

Guidelines

Small Grants for International Agricultural Research

December 2009

A. General Remarks

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 what impact research has on the poor populations in developing countries.

Research support 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), and – in the Small Grants Program – German agricultural research institutions.

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

The present guidelines are addressing **Small Grants only**.

The **Small Grants Program** is aiming at:

- Funding **innovative projects** with high potential for development impact,
- Promoting the development of **new research partnerships** between German agricultural research institutions and International Agricultural Research Centers,
- Providing German agricultural research institutions with funding to initiate, prepare or plan cooperation with International Agricultural Research Centers (seed money).

B. General Criteria

- Proposals should clearly state that the research approach is **particularly innovative**, e.g. new technologies, products, benefits, results, or new delivery methods and services.
- Other criteria and the development objectives as stated in the guidelines for 'project funding' also apply to the Small Grants Program.
- Proposals may stem from the six thematic priorities for German project funding, but are not limited to those (see Annex 5).
- **New partnerships** are particularly encouraged.

Additional criteria for international applicants listed in (C.1) below

- Cooperation with a German research institute; a letter of intent from the German partner institute must be submitted together with the proposal.
- The project coordinator should be a German citizen, preferably funded through BEAF's Post-Doc Program or through an arrangement with the Centrum für Internationale Migration und Entwicklung (CIM).

Additional criteria for German Research Institutes applying

- Cooperation with at least one of the units listed in (C.1) below; a letter of intent from the international partner institute must be submitted together with the proposal.

Whether or not a project proposal is particularly innovative or involves a new partnership is at the discretion of BEAF.

C. Procedures

Only one proposal per call should be submitted for each applicant (the International Center or the German Institute) by the due date **August 31**. All required documents (proposal, budget table, cover letter, letter of intent of partner institute) must be submitted no later than 15:00 h Central European Time (CET). Applications that are incomplete or received after the deadline will not be reviewed.

There are two groups of eligible applicants:

1. All CGIAR Centers, the Water and Food Challenge Program, the Sub-Saharan Africa Challenge Program, ICIPE and AVRDC - The World Vegetable Center.
2. German research institutes in the area of agriculture, forestry, nutrition, fishery, veterinary science, as well as other disciplines geared towards development in the tropics and subtropics and countries in transition.

All proposals will be assessed according to the criteria mentioned above. The decision about funding is made by the Ministry for Economic Cooperation and Development (BMZ). GTZ / BEAF will inform applicants about the decision and in case of approval will conclude a contract between GTZ and the applicant, with the budget being part of contractual arrangements.

Detailed instructions for the format of proposals are set forth in Annex 1.

The maximum amount of funding for a Small Grant Project is

EUR 60,000 (including indirect costs)

for a period of one, to a maximum of two years. A second phase is not available.

All applications should be sent by email with a cover letter from the Center's Director General or the Director of the German research institution to Petra.Geissinger@gtz.de. A letter of intent from the partner institute must be submitted along with the proposal.

D. Reporting

A short progress report as electronic version shall be submitted by the end of February of each year for the previous calendar year to Judith.Jansen@gtz.de:

The instructions for preparing the progress report are outlined in Annex 2.

A final report in English shall be submitted after the end of the funding period to Judith.Jansen@gtz.de.

The instructions for preparing the final report are outlined in Annex 3. The report should not exceed 20 pages.

Annex 1: Preparing Proposals for Small Grants

Proposals should not exceed 3 text pages and 1 page for the budget. The characters should not be smaller than 11 points for Arial or 12 points for Times New Roman.

Structure

1. The IARC or the German Institute Applicant

Abbreviation of the International Agricultural Research Center's name (address is not necessary)

or

Name and full contact details of the German Research Institute

2. Project Title

3. Total Budget and Budget Requested from the BMZ and Project Duration (preferred funding period)

Please indicate in Euro (€); the maximum project duration is 2 years.

4. Project Description and Workplan

Briefly describe the project, its justification and the relevance for the center's or the institute's program.

Please state goal, purpose and outputs according to logframe system.

Name the countries where the project is carried out.

5. Major Research Domains

Only keywords

6. Project Coordinator

7. Cooperation with German Research Institution

or

Cooperation with International Agricultural Research Center

Name the institution, contact, address, e-mail and area of cooperation.

Please add a letter of intent of the respective institution(s)

8. Budget (in Euro)

For your project proposal please use the Excel table available on our website:

www.gtz.de/agricultural-research > Further information > Project Information > Guidelines for Funding > en-beaf-bmz-budget-planning-small-grants.zip. Please note that funding is provided only for a maximum of 2 years.

Please submit printable budget tables as pdf-file as well as open Excel-files. Figures are to indicate the specific budget requested (max. EUR 60.000, including indirect costs¹) as well as the input by the center or institute and other donors if applicable (last two columns on the Excel sheet). A detailed breakdown must be given according to item, year, institute and partners. All budget items should be clearly justified by the work-plan.

¹ GTZ is allowed to fund an indirect cost rate corresponding to the audited rate of the center's financial statement, but it should not exceed 20 percent. The maximum rate for German institutes is 11%.

Annex 2: Structure of Progress Reports

To be submitted electronically 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 (Leading Scientist) and PostDoc

Name the project coordinator stating his/her full name, address, telephone no., and e-mail.

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 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 Constraints

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 adjustments 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 send electronic versions of any publications, papers and reports to judith.jansen@gtz.de

Annex 3: Structure of Final Reports

To be submitted at the latest 3 months subsequent to termination of the project to judith.jansen@gtz.de. The final report should not exceed 20 pages. Detailed research reports should be added as annexes.

1. Name of IARC or German research institute

Abbreviation of the International Agricultural Research Center's name (address is not necessary)

or

Name and full contact details of the German research institute (with address)

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

Months and calendar years

5. Project Coordinator

Name the project coordinator stating full address, telephone no., and e-mail.

6. Collaborating Institutions and Staff including IARC, German Partners and NARS

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

7. Project Description

Insert here the project goal, purpose, outputs (summarise 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 constraints or unexpected problems?

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

10. Know-How 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 (if applicable)

12. Lessons Learned

Give a brief description of lessons learned (as far as these are not already part of the implications), referring to the planning of the research project, the execution of the work-plan, the collaboration with the various partners, and the training events. State reasons for success and failures.

13. Future Research Needs

Give a brief description of the research needs (gaps of knowledge) identified and 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. Publications, Papers and Reports

List under this item 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 sent together with the progress reports to the GTZ.

Annex 4: Contacts

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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Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH

Advisory Service on Agricultural Research for Development (BEAF)

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General questions:

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Dr. Michael Bosch

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Dr. Kerstin Silvestre Garcia

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Tel.: +49 228 24934 252 Fax: +49 228 24934 215

Contractual questions and financial statements:

Mr. Marc Witzel

E-mail: marc.witzel@gtz.de

Tel.: +49 6196 79 3009 Fax: +49 6196 79 3009

Questions on proposals, progress and final reports:

Ms. Petra Geissinger

E-mail: petra.geissinger@gtz.de

Tel.: +49 6196 79 3347 Fax: +49 6196 79 7137

Ms. Judith Jansen

E-mail: judith.jansen@gtz.de

Tel.: +49 228 24934 231 Fax: +49 228 24934 215

Contacts of German partner institutes and general scientific questions:

Dr. Marlene Diekmann

E-mail: marlene.diekmann@gtz.de

Tel.: +49 228 **24934 212** Fax: +49 228 **24934 215**

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

Annex 5: Research Priorities

<p>Priority area 1</p>	<p><i>Sustaining biodiversity for current and future generations</i></p>	<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.
<p>Priority area 2</p>	<p><i>Producing more and better food at lower cost through genetic improvements</i></p>	<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>
<p>Priority area 3</p>	<p><i>Reducing rural poverty through agricultural diversification and emerging opportunities for high-value commodities and products</i></p>	<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.
<p>Priority area 5</p>	<p><i>Poverty alleviation and sustainable management of water, land and forest resources</i></p>	<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.
<p>Priority area 5</p>	<p><i>Improving policies and facilitating institutional innovation to support sustainable reduction of poverty and hunger</i></p>	<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.