

Section 3

TERMS OF REFERENCE

**Commercial Agriculture for Smallholders and  
Agribusiness Programme (CASA)**

**Lot 1 – Components A and C**

**Terms of Reference**

**Commercial Agriculture for Smallholders and Agribusiness  
(CASA)**

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## A. INTRODUCTION

1. The Department for International Development is contracting a supplier to deliver its new Commercial Agriculture for Smallholders and Agribusiness (CASA) programme which aims to increase sustainable investment in agribusinesses with smallholder supply chains and increase the involvement of poorer smallholders in those supply chains.
2. Agriculture is the main form of economic activity in most of Africa and South Asia and is dominated by subsistence farming which offers little opportunity for men and women to escape from poverty or withstand shocks – less than 10% of smallholders are considered to be involved in organised, formal supply chains<sup>i</sup>, with women less likely than men<sup>ii</sup>. There is a need to address this by increasing economic opportunities for smallholders by attracting more investment into agribusinesses which trade with smallholders and by bringing more, poorer smallholders into commercial supply chains.
3. CASA seeks to drive changes in the ways in which investors view and invest in agribusinesses that work with smallholder<sup>1</sup> supply chains. Specifically, CASA will increase economic opportunities for smallholder farmers by:
  - Demonstrating the commercial viability of agribusinesses with significant smallholder supply chains<sup>2</sup> and attracting more investment into these businesses;
  - Deepening the smallholder impact of investments made by development finance institutions and impact investors;
  - Enabling more smallholder farmers to engage with and trade into commercial markets.
4. The expected outcomes of CASA are increased, sustainable investment in agribusinesses with smallholder supply chains and increased involvement of poorer smallholders in those supply chains, with demonstrably higher smallholder incomes. These outcomes will drive impacts of increased smallholder incomes, improved food security and inclusive and sustainable economic growth. Key cross-cutting priorities will be women's economic empowerment, nutrition and climate resilience.
5. The CASA programme has three components, two of which, A and C, are the subject of these terms of reference:
  - Component A: Country level interventions: the programme will work in three countries (Nepal, Malawi and Uganda) and in two target value chains in each country in order to i) support SME agribusinesses to prepare for and access early stage investment, ii) support interventions focused on bringing smallholder farmers into commercial markets and iii) improve regulations,

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<sup>1</sup> CASA is targeting emerging commercial smallholders—those with the capacity to step up and consistently trade into commercial value chains and DFID prioritises smallholders within this group that are the most marginal, poor and most likely to face exclusion from economic opportunities due to factors such as gender, geography, disability etc.

<sup>2</sup> Agribusinesses that source 30% or more of one or more of their agricultural inputs from smallholders

laws or practices which benefit smallholders and SME agribusinesses in the target value chains.

- Component B: Global interventions: this component includes an Emerging Smallholder Facility that will support larger agribusinesses that have received investment from impact investors, Development Finance Institutions (DFI)'s such as CDC and other investors to increase their smallholder impact. This component also includes a community engagement element to support rural communities to engage with agribusiness investments and to develop tools that can be used by other communities to increase their voice and involvement in future investments. Component B is not part of these terms of reference except in relation to monitoring and learning under Component C.
  - Component C: Learning and communication: This component includes monitoring, learning and communication activities. It includes an annual programme of research into evidence gaps on commercial agriculture and annual review of the full portfolio of DFID commercial agriculture programmes. The supplier will synthesise learning from these activities and from the broader program and use this for communication and engagement activities to influence investors, governments and donors on their approach to smallholder related agribusiness. This component will also monitor the entire CASA programme, including activities under Component B.
6. CASA will be delivered primarily through two separate contracts, Lot 1 - Components A and C and Lot 2 - Component B. Some small elements of Components B and C will be procured through additional accountable grants with NGOs (see business case for further information).

## **B. OBJECTIVES**

7. These TORs are for a supplier to deliver expected results under Components A and C. Activities under Component A include scoping, designing and delivering the technical assistance to farmer organisations, SME agribusinesses and organisations involved in improving regulations, laws or practices which benefit smallholders and agribusinesses in the target value chains. Activities under Component C will i) deliver research and synthesis activities that bring together the learning on smallholder related commercial agriculture from across CASA and DFID's portfolio; ii) lead the knowledge management, communication and engagement activities of CASA, and iii) lead overall monitoring of all components of the CASA programme.
8. For CASA to succeed, the components must combine to showcase and advance the case for greater investment in smallholder related agriculture and to create a catalytic change in the behaviour of investors, donors and governments in this area. This overarching objective must remain at the forefront of activities under Components A and C.
9. The aim of Component A is to demonstrate the commercial and development benefits of investment in smallholder related SME agribusiness to investors, governments and donors. This component will produce examples of commercially viable inclusive business approaches which, when combined with

the research and synthesis activities of Component C, is expected to have a much broader impact beyond these individual interventions.

10. The aim of Component C is to synthesise the learning on smallholder related commercial agriculture and agribusiness from across the CASA programme, from DFID's wider commercial agriculture portfolio and from other relevant sources in order to support DFID in influencing investors, donors and governments on the case for investing in smallholder related agriculture. This component will involve research, analysis, synthesis of findings, monitoring and communication and engagement activities.
11. Activities must have a strong link to poverty reduction and maximising local economic benefits to deliver inclusive economic growth. The suppliers will also ensure that both climate and environment and gender and inclusion considerations are taken into account under all CASA inputs. Suppliers should note obligations on all new DFID programming resulting from both the Gender Equality Act of 2014 and from DFID's Economic Development Strategy<sup>3</sup>, which commits DFID to tackling gender discrimination in all its economic development work and to deliver safer, more secure and higher-return work for women. As a flagship programme of the Economic Development and International Directorate, CASA will need to deliver on these obligations.

### **C. RECIPIENT AND BENEFICIARIES**

12. The recipients of the services under this contract will be farmer representative organisations, SME agribusinesses and organisations engaged in improving regulations, laws or practices which benefit smallholders and agribusinesses in the target value chains.
13. Direct beneficiaries are:
  - Smallholders – both female and male - will benefit from improved access to markets and agricultural inputs and from increased demand for their produce within the value chain.
  - Producer organisations, cooperatives and other farmer groups will benefit from technical assistance to improve their operations, management and ability to support poorer smallholders. There are no preconceived expectations or guidelines regarding the type or size of farmer organisation. Engagement with farmer organisations must deliver the intended development impact of CASA, in particular it must support more emerging commercial smallholders that have the capacity to step up and trade into commercial value chains. DFID prioritises smallholders within this group that are the most marginal, poor and most likely to face exclusion from economic opportunities due to factors such as gender, geography, disability etc..
  - Agribusiness SMEs will benefit from technical assistance to improve their internal management, increase their trade with smallholder suppliers and engage with early-stage impact investors.
  - Agribusiness investors will benefit from an increased availability of investable deals.

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<sup>3</sup> <https://www.gov.uk/government/publications/dfids-economic-development-strategy-2017> p21.

- All economic actors within the value chains supported through the programme will benefit from improvements to the regulatory environment and enabling environment.
- Local skilled experts and businesses that are able to tender for sub-contract and supply opportunities arising from CASA pipeline projects.
- Investors, donors and governments will benefit from improved evidence and information regarding the commercial viability of smallholder related agriculture, approaches to the sector, and approaches which deliver returns to female as well as male smallholders.

## **D. SCOPE OF WORK**

### **Component A**

14. The supplier will be responsible for detailed scoping, management and delivery of technical assistance to three types of entities i) farmer organisations, ii) SME agribusinesses and iii) regulators/government bodies or organisations seeking to influence these bodies. The supplier will provide these services in Nepal, Malawi and Uganda in relation to the following value chains:
  - Nepal: vegetables and dairy
  - Malawi: aquaculture and poultry (eggs and meat)
  - Uganda: beans and sesame
15. Sector analysis studies have been conducted in each of the countries and value chains described above and have identified possible interventions for the CASA programme (see annex A). The supplier is expected to validate and further define the proposed interventions and to identify additional opportunities for technical assistance that support the achievement of the expected results.
16. All interventions that receive technical assistance must clearly demonstrate the extent to which they increase women's economic empowerment in terms of improved access to jobs, control over productive assets and addressing the barriers and social norms that prevent women from equitable economic empowerment.
17. The implementation of this component is expected to be informed by continual analysis and application of lessons learned. The supplier is expected to validate the proposed interventions in the sector analysis studies and to go beyond that to identify additional potential interventions supporting the following types of organisations:
  - Farmers' representative groups and organisations, including but not limited to producer organisations and cooperatives - which will receive technical assistance to support, amongst other things:
    - Improvements in the governance, management and operation of these organisations;
    - More access for poorer smallholders, particularly women, to the commercial opportunities available to farmer members;

- Better availability of improved inputs to support increases in the productivity of farmer members
- Improved access to finance for smallholders
- SME agribusinesses are defined as those with turnover of less than \$2 million per annum or less than 50 workers. For these agribusinesses the technical assistance is expected to support, amongst other things:
  - Improvements in the governance, management and operation of these agribusinesses;
  - Increasing the volume and quality of agricultural produce bought by the business from smallholders;
  - Robust financial plans and business development strategies for the agribusinesses;
  - Realistic investment plans identifying potential early-stage impact investors, local banks and other investors that may be interested in investing in the agribusiness;
  - Supporting the agribusinesses in engaging with investors
- For organisations that seek to influence improvement in the enabling environment for target value chains, the technical assistance is expected to support, amongst other things:
  - Analysing and making recommendations on the need for changes to regulations, policies and laws affecting the target value chains
  - Developing and drafting alternative regulations to facilitate trade within the target value chains;
  - Supporting local organisations such as business groups, NGOs and farmer organisations to advocate for change to regulations;
  - Conducting political economy analysis that informs influencing strategies for change.

### **Component C**

18. The supplier will provide monitoring, learning, knowledge management and communication services as part of this component.
19. The learning and communication services comprise (at a minimum) an annual learning programme, an annual review and update of DFID's commercial agriculture portfolio and a synthesis of key findings from these activities. The synthesis should also be informed by an annual review, conducted by the supplier, of major developments in the area of smallholder commercial agriculture. The communications element of this component will comprise (at a minimum) systematic placing of learning from this component into regular publications, as well as other communication and engagement activities relevant to achieving CASA's aims.
20. The learning programme will be defined on a rolling annual basis and will involve conducting research and analysis on key topics relating to the

commercialisation of smallholder farming and agribusiness development. The supplier is expected to initiate 7-10 pieces of research and analysis each year. The supplier is expected to lead on proposing topics for research, with selection to be agreed with DFID. Topics will be based on the emerging findings from the programme. The work under this component will require close collaboration with existing programmes such as the Agriculture Policy Research for Africa programme and is expected to take a practical, dynamic approach to synthesising evidence and research on key topics and initiating new research in areas where significant gaps have been identified. It is expected that half of the work conducted under this programme will comprise primary research with the other half comprising research / knowledge brokering, including analysis and synthesis of research and findings from other sources. Examples of possible research topics include:

- Approaches to enabling poorer smallholder participation in producer organisations and cooperatives;
  - Approaches to improving women's access to the economic opportunities and benefits of commercial markets both through interventions within the value chain as well as through policy analysis and policy change;
  - Impact of climate change on smallholder commercialisation;
  - Analysis of smallholder commercialisation within specific value chains and geographies.
21. Each DFID country office participating in Component A of the programme will have the option to determine at least one of the annual pieces of research and analysis conducted under Component C. This may involve addressing research gaps and learning across commercial agriculture programmes at the country level and is intended to increase coherence and integration between CASA and country office programmes. Furthermore, one of the annual pieces of research should focus on increasing returns to, and numbers of women integrated into commercial supply chains
22. The annual review and update of DFID's commercial agriculture portfolio will build on the work conducted during the 2017 Commercial Agriculture Portfolio Review (see annex B). The supplier will prepare the database of programmes (using an application such as Power BI) and review key documents produced by a cross-section of major programmes in order to identify and synthesise emerging lessons, trends, challenges and gaps in DFID's commercial agriculture portfolio.
23. The synthesis and communication activities involve (at a minimum) the pulling together of key findings from
- The rolling annual learning programme,
  - The review of DFID's commercial agriculture portfolio,
  - The annual review of major developments on smallholder commercialisation from outside DFID
  - The lessons and results from other components and activities within the CASA programme

24. The key findings from these sources will be brought together and disseminated in appealing and effective ways for target audiences addressing the issues of smallholder commercialisation and investment in SME agribusinesses. The service provider will also develop and implement a communication and engagement plan that makes use of a range of media and communication channels to advocate to agreed target audiences for increased investment in agribusinesses that work with smallholder farmers from investors, donors and governments.
25. The monitoring services will comprise the monitoring of results and performance across the entire CASA programme. This includes the following:
  - Component A - the scope of these activities is described above and in more detail throughout this ITT.
  - Component B - Emerging Smallholder Facility: these activities are being procured as part of a parallel ITT.
  - Component B - Community Engagement: these activities are being procured as part of an accountable grant with IIED. See annex C for a summary of the activities and results from this component.
  - Component C - Learning and Communication: the scope of these activities is described above and in more detail throughout this ITT.
  - Results from a minimum of 3 additional activities which are yet to be fully defined and are expected to be procured as accountable grants.
26. The suppliers of Component B will agree the monitoring data and results measurement plans for their activities with the supplier of Component C and will be responsible for gathering all primary monitoring data for their component. The supplier for this Lot will be responsible for successfully achieving a clear agreement with the Supplier for Component B on respective responsibilities for gathering, quality assuring and analysing the primary monitoring data for the activities covered in Component B.
27. The supplier will generate and provide monthly updates on activities, identifying news items and insights of relevance to DFID UK or more broadly as well as drafting materials for press and social media coverage.
28. The supplier will be expected to work closely with other aligned DFID programmes, for example these are likely to include (but not limited to):
  - Global: Africa Enterprise Challenge Fund, AgDevCo, CDC, Agriculture Policy Research for Africa programme, Food Trade, Malabo Panel
  - Malawi: Malawi Innovation Challenge Fund and Malawi Oilseeds Sector Transformation Programme
  - Nepal: Samarth –Nepal Market Development Programme, CONNECT –RAP 3, Sakchyam - Access to Finance
  - Uganda: NUTEC
29. DFID will share details of other relevant programmes with the successful supplier.
30. The supplier will be required to map and understand what other actors, donors, NGOs and civil society organisations are doing in the value chains



where CASA is operating to ensure complementarity and maximise synergies whilst avoiding duplication of effort or spend on similar work streams. This mapping will be required during inception phase with the working document being updated and shared with DFID at least quarterly.

## **E. INCEPTION PHASE**

31. The inception phase will last for six months and will be a consultative and detailed design phase used to validate the interventions proposed in the Sector Analysis Studies and other proposed interventions and developing them into a detailed work plan. The supplier will work closely with the DFID Programme Lead, and DFID Country Leads, the relevant stakeholders in the three countries and other donors to develop a contextual understanding of the relevant sectors.

### **32. Purpose (but not limited to):**

- a) To validate and define the detailed scope for interventions with farmer groups, SME agribusinesses and stakeholders described in the Sector Analysis Reports for Nepal, Malawi and Uganda;
- b) To propose additional interventions to be supported by the programme and define the detailed scope of these interventions, including demonstrating how they will benefit women and men, for Nepal, Malawi and Uganda;
- c) To produce a gendered value-chain mapping of proposed interventions in each value chain<sup>4</sup>;
- d) To further refine and agree research key topics for the first year of the annual learning programme
- e) To develop the logframe and a results framework, in consultation with the DFID Programme Lead. A draft log frame has been prepared and is available in Annex D.
- f) To establish strong relationships with other contractors within the CASA programme, in particular with the contractor for Component B - Emerging Smallholder Facility, where necessary;
- g) To begin establishing strong relationships with other relevant donor programmes in the three countries (Nepal, Malawi, Uganda) , including but not limited to DFID programmes;
- h) To identify target audiences for advocacy and learning outputs of CASA, and effective communications tools for these different audiences.

### **33. Activities:**

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<sup>4</sup> See the following link for guidance on production of a gendered value-chain map:  
[https://agriprofocus.com/upload/ToolkitENGGender\\_in\\_Value\\_ChainsJan2014compressed14152032301426607515.pdf](https://agriprofocus.com/upload/ToolkitENGGender_in_Value_ChainsJan2014compressed14152032301426607515.pdf)

- a) Meet with all organisations that have been proposed as recipients of technical assistance to further scope out the assistance to be provided and confirm participation of these organisations in the programme.
- b) Conduct additional analysis to identify additional interventions in Nepal, Malawi and Uganda and to engage with key stakeholders within the value chain (businesses, regulatory bodies, farmer groups etc) and scope out potential technical assistance projects
- c) Conduct an assessment of the evidence on commercialisation of smallholders and SME agribusinesses and propose research topics and activities
- d) Develop a communications plan and strategy for the CASA programme.

**34. Deliverables – these should be set in the context of an overall strategy for CASA:**

- a) Interim Inception Report – short version of the below on work and plans so far – length and structure to be agreed with DFID.
- b) Inception Report – length and structure to be agreed with DFID including:  
Country Level Interventions (Component A)

- Strategy and plan for delivering the objectives of CASA in each of the three countries.
- Validation and further elaboration of the existing value chain analysis, including political economy analysis. This validation must confirm or develop further the gender, nutrition and environmental impacts identified in the sector analysis studies. Where necessary, findings from additional research into alternative value chains and interventions within those value chains.
- A theory of change for how the programme will intervene in each value chain to deliver the outcomes of the CASA programme
- Detailed proposals for the technical assistance to be provided to each of the relevant organisations within each value chain, the expected results and budgeted costs for the technical assistance. Evidence of demand for the proposed technical assistance should be documented. All proposals will be approved by the DFID lead adviser prior to implementation.
- Strategy and procedures for administering and disbursing technical assistance

**Learning, Research and Monitoring (Component C)**

Updated versions of the following (initial versions will form part of the proposal):

- Strategy and plan for collating and disseminating evidence and learning on commercialisation of smallholder agriculture and SME agribusinesses from within the programme and from other sources.
- Detail of quality assurance mechanisms to be used, and roles and responsibilities between suppliers of each Component, to ensure monitoring data to be collected by Suppliers of Component B will be of

sufficient quality to enable delivery of monitoring and learning activities in Component C;

- Detailed research framework, including revised Theory of Change for the CASA programme, initial assessments of existing evidence, and proposed areas of research for the first annual learning programme.
- Proposed topics for qualitative analysis of DFID's commercial agriculture portfolio (e.g. deeper analysis of sub-components of the portfolio such as agribusiness investment or thematic analysis across certain value chains)
- Stakeholder engagement and communications plan for the CASA programme
- Clear workplan and budget;
- Outline of approach to Open Access publishing and data sets;
- Monitoring and evaluation framework, including log-frame;

For both Components A and C

- Detailed Work plan (Outputs and deliverables) for the first 12 months and outline workplan for the remaining programme period
- Budget and profile (of the delivery of the detailed work plan) – to cover first 12 months with indicative outline of second 12 months and indicative profile figures for the outer years
- Updated Value for Money strategy
- Updated Risk Register
- Establishment (with DFID agreement) of programme management tools
- Visibility statement and delivery chain maps

## ***F. IMPLEMENTATION PHASE***

### **Component A**

35. The implementation of the programme is expected to take a flexible approach and to respond quickly to monitoring information from Component C. This may lead to changes in the interventions supported through the programme. It is not envisaged, but could, if justified, lead to changes in target value chain.

36. **Purpose** (but not limited to)

- Help smallholder groups and smallholder farmers, particularly women and poorer farmers, access commercial markets, improve their productivity and increase their net incomes
- Enable SME agribusinesses to attract investment by improving their internal operations and supporting them in their engagement with investors
- Initiate and support the implementation of regulatory and policy reforms that benefit smallholders and SME agribusinesses in the target value chains
- Demonstrate, through the above, the commercial viability of smallholder farming and SME agribusinesses that engage with smallholders

### 37. **Activities**

- Provide technical assistance to smallholders and smallholder organisations, SME agribusinesses and organisations involved in regulatory environment reform that would affect the value chain. In order to achieve the objectives of the programme it will be important to ensure coordinated and simultaneous provision of technical assistance to target organisations at the smallholder, SME and enabling environment levels.
- Suppliers are expected to have a local presence in each country of implementation. This will enable the programme to provide ongoing support, coaching and guidance to the recipients of technical assistance.
- Suppliers are required to provide technical assistance to at least 4 farmer groups, 4 SME agribusinesses and 2 organisations advocating for enabling environment reform in each value chain. All proposals for technical assistance must be approved by the DFID Programme Lead. It is anticipated that the level of effort and resources across the three subcomponents will be in the region of 40%, 40%, 20% for farmer groups, SME agribusinesses and advocates of enabling environment reform respectively. This resource allocation will be tested during the inception phase.
- Suppliers are expected to implement the majority of the technical assistance directly through consortium members. It may be necessary to outsource some expert technical assistance where necessary but this proportion should not exceed 20% of the value of technical assistance provided. No management fee will be paid to the supplier for outsourcing technical assistance.
- The programme may also support requests for capital expenditure funding or grant funding to de-risk financial lending to smallholders made by farmer groups and SME agribusinesses, where these are essential to the achievement of an approved technical assistance project.
- Suppliers are expected to begin the provision of technical assistance to the target organisations identified in the inception report from the beginning of the implementation phase and continue for 2-3 years. It is anticipated that the majority of the technical assistance support will be provided during the first two years with subsequent follow-up support being provided during the third year.
- Suppliers are expected to identify new opportunities for technical assistance within the value chain on a rolling basis and to complete the provision of most of the technical assistance by the end of year four with follow-up support being provided during the fifth year.
- Suppliers will be expected to monitor the impact that programme activities are having on poor women and men, especially as the programme matures, and to conduct verification studies to establish the poverty status of the smallholder beneficiaries of the programme from year two until the end of the programme (year five).
- Identify and engage with other organisations and stakeholders that the programme could engage with in order to deliver the objectives of CASA

- Generate case studies and learning that can be used to advocate for investment in smallholder related agriculture by investors, governments and donors.

### 38. Deliverables

- At the start of each year the supplier will submit a detailed technical assistance plan for each target value chain that will be updated on a quarterly basis. The plans should include, amongst other things, the proposed activities, timelines, results expected from the technical assistance, the estimated cost for providing the assistance broken down by consultant input, materials and expenses.
- On a quarterly basis the supplier will submit a report on the activities undertaken during the previous quarter and the progress achieved for each of the technical assistance projects.
- On an annual basis the supplier will submit a summary report (length and structure to be agreed by DFID) of the activities, achievements and lessons learnt during the year. The content of this report will be agreed with DFID during the inception phase but should include a thematic review of the activities and results in each value chain.

## Implementation Requirements from supplier

### Component C

#### 39. Purpose (but not limited to)

- Address evidence gaps on commercial agriculture and the commercialisation of smallholder farming
- Increase the coherence across DFID's approach to commercial agriculture and draw together key lessons from across DFID's programme portfolio, particularly in countries where Component A is implemented
- Create a compelling case for greater investment in smallholder agriculture and SME agribusinesses that work with smallholders and use this to influence greater investment in the sector by investors, governments and donors.

#### 40. Activities

- The supplier will initiate 7-10 pieces of primary research and meta-analysis of existing research on subjects identified for the annual learning programme as part of the research framework defined in the inception phase. Research must address recognised evidence gaps and issues that can maximise the development impact of commercial agriculture, in particular relating to the commercialisation of smallholder agriculture and increasing inclusive growth through agribusiness investment. The research will address subjects from across the CASA programme (including related to Component B) such as, but not limited to:
  - increasing the capacity of poorer, more remote smallholders to participate in commercial value chains
  - increasing the economic empowerment of women smallholders in farmer groups and commercial value chains

- understanding and evaluating the smallholder impact of different business models and approaches of businesses that sell to or purchase from smallholders (e.g. contract farming, out grower schemes, product distribution models etc)
  - understanding the impact of investment in SME agribusinesses and conditions for success
  - understanding investor incentives in relation to development impact and models for investor engagement
- As noted above, each year one piece of analysis should be defined in partnership with DFID teams in Nepal, Uganda and Malawi and one piece of analysis should relate to women's economic empowerment.
  - The Supplier will determine the most appropriate research methods/approaches, to be implemented either by the Supplier or commissioned externally, with researchers/evaluators identified through a transparent selection process. The supplier is expected to align its research agenda closely with the work of the Agriculture Policy Research for Africa programme and other similar programmes funded by DFID to ensure lessons come from entirety and synergies between the two programmes.
  - The supplier will identify and synthesise learning on commercial agriculture from across DFID's portfolio and other donor interventions. The supplier will be expected to update the existing Commercial Agriculture Portfolio Review on an annual basis by engaging with country offices and teams to validate the existing database and new programmes. The supplier will conduct a qualitative review of the portfolio and related programmes from other donors on sub-components (e.g. investment, smallholder finance, market systems development etc), sectors (e.g. livestock, poultry, fresh vegetables etc) or other issues to be agreed with DFID in the inception phase and on an annual basis.
  - The supplier will synthesise the key learnings and research findings from the above activities into relevant and effective communication materials for identified target audiences and use these materials to engage key stakeholders and communicate the findings from the programme (in line with the stakeholder engagement and communications plan defined in the inception phase). The supplier will be expected to work with existing DFID programmes such as our support to the Malabo Panel to ensure that key findings from the programme are brought to the attention of policymakers engaged in that programme.
  - The supplier will monitor the delivery of activities and achievement of results across all components of the programme.

#### Deliverables

41. The supplier is expected to deliver the following:
- A detailed draft communications and engagement strategy setting out purpose, type of message, typology of communications targets and channels as well as formats and communication opportunities to build on.

- An annual plan for learning, communication and monitoring activities that will be updated on a quarterly basis. The plan should include, amongst other things, the proposed activities, timelines, results expected from the work under this component. The estimated cost for providing this work broken down by consultant input, materials and expenses plans including.
- A quarterly report on the activities undertaken during the previous quarter and the progress achieved for each of the activities in this component.
- 7-10 pieces of completed primary research and/or meta-analysis of research of the standard required for a peer reviewed journal each year.
- An updated Commercial Agriculture Portfolio Review and a qualitative review of the portfolio by subcomponents, subsector or theme agreed with DFID in the annual plan.
- An annual report summarising the learning and findings from the entire CASA programme, DFID's wider commercial agriculture portfolio and other relevant donor programming on commercial agriculture as regards smallholder commercialisation and increasing investment in agribusinesses that engage with smallholders
- Communication materials such as presentations, newsletters, annual reports, websites, blog posts etc and engagement activities in line with the communications and engagement plan agreed at the inception phase.
- Monitoring and learning reports required for the programme management of the programme by DFID such as updated logframes, delivery chains, risk assessments etc.

## **G. BUDGET AND TIME FRAME**

42. The timeframe for the implementation of the programme is as follows:
- Inception phase: months 1-6
  - Implementation phase: months 7-60
- and will include the option to extend for up to a maximum of 24 months, dependent upon the requirement and at DFID's discretion.
43. Suppliers are requested to propose a full budget for both components in line with the commercial terms of reference.
44. Note that DFID programmes are not automatically tax exempt and therefore suppliers will be liable to pay any relevant taxes. Tax liabilities should therefore be taken into consideration in commercial proposals and are the responsibility of suppliers.
45. Suppliers are responsible for ensuring that their proposed staff and consultants have the right to work in the countries involved in this proposal.
46. DFID reserves the right to scale back or discontinue this programme at any point (in line with our Terms and Conditions) dependent upon performance of the Supplier or if the programme is not achieving the results anticipated.

Conversely, we may also scale up the programme should it prove to be having a strong impact and the potential to yield greater results.

## **H. CONTRACT AND PERFORMANCE MANAGEMENT, PAYMENT MECHANISM AND REPORTING**

### Contract Management

47. The contract will be for five years, split into three periods with break points after the first two:
- a) **Inception Phase**, expected to be no more than six months
  - b) **First phase of implementation**, lasting a further 30 months
  - c) **Second phase of implementation** will follow until the end of the contract.
48. The Supplier will require formal approval at each break point from DFID before starting work on the next stage: -

Break Point 1 – six months after the contract start date. The Inception Phase deliverables will inform the decision to proceed with the contract and this decision remains at the discretion of DFID. DFID will aim to provide a timely indication of this decision, to facilitate supplier's management of its team and consortium members.

Break Point 2 – 30 months after break point 1. The performance of the supplier during the first phase of implementation will inform the decision to proceed and this decision remains at the discretion of DFID. The performance will be assessed using a set of KPIs agreed in the inception phase (see indicative list in Annex E). A number of these indicators will have been verified by the independent evaluator as part of a mid-term review.

Programme End Point – 24 months after break point 2.

The Supplier is ready to start the operations within four weeks of the contract signature. Mobilisation is expected to be in March 2019.

### Performance requirements

49. DFID will use the indicative KPI's in Annex E as a basis for measuring performance. The final KPIs and contract management plan will be agreed with the supplier during the inception period.
50. Throughout the life of the programme the supplier will monitor and report on value for money using the approach set out in their bid, including on the proposed indicators. Based on this, in addition to the suggested KPI's set in Annex E, value for money indicators will be agreed during the inception phase, in consultation with DFID.

### Payment mechanism

51. Expenses shall be paid quarterly and shall be based on actuals.



52. In relation to fees, the Supplier will be contracted under a hybrid model where 70% of the fees will be paid quarterly in arrears against inputs i.e. as they are incurred, provided they are in line with the overall budget agreed with DFID at the start of each quarter.
53. A further 20% of the fees will be paid based on achievement of agreed workplan outputs. These outputs will be measured on a six-monthly basis against targets that will be agreed during the inception phase. Provisional payments will be made on a quarterly basis in arrears and adjusted each six months to reflect the actual extent to which the relevant output targets are achieved. These output targets may also be included in the programme logframe and are expected to include outputs such as:
- Number of technical assistance projects with i) farmer groups, ii) SME agribusinesses and iii) stakeholders promoting enabling environment reform that are a) at scoping stage, b) in progress and c) completed.
  - Number of research papers, synthesis reports and other learning documents completed
  - Number of communication and engagement events and meetings completed
54. A further 10% of the fees will be paid upon achievement of an agreed set of KPIs with a proportion of this payment being made for achieving each KPI. This payment will be made at Breakpoint 2 and within six months of the programme endpoint in relation to the fees paid during the preceding period. The achievement of results will be assessed by the independent evaluator who will be commissioned to undertake the mid-term and final evaluations.
55. The Supplier must operate within the work technical and financial plans as per their proposal. The Supplier must ensure that the overall programme is delivered according to the plan. This means that all tasks must be completed on time and to required quality levels in each quarter. Performance will also be assessed as part of DFID annual reviews of the overall programme. DFID and the Supplier will meet as required to review performance and results.

#### Reporting requirements

56. The format and frequency of reporting will be agreed during the inception phase, but is expected to include:
- a) Formal reporting. This will be monthly during the inception phase, then quarterly and annually (to inform DFID's Annual Review) for the remainder of the programme.
  - b) Informal and ad-hoc reporting. Experience from similar programmes indicates that a regular engagement with the responsible DFID Programme Lead is key to successful programme mobilisation, especially during the inception phase.
  - c) Preparation of financial forecasts to meet DFID reporting requirements on a quarterly basis. Suppliers should provide DFID with comprehensive, accurate, detailed and up-to-date financial and activity reporting and management information as required with supporting analysis of trends and reconciliation to financial forecasts to enable timely decision making.

## **I. RISK MANAGEMENT**

57. The approach to risk was submitted as part of the bid for this programme and will be revisited at the end of the Inception phase, and reflected on and updated regularly throughout the projects implementation.

## **J. END OF CONTRACT ACTIVITIES**

58. Three months before the expiry date of the contract the Supplier will prepare a draft Exit Plan for DFID's approval which shall include:
- a) A disposal plan for all assets procured throughout the lifetime of the programme in accordance with DFID procedures on asset management and disposal;
  - b) Addresses any material items that are necessary or desirable for the continued co-operation of the UK Government with partner governments after the contract ends;
  - c) The Supplier's plans on co-operating to ensure the smooth transfer of responsibilities from the supplier to any persons or organisation taking over such responsibilities after the contract ends;
  - d) The Supplier's plan to deliver to DFID (if requested or as otherwise directed by DFID) prior to the contract end date (or termination of the contract), any finished work or, unfinished materials or work-in-progress which relate to the contract;
  - e) The Supplier's plans to provide DFID before the contract ends a summary of the status and next steps in relation to any on-going projects or other material and unfinished activities being conducted or monitored by the supplier;
  - f) The return by the supplier of all Confidential Information to DFID before the contract end date;
  - g) Allows for a period of up to sixty (60) days after the contract end date (or termination date) for the exit process to be properly implemented.

## **K. TRANSPARENCY REQUIREMENT & BRANDING**

59. Transparency, value for money and results are top priorities for the UK Government. DFID has a duty to show UK taxpayers where their money is being spent, its impact, and the results achieved. DFID has guidance on the use of its logos, which will be shared with the supplier(s) as necessary.
60. DFID has transformed its approach to transparency, reshaping our own working practices and pressuring others across the world to do the same. DFID requires Suppliers receiving and managing funds to release open data on how this money is spent, in a common, standard, re-usable format and to require this level of information from immediate sub-contractors, sub-agencies and partners.
61. It is a contractual requirement for all Suppliers to comply with this, and to ensure they have the appropriate tools to enable routine financial reporting, publishing of accurate data and providing evidence of this DFID – further information is available from:

<http://www.aidtransparency.net/>

## **L. DUTY OF CARE**

62. The Supplier is responsible for the safety and well-being of their personnel and third parties affected by their activities detailed in this TOR. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.
63. The Supplier is responsible for ensuring appropriate safety and security briefings for all of their short-term personnel delivering work as defined in the TOR and ensuring, where appropriate, that their long-term personnel register and receive briefings as outlined above. Travel advice is also available on the FCO website and the Supplier must ensure they (and their personnel) are up to date with the latest position.
64. Supplier has confirmed in their Tender that:
- they fully accept responsibility for Security and Duty of Care;
  - they understand the potential risks and have the knowledge and experience to develop an effective risk plan; and
  - they have the capability to manage their Duty of Care responsibilities throughout the life of the contract.
65. This Procurement will require the Supplier to operate in a seismically active zone and is considered at high risk of earthquakes. Minor tremors are not uncommon. Earthquakes are impossible to predict and can result in major devastation and loss of life. There are several websites focusing on earthquakes, including <http://geology.about.com/library/bl/maps/blworldindex.htm>. The Supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region in order to deliver the Contract (subject to travel clearance being granted).
66. The subjective assessment of Duty of Care is included in Annex B of these Terms of Reference. Please note that this risk assessment will be re-examined at the point of transition between the Inception and Implementation Phases. If at any stage there are concerns that the Supplier cannot manage Duty of Care then they may be precluded from operating in that region. The ability of the Supplier to manage Duty of Care shall remain a pre-condition of the contract.

## **M. General Data Protection Regulation**

74. Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in App A and the standard clause 33 in section 2 of the contract.



## ***N. ANNEXES***



**Annex A: Draft Log Frame**

PROJECT TITLE												
IMPACT	<b>Impact Indicator 1</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>			
	Increase in smallholder incomes in Casa countries of operation (tbc)	<b>Planned</b>										
		<b>Achieved</b>										
			<b>Source</b>									
Increased smallholder incomes and improved rural food security contributing to SDGs 1,2,5, and 8	<b>Impact Indicator 2</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>			
	Increase in rural food security a. In DFID priority countries and/or b. In Casa countries of operation (tbc)	<b>Planned</b>										
		<b>Achieved</b>										
			<b>Source</b>									
OUTCOME	<b>Outcome Indicator 1</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>Assumptions</b>		
Increased smallholder incomes, increased investment in agribusiness and changes in the approach of donors and investors to commercial agriculture.	Additional net income (\$, nominal) for smallholders as a result of improved access to growing markets from in country interventions and Emerging Smallholder Facility	<b>Planned</b>										
		<b>Achieved</b>										
			<b>Source</b>									
Increased smallholder incomes, increased investment in agribusiness and changes in the approach of donors and investors to commercial agriculture.	<b>Outcome Indicator 2</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>			
	Additional private sector investment leveraged into smallholder related agribusiness a. Directly by country interventions (year 6 onwards) and b. Indirectly as a result of wider communication and engagement (year 3 onwards)	<b>Planned</b>										
		<b>Achieved</b>										
			<b>Source</b>									
		Evaluation										

	<b>Outcome Indicator 3</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>		
	Additional donor and government investment into smallholder related agribusiness in the Casa countries of operation	<b>Planned</b>									
		<b>Achieved</b>									
			<b>Source</b>								
	<b>Outcome Indicator 4</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>		
	Number of donors, investors and governments that alter their policies or investments in response to the activities and outputs of the programme	<b>Planned</b>									
		<b>Achieved</b>									
			<b>Source</b>								
	<b>Outcome Indicator 5</b>										
	Increased consumption of nutritious crops by smallholder producers										
<b>INPUTS (£)</b>	<b>DFID (£)</b>		<b>Govt (£)</b>	<b>Other (£)</b>				<b>Total (£)</b>	<b>DFID SHARE (%)</b>		
<b>INPUTS (HR)</b>	<b>DFID (FTEs)</b>										
<b>Component A</b>											
<b>OUTPUT 1</b>	<b>Output Indicator 1.1</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>Assumptions</b>	
More inclusive market structures, enabling smallholders to engage and participate in formal agriculture value chains	Number of new and/or strengthened aggregation arrangements (producer organisations, contract farming, others) set up by the programme	<b>Planned</b>									
		<b>Achieved</b>									
			<b>Source</b>								
	<b>Output Indicator 1.2</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>		
	Number of smallholders benefitting from new and/or strengthened aggregation arrangements, number that live below the international poverty line (both gender disaggregated)	<b>Planned</b>									
<b>Achieved</b>											
		<b>Source</b>									



	<b>Output Indicator 1.3</b>										
	Increased supply of nutritious crops in target value chains										
<b>INPUTS (£)</b>	<b>DFID (£)</b>		<b>Govt (£)</b>	<b>Other (£)</b>					<b>Total (£)</b>	<b>DFID SHARE (%)</b>	
<b>INPUTS (HR)</b>	<b>DFID (FTEs)</b>										
<b>OUTPUT 2</b>	<b>Output Indicator 2.1</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>Assumptions</b>	
Improved pipeline of investable agribusinesses with significant smallholder supply chains for early stage investors	Number of agribusinesses in target value chains that receive technical assistance to improve their governance, operations, financial management and engagement with investors	<b>Planned</b>									
		<b>Achieved</b>									
		<b>Source</b>									
	<b>Output Indicator 2.2</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>		
	Number of agribusinesses that meet with new investors as a result the programme	<b>Planned</b>									
		<b>Achieved</b>									
<b>Source</b>											
<b>IMPACT WEIGHTING (%)</b>	<b>Output Indicator 2.3</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>		
	Number of smallholders that benefit from increased investment into agribusinesses, number that live below the international poverty line (both gender disaggregated)	<b>Planned</b>									
		<b>Achieved</b>									
		<b>Source</b>									<b>RISK RATING</b>
<b>INPUTS (£)</b>	<b>DFID (£)</b>		<b>Govt (£)</b>	<b>Other (£)</b>					<b>Total (£)</b>	<b>DFID SHARE (%)</b>	
<b>INPUTS (HR)</b>	<b>DFID (FTEs)</b>										
<b>OUTPUT 3</b>	<b>Output Indicator 3.1</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>Assumptions</b>	

Improvement to the agribusiness enabling environment, making it more transparent and competitive, to the benefit of smallholders	Number of constructive engagements (meetings, workshops etc) between supported business groups and government bodies to improve the agricultural enabling environment.	Planned								
		Achieved								
		Source								
	<b>Output Indicator 3.2</b>		Baseline	2018	2019	2020	2021	2022	2023	
	Number of actions (regulatory changes, policy reforms, practice changes or releases of funds for investment) by state and federal government, influenced by the programme.	Planned								
		Achieved								
		Source								
<b>IMPACT WEIGHTING (%)</b>			Baseline	2018	2019	2020	2021	2022	2023	
		Planned								
		Achieved								
		Source								
<b>INPUTS (£)</b>	<b>DFID (£)</b>		Govt (£)	Other (£)				Total (£)	DFID SHARE (%)	
<b>INPUTS (HR)</b>	<b>DFID (FTEs)</b>									
<b>Component B</b>										
<b>OUTPUT 4</b>	<b>Output Indicator 4.1</b>		Baseline	2018	2019	2020	2021	2022	2023	Assumptions
Smallholder impact of development finance deals is increased  Emerging Smallholder Facility	The number of businesses supported by the Emerging Smallholder Facility	Planned								
		Achieved								
		Source								

<b>IMPACT WEIGHTING (%)</b>	<b>Output Indicator 4.2</b>		Baseline	2018	2019	2020	2021	2022	2023		
	Number of smallholder farmers benefiting from the support provided through the Emerging Smallholder facility (and number earning below \$1.25 per day)	Planned									
		Achieved									
		Source									
	<b>Output Indicator 4.3</b>		Baseline	2018	2019	2020	2021	2022	2023		
	Number of investors that work with the Emerging Smallholder Facility to identify businesses eligible for support	Planned									
		Achieved									
		Source									
	<b>Output Indicator 4.4</b>		Baseline	2018	2019	2020	2021	2022	2023		
	Number of investors making explicit reference to investment in smallholder related agribusiness	Planned									
		Achieved									
		Source									
<b>OUTPUT 5</b>	<b>Output Indicator 5.1</b>		Baseline	2018	2019	2020	2021	2022	2023	Assumptions	
Rural communities are able to actively participate in investment decisions which affect them  IIED	Number of households benefiting from the tools/support provided by the programme	Planned									
		Achieved									
		Source									
	<b>Output Indicator 5.2</b>		Baseline	2018	2019	2020	2021	2022	2023		
	Number of reports and documents published (reports on evidence, insight, guidance and lesson sharing) and number of users of these reports	Planned									
		Achieved									

		Source								
		Baseline	2018	2019	2020	2021	2022	2023		
IMPACT WEIGHTING (%)		Planned								
		Achieved								
		Source								
INPUTS (£)	DFID (£)		Govt (£)	Other (£)				Total (£)	DFID SHARE (%)	
INPUTS (HR)	DFID (FTEs)									
Component C										
OUTPUT 6	Output Indicator 6.1		Baseline	2018	2019	2020	2021	2022	2023	Assumptions
Improved data, evidence and understanding of the commercialisation of smallholder and SME agriculture is produced and communicated	Number of research findings, briefing reports, technical reports and commercial agriculture reviews disseminated to target audiences and number of users	Planned		i) 0, ii) 0						
		Achieved		i) 0, ii) 0						
	Source									
	Output Indicator 6.2		Baseline	2018	2019	2020	2021	2022	2023	
	Number of events organised (webinars, workshops) and number of attendees	Planned		i) 0, ii) 0						
		Achieved		i) 0, ii) 0						
	Source									
	Output Indicator 6.3		Baseline	2018	2019	2020	2021	2022	2023	

		<b>Planned</b>		i) 1, ii) 4						
	Malabo Panel - Number of i)Panel events held and ii) number of technical reports and briefing papers produced	<b>Achieved</b>		i) 1, ii) 2						
		<b>Source</b>								
	<b>Output Indicator 6.4</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>Assumptions</b>
	Evidence of active participation in international debates, as demonstrated by representation by DFID or contractors at external events on commercial agriculture.	<b>Planned</b>								
		<b>Achieved</b>								
		<b>Source</b>								
	<b>Output Indicator 6.5</b>		<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	
	Number of new DFID programmes developed that address the commercialisation of smallholder and SME agriculture	<b>Planned</b>								
		<b>Achieved</b>								
		<b>Source</b>								
<b>IMPACT WEIGHTING (%)</b>			<b>Baseline</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	
		<b>Planned</b>								
		<b>Achieved</b>								
		<b>Source</b>								
										<b>RISK RATING</b>

**Annex B: Duty of Care Matrices**

1 Very Low risk	2 Low risk	3 Med risk	4 High risk	5 Very High risk
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**Malawi**

Theme	DFID Risk Score
	Malawi
OVERALL RATING	2
FCO travel advice	2
Host nation travel advice	N/A
Transportation	4
Espionage	1
Security	3
Civil unrest	2
Violence/crime	2
Terrorism	2
War	1
Hurricane	1
Earthquake	2
Flood	2

Medical Services	4
Nature of Project/Intervention	2

**Uganda**

Theme	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score
	Kampala	North-east Uganda Karamoja Region	Northern Uganda	South West Uganda	Western Uganda	Eastern Uganda
Overall Rating	3	3	3	3	3	3
FCO Travel Advice	2	4	2	2	2	2
Host Nation Travel Advice	Not available	Not available	Not available	Not available	Not available	Not available
Transportation	5	5	5	5	5	5
<a href="#">Security[*]</a>	3	3	3	3	3	3
Civil Unrest	3	2	2	2	2	2
Violence/crime	3	4	3	3	3	3
Terrorism*	4	4	4	4	4	4
War	1	2	1	1	1	1
Hurricane	1	1	1	1	1	1
Earthquake	1	1	1	2	2	1
Flood	2	1	2	2	1	3
Medical Services**	4	4	4	3	3	3
Nature of Project Intervention	2	2	2	2	2	2

\*The FCO travel advice for Uganda advises that there is a general threat from

**terrorism**

**\*\*Medical facilities outside of Kampala and particularly away from cities are limited**

**Nepal**

Theme	DFID Nepal Risk score	
	Kathmandu and Pokhara	All other parts of Nepal
<b>OVERALL RATING <sup>1</sup></b>	<b>2 – Low Risk</b>	<b>2 – Low Risk</b>
FCO travel advice	1	1
Host nation travel advice	n/a	n/a
Transportation	3	4
Security	2	2-3
Civil Unrest	2	3
Espionage	2	2
Violence/crime	2	2
Terrorism	3	3
War	1	1
Hurricane	1	1
Earthquake	4	4
Flood	2	2
Medical Services	2	3
Nature of project	2	2





## **Appendix A: of Contract Section 3 (Terms of Reference) Schedule of Processing, Personal Data and Data Subjects**

This schedule must be completed by the Parties in collaboration with each-other before the processing of Personal Data under the Contract. The completed schedule must be agreed formally as part of the contract with DFID and any changes to the content of this schedule must be agreed formally with DFID under a Contract Variation.

Description	Details
<b>Identity of the Controller and Processor for each Category of Data Subject</b>	<p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract</p> <p>1) The Parties acknowledge that Clause 33.2 and 33.4 (Section 2 of the contract) shall not apply for the purposes of the Data Protection Legislation as the <b>Parties are independent Controllers</b> in accordance with Clause 33.3 in respect of the following Personal Data:</p>
<b>Subject matter of the processing</b>	
<b>Duration of the processing</b>	
<b>Nature and purposes of the processing</b>	
<b>Type of Personal Data [and Special Categories of Personal Data]</b>	
<b>Plan for return and destruction of the data once processing complete.</b>	<b>(UNLESS requirement under EU or European member state law to preserve that type of data)</b>



<sup>i</sup> Estimates of the number of smallholders and their involvement in formal value chains vary. IFAD estimates there to be 500 million smallholders, of which 2-5% are involved in active, commercial value chains (IFAD Value Chain toolkit). CGAP estimates there to be 500 million smallholders of which 7% are engaged in tight value chains selling cash crops to local and regional and export markets (CGAP, Focus Note Segmentation of Smallholder Households 2013).

<sup>ii</sup> IFAD Rural Poverty Report 2011. Rome: IFAD. [http://www.ifad.org/rpr2011/report/e/print\\_rpr2011.pdf](http://www.ifad.org/rpr2011/report/e/print_rpr2011.pdf)