



Climate & Development  
Knowledge Network

# Research Strategy

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31<sup>st</sup> January 2011

## NOTE

This strategy is intended to be a dynamic, living document, and will be revised during the course of the Research Output's activities and learning. The next revision is due in February 2011 when activities planned and budgets for 2011 are finalised with the regions.

**We welcome comments on the strategy. Please send these to:**

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# CDKN RESEARCH STRATEGY

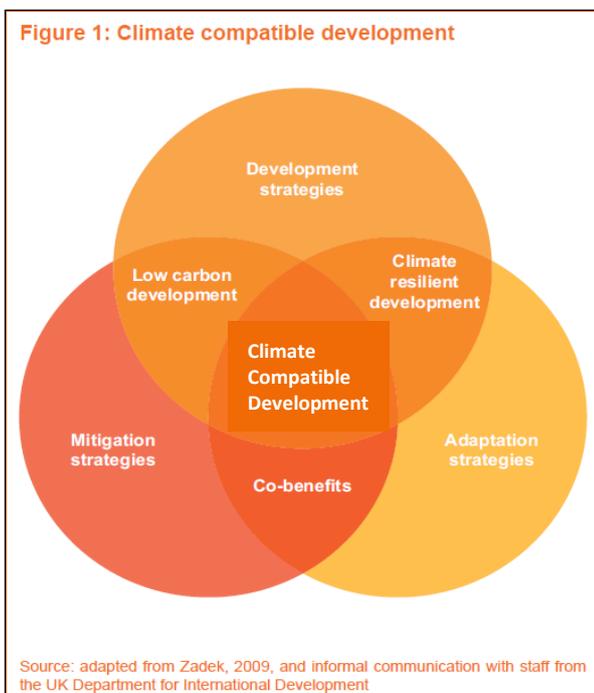
## 1. Introduction

The Climate and Development Knowledge Network (CDKN) directly supports developing country policy makers and a wider stakeholder community by offering high quality technical assistance, research, knowledge services and partnerships assistance relating to climate compatible development. CDKN's research programme begins when specific demands or patterns of demand cannot easily be satisfied by the provision of technical assistance. The research programme identifies where substantial knowledge gaps exist, and seeks to fill these through the development of robust, high quality research. By systematically assessing multiple demands, prioritising and commissioning research, the research programme plays a vital role in the CDKN system. High quality research produced in this way also benefits from having a technical assistance route to feed back findings directly to policy makers. It provides policy makers with the evidence on which to base their approaches and in doing so, advances knowledge of what it takes to achieve Climate Compatible Development.

**Climate Compatible Development** is development that minimises the harm caused by climate impacts, while maximising the many human development opportunities presented by a low emissions, more resilient, future ([Mitchell and Maxwell, 2010](#))

## 2. Solving real world problems

Climate and development research driven significantly by policy needs is relatively unusual. It involves researchers engaging with policy makers from the outset and being judged by them on the usefulness of the research process and its findings. This is research that cuts through the widespread information overload in this area. The research is well-targeted, accessible and above all gives policy makers the evidence they need on which to base crucial policy decisions relating to their investment of funding, and difficult social and environmental policy choices. At its fundament, this research upholds principles of the highest research quality and academic robustness. How CDKN research intends to respond directly to key climate change and development research challenges is included in detail in Annex 1.



Policy makers now want to tackle climate change head on with strategies that integrate adaptation, mitigation and development, with the desire to create new climate compatible development pathways (see Figure 1). This raises a set of new questions for policy makers and ultimately new research challenges. Such challenges include:

- How can economic growth can be pro-poor, resilient and low carbon at the same time?
- How can more people be fed with low emissions agriculture without expanding agricultural land?
- How can rapidly growing cities cope with water scarcity?
- What are the impacts of climate change across the income-distribution of nations and regions?

CDKN's research programme aims to address the demands of policy makers and in doing so, answer some of the big questions of climate

compatible development. In five years time, CDKN research will have helped elaborate a new development landscape for policy makers – characterised by new forms of growth, production, innovation and opportunity, and by increasing resilience to climate impacts, risks and uncertainties.

### 3. Delivery

CDKN's research programme will be guided by a set of principles drawn from wider CDKN strategy, including being demand-driven, producing high quality outputs, maintaining a focus on integrating climate change and development issues and fostering partnerships, capacity building and further networks between interested organisations and individuals.

Specific to the research output, the research programme will assess and respond to research demand by supporting research through three channels – **long term research, short term research and an innovation fund**. This section outlines how each of these components will be organised. This strategy builds on the interim research strategy produced in March 2010, and from a series of consultations held during 2010 by the Research Team.

#### 3.1 Guiding Principles

CDKN's research programme will be demand-led, but will not compromise on quality. Research outputs will be tailored to policy needs, involve policy makers from the start and assist in their decision-making. Research proposals will be vetted by a panel of globally-recognised climate and development experts in research and policy-making. Outputs will also be peer-reviewed by international experts. Where possible, CDKN research will promote partnerships within Southern and between Southern and Northern Research institutions and policy makers. CDKN research will also seek to build research capacity with the goal of increasing quality and impact, through direct investments in institutions and/or individuals with CDKN fellowships. CDKN research will be embedded within a CDKN system which channels new research to policy makers through technical assistance, targeted dissemination through knowledge management and through facilitated partnerships, learning and capacity building. CDKN research will strive for coherence and good communications across related CDKN activities and will ensure at least 80% of all CDKN research funding goes on frontline, externally-sourced research. The remaining 20% will go to creating an annual event and awards, annual review of research and research team activities including scoping, regional and national demand consultations and assistance with close project management and integration across CDKN.

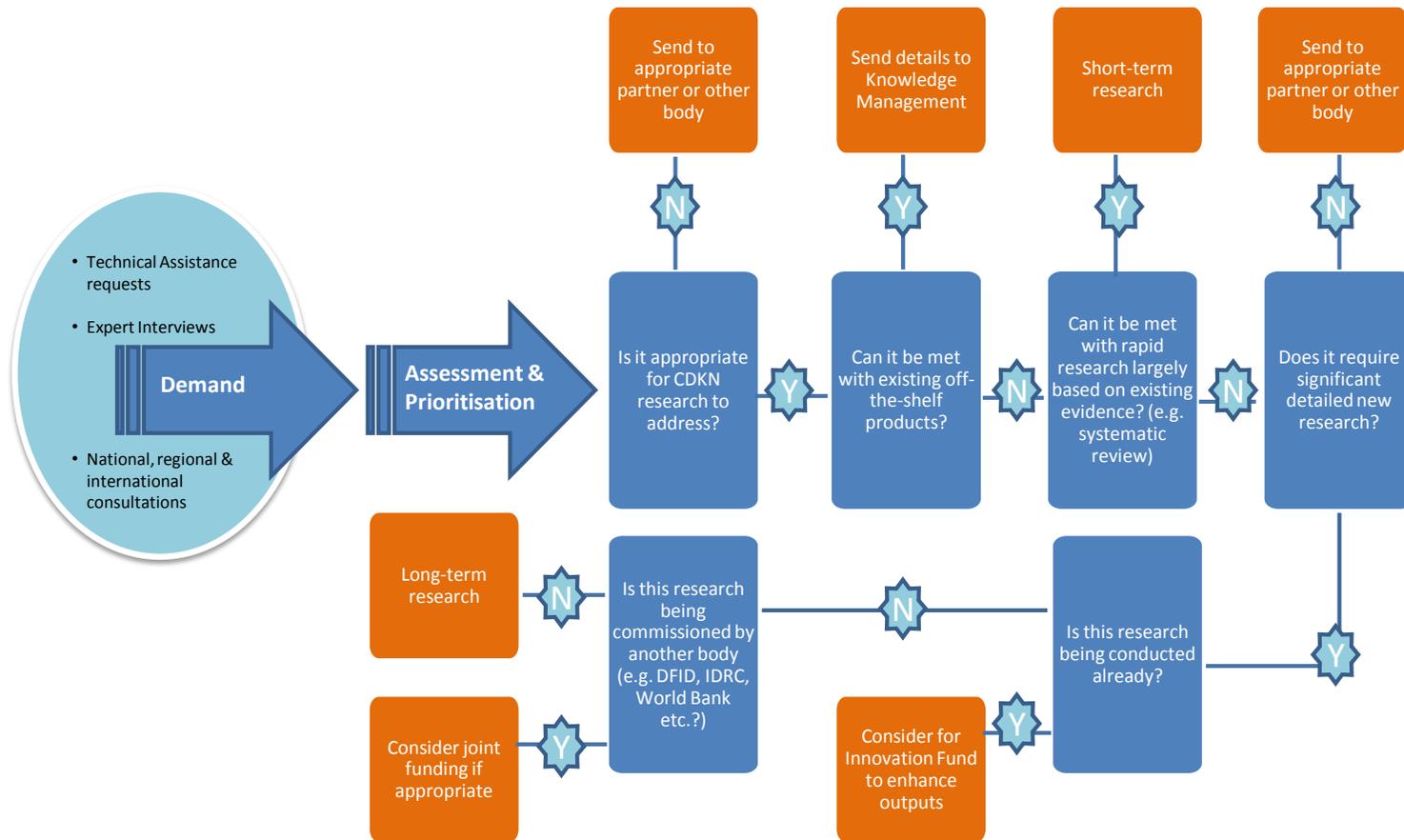
#### 3.2 Assessing Demand

The design of CDKN's research programme relies on expressions of research demand. CDKN research team undertakes a global survey of climate and development research demand, focusing on technical assistance requests placed to CDKN, dedicated demand surveys of policy stakeholders at national, regional and international level, supplemented by expert interviews and by the experiences of the CDKN management team in their many interactions in the regions (Latin America, and the Caribbean, Africa and Asia) at all levels of policy making. A scoping report is produced which is used as the basis for internal decisions on research to be commissioned [see Scoping Report Dec 2010]. The demand survey will be assessed by CDKN's research team, its Chief Scientific Advisor, its Research Advisory Fellows and DFID staff (to prevent duplication with existing DFID research programmes).

#### 3.3 Responding to Demand

Research demands are categorised, assessed and prioritised. The exercise will determine the method for satisfying the demand and will follow the decision tree outlined in Figure 2. This shows how research is categorised and might lead to commissioning through the long term, short term or innovation fund components of CDKN research. Several types of demand may be outside the scope of CDKN, as described in Figure 2. In particular, research that is repetitive or high cost (over £500K per project), is unlikely to be funded through CDKN. This is because CDKN Research aims to create a range of research projects for a wide range of policy makers and involving a large range of research partners and suppliers. This would not be met through a very small number of very large research projects. CDKN seeks to generate best value-added through the projects and to have a significant impact in moving the research boundaries forward in climate compatible development.

**Fig 2: Decision tree for routing demand for CDKN assistance into outputs**



### 3.4 Three types of research funding

Through discussions with funders, researchers and policy makers, CDKN research team has elaborated three forms of funding that we consider will best meet the various needs. These are: Long-term Research, Short-term Research and an Innovation Fund. These each have different characteristics tailored to support different types of research to meet demand (see Table 1).

**Table 1: Research Funding Types**

Type	Description
<b>Long-term Research</b>	<p>Where demand is reflected from many sources, with clear need for detailed groundbreaking research, CDKN may commission long term research. This will have a structure similar to many research grants/calls e.g. UK research councils but with a requirement to integrate the work with policy makers throughout the research.</p> <ul style="list-style-type: none"> <li>• Targeted, competitive, tender-based open calls (up to twice a year)</li> <li>• Rigorous, independent vetting of proposals by expert panel</li> <li>• Addressing questions of global or regional focus</li> <li>• Usually more than one year in duration</li> <li>• Support of between £100 - £250k per project for global calls</li> <li>• Support at varying levels for regional calls (between £30-50K)</li> <li>• Approach to fit CDKN research principles</li> <li>• Outputs: academic journal articles, technical reports, policy briefings</li> </ul>
<b>Short-term Research</b>	<p>If demand is specific and urgent and can be satisfied with short research pieces, such as systematic reviews, then CDKN research and technical assistance will work together to commission <b>short term research</b> through a rapid, gated procurement model. Such demand may be specific, from individual policy makers, or based on trends seen in requests for support.</p> <ul style="list-style-type: none"> <li>• Responding to specific demands articulated through CDKN engagement processes</li> <li>• Proposals vetted by CDKN Project Committee</li> <li>• Peer review of outputs by CDKN research management group and selected experts</li> <li>• Predominantly nationally or regionally focused</li> <li>• Less than one year duration</li> <li>• Average support less than £50k per project</li> <li>• Targeted, restricted competitive procurement basis</li> <li>• Significant use of CDKN Roster of Experts to identify potential research suppliers</li> <li>• Outputs: Technical reports, academic journal articles, policy briefings</li> </ul>
<b>Innovation Fund</b>	<p>This Fund allows for fast-moving, creative support for new research initiatives or add-ons to existing C&amp;D initiatives that would benefit from research support</p> <ul style="list-style-type: none"> <li>• Support for research in existing initiatives well aligned with CDKN research demands to avoid duplication</li> <li>• Potential to support for innovative research relationships</li> <li>• Particular additional support for research-to-policy engagement</li> <li>• Decision by CDKN Projects Committee</li> <li>• Typically smaller awards (&lt; £50K) but can be significant (up to £250K) where fit is strong</li> <li>• Primarily nationally/regionally focussed</li> <li>• Must show clear evidence of demand</li> <li>• Close monitoring of progress</li> <li>• Outputs: Technical reports, Event reports, policy briefings, project reports</li> </ul>

In general, due to its links with the other Outputs of CDKN, CDKN research funding will be more closely supported and monitored than under some other grant-making funding bodies. This is to ensure that findings are brought to the policy maker and to the public knowledge base quickly and effectively. Researchers involved in CDKN-funded research will benefit from being involved in an influential programme, and will see their research disseminated widely and effectively.

### 3.5 Research calls

Following expert advice, research calls will be held for the Long Term Research Strategy on an **annual basis**. Topics for the research calls are brought together through a systematic process including web-based consultation, regional interviews, expert advice from Research Advisory Fellows and DFID, and the production of a scoping report, updated annually.

In January 2011, we will **pilot one global research call** (approx £400K), and a **regionally-based research call** in South East Asia (approx £200K). Building on lessons learned, we will launch **a main Global research call in July 2011** (approx £700K). We will review the possibility of further regionally-based research calls following the regional pilot in collaboration with the CDKN Regional Network directors and in further discussion with potential regionally-based networks for these calls.

Short term research requirements, and innovation fund needs may also lead to smaller, gated procurement research calls, which will be produced on an ad-hoc basis.

We will use existing CDKN networks, Roster of Experts and other channels to publicise these calls widely using the expertise of the Partnerships Output. Several partner institutions have already agreed to host links to our research calls on their sites.

### 3.6 Management Structure and Other Activities

The Research output is led by the *Head of Research*, responsible for overall strategic leadership, maintaining quality, evaluating progress, promoting the programme internationally, linking with other CDKN outputs and forging new research programme partnerships. The *Chief Scientific Advisor* also plays a high level role, liaising with RAFs and reviewing strategic approaches. They are supported by a *Research Programme Manager*, responsible for financial tracking, liaison with procurement, day-to-day communications, work planning, reporting, strategic support and research project tracking. Both are supported by additional CDKN staff involved on a case-by-case depending on which management tasks need to be completed 'in house'. The CDKN regional teams will also help as required with demand surveys and regionally-focussed research calls and meetings.

The *Research Advisory Fellows* advise the *Head of Research* on strategy. They provide high level input and update on emerging issues across the climate and development debate. They also participate in the process of categorising research demands, in reviewing and choosing winning proposals to open calls, reviewing research outputs and progress of CDKN research. A review panel will be formed of a subset of Research Advisory Fellows and other experts for specific open calls. In this they work closely with the Chief Scientific Advisor and the Head of Research. They may also assist with other activities of the Research team or wider activities of CDKN relating to their expertise and interests.

The Research Team liaises closely with the *Regional Network Directors* and project teams, with joint decisions on regional research funding. Programmes are developed and tailored relating to needs identified. For example, the Latin America and Caribbean region has identified the need and demand for a Latin American Platform on Climate and Development, which will produce regular reports on demand for climate and development research. The research output will support this more substantial investment in this platform as it fills a critical regional need at this time.

CDKN's *Research Team* will manage and administer the three funding streams for the research. In addition, they will:

- Commission scoping reviews as required.
- Produce the CDKN Annual Review of Climate and Development Research, providing an annual update on the latest high quality, groundbreaking research from across the world on climate and development aimed at technical specialist policy makers.

### **3.7 Monitoring and Evaluation**

Monitoring and Evaluation are central to the success of CDKN. In line with DFID requests CDKN has undertaken an initial 3 and 6 month review with DFID after project inception, and will undertake systematic annual, mid term and end of project reviews. CDKN has developed a theory of change, focussing on outcomes rather than just the outputs in the logframe in discussion with DFID. The Research output produces information for quarterly reports, with monthly updates on budget and project progress.

CDKN's M&E is based on the extent to which CDKN has either directly contributed to policy change through targeted technical assistance or research, or has demonstrably supported developing countries to develop/change policies. CDKN will achieve this by contributing to:

- changes in the quality, relevance and usability of the climate compatible development (CCD) evidence base
- changes in the understanding and commitment of decision makers around CCD issues
- changes in institutions and institutional capacity to respond appropriately to CCD needs and demands
- changes in coordination, collaboration and mobilisation amongst key stakeholders
- changes in the ability of decision makers to leverage and channel resources strategically

Within the logframe, the research programme's output is expressed as "high quality development-relevant climate change research and analysis undertaken and/or commissioned by the network and its partners". From DFID's logframe, the basic indicators of success are described as:

1. From year 3, 50 quality controlled research publications produced annually
2. Total number of citations of research outputs in academic and policy literature to reach 500 by year 5.

These indicators are measures of the volume of output and the degree to which it is used by others, with the latter directly relevant to the overall measures related to improving the quality, relevance and usability of the CCD evidence base. The research programme will develop a system to collect evidence against these indicators by drawing on databases, citation indices, internet search, feedback and reports from TA suppliers.

In addition to this basic information, the research output is developing a more detailed logframe for monitoring progress and impact alongside the CDKN's wider theory of change, and involves research project reporting, stories of change, with regular project updates. Research project outputs will be subject to rigorous peer review to ensure consistently high quality of outputs, with emphasis on the evidence-base created through this research.

Internally, the Research Output ensures good communication with regular meetings of the Research team, reviewing project progress and modifying research activities through lessons learned and active development of pilot systems prior to complete roll-out. The Research output is confident to test new approaches and strategies to research-policy interaction as well as relying on established research routes.

#### 4. Emerging Research Themes

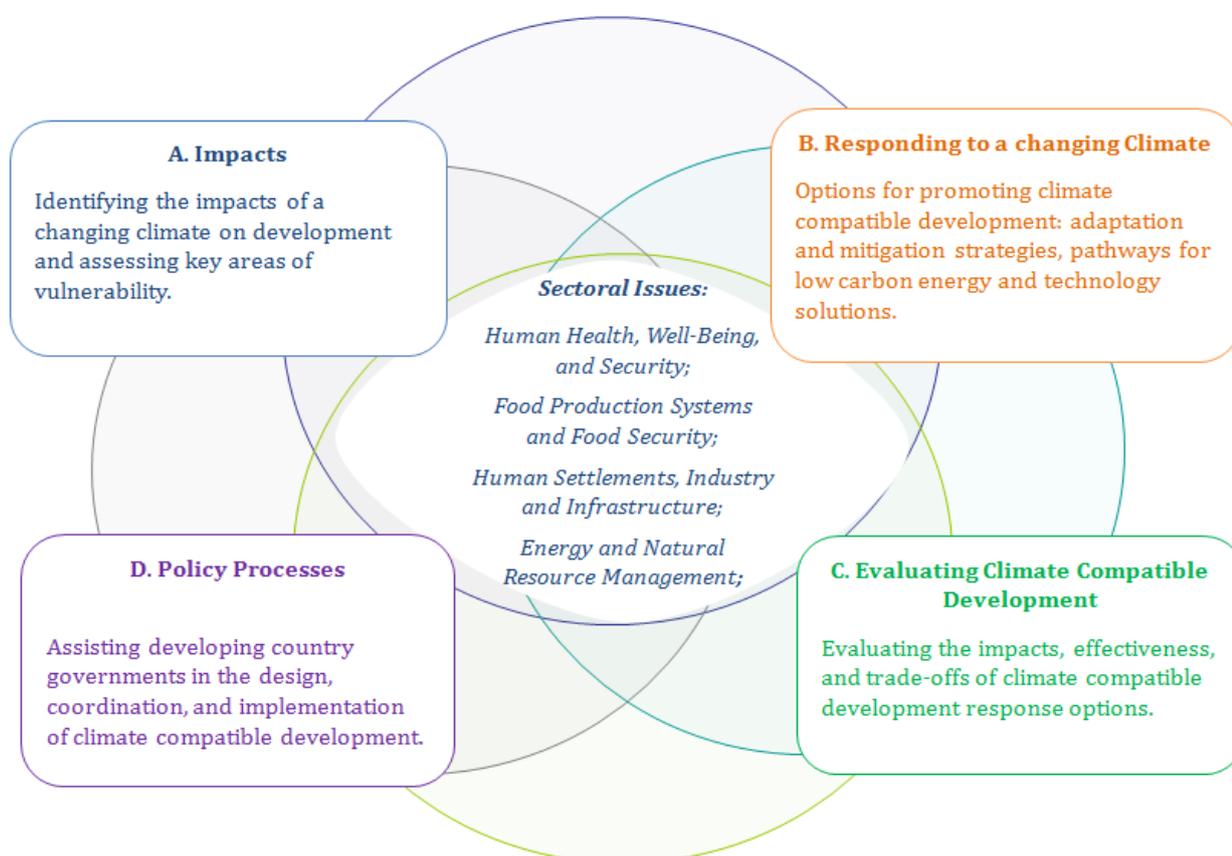
A structure for the research themes is based around four central elements (see Figure 3):

- i) Identifying impacts and vulnerabilities
- ii) Exploring options for Climate-Compatible Development
- iii) Decision-making on options for CCD
- iv) Examination of policy processes to promote CCD

These research themes provide an overarching structure through which to analyse and categories research requests and demand. The Sectoral Issues placed centrally in the diagram can be viewed through the four lenses of the overlapping circles. As the CDKN Research theme is demand-led, we cannot predict where the emphasis will lie throughout the duration of CDKN's programme. Descriptions of the themes are included in Figure 3 below.

**Figure 3: CDKN Research Themes diagram**

#### **CDKN Research Themes: Fostering Climate Compatible Development**



**Figure 4: Research Themes Description**

### **A. Impacts**

Theme A: Identifying the impacts of a changing climate on development and assessing key areas of vulnerability.

#### **Key Topic Areas:**

Impact Assessments and Modelling; Vulnerable Sectors and Livelihoods; Implications for Sustainable Development

### **B. Responding to a changing Climate**

Theme B: Options for promoting climate compatible development: adaptation and mitigation strategies, pathways for low carbon energy and technology solutions.

This theme focuses on strategies for developing countries in responding to a changing climate alongside dynamic, existing development pressures.

#### **Key Topic Areas:**

Pathways for Climate Compatible Development; Adaptation and Resilience; Strategies for Mitigation and Low Emission Growth;

### **C. Evaluating Climate Compatible Development (CCD)**

Theme C: Evaluating the impacts, effectiveness, and trade-offs of climate compatible development response options.

- implications of climate policies for development futures,
- costs associated with addressing climate change, and
- role of economic policy instruments in achieving CCD

#### **Key Topic Areas:**

Economics of Climate Compatible Development; Monitoring and Evaluating; Additionality; Policy Effectiveness; Indicators of Success/Failure

### **D. Policy Processes**

Theme D: Assisting developing country governments in the design, coordination, and implementation of climate compatible development.

Theme D focuses on assessment of climate policy processes and mechanisms across multiple scales and sectors.

#### **Key Topic Areas:**

Mainstreaming Climate Policy into wider policies; Cross-Thematic and Cross-Ministerial Interaction; Policy Frameworks; Scales of Coordination; Equity, Entitlement and Power

## Annex 1: Responding to Key Research Challenges

	Key climate research challenges	Implications for developing country decision makers	Our proposed solutions
1.	Limited research in many areas. Research is still nascent and limited in many developing countries	Large gaps in understanding in principal areas of interest (e.g. impacts of CC on infrastructure and health). Existing reporting may be low quality or not peer reviewed.	Stem information gap through <b>demand-led research programme producing</b> high quality research information <b>Dialogue with other</b> funders to share information gathered.  <b>Support capacity building and training</b> of decision-makers on CC to provide basic framework on which they can 'hang' further info on CC
2.	Information overload in some technical areas	Information overload in some technical areas leads to skewed attention and confusion for non-specialists	<b>Support capacity building and training</b> of decision-makers on CC to provide basic framework on which they can 'hang' further info on CC
3.	Is not well targeted to decision-maker audience	Language complexity (especially jargon), lack of clarity in messaging or non-native language publications mean uptake is limited	<b>Regularly updated series of simplification</b> briefings produced on key topics through KM All research publications edited for readability and clarity
4.	Is not accessible to decision-maker audience	Piecemeal information due to lack of access to internet, information not in public domain due to IPR on journal articles and consultancy reports or lack of administration, timeliness of information to decisions , piecemeal or incomplete information.	<b>Targeted long term engagement with government and civil society</b> either directly or indirectly, open channels of communication to assess demand and test and improve uptake through different methods. Simplified briefings to be put into public domain, authored by leading specialists in the field.
5.	Information not integrated into a wider decision framework or with technical support	Leaves decision-makers with point information that is inflexible in dynamic situations	<b>Information and expertise tailored to specific requests</b> through TA, with research support provided through Roster of Experts
6.	Many research organisations in the North are: <ul style="list-style-type: none"> <li>• Frequently not used to developing links with decision makers in developing countries</li> <li>• Can be out of touch with national realities and development complexities</li> <li>• The few that are very good at this are in high</li> </ul>	Limits to useful dialogues between researchers and decision-makers. Relationship limitation.	<b>Research commissioned will require evidence of partnership and dialogue from the outset</b> with developing country governments and Southern Research Organisations We will foster relationships with excellent research centres

	demand and limited supply		
7.	<p>Research organisations in the South have:</p> <ul style="list-style-type: none"> <li>• Variable capacities and abilities</li> <li>• Some are not up to date on current debates and research on climate change; others are path-breakers in research and activism</li> <li>• High and increasing international demand for services of the best</li> </ul>	<p>Decision – makers may not access best information this way but may have access to best dialogue</p> <p>Limited very high quality information coming from these institutions</p>	<p><b>Capacity building</b> through Partnerships Output; Learning and two-way mentoring/experience sharing programmes between North and South and South-South institutions</p>
8.	Decision-makers' role is fluid	Shifts between researcher/advocacy/government/consultancy role in practice	<b>Focus on the 'realpolitik' of the situation,</b> not reifying artificial distinctions between researcher and policy maker