways of working have reported double the number of partnerships with the private sector, foundations, and international financial institutions, and 40% more partnerships with academia and/or think tanks. Country offices that received funding or advisory services from the Innovation Facility are 65 % more likely to engage young women and men in designing solutions.
- In Asia and the Pacific, UNDP's work on youth and innovation energized the youth portfolio, establishing partnerships with Citibank and Intel. These partnerships include financial partnerships, and build on innovation, youth entrepreneurship and employment opportunities as well as school-to-work skills development programmes. In 2016, UNDP partner base further broadened to include the first internet philanthropy report with Tencent; experiments with Aid: Tech, Microsoft, UK's Behavioural Insights Team, BitNation, MIT Poverty Action Lab and Climate CoLab, Edgeryders, Nesta, Cognitive Edge, Danish Government's MindLab, UAViators Humanitarian Network, leading Gaming Labs, local start-ups, social entrepreneurs as well as key private sector partners such as MobiMedia, DJI, Glorious Labs, Baidu, Google and IBM (2016 Year in Review).

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

- They are allocated from the Project Management funding line of the Innovation Facility Fund.

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-

specific?

- The partnership set-ups are locally based, that is, they fit into country offices and country programmes. Having said that, Regional Offices play also a role in partnerships, although MoUs at regional level are not the rule.
- The Innovation Facility drove a few MoUs in recent years, for example with Baidu, Glorious Labs, DJI, Islamic Development Bank; while innovation champions in country offices created project or challenge-specific partnerships with Microsoft, and local start-ups.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- UNDP has explored new types of partnerships with the private sector e.g. drone companies, accelerators, but there are no special rules for the Innovation Facility. The project follows the same rules and procedures as UNDP. They are outlined in a recent private sector engagement strategy.

Examples of new partnership models (2016 Year in Review):

- With DJI, WeRobotics and the Government of the Maldives, UNDP tested the use of UAVs (Unmanned Aerial Vehicles, aka drones) to capture hard-to-access data in real time for improved disaster management. As a result, the government purchased drones and will use UAV images in its disaster response and climate change mitigation work.
- In Serbia, the UNDP Innovation Lead brokered a collaboration between the Finnish Innovation Fund Sitra and the government to design a Youth Employment Bond. The Bond will be financed with private sector investment as a pay-for-success model. In 2017, UNDP is putting it to the test.
- Together with the Seoul Municipal Government, UNDP established City iLeaps, an innovation exchange initiative to facilitate city innovation through learning, exchanging, adapting, prototyping and scaling, to help cities use design thinking and concepts such as reverse engineering to design, adapt, and prototype public sector services. As part of this initiative, UNDP partnered with Makassar city government on using design thinking to improve transport systems. Four prototypes are being tested. Further, Hulumale and Ho Chi Minh cities have also expressed interest in working with us on designing smart cities and tackling solid waste issues respectively.
- On the global level, UNDP and UN Global Pulse co-organized a UN Data Innovation Lab and incubated six data experiments across seven UN agencies with the support of private sector partners such as Google, Facebook, PricewaterhouseCoopers, Ernst & Young, IBM and Microsoft. UNDP is working with Microsoft to develop an Innovation Lab in Nepal, following two successful collaborations – the Idea Factory and a post-disaster payment app.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

- Extensive reporting both at global level (Innovation Facility Annual Reviews) and regional level, through regional reports (see section 4.3 above).
- The Innovation Facility uses a “Work Out Loud” approach: through blogging, there is learning shared in real time on successful projects and on failures.
- Feedback on innovation project proposals: The Innovation Team at headquarters and in the regional hubs provides feedback on how funded proposals can be improved to make a greater impact. For shortlisted proposals that will not receive funding the feedback is a bit lighter.

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

- There are regular exchanges between the Innovation Team and the Director of Innovative Partnerships in the External Relationships Office. These exchanges take place in the quarterly meetings with Operations. As a result of these exchanges the Innovation Team has requested new flexible instruments to address the due diligence process with private sector partners in the context of innovation. Innovative Partnerships and the

Innovation Team are working on it.

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (*What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate?*)

- There is a Community of Practice that brings together 600 practitioners from around the World. "In 2013 UNDP established a global network for champions of innovation, to connect, exchange experiences and inspire others" (page 35, 2015 Year in Review).
- UNDP approach to knowledge sharing includes:
 - Examples of innovation initiatives presented in the Annual Reports across all regions and thematic areas.
 - The innovation website features an innovation blog series: (<http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation/resources-for-innovation/innovation-blog-series-.html>)
 - In 2015 UNDP published more than 70 blog posts to highlight ongoing initiatives (page 34, 2015 Year in Review report)
 - The innovation site also features a number of guides and toolkits on innovation: <http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation/resources-for-innovation/guides-and-toolkits.html>
 - The innovation site features: innovation conversations channel on YouTube, Newsletter on Innovation for Development, videos from facility-sponsored initiatives: <http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation/resources-for-innovation/videos-and-more.html>
 - Additional documentation or resources on the Community of Practice: <http://diytoolkit.org/from-troublemakers-to-transformation-leads/>

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

- **How to deal with failure:** "Innovation involves calculated risks. Some ideas will not yield results. But labelling these as "failures" discourages open discussion about what has not worked, and why. This is an impediment to learning, which is an integral part of success. The UNDP Innovation Facility focuses on learning by testing ideas, ultimately improving our performance." From: <https://www.devex.com/news/6-ways-to-innovate-for-development-in-2015-and-beyond-86164>. In a nutshell: we tried sourcing failure stories but failed. We changed course and focus on peer-learning sessions, facilitated by Regional Leads, not by headquarters. So the insight is: move away from a focus on failure and focus instead on learning.
- **Be deliberate on capturing learning.** Separating learning from reporting is not an easy task. Qualitative insights of what people implementing innovation projects learn are not easy to capture, yet there is high value for them.
- **Put the outcome at the centre of the narrative.** The focus in the beginning was on human-centred design and rapid prototyping. This resulted in one-off outcome events without follow up or tracking from NGOs. The lesson is to put the narrative on the outcome to be achieved (rather than the narrative on the solution) on paper from the onset. In other words, planning with outcomes at the centre rather planning with solutions (products/services) at the centre.
- **Mainstreaming is a key challenge.** There are innovation champions in the organization that test new approaches. The issue is how to bring these approaches back to the organization and mainstream them. For this, a clear explicit mandate of the Innovation Team is required. This mandate should be given by the senior management and communicated across the organization.

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

(See 10.1)

Sources:

- Interview with Benjamin Kumpf, Policy Specialist - Innovation at UNDP, and Malika Bhandarkar, UNDP Innovation Facility Coordinator and Fund Manager.
- Interview with George Hodge, Programme Specialist at the Global Pulse Jakarta and prior Programme Development and Social Innovation Specialist at UNDP Country Office in Armenia.
- UNDP Innovation site: <http://www.undp.org/content/undp/en/home/ourwork/development-impact/innovation.html>
- Project Document Innovation Facility 2014.
- Report: UNDP Innovation Facility, 2015 Year in Review -Innovation for 2030.
- Report: UNDP Innovation Facility, Annual Review 2014.
- Evaluation of the Initiative “Knowledge and Innovation in the Europe and CIS Region 2012-2013”. December 2014 (http://www.slideshare.net/undpeuropeandcis/mindlab-evaluation-of-undp-knowledge-and-innovationfinal-evaluation-of-the-knowledge-and-innovation-in-the-europe-and-cis-region-2012-2013-report-with-annexes-included?utm_source=@OurTweets)
- End-of-Year Report. Documenting 2016 Results & Insights. Innovation Facility reporting template.
- Results-Oriented Annual Report (ROAR) 2016 Innovation Section.
- UNDP Innovation Scaling-up checklist
- Remarks by the UNDP Administrator on innovation: [2015 | 2017](#)



UNIN COMPARATIVE TABLE

UN GLOBAL PULSE - PULSE LAB JAKARTA

Information gathered: December 2016 and February 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- The UN Global Pulse is an innovation initiative in itself. Innovation is in its organizational DNA: "Its mission is to accelerate discovery, development and scaled adoption of big data innovation for sustainable development and humanitarian action" (<http://unglobalpulse.org/about-new>). Experimentation and Innovation in big data is at the core of what the UN Global Pulse does.
- The overarching objectives of Global Pulse are to (i) achieve a critical mass of implemented data innovations, (ii) lower systemic barriers to adoption and scaling, and (iii) strengthen the big data innovation ecosystem.

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- The Initiative was established in 2009 to assist the UN to transition development and humanitarian practice and policy implementation to more agile, adaptive ways of working that leverage real-time feedback and the power of data analytics. Pulse Lab Jakarta was established in 2012, as a joint initiative between the United Nations (under UN Global Pulse) and the Government of Indonesia.

1.3 Scoping of what is innovation and what is not innovation *e.g. innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- The UN Global Pulse is set up as a network of labs that focus on data innovation. All the initiatives they work on aim to push boundaries in one way or another. There is thus scoping in what Labs do rather than scoping on innovation initiatives.
- Global Pulse works on cross-sectoral issues, designed to add value and operational impact for the UN system and provide new insights or solutions to programme challenges. Scoping is thus conducted by focusing on such issues – the ones appearing in the website are: *Utilising Twitter analysis techniques to identify priority topics related to the "Post 2015" development agenda* • *Mining public online content for proxy indicators of non-communicable disease risk factors* • *Utilising social media analysis techniques to understand attitudes toward immunisation* • *Analysing anonymised mobile phone data to monitor populations' mobility patterns before, during and after natural disasters* • *Analysing mobile phone data to estimate socioeconomic levels and map vulnerability indicators* • *Utilizing social media mining techniques to add depth to unemployment statistics* • *Comparing official food prices with price quotes published online to gauge inflation in real time*.

1.4 How is the **scoping process** conducted (of what is innovation and what it is not)? And who makes those decisions?

- Each Lab has its own scoping procedures, but in general, each lab sets its own annual research agenda, with strategic priorities agreed with stakeholders. Current applied research projects address wide-ranging topics including: food security, humanitarian logistics, economic well-being, gender discrimination and health (<http://unglobalpulse.org/pulse-labs>).
- The Pulse Lab Jakarta's 2017 Annual Framework, agreed upon by the Joint Steering Committee, features the Thematic Areas of Exploration for the year.
- The Global Pulse Lab network hosts monthly research calls where technical staff peer review one another's proposals and research outputs.

1.5 How are specific issues in need of innovation **selected and prioritized?** (*E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation*)

- Global Pulse explores the innovative use of digital data in five sectors: Public health, food security and agriculture, economic wellbeing, humanitarian action and urban resilience. And it also looks at three cross-cutting fields: digital evaluation, privacy management and the post-2015 agenda baseline (Source: Annual

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| Report 2015, Pulse Lab Jakarta) |
| 1.6 What are the phases, sequence and main elements of the innovation process? |
| <ul style="list-style-type: none"> To date the Global Pulse has focus on ideation and testing (proof of concepts), yet it is starting to move to diffusion and scale up: “(...) it directed its efforts towards transitioning from case studies and proofs of concept to implementation on the ground” (page 4, Global Pulse Annual Report 2015). Challenges and hackathons are used as mechanisms to generate ideas: “(...) always on the lookout for fresh approaches to using data for public good. We use innovation challenges and hackathons to unite problems with problem solvers and unearth solutions from around the world in a way that emphasizes both inclusiveness and outcomes. Global Pulse through its Pulse Labs in Jakarta, Kampala and New York both hosts and supports innovation challenges around the world that advance the field of big data for development (http://unglobalpulse.org/challenges-hackathons). UN Global Pulse Labs in Jakarta and Kampala are set to develop proofs of concept for big data on sustainable development and humanitarian action. Each Lab has a pool of proof of concepts that they work on. In 2015 Global Pulse and its partners completed 17 data innovation projects in support of the Sustainable Development Goals. Five additional projects were initiated and are currently being developed (page 13 Global Pulse 2015 Annual Report). Pulse Lab Jakarta follows an Innovation Lifecycle comprising of four phases: exploration, research project, prototype project and pilot project (see page 9, 2016 Jan-June Progress Report for Pulse Lab Jakarta). However, Pulse Lab Jakarta recognises that the development of many activities does not adhere to these phases in a linear manner. |

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| Area 2. Organizational structure |
| 2.1 Leadership: How is innovation led in the organization? <i>E.g. through innovation sponsors, innovation committees, strategic board on innovation.</i> |
| <ul style="list-style-type: none"> As outlined in the answer to Question 1.1, trying to explore new uses for different data sources and how people make sense of the data is an integral part of how the Lab works. Innovation is not led by any particular focal point or formal structure – it's just a way of working. |
| 2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects) |
| <ul style="list-style-type: none"> Global Pulse functions as a network of innovation labs where research on Big Data for Development is conceived and coordinated (http://unglobalpulse.org/about-new). Each Lab is structured differently. In any case, the innovation function in pulse labs cuts across the organizational structure. The housing of the innovation function is across the organograms. |
| 2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels) |
| <ul style="list-style-type: none"> Global Pulse is organized into a network of Pulse Labs in different regions of the world with a headquarters lab in New York, a lab in Jakarta, Indonesia, and a lab in Kampala, Uganda. The three labs work on two work tracks: (track 1) Innovation driver: data innovation projects; and (track 2) ecosystem catalyst: policy, advocacy and adoption. |
| 2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure? |
| <ul style="list-style-type: none"> Solutions are generated through open innovation challenges or with partners through joint innovation project design (government-partners-Labs) in the Pulse Labs; testing takes place through Pulse Lab projects. Scale-up in Pulse Lab Jakarta (the Lab examined in detail) is in progress in some of the 17 projects tested to date (transition to scale): The Lab in Jakarta has developed successful prototypes and the aim is to hand them over to government or civil society partners. So far, the Executive Office of the President in Indonesia have taken up three of their prototypes. The Lab is in the middle of doing studies to trace the use of their prototypes by partners. Pulse Lab Jakarta is undergoing a learning process on how to integrate the results of open innovation challenges into Pulse Lab projects. The Lab now distinguishes between challenges that aim to net creative |

solutions from a broad range of actors in a certain field, and co-design activities intended to identify partners and concepts that they can work on. (There are recent examples of Pulse Lab Jakarta work in innovation challenges in the GIZ report – Better public service delivery for improving bureaucracy reform. Final Report 2016 – and in the Lab blog: [Big Ideas Competition](#). Examples of co-design activities are available in the blogs on [language processing](#), [image mining](#), and the Lab's [service design work](#)).

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

- The staff in Pulse Labs include a number of specialist roles - typically including data scientists, data analysts, data engineers, visual designers, service designers, partnerships managers, privacy and legal experts and policy liaisons (<http://unglobalpulse.org/pulse-labs>).

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (Core, non-core)

- N/A (*there is no staff with specific responsibilities on innovation – innovation is a cross cutting area of expertise*).

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- In terms of formal expertise on innovation design processes: 7 people out of 24 have expertise in human centred design, user based facilitation and ethnography (Pulse Lab Jakarta).
- In terms of drivers of innovation projects: 2 data scientists, 2 data engineers and 2 programmers (Pulse Lab Jakarta).

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

- When recruiting staff they look for intellectual curiosity, open mindedness, love of learning and high-quality technical skills in their area of expertise (and avoiding people calling themselves experts in innovation).

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

N/A (*innovation is a cross cutting feature*).

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- For the social systems team in Pulse Lab Jakarta: all team members identify skills relevant to their professional development and put up a proposal for training. They also undergo a training course on human-centred design.
- The research team has gone through courses to strengthening data science related capabilities.
- Pulse Lab Jakarta encourages cross-pollination between the two teams (e.g. members of the social systems team take data analytics courses).

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

N/A (*all staff works on data innovation projects; everything they do may be considered innovation*).

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

N/A (*The integration of innovation into strategic frameworks does not apply to Global Pulse since everything the Pulse does is innovation*).

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| 4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.) |
| N/A (<i>same as above</i>). |
| 4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation? |
| N/A (<i>Reporting essentially covers implementation of data innovation projects, there is no specific parts on innovation</i>). |
| 4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs? |
| <ul style="list-style-type: none"> Pulse Lab Jakarta (PLJ) does external reviews, and is audited as part of the UNDP general annual audit (PLJ uses UNDP's project services). In December 2016 Pulse Lab Jakarta was in the middle of documenting the use of the prototypes that they had developed and funded, including those that had not worked. The Lab planned to complete this documenting process by the end of January 2017. |
| 4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes? |
| <ul style="list-style-type: none"> Scale-up of successful tested data innovation projects has not yet occurred. The Annual Report 2015 mentions that there is a transition from case studies and proofs of concept to implementation (diffusion and scale up phases). |

| Area 5. Monitoring and evaluation |
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| 5.1 M&E systems: How is innovation integrated in the organization's M&E systems? |
| N/A |
| 5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed? |
| N/A (<i>all projects implemented are data innovation projects; innovativeness is assumed</i>). |
| 5.3 Monitoring: How are innovation interventions/solutions monitored? (<i>What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism</i>) |
| <ul style="list-style-type: none"> Pulse Lab Jakarta is currently developing an M&E Framework for the Lab. |
| 5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (<i>What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?</i>) |
| <ul style="list-style-type: none"> There are no evaluations publicly available on current innovation projects. Pulse Lab Jakarta has a two-track implementation strategy. Track one is Data Innovation Projects, which includes inter alia: "Develop toolkits, applications and platforms to improve data-driven decision-making and support evaluation of promising solutions" (http://unglobalpulse.org/about-new). At the time of the interview in December 2016, work was in progress in relation to the design of evaluations for promising solutions. |

| Area 6. Funding frameworks |
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| 6.1 Strategy: What is the funding strategy/approach for innovation in the organization? |
| N/A (<i>Since Global Pulse is an innovation initiative, all funding is directed to innovation – there is no specific funding strategy for innovation</i>). |
| 6.2 Sources: What are the main sources to fund innovation and what do they fund? (<i>What is funded through core funds? non-core funds? and through both?</i>) |

- All funding is non-core.
- Global Pulse is funded through voluntary contributions from UN Member States, foundations and the private sector. Past and current donors include: the governments of Australia, Denmark, Sweden, United Kingdom and

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| <p>the Rockefeller Foundation (UN Global Pulse Information Sheet).</p> <ul style="list-style-type: none"> • UN Agencies have contributed with facilities and staff (namely, WFP, UNDP and UNICEF) (UN Global Pulse Information Sheet). • Page 35 of the Global Pulse 2015 Annual Report provides a list of all the donors to the Global Pulse New York, to the Pulse Lab Jakarta and to the Pulse Lab Kampala. |
| 6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)? |
| <ul style="list-style-type: none"> • Pulse Lab Jakarta activities are mostly funded by the Department of Foreign Affairs and Trade (DFAT) of Australia. • Pulse Lab Jakarta operational funds come from a core grant by the government of Australia. • A small grant from GIZ funds activities related to innovation in public services. |
| 6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case? |
| N/A (<i>It is very difficult to do this kind of breakdown, as most of the input is in person hours/technical expertise and everything the Labs do is related to innovation.</i>) |

Area 7. Innovation Funds structure and functioning (if applicable)

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| 7.1 Rationale: What is the rationale of the innovation fund? (What does it fund, why and what for? - <i>including what innovation stages are covered by the Fund</i>) |
| N/A (<i>Global Pulse does not have an innovation fund</i>). |
| 7.2 Management process: What is the management process from goal setting to allocation of funds? (<i>Brief description; voting, call for proposals, selection phases</i>) |
| <ul style="list-style-type: none"> • Allocation of funds mechanisms, are applied in open innovation challenges, and in such challenges there are management and governance mechanisms e.g. The Big Data Climate Challenge in 2014, benefited from the expert assistance and advice of an Advisory Board and Technical Committee who provided ad-hoc support and evaluated submissions (http://www.unglobalpulse.org/big-data-climate-challenge-2014). |
| 7.3 Governance: What governance mechanisms are in place? (<i>Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects</i>) |
| N/A <i>for innovation funds</i> . |
| <ul style="list-style-type: none"> • In Challenges governance mechanisms are put in place and explain in guidelines for applicants available through Internet e.g. the big ideas competition for sustainable cities and urban communities 2016 (http://www.slideshare.net/PulseLabJakarta/big-ideas-competition-booklet). |
| 7.4 Selection: What are the project selection criteria to award innovation projects (<i>rationale, allocations - including funding caps</i>)? How are these criteria communicated to the participants? Are they integrated in guidelines? |
| N/A <i>for innovation funds</i> . |
| <ul style="list-style-type: none"> • In Challenges criteria are integrated in guidelines for applicants. |
| 7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels) |
| N/A <i>for innovation funds</i> . |
| <ul style="list-style-type: none"> • When it comes to Challenges: there are global (New York based) and regional challenges (organized by the regional Pulse Labs). |

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, development of solutions, scale -ups, etc.*)

- Partnerships both at the global and country levels are considered a key component for joint innovation in the Pulse Labs (<http://unglobalpulse.org/partnerships>).
- There are four ways in which partners can collaborate with Global Pulse and its network of Global Pulse Labs: (1) Data philanthropy; (2) Technology; (3) Expertise (making experts available); and (4) Sponsorship.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- Page 34 of the UN Global Pulse 2015 Annual Report provides a list of main partners and collaborators by group i.e. private sector companies and networks, academic institutions and governments and international organizations. Some examples are:
- Private sector companies and networks include, among others Amazon Web Services, Crimson Hexagon, DataSift, Mediatrac, Microsoft, Orange, Planet Labs, Knowledge Sector Initiative (KSI); Academic Institutions include Makerere University, New York University's GovLab and Polytechnic School of Engineering, The University of Cambridge, University of Leiden; and Government and international organizations include the Government of Ghana, Government of the Republic of Korea, Government of Zimbabwe, the Australian Department of Foreign Affairs and Trade (DFAT) and its programs, GIZ and the World Bank, among others.

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

- There was a partnership coordinator in the Pulse Lab Jakarta in charge to developing collaborative partnerships that would support the Lab's research agenda. At present developing partnerships is integrated in the roles of 5 senior members.
- Government liaison officers working at the Lab coordinate with Government counterparts on day-to-day arrangements.

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- For anything related to data sharing the Pulse Lab uses mutual non-disclosure agreements.
- Other partnerships are informal in nature. They agree to collaborate and set out a scope. The Lab formalises partnerships when is legally required.
- Working partnerships are developed on activity basis.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- A due diligence procedure takes place. The Lab needs to sign a mutual non-disclosure agreement.
- When related to data there are data privacy principles both parties have to adhere to. There are also data protocols to be agreed upon e.g. what can be accessed, where, what is the scope, what can or cannot be published, etc.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions?*)

- One of the objectives of the UN Global Pulse is to "Achieve a critical mass of implemented innovations" (<http://unglobalpulse.org/about-new>).
- Failure is reportedly documented: "Successes and failures were documented in case studies and tools to help structure continued thinking about data innovation" (page 4, Global Pulse Annual Report 2015). At the time of the interview with the Pulse Lab in December 2016 they were developing case studies for the winners of the data innovation grants. Cases of failure are indirectly mentioned in the blog on the lessons of the mini grants: <https://medium.com/@PLJ/data-innovation-mini-grants-what-we-learned-one-year-on->

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| 112806342060#.hrmykld3x). |
| 9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated? |
| <ul style="list-style-type: none"> • Most of the tools and methods they develop at the Pulse Lab Jakarta are targeted for the use of policy makers. • There is an internal knowledge management systems at the Lab operated through Google Drive. • No examples of links to South-South Cooperation yet (in the Pulse Lab Jakarta). An example of recent progress in this regard is the collaboration of the Jakarta Pulse Lab with UNDP Sri Lanka: https://medium.com/pulse-lab-jakarta/an-island-that-punches-above-its-weight-1c34c57d4c85. |

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| Area 10. Insights |
| 10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (<i>Things that did not work, suggestions on musts and must nots</i>) |
| <ul style="list-style-type: none"> • Have a clear filtering process for ideas to embark on. Innovation challenges generate high levels of excitement that sometimes led to solutions that do not get anywhere. The learning is thus that it is very important to get better at filtering new ideas. • Some of the learning on the implementation of the Data Innovation Mini Grant Competition have been published in: https://medium.com/@PLJ/data-innovation-mini-grants-what-we-learned-one-year-on-112806342060#.hrmykld3x • A reflection on Pulse Lab Jakarta's overall journey and lessons learned is published here: http://www.nesta.org.uk/blog/navigating-indonesias-data-innovation-ecosystem-reflection |
| 10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization? |
| <ul style="list-style-type: none"> • Recruit people with solid technical skills who are open minded and eager to learn. • Promote interaction between teams of different expertise to encourage the cross pollination of ideas. • Encourage people to pursue their intellectual interest and integrate it into their work. |

Sources:

- Interview with George Hodge, Programme Specialist at Pulse Lab Jakarta.
- Interview with Diastika Rahwidiati, Deputy Head of Office for Pulse Lab Jakarta.
- UN Global Pulse Information Sheet (http://www.un.org/millenniumgoals/pdf/GP%20Backgrounder-General2013_Sept2013.pdf)
- UN Global Pulse Strategy and roadmap (<http://unstats.un.org/unsd/trade/events/2014/beijing/documents/globalpulse/UN%20Global%20Pulse.pdf>)
- Global Pulse. Annual Report 2015 (http://unglobalpulse.org/sites/default/files/Global%20Pulse%202015%20Annual%20Report_final%20spreads.pdf)
- Annual Report 2015. Harnessing big data for development and humanitarian action. Pulse Lab Jakarta (https://issuu.com/pulsejakarta/docs/final_annual_report_2015_page)
- Pulse Lab Jakarta. Six-monthly progress report. July- December 2015.
- Pulse Lab Jakarta. Six-monthly progress report. January-June 2016.
- Better public service delivery for improving bureaucracy reform. Final Report 2016. GIZ.
- <http://unglobalpulse.org/news/winners-big-ideas-competition-sustainable-cities-and-urban-communities-announced>.

**UNIN COMPARATIVE TABLE****United National High Commissioner for Refugees (UNHCR)****Information gathered:** December 2016 and February 2017**Area 1. Innovation: Definition institutional vision and scope**

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- UNHCR Innovation constantly seeks creative solutions to the challenges faced by uprooted or stateless people worldwide. UNHCR Innovation, embedded within UNHCR's Geneva headquarters, makes it its mission to rethink the way the organization operates.
- Innovation in UNHCR is defined on the innovation website as: "Innovating with and for refugees" for this the UNHCRs innovation Unit "collaborates with UNHCR divisions, refugees, academia, and the private sector to creatively address refugee challenges".
- The website adds a description to each of the innovation approaches UNHCR has:
 - Innovation Labs: "UNHCR applies principles of Human Centered Design and prototyping to address complex refugee challenges".
 - Innovation Projects: "projects that focus on refugees needs at each stage of the project design process are prototyped and tested in UNHCR operations worldwide".
 - Innovative Ideas: "UNHCRs online crowd-sourced ideas platform generates ideas from refugee communities, UNHCR staff and partners".
- Innovation can come from the creativity and diversity of the staff at UNHCR. This is embodied in the Innovation Fellowship program in UNHCR.

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- Innovation in UNHCR began in September 2011, when the agency secured seed funds for initial ideas.
- In February 2012, the Senior Management Committee approved innovation as a concept.
- The official launch of innovation occurred in April 2012. In the same year UNHCR launched an innovation inter-divisional working group. The initiative came from the executive direction (high level sponsorship).
- The vision, goals and methodology were established in November 2012 and the first innovation project was launched in the field offices in the same year. Also in 2012, the first innovation lab was launched (the Learn Lab).
- In 2014 a roadmap on innovation was designed based on 5 pillars:
 1. Establishing innovation labs to ideate projects.
 2. Building staff capacity through a fellowship program of 12-month for 20-30 staff each year.
 3. Engaging dialogue and ideas sharing among UNHCR staff and the broader humanitarian community.
 4. Developing new innovation partnerships to leverage expertise.
 5. And an innovation fund that supports innovation projects within UNHCR.
- The Innovation Unit in UNHCR was established in December 2014. In July 2016, Innovation assumed responsibility for the Connectivity for Refugees (CfR) project.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures,*

commodities supply, procurement)

- The Innovation team identifies creative solutions to refugee problems, within UNHCR and throughout the private sector, and helps implement these new methods in the field. They have recently collaborated with IKEA to create flat-packed houses, with UPS to create tracking systems for relief supplies, and with numerous other external partners.
- The innovation vision of UNHCR, as established in the UNHCR innovation document of 2014, is: "a way to increase the staff creativity and capacity to provide solutions; increase effectiveness and efficiency by creating an environment where innovation is fostered, captured and rewarded; and to increase refugees dignity and empowerment investing, incubating and facilitating ideas from and with them".

Some examples of innovation activities include (see section 8.2 for more examples):

- Facilitated the testing and assessment of energy efficient systems including solar streetlights and fuel-efficient wood burning stoves. Supported field operations with the continued piloting of non-traditional energy delivery models such as Pay-As-You-Go (PAYG) solar household energy devices.
- Currently testing the viability of the use of drones in emergency settings for mapping, surveys, assessing connectivity and remote deliveries. This has included the deployment of staff in recent emergencies including Uganda and Niger.
- Using big data sourced from social media to analyze public sentiment following terrorist attacks including the most recent incident in Berlin where Six million comments were computed.

1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?

- The Innovation Unit works together with the different divisions and units in UNHCR to manage the scoping process (e.g. the scope of the Learn Lab is defined together with the Innovation Unit and UNHCR's Division of International Protection).
- The Innovation Unit is the coordination management of the 5-pillar approach (see 1.2).
- The innovation Unit:
 - Looks at innovations already happening in the organization - and amplifies them.
 - Connects those innovations / innovators within UNHCR to resources, to external partners and to mentors.
 - Explores and adapts innovations happening outside of UNHCR to refugee specific contexts.
- UNHCR Ideas is UNHCR crowd-sourcing platform to identify new and existing solutions to refugee challenges. Since the launch of the platform in late 2013 more than 6,800 active users have collaborated on new and existing ideas to solve 13 different humanitarian challenges. 1,300 ideas have been added to the platform, and have included over 9,700 comments and 11,700 votes.

1.5 How are specific issues in need of innovation selected and prioritized? (E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation)

- The UNHCR Innovation Unit manages three different mechanisms to promote innovation in the organization:
 1. Innovation labs, which follow a thematic approach: Emergency, Learn, Link and Energy. Each lab is linked to a division in UNHCR (i.e. The Energy Lab UNHCR innovation and UNHCR Division of Program Support and Management). Any division can present a project to any of the labs. The various divisions together with the innovation Unit select and prioritize projects.
 2. Crowdsourcing: any UNHCR division can pose a *challenge*; the solution is then opened to partners, UNHCR staff, and refugees. A panel of experts from UNHCR decides the top ideas and selects the final idea, which is then prototyped and tested.
 3. Innovation Fund: a funding mechanism for innovative ideas for UNHCR staff, based on open calls for proposals (see 7.1).

1.6 What are the phases, sequence and main elements of the innovation process?

The mission of UNHCR as established in the *UNHCR innovation document of 2014* is:

- To amplify innovations already happening in the field.
- To connect likeminded innovators within UNHCR to time and resources.
- To explore the knowledge and expertise existing outside UNHCR.

On the other hand, the *UNHCR innovation document of 2014* identifies the following the sequence for innovation projects: (1) Defining challenge; (2) identify solutions; (3) Test solutions; (4) Refine solutions; and (5) Scale solutions.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? *E.g. through innovation sponsors, innovation committees, strategic board on innovation.*

- The UNHCR Innovation Unit is housed in the Executive Office.
- The Innovation Unit does not own innovation; the unit sets the conditions for innovation to happen.
- Each lab is linked to one of the UNHCRs divisions and decides the scope of the innovations.
- UNHCR staff that graduate from the Fellowship program become innovation champions for the organization.

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- Innovation is hosted in the High Commissioner Executive Office.
- Reporting is directly to the Deputy High Commissioner.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels)

- Any division can access the Innovation Fund, the Labs or the crowd-sourcing platform.
- The innovation Labs are not tied to any geographical location. The focus is on thematic areas: energy or education (for example). The Labs develop prototypes and tests of innovative projects on different ideas based on thematic approaches and depending on operational needs and context (text based on the innovation website: Labs).

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- The Innovation Labs are responsible for project ideation, testing and scale up.
- The crowd-sourcing platform has a panel of experts in UNHCR and partner organizations to decide on projects.
- The Innovation Fund has one manager.

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

Innovation has a number of specialist staff, who work in the following areas:

- Energy & the environment (1 staff member works 50% with the Division of Programme Support and Management (DPSM);
- Data Management (1 staff, has been focal point on UPS Relief Link, 50% funded by the Division of Information Systems and Telecoms (DIST);
- Education (1 staff member based in Nairobi and co-supervised by the Division of International Protection (DIP);
- Communicating with Communities/Emergency (2 staff, 1 covered by the Division of Emergency, Security and Supply (DESS);
- Connectivity for Refugees (3 staff, 1 based in US, 1 with DIST);
- Financial Technology (1 staff working remotely);
- Innovation Fellowships (1 staff located in Budapest);
- Engagement/Forecasting Strategy (2 staff);
- Head of Innovation (D1) and Deputy (P4);
- Admin/Program (Budapest).

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (*Core, non-core*)

- The IKEA foundation has funded the Energy Lab coordinator position in the UNHCR innovation office and also the Innovation Fund manager.
- Core funds from the organization are allocated for the Innovation Unit.

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- The mission of UNHCR, as established in the UNHCR innovation document of 2014 includes the need to explore the knowledge and expertise existing outside UNHCR. For this, partnerships with academia and private sector are developed to leverage expertise in the areas unknown for UNHCR.

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

N/A

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

N/A

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- Innovation Fellowship: 12 month program for staff or affiliate contracts to understand the innovation process and some designing methods. The fellows can be in country level or headquarters.
- Webinars on concrete aspects of innovation (monthly).
- Core competency learning program (CCLP) held once a year together with the Innovation Unit and the Global Learning Centre (GLC) in UNHCR (learn lab information).

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives*,

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| <i>recognition & rewards, risk-taking)</i> |
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| N/A |
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Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- Innovation is included, indirectly, as a way of doing things (reflected often as an adjective).
- Innovation approaches are included into “Actions”, which are subsumed under each (strategic) “goal”.
- Under Goal 1 on Preparedness and Diversity there is an Action specified as: “Develop innovative and practical approaches to close short and long-term capacity gaps”.
- Under Goal 2 on Performance and Competence there is an Action specified as: “Continue to develop learning options, addressing a range of functional areas and competencies and utilizing innovative formats and technologies to bring learning closer to learners”.
- Also under the same goal there is a mention on managers’ responsibilities when it comes to innovation: “Managers bear a particular responsibility for fostering a culture of trust, transparency, honesty, dialogue, collaboration and innovation”.

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- The five pillars of worn on innovation, are an extra component to programmes and interventions in regional and country programmes.
- The Labs and the Innovation Fund complement country and regional programmes. Labs and Fund focus on activities that are sometimes not prioritized but could yield future high impact solutions.

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

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| N/A |
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4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

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| N/A |
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4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

- Innovation Labs are also a space from which the scaling of good practices can emerge. Scaling often encompasses challenges, but also opportunities. Successful scaling would normally take communication, policy, and budget(s) into account.

Area 5. Monitoring and evaluation

5.1 M&E systems: How is innovation integrated in the organization’s M&E systems?

(Based on UNHCR’s Results Framework covering the period 2013-2014).

- Under the objective “Security management reinforced as an organizational culture” there is an associated indicator formulated as “Innovations introduced to increase effectiveness of security training”.
- Under the objective “Capacities, skills and knowledge fostered and developed” there is an indicator formulated as “Innovative training delivery methodologies and mechanisms implemented”.

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

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| N/A |
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| 5.3 Monitoring: How are innovation interventions/solutions monitored? (<i>What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism</i>) |
| <ul style="list-style-type: none"> • Each Innovation lab has posed measuring questions that can help understand the progress of the projects. E.g. for the Learn lab, progress was measured as: <ol style="list-style-type: none"> 1. Community driven design: the extent to which the design process was done with the user. 2. Challenge focused: the extent to which the solution addresses the specific challenge. 3. Educational Impact: the degree to which the solution contributes to improving educational quality. 4. Scaling solutions: requests from other locations to adapt solutions for use in their context (from UNHCR innovation report document). |
| 5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (<i>What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?</i>) |
| N/A |

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| Area 6. Funding frameworks |
| 6.1 Strategy: What is the funding strategy/approach for innovation in the organization? |
| <ul style="list-style-type: none"> • Innovation was initially funded from cored funds and in partnership with the IKEA Foundation (co-funded 50/50). • UNHCR allocates core funds to innovation initiatives, which also leverages financial funding from the private sector. |
| 6.2 Sources: What are the main sources to fund innovation and what do they fund? (<i>What is funded through core funds? non-core funds? and through both?</i>) |
| <ul style="list-style-type: none"> • Ikea Foundation covered the initial 50% of the initial two-year budget (2012-2014). • From 2013-2014 UNHCR fixed a core budget of \$282.000 USD for the Innovation Unit. • From 2013-2014 UNHCR raised more than \$800.000 USD from the private sector. • Private sector (UPS, Hewlett Packard, Hunt Family, IKEA Foundation). |
| 6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)? |
| A number of different mechanisms on a range of levels. |
| 6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (<i>Ideation, testing/proof of concept and scale up</i>)? And what is the origin of the resources in each case? |
| Case by case basis, depending upon ownership, budgetary space. |

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| Area 7. Innovation Funds structure and functioning (if applicable) |
| 7.1 Rationale: What is the rationale of the innovation fund? (<i>What does it fund, why and what for? - including what innovation stages are covered by the Fund</i>) |
| <ul style="list-style-type: none"> • In 2016, the Service launched the Innovation Fund, which was entirely funded by the IKEA Foundation, which started with a multi-milliondollar initial investment and continues to grow. This |

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| <p>fund enables and facilitates the prototyping, testing, and production of new, creative solutions to the challenges faced by refugees and the forcibly displaced. The Fund provides AOL space in order to provide incentives for novel initiatives and innovation risk-taking.</p> <ul style="list-style-type: none"> The Fund looks for funding mechanisms to drive innovation in UNHCR operations. The Fund provides seed funding to innovators for design, testing and also scaling up of innovative solutions. The Innovation Fund is designed based on the seed-funding model of the startup world to facilitate the development of solutions “for UNHCR operations, units and bureaus by providing funding to innovators who wish to design, test or scale up their ideas” (UNHCR innovation website). It is also an additional source of funding for UNHCR operations to focus on activities that would normally not be prioritized in emergency contexts, such as research and development. The Fund provides a safe budgetary space to encourage the UNHCR staff to take chances and “extend the permission to fail” (innovation website). The Fund is resourced by the IKEA foundation. |
| 7.2 Management process: What is the management process from goal setting to allocation of funds? (<i>Brief description; voting, call for proposals, selection phases</i>) |
| <ul style="list-style-type: none"> The calls for proposals are either global or regional (internal to UNHCR staff). The first call for proposals was launched in June 2016 (one month to present projects). A total amount of USD 3.5million was received from all applications. There is a cap of USD60,000 per proposal. |
| 7.3 Governance: What governance mechanisms are in place? (<i>Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects</i>) |
| <ul style="list-style-type: none"> This varies depending upon the partner, but UNHCR is also accountable to their constituents as well as the international community – in no different way than to the rest of UNHCR. |
| 7.4 Selection: What are the project selection criteria to award innovation projects (<i>rationale, allocations - including funding caps</i>)? How are these criteria communicated to the participants? Are they integrated in guidelines? |
| <ul style="list-style-type: none"> Selection criteria's are: Type of challenge addressed; innovative tools and techniques incorporated in the proposal (new or new to the context); the prioritization of the issue at stake; design with the user (refugees); feasibility; potential impact; and mainstreaming of the innovation into daily operations on a long term base. |
| 7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels) |
| N/A |

| Area 8. Partnerships |
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| 8.1 Rationale and scope: what are partnerships used for and when? (<i>Ideation, development of solutions, scale -ups, etc.</i>) |
| <ul style="list-style-type: none"> The Innovation Service sees the role of partners as paramount to its work. Recognizing that some of the best innovations have already been developed by the private sector, the Service seeks to partner with companies and academic institutions to adopt existing innovations to the refugee context or develop innovative solutions together. |
| 8.2 Partners: Who are the main partners in innovation and in what sectors? |
| <ul style="list-style-type: none"> Field challenges have attracted many new partnerships, including for example: Stanford University, UPS Foundation, the IKEA Foundation, Google, Facebook, Oxford University's Humanitarian Innovation Project, sister UN agency Innovation teams. Global challenges have brought new |

partnerships with the United Nations Foundation, IDEO.org. In addition recent outreach and linkages include:

- The World Economic Forum's (WEF) "Internet for All" where UNHCR has been invited to be a member of its steering committee;
- The World Bank's "Fragility, Conflict and Violence" – interested in our predictive analytic work, social media analysis;
- The IKEA Group (Future Planning) and Bank NYM – use of Artificial Intelligence (AI), business management, the digital workplace, blockchain etc.;
- Accenture on connectivity – the CfR report was produced in collaboration with Accenture;
- Communicating with Disaster Affected (CDAC) Network, including co-facilitating a side event at the World Humanitarian Summit focusing on the role of innovative partnerships and leading an inter-agency training with communications actors in South Sudan;
- Deutsche Telecom is interested in working with Innovation on our Communicating with Communities project.

In addition to this recent partnerships, UNHCR has worked with:

Private sector:

- Work closely with the IKEA Foundation (who provided initial funding to Innovation) in relation to the Refugee Housing Unit (RHU), as well as supporting the Innovation Fund;
- Partner with UPS to pilot "Relief Link" which aimed to better manage the distribution of assistance in refugee camps;
- Partner with Vodafone Foundation to deploy 30 "Instant Network Classrooms" and to explore ways in which to expand access to digital education: Deployed in Kenya (6 Kakuma, 13 Dadaab), Tanzania (6 Nyarugusu), DRC (2 Mole, 1 Boyabu) and South Sudan (2 Ajuong Thok).
- Partnered with Google and ThoughtWorks to develop a bespoke mobile translation App for sharing critical information in Emergencies, with field testing in fYR Macedonia. Strengthened the implementation of inter-agency feedback mechanisms to improve accountability in emergencies, including establishing an online data collection mechanism in fYR Macedonia, remote support to a humanitarian hotline in Yemen, piloting in Uganda and ongoing inter-agency research with UNOCHA, ICRC and IOM.
- Strengthened connectivity for refugees through partnerships with Mobile Network Operators and telecommunication actors, including Airtel, Zain, Vodafone and Orange across a range of operations and emergencies; including the South Sudan Situation and Europe. UNHCR provided a business case to three Mobile Network Operators (MNO) to install 2G-3G towers in Bidi Bidi camp in Uganda.

Academia:

- Stanford University; University of Oxford (Refugee Studies Centre); and Columbia University.
- Convened a Consortium for partners and universities supporting Connected Learning; which provided accredited higher education programs through online and through onsite coaching. Programs are currently reaching over 5,000 refugee students.

NGOs

- Worked with Libraries Without Borders to expand the use of the Ideas Box, a mobile multimedia library and cultural center, in 7 countries: Burundi (3), Ethiopia (1), Jordan (3), Lebanon (1), France (1), Germany (1), Greece (1).

UN AGENCIES

- Other UN agencies such as UNICEF, with whom UNHCR has launched a humanitarian education accelerator facility (funded by DFID) <http://www.he-accelerator.org/>

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| <ul style="list-style-type: none"> Partnership with UNICEF and DFID to establish the first Humanitarian Education Accelerator to support and evaluate education innovations during the scaling process. The first cohort, consists of 3 partners working in 5 countries. The programs aim to refine and expand use of a mobile game to support early childhood numeracy development, a tertiary education initiative based in the Kiziba Refugee Camp, and a remedial program helping to keep girls in school in Kenya. |
| 8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from? |
| <ul style="list-style-type: none"> The IKEA foundation has funded the Energy Lab coordinator position in the UNHCR innovation office and also the funding for the Innovation Fund. |
| 8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific? |
| (Included in all the sections above). |
| 8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms) |
| N/A |

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| Area 9. Learning from innovation |
| 9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (<i>Especially for failed projects / solutions</i>)? |
| <ul style="list-style-type: none"> UNHCR provides updated information on the website through the blog (with personal opinions and learning from innovators), and also by posting up to date information on innovation projects. Project Case Studies are easily communicated on the webpage based on the process of the innovation solution: 1. Define, 2. Identify, 3. Test, 4. Refine, 5. Scale. |
| 9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated? |
| N/A |
| 9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (<i>What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate</i>) |
| <ul style="list-style-type: none"> One of the key elements in order to ensure a bottom-up approach is via the Innovation Fellowship. Over the past two years some 60 UNHCR staff have participated in the year-long training program through a competitive application process. Innovation Fellows define a challenge unique to their field operations or divisions, and develop, test, and prototype a solution to the defined challenge. They are trained in human-centered design and prototyping principles, and are connected to mentorship and funding for refining their innovative solutions. The programme also aims to facilitate longer term change management as it encourages Fellows to be innovative in their current and future roles. Another 25 staff about to commence the 2017 Fellowship where an emphasis will be on staff mentoring refugees and providing the catalyst to be innovative in refugee settings. UNHCR Innovation is also supporting a pilot with MIT D-Lab to establish a number of refugee innovation centres in Africa. The Service experiments with new ways to engage and converse with refugees, the public, partners, and UNHCR staff by utilizing contemporary digital communications tools and platforms. The Service prioritizes the voices of refugees in UNHCR's narrative on refugee challenges by inviting refugees around the world to blog on UNHCR's subdomain dedicated to innovation, innovation.unhcr.org, and converse with UNHCR's social media audiences through Twitter and other social media platforms. |

Another area of focus for this pillar is engaging UNHCR staff and refugee communities to collaborate in solving refugee challenges. This is done through an online idea management platform called UNHCR Ideas, which provides a space for staff and refugees to submit innovative ideas for solutions to some of the biggest challenges impacting refugee communities.

- Through social media platforms: twitter (twitter chats), Facebook, LinkedIn. Google Hangouts (e.g. in 2014 the Innovation Unit launched a Google Hangout series on humanitarian innovation).
- Crowd-sourcing challenges and getting ideas for solutions from UNHCR staff and partners. (unhcrideas.org).
- The web itself (Innovation.unhcr.org) has many documents and case studies on innovation projects of UNHCR.
- Humanitarian Innovation Jam in Uganda, Kampala on 21-23rd March 2016 was an event to exchange innovation in emergency contexts <http://hij.unhcrinnovation.org/> with the theme: Local challenges. Local solutions.
- Webinars are organized for staff.

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

N/A

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

N/A

Sources:

- Interview with Chris Earney, Innovation Deputy in UNCHR.
- UNHCR Innovation report: UNHCR Standing Committee 5th March 2014: <http://www.unhcr.org/5319ddb39.pdf>
- UNHCR innovation web site (5 pillars of work): <http://innovation.unhcr.org/>
- Antonio Guterres UNHCR high commissioner for refugees: innovation is necessary: <http://innovation.unhcr.org/about-us/>
- Launching of the innovation fund: <http://innovation.unhcr.org/unhcr-launches-fund-drive-innovation-operations/>
- UNHCR strategic Plan: <http://www.unhcr.org/55f97a9f9.pdf>
- Twitter: @unhcrinnovation (17,620 followers) Facebook + LinkedIn
- UNINnetwork meeting (input given by UNHCR)
- Launched humanitarian education accelerator with UNICEF funded by DFID - looking for proposals <http://www.he-accelerator.org/>
- Document facilitated by the Innovation co-Lead in UNHCR: "UNHCR Innovation overview" on the 23rd of June 2017.



UNIN COMPARATIVE TABLE

United Nations International Children's Emergency Fund (UNICEF)

Information gathered: December 2016 and February 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- Innovation at UNICEF is doing something new or different that adds value (UNICEF Innovation Narrative, 2016).
- UNICEF innovates in order to stay agile and find solutions to the evolving challenges affecting all children (<https://www.unicef.org/innovation>).
- “Innovation at UNICEF is something new or different that adds value. UNICEF innovates to accelerate results that reduce inequities for children” (Innovations at UNICEF Product Catalogue).
- “UNICEF needs to be agile and adapt to the evolving challenges affecting all children. (...) The speed at which these problems disrupt the lives of children worldwide is only getting faster. To address these problems, UNICEF works with a network of global problem solvers who can find new ways to accelerate results that reduce inequities for children” (UNICEF Innovation Narrative, 2016).
- Innovation at UNICEF Supply Division: “Product Innovation is about *fit for purpose* and *value for money* supplies that have a positive impact on children.”
- To the UNICEF Supply Division, a Product Innovation Project is: “A project where UNICEF has an active role in developing and/or field trialling a new or improved product”.

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- “UNICEF has a history of innovating for children for nearly 70 years, with solutions like the MUAC band, oral rehydration salts, and the Mark II Handpump” (Innovations at UNICEF Product Catalogue).
- UNICEF has innovated for many years, yet innovation started to be institutionally put together in a systematic manner starting in 2004-2005, with a push from the Communication Office in New York, who started supporting the testing of specific projects to tap on the possibilities of mobile phone use in East Africa. Work in Uganda followed with rapid SMS and associated real time monitoring. From Uganda, innovation work moved to Rwanda and in 2014 it covered 15 countries. In 2015 from 15 to 29 countries and to 45 in 2016.
- Later on the explicit support from the Executive Director meant an institutional push and innovation became a key driver of the UNICEF strategy.
- In 2016, Office of Innovation (division-level) established under Director of Innovation, Cynthia McCaffrey.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- “UNICEF uses innovation to create solutions that strengthen our work in child protection, health, education, WASH, and other areas, bringing essential services to the world’s most vulnerable children. Innovations range from new ways to structure programmes to new products and technologies” (UNICEF Innovation Narrative, 2016).
- There is a particular focus on technology. The Office of Innovation focuses on technology and on how to tap on innovative technologies to create solutions for vulnerable children. “While UNICEF is looking into a broad spectrum of innovative initiatives, it recognizes the importance of information and communication technology (ICT) as a driver of innovation and is testing several possible applications” (Revised Supplementary Programme Note on the Theory of Change).

- Innovations range from new ways to structure programmes to new products and technologies (<https://www.unicef.org/innovation/>). Examples of innovation products that are not technology based (found in the Innovation at UNICEF Product Catalogue, 2015) include for example, the By Youth for Youth (BYFY): a programme, originally developed by the UNICEF Kosovo Innovation Lab, to empower young people to be social innovators by providing mentorship, tools and seed funding to innovative solutions that are selected in a pitching contest. The BYFY programme developed an UPSHIFT methodology that is now being scaled in a number of countries: <http://unicefstories.org/2017/03/29/21st-century-skills-for-all/>. An example of product innovation led by the Supply Division Innovation Unit in Copenhagen include: The primary school furniture design and procurement guideline is an innovation solution focused on building school material built with local people and with locally available materials. Secondly to develop a local procurement guideline that covers all aspects of furniture planning such as design, production, delivery and maintenance. More recent examples may be found in: https://www.unicef.org/innovation/innovation_81416.html.
- “UNICEF works to ensure that innovators are aware of and encouraged to address the rights and needs of children, especially those who are most disadvantaged. UNICEF helps to identify the most promising innovations for application in different contexts, supporting partners to adopt, adapt and scale up the approaches that are most useful and to quickly identify those that are not (paragraph 43 of the Strategic Plan and page 89 of the Revised Supplementary Programme Note on the Theory of Change).
- The Office of Innovation and Innovation Labs focus on the following main areas: 1. Real- time Information; 2. Youth Empowerment; 3. Access to Information; and 4. Infrastructure. In addition, the Supply Division Innovation Unit focuses on: 5. Product Innovation (improving physical product design).
- Innovative solutions have been developed across UNICEF’s strategic priorities focused on solutions that provide:

At scale across several regions and sectors:

- Real – time information (mainly open source software that can be integrated in mobile apps) through the RapidPro suite of tools.
- Transparency and Accountability (mainly open source software that can be integrated in mobile apps), including U-Report with over 3.5M users.
- Access to information (mainly open source software that can be integrated in mobile apps or other hardware technology), including the Internet of Good Things.

At early-stage pilots:

- Big data and its use for operational insights to support responses to epidemics, natural disasters and socioeconomic mapping through the MagicBox.
- Drones and Unmanned Aerial Vehicles (UAV).
- Open educational resources and platforms, specifically for children on the move.
- Other pilot areas include: Virtual/augmented reality, blockchain, artificial intelligence, wearables and sensors and new financial systems.

Processes and partnerships:

- Supply Division (new ways of designing procurement guidelines).
- Innovation Fund – venture fund that provides seed funding and investments to early-stage start-ups in UNICEF programme countries with a return through open source IP.
- Significant, multi-layered partnerships with technology companies, including ARM Holdings.

1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?

- The Innovation Fund is one of the main mechanisms to scope and support emerging innovations. The Fund focuses on supporting the generation of open source public goods that address the most pressing challenges facing children. It invests in open-source technological solutions in start-ups registered in UNICEF’s programme countries and in UNICEF’s country offices. The Fund invests in solutions have a working prototype – companies or country offices have been running the project for a while - and the solution shows some positive indicators - but funding is needed to take the project to a level where it can really attract additional investment and funding by generating real data.

- Scoping in UNICEF also takes place through UNICEF Futures, which looks at the two-to-five-year horizon to evaluate emerging and trending technologies to see how UNICEF can work with the private sector to find shared value in this future space – for companies to do better business while improving access to essential services for children. Future investment areas include: transportation and mobility; identity; learning; mobile financial services and digital currencies; and wearable and sensor technology.

1.5 How are specific issues in need of innovation **selected and prioritized? (E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation)**

- UNICEF has a portfolio of innovation ideas structured in different areas of work (see 1.3).
- Needs for innovation stem from programmatic gaps towards UNICEF's strategic goals.
- Innovations have to follow the nine principles to guide innovation and technology in development. The Principles for Digital Development act as guidelines and criteria for any investments from UNICEF Innovation Fund. The Principles for Digital Development have been endorsed by a number of organizations (<http://digitalprinciples.org/endorsing-organizations/>).
- The UNICEF-s Global Innovation Centre selects proven, innovative solutions to rolled them out and scale them up (Innovation at UNICEF Product Catalogue).
- The Innovation Fund in UNICEF invests in solutions that can impact the lives of the most vulnerable children. The Innovation Fund supports the generation of open source public goods that address the most pressing challenges facing children. These solutions the Innovation Fund invests in are clustered around \$100 billion industries like emergency and epidemic response, transport & delivery, identity, finance, learning, personal data and related fields. The Innovation Fund invests in solutions generated from country offices and from start-ups in the developing world.

1.6 What are the phases, sequence and main elements of the **innovation process?**

Innovation at UNICEF encompasses support to all the phases of the process: ideation, proof of concepts and testing, and scale up:

- Ideation: UNICEF's country offices identify opportunities for innovative solutions and partnerships in programmes. 30+ UNICEF's country offices have a dedicated capacity (innovation leads / focal points) to support this. Also, ideation takes place at the 13 UNICEF Innovation Labs across the World.
- Country offices and start-ups working on innovative solutions in emerging technologies can apply for technical and financial support from the Innovation Fund (proof of concept and early stage testing). The Innovation Fund funds prototypes (not ideas). Innovation Labs also work on proofs of concept.
- While Office of Innovation team has some research & development capacity around priority emerging technology areas, such as data science, drones, blockchain, etc., all exploratory work is linked to contexts where UNICEF works. Innovation Fund & team around it supports early stage innovation in countries through financial support and technical assistance.
- Acceleration and scale up of proven solutions takes place with the support of a range of partnerships. The Global Innovation Centre identifies proven solutions with the potential to be implemented at national scale in multiple countries. (Sources: Summary based on the website, the Innovation at UNICEF Product Catalogue and the interviews).
- On Scale: Currently one of the main strategies is to embed proven innovations (e.g. RapidPro) into UNICEF's regular structure through closer collaboration with Programme Division (PD) and Information and Communication Technology Division (ICTD).

About the Labs:

- The Labs have played an important role in securing a safe space where innovative and creative thinkers within UNICEF could test new ideas without being trapped in a rigid bureaucratic structure. Now innovation is being mainstreamed within the organisation and throughout country level work so UNICEF's focus is on building on the ideas that created the Labs, rather than building new labs. UNICEF is moving to integrate innovation into their structure (mainstreaming). Many country offices have appointed Innovation Focal Points who are connected through UNICEF global innovation network.

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| Area 2. Organizational structure |
| 2.1 Leadership: How is innovation led in the organization? <i>E.g. through innovation sponsors, innovation committees, strategic board on innovation.</i> |
| <ul style="list-style-type: none"> • There is a Director of Innovation (since April 2016), that reports to the Executive Director. • 8 years ago, UNICEF created an Innovation Unit and later a Global Innovation Centre. These now sit under the Office of Innovation. The Office connects to an interdisciplinary team of individuals around the world tasked with identifying, prototyping, and scaling technologies and practices that strengthen UNICEF's work for children (UNICEF Innovation Narrative). • The Special Advisor on Innovation and the heads of the three Innovation groups (the Global Innovation Centre, UNICEF Venture and UNICEF Futures) report to the Director of Innovation who reports directly to the Executive Director of UNICEF. • Supply Division Innovation Unit reports to the Director of Supply Division. |
| 2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects) |
| <ul style="list-style-type: none"> • Dedicated innovation capacity is housed in the Office of Innovation that reports to the Executive Director, and a smaller Supply Division Innovation Unit that reports to the Director of Supply Division. Additionally, several (30+) country offices have a dedicated innovation lead / focal point that report within the country office (CO) structure (either to Country Representative or programme Chief). • The Office of Innovation includes UNICEF Ventures (Headquarters in New York), UNICEF Futures (San Francisco) and UNICEF Scale (Global Innovation Centre) (Bangkok and remote). • The Global Innovation Centre (GIC) supports the scale up of proven solutions. The Centre supports both the scale up of proven solution to other countries and regions (from the Innovation at UNICEF Product Catalogue) and the embedding of proven solutions into UNICEF's regular structure. • UNICEF Futures based out of San Francisco looks at the two-to-five-year horizon to evaluate emerging and trending technologies to see how UNICEF can work with the private sector to find shared value in this future space – for companies to do better business while improving access to essential services for children. The Innovation Unit within the UNICEF Supply Division in Copenhagen focuses on improving the designs of product innovation that help children. This Unit reports to Head of Supply Chains. • There is a network, currently 13, Innovation Labs supported by UNICEF country offices. Some are run by a local CSO, some by Universities, and some labs are mobile labs. The labs look for innovative solutions and trends at community level, they also function as incubators of ideas. The labs bring together youth, the private sector, academia, and the public sector (Research study: Innovation by design at UNICEF). • Additionally, UNICEF has a team of individuals in different parts of the world who have the mission to identify and drive innovations in the country, RO and HQ level (network of around 400 people globally). |
| 2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels) |
| <ul style="list-style-type: none"> • Headquarter (HQ) level: Office of Innovation (Futures, Ventures, Scale) in New York headquarters (NYHQ), Bangkok, San Francisco and remote. • HQ level: Supply Division Innovation Unit (Copenhagen) and several programme division sectors have innovation focal points. • Regional office level: 1-2 regional offices currently have a dedicated innovation lead / focal point. • Country office level: 30+ countries have a dedicated Innovation Lead / focal point and also at country level, there is a Network of Innovation Labs. |
| 2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure? |
| <ul style="list-style-type: none"> • The Office of Innovation based in HQ manages the UNICEF Ventures, UNICEF Futures and UNICEF Scale. Each focuses on solutions at varying stages (see section 1.6). • The Innovation Unit within the UNICEF Supply Division in Copenhagen focuses on improving the designs of product innovation that help children. |

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

- “Innovation at UNICEF is driven by an interdisciplinary team of individuals around the world tasked with identifying, prototyping, and scaling technologies and practices that strengthen UNICEF’s work for children” (UNICEF Innovation Narrative). This team is composed essentially of external consultants, not funded through regular resources but with non-core funds.
- This innovation team is interdisciplinary. They do not consider themselves innovation specialists. Innovation is not seen as a job description or a post, but as an attitude. This attitude is related to make enquiries, challenge things and not be complacent with the status quo, and a drive to see results.
- Innovation focal points may be internal staff or external consultants, depending on the country office.

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (*Core, non-core*)

- The eight people working in innovation at the Supply Division are all paid for with core funds.
- Core budget provides for staff positions related to Operations and Senior Management of the Office of Innovation. The rest of the team and activities are supported through non-core resources raised for the Office of Innovation.

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- Data scientists, experts in drones, artificial intelligence, blockchain, design, communications, software development in the Team in New York (Innovation Office). Most of them are full-time consultants. They conduct exploratory research on poverty for example and connect with pilot countries that are interested in the topic.
- A lot of the expertise required for innovation is a product of exchanges with private sector partnerships e.g. UNICEF Futures in San Francisco working with Google or Facebook on mapping development to respond to emergencies; or the Innovation Office working with mobile data operators in the Ebola and Zika crises).
- In Ventures staff is composed of data researchers and engineers.
- Members of the innovation network have all thematic / programmatic expertise combined with an innovation attitude and skills to build new types of partnerships.

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

- Innovation is currently one of the functional competencies. The Innovation Team is working with the Division of Human Resources (DHR) to make it a core competency.
- Recruiting process for Innovation positions often includes unconventional TORs, technical testing, games, etc. Also, NETI team in DHR has explored with different gamified ways of recruiting.

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

- Innovation leads/focal points in country offices have innovation as either their main task or one of the tasks to be performed in their terms of reference (no volunteer-based approach). Focal points tend to be core UNICEF staff (rather than technical advisers) that work with all other areas within the country office.
- The interdisciplinary team of consultants all work full-time.
- Staff at the Innovation Unit at the Supply Division is full-time staff (including one intern).

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- UNICEF is at the present considering introducing design thinking into staff training (The model so far has not been based on a focus to building the capacity of internal staff on innovation).
- Manager level staff have innovation integrated into their leadership training.

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

- The Innovation Labs played an important role in securing a safe space where innovative and creative thinkers within UNICEF could test new ideas without being trapped in a rigid bureaucratic structure (UNICEF Innovation Narrative).
- “UNICEF stories of innovation” (<http://unicefstories.org/>) is a sharing platform that offers an indirect way of rewarding those involved in innovations. It brings a level of recognitions.
- Global Innovation Newsletter and Global Innovation Monthly calls highlight country-level innovation.
- Global Innovation Meetings (organized every other year) bring together senior management in country offices and innovation leads from different levels of the organization.

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a programme? As a mode of intervention? As a way of doing things? As a principle?)

- “Identification and promotion of innovation” is **one of the six-implementation strategies** set forth in the strategic plan to realize the results of the Global and Regional Programme. The other implementation strategies are: capacity development; service delivery; evidence, policy dialogue and advocacy, South-South and triangular cooperation and cross-sectorial linkages (Revised Supplementary Programme Note on the Theory of Change, page 7. See also Annex 1, implementation strategies, page 88 of the same document).
- Paragraph 19(e) of the Strategic Plan states: “(...) UNICEF will support innovations with the potential to rapidly improve education outcomes for marginalized children, such as multilingual education, right-age enrolment, child-centred pedagogy and technology.
- Paragraph 26, under Humanitarian Action section mentions that: “UNICEF will also strengthen its ability to act as a centre of excellence for humanitarian knowledge analysis and innovation to anticipate threats”.

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- UNICEF has supported the development of open source software that can be easily integrated to different mobile apps solutions to support a rapid design and scale up (i.e. RapidPro). These solutions are then integrated in UNICEF programmes. For example, used cases for Rapid Pro range across most UNICEF program areas: Education, Health, HIV/AIDS/WASH, Nutrition, including crosscutting areas such as Gender and Emergencies. Currently, joint programme of Programme Division (PD), Information and Communication Technology Division (ICTD), and Office of Innovation (OoI), together with Office of Evaluation (OE) are integrating RapidPro for real time monitoring in support of programme delivery and national systems strengthening. This project will also serve as a test case for an interdivisional approach to support country offices as they design and implement programmes that leverage tools, such as RapidPro, to support programme scale up.
- The Office of Innovation supports UNICEF programmes to find solutions “through integration of technology, design thinking and partnerships with private sector and academia” across all the country offices (Research on Innovation by Design at UNICEF: an ethnographic case study).
- Innovation is integrated through country programmes: “Now innovation is being mainstreamed within the organisation and throughout country level work so our focus is on building on the ideas that created the Labs” (UNICEF Innovation Narrative, 2016).
- A number of country offices have an innovation strategy, and currently a number is exploring the use of Human Centred Design in planning of their next Country Programme Document.

4.3 Reporting systems: Is innovation captured in reporting systems for programmes? If so, how? If not, what are the reporting channels/ systems for innovation?

- Currently, offices report through the Country Office Annual Report (COAR) against two innovation-related questions. COAR feature open questions on innovation. UNICEF's Annual Report highlights innovation towards Strategic Plan goals (https://www.unicef.org/publications/index_92018.html).
- The Innovation Fund features a real-time tracking and reporting system

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| <p>(https://unicefinnovationfund.org/).</p> |
| <p>4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programmes?</p> |
| <ul style="list-style-type: none"> The Innovation Fund is a pooled fund and the expectation is that it will feature for some failure, agreed upon with donors. The projects funded by the Innovation Fund and innovation activities are subject to normal auditing. |
| <p>4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?</p> |
| <ul style="list-style-type: none"> The Global Innovation Centre (GIC) supports the scale up of proven solutions. \ The Centre supports the scale up of proven solution to other countries and regions. (From the Innovation at UNICEF Product Catalogue). The Global Innovation Centre (UNICEF Scale) identifies proven solutions with the potential to be implemented at national scale in multiple country scale. The GIC provides the leadership and technical support to deploy and scale these up, expanding their application by UNICEF and others from one to several countries and regions (UNICEF Innovation Narrative 2016). Scale potential is a criterion for projects that receive funding at an early stage through the innovation fund. As mentioned in section 1.6 currently one of the main strategies is to embed proven innovations (e.g. RapidPro) into UNICEF's regular structure through closer collaboration with PD and ICTD. |
| <p>Area 5. Monitoring and evaluation</p> |
| <p>5.1 M&E systems: How is innovation integrated in the organization's M&E systems?</p> |
| <ul style="list-style-type: none"> Innovation is somehow integrated in the Results Framework f the UNICEF Strategic Plan 2014-2017: In Outcome 5 on Education, one of the indicators is: P5.b.1 Countries with innovative approaches at scale to improve access to education and learning outcomes for the most disadvantaged and excluded children. In Organizational Effectiveness and Efficiency, and under result "Efficient and effective management of supplies enables achievement of programme results", there is an indicator "DE.20 Number of innovations that reach a pre-defined endpoint". There is also a mention to "(...) innovative communications and public advocacy" under the result area "Corporate external relations and partnerships, communications and resource mobilization". There are no indicators related to that mention. A thematic evaluation on technology in development was included in UNICEF's Global Evaluation Plan 2014-2017. UNICEF is moving forward with the evaluation planning with an intended launch in late 2017. The Global Innovation Centre has a Monitoring, Evaluation and Learning (MEL) Framework and the next Strategic Plan 2018-2021 features indicators on innovation (The draft results framework including these indicators will be reviewed in June 2017). |
| <p>5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?</p> |
| <ul style="list-style-type: none"> Among the criteria is used to assess the proposals to the Innovation Fund there are the following: Relevance of solution for children and young people, problem-solution fit and potential for application at global scale - <i>Novelty of project</i> and alignment with Innovation Principles - Suitability of the team and key personnel to implement the project - Project budget and financing. The full criteria for assessing proposals from start-ups are available at: http://unicefstories.org/wp-content/uploads/2017/04/FinalCall3RequestforExpressionofInterest-1.pdf. Criteria for country offices: the country office is developing and piloting a new open source solution; the country office has matching co-funding to support the project; the country office's senior management supports the application and project itself; alignment with UNICEF's Innovation Principles and UNICEF's global priorities for children; placement within one of the three portfolio areas: A) youth under 25; B) real-time data for decision making; C) improving infrastructure; size of the market opportunity and relevance across geographic locations with potential for application at global scale; suitability of the team to implement the Project; creation of open source, public goods; and results able to be measured and monitored in real time. |

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

- The Innovation Fund website allows for exploration of individual projects and tracking of the overall portfolio in real time. Through dashboards that provide real time information aggregated at the project, portfolio and Fund level, contributors, and investors are able to continually monitor progress (<https://unicefinnovationfund.org/#/about>).
- The Fund provides reporting back on expenditures through its management dashboard, which shows investments' and projects' growth (or decline) in real time. Through dashboards that provide real-time information aggregated at the project, portfolio and Fund level, our partners are able to continually monitor progress and growth (UNICEF Innovation Fund Backgrounder).
- The Innovation Fund uses 6-month and 12-month monitoring reporting templates for the country office projects funded by the Fund. Start-ups are monitored through a dedicated portfolio manager, who tracks performance against agreed milestones. Investment contracts provide funding in tranches, based on performance and meeting of contractual obligations.

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); When? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

- The Global Innovation Centre follows an M&E Framework that includes evaluations.
- A thematic evaluation on technology in development was included in UNICEF's Global Evaluation Plan 2014-2017. UNICEF is moving forward with the evaluation planning with an intended launch in late 2017.
- There have been a number of independent evaluations, for example, a Multi-Country Independent Evaluation on Technological Innovations in Eastern and Southern Africa region (2016), and evaluation on scaling potential of mobile health tools commissioned by USAID: (http://www.africanstrategies4health.org/uploads/1/3/5/3/13538666/2016_mhealth_31may16_final.pdf)

Area 6. Funding frameworks

6.1 Strategy: What is the funding strategy/approach for innovation in the organization?

- Most of the funds for innovation are external funds (coming from external investors, donors).
- The Innovation Fund is a pooled mechanism. Financial contributions come from donors and investors. Investors are able to make any sized contribution to the Innovation Fund and receive pooled reporting.
- The funding strategy (in terms of what it funds) for the Innovation Fund is to support open-source projects that have already been started - companies have been running the project for a while - and show some positive indicators - but funding is needed to take the project to a level where it can really attract additional investment and funding by generating real data. The UNICEF Innovation Fund can help with investments between \$50,000 and \$90,000 to support the acceleration of the company's work.

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

- Innovation Fund supporters and investors include: Disney, DANIDA and the Ministry of Foreign Affairs of Finland. So far the fund has raised USD11.2 million.
- Partnerships are used to scale up projects.

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

- The Innovation Fund invests in early stage initiatives in country offices through direct budget allocation to the country office.
- Scale funding can come either through country offices regular resources or other resources in country offices (Partnerships). Scale funding is allocated to the country office budget.
- Funds are allocated to UNICEF programme countries. Funds are directed to where innovation takes place in UNICEF programme countries. Resources in terms of payment of innovation-related staff are distributed

across the organization (there are focal points at country level, innovation staff in different units worldwide). Investments are allocated based on a transparent assessment process with clear criteria for selection.

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case?

- The Innovation Fund focuses on supporting early stage technology solutions (Open Software Solutions) that can have an impact of children.
- Country offices match the contributions of the Innovation Fund.
- Capacity dedicated to mobilizing funds through national communication officers, private sector, and government partners. Country offices are normally able to do ideation within their regular funding framework. The innovation Fund responds to the need of risk funding, and scaling happens through regular programmes.

Area 7. Innovation Funds structure and functioning (if applicable)

7.1 Rationale: What is the rationale of the innovation fund? (What does it fund, why and what for? - *including what innovation stages are covered by the Fund*)

- The Innovation Fund allows UNICEF to quickly assess, fund and grow open-source solutions that have been developed by companies in new and emerging markets. The core motivation of the Innovation Fund is to identify "clusters" or portfolios of initiatives around emerging technology - so that UNICEF can both shape markets and also learn about and guide these technologies to benefit children" (UNICEF Innovation Fund Backgrounder).
- The Innovation Fund has two windows, one offering co-funding for country offices (alone or with an external partner) and one for start-ups in UNICEF programme countries.

7.2 Management process: What is the management process from goal setting to allocation of funds? (*Brief description; voting, call for proposals, selection phases*)

- The Fund works on the basis of Requests for expression of Interest (REOI) – Requests for proposals (RFP) for companies / start-ups and internal applications from country offices, which can be submitted on an on-going basis; then there is a back & forth if necessary and selected proposals are presented to the Innovation Fund board.
- The eligibility requirements and priorities for the start-ups are made available in the website (<https://unicefinnovationfund.org/#/submit>) e.g. start-ups registered in one of UNICEF's programme countries; have a working, open source prototype (hardware or software) showing promising results; open-source projects that have already been started - have been running for a while - shows some positive indicators - but funding is needed to take it to a level where it can really attract additional investment and funding by generating real data.

7.3 Governance: What governance mechanisms are in place? (*Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects*)

- There is no single shareable (to externals) document outlining all relevant information on governance aspects of the Innovation Fund. The summary of the main aspects is as follows (as described by UNICEF personnel):
 - An internal board assesses investments for country offices based on agreed criteria.
 - Applications from start-ups are submitted and assessed by the same standards as UN procurement processes (the usual standards of openness, transparency, competitiveness etc.), assessed by an internal board of staff.
 - The Innovation Fund itself is set up as a pooled fund internally, which again abides by the usual audit, reporting and decision making processes.
 - Ethical aspects are also covered in the funding agreement for start-ups.

7.4 Selection: What are the project selection criteria to award innovation projects (*rationale, allocations -*

including funding caps)? How are these criteria communicated to the participants? Are they integrated in guidelines?

- The assessment criteria for both stages of the process for start-ups are outlined in: <http://www.unicefstories.org/wp-content/uploads/2016/11/UNICEF-Innovation-Fund-FAQ.pdf>
- Open-source technology that can benefit children in the areas of emergency and epidemic response, transport & delivery, identity, finance, learning, personal data and related fields.
- The Innovation funds can go to UNICEF country offices or private sector companies in UNICEF programme countries.
- The UNICEF Innovation Fund can help with investments between \$50,000 and \$100,000 to support the acceleration of the company's work (UNICEF Innovation Fund Backgrounder).

7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels)

- The Innovation Fund focuses on programme country offices and start-ups in UNICEF's programme countries.

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, development of solutions, scale - ups, etc.*)

- Partnerships are an important element in UNICEF's innovation approach. The Innovation Venture Fund, the UNICEF Futures, the Global Innovation Centre, are all eminently driven by an explicit partnership approach.
- The strategic plan also points at the importance of partnerships when it comes to innovation: "Important new partnership opportunities are emerging, including new models of South-North learning, in which countries adopt, adapt and help to refine effective innovations from the South (Paragraph 16 of the Strategic Plan).
- UNICEF Futures looks at the two-to-five-year horizon to evaluate emerging and trending technologies to see how UNICEF can work with the private sector to find shared value in this future space – for companies to do better business while improving access to essential services for children. "Wearables for Good" (<http://wearablesforgood.com/>) is an example of the UNICEF's comprehensive approach to partnerships. "Wearables for Good" features a global challenge as well as a 4-month virtual business incubation programme. Partners range from technical start-ups to private sector incubation programme partners to advisors and coaches, which come from a wide range of both private and public sector organizations.
- UNICEF also features strategic partnerships with providers of big data such as Google, IBM, Telefónica and Amadeus, among others. They provide data UNICEF then uses to predict epidemics for example.
- To increase the understanding of designing for UNICEF external partners (students etc) work has been conducted with academic partners e.g. between University of Nairobi and UNICEF.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- Partners come from the private sector, academia, foundations, youth organizations, NGOs, or professional sectors support for most of the innovative solutions.
- UNICEF initially set up a number of Innovation Labs. Labs are physical or virtual spaces that bring together government, private sector, academia, and young people to develop and implement solutions specific to the challenges of each country (UNICEF Innovation Narrative).
- Members of the Global Innovation Centre (GIC) steering committee include the Ministry of Health, the Philips Foundation and the UNICEF national committees of Canada, United Kingdom and the United States.
- Investors of the Innovation Fund include The Walt Disney Company and the Government of Denmark and the Government of Finland.
- Partners UNICEF works with are also determined by the sectors the UNICEF Innovation Funds invests in. The solutions the Innovation Fund invests in are solutions that can impact the lives of the most vulnerable children. These solutions are clustered around \$100billion industries like emergency and epidemic response, transport & delivery, identity, finance, learning, personal data, and related fields.

- Partners that supported the U-report mobile app are: Global Pulse, Government of Mexico, Idibon, Internet.org, Nyaruka, Twitter, Uganda Parliamentary Forum for Children, United Nations Millennial Campaign, Verynice, World Organization of the Scout Movement, and many national youth groups.
- UNICEF co-chairs the UN Innovation Network – with more than 20 agencies participating in quarterly meetings.
- UNICEF also sits on the founding board of the Rockefeller Innovations in Development International Alliance – with USAID and others who fund innovation.
- UNICEF co-hosts the UN Innovations in Data Labs with WFP – and recently hosted 30 participants at Singularity University at NASA to discuss the future of data.
- UNICEF co-created the “Principles of Innovation in Development” with USAID – adopted by more than 50 donors, UN agencies, and partners.
- Recently UNICEF is rethinking the innovation labs strategy in the context of mainstreaming innovation in the organization (sections 1.6 and 4.2).

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

- UNICEF Futures leads the work of the Office of Innovation on partnerships. It looks at the two-to-five-year horizon to evaluate emerging and trending technologies to see how UNICEF can work with the private sector to find shared value in this future space – for companies to do better business while improving access to essential services for children.
- The Ventures team focus on the collaboration strategies with large technological companies, specifically around big data. So the Ventures team is an additional resource devoted to the development of partnerships strategies.
- UNICEF’s Private Fundraising Partnership unit has an innovation focal point, which works closely with Office Of Innovation.
- UNICEF’s National Committees raise funds and support building partnerships for innovation in developed countries.

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization’s general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- Second window of the Innovation Fund focuses on start-ups. UNICEF enters into venture capital with these partners.

(Covered in sections 8.1 and 8.2)

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- The Office of Innovation features the UNICEF Futures, an area that looks at the 2-5 year horizon to evaluate emerging and trending technologies to see how UNICEF can work with the private sector to find shared value in this future space – for companies to do better business while improving access to essential services for children (UNICEF Innovation Narrative, 2016).

(Covered in section 8.1)

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

- Some o the regular mechanisms used to channel and integrate learning from innovation are: blogs, global calls & newsletters, and real-time data from Innovation Fund projects.

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

- Paragraph 16 of the strategic plan: “Important new partnership opportunities are emerging, including new

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| <p>models of South-North learning, in which countries adopt, adapt and help to refine effective innovations from the South".</p> <ul style="list-style-type: none"> The strategic plan on Paragraph 39 on Evidence generation, policy dialogue and advocacy (implementation strategies) says: "Policy dialogue and advocacy work by UNICEF will promote the understanding and application of evidence and innovation for children, emphasizing the obligations of human rights duty-bearers", which shows the links between policy dialogue and advocacy (implementation strategy) and the identification and promotion of innovation (also a implementation strategy). |
| <p>9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (<i>What are the tools in place e.g., internet-based collaboration/communications tools that allow staff - and external partners - to share knowledge, and further innovate</i>)</p> <ul style="list-style-type: none"> Some of the regular mechanisms used to channel and integrate learning from innovation are: blogs, global calls & newsletters, and real-time data from Innovation Fund projects. The website of the innovation fund allows for exploration of individual projects and tracking of the overall portfolio in real time. There is a dedicated capacity to support scaling of successful innovations into other countries and regions. The Innovation Fund supports clustering of problem-solvers around similar, open source solutions. The innovations are open source and with public domain trademarks, for everyone to use. |

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| <p>Area 10. Insights</p> <p>10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (<i>Things that did not work, suggestions on musts and must nots</i>)</p> <ul style="list-style-type: none"> "Do not plan too much. Go, do and iterate". In other words, "try in one or two countries, see what happens and if it works, take it to scale". "Rather than building a big plan for innovation it is advisable to build fast learning mechanisms to learn as you work". Another learning is the need to focus in countries rather than in headquarters, given that when it comes to innovation, things to show and share occur at country level rather than in headquarters. <p>10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?</p> <ul style="list-style-type: none"> A multi-sector, multi-disciplinary approach is key to innovation. Therefore "do not only work with UN people. Try to work with the private sector". Having a committed Executive Director is a key asset - it enables not killing innovation ideas too soon. But the drive for innovation is spread all across the organization (there are lots of people with an open mind to innovate). The <i>innovation champion</i> concept adopted by UNDP seems suitable to promote this organization-wide innovation culture. |
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Sources:

- Interviews with Milja Laakso, Programme Officer - Networks and Community at UNICEF Innovation. Sharad Sapra, Special Advisor on Innovation at UNICEF; and Jonathan Howard-Brand, Supply Specialist (Innovation), UNICEF Supply Division.
- Sunita Grote, Innovation Fund Manager in New York also provided input to the comparative table.
- UNICEF innovation website: <https://www.unicef.org/innovation>
- <https://www.unicef.org/innovation>
- UNICEF Innovation Fund: <https://unicefinnovationfund.org/#/about>
- UNICEF Innovation Fund background note: <https://docs.google.com/document/d/1PyBTD3j09j23MU1hBqSdK4z0LfAc1TSKieWs1YdJ254/edit?usp=sharing>
- UNICEF Futures: https://www.unicef.org/innovation/innovation_90983.html
- <https://unicefinnovationfund.org/-/about>
- UNICEF Innovation Fund Backgrounder
- UNICEF stories: www.unicefstories.org
- <http://www.unicefstories.org>
- Innovation at UNICEF Product Catalogue (pdf)
- Research on Innovation by Design at UNICEF: an ethnographic case study (pdf)
- UNICEF Annual Report 2015: https://www.unicef.org/publications/index_92018.html
- The UNICEF Strategic Plan 2014 - 2017
- Revised Supplementary Programme Note on the Theory of Change for the UNICEF Strategic Plan, 2014-2017 (May 2014)
- UNICEF Innovation Narrative, Q1 2016. Last updated April 5, 2016.

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|  | UNIN COMPARATIVE TABLE United Nations Office for the Coordination of Humanitarian Affairs (OCHA) Information gathered: December 2016 |
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Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- OCHA is different than other agencies in that it does not have programmes as such; OCHA offers tools and services: advocacy, coordination, financing mechanisms, and information management. The organization acts as a convener in the humanitarian sector, and as such the organization supports “global advocacy and policy analysis to address barriers to achieving a more enabling environment for innovation” (strategic objective 10: “innovation” p. 34).
- Innovation is also seen a key element to being able to respond to changes in the humanitarian sector.
- As stated in the Strategic Plan 2014-2017 “to remain relevant, the humanitarian sector needs to identify new tools, products and services to respond to more complex operating environments and diversifying humanitarian needs” (strategic objective 10: “innovation” p. 34).
- The report conducted by OCHA named “State of the Art report” is a review of the different innovation approaches in the Humanitarian sector. The report is set out to “develop a common language and framework as a basis for dialogue, debate and collaboration” (Introduction: “State of the Art report”).
- The report adopts the following definition of innovation for the Humanitarian Sector as: “a means of adaptation and improvement through finding and scaling solutions to problems, in the form of Products, processes or wider business models”(page 5).

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- Innovation started four years ago as a distinct portfolio in how to support innovation in the humanitarian system in general. One of the main outputs of this process was the aforementioned report, “*State of the Art*”. In chronological order, the following events have set up innovation in OCHA:
 - In 2013 the Global Humanitarian Symposium took place. Innovation was formally announced as a way of working and as a way of providing solutions in Humanitarian contexts.
 - In this same year (2013) OCHA launched the Humanitarian Research and Innovation Grant Programme.
 - The Humanitarian Data Exchange (HDX) platform was launched in 2014.
 - The “*State of the Art in Humanitarian Innovation*” research policy was written in 2014.
 - The World Humanitarian Summit organized an innovation contest in 2014.
 - A Hackathon on Innovation in Humanitarian settings was organized in 2015.
 - Innovation was incorporated as a stand alone objective in the Strategic Plan 2014-2017.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- Strategic objective 10 of the SP 2014-2017 states that innovation is not only about new technologies or inventions but also about the adaptation of new processes, products and positions that can address system-wide challenges (strategic objective 10: “innovation” p.34).
- Innovation looks at the sector needs to adapt to transformative trends (i.e. cash-transfer programmes, mobile phone technology, evidence-based management approach).

- In its Strategic Plan, OCHA is set to develop innovative tools and services to improve its core operations (especially at field level) on those areas identified as challenges for the organization. Possible areas of focus include (Strategic Plan p.35): Data management; Needs assessments; Accountability to affected people; Early warning; Resilience building; and Managing operational and programmatic risks.
- Innovation is a crosscutting issue and can be found on the web in different branches: Policy and research; Financing; Private partnerships; Technology and Information Management.

1.4 How is the **scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?**

N/A

1.5 How are specific issues in need of innovation **selected and prioritized? (E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation)**

N/A

1.6 What are the phases, sequence and main elements of the **innovation process?**

- The “*States of the Art report*” conducted by OCHA proposes an approach to the innovation cycle in the Humanitarian Context. As such, the report speaks about two innovation solutions offered in the humanitarian sector: Product innovation and Process innovation. Product innovations are mostly led by external entities in partnership with the private sector and academia. Process innovations have to do with the modes of intervention.
- Both innovation solutions follow this sequence:
 1. Defining the problem / opportunity
 2. Finding a Solution
 3. Piloting, adapting and implementing
 4. Scaling the solution
 5. Lessons learned – Feeding back
- OCHA provides information on the phases, sequences and main elements of the innovation process in the “state of the Art report”, as guidance for other organizations in the humanitarian sector.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? E.g. through innovation sponsors, innovation committees, strategic board on innovation.

- There is no specific leadership working only in innovation. There is one person, sitting in the Policy Branch, dedicating 10% of the time to innovation.

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- Innovation is a crosscutting issue throughout the branches. Each branch works in the different themes providing innovative solutions.
- The Humanitarian Research and Innovation Grant Programme used to be in the Policy Development and Studies Branch. This programme provided seed funding for policy research/briefs on innovation and research in humanitarian action. The programme does not exist anymore because of lack of funding.
- The Information Management Branch launched a web-based platform with data in the Hague to start in 2017.
- The Programme Support Branch with The Coordinated Assessment Support Section (CASS) provides innovative tools for coordination in needs assessment.
- The Private Sector Branch leads the private partnerships strategies in OCHA, which can include organizing innovation activities (for example the Hackathon).

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| <ul style="list-style-type: none"> The Policy Development and Studies Branch provides global Policy Analysis on innovation, such as is the case for the “State of the Art” report. |
| 2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels) |
| N/A |
| 2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure? |
| N/A |

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Voluntaries, full-time, consultant)

- There were two full-time staff in OCHA who designed OCHA approach to innovation and researched on innovation for the entire humanitarian community.
- Some of the initiatives that were initiative when the two full time staff were active, are now running on their own. This is the case for the web-based platform with humanitarian data.
- Currently, there is no dedicated full time staff on innovation. There is only one staff that spends 10% of the time in innovation (sitting in the Policy Branch).

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (*Core, non-core*)

- The staff hired was paid with core funds.

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

N/A

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

N/A

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

N/A

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

N/A

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

N/A

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- The Strategic Plan in the Introduction (page 5) mentions: "OCHA's role in supporting coordination, innovation and policy development in the humanitarian sector, as expressed in this Strategic Plan, is separate from matters pertaining to its internal organization".
- On page 13 of the Plan, under section "Goals and strategic objectives" it is mentioned that between 2014 and 2017, OCHA will work towards its vision in two ways. One of these two ways is innovation: "Second, OCHA will respond to the changes in the humanitarian sector by fostering a spirit of innovation".
- On page 32, under strategic objective 9 (inter-operability) it is mentioned that **"Key policy areas** will include humanitarian aid effectiveness, humanitarian innovation, reducing vulnerability and managing risk, and people in conflict".
- The strategic Plan 2014-2017 established innovation as its **strategic objective number 10**. This objective is formulated as: "Innovation to promote improvement is consistently fostered and brought to scale in the humanitarian sector".
- Innovation/innovation approaches are also included as an element in cross-cutting issues: "Promote more innovative approaches, based on existing work, to ensure accountability to affected people (SO 10)" and "Promote more innovative approaches, based on existing work, to resilience building (SO 10)" (page 39, Annex 1 Cross-cutting issues).

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- The different branches / program divisions integrate innovative solutions into their interventions by looking at new tools and processes that are relevant to their operations.

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

N/A

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

N/A

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

N/A

Area 5. Monitoring and evaluation

5.1 M&E systems: How is innovation integrated in the organization's M&E systems?

N/A

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

N/A

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

N/A

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

N/A

| Area 6. Funding frameworks |
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| 6.1 Strategy: What is the funding strategy/approach for innovation in the organization? |
| <ul style="list-style-type: none"> At the moment there is no specific strategy to fund innovation. Work on innovation has considerably slowed down due to budget constraints. According to the “State of the Art report” in the Humanitarian system as there seems to be not enough flexibility or appetite for risk as in other sectors. One of the reasons is due to the fact that Humanitarian Action has high costs (monetary terms) and thus there is a need to make a bigger investment to high risks. OCHA made a research on how to encourage donors to invest in things more risking, testing experimenting and failing. Financing continues to be a challenge. According to the “State of the Art report”, the more successful humanitarian organization working on innovation are those outside the UN system that work with more partnerships and have more innovative options. |
| 6.2 Sources: What are the main sources to fund innovation and what do they fund? (<i>What is funded through core funds? non-core funds? and through both?</i>) |
| N/A |
| 6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)? |
| N/A |
| 6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case? |
| <ul style="list-style-type: none"> The Innovation Grant Programme (which was discontinued) was meant to finance the ideation phase of the innovation processes in the humanitarian sector. Currently, partnerships also focus on the ideation phase (see area 8). |

| Area 7. Innovation Funds structure and functioning (if applicable) |
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| 7.1 Rationale: What is the rationale of the innovation fund? (What does it fund, why and what for? - <i>including what innovation stages are covered by the Fund</i>) |
| N/A (No Innovation Fund established). |
| 7.2 Management process: What is the management process from goal setting to allocation of funds? (<i>Brief description; voting, call for proposals, selection phases</i>) |
| N/A (No Innovation Fund established). |
| 7.3 Governance: What governance mechanisms are in place? (<i>Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects</i>) |
| N/A (No Innovation Fund established). |
| 7.4 Selection: What are the project selection criteria to award innovation projects (<i>rationale, allocations - including funding caps</i>)? How are these criteria communicated to the participants? Are they integrated in guidelines? |
| N/A (No Innovation Fund established). |
| 7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels) |
| N/A (No Innovation Fund established). |

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| Area 8. Partnerships |
| 8.1 Rationale and scope: what are partnerships used for and when? (<i>Ideation, development of solutions, scale -ups, etc.</i>) |
| <ul style="list-style-type: none"> Partnerships for ideation of solutions: The <i>Strategic Plan</i> defines that in order to share innovative practices there is a need to bring together humanitarian actors to undertake problem identification and ideas to solve. |
| 8.2 Partners: Who are the main partners in innovation and in what sectors? |
| <ul style="list-style-type: none"> OCHA has partnered with the following stakeholders for different purposes: <p>Private sector:</p> <ul style="list-style-type: none"> DHL: supply chain and logistics expertise. Deloitte: leadership development for humanitarian actions. Deloitte together with the Humanitarian World Summit produced a study on constraints in financing on innovation. Vantage partners: partnership management expertise. Ericsson: technical know how (technology). <p>Humanitarian community</p> <ul style="list-style-type: none"> World Humanitarian Summit: NGOs, Civil Society. <p>Other UN agencies</p> <ul style="list-style-type: none"> UNDP, UNHCR, UNISDR. A Hackathon was supported by OCHA and other UN Agencies. <ul style="list-style-type: none"> The “State of the Art Report” includes an extensive mapping of the Humanitarian innovation community. |
| 8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from? |
| N/A |
| 8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization’s general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific? |
| N/A |
| 8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms) |
| <ul style="list-style-type: none"> UN OCHA has a Private Sector section, which acts as a catalyst between private sector and the humanitarian community to work together to bring solutions to responses and prevention. There is an Informal Private Sector Advisory Group formed in 2015. This group consists of OCHAs main private sector partners, who give assessment to the organization on how to engage with the private sector to increase responsiveness and engagement in humanitarian situations. Together with the United Nations Office for Disaster Risk Reduction (UNISDR) and UNDP, OCHA has worked on the Global Networks Project that connects new and existing private sector humanitarian networks and platforms (launched in May 2016). The vision is that the private sector will become a key partner for the future. The World Humanitarian Summit convened hundreds of stakeholders that act in humanitarian context to develop one common agenda (private sector, civil society, NGOs, governments). The organizers of the summit opened an innovation contest inviting people around the world to come up with solutions to problems in Central and West Africa. |

- A Hackathon was supported by OCHA and other UN Agencies, NGOS in 2015 “creative minds for humanitarian solutions”.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

N/A

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

N/A

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (*What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate*)

- OCHA is the Coordination of Humanitarian Affairs and has a unique role within the humanitarian sector that allows the organization to act as a convener, a catalyst and advocate.
- OCHA promotes coordination tools, policies and research on innovation, convenes spaces for the humanitarian community to reflect on innovation.
- The Global Alliance for Humanitarian Innovation managed by ELRHA (hosted by save the children independent) is a market place for innovation. Different projects / ideas / stakeholders convened in this event.

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

N/A

10.2 Specific insights on organizational culture: On the basis of this Agency’s experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

N/A

Sources:

- Interview with Lesley Bourns
 - Humanitarian Data: OCHA launches ground-breaking data exchange platform
 - <http://www.unocha.org/top-stories/all-stories/humanitarian-data-ocha-launches-ground-breaking-data-exchange-platform>
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- **World Humanitarian Summit: Celebrating humanitarian innovation**
 - <http://www.unocha.org/top-stories/all-stories/world-humanitarian-summit-celebrating-humanitarian-innovation>
 - Private partnerships section: <http://www.unocha.org/themes/partnerships-private-sector>
 - Strategic Plan 2014-2017: <https://docs.unocha.org/sites/dms/Documents/OCHA%20SF%202014-2017%20Strategic%20Plan.pdf>
 - Global Humanitarian Policy Forum 2013
 - <http://www.unocha.org/what-we-do/policy/events/humanitarian-symposium-2013>
 - UNOCHA: https://docs.unocha.org/sites/dms/documents/op9_understanding%20innovation_web.pdf



UNIN COMPARATIVE TABLE
United Nations Population Fund (UNFPA)
Information gathered: June 2016 - March 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- Innovation is a generative and creative process that challenges the status quo and opens the pathway to discovery by embracing new ideas, possibilities, and unexpected connections in order to make unanticipated discoveries (UNFPA Innovation Concept paper, September 2014).
- Innovation is essential to the survival of the organization and to respond to complex development challenges (UNFPA Innovation Concept paper, September 2014) and to increase adaptability (Strategic Plan 2014-2017).
- UNFPA has embraced innovation to accelerate progress towards some of the most pressing issues we face, allowing us to continuously strive to deliver the best responses to the challenges at hand, and to remain adaptable, agile and responsive in a rapidly changing world (*Why we innovate*. <http://www.unfpa.org/innovation>).
- During the ESA *Innovation Capacity Development Workshop* for Innovation Focal Points and some members of the Inter-divisional Working Group on innovation (IDWG) from other regions, innovation was defined as “Inclusive co-creation of incremental change that adds value for users” (East and Southern Africa (ESA) retreat, November 2016).

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- In 2013 UNFPA began exploring corporate approaches to innovation. It became a member of the United Nations Innovation Network, endorsed the 9 United Nations Open Innovation Principles and, in February 2014, “innovation and creativity” were announced as one of *UNFPA’s 2014 Corporate Priority Projects*.
- In 2014 a Concept Paper was drafted setting out the approach to innovation and in the same year an Innovation Fund was established as the main mechanism to foster innovation in UNFPA.
- In June 2016 the regional office of UNFPA in East and Southern Africa (ESARO) launched an innovation acceleration programme in Kenya. This programme, supported by UKAID as part of a regional programme works independently from the Innovation Fund and is operating in 5 countries in the region.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- Scoping to date has been characterized by a rather broad focus. The UNFPA Innovation Concept Paper and the Strategic Plan offer a broad outline / indication. What is innovation, what it is not and what innovation should focus on in UNFPA are aspects that are currently being developed in the *UNFPA Innovation Business Case*.
- The *Concept Paper of September 2014* defines that innovative project proposals are encouraged in all areas of the organization: programs, products, processes and partnerships and can be new ideas, re-imagining modes of engagement or techniques to nurture a culture of innovation. The document adds that eventually innovation should:
 - Improve program delivery and operational efficiency in a creative manner.
 - Strengthen expected impacts and results in UNFPA mandate areas.
 - To change the organizations mind set allowing room for experimentation and creativity.
- The *Strategic Plan 2014-2017* includes examples of areas to explore on innovation:
 - Improve supply chain management through technological innovation.

- Use of “Big Data” to generate useful information for decision-making.

1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?

- The scoping process takes place in the context of the Innovation Fund as well as in the iAccelerator programme implemented in the East and Southern Africa region. In the case of the iAccelerator the scope is very specific: technical innovative solutions anchored on technology to scale up access to youth friendly sexual reproductive health (SRH) information and services.
- Operational decisions on what innovation projects are to be supported by the Innovation Fund are jointly made with the Innovation Fund Secretariat (technical specialist, manager and sponsor), the Interdivisional Working Group on Innovation (IDWG), the Innovation Strategy Review Body and the Executive Directors’ Office.
- The IDWG and the Strategy Review Body conduct the selection of projects to be funded by the Innovation Fund. The IDWG pre-selects and recommends potential candidate projects to the Strategy Review Body, which in turn selects final candidates for endorsement by the Executive Director. The Executive Director, following the final recommendations made by the Review Body makes final approval of innovation projects. Since there is no clear scope on what innovation is and what it is not, project selection process plays an important role in the scoping.

1.5 How are specific issues in need of innovation selected and prioritized? (E.g. how areas for innovation are decided upon, the mechanisms to decide the areas for innovation)

- The Innovation Fund establishes that all areas of mandate in UNFPA are subject to present innovative solutions. The selection criteria for innovation projects is not determined by areas in need of innovation but by the degree of innovativeness in the proposals presented which is described in the *UNFPA Innovation Fund Project Selection Criteria* document as follows: (i) Correspondence with the UN principles for Innovation; (ii) new methodologies or ideas; (iii) originality of the innovation (new concept or -variation of an existing); (iv) commitment of other partners to the idea; (v) flexibility of the design; and (vi) scalability of the project.
- There are innovation projects implemented outside the Innovation Fund. The Procurement Services Branch (PSB) at UNFPA for example, which had an Innovation Unit during part of the period evaluated, worked on the use of unmanned aerial vehicles (drones) for last mile delivery of health commodities, automatic identification and data capture (bar coding) and 3D printing. The Innovation Unit at the PSB also launched a supply chain innovation project focusing on efficiency gains by cross-border trades. The Commodity Security Branch (CSB) in New York has also coordinated an innovation project on real data on stocks at health facility level in Mali. Besides, UNFPA in Kenya launched an Accelerator previous to the establishment of the Innovation Fund.

1.6 What are the phases, sequence and main elements of the innovation process?

- To date the main phases of the innovation process covered by innovation projects is (i) testing of early stage ideas and proof of concepts; and (ii) testing of pilots. In some cases *ideation phases* have also been covered, through Challenges, as it is the case in the Hack for Youth project in Uganda. The iAccelerator in the ESA region also covered an ideation phase. At present UNFPA is working on the *scale up phase* for successful pilots and proofs of concepts.

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? E.g. through innovation sponsors, innovation committees, strategic board on innovation.

- The Innovation Initiative represents the corporate drive for innovation in UNFPA. The Innovation Fund is one of the main implementation mechanisms of the Initiative. Leadership on innovation in UNFPA may come from any business unit across the organization (regional, country offices and divisions in headquarters) implementing innovation projects. Having said that, the leadership of the Innovation Initiative is clearly delineated:

- The Innovation Fund Secretariat leads the Innovation Initiative, including the Innovation Fund (an Innovation Project Sponsor, an Innovation Project Manager, and an Innovation Technical Specialist) and this is the core group that coordinates and manages the Innovation Fund.
- The Innovation Initiative is steered by an Inter-divisional Working Group on Innovation (IDWG). The IDWG is composed by 22 innovation focal points in all regional offices, one country office per region, and from the different divisions in Headquarters.
- The Strategy Review Body, composed by five UNFPA Executive Committee members, plays a key role in the final review of innovation project proposals submitted for funding to the Innovation Fund.

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- The Innovation Initiative, including the Innovation Fund, is currently hosted at the Technical Division. The Innovation Sponsor is the Director of the Technical Division. This placement has worked to date. There are no indications of any cons to the approach.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels)

- The resources of the Innovation Fund are accessible to all the staff across the organization. The Innovation Initiative/Fund Secretariat is hosted at the headquarters, but the scope of the initiative is multi-level, covering business units at central, regional and country levels.
- The IDWG has one focal point from each regional office and one country office focal point from each region. The IDWG regional and country members are expected to bring innovation into their regions / countries.
- The last call for proposals of the Innovation Fund was a regional call for proposals. It allocated a certain amount of resources to each region, which were then responsible for the management of the funds – identifying and selecting innovation solutions in their regions (final approval of projects for funding was kept at headquarters level).
- Though incipient, regional innovation networks (of innovation focal points at country level) are starting to play a role in structuring collaboration across countries and between countries and regional offices.

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- Innovation solutions in UNFPA may be generated across the organization. The Innovation Fund, the main internal funding mechanisms for innovation projects, operates on the basis of open calls for proposals open to all the staff in the organization.
- The Innovation Fund has two approaches to generate innovative ideas / solutions by the internal staff: (1) Through the calls for proposals. Since 2014 five calls have been launched receiving 149 project proposals of which 29 have received funds; and (2) Through *Innovation Days*. 28 *Innovation Days* have been hosted. The rationale behind this event is to provide tools to country staff and other stakeholders to think of innovative solutions.
- Staff within UNFPA business at all levels leads the design of innovation solutions. Exceptions are the iAccelerator in the ESA region, where participants in the accelerator programme lead the design of solutions; and the solutions generated under the Hack for Youth project implemented in Uganda, also led by young innovators outside the UNFPA.
- Scale up of successfully tested solutions has not yet taken place.

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for

innovation staff? (Voluntaries, full-time, consultant)

- The activities of the Innovation Fund are coordinated and managed by the Innovation Fund Secretariat, endowed with three staff members: an Innovation Project Sponsor, an Innovation Project Manager, and an Innovation Technical Specialist. The latter is a full time position. The Innovation Project Sponsor and the Innovation Project Manager dedicate have partial dedication.
- The implementation of the Innovation Initiative, including the Fund, is supported by the 22 members of the IDWG and the 5 members of the Innovation Strategy Review Body (5 UNFPA Executive Committee members, inclusive of the Innovation Sponsor). In both cases time contributions to the innovation activities are done on a volunteer basis.
- There is one full time regional innovation network coordinator at the regional office in ESA. There are regional innovation focal points in the remaining five regional offices. All of which develop their innovation focal point roles add-on tasks to their main responsibilities and on a volunteer basis.
- The innovation projects focal points are responsible for their funded projects and in charge of the implementation of the projects as well as of monitoring and evaluating progress and potential results.

3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (core, non-core)

- The full time position of the Innovation Technical Specialist come from the Innovation Fund, which is a pooled mechanism funded to date by a non-core contribution from the Finnish Government.
- The ESA regional coordinator position is covered with core funds from the ESA Regional office.

3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected?

- No specific expertise on innovation is required for IDWG members or for innovation project focal points. Promoting a culture of innovation and creativity among UNFPA staff is expected to be one of the results from the Innovation Fund. Innovation is seen as an attitude and a mindset of the staff rather than as a technical expertise.

3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments?

- The recruitment and human resource policies do not include explicit competencies on innovation.

3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed?

- Innovation related workload is usually performed on a volunteer-basis. Contributions to the innovation activities are done on a volunteer basis by IDWG and innovation Strategy Review Body members, and by innovation focal points in regional and country offices. There are two full-time dedicated staff with innovation specific responsibilities: one full time position in headquarters and one full time position coordinating the ESA innovation network.

3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops)

- There are no training courses on innovation being rolled out at present.
- The ESA regional office has produced an Innovation Toolkit offering resources on innovation tools and techniques available to all staff in UNFPA.
- There are webinars, called Innovation Talk Series, held to discuss progress and experience n the implementation of innovation projects.
- Two Retreats with IDWG members and an Innovation Workshop in the ESA region have been organized with external guidance from innovation experts to guide on the strategic decisions. The retreats included capacity building on innovation techniques.
- A guide and methodology for organizing Innovation Days was developed and has been used by many offices. Innovation Days also include training and acquiring innovation skills.

3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (*incentives, recognition & rewards, risk-taking*)

- The Innovation Fund was intended as a mechanism to provide incentive to UNFPA staff to innovate. A key goal of the Innovation Fund is to empower staff to innovate (thus the decision to operate as an open call for proposals open to all members of staff).
- Similarly, the Innovation Fund was established as a channel to enable and facilitate higher levels of risk-taking by staff, promoting the design and implementation of innovative approaches.
- UNFPA recently published a Recognition Toolkit (2016). The document though does not yet feature innovation.

Area 4: Integration of innovation into programming

4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?)

- The Strategic Plan 2014-2017 recognizes innovation as a key element to become a more adaptable, flexible, and nimble organization in order to have impact in a world that is increasingly complex and fast moving.
- The Strategic Plan 2014 - 2017 also presents innovation as a way of delivering on the strategic direction of the Plan. Innovation is specifically mentioned under organizational effectiveness and efficiency, and when addressing the allocation of programmatic resources, under the resources and results section. To this end, the Plan foresees the creation of an “Opportunities Fund” (later referred to as the Innovation Fund) as an instrument financed from non-core contributions, with two interrelated purposes: as a funding mechanism, and as a way to strengthen the culture of innovation in UNFPA.
- Subsequently, UNFPA incorporated “innovation and creativity” as one of the 2014 Corporate Priorities.

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- The projects supported by the Innovation Fund are often linked to country programmes. Either because they are implemented in the framework of country programmes or because they include (innovative) spin-offs of interventions that started off in a country programme.
- Innovation is not yet integrated as programmatic element in the Strategic Plan. This partly explains the incipient integration of innovation in country and regional programmatic frameworks.

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

- Country, regional and global programs do not explicitly report on innovation. The Strategic Information System (SIS) does not include specific questions on innovation.
- The Innovation Fund though has a project-based reporting system. The reporting system is based on quarterly update reports and quarterly update meetings that put the attention on implementation progress of the projects supported by the Innovation Fund.

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

- Audit for innovation projects require three elements in place: (i) a mechanism ensuring that the money is used for the intended purpose; (ii) a periodic revision mechanism ensuring that the project can stop as soon as there are indications that it does not work; and (iii) a mechanism enabling reporting on real results as they are generated.
- The audit system in UNFPA recognizes that innovation involves experimenting and accepts that there may be no results. Adequate monitoring systems rather than failure could be the problem when auditing innovation projects.

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

- The criteria used in the Innovation Fund for the selection of innovation projects includes a question on whether the project has potential impact to be scaled-up.
- The end of 2016 has seen the cohort group of projects supported by the Innovation Fund being completed. Some of these projects implemented successful proof of concepts, some of which show possibilities for scale up. The Innovation team at the Secretariat is starting work for development of a scalability framework for successful innovations.

Area 5. Monitoring and evaluation**5.1 M&E systems:** How is innovation integrated in the organization's M&E systems?

- The Innovation Initiative does not have an M&E framework.
- The Innovation Fund features a document on "Key considerations for a monitoring and evaluation framework", which includes a section on a "Monitoring and evaluation framework of the Innovation Fund". This section includes some elements and indicators, but it was not translated into an operational monitoring system. This document also includes a general requirement to evaluate the Innovation Fund.
- The integrated results framework of the Strategic Plan 2014-2017 includes an output (under organizational effectiveness and efficiency) formulated as "increased adaptability through innovation, partnership and communication". There are no specific indicators on innovation associated to this output.

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

- The degree of innovativeness of the innovation projects funded by the Innovation Fund is associated to pre-established selection criteria. Nearly one third of the total scoring points is directly linked to whether the project is "innovative". This includes whether the project corresponds with the UN principles for innovation, whether the project incubates new methodologies or ideas, whether the innovation is original, and whether the design is flexible/agile or adaptable to different contexts.

5.3 Monitoring: How are innovation interventions/solutions monitored? (*What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism*)

- The Innovation Fund has a monitoring mechanism in place covering the follow-up of individual projects and requirements to evaluate. The monitoring mechanism for individual projects supported by the Innovation Fund is based on a reporting system.
- There are M&E systems at project level. They are mostly activity and output based. They were based on logical frameworks and data requirements focused on reporting on progress.

5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (*What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?*)

- The document on the *key considerations for a monitoring and evaluation framework* (2014) stipulates that there will be an evaluation by the end of 2016. The evaluation was set to provide insights into whether and how the innovation Fund could continue its operation two years after it was launched. Later on it was decided that this evaluation would have a strong formative approach. That evaluation is the formative evaluation into which this comparative analysis is inserted.
- At the time of this comparative analysis there had been an external evaluation of one of the projects implemented by the Innovation Fund, namely, the UN shared Vehicle Pool project. The evaluation focuses on the outputs and achievements of the project.

Area 6. Funding frameworks**6.1 Strategy:** What is the funding strategy/approach for innovation in the organization?

- The Innovation Concept paper of September 2014 states that the Innovation Fund does not supplement programmatic funds and will not be used to scale up existing activities. The Fund will be used to develop new structures within the organization and projects. To date, the Innovation activities in UNFPA are funded through a "Pooled UNFPA Innovation Fund". To date the Danish Government has been the main contributor to the Innovation Fund. The Finish government at the end of 2016 signed an agreement to provide support for the acceleration and scaling of the successful innovative solutions. The UK government provides funding for innovation through a regional programme in East and Southern Africa.

6.2 Sources: What are the main sources to fund innovation and what do they fund? (*What is funded through core funds? non-core funds? and through both?*)

- The main source of non-core funds is the contribution of the Danish Government to the Innovation Fund. The Innovation fund allocates a 25% of the funds to the culture stream and 75% of the funds to projects. The use of the funds were not attach to conditions but were rather flexible – the funds were offer to UNFPA to experiment on innovation approaches and explore innovation pathways within the organization.

6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)?

- The innovation fund has no caps allocated to the projects submitted.
- Under the new region-based call for proposals (July 2016), the Innovation Fund has opted to distribute funds equally across regions. In the so-called regionalized call for proposals each region has an allocation of USD150,000.

6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case?

- The Innovation Fund allocates part of its financial resources to early stage initiatives. It is mostly meant for ideation and testing of innovative solutions.

Area 7. Innovation Funds structure and functioning (if applicable)**7.1 Rationale:** What is the rationale of the innovation fund? (What does it fund, why and what for? - including what innovation stages are covered by the Fund)

- The Innovation Fund was launched following the announcement of "promoting innovation and creativity" as a corporate priority in 2014. As set out in the Innovation Concept Paper the Innovation Fund is expected to have a catalytic nature and is conceived "as a tool for generating a cultural shift within UNFPA by providing motivation and a mechanism for staff to generate, fund and implement innovative ideas". The Innovation Fund was conceived to support pilot projects and covers mostly ideation and testing phases.

7.2 Management process: What is the management process from goal setting to allocation of funds? (Brief description; voting, call for proposals, selection phases)

The innovation Fund consists of an open call for proposals for UNFPA staff to submit innovative projects. The management process is as follows:

- All staff are invited to submit project proposals during established days.
- A period to vote the submitted projects using an online platform is opened to all staff.
- The IDWG members revise and comment all the submitted projects.
- The Innovation Strategy Board will review the shortlisted projects by the IDWG to endorse.
- The final list is send to the Executive Director and Deputy Executive Directors of UNFPA for final

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| <p>approval.</p> <ul style="list-style-type: none"> ○ The awarded projects are published in the internal website of UNFPA and communicated to all staff. |
| 7.3 Governance: What governance mechanisms are in place? (<i>Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects</i>) |
| <ul style="list-style-type: none"> ● The decision-making process for the selection of innovation project proposals is performed by the IDWG, the Strategy Review Body and by the Executive Director (see section 1.4). ● All communications, templates and documents (project proposals) related to the Innovation Fund are uploaded in an internal site referred to as the Innovation Hub. ● Communication is mainly followed by emails sent out from headquarter and regional offices as well as using an internal newsletter platform Voices. ● To mitigate conflicts of interest, members of these three groups submitting a proposal were not allowed to vote or attend the meetings assessing their projects. ● The latest guidelines for applicants of May 2016 include the condition that conflicts of interest must be declared and that panels must not consist of members that are submitting proposals. |
| 7.4 Selection: What are the project selection criteria to award innovation projects (<i>rationale, allocations - including funding caps</i>)? How are these criteria communicated to the participants? Are they integrated in guidelines? |
| <ul style="list-style-type: none"> ● These criteria are accessible through the Innovation Hub (web platform available only for UNFPA staff). ● The project selection criteria include 23 specific questions around five areas: 1) Problem or Opportunity / Justification of the Project (15%); 2) Well-defined Solution (25%); 3) Innovative Approach (25%); 4) Success Metrics (20%); and 5) Dissemination of Knowledge (15%). |
| 7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels) |
| <ul style="list-style-type: none"> ● The calls for proposals are open to all UNFPA staff worldwide. ● The fifth call for proposals was launched in June 2016, under a new region-based call for proposals. Regional IDWG members established regional review committees that shortlisted project proposals in their respective regions. ● The activities of the Innovation Fund are coordinated and managed by the Innovation Fund Secretariat, which is based in UNFPA Headquarters. In addition, the 22 IDWG members include one representative from each regional office and one country office per region. Together with the Innovation Fund Secretariat they are in charge of commenting and selecting Project proposals. |

Area 8. Partnerships

8.1 Rationale and scope: what are partnerships used for and when? (*Ideation, development of solutions, scale-ups, etc.*)

- *Promoting and cultivating new, unusual, unique innovation-focused partnerships, in particular with the private sector* is a central element in the seminal Innovation Concept Paper of September 2014, and one of the eight prongs of the Updated Vision of Innovation at UNFPA of 2015.
- The *Innovation Concept Note* establishes that partnerships are meant to facilitate and create space for experimentation in programming and approaches, including creating an enabling environment that complies with relevant UNFPA policies and procedures.
- Partnerships, in the framework of the Innovation Fund are intended to learn from and reinforce innovation at UNFPA.

8.2 Partners: Who are the main partners in innovation and in what sectors?

- The main partners in innovation for UNFPA as established in the *Innovation Concept Note* are: UN sister

organizations, as well as other international agencies, academia and the private sector.

- Some partnerships have been established with the private sector through innovation projects, such as the partnership with Phillips in the frame of the Community Life Centers project in Kenya or with the Nailab startup incubator in Kenya in the context of the iAccelerator. Partnerships with academia include the partnership with the Massachusetts Institute of Technology (MIT) in the context of the Hack for Youth project and the partnership with Innovations in Healthcare (Duke University) in the context of the iAccelerator in Kenya.
- UNFPA participates in the UN Data Innovation Lab workshops on data for decision-making, which are an example of an inter-agency collaboration on innovation with other United Nations Innovation Network members (UNICEF, WFP, UNCHR and the UN Global Pulse).
- The Innovation Fund Secretariat at UNFPA participates in the meetings of the United Nations Innovation Network (UNIN) and sits in the steering committee of the Global Alliance for Humanitarian Innovation.
- In the framework of the Innovation Fund, there has been an eventual inclusion of atypical partners in some *Innovations Days*, which would also include private sector and academia.

8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from?

N/A (*There are no specific resources allocated to developing partnerships*).

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- Partnerships with the contributors (donors) to the Innovation Fund are based on Memorandums of Understanding and agreements.
- Partnership with private sector and academia are project-specific. In most cases academia are implementing partners in innovation projects.
- At the present moment there is no staff dedicated to the development of innovation-specific partnerships.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- The recent establishment in 2016 of the UNFPA Strategic Partnerships Branch offers good prospects in terms of the development of innovation-specific partnerships with private sector firms (large and small). One of the approaches developed by the branch under the new Strategic Partnerships framework is the focus on "brainpower partnerships" for solutions, which addresses core bottlenecks faced by the organization.
- Current procedures do not contemplate private sector firms as implementing partners. Rather partnership policies are for resource mobilization.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

- Quarterly update meetings take place every three months during a call with all the innovation project focal points (projects supported by the Innovation Fund). During this calls there is an exchange on progress and status of the implementation of the projects. The reports are then shared to all the innovation project focal points. The report focuses on the implementation rather than on learning though.
- The Innovation Fund features a tool to report on "failed" projects called *failure reports*. These reports were design to collect the insights accrued for projects that have not worked. These reports have been

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| rarely used. |
| 9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated? |
| <ul style="list-style-type: none"> Linkages between innovation, knowledge management and south-south cooperation have not yet been explored. The Strategy Review Body has the chief of the South-South Global Project at UNFPA and one of its members. In some regions, the officers in charge of knowledge management are also the innovation focal points. These two elements offer good prospects in terms of future integration of these areas. |
| 9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (<i>What are the tools in place e.g., internet-based collaboration/ communications tools that allow staff - and external partners - to share knowledge, and further innovate</i>) |
| <ul style="list-style-type: none"> Innovation Talk Series are webinars where all the staff in UNFPA are invited to participate. During these talks innovation project focal points (or teams) are invited to share some experiences gained from the implementation of innovation projects. The Innovation Hub is an internal web space accessible to all UNFPA staff. The Hub features a full inventory of documents related to Innovation Fund projects and procedures, including copies of all project proposals submitted to the Innovation Fund in the five calls for proposals launched to date. At the time of data collection for the Formative Evaluation of the UNFPA Innovation Initiative, the regional office in East and Southern Africa had developed a knowledge-based platform using the MyUNFPA space. In this knowledge base platform, staff can find a full repository of documents and tools to learn about innovation. This tool was coordinated by the ESA regional focal point and first tested in the region. The East and Southern Africa region designed a workshop for Regional Innovation Focal points, including some IDWG members from other regions. The session was held by an innovation specialist company and focused on building a regional innovation community, sharing learning across country offices and learning about innovation tools and techniques. |

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| Area 10. Insights |
| 10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (<i>Things that did not work, suggestions on musts and must nots</i>) |
| <ul style="list-style-type: none"> The Calls for Proposals launched through the Innovation Fund proved to be a good approach to create a momentum for innovation. The fact the calls were open to all staff made a difference to help positioning innovation in the agenda of the organization. Interacting with the innovation ecosystem is crucial to effectively turn ideas into products, services and improved business processes that fit the needs of the context. This could mean more innovation-focused partnerships with the private sector, UN sister agencies, academia and civil society organizations. Also, it means having UNFPA staff on the ground interacting with the innovation ecosystem and looking for ideas and solutions collectively to then share these ideas more broadly through the innovation network. Innovation requires dedicated human resources. Volunteer-based schemes work but they have limits to what it can be achieved. From the East and Southern Africa region a main learning is that having a dedicated person to facilitate the development of an innovation network at regional level has had direct positive effects. A main insight to date is that to fully integrate innovation - as a corporate priority - there is a need to have a dedicated Innovation team (headquarters and in the regions). |
| 10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization? |

organization to become more innovative without having to spend considerable resources. This is crucial given that changes in systems tend to precede changes in culture.

- Innovation days proved a very cost effective way to generate a drive towards innovation, making staff think beyond business as usual and contributing to acceptance of new ideas.
- Regional offices have played an important role in the preparation and selection of project proposals during the fifth round. However their role in knowledge and experience sharing is still modest. There is a big potential in the regions to incorporate innovation. The Regional network example of East and Southern Africa has proved quite effective in terms of nurturing a culture of innovation among staff. This example can be incorporated as a general practice throughout the organization. The Arab States region has already planned the creation of an innovation network and a community of practice of innovation.
- Senior management could play a higher role in promoting a culture of risk and acceptance of failure by explicitly encouraging higher levels of risks among staff. Mentorship and coaching also play an important role to promote self-confidence in innovation processes.

Sources:

- Interviews with Bruce Campbell, Innovation Fund Sponsor; Leslie Berman, Innovation Technical Specialist; Michael Herrmann, Innovation Fund Manager; Benoit Kalasa, Innovation Fund Sponsor; Charles Otine, Innovation Technical Specialist and Matthew Cogan, Innovation technical Specialist.
- The UNFPA Strategic Plan 2014 - 2017
- UNFPA Innovation Concept Paper September 2014
- UNFPA Innovation IDWG Retreat Report and Recommendations for an Updated Innovation Vision, 2015-17
- UNFPA Innovation Fund Project Selection Criteria
- Innovation Fund – M&E Framework
- Corporate Priorities and Projects for 2014
- UNFPA Innovation Hub: <https://sites.google.com/a/unfpa.org/innovation-at-unfpa/home>
- ESARO Knowledge Base: <https://sites.google.com/a/unfpa.org/esaro/>
- 5 tips for innovation: <https://www.youtube.com/watch?v=opXFe5Hcow4>
- <http://www.i-am.co.ke/>
- UNFPA Innovation Accelerator: <https://sites.google.com/a/unfpa.org/iaccelerator/?pli=1>
- Innovation in procurement: www.youtube.com/watch?v=ewD_Yc3N_dE&feature=youtu.be
- Draft report of the Formative Evaluation of the UNFPA Innovation Initiative



UNIN COMPARATIVE TABLE

Word Food Programme (WFP)

Information gathered: December 2016 and February 2017

Area 1. Innovation: Definition institutional vision and scope

1.1 Definition of innovation in the organization: why innovation? What for? (E.g. *why innovation is important to the organization; what is expected of the employees as contributors themselves; the specific commitments that leadership will make to drive innovation; and metrics for measuring innovation successes*) and where is the definition stated? (E.g. corporate vision statement)

- What innovation means to WFP is reflected in several parts of the innovation website:
 - Innovation is seen as critical: "As the world changes, innovation is critical to enable the World Food Programme (WFP) to meet global needs and to deliver on its mandate to end hunger (<http://innovation.wfp.org/>)
 - "The innovation Accelerator was launched in 2016 in Munich, Germany to better identify, support and scale promising ideas and potential solutions to help reach our global goal of Zero Hunger by 2030" (<http://innovation.wfp.org/>)
- With regards to the Innovation Accelerator: "We believe the way forward in the fight against hunger is not necessarily in building grand plans, but identifying and testing solutions in an agile way" (<http://innovation.wfp.org/innovation-accelerator>).

1.2 Origin: When and how was innovation formally announced/launched in the organization?

- WFP has always incorporated innovation into programme development. The approach was formalized and structured through the establishment of the Innovation and Change Management Division and the Innovation Accelerator.
- Some examples of innovation prior to the establishment of the Innovation and Change Management Division are: (1) the cash-based transfer programme - representing 2% of the WFP expenditure six years ago and 30% now (<https://www.wfp.org/node/649696>); (2) the Mobile Vulnerability Assessment Mapping (mVAM) set up in 2013 (http://vam.wfp.org/sites/mvam_monitoring/); (3) the R4 Rural Resilience Initiative, a comprehensive risk management approach to help communities be more resilient to climate variability and shocks; and (4) the Cooperating Partners' Innovation Fund (CPIF) launched in 2013.
- Innovation at an institutional level started in 2014, previous to the establishment of the Innovation Accelerator. It started with an Innovation Award for WFP staff promoted through an email send by the Executive Director to all staff in the organization. All staff in WFP were asked to joint the conversations on innovation.
- The Innovation Accelerator started operating in August 2015.

1.3 Scoping of what is innovation and what is not innovation e.g. *innovation is solutions, in ways of working (how TA is delivered, programmatic planning), innovation in organizational efficiency (procedures, commodities supply, procurement)*

- The Innovation Accelerator plays a key role in this regard, as it identifies systematically promising ideas and potential solutions to help reach our global goal of Zero Hunger by 2030 (<http://innovation.wfp.org/>).

1.4 How is the scoping process conducted (of what is innovation and what it is not)? And who makes those decisions?

- The identification of promising ideas and potential solutions takes places through innovations challenges (the -internal - Innovation Challenge) and it gets further refined in the Boot Camps (3-10 days at the Innovation Accelerator) and the Sprint Programme (3 to 6 month program at the Accelerator – focus on proof of concept and / or developing prototypes). The Innovation Challenge was internal until 2016 - early 2017 the Innovation Accelerator ran its first external challenge in collaboration with Singularity University.

1.5 How are specific issues in need of innovation selected and prioritized? (E.g. *how areas for innovation are decided upon, the mechanisms to decide the areas for innovation*)

- Innovation focuses essentially on solutions to achieve zero hunger. Sustainable Development Goal number 2 is "End hunger, achieve food security and improved nutrition, and promote sustainable agriculture"; and a

main channel to identify innovation areas for WFP is inquiring about what are the bottlenecks at present to end hunger.

1.6 What are the phases, sequence and main elements of the **innovation process**?

- Innovation in WFP covers all the phases of the innovation value chain. The main phases and their sequence may be summarised as follows: Innovation challenges (ideation / identify solutions) → Innovation Boot Camps (ideate solutions and refine project plans) → Sprint Programme (proof of concept / prototypes / testing) → Zero Hunger Acceleration Fund (scale up).

Area 2. Organizational structure

2.1 Leadership: How is innovation led in the organization? *E.g. through innovation sponsors, innovation committees, strategic board on innovation.*

- There is Innovation and Change Management Division, headed by a D2 Director who reports to the Executive Director.
- Previous to this format, there were innovation teams spread across divisions and departments. Since 2015 innovation is concentrated, organizationally, in a central division, the Innovation and Change Management Division.

2.2 Organogram: How and where is the innovation function housed (rationale)? (Pros and cons of flexibility, integration aspects)

- The innovation function is housed in the Innovation and Change Management Division. The Munich based Accelerator feeds into this division in HQ in Rome.
- Munich was selected as a strategic location due to the extensive industry, academic and innovation ecosystem.

2.3 Levels: How is innovation structured throughout the different organizational levels (central, regional, country levels)

- Innovation at WFP does not follow a structure across organizational levels. All staff at any organizational level may go through the Innovation Accelerator and then return to their offices to implement their projects. Staff may be from headquarters, regional bureaus and country offices.
- Innovation specialist support is provided during the Bootcamp trainings etc. in Munich, but ongoing additional support is also provided to projects on site (e.g. at country office).

2.4 Decision-making: Where in the organization are appropriate innovation solutions generated, designed, tested and scaled up? Who has the responsibility for these decisions in the organizational structure?

- Decision-making in relation to the innovation process mostly takes place in the framework of the Innovation Accelerator (with the caveat that the Accelerator does not have a policing function on the ideas of the start-ups). Ideation takes place through *challenges* (such as the Innovation Challenge and the Global Impact Challenge) and Boot Camps. Proof of concept and testing takes place within the Sprint Programme, and the Zero Hunger Acceleration Fund provides grants for scaling up (projects and start-ups that graduate from the WFP Sprint Programme are eligible for funding).

Area 3. Profile of staff and staff resourcing

3.1 Current profiles: How many staff is in the organization with specific responsibilities on innovation? What is the background and profile of innovation staff? What are the contractual arrangements for innovation staff? (Volunteers, full-time, consultant)

- There are between 15-20 staff working in the Innovation Accelerator. These staff provide coaching to the accelerated teams (users of the accelerator).
- The Innovation Accelerator has since its inception combined work between internal teams (WFP staff, internal entrepreneurs) and external partners (external start-ups). The Accelerator bridges and teams

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| <p>internal staff up with staff from start-ups and external NGOs.</p> <ul style="list-style-type: none"> Recently, the accelerator has started to work with external teams only, in some instances. |
| 3.2 Funding: what is the origin of the financial resources to pay for staff with specific responsibilities on innovation? (<i>Core, non-core</i>) |
| <ul style="list-style-type: none"> The German government provided seed funding for Accelerator activities, through a multi-year agreement. Diversification of funding is envisaged. |
| 3.3 Expertise: How is the balance and interaction between expertise in innovation and expertise in thematic areas selected? |
| <ul style="list-style-type: none"> All staff in the Innovation Accelerator has implemented innovation projects in the field (they have practical experience). Some of them are founders of start-ups. There is only a few staff with specific innovation expertise only. Most staff features thematic / sector related expertise and has experience in innovation projects. |
| 3.4 Recruitment: How are innovation skills and openness reflected in the recruitment processes and in the human resource assessments? |
| <ul style="list-style-type: none"> In addition to WFP core skills, Accelerator staff have backgrounds in start up, entrepreneurship and consulting. The Accelerator recruitment process is aligned to the WFP recruitment processes. The Accelerator is responsible for developing innovation specific TORs for advertising, shortlisting, interviewing and selection. |
| 3.5 Workload: How are the working arrangements and workload distribution for innovation specific staff distributed? |
| <ul style="list-style-type: none"> Staff at the Innovation Accelerator, are full-time staff. Internal entrepreneurs have the ability to spend a week in Munich as part of the boot camp and further arrangements are made in alignment with country management. |
| 3.6 Training: How are innovation skill sets and capacity developed among staff (training courses, retreat, workshops) |
| <ul style="list-style-type: none"> The Innovation Accelerator provides a week of mentorship (Bootcamp) to 9 to 10 teams in parallel. These teams are composed of WFP staff. After that week they apply and subsequently produce a project plan. On the basis of that plan the Accelerator decides on whether to provide them funds or not. When funds are provided teams return to their countries to implement the project plan. A mix of those winning the innovation challenge and those that are come through the WFP innovation network. The teams chosen are approved by the Head of the Accelerator. |
| 3.7 Incentives: What type of actions are adopted to foster innovative approaches among staff (<i>incentives, recognition & rewards, risk-taking</i>) |
| <ul style="list-style-type: none"> Challenges, Boot Camps and the Sprint Programme are open to internal WFP staff. This acts as an incentive. The Innovation Accelerator process offers recognition as well as a proper environment for risk-taking. |

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| Area 4: Integration of innovation into programming |
| 4.1 Strategic frameworks: How is innovation integrated in strategic frameworks (As an Initiative? As a program? As a mode of intervention? As a way of doing things? As a principle?) |
| <p>Innovation is integrated both in the Strategic Plan 2017-2021 and in the WFP Corporate Results Framework 2017-2012:</p> <ul style="list-style-type: none"> WFP Strategic Plan 2017-2021: <ul style="list-style-type: none"> The executive summary of the plan states “Programme and <i>operational innovation</i>, effective communication, stakeholder advocacy, continuous staff skill development are critical requirements for a successful delivery of the Plan”. |

- Innovation is explicitly mentioned as a crucial element to the achievement of the Plan. Paragraph 4, page 5: "In addition, to achieve the vision and goals of the Strategic Plan in a constantly changing world, it will be crucial for WFP to leverage and strengthen innovation efforts, including through the WFP Innovation Accelerator". This is further reinforced in paragraph 27, page 13: "In addition to these strategic and operational partnerships, *innovation*, communication and advocacy, and development of staff awareness and capacity will be crucial for delivering on the Strategic Plan".
- Innovation is also included in ""Strategic Objective 4: Support SDG implementation", as one of the elements to improve implementation of national plans to achieve all the SDG (Page 24).
- WFP Corporate Results Framework 2017-2021:
 - In the May 2016 version of the Framework (<http://documents.wfp.org/stellent/groups/public/documents/resources/wfp283714.pdf>) innovation appears in Strategic Result 5 within Strategic Goal 2 (Partner to support implementation of the SDGs (SDG 17)). Strategic Result 5 is "Countries have strengthened capacity to implement the SDGs (SDG Target 17.9): International support for capacity strengthening, including through South-South and triangular cooperation, improved implementation of national plans to achieve all the SDGs, especially through greater technology transfer, innovation, improved data collection and quality, and knowledge sharing". Operational outcome 5.5.1 is "Innovations, technologies and best practices introduced by WFP are scaled-up by Partners"
 - In the November 2016 version of the document (<http://documents.wfp.org/stellent/groups/public/documents/resources/wfp287815.pdf>) innovation is part of one of the 5 Management Dimensions that reflect the management priorities that WFP believes are essential for managing a successful organization (paragraph 22): "Processes and systems: WFP has efficient processes and systems that support optimal project design and implementation, supply chains, learning, sharing and innovation".

4.2 Programmatic frameworks: How is innovation integrated in programmatic frameworks i.e. country and regional programmes (as innovation interventions, as a component into interventions, etc.)

- Innovation initiative / project plans are developed by WFP staff (internal entrepreneurs) in the Innovation Accelerator and implemented in the framework country programmes
- The Accelerator provides guidance to county offices on how to drive innovation discussions and incorporate innovation into their country strategy plans (CSP).

4.3 Reporting systems: Is innovation captured in reporting systems for programs? If so, how? If not, what are the reporting channels/ systems for innovation?

- Reporting takes place through the WFP annual performance reporting process through country offices as well as through Innovation and Change Division and in addition an annual report is presented to the Accelerator's donors.

4.4 Audit: How are innovation projects audited (financial/performance) in comparison to regular programs?

- In alignment with WFP corporate policies.

4.5 Scale up: How are successful innovations scaled up in ongoing and future programmes?

- Second stage innovations that have reached a proof of concept are scaled up globally through the grants provided by the WFP Zero Hunger Acceleration Fund.

Area 5. Monitoring and evaluation

5.1 M&E systems: How is innovation integrated in the organization's M&E systems?

- Innovation is integrated into the Corporate Results Framework 2017-2021: the operational outcome 5.5.1 is "Innovations, technologies and best practices introduced by WFP are scaled-up by Partners".
- M&E framework for the Accelerator is currently being developed.

5.2 Innovativeness: How is the degree of innovativeness of innovation projects / solutions assessed?

- The degree of innovativeness of ideas is assessed as one of the criteria in the selection process of the Challenges e.g. "Entrepreneurial and innovative potential, with a focus on technological novelty" is one of

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| <p>the assessment criteria of the Global Impact Challenge (See rules and criteria in https://su.org/gic/2017/wfp/)</p> <p>(The documentation of the process for the selection of Sprint Programme Candidates is under development).</p> |
| 5.3 Monitoring: How are innovation interventions/solutions monitored? (<i>What is tracked? and how? monitoring systems, mechanisms and tools for identification of failure/success in ideas, tests, scale ups; who does what and when; reporting mechanism</i>) |
| <ul style="list-style-type: none"> The Innovation Accelerator team constantly reviews the performance of the innovation projects i.e. what are the achievements after three months of implementation. Lean start-up methodology principles are applied to the acceleration process, including regular monitoring. The Innovation Accelerator staff does not exert a policing function. Even when Accelerator staff is not convinced about the project, start-ups/NGOs are allowed to continue if they wish. The Accelerator's results framework is currently in development (December 2016). |
| 5.4 Evaluation: Are innovation interventions/solutions evaluated? If, so, how? (<i>What is evaluated? - scope of the evaluations (input, output, outcome, impact); when? How? Is innovation evaluated separately or as part of country programme evaluations/ other wider evaluations? What are the main methodologies and tools?</i>) |
| N/A |

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| Area 6. Funding frameworks |
| 6.1 Strategy: What is the funding strategy/approach for innovation in the organization? |
| <ul style="list-style-type: none"> The German government provided seed funding for Accelerator activities through a multi-year agreement. Diversification of funding is envisaged. Project specific fundraising may also take place. |
| 6.2 Sources: What are the main sources to fund innovation and what do they fund? (<i>What is funded through core funds? non-core funds? and through both?</i>) |
| <ul style="list-style-type: none"> The Innovation Accelerator is supported by three donors in Germany: the Federal Ministry of Economic Cooperation and Development in Germany, the Federal Foreign Office and the Bavarian State Ministry of Food, Agriculture and Forestry. |
| 6.3 Fund allocation - geographical: How are resources allocated throughout the organizational structure (central, regional, country levels)? |
| N/A (Funds are not allocation geographically). |
| 6.4 Fund allocation - innovation stages: How are resources distributed across the different stages of innovation? (Ideation, testing/proof of concept and scale up)? And what is the origin of the resources in each case? |
| <ul style="list-style-type: none"> Support to innovation in WFP covers all the different stages of innovation, from ideation to scale up. These stages are all part of the Innovation Accelerator, funded by the donors mentioned above. |

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| Area 7. Innovation Funds structure and functioning (if applicable) |
| 7.1 Rationale: What is the rationale of the innovation fund? (<i>What does it fund, why and what for? - including what innovation stages are covered by the Fund</i>) |
| <ul style="list-style-type: none"> The Zero Hunger Acceleration Fund is a mechanism of the Accelerator that enables the scaling up of promising ideas. The Fund is a part/activity of the WFP Innovation Accelerator and provides grants to second stage innovations that have reached a proof of concept to scale globally. In 2013 the WFP launched the Cooperating Partners' Innovation Fund (CPIF) (http://www.wfp.org/blog/blog/new-wfp-fund-aims-promote-innovation-food-assistance). The objective of the Fund was to promote collaboration with NGOs in the design and development of new tools and approaches for food assistance. The first call for proposals focused on innovative ideas around cash and voucher programming. |

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| 7.2 Management process: What is the management process from goal setting to allocation of funds? (<i>Brief description; voting, call for proposals, selection phases</i>) |
| N/A (The Zero Hunger Acceleration Fund structure is not finalized yet as of December 2016). |
| 7.3 Governance: What governance mechanisms are in place? (<i>Including transparency and accountability systems, prevention and management of conflict of interest and ethical aspects</i>) |
| N/A (The Zero Hunger Acceleration Fund structure is not finalised yet as of December 2016) |
| 7.4 Selection: What are the project selection criteria to award innovation projects (<i>rationale, allocations - including funding caps</i>)? How are these criteria communicated to the participants? Are they integrated in guidelines? |
| N/A (The Zero Hunger Acceleration Fund structure is not finalised yet as of December 2016). |
| 7.5 Levels: How is innovation fund structured throughout the different organizational levels (central, regional, country levels) |
| N/A (The Zero Hunger Acceleration Fund supports second stage innovations throughout the organization i.e. regardless of the organizational level they originated in). |

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| Area 8. Partnerships |
| 8.1 Rationale and scope: what are partnerships used for and when? (<i>Ideation, development of solutions, scale-ups, etc.</i>) |
| <ul style="list-style-type: none"> • The use of partnerships in the context of innovation is a key feature of innovation in WFP. <ul style="list-style-type: none"> ◦ Paragraph 52 of the Strategic Plan states “WFP will facilitate responsible and accountable partnerships for strengthening country capacities, ensuring coherent policies and actions, encouraging multi-stakeholder participation in implementation, and promoting innovation for achievement of all SDGs” ◦ Similarly paragraph 53 sets out that “ WFP will support partnership-based actions for continuous innovation and learning to address the multiple challenges to sustainable development, including through South-South and Triangular cooperation leveraging its presence in over 80 countries”. • Partnerships are used throughout the innovation process / stages E.g. ideation: partnership with Singularity University for the Global Impact Challenge; Boot Camps and the Sprint Programme (within the Innovation Accelerator) include external start-ups; and the R&D (Thought Leadership) component of the Innovation Accelerator works with UN sister agencies, academia and private sector. |
| 8.2 Partners: Who are the main partners in innovation and in what sectors? |
| <ul style="list-style-type: none"> • The Accelerator maintains partnerships with government, academia and private sector corporate firms as well as start-ups. • R&D (Thought Leadership) within the Innovation Accelerator works with sister agencies, academia and private sector to explore new trends, technologies and long-term project strategies that can help move towards Zero Hunger. • The WFP's Private Sector Partnership and Fundraising Strategy: An Evaluation (September 2012) (http://documents.wfp.org/stellent/groups/public/documents/reports/wfp251868.pdf?ga=1.65209767.822341780.1485016742) features a number of examples of quite advanced private sector partnerships when it comes to innovation: <ul style="list-style-type: none"> ◦ On page 20 “there were significant examples of building on the comparative strengths of the private sector including, for example, the support to innovation in nutrition by DSM (and more recently Coca-Cola and PepsiCo), the work of TNT and the Logistic Emergency Teams (LETs) in logistics and the Boston Consulting Group (BCG) provision of management consultancy”. ◦ The evaluation also describes the partnerships with Unilever for school feeding (see paragraph 58, page 24 of the evaluation report). |
| 8.3 Resources: How are resources allocated to developing partnerships, and where do the funds come from? |
| <ul style="list-style-type: none"> • Partnerships are developed by innovation staff at the Innovation Accelerator as well as by innovation project teams. |

8.4 Partnership arrangements: Are partnership arrangements innovation-specific or are part of the organization's general partnership portfolio? Are they contract-based? MoU-based? Project-specific? Challenge-specific?

- Large scale partnerships: TNT, Unilever, Pepsico as well as smaller-level partnerships with start-ups and NGOs through accelerator in alignment with WFP corporate structures.

8.5 Private sector partnerships: Are there any specific policies for partnering with the private sector on innovation? (Are they based on general partnership policies or based on special mechanisms e.g. fast-tracking mechanisms)

- The Accelerator maintains partnerships with government, academia and private sector corporate firms as well as start-ups.
- The Innovation Accelerator is a private sector accelerator, eminently focusing on private sector (start-ups). See also examples in section 8.2 above.

Area 9. Learning from innovation

9.1 Integration: How is learning from innovation interventions/solutions extracted and incorporated in the organization (*Especially for failed projects / solutions*)?

- Internal learning is essential to continuously improve processes. This is done through existing knowledge management processes (such as internal communication platforms, team retreats, project manager meetings, bootcamps where teams share experiences etc.) There no separate formal process. Local innovation hubs exist at regional and country office level.

9.2 Linkages: How are the linkages between innovation and the policy, knowledge management and South-South Cooperation areas of the organization articulated?

N/A

9.3 Cross learning: How does cross learning occur between countries, regions and headquarters, and between the organization and external partners? (*What are the tools in place e.g., internet-based collaboration/communications tools that allow staff - and external partners - to share knowledge, and further innovate*)

- The innovation site features briefs on the projects supported by the Innovation Accelerator. <http://innovation.wfp.org/accelerator-projects>.
- Similarly, the site also features a Blog section: <http://innovation.wfp.org/blog> sharing information and reviews on key events (e.g. Challenges, Boot Camps) and articles about innovation at WFP.
- The innovation web site offers the possibility to sign up to receiving email updates.
- Networking through bootcamps and other.
- Internal communications.

Area 10. Insights

10.1 Main insights: What are the main insights and organizational lessons learnt since the beginning of the work on innovation? (*Things that did not work, suggestions on musts and must nots*)

- Through accelerator activities there has been a noticeable change in innovation culture with an increase in the number of innovation projects underway. As the Accelerator further establishes itself, it has been important to continuously adjust based on the diversity of projects as well as continuously validating the innovations against WFP operational context.

10.2 Specific insights on organizational culture: On the basis of this Agency's experience, what would be the key lessons and suggestions on how to promote and foster a culture of innovation in the organization?

- Sharing success stories of projects that have scaled and had impact are critical to promote engagement in innovation as well as identifying innovation "champions" at various levels in the organisation to further

promote innovation.

Sources:

- Interview with Bernhard Kowatsch, Head of the Innovation Accelerator and Angela Wyan, Project Management at the Innovation Accelerator.
- Inputs from Tamrym Lee Fourie, member of the team working on the WFP Accelerator's M&E framework, and inputs from Julia Bacher, Partnerships Manager at the Innovation Accelerator, Innovation and Change Management Division.
- Innovation at WFP: <http://innovation.wfp.org/>
- WFP Strategic Plan 2017-2021.
- WFP Corporate Results Framework. Revised version of November 2016.