



Tanzania

Zonal Innovation Challenge Fund

Zonal Innovation Challenge Fund Processes and Outcomes to Date

February 2009

Prepared by EDI (Economic Development Initiatives) Ltd

Head Office

PO Box 393
Bukoba,
Kagera, Tanzania

Tel: 028 2220059 (General line/Fax)
028 2220078 (Finance)

Dar es Salaam Office

PO Box 105167,
Mikocheni,
Dar es Salaam, Tanzania

Tel: 022 5505981 (General line/Fax)

Contact Person:

Mrs Louise Broadbent
Managing Director and RIU Fund Manager

Tel: 0754 742494/0786 742494
Email: L.Broadbent@edi-africa.com

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1. INTRODUCTION

This report documents the process that was undertaken during the first phase of the Zonal Innovation Challenge Fund Implementation, from the advertisement of the Zonal Innovation Challenge Fund in Tanzania, through to its current stage - Full Technical and Financial Proposal Preparation.

It also documents the outcomes at the various key stages, and the report should be read in conjunction with the supporting set of appendices.

2. SUMMARY OF THE OUTCOME OF THE SCREENING AND CONCEPT NOTE REVIEW STAGES

During the first call for concept notes, a total of 265 concept notes were received, 98 for the post-harvest platform, 99 for draught-power, and 68 for dairy.

Of these 113 (or 43% of the total received) were passed to the external assessors for review. (37 for post-harvest, 31 for draught power and 45 for dairy).

The remainder were rejected at initial screening stage, for a combination of more than one of the following reasons:

- The proposal benefitted only the applicant or family/very close neighbours;
- No discernible research output used;
- Only proposed the purchase of a tractor or milling machine, or other equipment, with no other focus;
- Not relevant to the challenges identified by the platform;
- Not relevant to the geographic location of the fund;
- Proposed activities unclear;
- Nothing new about the concept or activities proposed;
- Incomplete concept note;

Of those concept notes that were put forward to the assessors for review, a total of 23 concepts have been invited to prepare full technical and financial proposals either as a lead or a partner. In all but one instance the assessors partnered concepts together to create ten comprehensive solutions under the following themes (The assessment day reports identify specifically those whom have been invited to prepare full technical and financial proposals):

2.1. POST HARVEST

- 1) **Innovative Post-Harvest Loss Tools** (concepts 20057, 2000, 20053) supported by RUDI
- 2) **Botanical and Integrated Post-Harvest Pest Management** (concepts 20088 and 20018)
- 3) **Better Post-Harvest Pest Resistant Seed Varieties, leading to reduction in Post-Harvest Loss** (Concepts 20052 and 20087)

2.2. DRAUGHT POWER

- 1) **Improved Animal Draught Power - Through Improved Yoke-Bar Assembly and New Ox-Weeder** (concepts 30086, 30004, 30085) perhaps including 30098 - Ox-Seeder as well
- 2) **Conservation Agriculture Technology - High Emphasis on Conservation Tillage as a way of reducing drudgery particularly for women** (concepts 30064, 30090 with support from RUDI)
- 3) **Mobilising Farmers to Access Mechanised Draught Power Tools & Technologies** (Concepts 30088 and 30062 linked to 30007)

2.3. DAIRY

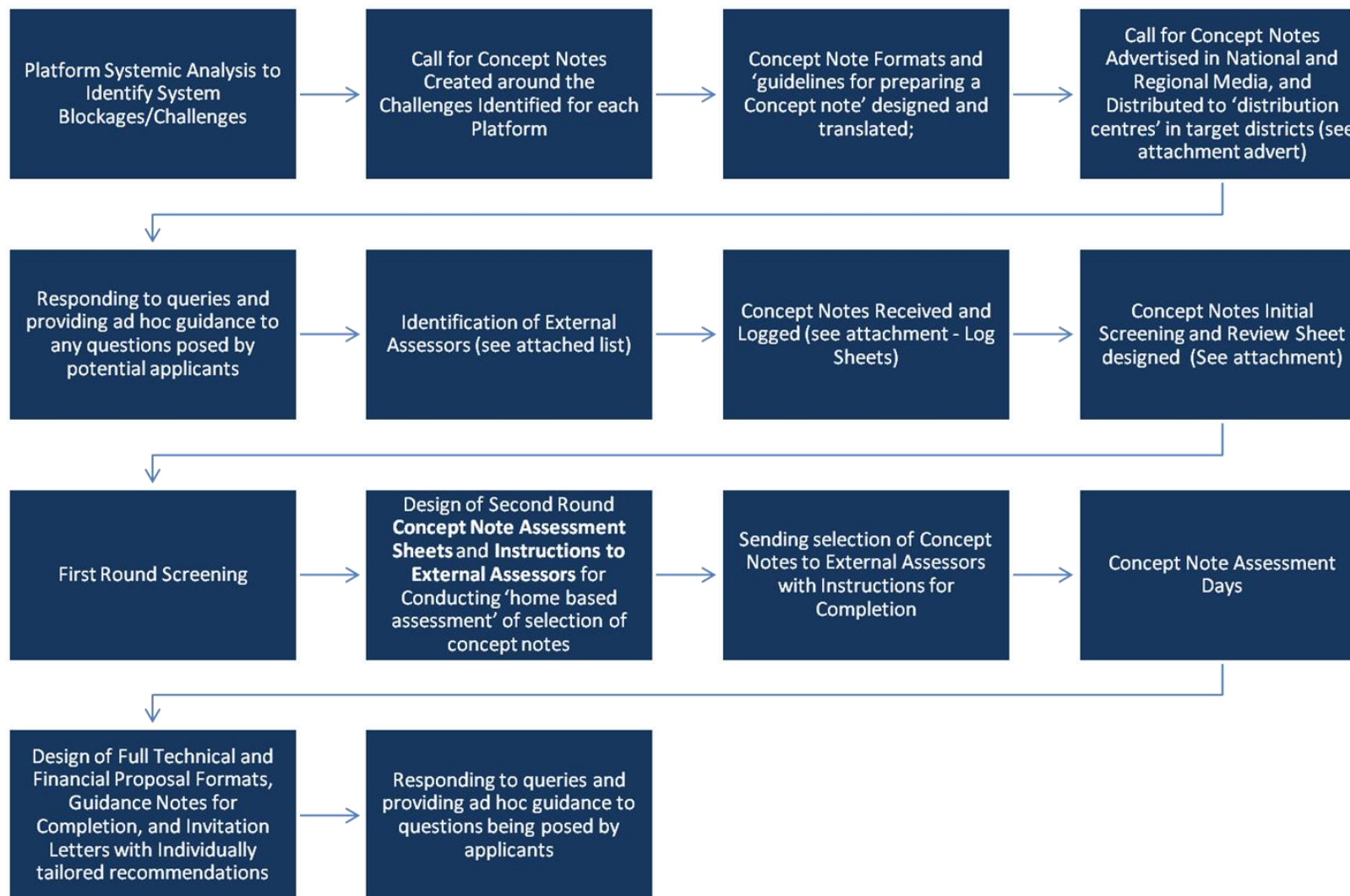
- 1) **Introduction & Local Fabrication of Charcoal Coolers for reduction in spoilage and improved marketing and processing of milk products** (concepts 10038 and 10059)
- 2) **Use of Talking Pictures and Other Dairy Decision Making Tools to Increase Milk Yields** (concepts 10068 and 10034)
- 3) **Improved Dry Season Feed, and strengthening of Artificial Insemination Services** (Concepts 10020 and 10024)
- 4) **Cheap and simple technology of using traps and targets for tsetse and Trypanosomiasis** (Concept 10050)



3. TANZANIA INNOVATION CHALLENGE FUND PROCESSES

The following sections provide more detailed information on the processes that have been followed to date, from identifying the focus of this round of call for concept notes, advertising, receiving, logging screening, assessing through to the inviting of winning concepts to prepare full proposals. Figure 1, provides an overview of all of the processes that have now been completed. (Note these processes have been carried out following the completion of the platform identification and formation phase, managed by MUVEK).

Figure 1: Overview of Completed Processes



3.1. IDENTIFICATION OF THE FOCUS FOR THE FIRST ROUND, THROUGH CONDUCTING A PLATFORM SYSTEMIC ANALYSIS TO IDENTIFY SYSTEM BLOCKAGES/CHALLENGES

During early December 2008, the RIU Tz Country Team (MUVEK and EDI), supported by the International Process Facilitator, facilitated the three platforms whom had been formed to date, (Post-Harvest, Draught Power and Dairy) in conducting a systemic analysis of the system blockages and key challenges that they faced.

3.2. CALL FOR CONCEPT NOTES CREATED AROUND THE CHALLENGES IDENTIFIED FOR EACH PLATFORM

During the final session with each platform, the focus and wording for the Call for Concept Notes was jointly agreed within and by the platform members. Subsequently a combined call for concept notes was prepared jointly for all three platforms - (see attachment), and this was also translated into Swahili.

3.3. CONCEPT NOTE FORMATS AND 'GUIDELINES FOR PREPARING A CONCEPT NOTE' DESIGNED AND TRANSLATED

The actual Concept Note formats and guidelines for potential applicants were also prepared and translated into Swahili. (see attachments)

3.4. CALL FOR CONCEPT NOTES ADVERTISED IN NATIONAL AND REGIONAL MEDIA, ON EDI WEBSITE, AND DISTRIBUTED TO 'DISTRIBUTION CENTRES' IN TARGET DISTRICTS

The call for concept notes was advertised twice (17th December 2008 and 5th January 2009), in the following national and regional media, with a closing date of Friday 16th January at 16.00 hrs.

Table 1: Summary of Advertising Media

Name of Paper	Distribution	Language
The Guardian	Tanzania National	English
The East African	East Africa Region	English
Mwananchi	Tanzania National	Swahili
Majira	Tanzania National	Swahili

Adverts and Application packs were also sent to the District Agriculture and Livestock Development Officers (DALDOS), within the target districts of Morogoro Region and Tanga Region for them to post at visual locations within the district (notice-boards, schools etc). Application packs were also available for easy access and collection by the rural population from the DALDO offices.

Application packs and Instructions were further made available in soft copy form from EDI's website, www.edi-africa.com/riu and in hard copy form from both EDI and MUVEK offices in Dar es Salaam.

3.5. RESPONDING TO QUERIES AND PROVIDING AD-HOC GUIDANCE TO ANY QUESTIONS POSED BY POTENTIAL APPLICANTS

Between the 19th December and the 16th January, queries and questions were received regarding the completion of the concept notes. These were individually responded to by EDI.

3.6. IDENTIFICATION OF EXTERNAL ASSESSORS

For this stage of concept note review, six external assessors were identified to undertake both a 'home-based' review of a selection of concept notes, and to participate in the joint assessment days to determine the concepts to move forward to prepare full proposals.

For each platform review, there were three assessors. Initially it was planned that two assessors would be specialists in the 'subject area', and a third a specialist in the subject area of one of the other platforms, to provide continuity across the assessments. Due to availability of some of the assessors, this was juggled slightly, and ended with five assessors, one of whom was involved in all three platform reviews. (This actually worked out the best and would be recommended as the future combination.) The following table shows the final assessors involved at concept note selection stage:

Table 2: External Assessors

Assessor Name	Specialist Field	Other Platform Assessed
Professor Mlangwa	Dairy	None
Dr Otarro	Dairy	Draught-Power
Professor Monyo	Post Harvest	None
Dr Mpagalile	Draught Power	Post-Harvest
Aggripina Mosha	Cross-Cutting on all, with excellent understanding of RIU	Dairy, Post-Harvest, Draught Power

3.7. CONCEPT NOTES RECEIVED AND LOGGED (SEE ATTACHMENT - LOG SHEETS)

All concept notes that were received before the deadline were logged on the individual log sheets for each Platform, as per the attached. Each was given a unique reference number, the name of applicant was recorded, the title of the concept note, the date of receipt and the mode of delivery was recorded.

Subsequently this information was transposed into an MS Access Database, along with information on:

- Contact details for all those whom have moved to the next phase
- Language of submission for all concepts
- Results of the screening process
- If passed to Assessor - Name of Assessors whom Reviewed
- If rejected - reason for rejection
- Result of the concept note assessment day (I.e. those who have been invited to prepare full proposals)

The database will continue to be updated throughout the process until the final proposals have been chosen.

All hard copies of Concept Notes are held at EDI Offices in Master Files for each Platform along with their initial screening sheet. (See next process step)

3.7.1. OUTCOME OF APPLICATION RECEIPT AND LOGGING:

265 total concept notes were received prior to the deadline as follows:

- 98 - Post-Harvest
- 99 - Draught-Power
- 68 - Dairy

3.8. CONCEPT NOTES INITIAL SCREENING AND REVIEW

Due to the large number of concept notes received and in order to not waste the time of the external assessors, EDI developed an initial screening and review sheet to review and reject concepts that really were of very poor quality and that most certainly would not meet the subsequent selection criteria.

All concept notes were therefore reviewed by EDI and initially reviewed using the following criteria:

- Correct format
- Fully completed
- Correct geographic area
- Proposal clear and understandable
- Relevance to the challenges of the platform
- Identification and Use of a Research Output

3.9. OUTCOME OF FIRST ROUND SCREENING:

Utilising the Initial Screening and Review Sheet, EDI then undertook a review of all applications. Out of the 265 applications, a total of 113 concept notes were found to meet the initial screening criteria and were passed to the external assessors for more detailed review and assessment:

- 37 - Post-Harvest
- 31 - Draught Power
- 45 - Dairy

That left a total of 152 Concept Notes (57%) that were rejected at this stage and not passed to the Assessors for further review. Concept notes were rejected when there was a combination of missing or poor information and the vast majority of reasons for rejecting concept notes at this stage fell into the following 'generic categories' - with a **combination of more than one** of the following resulting in a rejection:

- Benefitted only the applicant or family/very close neighbours
- No discernible research output used
- Only proposed the purchase of a tractor or milling machine, or other equipment, with no other focus
- Not relevant to the challenges identified by the platform
- Not relevant to the geographic location of the fund
- Proposed activities unclear
- Nothing new about the proposal
- Incomplete concept note

3.10. DESIGN OF SECOND ROUND CONCEPT NOTE ASSESSMENT SHEETS AND INSTRUCTIONS TO EXTERNAL ASSESSORS FOR CONDUCTING ‘HOME BASED ASSESSMENT’ OF SELECTION OF CONCEPT NOTES

More detailed Concept Note Assessment Sheets were designed for use by the External Assessors along with Instructions and guidelines to them to assist them in carrying out the next stage of assessment. (Please see attached)

Each Assessor was requested to review the selection of concept notes primarily thinking about these 3 key areas:

- **Getting research into use** - Does the proposed solution incorporate getting a research output into use?
- **Relevance for Solving/Addressing the Challenges of the Platform** – Is the proposed solution relevant for solving or at least addressing one or more of the challenges described in the call for concept notes?
- **Innovativeness of Idea/or of Proposed Activities** – Is the idea, and/or are the proposed activities innovative?

For the highest scoring top seven concept notes from these three areas, the assessors were then requested to complete a more detailed review using the rest of the criteria shown in the attached assessment sheet.

During their review they were also requested to identify any concepts that posed good or innovative ideas, but that may not have been fully formed, or any individuals/organisations whom could potentially make strong partners to other concepts.

3.11. SENDING SELECTION OF CONCEPT NOTES TO EXTERNAL ASSESSORS WITH INSTRUCTIONS FOR COMPLETION

It was decided that each concept note to be assessed by the external assessors, should be assessed by at least two assessors during the home-based review. Therefore for each platform, all concept notes were photocopied twice along with assessment cover sheets and split between the three chosen assessors. (see attached list of concept notes sent to the assessors)

All hard copies were sent (by different means) to the assessors on 22nd and 23rd January 2009.

3.12. CONCEPT NOTE ASSESSMENT DAYS

Two days were set aside for jointly discussing and reviewing the concept notes for the three platforms on the 26th and 27th January at EDI offices (Figure 2).

All assessors were requested to provide EDI with the concept note numbers of those concept notes that featured in their ‘Top Seven’ in order

Figure 2: Assessment Day Timetable

Tuesday 26th January	
Post-Harvest Platform review	- 09.00 - 14.30 hrs
Draught Power Platform review	- 15.00 -17.30 and continued next day
Wednesday 27th January	
Draught Power finalisation	- 09.00 - 12.00 hrs
Dairy Platform Review	- 12.30 - 17.30 hrs

for EDI to prepare extra copies for review by the other assessors and participants at the concept note assessment days.

3.12.1. SPECIFIC PROCESS FOLLOWED FOR THE JOINT ASSESSMENT OF CONCEPT NOTES DURING THE CONCEPT NOTE ASSESSMENT DAYS

Each Assessment Day commenced with each of the Assessors taking time to read the other assessors top 7 choices if not already reviewed in their initial pack. The selection activities then involved the following process.

Figure 3: Overview of Assessment Day Process



3.12.1.1. STAGE 1 - REVIEW AND DISCUSSION OF CONCEPT NOTES WHERE TWO ASSESSORS SCORE THE SAME CONCEPT IN THEIR TOP 7

- The list of concept notes where **two** assessors both initially scored them in their top 7 were placed on the flipchart for discussion;
- Where more than one concept on the board was of a similar theme, then the initial discussion ensued around the theme first, and then the individual concepts afterwards
- During the discussions at this first stage, concepts were categorised into one of the following:
 - Reject
 - Yes
 - Yes, but to Partner to enhance proposal
 - Maybe,
 - Maybe, but would need to Partner to enhance proposal

3.12.1.2. STAGE 2 - REVIEW AND DISCUSSION OF CONCEPT NOTES WHERE ONE ASSESSOR SCORED A CONCEPT IN THEIR TOP 7

The same process steps as for stage 1 above were followed

3.12.1.3. STAGE 3 - IDENTIFICATION AND DISCUSSION OF ANY OTHER IDEAS/PARTNERS

This stage requested the Assessors to identify any other concept notes that they noted for their Ideas, or whom now may make good partners for the concepts discussed in the previous stages.

Discussions ensued along the same lines as step 1 and step 2.

3.12.1.4. STAGE 4 - FINAL SELECTION OF CONCEPTS TO INVITE TO PREPARE FULL PROPOSALS

All Concepts that had been classified as 'yes' or 'maybe' were revisited and discussed further. Concepts along similar themes were discussed, along with those that added value, or enhanced capacity or that generally could create a more comprehensive solution in order to reach the final selection of concepts to invite to prepare full proposals.

In all Platforms, concepts were normally at least pared, if not combined with two others to make collaborations. (see outcome section below)

3.12.1.5. STAGE 5 - SPECIFIC ADVICE/RECOMMENDATIONS FOR THE WINNING CONCEPTS

For each concept chosen to move forward, the assessors discussed and documented some specific advice and recommendations for the winning concepts, when preparing their proposals to ensure that they will best meet both the purpose of RIU and the needs of the Platforms.

These notes were then used to prepare individually tailored invitation letters to all invited applicants.

3.12.2. OUTCOME OF CONCEPT NOTE ASSESSMENT DAYS

Reports on the discussions and deliberations for each concept note under each platform, along with more detailed information on the concepts whom have been selected to prepare full technical and financial proposals has also been prepared. (See attached Concept Note Assessment Day Reports)

A total of 23 concepts were selected to prepare full technical and financial proposals either as a lead or a partner. In all bar one instance the assessors partnered concepts together to create ten comprehensive solutions under the following themes:

Post Harvest

- 1) **Innovative Post-Harvest Loss Tools** (concepts 20057, 2000, 20053) supported by RUDI
- 2) **Botanical and Integrated Post-Harvest Pest Management** (concepts 20088 and 20018)
- 3) **Better Post-Harvest Pest Resistant Seed Varieties, leading to reduction in Post-Harvest Loss** (Concepts 20052 and 20087)

Draught Power

- 1) **Improved Animal Draught Power - through Improved Yoke-Bar Assembly and New Ox-Weeder** (concepts 30086, 30004, 30085) perhaps including 30098 - Ox Seeder as well
- 2) **Conservation Agriculture Technology - High Emphasis on Conservation Tillage as a way of reducing drudgery particularly for women** (concepts 30064, 30090 with support from RUDI)
- 3) **Mobilising Farmers to Access Mechanised Draught Power Tools & Technologies** (Concepts 30088 and 30062 linked to 30007)

Dairy

- 1) **Introduction & local fabrication of Charcoal Coolers and Food Grade Cans for reduction in spoilage and improved marketing and processing of milk products** (concepts 10038 and 10059)
- 2) **Use of Talking Pictures and Other Dairy Decision Making Tools to Increase Milk Yields** (concepts 10068 and 10034)
- 3) **Improved Dry Season Feed, and strengthening of Artificial Insemination Services** (Concepts 10020 and 10024)
- 4) **Cheap and simple technology of using traps and targets for tsetse and Trypanosomiasis** (Concept 10050)

3.13. DESIGN OF FULL TECHNICAL AND FINANCIAL PROPOSAL FORMATS, GUIDANCE NOTES FOR COMPLETION, AND INVITATION LETTERS WITH INDIVIDUALLY TAILORED RECOMMENDATIONS

Formats were then designed for the preparation of full technical and financial proposals and guidance notes for their completion. (please see attached examples).

For each 'winning concept' whether identified as a lead or a partner, individually tailored invitation letters were also prepared that gave more specific guidance and advice as discussed by the assessors to maximise the chances of success for their individual proposals.

3.14. RESPONDING TO QUERIES AND PROVIDING AD-HOC GUIDANCE TO QUESTIONS BEING POSED BY APPLICANTS

The current phase which is being implemented, is the responding to queries and providing ad-hoc guidance to questions that are being posed by the applicants.

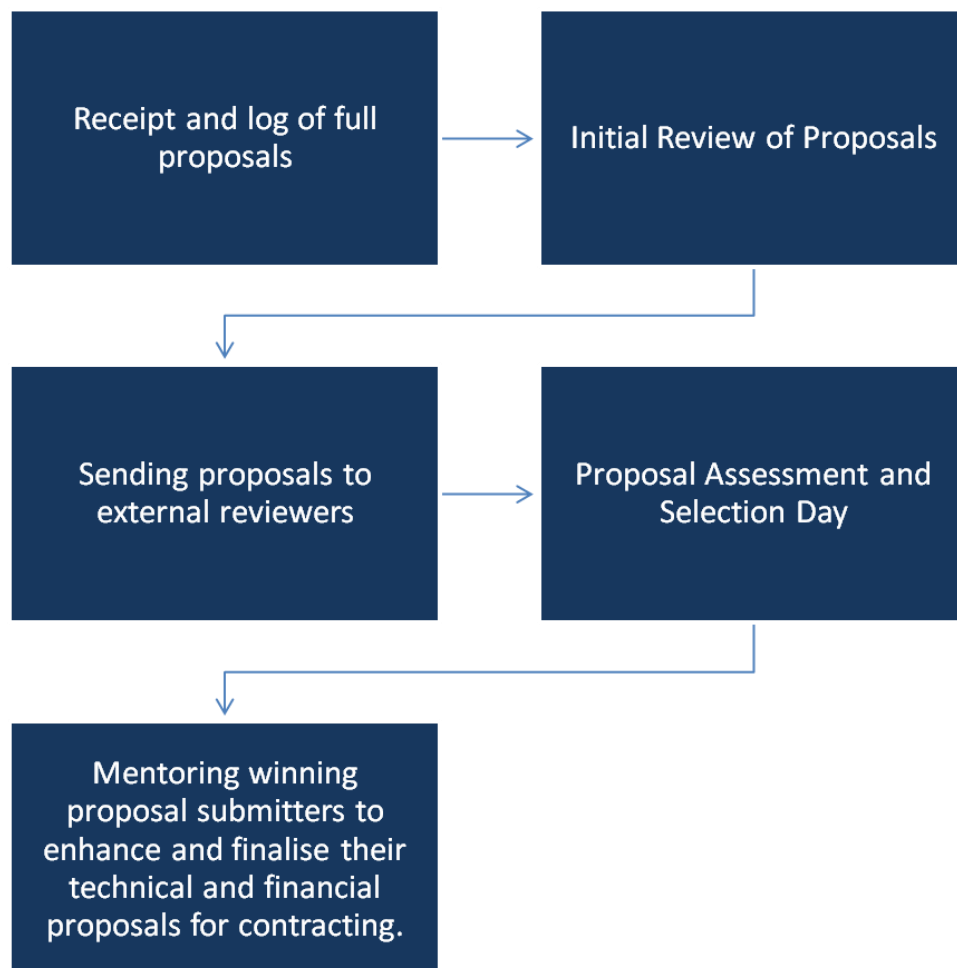
4. PROCESSES STILL TO BE CARRIED OUT BEFORE COMMENCEMENT OF FUNDING

The following are the remaining processes to be carried out, and will be documented and discussed in full in the next process report, which will be prepared and circulated by the middle of April, following the completion of both phases.

4.1. FULL PROPOSAL ASSESSMENT AND SELECTION

All of the successful applicants from the previous round have now been invited to submit full Technical and Financial Proposals and a deadline for submission of proposals has been set for February 20th 2009. Upon receipt of the proposals a number of steps shall be followed from the initial review to review/selection by the external examiners and culminating in the mentoring of the selected applicants to finalise their proposals, as shown in Figure 4.

Figure 4: Full Proposal Assessment and Selection

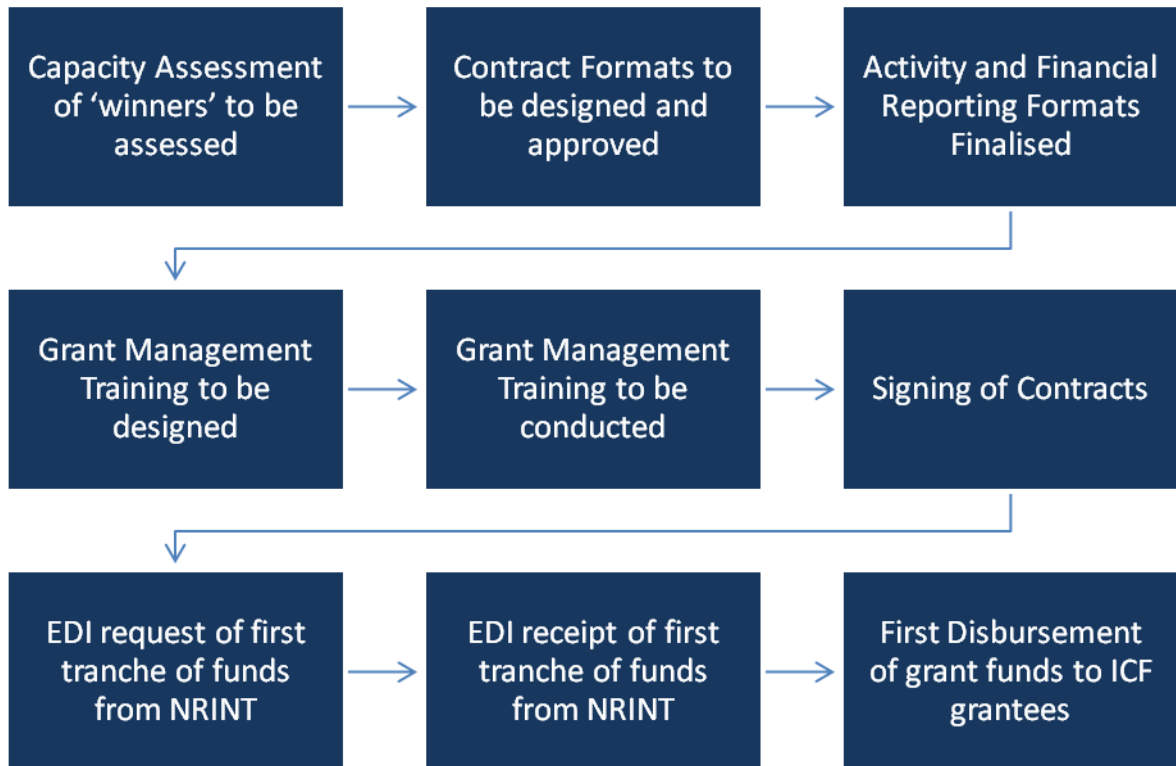


It is hoped that this part of the process will be completed by the end of the first week of March 2009.

4.2. CONTRACTING, CAPACITY ASSESSMENT, GRANT MANAGEMENT TRAINING AND FIRST DISBURSEMENT

Having selected the applicants and interventions to be funded, the Fund Manager will then implement a number of activities including the preparation and signing of contracts, request for and disbursement of funds, as well as capacity assessments and training to ensure that the applicants have the required capacities to implement, monitor and report on their activities.

Figure 5: Overview of Contracting, Capacity Assessment, Grants Management Training and Disbursement Processes



It is intended that this part of the process, and hence the commencement of the first ICF funded projects, will occur by 31st March 2009.

5. APPENDICES

The following documents are provided in separate files as appendices to this report:

- Appendix 1) Advert, concept note formats and guidelines
- Appendix 2) Concept Note Log Sheets
- Appendix 3) List of Concept Notes passed to Assessors
- Appendix 4) Concept Note Assessment Sheets and Instructions to External Assessors
- Appendix 5) Assessment Day Reports and Winning Concept Notes
- Appendix 6) Full Technical and Financial Proposal Formats and Guidelines