



Bio-resources Innovations Network for Eastern Africa Development (*BioInnovate*) Program

Guidelines for the Preparation of full Proposals for successful applicants from Second Call for Concept Notes

On

Innovation Incubation and Bio-resources Innovation Policy Analysis in Eastern Africa

Deadline for receipt of full proposals is 20 May 2011

Bio-Innovate Program Management Office

ILRI, Nairobi, Kenya

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<i>Table of contents</i>	<i>page</i>
<i>1: Background</i>	<i>3</i>
<i>1.1 Bio-Innovate vision and key result areas</i>	<i>4</i>
<i>1.2 Bio-Innovate thematic areas</i>	<i>4</i>
<i>2: Scope of Second Bio-Innovate Call</i>	<i>5</i>
<i>3: Guidelines for Applications</i>	<i>6</i>
<i>4: Selection Criteria, Selection Process and Timelines</i>	<i>9</i>
<i>4.1 Evaluation of Full Proposals</i>	<i>9</i>
<i>4.2 Selection Criteria and Peer-review of Full Proposals</i>	<i>9</i>
<i>4.3 Selection process</i>	<i>11</i>
<i>4.4 Submission Procedures for Full Proposals</i>	<i>11</i>
<i>4.5 Proforma for the Preparation of Full Proposals</i>	<i>11</i>
<i>Attachment 1: Bioresources Innovation and Policy Fund: Guidelines for the Preparation of Full Proposals</i>	

1. Background

Bio-Innovate Program is a new, multidisciplinary, competitive funding mechanism for biosciences and product orientated innovation activities in Eastern Africa. It is supported by a grant of SEK 90m (USD 12m) from the Swedish International Development Cooperation Agency (Sida) over the 5 year period 2010-2014: <http://bioinnovate-africa.org/>. Building on previous investments, achievements and experiences from the Sida-supported BIO-EARN Program and other regional initiatives, the Bio-Innovate Program focuses on delivering research products through biosciences innovation systems involving a broad sector of actors, including scientists, private sector, NGOs and other practitioners.

The Bio-Innovate Program has adopted an innovation systems approach to explore (1) how knowledge, products and processes generated from research for development can be used more effectively in efforts to promote sustainable growth and transformation of the agricultural and environmental sub-sectors, from primary production to value addition, (2) the nature of the partnerships needed, and (3) the enabling conditions that are required for the out- and up-scaling of innovations. By innovation we mean the use, adoption, uptake or commercialization of existing product and or technology.

The Bio-Innovate Program supports projects that will use bioscience innovations in practice for putting research into use through technology incubation and promotion of targeted value chains (theme 3); and Bioresources innovation policy and sustainability analysis (theme 4) in Eastern Africa. Strong emphasis in the selection criteria (as described in Section 4 below) will be given to regional approach targeted up- and out-scaling innovation activities as well as activities aiming at innovation policy and sustainability analysis, the active involvement of entrepreneurs, market actors and practitioners; and to proposed projects that are mobilizing matching funds from market actors, governments and/or finding potential co-financing from other donor agencies.

The Bio-Innovate Call for Concept Notes is a two stage process of submission and review of Concept Notes, followed by invitations for full proposals. Full proposals will be developed by successful consortium from the second call for concept notes within the region that are led by public and/or private entities (including small scale enterprises and NGOs) in one of the six Bio-Innovate participating countries of Burundi, Ethiopia, Kenya, Rwanda, Tanzania and Uganda. The lead entities from the region may seek, and are encouraged, to include other regional and/or international partners, within or beyond the eastern Africa region, as partners in the proposed project. Principal investigators/lead institutions will be selected from the consortium with strong track record of up- and out-scaling innovations and or creating relevant institutional or bio-resources policy change for the promotion of science and technology for the benefit of the farmers/end users.

The Bio-Innovate Program is co-located together with the BecA- Hub at IRLI in Nairobi. This is a shared research platform where African scientists are applying modern biosciences to seek solutions to some of the continent's pressing problems in food security, environmental sustainability and responding to the challenges of climate change. Bio-Innovate will work closely with the African Union New Partnership for Africa's Development (AU/NEPAD) Planning and Coordinating Agency (PCA) and Eastern Africa Councils/Commissions for Science and Technology in strengthening regional collaboration in science and technology, to enable the continent to adapt the rapid advances and promises of modern biosciences. The Program builds on AU/NEPAD Consolidated Plan of Action for Africa's Science and Technology and the Comprehensive Africa Agriculture Development Program (CAADP).

1.1 Bio-Innovate Program Vision and Key result areas

The Bio-Innovate Program will deliver results in five areas, each with a number of activities that will be implemented over a period of five years. These key result areas are:

- (1) Strategic Eastern Africa crop innovation systems, strengthened to improve productivity and enhance food and nutrition security in the region. This area will generate innovations to enhance crop diversification, improve crop adaptability to the consequences of climate change, and better manage crop productivity constraints.
- (2) Innovations on sustainable waste treatment and to secure freshwater resources promoted in the region. This strategic area will generate efficient and effective bioscience innovations for waste management and environmental clean-up, agricultural by-products utilization for bio-energy to mitigate climate change, and sustainable use of water resources;
- (3) Eastern Africa innovation systems catalyzed to deliver agricultural, environmental and industrial innovations that stimulate sustainable transformation, utilization and productivity of the Region's bio-resources. Technology incubation and other mechanisms for putting research into use by communities and industry will be developed and operationalized;
- (4) Innovation policies for sustainable harnessing of bio-resources developed and promoted. The BioInnovate Program will support policy analysis studies to provide decision support tools for investment, promotion and management of bio-resource innovations in Eastern Africa; and
- (5) An enabling mechanism for mobilization, catalysis and nurture of a strong bio-resource and science-led economic growth agenda for Eastern Africa strengthened and operationalized.

The Bio-Innovate Program will use modern bioscience in practice to improve crop productivity and resilience to climate change in small-scale farming systems (Theme 1), and improve the efficiency of the agro-processing industry to add value to local bio-resources in a sustainable manner (Theme 2). Bio-Innovate will be user-, market- and development-oriented in order to make a difference on the ground, in supporting poverty alleviation and sustainable economic growth.

1.2 Bio-Innovate Program thematic areas

A central objective of the Bio-Innovate Program is to build functional innovation consortia able to take bioscience R4D and innovations to the market. The Bio-Innovate niche is characterized by a focus on the applications of bio-resource innovations to support sustainable growth and transformation of the agricultural and environmental sub-sectors from primary production to value addition, while enhancing adaptability to climatic change and strengthening innovation policy. The Bio-Innovate program has four Thematic Areas, all of which are closely connected to and build on AU/NEPAD Consolidated Plan of Action for Africa's Science and Technology.

All four themes within Bio-Innovate Program are closely connected to each other and will all be contributing towards a more productive and sustainable agricultural/agro-processing sector in the region, which serves as an engine for pro-poor economic growth.

The thematic areas include:

- Thematic Area 1:** *Climate change adaptability, productivity and improvement for food and nutrition security:*
- Thematic Area 2:** *Waste treatment, bio-energy for renewable bio-resources, and securing freshwater resources:*
- Thematic Area 3:** *Innovation incubation and promotion of targeted value chains:*
- Thematic Area 4:** *Bio-resource innovation policy and sustainability analysis:*

2: Scope of the Second BioInnovate Call for Concept Notes

The Second Call is for Concept Notes that address technology incubation and other mechanisms for putting research into use by communities and industry (theme 3) and issues on innovation policy analysis, national and regional policy support, as well as socio-economic and environmental analysis needed to provide a supportive policy environment for the ultimate development, promotion and uptake of bio-resource innovations (theme 4). These areas are described in more detail below.

Thematic Area 3: *Innovation incubation and promotion of targeted value chains:*

This theme will focus on taking near market products and technologies/processes generated from high quality and strategic research that has outputs of potential commercial value. R4D institutions will apply for support to cover small and large scale pilot level testing for economic feasibility, marketability and acceptability; scaling up the production of the product and setting up demonstration plots/pilot plant, etc. Bio-Innovate will seek opportunities for innovations that will have wide applications in the Eastern Africa. The theme will also seek opportunities to leverage additional funds from other partners for venture capital and pilot testing activities.

Thematic Area 4: *Bio-resource innovation policy and sustainability analysis:*

This theme will address issues needed to provide a supportive policy environment for the ultimate development and promotion and uptake of bio-resource innovations. It will include policy analysis, national and regional policy support, as well as socio-economic and environmental analysis. The theme will address issues of sustainability analysis, done in combination with Themes 1, 2 and 3 above, including:

- Analysis of and addressing gaps in the technology dissemination chains within current and future projects. This would include analysis and exploration of roles and responsibilities along the value chain.
- Market analysis and potential of addressing regional markets.
- Exploring technology transfer models with a view to maximize the impact of new technologies, by achieving balance between making the technology as widely available as possible, while providing sufficient incentives to the innovators and investors for early adoption.
- Exploring and analysing models of funding of technology dissemination processes.

Other policy analyses on cost effectiveness, socio-economic and environmental soundness as well as competitiveness will be done under this theme. A key question for the policy studies in Bio-Innovate Program is to analyse how applications of biosciences in Eastern Africa could lead to a more sustainable agricultural and agro-processing sector, able to promote economic growth and effectively alleviate poverty.

The Proposals in Thematic areas 3 and 4 will be expected to actively support projects that target climatic adaptation strategies in crop agriculture and environment (Thematic area 1 and 2) and directly support creation of related innovation incubations and contribute to creating an enabling environment for technology and products adoption and diffusion. In addition, activities under the policy component will contribute also to the longer-term sustainability and visibility of the Bio-Innovate Program.

2.1. Funding Available

The total funding available for the bioresources Innovation and Policy projects is SEK 30M (USD 4.0M) over 3 years. Bioresources innovation and policy fund will support successful proposals from the second Call for Concept Notes for proposed projects in Themes 3 and 4 with special focus on taking near market products from thematic areas 1 and 2 and their partners along the value chain to end-users; and policy analysis studies to provide decision support tools for investment, promotion and management of bio-resource innovations in Eastern Africa.

3 Guidelines for the Applications

Key Principles and Concepts underlying Bio-Innovate Program

The key considerations in the granting process will be (1) to identify and decide on projects that enhance up- and out-scaling of new innovations through technology incubation centre(s) and innovation platforms, thereby improving adoption and deployment of science-based solutions to development challenges in the region (theme 3); (2) address issues needed to provide a supportive policy environment for the ultimate development and promotion and uptake of bio-resource innovations in eastern Africa (theme 4). The bio-resource innovation fund will support pilot level testing for economic feasibility, marketability and acceptability of technology innovations that may provide public goods; and projects that will address issues needed to provide a supportive policy environment for the ultimate development, promotion and uptake of bio-resource innovations. The project may include demonstrating “proof of concept”, small and large scale pilot testing, scaling up the production of products and/or setting up demonstration plots/pilot plants for thematic area 3; and bioresource innovation policy analysis, scanning national and regional policy environment, as well as socio-economic and environmental analysis (thematic area 4). The Program will facilitate technology incubation centers where appropriate, through its Innovation Consortia.

The proposed project as described in the proposal should build on the following key principles and concepts, which are described in more detail in the Bio-Innovate Program Document, available at <http://bioinnovate-africa.org>. The key principles and concepts are:

Regional and international collaboration: The project approach must be based on regional/international collaboration, which is considered more effective than individual national projects. Applicants are encouraged to work with colleagues in the region and internationally in preparing their full proposals so as to reflect the intentions of the program design, as described in detail in the Bio-Innovate Program Document.

Note: Funding will be granted for innovation and policy projects where it can be clearly demonstrated that a regional approach is more effective than individual national projects.

Potential for economic and social impact: The proposed project must show that the innovation and, or policy questions being advocated have a high potential to stimulate economic growth and promote

sustainable development. Consortium partners will need in their project design, to take into account the question of demand for what the project will produce (outputs) in both an economic and social sense. Project partners also need to assess development and, or dissemination costs of the proposed innovations and to what extent the innovation will be economically viable and environmentally sustainable.

Adding value to existing efforts (relevance and quality of content of the proposal): The proposed project should clearly demonstrate and show the *quality* and *relevance* of the approach; likely chances of success; addressing priority areas of Themes 1 and, or 2 with demonstrated relevance to climate change adaptation and or mitigation; degree of integration of the proposed project between the two Themes e.g. outputs or activities relevant to both Themes. It is also a requirement that the proposed project should demonstrate complementarities and, or collaboration with regional programs and other existing efforts such as the AU/NEPAD African Biosciences Initiative, including the BecA/ILRI Hub, CAADP, ASARECA, FARA, ECA, IGAD, etc.

Pathway to impact, (potential impact and dissemination): The proposed project should show a pathway for either commercial use and, or for utilization as a public good. It should include an implementation plan that demonstrates the necessary linkages along the innovation chain with a clear innovation pathway to ensure delivery to identified end users, show potential impact and outcomes of the project and its outputs on the target groups, contribute to achievement of MDG's and potential of international cooperation beyond the project, demonstrate the quality of the plan for implementing and evaluating the dissemination and exploitation of the expected project

Consortium Team Composition: The proposed project consortium should clearly demonstrate the quality of the consortium including diversity of scientific disciplines and the synergies between the partners, value adding by working together and towards achieving the regional priorities, clear roles and responsibilities of development and delivery partners in the consortium.

The proposed project on innovation incubation and promotion of targeted value chains should include a team of partners who collectively address all stages leading to and including innovation incubation centres and product delivery. This means that the proposed project would co-operate and collaborate with a variety of partners with relevant experience in product development and up-and-out scaling innovations and development of incubation centers. Such centers include the private sector/entrepreneurs (local and international companies), NGOs, social-economic experts, universities, national and international research systems, start-up companies, etc.

The proposed project on bioresources innovation policy and sustainability analysis component should also include a team of partners/experts who collectively address innovation systems and sustainability issues leading to a more sustainable agricultural and agro-processing sector, able to promote economic growth and effectively alleviate poverty in the eastern Africa region. This means that the proposed project would cooperate and partner with various partners with relevant experience in bioresource innovation policy and sustainability analysis, socio-economic and environmental analysis and technology dissemination chains, etc such as; the science and technology ministries, regional policy institutions and technology forums, NGOs, universities, national and international policy research systems, etc.

It is envisaged that the projects will be implemented by multidisciplinary teams, including economic, social and market expertise, coming from different countries, mainly within the eastern Africa region.

Each team is expected to include at least three institutions drawn from the public and, or private sectors, from different Bio-Innovate Program participating countries in eastern Africa. One of the partners from within the Region would be designated as the project lead institution. The team should include at least one private sector company or NGO, and at least one other collaborator from within or outside the region. The team should include a minimum of 4 and a maximum of 6 partners in total.

At least one the partners must have a proven track record of up-and out-scaling of innovations to identified end users and, or creating relevant institutional or policy change for the benefit of user communities.

Leadership Quality of the Principal Investigator and Lead Institution: The proposed project should clearly show the skills and experiences of project coordination and management capacities of the Principal Investigator and track record of previous research grant management experiences of the PI and his Institution which will be designated as lead institution for the consortium.

Matching funds and Institutional support: Innovation and Policy projects that can show availability of matching funds identified from the partners and, or other investors/private sectors, including governments and, or development agencies; demonstrate strong institutional support from partners, including in kind support such as staff time will be given favorable scores..

Note: preference will be given to innovation and or policy projects that can show matching fund availability.

Monitoring and Evaluation plan: Proposed Innovation and policy projects with inclusion of a strong internal monitoring and evaluation plan; including annual indicators of success, for monitoring progress of the proposed project towards results will have a competitive advantage;

Dissemination/ communication plans: Proposed innovation and policy projects should have a coherent plan for how the project outputs and results will be communicated to the public, policy makers and potential end users. It is expected that a range of media and communications tools will be used during the course of the proposed project.

Intellectual property and other policy issues: The proposed innovation and policy project should describe potential IP that may result from the innovation process and how these will be managed; and any other policy issues that are connected to the delivery and impact of the specific innovation.

Further information

The Program Document that describes the Bio-Innovate Program is available at <http://bioinnovate-africa.org>. During the preparation of the full proposals, proposed team members are encouraged to read the full project document as this conveys in more detail the scope and expectations of the Program. Special attention should be paid in the Bio-Innovate Program Document to Chapter 3 (pp 17-21), which describes the Scope of the Program. This information will be useful to the applicants in preparing the full proposals resulting from the concept notes. For any additional information, please contact the Bio-Innovate Program Management Team by email at bioinnovate@cgiar.org \ S.Leta@cgiar.org. Any additional information on the guideline that is provided to the team in response to an email enquiry will be shared anonymously with all other teams via the Bio-Innovate web page in a Frequently Asked Questions (FAQs) section.

4 Selection Criteria and Evaluation of Full Proposals

4.1 Initial Evaluation of Full Proposals

Full Proposals will be screened initially by the Program Management Team to ensure they meet the following minimum selection criteria:

- 1. Full Proposal Format:** Full Proposal is prepared in accordance with the designated guideline for Bio-Innovate Full Proposal (available at <http://bioinnovate-africa.org>; and included as Annex 1), with no additional attachments apart from an Annex containing CVs of Principal Investigators (PIs) and co-PIs. All items on the guidelines for the preparation of Full Proposals should be addressed.
- 2. Length of the Full Proposal:** Full Proposal (excluding Annex with the CVs) should not be longer than 20 pages A4. It should be prepared as a Word Document, using Times New Roman, 11 pt.
- 3. Regional Leadership:** The Full Proposal should briefly describe the partners in the proposed project and designate the Project Leader, who must be from a public or private entity from one of the six Bio-Innovate participating countries (Burundi, Ethiopia, Kenya, Rwanda, Tanzania and Uganda) with clear track record of skills in managing/coordinating Projects/programs in innovation incubation and promotion of targeted value chains and, or policy studies project.
- 4. Front Page of the Proposed Project:** should clearly show Title of the consortium proposal, and full addresses of PI, and Co-PIs.

If one or more of these four initial selection criteria are not met, the Full Proposal will not be considered further for peer review process.

4.2 Technical Selection Criteria and peer-review of the Full Proposals:

4.2.1 Peer review of the Full Proposals

Full Proposals that meet the initial selection criteria will be assessed by at least two independent external peer reviewers. The pool of evaluators will be formed from biosciences experts nominated by the Bio-Innovate Technical Advisory Committee (TAC). The TAC shall ensure that the reviewers are independent experts with the skills and knowledge appropriate to the tasks assigned to them, and are not faced with conflict of interests on the matter on which they are asked to give opinion.

The reviewers will be required to sign a declaration of confidentiality and 'no conflict of interest' at the time of their appointment. Reviewers will be chosen from the pool based on their specific knowledge of the topic areas covered by the applications, and may represent both the scientific, policy experts and user community. If the evaluation of the two independent evaluators differs significantly, the final ranking decision is at the discretion of the Technical Advisory Committee.

The technical selection criteria and the maximum points that may be awarded for each selection criterion are given below. The maximum possible points per selection criterion are 5 points. The maximum possible total points for all selection criteria combined are 50 points. Thus each full proposal will be given a ranking score of points out of 50.

4.3 Selection Criteria

4.3.1 Regional approach (1-5)

- Proposed innovation and policy projects with a strong regional approach and demonstrated synergies between the partners to add value by working together and towards achieving the regional priorities.

4.2.2.2 Project objectives and design (1-5x2)

- Clarity and adequacy of the proposed project in terms providing prior information on completed research work and results, the innovation emanating from the research, the goal, objective, scope and methodology of work, anticipated outputs;

4.2.2.3 Adding value to existing efforts (1-5x2)

- Clarity and adequacy of displayed knowledge of prior work done in the region in the area of proposed project activities (robust review of prior information and value addition of the proposed project; quality and relevance of the approach with demonstrated relevance to technology incubation centers and innovation policy and sustainability analysis.

4.2.2.4 Pathway to impact (applicability of the results in practice, and potential impact) (1-5x2)

- Clarity of the innovation pathway that demonstrates the necessary linkages along the innovation chain to ensure delivery to identified end users. Potential to stimulate economic growth and sustainable development in the region with demonstrated evidence of demand for innovation in target sector. Assessment of costs of development and dissemination of the proposed innovations and the development goal to be addressed.

4.3.5 Quality and organization of the consortium (1-5)

- The quality of scientific and technical composition of the proposed project team of partners who collectively address all stages leading to and including product delivery (interdisciplinarity including diversity of scientific disciplines, clarity on roles and responsibilities of development and delivery partners in the consortium, sharing of responsibilities between the partners) and the synergies between the partners bringing added value by working together and towards achieving the regional priorities.

Note: Team composition is multidisciplinary, multi-country, with regional leadership, includes both public and private entities, and is comprised of a minimum of 4 and a maximum of 6 partners, (as per the full proposal guideline for applications, on team composition).

4.2.2.6 Competence and skill track record of principal Investigator (1-5)

- Demonstrated skills and experiences of project coordination and management capacities of the proposed Principal Investigator and track record of previous research grant management experiences of the PI and his Institution to be designated as lead institution for consortium.

4.3.7 Proposed consortium project management (1-5)

- **Matching funds and commitment from implementing institution:**
 - Proposed innovation and policy projects with matching funds identified from the partners and, or other investors, including governments and other development agencies

and with a strong institutional support, including in kind support (e.g. staff time), etc. will attract favorable scores

- **Monitoring and Evaluation, dissemination and communications plans:**
 - Proposed innovation and policy projects incorporating a strong internal monitoring and evaluation plan; including annual indicators of success, for monitoring progress of the proposed project towards results; as well as having a coherent plan on how the project outputs and results will be communicated to the public, policy makers and potential end users will have a competitive advantage.
- **Intellectual property and other policy issues:**
 - Proposed innovation and policy project should show if any IP issues are identified and how these will be addressed and managed. Any other policy issues that are connected to the delivery and impact of the specific innovation should also be addressed in the Proposal.

4.3 Selection Process

During the selection process, the Program Management Team will consult closely with the Bio-Innovate Program independent Technical Advisory Committee and with the Eastern Africa Councils/ Commissions for Science and Technology, so as to ensure that the proposed projects are consistent with regional and national priorities for economic and social development for the countries of Eastern Africa.

4.4. Submission Procedures for Full Proposals

Please send Full Proposals prepared in accordance with the “Bio-Innovate Africa Proforma for Preparation of Full Proposals”, by email: to bioinnovate-calls@cgiar.org

Deadline for receipt of Full Proposals: Midnight, Nairobi time, May 20, 2011

4.5. Proforma for Preparation of Full Proposals:

A Proforma to guide the preparation of the Full Proposals is attached (Attachment 1). The Proforma is also available at <http://bioinnovate-africa.org>. *Please use this format when preparing the Full Proposals. Some explanatory notes are given under each heading in the proforma to highlight the priority items to be addressed in each section, relevant to the selection criteria.*

The Full Proposals should be not longer than 20 pages, when prepared as a Word Document in Times New Roman, 11 point font. CVs of the Principal Investigator (PIs) and Co-PIs from the partners may be added in as annexes to the Full Proposals as part of the submission. Institutional commitment/support letters from each participating partners should also be annexed together with the submission. Any information beyond the 20 page limit will not be considered. When preparing the Full Proposals, please take account of the information provided in Sections 2-4 above on the scope, guidelines and the selection criteria for the preparation of Full Proposals.

Conditions of submission

Submission of a Full Proposal implies acceptance of all rules and notices included in these guidelines, including that the decision of the TAC is final.

The proponent also agrees that, should a subsequent proposal be approved and a contract entered into, that the proposal and budget will be posted on the Bio-Innovate web page.

The names of external peer reviewers are confidential and will not be released under any circumstances. Scores allocated by reviewers (including TAC) will not be released; however, feedback based on the comments of reviewers will be provided to applicants.

Any questions regarding the process or content of this guideline can be made to the Bio-Innovate Program Manager at bioinnovate@cgiar.org up to May 20 2011. All questions and answers will be made publically available on the FAQ area of the Bio-Innovate web site (<http://bioinnovate-africa.org>).

Proposed Schedule for the development of full proposals for the Bio-Innovate Competitive Grants Scheme from Second Call 2011

- April 20** Invitations sent to successful applicants from the Second call for Concept Notes to prepare full Proposals. Some funds will be made available to enable proposed Consortium/Project teams to meet to prepare full Proposals during late April/ early May 2011.
- May 20** Deadline for submission for full proposals.
- May 24** Formality eligibility check by PMT
- May 30** Unsuccessful applicants will be notified and feedback on their Concept Notes provided.
- June 17** External peer reviews of full Proposals by independent experts completed.
- June 24** Review of full proposals and peer-reviewers' comments by TAC and recommendations on which proposals will be supported by Bio-Innovate Program made at 4th TAC meeting completed.
- June 30** Teams informed of results of Bio-Innovate competitive grants process, with feedback on all proposals provided
- July 8** PIs of eligible full proposals submit revised full proposal to Bio-Innovate Management Office
- July 15** Lead Institutions of successful innovation and policy project consortia sign contract agreements with ILRI
- July 29** Fund disbursement finalized and Commencement of Implementation of projects from the Second Call is initiated

Attachment 1

Bio-Innovate Africa: Proforma for the Preparation of Full Proposals

Please use this format when preparing Bio-Innovate Full Proposals. Some explanatory notes are given under each heading in the Proforma below to highlight the priority items to be addressed in each section. Deadline for receipt of applications is May 20, 2011. Please submit to bioinnovate-calls@cgiar.org

1. Title of the Full Proposal

In the front title page, please provide a concise and clear title for the innovation and or policy project consortium, PI and CO-PIs with their full addresses

2. Executive Summary

Please include up to a one-page a concise summary of the Full Proposal. This overview is intended to be a high-level summary of the Full Proposal to be used for reference within the Program, not a substitute for the more specific information requested in other sections of the Full Proposal.

3. Background and rationale for the proposed project

This section will represent the reasons behind your proposal and will specify what you wish to change or contribute through your project. It should present the facts and evidence that support the need for the Innovation OR Policy project by way of robust literature review. Provide enough background information to show your familiarity with the prior innovation related activities OR policy on the topic and to justify the need for the project. How does the proposed project fit within the Bio-Innovate priority areas of Themes 1 and/or 2 (positioning of the proposed project within Bioinnovate Thematic Area 1 and 2).

4. Adding value to existing efforts (relevance and quality of content of the proposal):

The proposed project should demonstrate and clearly show the quality and relevance of the approach; Likely chances of success; Moreover, the proposal should clearly display knowledge of prior work done in the region on the proposed project activities, i.e. robust review of prior information and showing the gaps and value addition clearly. It is also a requirement that the proposed project should demonstrate complementarities and, or collaboration with regional programs and other existing efforts such as the AU/NEPAD African Biosciences Initiative, including the BecA/ILRI Hub, CAADP, ASARECA, FARA, ECA, IGAD, etc.

5. potential for economic and social impact

Show evidence of demand for innovation in target sector and its potential to stimulate economic growth and sustainable development in the Region. What is the development goal and or policy question to be addressed? Consortium partners will need in their project design, to take into account the question of demand for what the project will produce (outputs), in both an economic and social sense. Project partners also need to assess development and, or dissemination costs of the proposed innovations and to what extent the innovations will be economically viable.

6. Regional and international collaboration

The project approach must be based on regional/international collaboration. Funding will be granted for projects where it can be clearly demonstrated that a regional approach is more effective than individual national projects.

7. Project goal and purpose

Provide specific project goal and purpose, derived from development goal.

Objectives

Provide specific objectives linked to achieving the stated development goal. Objectives should be specific, measurable, achievable, and realistic and time bound. It is important to clearly demonstrate that it is feasible to solve the problem on brief, on budget and on time.

Outputs

Outputs refer to the most immediate sets of accomplishments necessary, but not sufficient to produce outcomes and impacts. Possible output may include the number of tons of new seed varieties distributed.

Outcomes

Outline Intended outcomes from the project that will contribute to economic and social development in the Region. These include Intermediate observable and measureable changes that may serve as steps toward impact for the region. Possible outcomes may include an increase in crop yield in drought prone areas, policy change, etc.

8. Methodology and description of project activities

A clear description of the materials needed for the project activities for the stated objectives and the specific procedures to be followed should be provided. It is necessary to include project design, value chain analysis and evaluation to be used in this section.

9. Pathway to impact (commercialization and or use)

The full proposal should show a pathway for utilization, for either commercial use and/or public good; and it should include an implementation plan that demonstrates the necessary linkages along the innovation chain to ensure delivery to identified end users; Potential impact and outcomes of the project and its outputs on the target groups, contribution to achievement of MDG's and potential of international cooperation beyond the project; Quality of the plan for implementing and evaluating the dissemination and exploitation of the expected project outputs and the knowledge generated by the project.

10. Team Leadership, Composition and Roles of Partners

Proposed consortium team should identify the partners who will be participating in the proposed project and the role of each partner in the proposed project. Teams should be multidisciplinary and multi country, with partners mainly coming from within the eastern Africa region.

Each proposed project team to include at least three institutions drawn from the public and, or private sectors in different Bio-Innovate participating countries in eastern Africa; one of the partners from within the region will be the designated project lead institution; the team should include at least one private sector company or NGO; and the team should include at least one other collaborator from within or outside the region; with a minimum of four and a maximum of six partners in the project.

Principal Investigator(s) – *Name and position of the Team Leader and his/her respective lead organization. Provide at least two examples of previous team management experience including a referee who may be contacted by Bio-Innovate to verify any information.*

Co-Principal Investigators at Partner organizations – Name and positions and their respective organizations (e.g. National agricultural research institutes, regional organizations).

Development and promotion partners - e.g. other national agricultural research institutes, regional research organizations and international research partners.

Development/delivery partners - e.g. private sector, entrepreneurs, civil society, NGOs, national government agencies and other development agencies.

11. Competence and skill track record of principal Investigator

Provide skills and experiences of project coordination and management capacities of the Principal Investigator and track record of previous research grant management experiences of the PI and his Institution which will be designated as lead institution for consortium.

Provide at least two examples of previous team management experience including a referee who may be contacted by Bio-Innovate to verify any information. Name and positions of all CO-PIs and their respective organizations (e.g. National agricultural research institutes, regional organizations) (CVs for the PI and the co-PIs to be included as Annex).

12. Matching funds and commitment from host institution:

Provide matching funds identified from the partners and, or other investors, including governments and, or development agencies.

13. Institutional support (letter of commitment):

Proposed innovation and policy projects should be submitted together with a clearly demonstrated institutional support from each involved partner, including in kind support (e.g. staff time), etc.

14. Monitoring and Evaluation, dissemination and communications plans:

Proposed innovation and policy project should include a strong internal monitoring and evaluation plan; including annual indicators of success, for monitoring progress of the proposed project towards results; as well as coherent plan on how the project outputs and results will be communicated to the public, policy makers and potential end users.

15. Intellectual property and other policy issues:

The full innovation and policy project proposal should show if any IP issues are identified and how these will be addressed. Any other policy issues that are connected to the delivery and impact of the specific innovation should also be addressed in the Proposal.

16. Milestones and time frame

Milestones to assess progress towards achieving outputs; Outputs to be linked to time frame for achieving milestones, by six monthly periods, with projects lasting up to 3 years.

17. Indicators of progress towards results

Include annual indicators to assess progress towards achieving development outcomes (e.g. distribution and uptake of new technologies, adoption of new policies, etc).

18. Project Activity Plans

Project team should clearly workout activity plans corresponding to the involved scientists/collaborating partners and timelines of the activities for the project duration.

Project duration: *Projects will be supported for up to 3 years period starting July 2011 to June 2014*

19. Detailed and summary project budget (USD)

The proposed full innovation and policy projects should have a clear detailed budget per activities, per partners and per project duration in US dollars (template provided in the guideline). Also indicate if any other sources of current or likely future financial support, which would complement Bio-Innovate support to the project.

It is envisaged that each successful innovation and policy projects can have a maximum of USD 1.0M depending on the nature/the requirements of the proposed innovation incubation as well as policy projects for the project duration.

20. Log frame for the Project

Proposed innovation and policy project teams should clearly workout a Logical Frame of the innovation and policy projects following Result Based Management (RBM) approach (template provided in the guideline)

Annex 1 Team leadership details

Please attach as a single Annex, the one page curriculum vitae (CVs) for the Principal Investigator (PI) who will be leading the overall effort; and also one page CVs of the co-PIs from the other partners, who will be leading their respective partner teams within the overall proposed project.

Log frame Format for the Project consortium (Template)

Title of consortium Project:

Goal of the Project:

Outputs	Outcome	Performance Indicator of Outcome	Data Source	Collection Method	Assumptions - Assessment of Progress/Achievements
Project specific Objectives					
Objective : Eastern Africa bio resource innovation systems catalyzed to deliver agricultural, environmental and industrial innovations that stimulate sustainable transformation, utilization and productivity of the region's bio-resources					
Framework for engaging with industry/ entrepreneurs in product incubation and development put in place	Partnerships with industry enhance functionality of seed systems for program priority crops among pilot communities/partner in E. Africa partner countries.	Up to 30% increase in the number of seed companies engaging with project partner countries in formal seed systems of millet sorghum, sweet potato and cassava by 2015.	<ul style="list-style-type: none"> • Project reports • Project partnership agreements • Project reviews 	<ul style="list-style-type: none"> • Project reviews, • Commissioned studies 	Governments of the region continue to develop and pursue policies that favor science and technology use in development
1.2					
1.3					
1.4					
Objective : Innovation policies for sustainable harnessing of bio-resources developed and promoted					

Bio resource innovation policy assessment studies conducted in partner countries.	Increased policy support and reform in E.African countries stimulate bio-resource innovation systems	<ul style="list-style-type: none"> • At least two regional economic communities endorse the Program interventions and promote it within E. Africa by 2012. 	<ul style="list-style-type: none"> • Program reports • Workshops report • Institutional reports • Program website hits 	<ul style="list-style-type: none"> • Program reviews, • Commissioned study reports • 	Public and private sector agencies continue to provide suitable goods and services that promote the use of environmentally friendly technologies in E. Africa
2.2					
2.3					
2.4					
Objective # :					
3.1					
3.2					
3.3					

Note: One Sample/template is given for thematic area 3 and 4 each on how to prepare the log frame in a RBM approach for the projects.

Budget request for the project per activities, per partners and per project duration in US dollars (template provided in the guideline)

Template: Sample detail budget for individual partners.

Budget Title: (The title of the project proposal)											
Period: (Date / Month / year TO: Date / Month / year											
Implementing Institution: (name of partner1...)											
All Amounts in US Dollars											
	Budget line Items	Ref	Units	Persons	Days/ Freq	Unit Cost	2011	2012	2013	2014	Total
A	Materials and Supplies	Notes*									
	Equipment										
	Equipment1	Note1					-	-	-	-	-
	Equipment2	Note1					-	-	-	-	-
	Equipment3	Note1					-	-	-	-	-
	Subtotal - Equipment						-	-	-	-	-
	Consumables										
	Consumable1	Note2					-	-	-	-	-
	Consumable2	Note2					-	-	-	-	-
	Consumable3	Note2					-	-	-	-	-
	Consumable4	Note2					-	-	-	-	-
	Subtotal - Consumables						-	-	-	-	-
	Subtotal-materials and Supplies						-	-	-	-	-
B	Travel										
	Item 1	Note3					-	-	-	-	-
	Item 2	Note3					-	-	-	-	-
	Item 3	Note3					-	-	-	-	-
	Subtotal - Travel						-	-	-	-	-
C	Field work Related Research costs										

	Field work							
	Item 1	Note4	-	-	-	-	-	-
	Item 2	Note4	-	-	-	-	-	-
	Item 3	Note4	-	-	-	-	-	-
	Item 4	Note4	-	-	-	-	-	-
	Item 5	Note4	-	-	-	-	-	-
	Subtotal - Field work		-	-	-	-	-	-
	Training and Dissemination							
	Item 1	Note5	-	-	-	-	-	-
	Item 2	Note5	-	-	-	-	-	-
	Item 3	Note5	-	-	-	-	-	-
	Item 4	Note5	-	-	-	-	-	-
	Subtotal - Training and Dissemination		-	-	-	-	-	-
	Subtotal Field work, Training and Dissemination		-	-	-	-	-	-
D	General Project expenses							
	Management and Coordination Costs							
	Item 1	Note6	-	-	-	-	-	-
	Item 2	Note6	-	-	-	-	-	-
	Item 3	Note6	-	-	-	-	-	-
	Subtotal-General project expenses		-	-	-	-	-	-
	Total Direct expenses		-	-	-	-	-	-
E	Others (-----%) of (A to D above)	Note7	-	-	-	-	-	-
	Overheads		-	-	-	-	-	-
	Total Budget		-	-	-	-	-	-

Notes*

Provide explanatory notes where necessary

Template: Sample Consortium Summary Budget by partner per year

Budget Title: <i>(The title of the project proposal)</i>						
Period: <i>(Date / Month / year TO: Date / Month / year)</i>						
Lead Institution: (name)						
Implementing Institution: <i>(name of partners 1, 2, 3...)</i>						
All Amounts: in US Dollars						
YEAR 1						
	Description	Partner 1	Partner 2	Partner 3	Partner 4	Total
A	Materials and Supplies					
B	Travel					
C	Field work Related Research costs					
D	General Project expenses					
E	Others (overheads) -%age					
	Total- year I					
YEAR 2						
		Partner 1	Partner 2	Partner 3	Partner 4	Total
A	Materials and Supplies					
B	Travel					
C	Field work Related Research costs					
D	General Project expenses					
E	Others (overheads) -%age					
	Total- year 2					
YEAR 3						
		Partner 1	Partner 2	Partner 3	Partner 4	Total
A	Materials and Supplies					
B	Travel					
C	Field work Related Research costs					
D	General Project expenses					
E	Others (overheads) -%age					
	Total- year 3					
	Total over 3 years					

Budget Preparation-General Guidelines

1. This is to be used as a sample only in the development of specific partner budgets.
2. Budget Period (3years) from July 2011 to June 2014
3. Budget limit -----
4. It can be modified to include all relevant expenses but Major categories must NOT change.

Composition under different categories may include for example:

A. Materials and Supplies

- i. Equipment
- ii. Consumables; e.g.
 - Assorted chemicals
 - Molecular reagents
 - Planting materials
 - Materials for Constructing pilot/incubation centers...etc

B. Travel

This relates to costs associated with international travel for project matters (e.g. air ticket, accommodation, per diem). These include:

- i. Travel within the East African Region
- ii. Travel outside the region

C. Field work Related Research costs

- i. Field work: Examples include;
 - Project labor cost
 - Field technicians/assistants
 - All project local travel costs (daily allowances, fuel, maintenance, etc)
- ii. Training and Dissemination: Examples include;
 - Farmer field days/demonstrations
 - Pilot/incubation centre demonstrations
 - Field/pilot incubation centre activities with public (i.e. mass media, policy makers)...etc

D. General expenses

Management and coordination costs for the project: Examples include;

- Project office supplies
- All expenses for local project planning meetings
- PIs extra time input for coordinating consortium project...etc

E. Other Expenses

Overheads:

- This must be in line with the current institutional policy rate.
5. Categorize all estimates into the respective major categories (under A, B, C, D, E) as appropriate.
 6. Provide detailed budget for each item to the extent possible.
 7. Management and coordination cost should not be more than 10% of the individual total budgets.
 8. Overheads rates must be based on the official institutional rates.
 9. Work out the detailed individual partner budgets separately (i.e. separate detailed budgets for partner 1, 2, 3...)
 10. Summarize all the individual partner detailed budget estimates into " Consortium Summary Budget by partner per year"
 11. Provide adequate explanatory notes in with reference to individual partner detailed budget.