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## Document Details

**Title** PO 8284 Performance Evaluation of the AgriTech Catalyst Int Dev Window Contract

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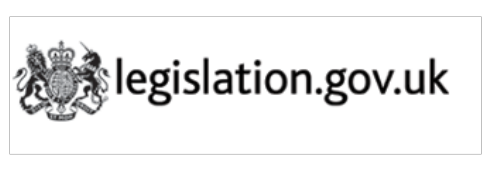
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## Document History

Fri, 11 Jan 2019 09:58:36





## CALLDOWN CONTRACT

**Framework Agreement with:** IPE Global Ltd

**Framework Agreement for:** Global Evaluation Framework Agreement

**Framework Agreement Purchase Order Number:** PO 7448

**Call-down Contract For:** Performance Evaluation of the AgriTech Catalyst International Development Window.

**Contract Purchase Order Number:** PO 8284

I refer to the following:

1. The above-mentioned Framework Agreement dated 2<sup>nd</sup> September 2016;
2. Your proposal of 14<sup>th</sup> September 2018

and I confirm that DFID requires you to provide the Services (Annex A), under the Terms and Conditions of the Framework Agreement which shall apply to this Call-down Contract as if expressly incorporated herein.

### **1. Commencement and Duration of the Services**

- 1.1 The Supplier shall start the Services no later than 21st January 2019 ("the Start Date") and the Services shall be completed by 28<sup>th</sup> February 2022 ("the End Date") unless the Call-down Contract is terminated earlier in accordance with the Terms and Conditions of the Framework Agreement.

### **2. Recipient**

- 2.1 DFID requires the Supplier to provide the Services to the DFID ("the Recipient").

### **3. Financial Limit**

- 3.1 Payments under this Call-down Contract shall not, exceed £401,628 ("the Financial Limit") and is exclusive of any government tax.

When Payments shall be made on a 'Milestone Payment Basis' the following Clause shall be enforced:

#### **Milestone Payment Basis**

Where the applicable payment mechanism is "Milestone Payment", invoice(s) shall be submitted for the amount(s) indicated in Annex B and payments will be made on satisfactory performance of the services, at the payment points defined as per schedule of payments. At each payment point set criteria will be defined as part of the payments. Payment will be made if the criteria are met to the satisfaction of DFID.

April 2014

When the relevant milestone is achieved in its final form by the Supplier or following completion of the Services, as the case may be, indicating both the amount or amounts due at the time and cumulatively. Payments are subject to the satisfaction of the Project Officer in relation to the performance by the Supplier of its obligations under the Call-down Contract and to verification by the Project Officer that all prior payments made to the Supplier under this Call-down Contract were properly due.

#### 4. DFID Officials

- 4.1 The Project Officer is: [REDACTED], Agriculture Research Team, Research and Evidence Division
- 4.2 The Contract Officer is: [REDACTED] Procurement & Commercial Department.

#### 5. Key Personnel

The following of the Supplier's Personnel cannot be substituted by the Supplier without DFID's prior written consent:

[REDACTED]

#### 6. Reports

- 6.1 The Supplier shall submit project reports in accordance with the Terms of Reference/Scope of Work at Annex A.

#### 7. Call-down Contract Signature

- 7.1 If the original Form of Call-down Contract is not returned to the Contract Officer (as identified at clause 4 above) duly completed, signed and dated on behalf of the Supplier within 15 working days of the date of signature on behalf of DFID, DFID will be entitled, at its sole discretion, to declare this Call-down Contract void.

For and on behalf of  
**The Secretary of State for  
International Development**

Name:

Position:

Signature:

Date:

April 2014



For and on behalf of

**IPE Global Ltd**

Name:

Position:

Signature:

Date:

April 2014

## Terms of Reference

### Performance evaluation of the AgriTech Catalyst International Development Window

#### 1. Introduction

The Service Provider (SP) will conduct a performance evaluation (“the evaluation”) of the AgriTech Catalyst International Development Window between 2019 and 2022. The evaluation will be commissioned through DFID’s Global Evaluation Framework Agreement (GEFA). This evaluation will complement an ongoing process evaluation of a number of Catalyst Programmes and an interim impact evaluation of the UK component of the AgriTech Catalyst, commissioned by Innovate UK (IUK) and the Department for Business, Energy and Industrial Strategy (BEIS) respectively. These studies have purposefully not select international development applicants and grantees for primary data collection. More detail is provided under the Constraints and Dependencies section of this TOR.

The specific focus of the evaluation is to provide a rigorous and independent assessment of the effectiveness of the funding mechanism in stimulating agricultural innovation in and for developing countries. Further information on the programme is provided in the Sections 15 and 16 and Annexes.

#### 2. Evaluation Purpose and Objectives

The primary purpose is to evaluate the effectiveness of the AgriTech Catalyst International Development Window (Catalyst) in catalysing agricultural innovation in developing countries. Additionally, the evaluation will also assess the impact of selected individual projects funded by the Catalyst. The evaluation will require assessment of the Catalyst competition process and the individual projects funded by the programme.

More specifically, learning from the Process Evaluation will feed directly into future rounds of the Catalyst and provide lessons for future DFID-IUK collaboration. The Impact component will support DFID’s learning on the effectiveness of the mechanism in accelerating the pace and scale of agricultural innovation and inform future decisions on support to the sector.

#### 3. Recipient and Target Audience

The formal recipient for the evaluation will be DFID, with a broader target audience of Innovate UK and stakeholders in the AgriTech Strategy. These include BEIS, the Department for Environment, Food and Rural Affairs (Defra) and the Biotechnology and Biological Sciences Research Council (BBSRC).

#### 4. Scope

Catalyst started in 2013 and is a 10-year programme. The evaluation will cover the entirety of the Catalyst process from development of the scope, through announcing competitions and managing competitions to awarding contracts and managing projects. For selected individual projects, the evaluation shall also review implementation and assess achieved initial impact(s) and the potential for further impact. The SP will need to engage with a range of stakeholders, including DFID, IUK, projects and end users of innovation.

The evaluation will also develop further the Theory of Change initially prepared for the programme, taking into account achievements to date. Reference should also be made to the Theory of Change/Logic Model developed for the BEIS commissioned evaluation.

Relevant data and documentation will be provided by DFID and Innovate UK. Innovate UK collects basic data on applicants and partners at application stage and more detailed information during

financial checks before project start-up. The data and documentation provided will contain personal data and commercially sensitive information. The SP will be required to sign a data sharing agreement with Innovate UK and handle the data and information appropriately. The Inception Phase of the evaluation will involve working with DFID staff and Innovate UK to finalise the framework for the evaluation.

## **5. Requirements**

The essential competencies and expertise that the Evaluation Team will need to deliver the work are:

- Extensive knowledge of evaluation methods and techniques;
- Strong qualitative and quantitative research skills;
- Good knowledge and understanding of research impact pathways and uptake of innovation;
- Experience in ensuring communication and uptake of evaluation findings;
- Substantive knowledge of private sector engagement in agriculture in developing countries.

Desirable competencies and expertise are:

- Developing high quality monitoring and evaluation frameworks;
- Technical competencies in agriculture, livelihoods and private sector development;
- Good knowledge of gender, social and poverty research and analysis;
- Good knowledge on assessing value for money (VfM);
- Strong analysis, report writing and communication skills.

The team will be expected to:

- Incorporate a clear code of ethics, consistent with but expanding upon [Ethics principles for evaluation and research](#);
- Commit to producing high quality evaluation reports for publication and to publish any further outputs deriving from or drawing on the evaluation in open access formats.

## **6. Constraints and Dependencies**

The key dependency for this contract is availability of data and information from Innovate UK systems. Given the commercially sensitive nature of the information, particularly with respect to project reports, the SP will be expected to demonstrate that they have strong systems in place to maintain the confidentiality of the information. Each project provides a detailed implementation plan (second level plan), against which progress is monitored on a quarterly basis. Monitoring reports assess each Work Package against five criteria (Scope, Timing, Cost, Risks, Project Planning).

The DFID component of the AgriTech Catalyst targets impact in developing countries, as opposed to the UK component which targets UK impact. As a consequence, BEIS is contracting a separate evaluation of its AgriTech Catalyst projects and so these will not form part of this proposal. However, the SP will be expected to engage with the evaluation team for the BEIS evaluation to maximise synergies between the evaluations and contribute to improving the quality of the results to be produced across the two.

The BEIS interim impact evaluation has been contracted to SQW for the period December 2017 – February 2019. The final report of the first phase is due in late July 2018, and the final report for the second phase in February 2019. As well as analysing the results to date, it aims to inform, and make recommendations concerning, the proposed full evaluation intended to take place from 2020 onwards.

## 7. Evaluation Framework and Questions

On the basis of the core evaluation questions below and other information in the ITT, proposals were asked to present a suitable evaluation framework which would unify the components of this evaluation and help to guide final decisions on the content and conduct of this evaluation.

During the inception phase this framework will be completed, to include:

- Evaluation criteria;
- Evaluation questions, sub-questions and indicators/judgement criteria, as appropriate;
- Data collection and analysis methodologies including the approach to assessing VfM.

Proposals should be very clear about the extent to which they will be able to assess value for money and impact (see questions below).

The evaluation shall address the following core questions, though we are happy to consider revisions to the exact meaning and/or wording in proposals and during inception.

DFID acknowledges that the three award types, and diversity of projects funded, means that a range of potential impacts may be observable during the programme lifespan. Early Stage projects may have significantly advanced scientific understanding but may well not (by grant end dates) have impacted farmers in developing countries. In contrast, Late Stage projects may well have enabled partners to reach significant scale. Equally, some projects may have delivered impact, whilst others show potential for impact and some may not be impactful.

The key evaluation questions are: -

### Relevance

- EQ: 1: How relevant to agricultural intensification and food systems in developing countries are the innovations supported by the Catalyst and was the quality<sup>1</sup> of the funded innovations consistently high?

### Efficiency and Value for Money

- EQ: 2: To what extent has the Catalyst:
- i. stimulated genuinely new partnerships between research institutions and private companies in the UK and developing countries to tackle challenges within developing country agriculture?
  - ii. strengthened existing partnerships and links? (i.e. tapped into latent demand from existing partnerships).
- EQ: 3: How well has the Catalyst been managed by Innovate UK, including the competition process, assessment of applications and project management? Note: coverage is needed only of aspects specific to running the international development window. Processes which are applied across the Catalysts portfolio will be addressed in the Innovate UK evaluation.
- EQ: 4: How economically and efficiently has spending been managed, both overall by Innovate UK and by individual grantees?

### Impact

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<sup>1</sup> Quality includes quality of science, technical rigour, appropriateness for end-users and modest cost (relative to benefit). During inception, the supplier will propose a definition of quality to be used in addressing this question, which will need DFID and IUK agreement.



- EQ: 5: Has funding from the Catalyst enabled innovations to advance more rapidly than would otherwise have been the case? It may be possible to make comparisons with “blue zone” applications (those of good quality which failed to secure funding).
- EQ: 6: Have funded projects delivered development impact<sup>2</sup>, and was this achieved as envisaged in the original application?
- i. Have innovations had a positive impact on household incomes or food consumption?
  - ii. Are services/innovations accessible to all, including women and men and other vulnerable groups?
  - iii. Do services meet the needs and preferences of smallholder farmers?
- EQ: 7: What can be observed in respect of any other planned or unintended positive or negative impacts of the Catalyst? These may include, but are not limited to, impacts on the capacity of in country partners and other stakeholders, effects on investment in, and markets, for other technologies and environmental impacts.
- EQ: 8: Has the Catalyst had an impact on the attitudes of organisations<sup>3</sup> towards agricultural and food systems innovation for international development, and their interest in investing in the sector?

### Sustainability

- EQ: 9: How near to commercialisation and sustainable delivery are the processes/products; is follow-on funding required for translation/overcoming any remaining barriers to creating sustaining markets for the funded innovations?

Within the evaluation of process, the evaluation team is required to carry out data analysis of applications and successful projects. This will enable, at a minimum, answers to the following questions.

1. Were there more applicants from certain sectors than others?
2. Were applicants from certain sectors more successful than others?
3. Were applications from certain countries more successful than others?
4. Did the number of project partners influence the success of applications?
5. How do these factors vary by the three classes of award?

### **Overall Approach**

The evaluation shall be conducted in two main phases: 2019 and 2022. There will be a modest interim phase in 2020.

Phase I will comprise:

- i) in depth evaluation work to address process evaluation questions (1-4) and
- ii) a first assessment of outcomes, early impacts and sustainability (questions 5-9).

The first component will review processes related to the first six rounds of funding (or a sample thereof) *and* examine round 8 as it progresses in 2019. The second component shall assess impacts to date from earlier, largely completed awards. For practical reasons, including demands on the

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<sup>2</sup> DFID acknowledges that the three award types, and diversity of projects funded, means that a range of potential impacts may be observable during the programme lifespan. Development impact should be considered under this EQ. Science/knowledge impact should be considered under EQ 5.

<sup>3</sup> DFID is particularly interested in private sector and commercial investors, but not exclusively.

evaluation team's time, DFID envisage that these two components will be conducted largely sequentially, resulting in two reports. The process evaluation is required first as DFID is keen for the findings of the process evaluation to influence subsequent competition rounds. However, we are not tied to that model and proposals to conduct the two components in parallel will be considered.

Phase II is expected to be conducted in the second half of 2021. It shall provide a more thorough assessment of impacts and sustainability, tracking both results from earlier awards and emerging impacts from Round 7 onwards. Proposals for conducting impact assessment will be a key criterion in tender scoring.

In addition, a modest interim phase will be scheduled for summer 2020, which essentially updates parts of the Phase 1 report(s) (in a short, unpublished document) and sets up the final phase (sampling, alerting key contacts and so forth).

We are keen to see the inclusion of Developing Country evaluators wherever possible and to a degree this may influence project selection.

DFID adheres to the DAC Quality Standards for Development Evaluation and will consider any proposal that conformity or technical equivalence to these standards. The burden of proving technical equivalence in this case will fall on the SP.

## **8. Methods**

In bids, tenderers outlined, as fully as possible the evaluation design and methodology they propose to use, the allied potential risks and challenges for the evaluation and how these will be managed. The SP will refine this proposal as part of the inception phase, in consultation with DFID and Innovate UK. An inception phase of 6 weeks is expected.

DFID is not prescribing a methodology for the conduct of this evaluation but would expect a design that takes a multiple methods approach and systematically triangulates evidence. A minimal list follows, but we are open to additional and/or innovative methods including use of suitable secondary data to assess impact. Please note, that we are committed to quality and rigour in line with international good practice in evaluation.

- Desk-based research: Review of key documents. including:
  - Project applications and assessor comments.
  - Project Monitoring Reports
  - Project closeout reports.

These documents will be made available to the successful bidder, under a data sharing agreement with Innovate UK and BBSRC. Projects are contractually obliged to maintain project records for 10 years. Please note that projects are also notified that Innovate UK may evaluate the impact of funding awarded and that they shall be "expected to assist".

- Interviews with stakeholders: DFID, Innovate UK, project consortia, including overseas partners, and farmers/end users of technology.
- Field visits to developing country partners and farmers, as appropriate.
- Applicant survey – to obtain quantitative data including with unsuccessful applicants who could form a control/comparison group. Note that if survey(s) are used, these should be rigorously designed with appropriate sampling methods and expectation of acceptably high response rates. To facilitate participation the evaluation team may wish to offer modest incentives/payments to unsuccessful applicants in return for the participation the evaluation (at rates agreed with DFID).
- Case studies – a sample of projects to provide detailed qualitative and quantitative evidence. DFID's preliminary view is the overall analysis covering all awards should be complemented by in-depth case studies. If the case study model is adopted, we would envisage selection of at least five projects for Phase 1 (and, obviously, a greater number

for Phase 2) from across the different award categories, and which have worked in different countries. The projects selected would be confirmed with the evaluation management group in the inception and interim phases.

It is recognised that the AgriTech Catalyst has a relatively small population size and will provide particular challenges in terms of establishing a robust control/comparison group. Some high-quality applications in later rounds were not funded, providing an opportunity to compare funded projects with unfunded projects.

## **9. Outputs**

The Evaluation Team will be required to deliver the following outputs. Dates will be confirmed during inception.

- An inception report confirming their approach to delivering the evaluation of the Catalyst (within 6 weeks of contract signature).
- Process Evaluation Report (Submitted by 30 August 2019)
- First Impact Assessment Report (by 31 November 2019)
- Interim Report on progress of selected impacts and plans for the final phase (by August 2020)
- Final evaluation report (Submitted by January 2022)

Evaluation outputs will be quality assured by the Evaluation Quality Assurance and Learning Service (EQUALS).

## **10. Risks**

Proposals list the key risks to the delivery of the evaluation and suggest mitigation actions. Given the period of time over which this evaluation contract will run, this should include details on ongoing project management and how continuity will be maintained.

## 11. Timetable, Reporting, and Milestones

This contract will commence in January 2019 and end no later than February 2022. Key dates are listed below. The SP will be expected to provide monthly updates on progress by email, and quarterly teleconferences will be scheduled.

DFID reserve the right to scale up/down the contract subject to project need, review recommendations and budget availability.

Primary Activity	Deadline
Evaluators selected, and contract agreed.	21 January 2019
<u>Inception Report Submitted to Management Group</u>  The Approach should be finalised in consultation with donors. This Inception Report should include: - <ul style="list-style-type: none"> <li>○ a strengthened Theory of Change</li> <li>○ suggestions on refinements/amendments of the evaluation questions,</li> <li>○ the full methodology,</li> <li>○ implications for the degree to which the evaluation questions can be answered using a credible and robust evidence base,</li> <li>○ assessment frameworks,</li> <li>○ identified sources of data and risk management strategy.</li> <li>○ plus, a communications plan for the evaluation</li> </ul>	Within six weeks of contract starting
Management Group provide feedback and approval.	Within 4 weeks of receipt of report
Reports covering <ol style="list-style-type: none"> <li>1. Process evaluation of the Catalyst mechanism</li> <li>2. Evaluation of impact/outcomes of projects</li> </ol> Reports should include (though not necessarily in precisely this structure): <ol style="list-style-type: none"> <li>1. Cover page.</li> <li>2. Table of Contents.</li> <li>3. Executive Summary: four to six pages.</li> <li>4. Purpose of Evaluation.</li> <li>5. Evaluation approach and methodology, with limitations</li> <li>6. Findings</li> <li>7. Lessons and recommendations</li> <li>8. Annexes – additional supporting evidence and detailed methodology.</li> </ol>	30 August 2019 31 November 2019
Management Group provide feedback	Within 1 month of receipt of report
Revision to reports to address Management Group feedback	Within 1 month of receipt of feedback
Presentation at DFID on evaluation findings	2 <sup>nd</sup> week of January 2019
Interim Report on progress of selected impacts and plans for the final phase	August 2020
<u>Final Report covering</u> Evaluation of impact of selected projects, in parallel with project implementation.  The report should include (though not necessarily in precisely this structure): <ol style="list-style-type: none"> <li>1. Cover page.</li> </ol>	2 <sup>nd</sup> week of January 2022

Primary Activity	Deadline
2. Table of Contents. 3. Executive Summary: four to six pages. 4. Purpose of Evaluation. 5. Evaluation approach and methodology, with limitations. 6. Findings. 7. Lessons and recommendations. 8. Annexes – additional supporting evidence and detailed methodology.  Final report should take into account comments on the draft report from DFID and others	
Management Group provide feedback	Within 1 month of receipt
Revision to reports to address Management Group feedback	Within 1 month of receipt
Presentation at DFID on evaluation findings	February 2022

## 12. Payment Structure

The level of payments linked to delivery of outputs and their timing, including financial management performance milestones, may include incentives to encourage joint working with other DFID projects. DFID requested suppliers to submit proposals which demonstrate a balance between risk and reward with progressively more challenging results as the programme matures.

Robust arrangements for ensuring performance monitoring, accountability for delivering VFM, incentives for delivering results, innovation and collaboration with other DFID programmes.

Payment by Results (PbR) mechanism will be implemented in a way that financially incentivises performance and delivery of outputs and retains financial risk.

During the Inception Stage DFID will work closely with the SP to refine the Outputs to be delivered during the Implementation Stage and the payment approach for them. Furthermore, bids are expected to include the following:

- Propose appropriate verification measures for the outputs or results being delivered.
- Propose a process and parameters on how DFID will approve outputs (either directly or through verification) capturing timing, escalation, invoicing arrangements, etc.

## 13. Management Arrangements

The evaluation will be managed by a Management Group, provisionally comprising:

- Senior Responsible Owner who is responsible for implementing recommendations.
- Day-to-day contact, Livelihoods Adviser, Agriculture Research Team
- Deputy Programme Manager
- Research and Evidence Division Evaluation Adviser
- Economist Department for Business Energy and Industrial Strategy
- Lead specialist - Research and Performance, Innovate UK

The Management Group will be responsible for approving the evaluation outputs and commenting on draft reports.

The SP will provide quarterly updates to DFID on the progress of the evaluation. Liaison will include up to four meetings and two presentations by the evaluators. These meetings will take place in London, but may involve teleconferencing or video conferencing with Management group members

working elsewhere. The evaluation team may use video conferencing for the first presentation and most meetings but must budget for attendance of all core members at a minimum of one meeting and one presentation in London.

The Evaluation Team must also have in place clear systems for identifying, managing, and reporting risks to implementation of the evaluation.

#### **14. Duty of Care**

The SP is responsible for the safety and well-being of their Personnel (as defined in Section 2 of the Contract) and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.

DFID will share available information with the SP on security status and developments in-country where appropriate.

The SP is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract. Travel advice is also available on the FCO website, and the SP must ensure they (and their Personnel) are up to date with the latest position.

This Procurement may require the SP to operate in a seismically active zone considered at high risk of earthquakes. 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 SP 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).

This Procurement may require the SP to operate in conflict-affected areas and those that are highly insecure. Travel to many zones within such regions will be subject to travel clearance from the UK government in advance. In such contexts, the security situation may be volatile and subject to change at short notice. The SP should be comfortable working in such an environment and should be capable of deploying to any areas required within such regions in order to deliver the Contract (subject to travel clearance being granted).

The SP is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their Personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the Contract (such as working in dangerous, fragile and hostile environments etc.). The SP must ensure their Personnel receive the required level of training and [where appropriate] complete a UK government approved hostile environment or safety in the field training prior to deployment.

The SP is fully responsible for Duty of Care in line with the details provided above and the initial risk assessment matrix prepared by DFID at ITT stage. The SP confirmed within their ITT Response that:

- They fully accepted responsibility for Security and Duty of Care.
- They have made a full assessment of security requirements.
- They have the capability to provide security and Duty of Care for the duration of the contract.

#### **15. General Data Protection Regulations (GDPR)**

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

## 16. Budget

The budget available for the evaluation will include travel, expenses and VAT. Travel and expenses should be in line with DFID standard policy.

Logistical support should not be expected from individual projects.

## 17. Background and Context

In 2013, DFID approved £10 million over five years to support an “Agricultural Technologies Catalyst - International Development Window” (code 203067-102) to develop, test and scale up novel approaches to innovation for sustainable intensification and reducing post-harvest losses in developing countries, bringing together UK and developing country businesses and research institutions working in the Agri-Tech sector. In 2018, an additional £10 million was approved to broaden the competition scope to include food systems, in addition to primary production.

The “Agricultural Technologies Catalyst - International Development Window” is managed through IUK to leverage their expertise, and that of the private sector, in stimulating innovation and bringing technologies into use. It builds upon a much larger investment by the Department for Business, Energy and Industrial Strategy (BEIS) and the BBSRC, who have established the Catalyst.

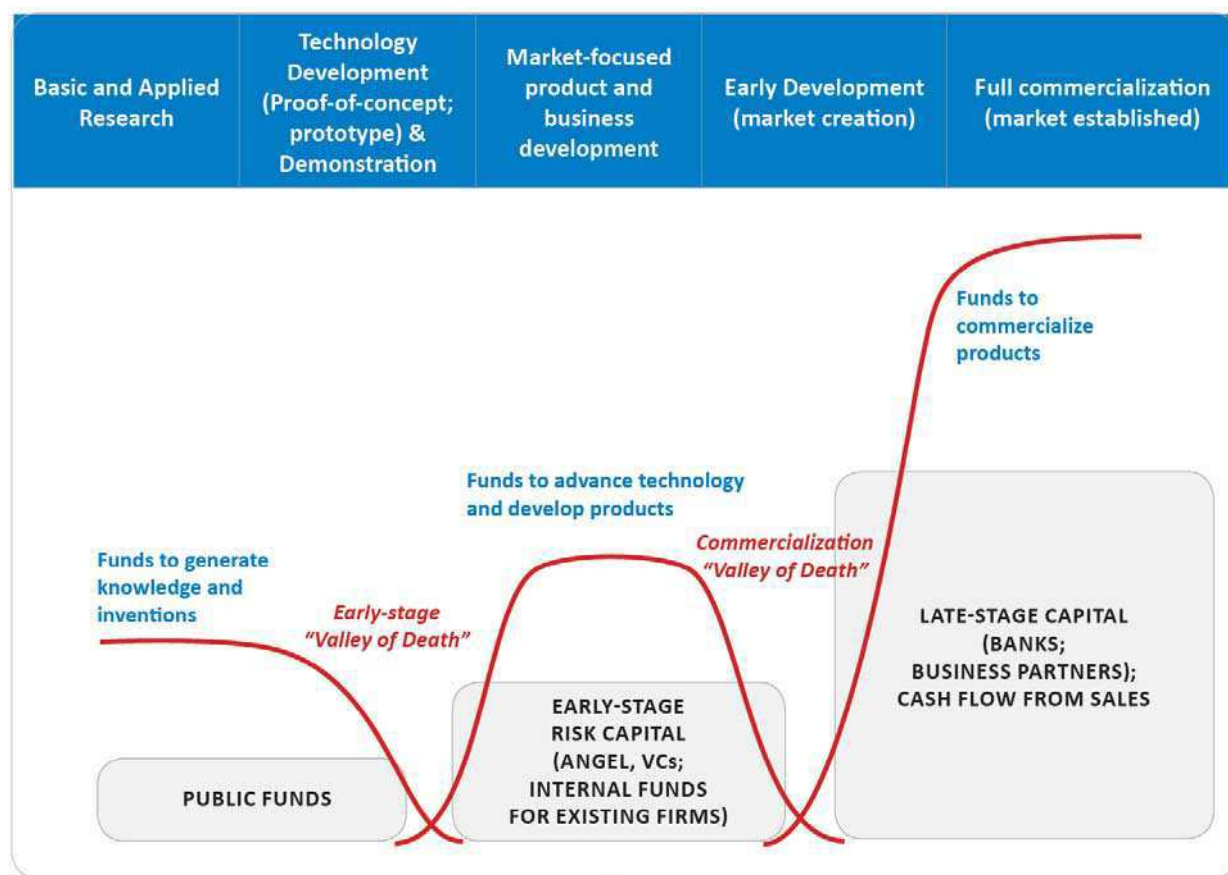
DFID funds are channelled through the Catalyst to support the development of new technology to address development challenges. The Catalyst mechanism has been used by IUK in the biomedical, energy and UK agriculture sectors, and has generated significant private sector investment. DFID is testing the model for international development results in agricultural innovation and food systems.

The Catalyst programme tackles constraints to the uptake of agricultural and food systems technology in developing countries making use of IUK’s extensive UK networks. It makes three classes of grant available on a competitive basis to tackle the identified constraints.

1. Early stage award: evaluating the technical feasibility of an idea and establishing proof of concept in a model system. (11 awards)
2. Industrial Research: enabling the exploration and evaluation of the commercial potential of an early-stage scientific idea. (10 awards)
3. Late-stage award: taking a well-developed concept and demonstrates its effectiveness and utility in a relevant environment. (3 awards)

The Catalyst was established in the context of a situation in which the pace and scale of development and adoption of agricultural innovation in developing countries is insufficient to meet the challenges faced by agriculture with respect to population growth, climate change and dietary transitions. Additionally, in many developing countries, private sector investment and technological innovation are limited by two major market inefficiencies gaps, often referred to as “valley[s] of death<sup>4</sup>”, (see **Error! Reference source not found.**) that impede the translation of technological opportunities, often leading to the demise of technologies and companies that are unable to overcome these gaps. Addressing these financing gaps can be a useful complement to conventional “push mechanisms,” where donors provide funding to increase the supply of research and development (R&D). This reduces the risk for private sector companies to invest in agricultural innovation with the potential to benefit farmers in developing countries. Innovation is inherently risky and therefore DFID does not expect all funded projects to be successful, scientifically, or deliver large scale benefits. By investing in a portfolio of projects across a range of countries and technical areas this risk is mitigated.

**Figure 1: Innovation “valleys of death”**



The Catalyst is one of a number of DFID investments to develop evidence of effective approaches to accelerating the pace and scale of innovation in developing countries. The programme envisages that wider impact will be delivered across the sector in two ways. Firstly, the partnership with private companies provides a route to market for innovations developed under the programme. Secondly, by demonstrating that collaboration between researchers and private companies can deliver new agricultural innovations.

<sup>4</sup> Menon, J., Sagar, A. (2012) *Prize-Driven Innovation for Development*. X PRIZE Foundation, US and IIT Delhi, India.



More information on context can be found in the [Catalyst Business Case](#). DFID's 2016 and 2017 Annual reviews of the programme may be found [here](#). An outline Theory of Change may be found in Annex 1.

### 18. Awards

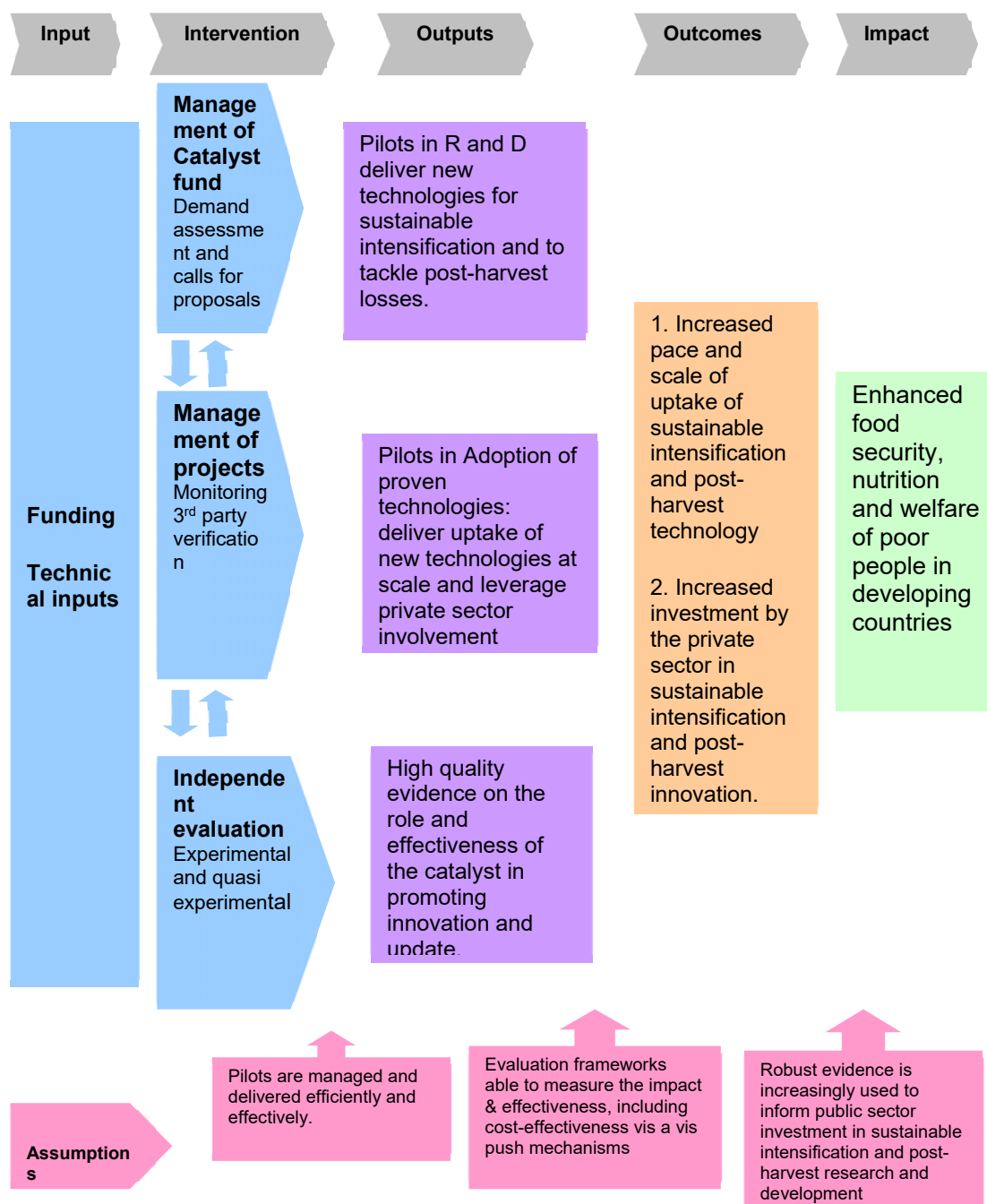
A total of 24 projects have been funded through six competition rounds in three classes. Full competition guidance can be found [here](#) on the gov.uk website. A list of projects, with funding and start/end dates is provided in Annex 2 and a chart of their timelines is in Annex 3. It may be seen that some of the projects funded under early rounds have already completed, whilst others are still ongoing. The following table indicates the number of applications and awards, by round.

	Round 1		Round 2		Round 3		Round 4		Round 5		Round 6		Total	
	Applications	Awards	Applications	Awards	Applications	Awards	Applications	Awards	Applications	Awards	Applications	Awards	Applications	Awards
ES	3	0	5	2	6	1	12	3	12	1	41	4	79	11
IR	7	1	2	0	3	1	4	1	7	4	29	3	52	10
LS	1	0	3	1	3	1	1	0	1	0	3	1	12	3

ES = Early Stage; IR = Industrial Research; LS = Late Stage.

As part of the Terms and Conditions of contracts with Innovate UK, projects are expected to refine and update their Exploitation Plan over the project lifetime. It is also stated clearly that the project may be evaluated and projects are expected to assist for up to five years after the end of a project.

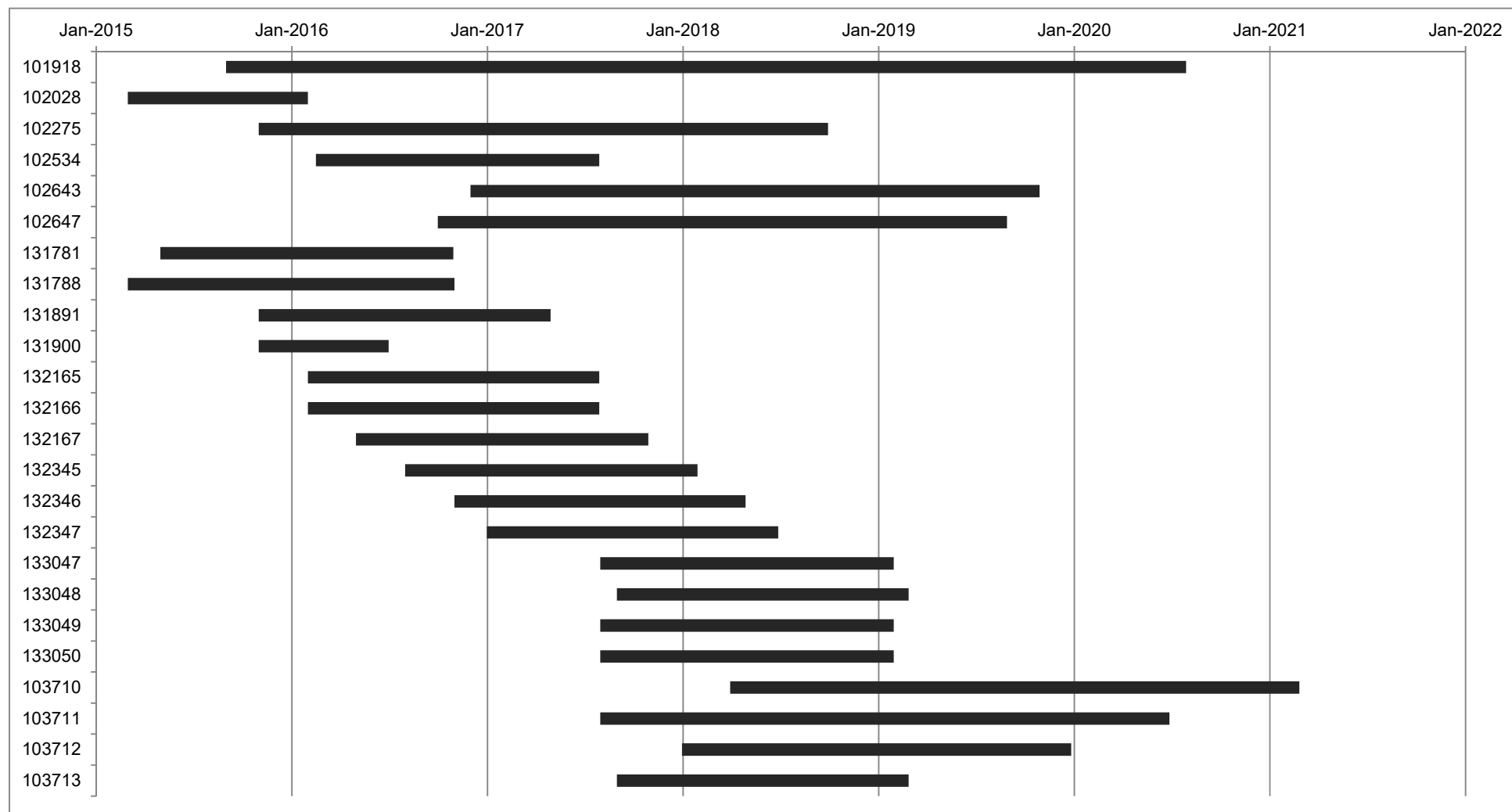
## Annex 1: Theory of Change for the Agri-Tech Catalyst.



## Annex 2: Funded Projects.

Project	Stage/Round	Title	Grant(£)	Start	End	Duration (months)	Countries
101918	IR1	Hybrid Wheat for Food Security	867,412	Sep-2015	Aug-2020	60	Australia, India, Pakistan
102028	LS2	Demonstration and commercialisation of Bioarational pheromone based male and female attract and kill system for the successful control of fruit flies in Asia and Africa.	185,948	Mar-2015	Feb-2016	12	
102275	IR3	Sustainable intensification of agriculture in the Horn of Africa	518,078	Nov-2015	Oct-2018	36	Somalia
102534	IR4	Benchmark Scenario Planning in Primary Production: Creating Sustainable Change	584,086	Feb-2016	Jul-2017	18	Zambia
102643	IR5	Supply Chain Development in Kenya - UK Agritech to improve rural livelihoods	688,320	Dec-2016	Nov-2019	36	Kenya
102647	IR5	Improving consistency of yields and quality of large-scale and small-holder bean growers	577,027	Oct-2016	Sep-2019	36	Kenya
131781	ES2	KASPTM technology to improve new rice varieties and farmers' livelihoods	279,708	May-2015	Oct-2016	18	India, Nepal
131788	ES2	Development of pearl millet for health benefits for type-2 diabetes – feasibility study of physicochemical properties and genetic enhancement	412,407	Mar-2015	Nov-2016	20	India
131891	ES3	Improved methods for freeze drying of entomopathogenic fungi	274,497	Nov-2015	Apr-2017	18	Ghana
131900	LS3	HealthyShrimp: An affordable salinity sensor device for increased aquaculture yields and reduced environmental damage	90,794	Nov-2015	Jul-2016	8	Bangladesh
132165	ES4	Vaccine Diluent Improvement for ECF-ITM	195,678	Feb-2016	Jul-2017	18	Malawi (and regional)
132166	ES4	Aphid resistant wheat for the smallholder farmer in Africa	94,932	Feb-2016	Jul-2017	18	Zimbabwe
132167	ES4	Application of General Repellents against Agricultural Pests	244,301	May-2016	Oct-2017	18	Bangladesh
132345	IR5	Aflascope	226,722	Aug-2016	Jan-2018	18	Kenya
132346	IR5	Rapid and cost effective 'on-site' detection of cacao swollen-shoot virus	312,516	Nov-2016	Apr-2018	18	Ghana
132347	ES5	DryGroAF (DAF)	303,538	Jan-2017	Jun-2018	18	Kenya
133047	ES6	AFLA - project - Acoustic Filtration Lab-free Apparatus for better aflatoxin management in Kenya	323,090	Aug-2017	Feb-2019	18	Kenya
133048	ES6	ELFF - Ethiopian Lupins for food and feed	319,153	Sep-2017	Mar-2019	18	Ethiopia
133049	ES6	Development of a novel diagnostic test for Contagious Bovine/Caprine Pleuropneumonia disease	277,636	Aug-2017	Feb-2019	18	Kenya
133050	ES6	GenePrint: Novel business strategy for decentralised seed supplies increasing resilience in Zambia	270,068	Aug-2017	Feb-2019	18	Zambia
103710	IR6	Hybrid wheat in Africa - increasing productivity and stability	732,916	Apr-2018	Mar-2021	36	Australia, Namibia, South Africa, Zambia
103711	IR6	KASP genomic selection: improving farmers' livelihoods through better rice varieties	1,148,977	Aug-2017	Jul-2020	36	India, Nepal
103712	IR6	Advanced Mobile Pre-Cooling Concept (AMPCS)	645,031	Jan-2018	Dec-2019	24	South Africa (and regional)
103713	LS6	Agricultural mechanisation of Sub-Saharan African smallholders by agrodealer development	84,077	Sep-2017	Mar-2019	18	Zambia

## Annex 3: GANTT Chart of project timelines Rounds 1 – 6.



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]	
	[REDACTED]
	[REDACTED]
	[REDACTED]
	[REDACTED]
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.	[REDACTED]

Total Frontline staff costs		
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[illegible]

## **Annex B - Pro Forma 2 - Management Costs**

**Please detail the management fee as submitted in your framework bid.  
The management fee may be reduced but NOT INCREASED.**



## Annex B - Proforma 3

**PROJECT EXPENSES**

Costs should be shown separately in the format set out below inserting extra lines to provide full details under each heading. Government taxes, if applicable, should be shown separately on the Summary in pro forma 3.

TRAVEL (state country)	NO.	RATE	COST £
<b>FARES</b>			
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>DAILY LIVING COSTS (state country)</b>			
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>EQUIPMENT* Items Purchased/Rented (Including vehicles)</b>			
<b>Sub Total</b>			
<b>Any other expenses (please list)</b>			
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>TOTAL PROJECT EXPENSES: (B)</b>			[REDACTED]0

\* DFID will not reimburse costs for normal tools of trade (e.g. portable personal computers)

\* All journeys by Rail or Air will be made by a class of travel that is no more than Standard / Economy.

\* Rented accommodation should be used whenever possible and in particular for Long Term visits.  
Hotel accommodation should be justified on the basis of Value for Money, with costs kept to a minimum.

\* Receipts must be retained for all expenses unless DFID specifically agree a Per Diem rate in the contract.  
Your proposed costings must make clear where you are intending to charge a per diem rate for any element of the E



**Annex B - Proforma 4 - Summary of Costs**

	Cost £	
Total Fees (A)		
TOTAL		£401,628.00

**Annex B - Proforma 5**

**MILESTONE PAYMENTS**

**The amount to be paid for the completion of the services is fixed at**

[REDACTED]

Payment will be made either:

a) as a lump sum on completion of the services

or

b) at relevant points throughout the contract period as detailed below

<b>CRITERIA FOR PAYMENT, DFID approval that the following have been submitted at the agreed time and to the required content and quality:</b>	<b>AMOUNT OF PAYMENT</b>
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

## Annex B - Proforma 6

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\* Complete only where the requirement is split into distinct phases for Inception and Implement

[illegible]