

Guidelines

Project Funding for International Agricultural Research Centers

December 2009

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A. Framework and Principles

The main objective of the Federal Ministry for Economic Cooperation and Development (BMZ) in funding International Agricultural Research is to provide a strategic instrument for enhancing research on scientific and technological innovations concerning sustainable agricultural development, focusing on the impact of this research on the poor population in developing countries.

Research assistance addresses policy issues, the social, environmental and technological dimensions of research, the training of professionals and the dissemination of information. Funding is provided for the International Agricultural Research Centers supported by the Consultative Group on International Agricultural Research (CGIAR), Challenge Programs and two Non-CG International Agricultural Research Centers (IARC).

Various funding mechanisms are applied, namely (i) Project Funding, (ii) The PostDoc Program, (iii) Integrated Experts and Young Professionals in collaboration with the Centrum fuer Internationale Migration und Entwicklung (CIM), and (iv) The Small Grants Program. The present guidelines are addressing Project Funding only.

B. Objectives, Criteria and Priorities for Project Funding

1. Development Objectives

The Millennium Declaration set forth eight goals to improve the lives of millions throughout the world: End poverty and hunger, universal education, gender equality, child and maternal health, combat HIV/AIDS, environmental sustainability, and global partnership.

The German Federal Government supports these intentions and is aligning its development cooperation with the Millennium Development Goals. In its implementation German development policy is guided by three principles: Reducing poverty - promoting equitable forms of globalization - building peace.

Germany is supporting the international community in its efforts to step up the fight against hunger and poverty. Food security and the promotion of agriculture and rural regions - while at the same time protecting natural resources - is an important goal of German development cooperation.

2. Criteria

Any request for funding is being considered on the basis of scientific and developmental criteria:

- Developmental relevance for food security, reduction of poverty and conservation of natural resources and their use, significance of contribution
- Conformity with the German thematic priorities (see next paragraph)

- Comparative advantage of the applicant and the cooperation partners, qualification of the involved scientists
- Suitability of the methodological approach, originality and innovative quality
- Logic and consistence of design and work plan, availability of logical framework, suitable indicators and milestones, efficiency and effectiveness of planning, feasibility, realism
- Significance of cooperation with partners, competence of cooperation partners, definition of roles and responsibilities of partners, multidisciplinary and interinstitutional character of cooperation
- Involvement of German cooperation partners
- Capacity building in NARS through collaborative research and training, involvement of prospective users and beneficiaries such as farmers, user organizations and CSOs in planning, implementing and evaluating the research (participation)
- Effectiveness of implementation and distribution of methods and research results in developing countries, probability of achieving farm- and household-level impact through demand-driven, gender-specific and problem-solving research approaches
- Adequacy and transparency of budget

Collaborative projects combining the competencies of two Centers complementing one another are particularly welcome. In this case each center submits its own proposal, indicating the collaborative character of the project. The two parts of the project do not have to stand under the same thematic priority.

3. Thematic Priorities

Germany selected its thematic priorities from the 'System Priorities for CGIAR Research 2005-2015' (approved at the Annual General Meeting in 2006). Six system priorities out of 20 were chosen for German project funding. They are listed in the table below using the numbering and wording of the system priorities as referring to the priority areas. In addition a seventh priority has been introduced: **Adaptation of African Agriculture to Climate Change**. Thus Germany intends to meet the urgent demand for adapting African agricultural practices to a changing global climate. Project proposals should establish a clear relation to the objectives and criteria as well as to the thematic priorities. They must indicate their potential for success in research and, if possible, their impact on development. The role of the project in relation to the IARC's existing scientific capacity has to be clarified.

Priority area 1 <i>Sustaining biodiversity for current and future generations</i>		<p>(1b) Promoting conservation and characterization of underutilized plant genetic resources to increase the income of the poor</p> <p>General goal: To conserve and enhance the contribution of under-utilized plant genetic resources (UPGR) to the income, health and nutrition of the poor.</p> <ul style="list-style-type: none"> • Strengthen knowledge of under-utilized plant genetic resources and identify opportunities for their use by the poor. • Germplasm of key under-utilized plant species is collected, conserved and characterized. • Improved processes, institutions, and capacity are developed and promoted to enhance the conservation and use of UPGR for the benefit of the poor.
Priority area 2 <i>Producing more and better food at lower cost through genetic improvements</i>		<p>(2b) Tolerance to selected abiotic stresses</p> <p>General goal: To enhance the tolerance of crop species to selected abiotic stresses and so increase agricultural productivity and reduce risk in unfavorable agricultural environments.</p>
Priority area 3 <i>Reducing rural poverty through agricultural diversification and emerging opportunities for high-value commodities and products</i>		<p>(3a) Increasing income from fruit and vegetables</p> <p>General goal: Improve the income of smallholder producers and consumers through research relevant to major high value fruits and vegetables.</p> <ul style="list-style-type: none"> • Identify key species for research and assess their factor and product markets. • Enhance production of selected fruit and vegetables through improvement of farming systems. <p>(3b) Income increases from livestock</p> <p>General goal: Augmenting the productivity and sustainability of livestock enterprises in developing countries.</p> <ul style="list-style-type: none"> • Opportunities for livestock growth in high potential areas are identified and implemented sustainably. • Management of the intensification in livestock production is improved to limit the negative impacts on the poor and the environment.
Priority area 4 <i>Poverty alleviation and sustainable management of water, land and forest resources</i>		<p>(4a) Integrated land, water and forest management at landscape level</p> <p>General goal: Improved land use practices contribute to increased and sustained productivity, optimal conservation, reduced conflicts and equitable use of land, water and forest resources in multi-use landscapes</p> <ul style="list-style-type: none"> • To develop analytical methods and tools for the management of multiple use landscapes with a focus on sustainable productivity enhancement. • To enhance the management of landscapes through changing stakeholder awareness and capacity for social-ecological planning at landscape and farm levels. • Establish effective rights and opportunities to ensure that the poor benefit equitably from forests and tree resources. • Optimize long-term productive use of water resources in river basins. • Creating multiple benefits and improved governance of environmental resources through the harmonization of inter-sectoral policies and institutions.
Priority area 5 <i>Improving policies and facilitating institutional innovation to support sustainable reduction of poverty and hunger</i>		<p>(5c) Rural institutions and their governance</p> <p>General goal: Enhance the role that rural organizations and innovative institutional partnerships play in maximizing impact from agricultural research and in creating marketing platforms for smallholder producers.</p> <ul style="list-style-type: none"> • Identify mechanisms for the strengthening of producers' organizations and for modes of participatory research. • Identify new forms of partnership with NARS, the private sector, public extension agencies, NGOs and producers' organisations, and public agencies from other sectors, such as environment and health to enhance the conduct and impact from agricultural research.

C. Procedures

CGIAR Centers, Challenge Programs (CP)¹ and two Non-CG-Centers² are invited to submit proposals until March 31st of each year latest (one proposal per center and CP). Within the months following review teams will discuss the submitted proposals and inform GTZ/BEAF of their recommendation. After the funding decision of BMZ, centers are notified by mid-October. If necessary, GTZ/BEAF requests revisions of proposals and budgets. Revised versions should be submitted until the end of November. A contract will be drawn between GTZ and the center by January. The budget will be specified as part of contractual arrangements between GTZ and the individual center (see Annex 4).

Detailed instructions for the elaboration of proposals are set forth in annex 1. The upper limit for funding is Euro 1.2 million (including indirect costs) for three years. All applications should be sent accompanied by a cover letter from the Center's Director General to petra.geissinger@gtz.de (electronic filing will suffice, hard copies are not necessary).

D. Intellectual Property Rights, Biosafety and Genetic Engineering

As a matter of principle, research results and products are considered to be the property of the public domain. The IARC is required to indicate anticipated patentable research results in the proposal for project funding and to take the necessary steps to avoid results being used by third parties in order to obtain patent registration. If a project is approved the IARC is in charge of publishing the research results as soon as they have been generated, especially if such research and developmental achievements appear likely to meet the patentability requirements of novelty, inventiveness and industrial applicability (non-obviousness and utility, respectively), in order to ensure their handling as part of the public domain by such third parties.

In those cases in which techniques or products of a proprietary nature are being used in the research, any arrangements with the owner of the patent regarding the use of the research product by the Center's target group should be indicated. In regard to the exchange of germplasm the Centers recognize the authority of the Governing Body of the International Treaty on Plant Genetic Resources for Food and Agriculture ('The Treaty') to provide policy guidance relating to their *ex situ* collections. All shipments will be accompanied by the Standard Material Transfer Agreement (SMTA) adopted by the Governing Body of the Treaty at its First Session in June 2006.

¹ Currently we are inviting the Challenge Programs 'Water and Food' and 'Sub-Saharan Africa'

² ICIPE and World Vegetable Center

In regard to experiments that involve genetic engineering and/or require biosafety considerations, IARCs must have an established internal policy abiding by international standards and national regulatory requirements. Institutional biosafety guidelines must be operational, including defined minimum qualification requirements for the biosafety officers and project leaders assigned to survey activities involving the handling of genetically engineered or potentially hazardous living organisms.

E. Indication of German Support in Publications

Scientific and other material published as a result of German funding must indicate the Federal Republic of Germany as donor. Regardless of whether the funds were made available by BMZ directly or through GTZ on behalf of the BMZ, funding should be acknowledged as "Funded by the Federal Ministry for Economic Cooperation and Development, Germany". More information and templates for logos can be requested by sending an e-mail to petra.geissinger@gtz.de.

F. Reporting

Reporting is a key instrument for assessing German support for International Agricultural Research, which reflects the criteria listed in section B. The IARC is therefore required to document all relevant knowledge gained during project implementation in a final report. In addition progress reports should be presented in form of an executive summary. Their objective is to present both major results achieved and also limitations encountered.

Reports are to be presented in English. Progress reports are requested annually (see Annex 2) The final report is to be submitted after the end of the funding period (see Annex 3). Reports have to be submitted by e-mail to judith.jansen@gtz.de.

The instructions for preparing the reports are outlined in annexes 2 and 3. Progress reports should not exceed six pages; final reports should not exceed 20 pages. The format for final reports may be adapted to the center's internal management format for monitoring projects.

Annex 1: Preparing Proposals for Project Funding

The proposal is to be based on the objectives, criteria and priorities for project funding as outlined under section B. It should allow for a comprehensive peer review of the project including the work plan and methodology.

Proposals should not exceed 15 pages (including the budget). An annex may be added. The summary should not exceed three pages. The characters should be at least font size 11 in Arial or 12 in Times New Roman.

Structure of Proposal

1. Project summary

- 1.1 The IARC applicant (abbreviation of the center's name, address not necessary)
- 1.2 Project title
- 1.3 Budget requested from GTZ/BMZ (in Euro) and project duration
- 1.4 Project description (Briefly describe the project. State goal, purpose and outputs according to logframe system. Name the countries where the project will be carried out.)
- 1.5 Project justification
- 1.6 Expected uses and users of research results
- 1.7 Research methodology and procedure
- 1.8 Conclusions of completed activities
- 1.9 Stakeholders
- 1.10 Project coordinator
- 1.11 Collaborating institutions and staff, including NARS
- 1.12 Cooperation with German research institution (if applicable, name institution, contact, e-mail address and field of cooperation)
- 1.13 Major research domains (only key words) and positioning of the project within German thematic funding priorities
- 1.14 Positioning of the project on the research-development continuum
- 1.15 Budget summary (allocation of funding according to budget lines and collaborators)

2. Background

This section should provide sound justification for the research and supply information of the possible impact on beneficiaries as follows:

- Analysis of the developmental problem within the political, economic, social and cultural framework
- Explanation of how the problems of the beneficiaries have contributed to formulating the research proposal

- Analysis of relevant current research and review of literature (research and methodology)
- Summary of conclusions from completed and ongoing activities (IARC and collaborating institutions) for the proposed research (publications have to be quoted)
- Identification of the project in relation to the IARC's core projects or programs; specific links and expected contribution to the goals of the approved medium-term plan (e.g. chart)
- Expected use and users of research results and contribution towards solving the developmental problem
- Mode of dissemination of research results
- Expected benefits of the project for NARS

3. Project Description and Workplan

The goal, purpose, outputs, milestones, activities and indicators should be stated. A logical framework in form of a chart should be attached. Collaborating research partners and users of research results should participate in the elaboration. The logical framework approach should be applied when describing the project:

- Goal:
Direct benefits for target groups
- Purpose:
Intended utilization of outputs by recipients/direct clients.
- Outputs:
Products (tangible/intangible) delivered by the project, which the Center is responsible for, even though it might not implement all the work.
- Milestones
- Activities:
Tasks undertaken in order to produce research outputs
- Indicators:
Performance standards with observable characteristics, which permit the monitoring of the achievement of outputs, purpose and goal.
- Identification of target groups (users, beneficiaries)

The work program is to be outlined in detail. The following points should be addressed:

- Description of the scientific approach (research methodology and procedure) and of the activities undertaken to achieve the outputs
- Identification of all inputs, including project staffing requirements, based on their duties
- Roles and responsibilities of the collaborating institutions/partners during implementation (IARC, NARS, ARO), specifying operational and technical aspects
- Provisions to manage the progress and focus of research, including type of documentation available upon completion of project and mechanisms for disseminating results to target groups

4. Probability of Success

Statement on assumptions as well as risks; an assessment of limitations or potential to complete the project successfully.

5. Training and Scientific Interaction

Rationale and specification of training activities and their relation to the purpose and outputs of the project (e.g. on-the-job training for NARS professionals, workshop(s), degree-related training).

6. Intellectual Property Rights, Biosafety and Genetic Engineering

Results and products of research are considered public goods; the IARC is required to indicate if patentable results are expected and to ensure that third parties do not use results to claim patent rights for themselves.

Genetic engineering/biotechnology research requires that the IARC's policy and procedures on biosafety are in accordance with international standards and strictly follow the national regulations of the target countries (for details see section D on page 7).

7. References

8. Budget (in Euro)

Figures have to indicate the specific budget requested (max. EUR 1.2 million, including indirect costs³) as well as the input by the IARC and other donors if applicable (very right two columns on page 4 of the Excel document). A detailed breakdown must be given in regard to item, year, IARC and partners. All budget items should be clearly justified by the workplan. The following table shows an exemplary page 4 of the budget. For your project proposal please try to use the attached Excel spreadsheet or make sure that the form you use follows the procedure of GTZ/BMZ. The Excel spreadsheet consists of four pages, one for each year and one summary page.

Please submit printable budget spreadsheets in pdf form as well as in open Word/Excel form.

³ GTZ is allowed to fund an indirect cost rate corresponding to the audited rate of the center's financial statement, but should not exceed 20 percent.

Table 1: Budget table

Expenditure (Euro)	Unit	Rate /...	GRAND TOTAL FROM BMZ							Contribution from IARC	Contribution from other sponsors
			Year 1 - 3								
			IARC	German Partner	...	NARS Partner	...	Other Institution	...		
Personnel	p/m										
•											
•											
•											
Subtotal											
Supplies & Operations											
•											
•											
•											
Subtotal											
Equipment	n°										
•											
•											
•											
Subtotal											
Training / Workshops	events										
•											
•											
•											
Subtotal											
International Travel	trips										
•											
•											
•											
Subtotal											
Publications	docum.										
•											
•											
•											
Subtotal											
Other Expenses/Misc											
•											
•											
•											
Subtotal											
Indirect Costs											
TOTAL											

Annex 2: Structure of Progress Reports

To be submitted by the end of February of each year for the previous calendar year to judith.jansen@gtz.de. The progress report should not exceed six pages.

1. Name of IARC

Full name and abbreviation (address not necessary).

2. Project Title

*Quote the project title given in the proposal (long **and** short version if applicable).*

3. GTZ Project Number and Contract Number

Usually a 12-digit format <00.0000.0-000.00> and an 8-digit format <00000000>.

4. Reporting Period

Usually the calendar year.

5. Project Coordinator and Project Scientists

Name the project coordinator stating his/her full name, address, phone number, e-mail address. Name the principal staff members participating in the project (address not necessary).

6. Collaborating Institutions and Staff including NARS and German Partners

State the full names of the institutions and main staff members involved in the project (addresses not necessary).

7. Project Description

Briefly describe the project by stating its goal, purpose and outputs. This section may be copied from the full proposal; subsequent changes must be clearly indicated.

8. Activities Completed

Briefly describe the activities carried out during the reporting period, including any unplanned activities.

9. Achievements and Limitations

Summarize the results of ongoing activities; highlight important achievements, methodological breakthroughs, experiences and major limitations of project implementation, unexpected side-effects of project activities; report on the use of results by other scientists, projects and beneficiaries; report on feedback from users regarding interim results and implications for NARS and AROs. If objectives, outputs or indicators could not be achieved, please state reasons why.

10. Conclusions for the following Reporting Period

State whether outputs are still relevant and achievable, point out issues which require adjustment of the work-plan, including comments from in-house peer reviews and/or validation of progress by peers. Draw conclusions for the further implementation of the project.

11. Publications, Papers and Reports

List all relevant documents, which constitute new products of the present project since the last progress report. Please forward copies of the publications, papers and reports to the GTZ.

Annex 3: Structure of Final Reports

To be submitted not later than 5 months after conclusion of the project to judith.jansen@gtz.de. The final report should not exceed 20 pages. Detailed research reports should be added in the form of annexes.

1. Name of IARC

Full name and abbreviation (address not necessary).

2. Project Title

Quote the project title given in the proposal (long and short version if applicable).

3. GTZ Project Number and Contract Number

Usually a 12-digit format <00.0000.0-000.00> and a 8-digit format<00000000>.

4. Reporting Period

Months and calendar years, project phase (in case of a second phase or extension).

5. Project Coordinator and Project Scientists

Name the project coordinator stating his/her full name, address, phone number, e-mail address. State the names of the principal staff members who have participated in the project (addresses not necessary).

6. Collaborating Institutions and Staff including NARS and German Partners

State the full names of the institutions and main staff members involved in the project (addresses not necessary).

7. Project Description

State the project goal, purpose, outputs (summarize if necessary) and indicators as given in the project proposal. Subsequent changes must be clearly indicated.

8. Major Research Findings

Highlight important achievements: technologies and products developed and new or improved research methodologies. Compare the planned outputs with the actual achievements (auto-evaluation). Give reasons why certain outputs could not be achieved. What has been done to overcome limitations or unexpected problems? Detailed research reports should be added in the form of annexes.

9. Assessment of Research Findings

Describe possible implications for the research institute, the collaborating NARS and (German) partners. Implications for potential users of research products such as farmers, agri-

business, extension services, development projects and implications on the policy level (legislation, safety regulations) should also be mentioned.

10. Knowledge Transfer

Describe what has been done and what still needs to be done to ensure that the research findings (products and research methodologies) will be used and/or further developed by the various users groups, such as research institutes (IARC, NARS, ARO), extension and training institutions, farmers, agribusiness, policy makers.

11. Training

Describe the formal training and on-the-job-training provided during the project phase. Name individuals trained and, where applicable, the grades obtained. Assess the success of the training, if applicable.

12. Lessons Learned

State a brief description of lessons learned (as far as they are not already part of the implications), referring to the planning of the research project, the execution of the workplan, the collaboration with the various partners and the training events. State reasons for any success and failure.

13. Future Research Needs

Give a brief description of the research needs (gaps of knowledge) identified, which could not be directly addressed during the project phase. These may be research methods, which need refinement or new questions raised by potential users of the (planned) research findings.

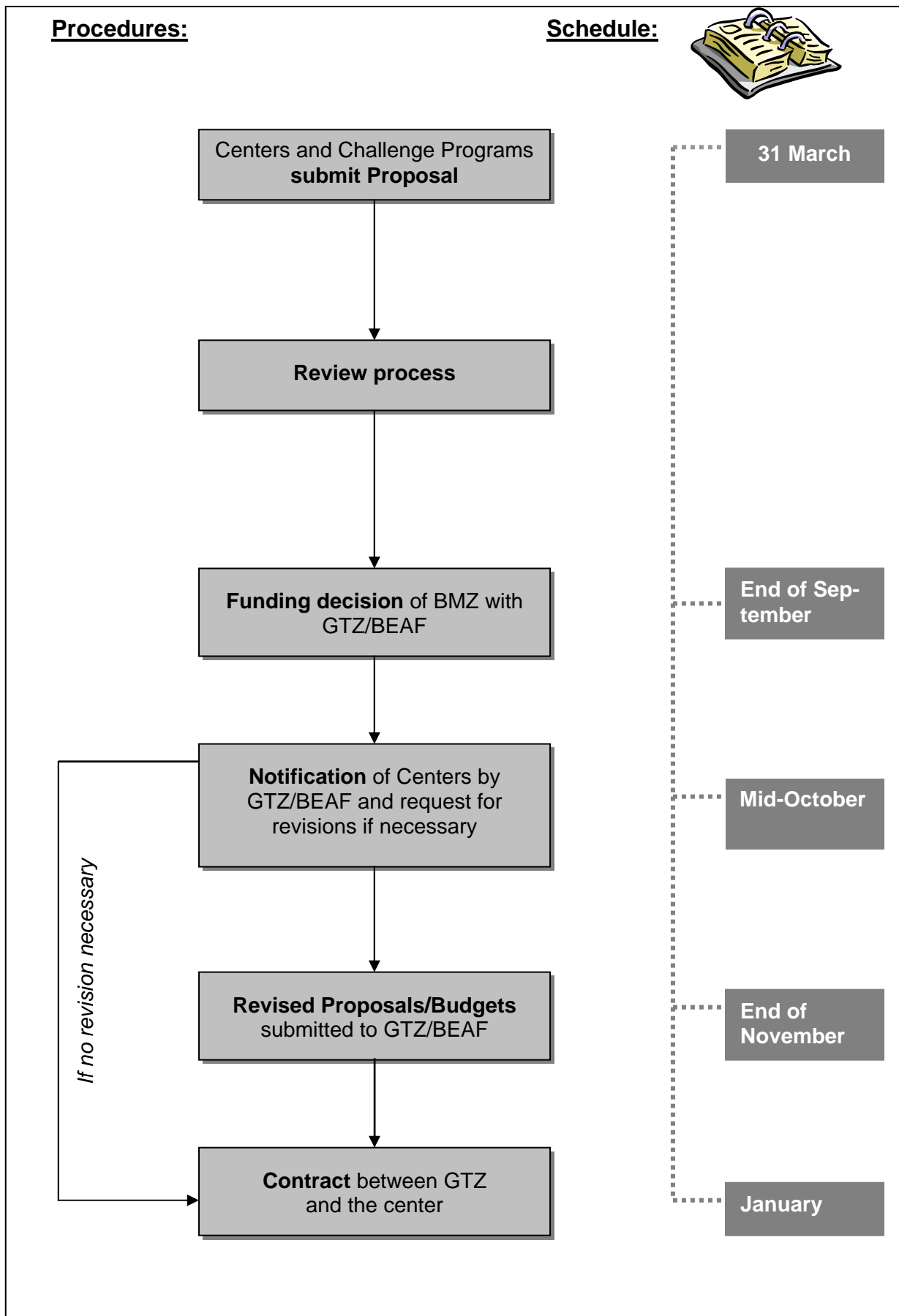
14. Summary

Summarize the main results of the project on one page.

15. Publications, Papers and Reports

List all relevant documents, which have been published during the project phase. Please send copies of any publications, papers and reports, which have not yet been filed accompanied by the progress reports to the GTZ.

Annex 4: Flow Chart for Review Process



Annex 5: Acronyms

ARO	Advanced Research Organisation
BEAF	Beratungsgruppe Entwicklungsorientierte Agrarforschung (Advisory Service on Agricultural Research for Development, a GTZ service unit)
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Cooperation and Development)
CGIAR	Consultative Group on International Agricultural Research
CIM	Centrum für internationale Migration und Entwicklung
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH
IARC	International Agricultural Research Center (includes CGIAR as well as some other international Centers funded by the BMZ)
NARS	National Agricultural Research System
NGO	Non-Governmental Organization
CSO	Civil Society Organization
UPGR	Under-utilized plant genetic resources

Annex 6: Contacts and addresses for proposals and reports

Federal Ministry for Economic Cooperation and Development (BMZ)

Division 314, Rural development; global food security

Postfach 120322 53045 Bonn - Germany

Head of Division: **Dr. Stefan Schmitz**

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General questions:

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Contractual questions and financial statements:

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Our website is www.gtz.de/agricultural-research