

Section 3

TERMS OF REFERENCE

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

**Lot 2 – Component B: Emerging Smallholder
Facility**

Terms of Reference

Terms of Reference

Commercial Agriculture for Smallholders and Agribusiness (CASA)

Emerging Smallholder Facility

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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 chainsⁱ, with women less likely than menⁱⁱ. 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 catalytic change in the way in which investors view and invest in agribusinesses that work with smallholder¹ supply chains. Specifically, CASA will increase economic opportunities for smallholder farmers by:
 - Enabling more smallholder farmers to engage with and trade into commercial markets;
 - Demonstrating the commercial viability of agribusinesses with significant smallholder² supply chains and attracting more investment into these businesses;
 - Deepening the smallholder impact of investments made by development finance institutions and impact investors.
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 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:
 - 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 projects and organisations focused on bringing smallholder farmers into commercial markets and iii) improve regulations, laws or practices which benefit smallholders and 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

¹ 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.

² Agribusinesses that source 30% or more of one or more of their agricultural inputs from smallholders

investment from investors with development interests (see paragraph 9) 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. These terms of reference relate to the Emerging Smallholder Facility of Component B.

- 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. Learning from these activities and from the broader programme will be synthesised and used 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.
6. CASA will be delivered primarily through two separate contracts, Lot 1 - Components A and C and Lot 2 - Emerging Smallholder Facility. Some small elements of Components B and C will be procured through additional accountable grants with NGOs.

B. OBJECTIVES

7. These TORs are for a Supplier to deliver objectives relating to the Emerging Smallholder Facility (the Facility) under Component B. The other sub-component of Component B relating to local community engagement will be delivered through an accountable grant with IIED and is not part of these terms of reference.
8. The Facility will principally oversee the delivery of a range of advisory services and agricultural development services to agribusinesses that have received investment from investors with development interests (such as impact investors, Development Finance Institutions (DFIs), fund managers to DFIs, NGO investors and others).
9. The objectives of this component are to:
- Increase the smallholder impact of existing investments made by investors with development interests;
 - Raise investor expectations regarding the level of development impact that can be achieved from future investments;
 - Increase the provision of development impact technical assistance³ by investors with development interests.
10. To succeed, the components of CASA 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 everything that the Facility does.

³ See paragraph 17 below for further definition of this form of assistance

11. Activities must have a strong link to poverty reduction and maximising local economic benefits to deliver inclusive economic growth. The Supplier will also ensure that climate and environment, nutrition, gender and inclusion considerations are taken into account under all CASA activities. The Supplier has noted obligations on all new DFID programming resulting from both the Gender Equality Act of 2014 and from DFID's Economic Development Strategy⁴, 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 are agribusinesses with investment from investors with development interests. Direct beneficiaries are:
 - a) Smallholders will benefit from increased demand for their produce and/or improved provision of agricultural inputs enabling them to improve productivity and production levels. Female smallholders will benefit from improved integration into and improved economic returns from commercial agricultural supply chains;
 - b) Agribusinesses that receive the technical assistance will benefit from improved smallholder supply chains and/or smallholder delivery models for their produce which may reduce risks, increase sales, secure supplies and improve the sustainability and social impact of the businesses operations.
 - c) Agribusiness investors will benefit from the reduced risk and increased sustainability of the investments they have made that receive the technical assistance.
13. Significant counterparts are expected to include, but not be limited to:
 - a) DFIs such as CDC (and their fund managers), Proparco, DEG, OPIC etc
 - b) Impact investors such as Root Capital and Acumen
 - c) Early-stage investors such as AgDevCo and Africa Enterprise Challenge Fund.

D. SCOPE OF WORK

14. The scope of work is to undertake detailed scoping, design and management of the delivery of a range of services including advisory services and agricultural development services to agribusinesses that make significant purchases from smallholder suppliers.
15. Agribusinesses in DFID priority countries⁵ that have received investment from investors with development interests (see paragraph 9 above) are eligible to receive these services under this programme.

⁴ <https://www.gov.uk/government/publications/dfids-economic-development-strategy-2017> p21.

⁵ See <https://www.gov.uk/guidance/where-we-work>

16. The objective of the provision of these services is to increase the development impact that the agribusiness has on the smallholders with which it engages as a purchaser of smallholder produce. The development impacts that the technical assistance will deliver include increasing smallholder sales and incomes, increasing smallholder productivity, increasing participation of and economic returns to women and poorer, more remote smallholders in commercial agriculture, increasing adoption of climate smart agriculture techniques, promoting improvements in rural nutrition and food security.
17. The Supplier is expected to identify and summarise the improved development impact arising from the technical assistance provided and to proactively communicate this impact to investors, governments and donors. This communication and engagement activity is intended to i) influence development focused investors to increase their provision of development impact technical assistance and ii) raise investor expectations regarding the level of development impact that can be achieved from future investments. This communication activity will be coordinated with the overall CASA communication and engagement activities that are being commissioned as part of Component C of the programme
18. The Supplier will be expected to work closely with other aligned DFID programs, for example these are likely to include (but not limited to):
 - CDC, AgDevCo, Africa Enterprise Challenge Fund, Global Agriculture Food Security Program

The DFID contract with the Supplier will include appropriate KPIs to incentivise coordination.
19. DFID will share details of other relevant programmes with the successful Supplier.

E. INVESTOR ENGAGEMENT PHASE

20. The investor engagement phase will last for six months and will be used to engage with investors and define an initial programme of technical assistance for the first two years of implementation.
21. **Purpose (but not limited to):**
 - a) To identify and engage with investors in order to identify invested businesses that may benefit from support from the Facility
 - b) To gain access to invested businesses and understand their smallholder supply chain development needs
 - c) To develop a detailed plan for the delivery of technical assistance for the first two years of implementation
 - d) To engage investors in the development and commercial case for providing development impact related technical assistance
22. **Activities:**
 - a) Meet with investors eligible for support from the Facility and secure their support in engaging with agribusinesses that have received their investment finance. Eligible agribusinesses must have received investment from an investor with development interests and be located in a DFID priority country;

- b) Meet with invested agribusinesses that purchase supplies from smallholders in order to identify opportunities to increase the development impact that the business has on its smallholder suppliers through increased purchases, improved yields, improved women's economic empowerment⁶ and expansion of the smallholder supply base, particularly to engage with poorer smallholders.
- c) Develop a detailed technical assistance plan for the first year of the programme. The plan should describe the proposed technical assistance projects that will receive support from the Facility and should:
 - o Define the potential smallholder impact from the intervention in terms of number of smallholders (analysed by poverty status and gender), potential income uplift, nutritional impact, economic empowerment, climate resilience impact and other potential benefits. The plan must clearly indicate the additional benefits that the technical assistance will generate over and above the development benefits that have been agreed to as part of the original development finance investment.
 - o Define the activities to be undertaken and the costs associated with those activities;
 - o Specify the financial and managerial support that the business will commit to providing as part of the project;
 - o Propose an implementation plan including planning for contracting and managing third-party technical assistance providers - it is anticipated that the Facility will tender the majority (over 75%) of the technical assistance proposed.
- d) Develop an outline plan for the activities of the Facility and the technical assistance to be provided during year two and beyond.
- e) All proposals for technical assistance will be presented to a CASA Emerging Smallholder Facility Board on a six monthly basis for approval based on an analysis of the development benefits and costs associated with each proposal.
- f) Prepare a communication and engagement plan defining the key stakeholders for the Facility and including communication and stakeholder plans for how the Facility will ensure support for the Facility from investors in terms of identifying businesses to work with and engaging with the findings generated by the Facility.
- g) Further refine the map of existing technical assistance facilities provided by investors in terms of size and type of technical assistance provided and identify opportunities to influence these investors (and others) to increase the provision of development impact technical assistance.
- h) Engage with and coordinate activities with other CASA suppliers, in particular with the Monitoring and Learning Supplier appointed through a separate invitation to tender for Components A and C. This will require agreeing the results and monitoring information to be provided to the Monitoring and

⁶For full definition of Women's Economic Empowerment and guidance on investing in women in agri-business value chains, see page 5, High Level Panel on Women's Economic Empowerment Toolkie on Driver 5: How to Change Business Culture and Practice <https://www.empowerwomen.org/en/resources/documents/2016/11/business-culture-and-practice?lang=en>

Learning Supplier and agreeing a communications and engagement strategy for identifying and summarising key learnings and findings from the activities of the Facility. The Supplier will be responsible for gathering all results and verification data from technical assistance interventions under this component, other than that collected by the independent evaluator.

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

- a) Initial Report – short version (size and content to be defined by DFID) of the below on work and plans so far – for discussion and agreement with DFID. This should be submitted within two months and should include the criteria to be used to assess technical assistance opportunities that have been agreed with DFID.
- b) End of Investor Engagement Phase Report (size and content to be defined by DFID) covering or including:
 - Strategy and plan for delivering the objectives of the Facility and a revised theory of change showing how the Facility will intervene to deliver the outcomes of the CASA programme and how it links with the wider CASA programme theory of change.
 - Detailed technical assistance plan for year one describing the technical assistance to be provided to each of the invested agribusinesses, the expected results and budgeted costs for the technical assistance. All proposals will be approved by the CASA Emerging Smallholder Facility Board prior to implementation.
 - Strategy and procedures for tendering technical assistance projects through third parties
 - A revised
 - Stakeholder engagement and communications plan for the Facility with a clear plan for how the Facility will influence other technical assistance facilities and collaborate with the Monitoring and Learning Supplier and suppliers of other CASA components.
 - Budget and profile (for the delivery of the detailed technical assistance plan) – to cover first year with indicative outline for the remainder of the programme
 - Value for Money strategy
 - Risk Register
 - Monitoring and learning plan defining the monitoring, learning, verification and case study activities that the Facility will undertake with clear definition of how the Facility will collaborate with the Monitoring and Learning Supplier
 - Establishment (with DFID agreement) of programme management tools including: project proposal documents, including economic and other outcomes sought (including quantification) and financial reporting and monitoring requirements from DFID.

F. IMPLEMENTATION

24. Purpose (but not limited to)

- Increase the economic returns and integration opportunities for smallholders particularly for women and poorer smallholders, from trading with larger agribusinesses
- Demonstrate the commercial viability of inclusive agribusiness models that engage with smallholders;
- Demonstrate the increased level of development impact that investors can have through their investments and thereby raise expectations of what can be achieved from future investments
- Increase the provision of development impact technical assistance by investors to their invested businesses.

25. **Activities**

- Commission technical assistance from third parties to the target organisations identified in the investor engagement phase. Each business is expected to receive support for a period of up to 2 years with the majority of the technical assistance support being provided during the first year. Supplier is expected to commission technical assistance primarily through contractors resident in country. This will enable the programme to provide ongoing support, coaching and guidance to the recipients of technical assistance. Other considerations include:
 - The Supplier may undertake individual technical assistance assignments (up to 25% of the total value of the technical assistance element of the facility) through consortium partners where this demonstrates improved value for money.
 - The programme may also support requests for capital expenditure funding and small amounts of risk capital (e.g. to catalyse the availability of smallholder finance) where these are essential to the achievement of an approved technical assistance project.
- Continue to identify and scope out new opportunities for technical assistance support from the Facility in order to ensure an ongoing programme of technical support during years 2-4 of the Facility. No new projects will be approved during year 5 although additional support to existing projects may be undertaken.
- Communicate to and engage investors with development interests on the case for providing development impact technical assistance and on the types of development impact that agribusiness investments can achieve.
- Identify and engage with other organisations and stakeholders that the programme could engage with in order to deliver the objectives of CASA
- From year 2 onwards, initiate 4 case studies and learning reports each year that can be used to advocate for increased development impact expectations from investors and for increased provision of development impact technical assistance by investors. One of these annual studies should advance learning on increasing returns to, and numbers of, women integrated into commercial supply chains. The supplier will be expected to communicate these findings through their investor networks as part of an ongoing communication and engagement plan and to closely coordinate these activities with the overall communication and engagement activities of CASA conducted by the Monitoring and Learning Supplier. The Supplier

is expected to facilitate access to its investor network for the Monitoring and Learning Supplier in order to communicate learning from other components of the CASA programme.

- The Supplier will be expected to agree the scope of the data required with the Monitoring and Learning Supplier and to collect all of the data required to monitor this component of the programme. The Supplier must monitor the impact that technical assistance to agribusinesses is having on the poor, especially as the programme matures, and conduct verification studies to establish the poverty and gender status of the majority of smallholder beneficiaries of the programme from year two onwards. This activity should be closely coordinated with the work of the Monitoring and Learning Supplier.

26. Deliverables

- At the start of each year the Supplier will submit a detailed technical assistance plan 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 and estimated cost.
- 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 of the activities, achievements and lessons learnt during the year. The content of this report will be agreed with DFID during the investor engagement phase but should include a thematic review of the activities and results achieved across the portfolio of activities.
- Monitoring information, case studies, verification studies and learning reports should be delivered when completed and should be provided to the overall Monitoring and Learning Supplier in line with the format agreed during the investor engagement phase.
- Updated communications and engagement plan, communication and engagement materials (case studies, lessons learning etc), meetings with investors donors and other relevant stakeholders to implement the communications plan

G. BUDGET AND TIME FRAME

27. The timeframe for the implementation of the programme is as follows:

- Investor Engagement 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.

28. Note that DFID programmes are not automatically tax exempt and therefore the Supplier will be liable to pay any relevant taxes.

29. The Supplier is responsible for ensuring that their proposed staff and consultants have the right to work in the countries involved.
30. 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 has the potential to yield greater results.

H. CONTRACT AND PERFORMANCE MANAGEMENT, PAYMENT MECHANISM AND REPORTING

Contract Management

31. The contract will be for five years, split into three periods with break points after the first two:
 - a) **Investor Engagement 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.
32. 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 Investor Engagement 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.

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 investor engagement phase (see indicative list in Annex A). 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.

33. It is expected the Supplier will be ready to start the operations within four weeks of the contract signature. Mobilisation is expected to be in April 2019.

Performance requirements

34. DFID will use the indicative KPI's in Annex A as a basis for measuring performance. The final KPIs and contract management plan will be agreed with the supplier during the first six months of the programme. The contract management plan confirms how the Supplier will keep DFID informed of performance and operational issues.
35. 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 A, value for money indicators will be agreed during the inception phase, in consultation with DFID.

Payment mechanism

36. Expenses shall be paid quarterly and shall be based on actuals.
37. 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 proportions proposed by the Supplier and agreed with DFID in terms of the ratio of technical assistance design and delivery to other costs.
38. 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 investor engagement 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 investors proposing agribusinesses to the Emerging Smallholder Facility for technical support
 - The number of businesses receiving technical assistance from the Emerging Smallholder Facility
 - Number of case studies/lessons learnt published and communicated in relation to the Facility's activities from the technical assistance
39. A further 10% of the fees will be paid upon achievement of an agreed set of KPIs (see Annex A). 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 commissioned to undertake the mid-term and final evaluations.

Reporting requirements

40. The format and frequency of reporting will be agreed during the investor engagement phase, but is expected to include:
 - a) Formal reporting. This will include monthly reporting during the investor engagement phase, then quarterly and annually (to inform the Annual Review).
 - b) Informal and ad-hoc reporting. Experience from similar programmes indicates that a regular engagement with the responsible DFID Lead is key to successful programme mobilisation, especially during the investor engagement phase.
 - c) Preparation of financial forecasts to meet DFID reporting requirements. The Supplier 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 of financial forecast to enable timely decision making.

I. RISK MANAGEMENT

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

J. END OF CONTRACT ACTIVITIES

42. 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

43. 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.
44. 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.
45. 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

46. The Supplier is responsible for the safety and well-being of their personnel and third parties affected by their activities detailed in these terms of reference. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.
47. The Supplier is responsible for ensuring appropriate safety and security briefings for all of their short-term personnel delivering work as defined in these terms of reference 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.
48. The 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.
49. This Contract may require the Supplier to operate in a number of countries where DFID has a presence. The subjective assessment of Duty of Care for these countries 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 Investor Engagement and Implementation Phases. If at any stage there are concerns that the Supplier cannot manage Duty of Care relevant to a particular country 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

62. 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: Indicative KPIs on Supplier performance

| Indicators | Key Performance Indicators | Baseline | Assessment methodology |
|-------------------------|--|---|--|
| 1. Quality and Delivery | 1.1 Quality and relevance of technical assistance provided to businesses | None | Feedback from businesses and investors involved in technical assistance projects |
| | 1.2 Timeliness of milestone delivery | Received on or before the deadline | Feedback from businesses and investors involved in technical assistance projects |
| | 1.3 Quality and timeliness of reporting (including financial reporting) | Received on or before the deadline and containing the pertinent information in the agreed reporting format | To be assessed by DFID |
| | 1.4 Appropriate and effective identification and management of risks | Risk register and mitigation strategy agreed at investor engagement phase, Updated and refreshed quarterly showing trending | To be assessed by DFID |
| | 1.5 Level of collaboration and cooperation with partners implementing other components, particularly the Monitoring and Learning Supplier (if different) | None | Feedback from other CASA implementing partners obtained by DFID |
| 2. Results | 2.1 Number of technical assistance projects completed | Expectations set during investor engagement period | To be assessed by DFID |

CASA Component B: Emerging Smallholder Facility

| Indicators | Key Performance Indicators | Baseline | Assessment methodology |
|------------|--|---|--|
| | | and included in the logframe | |
| | 2.2 Number of smallholders benefiting from technical assistance projects, disaggregated by those earning less than \$2 per day and by gender | Expectations set during investor engagement period and included in the logframe | Based on verification studies conducted by the Supplier, verified by the evaluation contractor |
| | 2.3 Income increase for smallholders benefiting from technical assistance projects | Expectations set during investor engagement period and included in the logframe | Based on verification studies conducted by the Supplier, verified by the evaluation contractor |
| | 2.4 Number of case studies and lessons learned communicated to investors and | Expectations set during investor engagement period and included in the logframe | Self- reported and validated by DFID |
| | 2.5 Increase in awareness and appreciation of the work of the Emerging Smallholder Facility amongst investors with development interests | None | Based on surveys conducted by the evaluation contractor |



Annex B – Duty of Care Matrix

| Overseas Country Offices | | | | | | |
|--|-----------------|------------------|---------------|----------------|-----------|-----------|
| Directorate | Country | Threat Level * | | | | Overall |
| | | Overall Security | Violent Crime | Civil Disorder | Terrorism | |
| Asia, Caribbean and Overseas Territories (AsCOT) | Bangladesh | High | Medium | Medium | High | High |
| | Barbados | Low | Low | Low | Very Low | Low |
| | Burma (Myanmar) | Low | Low | Low | Low | Low |
| | China | Low | Low | Very Low | Very Low | Low |
| | Guyana | High | High | High | Very Low | High |
| | India | Medium | Very Low | Very Low | Medium | Medium |
| | Indonesia | Medium | Medium | Medium | Medium | Medium |
| | Jamaica | High | High | High | Very Low | High |
| | Nepal | Medium | Medium | Medium | Very Low | Medium |
| Western Asia (WA) | Afghanistan | Very High | High | High | Very High | Very High |
| | Kyrgyzstan | Medium | Low | Low | Medium | Medium |
| | Pakistan | Very High | Low | Medium | Very High | Very High |
| | Tajikistan | Medium | Low | Low | Medium | Medium |
| | Ukraine | Medium | Medium | Medium | Medium | Medium |
| Middle East and North Africa (MENAD) | Iraq | Very High | Very High | High | Very High | Very High |
| | Jordan | High | Low | Low | High | High |
| | Lebanon | High | Medium | Medium | High | High |
| | Libya | High | Medium | Medium | High | High |

CASA Component B: Emerging Smallholder Facility

| | | | | | | |
|---------------------------------|--------------|-----------|-----------|-----------|-----------|-----------|
| | Palestine | High | Medium | Medium | High | High |
| | Saudi Arabia | High | Low | Low | High | High |
| | Syria | High | Medium | Medium | High | High |
| | Turkey | High | Low | Low | High | High |
| | Yemen | Very High | Medium | Medium | Very High | Very High |
| East and Central Africa (ECA) | Chad | High | Medium | Medium | High | High |
| | Ethiopia | Medium | Low | Low | Medium | Medium |
| | Kenya | High | Very High | Very High | High | Very High |
| | Mali | High | Medium | Medium | High | High |
| | Niger | High | Low | Low | High | High |
| | Rwanda | Low | Low | Low | Low | Low |
| | Somalia | Very High | Low | Low | Very High | Very High |
| | South Sudan | High | Very High | Very High | Medium | Very High |
| | Sudan | High | Medium | Medium | High | High |
| | Tanzania | High | High | High | Medium | High |
| Uganda | Medium | Medium | Medium | Medium | Medium | |
| West and Southern Africa (WASA) | Angola | High | High | High | Low | High |
| | Burundi | Medium | High | High | Medium | High |
| | Cameroon | Medium | Medium | Medium | Medium | Medium |
| | DRC | High | Very High | Very High | Low | Very High |
| | Ghana | Medium | Medium | Medium | Low | Medium |
| | Malawi | Medium | Medium | Medium | Low | Medium |
| | Mozambique | Medium | Medium | Medium | Low | Medium |
| | Nigeria | High | High | High | High | High |

CASA Component B: Emerging Smallholder Facility

| | | | | | | |
|--|--------------|--------|-----------|-----------|----------|-----------|
| | Sierra Leone | Medium | Medium | Medium | Low | Medium |
| | South Africa | High | Very High | Very High | Medium | Very High |
| | Zambia | Medium | Medium | Medium | Very Low | Medium |
| | Zimbabwe | Medium | Medium | Medium | Very Low | Medium |

| | | | | |
|--------------------|---------------|---------------|----------------|---------------------|
| 1 Very Low risk | 2 Low risk | 3 Med risk | 4 High risk | 5 Very High risk |
| Low | | Medium | High Risk | |

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 |
|---|---|
| Identity of the Controller and Processor for each Category of Data Subject | <p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract [Complete or remove the options below as appropriate prior to Contract Award]:</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 Parties are independent Controllers in accordance with Clause 33.3 in respect of the following Personal Data:</p> <ul style="list-style-type: none"> • consultant and staff names, email addresses and telephone numbers |
| Subject matter of the processing | |
| Duration of the processing | |
| Nature and purposes of the processing | |
| Type of Personal Data [and Special Categories of Personal Data] | |
| Plan for return and destruction of the data once processing complete. | (UNLESS requirement under EU or European member state law to preserve that type of data) |

ⁱ 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).

ⁱⁱ IFAD Rural Poverty Report 2011. Rome: IFAD. http://www.ifad.org/rpr2011/report/e/print_rpr2011.pdf