



RESEARCH
PROGRAM ON
Water, Land and
Ecosystems

LED BY:
IWMI
International Water
Management Institute



INVITATION FOR EXPRESSIONS OF INTEREST FOR CONSULTANCY SERVICES TO CONDUCT A STUDY ON ESTIMATING INVESTMENT IN INNOVATION FOR SUSTAINABLE AGRICULTURE INTENSIFICATION (SAI)

Title of assignment:

Estimating investment in innovation for Sustainable Agriculture Intensification.

Summary:

The International Water Management Institute (IWMI), on behalf of the international Commission on Sustainable Agriculture Intensification (CoSAI), is seeking Expressions of Interest (Eoi) from consortia of research organizations, think tanks, universities, consultancy firms, or groups of individual consultants to conduct a study on **estimating investment in innovation for Sustainable Agriculture Intensification (SAI)**. Applicants must include at least one substantive partner from the Global South.

The study aims to review the recent flows of global public and private investment in **agricultural innovation** relevant to the Global South, develop a typology of the investments made and estimate how much of this investment promotes SAI. Here, the term ‘innovation’ includes institutional, policy and financial innovations as well as scientific and technological innovations. ‘SAI’ means the transformative changes in agriculture that are urgently required to meet rapidly-increasing global needs for affordable, nutritious, safe and healthy food, while protecting and improving the natural environment, and reducing poverty and social exclusion.

The study is expected to include several case studies which may be specific to countries, major international funders, or themes. The study will be presented to CoSAI Commissioners and other stakeholders as a basis for exploring opportunities for strengthening and reorienting investment in agricultural innovation to promote SAI.

Expected date for commencement of consulting services: Late June 2020. The inception phase is expected to be completed approximately 2 months after signing of the contract, and the entire study by approximately April 2021.

Place of assignment: The consultants will work from home. It is expected that the work will be mainly or entirely conducted online, due to the current Covid-19 pandemic.

To apply, visit <https://www.iwmi.cgiar.org/about/careers/iwmi-vacancies/>.

Eoi must be submitted by 23:30 GMT on May 29, 2020 (Friday).



Background and purpose:

The international Commission on Sustainable Agriculture Intensification (CoSAI) was set up to review **investment in innovation for Sustainable Agriculture Intensification (SAI)**. By SAI, we mean the transformative changes in agriculture that are urgently required to meet rapidly-increasing global needs for affordable, nutritious, safe and healthy food, while protecting and improving the natural environment, and reducing poverty and social exclusion. These are formidable challenges, and it is widely agreed that a major step up in innovations (scientific, technological, institutional, policy and financial) is needed.

The purpose of the study is to review current patterns of investment¹ in agricultural innovation² for the Global South³, and estimate to what degree such investment promotes SAI or otherwise. The results of the study will be used by CoSAI and partners as a basis for exploring opportunities and making recommendations for strengthening and reorienting investment in agricultural innovation for SAI.

Management and oversight:

CoSAI was initiated and is supported by the CGIAR Research Program on Water Land and Ecosystems ([WLE](#)). The study will be managed by the Secretariat of CoSAI, which is based at the headquarters of [IWMI](#) in Colombo, Sri Lanka.

Oversight of the study will be carried out by a subgroup of CoSAI (the '**Oversight Group**'), comprising the CoSAI Chair and Head of Secretariat, and WLE Head of Program Management, as well as volunteer Commissioners. The Oversight Group will help select the team to carry out the study; make decisions required about the scope and approach proposed by the successful applicant, in particular in the inception phase; agree any changes in direction that may arise during implementation; and comment on emerging results and prepare draft reports.

Approach and methods:

Questions to be addressed:

1. What are the current patterns of investment in agricultural innovation for the Global South? How is investment allocated, for example (i) between the public and private sectors, and civil society? (ii) between international and national systems? (iii) between different types of funders? (iv) geographically, by country and agroecological region? and (v) by topic? (specific typology to be decided in the inception phase).
2. What proportion of the investment supports or promotes SAI? In what aspects and areas of work? These questions are based mainly on the analysis of selected case studies.

¹ The term **investment** (in innovation) is loosely used here to mean budgets and expenditure. Expenditure data are preferred, when available. Investments in facilities and permanent staff are an important underlying factor, but not the focus of this study.

² For CoSAI, drawing on FAO (2018, p.5), agricultural innovation means: the formal and informal development, and introduction and adoption of new ways of doing things by farmers and others involved in the food system. CoSAI will address innovation in four main areas: science and technology, institutions, finance and policies.

³ The term **Global South** as used here includes Asia (with the exception of Japan, Singapore, and South Korea), Central America, South America, Mexico, Africa, and the Middle East (with the exception of Israel). Current World Bank classification of low- and middle-income countries is available at <http://databank.worldbank.org/data/download/site-content/CLASS.xls> (accessed on April 26, 2020).



3. What lessons can be learned from the literature review and case studies conducted about the constraints to and opportunities for better-targeted investment in agricultural innovation for SAI? The discussion should draw on literature on the political economy of research and innovation⁴ as well as any findings arising from this study.

The above questions will be refined, if needed, together with the successful applicant during the contracting stage, and revisited at the end of the inception phase for possible further adjustment, taking into account the agreed scope of work and any limitations on data.

Scope:

Applicants are requested to propose an initial scope for the study in the EOI, with a justification for the choices made to include or exclude certain areas of analysis. CoSAI recognizes that it may not be possible to cover all areas to the same extent, due to the lack of data availability, and that drawing boundaries around some areas may be challenging. However, a broad study, even with some uncertainty in the estimates, will be preferred to an overly narrow view.

The final scope of the study will be agreed at the end of the inception phase, taking into account constraints identified in the inception report.

Preliminary scope:

1. Investment in innovation that directly or closely affects agricultural production or production decisions. For example, the study should include investment in digital innovation in agriculture and agricultural extension, but exclude broader investment in digital innovation.
2. Investment in innovation that is directly intended for the Global South. This may come from national or international bodies, the private sector, producers' associations or other nongovernmental entities. This excludes, for example, upstream research with a global focus, although it may be relevant to the Global South.
3. Investment over the past 10 years (since 2010).
4. Investment by the public and private sectors, and civil society organizations.

Specifically, the applicants should consider whether/how to include the following:

1. Investment in agricultural research and development (including natural resource management).
2. Investment in alternative approaches to technological innovation, e.g., innovation platforms, prizes, grants and incubators, advance market commitments.
3. Investment in innovation in agricultural extension, advisory services and capacity building.
4. Investment in innovation in agricultural and rural policy affecting production decisions, including input and output markets.
5. Investment in innovation in financial instruments and approaches.
6. Science and innovation policy relevant to agriculture and food systems.

Design and methods:

The applicant is expected to develop an approach for the design and implementation of the study. The final approach, tools, methods, schedule, deliverables and budget will be determined in agreement with the Oversight Group (see section *Management and oversight*).

⁴ A few studies have specifically looked at the political economy of research decisions in relation to agroecology (e.g., Vanloqueren and Baret 2009; Biovision and IPES-Food Forthcoming).



The following ideas and the list of references at the end of this document are provided for the guidance and inspiration of applicants. CoSAI recognizes that a variety of approaches may be possible and that this will encourage applicants to consider alternative designs and methods.

We foresee that the research will have three main components:

1. Secondary research to synthesize information from available studies and data on global investment and support to research and innovation related to the Global South, including development of a typology of investments in innovation.
2. A pilot⁵ case study covering research and innovation of [CGIAR](#) (including its partners in innovation).
3. A minimum of four main case studies, which may include countries (at least two), themes and international funding agencies (at least one).

The main approach is expected to be secondary analysis of existing data sources. Online survey(s) and virtual interviews and workshops may also be considered. It is unlikely that the current global situation with the Covid-19 pandemic will permit face-to-face workshops and interviews during the period of this study, so these should not be included in costings for the EOI. However, if the situation and remaining funding permits, it may be possible to arrange some face-to-face discussions of emerging results (e.g., for country-specific case studies) towards the end of the study period, subject to approval from the Oversight Group.

Case studies:

The EOI should contain a brief discussion of potential case studies and criteria for selection. Proposals for specific case studies are welcome, but are not required at EOI stage. The selection of case studies will be finalized in the inception phase.

The case studies may include investment in agricultural innovation with a specific focus on the following:

- Individual countries from the Global South.
- Major funders – multilateral, bilateral and large philanthropic organizations, or private sector actors investing in research and innovation.
- Specific themes: for example, sustainable protein or water-use efficiency.

The selection of case studies will be governed by a set of criteria, which will be agreed between the consultants and the Oversight Group early in the inception phase. Below are three important criteria:

- Interest and support for the study in the country or organization(s) considered.
- Availability of data.
- Potential for lessons relevant to others – in particular, positive lessons about integrating SAI principles into investment for innovation.

Other criteria which have been suggested and can be considered (along with others) include the following:

For countries:

- Country size (large).
- Dependence/lack of dependence on external aid for funding innovation.
- Agricultural stage of development / Total factor productivity.

⁵ An initial CGIAR case study could provide an opportunity to pilot some of the methods and approaches. However, data availability for this pilot has not yet been confirmed.



- Geographical diversity.

For funders:

- Existence of independent evaluation and impact assessments.
- Relevance to other funders.

Within country and thematic case studies, all possible sources of investment and science/innovation policy should be considered (taking into account data availability), including government, private sector, farmers' and trade associations, and civil society (excluding small projects).

Framework of analysis for relevance to SAI:

For the case studies, CoSAI anticipates that the consultants will analyze data on individual investments⁶, categorize them according to the agreed typology of investments developed during the literature review, and use an agreed framework and metrics to identify the degree to which different aspects of SAI are covered in each investment category examined. The typology and framework will be agreed between the consultants and the Oversight Group during the inception phase.

CoSAI has a broad vision of SAI that encompasses the following objectives:

- Increased availability and broad access to affordable, nutritious, safe and healthy food.
- Improved productivity, efficiency of resource use, and reduced pollution, loss and waste.
- Improved environment (e.g., biodiversity, and soil and water quality). This includes mitigation of climate change and promotion of the 'One Health' approach.
- Reduced poverty and increased resilience of livelihoods.
- Improved social inclusion.
- Different levels of analysis: beyond farms to landscapes and food systems (where directly relevant to agricultural production or production decisions).

The framework used for the analysis of relevance to SAI should cover these various aspects. Two potential frameworks to consider/adapt are those used by Musumba et al. (2017) and Biovision (2019).

Outputs:

The consultants are expected to produce the following outputs:

1. An inception report in which the consultants outline the aims of the study, scope and definitions; initial typology of investments; frameworks and metrics; proposed approach and case studies; a work plan and budget; a list of critical documents and people to contact; and any remaining areas of uncertainty that need to be resolved during the pilot case study (timing: approximately 2 months after issuing of the consultancy contract).
2. Case study reports (timing: as agreed in the inception phase).
3. A report on the methodology for conducting case studies, in sufficient detail to be used by other researchers (timing: as agreed in the inception phase).
4. A final report which includes answers to the questions to address (see section *Approach and methods*) at the agreed level of detail and quality, and a stand-alone executive summary. Length and presentation format will be agreed in the inception phase (timing: approximately 10 months after issuing of the consultancy contract).
5. Communication products, as agreed in the inception phase. These are likely to include: (a) online presentations on the case studies and the final report, made to organizations/entities involved in the case studies and other relevant stakeholders, as well as the CoSAI

⁶ These may be, for example, investment projects or research or innovation grants.



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Commissioners; and (b) content for a blog(s) on the CoSAI website to report the study process and key findings.

Quality assurance:

The consultants will be responsible for assuring the quality of the study data to ensure that the figures stated are reliable, estimates and projections are credible, and that any potential limitations of data or calculations used are clearly highlighted. The Oversight Group will discuss and agree expected criteria for quality with the successful applicant in the inception phase, and will oversee the quality of each output.

Budget and staffing:

The available budget for the assignment is of the order of US\$ 150,000 to US\$ 200,000. This sum is expected to cover all aspects of the study, but may be used predominantly for the payment of consulting fees. The total budget may be revised after the inception phase to reflect the final agreed scope of the study.

Lump-sum payments will be made against agreed deliverables. The first deliverable will be the inception report. Other deliverables will be agreed in the inception phase.

The CoSAI Secretariat will provide one Research Analyst (RA) (MSc in Agricultural Economics) to work on a full-time basis (as required) with the consultants during the period of the study. Specific tasks and other details regarding the RA's involvement will be agreed during the contracting stage. Successful applicants are expected to arrange research partners in case study country(ies) as required (during the inception phase).

Expression of interest (EOI): instructions and process:

Eligibility:

Consortia comprising any experienced think tank, research institution or consultancy firm, or a combination of individuals and/or consulting firms, whether for-profit or non-profit, or academic institution are eligible to apply for this consultancy. Applicants must include at least one substantive partner from the Global South. Experience of similar work (tracking financial flows and estimating funding for innovation for complex areas such as biodiversity or climate change) will be a distinct advantage, but any relevant experience will be considered. The consultancy team leader should have experience in managing teams to produce high-quality results on time and within budget, including managing country case studies with national partners; demonstrated clear, concise writing and presentation skills; and excellent verbal and written communication skills in English.

Submission of EOI:

To apply, visit <https://www.iwmi.cgiar.org/about/careers/iwmi-vacancies/>. EOI must be submitted by 23:30 GMT on May 29, 2020 (Friday).

All applicants will receive an auto-generated e-mail to confirm that their application was received. If this confirmation is not received, please send an urgent e-mail to A.Dommanige@cgiar.org with the attached EOI.



Content of EOI:

All applicants should provide a brief EOI (a maximum of 12 single-spaced pages) which includes the following information:

- a) Postal address, legal registration and electronic contact information for the lead applicant in the consortium. Please provide the name of a contact person with title, phone number, Skype ID and e-mail address.
- b) Names and contact information of other applicant(s) in the consortium and their respective role(s) (it is understood that additional partnerships may be developed during the inception phase of the work to carry out specific case studies).
- c) Names of proposed team leader and other core team members⁷, and confirmation of dates of availability.
- d) Summary of experience of the team leader and other team members, supported by annexes 1 and 2.
- e) Proposed scope of the study and justification for the proposals made (see section *Scope*), taking into consideration that this may be further refined during the inception phase.
- f) The approach and methods recommended to accomplish the overall purpose and objectives of the study. This should include a brief discussion of potential case studies and criteria for selection. *Proposals for specific case studies are welcome, but are not required at EOI stage. The selection of case studies will be finalized in the inception phase.*
- g) Brief plans for the inception phase, including engagement with CoSAI and any other stakeholders.
- h) Budget and time required **for the inception phase**, including daily rates and anticipated numbers of days for *named* individual consultants, and any other anticipated operational or overhead costs. Assumptions made on tasks to be completed and time requirements underlying the estimates should be spelled out.
- i) An outline of **total budget** (under USD 200,000) related to the proposed scope and approach in (e) and (f) above, including the anticipated number of days for different levels of consultants and any other expected costs⁸. Where possible, this should be ‘ground-truthed’ by reference to the actual cost of previous studies carried out by the applicant or others.
- j) Conflict of interest statement. All applicants should disclose any contractual or financial relationships with CoSAI, WLE or IWMI.
- k) Annex 1: Short curriculum vitae for the team leader and other proposed team members.
- l) Annex 2: List of studies previously carried out by team members or the organization/firm that demonstrate relevant experience, including links or attachments.
- m) Annex 3: List of publications cited in the EOI.

Questions for clarification should be sent via e-mail to the CoSAI Secretariat (wle-cosaisecretariat@cgiar.org) not later than one week before the closing date of the call for EOI.

Recruitment process:

CoSAI will select the most appropriate EOI for the task.

The selection criteria will include the following:

- Evidence of skills, experience and availability (40%).
- Quality of the response to Terms of Reference, including clarity and concision (40%).

⁷ Proposed additional team members for case studies are welcome, but not required at EOI stage.

⁸ It is unlikely that the current global situation with the Covid-19 pandemic will permit face-to-face workshops and interviews during the period of this study, so these should not be included in costings for the EOI.



- Value for money assessment (20%), including fees for a given level of experience, and realism of budget estimates. Please note that the final agreed budget for this study will depend on variables decided in the inception phase, including the scope and the number and depth of case studies (which will form the majority of the work). *For this reason, the total budget proposed in the EOI (in section [i] above) will not be a selection criterion.*

Only short-listed applicants will be contacted. This will occur as soon as possible after the preferred applicant is confirmed, which should be within a month of submission of the EOI.

All costs and expenses incurred until the contract is signed are the responsibility of the applicant, unless specifically agreed otherwise with the CoSAI Secretariat.

Pre-contract negotiations:

Following selection of the preferred applicant, the CoSAI Secretariat will contact the preferred applicant as soon as possible to begin further design, implementation planning, budgeting and contracting for the study. This is likely to involve more than one online meeting. Please note that the proposed team leader is expected to be available to fully engage in this pre-contract planning.

Start-up:

The study will commence as soon as possible after issuing the contract. This is expected to be in late June 2020.



Bibliography

A few relevant studies are listed below for consideration by applicants. This is based on a preliminary search conducted by the CoSAI Secretariat, but is not an exhaustive review.

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