Guidelines

Project Funding for International Agricultural Research Centers

Valid as of 2020
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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 for Development is to provide a strategic instrument for enhancing research in organizational, methodological and technical innovations concerning sustainable agricultural development, focusing on the impact of this research on the poor population in developing countries.

Research support addresses policy issues, the social, environmental and technological dimensions of research, the training of professionals and the out- and upscaling of research findings. Funding is provided to the CGIAR Research Centers and to icipe and The World Vegetable Center. In the following text, the 17 institutes referred to as ‘International Agricultural Research Centers (IARCs)’.

Various funding mechanisms for IARCs are applied.

The present guidelines are addressing Project Funding only.

In 2019, BEAF has implemented a new database combined with online forms for applications, reviews and project reports. Access to database forms is only possible by permission through BEAF to a limited extent. The digital application is called “ARGon”.

Applicants find detailed instructions about the content to be entered into the online-form item per item in ARGon.

B. Development Objectives

From the outset, international agricultural research’s main purpose was to achieve development outcomes. The new Strategy and Results Framework (SRF) of the CGIAR sets ambitious targets to be achieved until 2030 in the fields of poverty reduction, food and nutrition security and health and natural resource management. Germany’s support to the CGIAR is closely aligned with the SRF. Projects financed by the German Government have to make a clear contribution to the delivery of the SRF targets, along the research-for-development (R4D) continuum. In order to contribute to development outcomes at scale, a close link between research and agricultural practice is needed, as are realistic impact pathways including plausible explanations of expected impacts.
Proposed projects have to be part of one of the approved CGIAR Research Programs and need to be aligned to one or maximum two of the CRPs Flagship Projects (by ranking). Applications need to provide for a clear and quantifiable contribution to the three SRF outcome targets for 2022, Germany is focusing its support on:

**SRF Targets (2022)**

1. **100 million more farm households have adopted improved varieties, breeds or trees, and/or improved management practices**
2. **30 million people, of which 50% are women, assisted to exit poverty**
3. **Improve the rate of yield increase for major food staples from current <1% to 1.2-1.5%/year**
4. **30 million more people, of which 50% are women, meeting minimum dietary energy requirements**
5. **150 million more people, of which 50% are women, without deficiencies of one or more of the following essential micronutrients: iron, zinc, iodine, vitamin A, folate, and vitamin B12**

**BMZ Investment Model Outcome Targets (2022)**

1. By 2022, 1,440,000 smallholder households have adopted technologies developed by international agricultural research centers.
2. By 2022, 1,440,000 people, of these 50% women, consume healthy and nutritious food developed by international agricultural research centers.
3. By 2022, on 1,582,000 ha sustainable land management practices designed by international agricultural research centers are applied.
Below is the set of the second generation of CGIAR Research Programs (CRPs) and Flagships. 55 Flagships will be supported by BMZ. The ones marked red cannot be funded (Fish FP 3, Maize FP 5, GLDC FP 2). Projects have to contribute to one or a maximum of two flagship(s) of one of the twelve CRPs. As the CRPs are covering a wide range of research, WorldVeg and icipe are expected to submit proposals that will fit under this umbrella.

<table>
<thead>
<tr>
<th>Fish</th>
<th>FTA</th>
<th>Livestock</th>
<th>Maize</th>
<th>Rice</th>
<th>RTB</th>
<th>Wheat</th>
<th>A4NH</th>
<th>CCAFS</th>
<th>PIM</th>
<th>WLE</th>
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<tr>
<td>FP1: Sustainabl e aquacul ture</td>
<td>FP1: Tree genetic resources to bridge production gaps and promote resilience</td>
<td>FP1: Livestock genetics</td>
<td>FP1: MAIZE’s R4D strategy for impact</td>
<td>FP1: Enhanced genetic resources</td>
<td>FP1: Enhancing WHEAT’s R4D strategy for impact</td>
<td>FP1: Food systems for healthier diets</td>
<td>FP1: Priorities and Policies for CSA</td>
<td>FP1: Technological Innovation and Sustainable Intensification</td>
<td>FP1: Restoring degraded landscapes</td>
<td>FP1: Priority Setting and Impact Acceleration</td>
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<td>FP2: Fish in multifunctional landscapes</td>
<td>FP2: Enhancing how trees and forests contribute to smallholder livelihoods</td>
<td>FP2: Livestock health</td>
<td>FP2: Novel diversity and tools for increasing genetic gains</td>
<td>FP2: Upgrading rice value chains</td>
<td>FP2: Novel diversity and tools for improving genetic gains and breeding efficiency</td>
<td>FP2: Biostandards (BF)</td>
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<td>FP3: Enhancing the contribution of fish to nutrition and health of the poor</td>
<td>FP3: Sustainable global value chains and investments for supporting forest conservation and equitable development</td>
<td>FP3: Livestock feeds and forages</td>
<td>FP3: Stress tolerant and nutritious maize</td>
<td>FP3: Resilient RTB crops</td>
<td>FP3: Better varieties reach farmers faster</td>
<td>FP3: Low emissions development</td>
<td>FP3: Inclusive and Efficient Value Chains</td>
<td>FP3: Sustaining rural-urban linkages</td>
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<td>FP4: Landscape dynamics, productivity and resilience</td>
<td>FP4: Livestock and the environment</td>
<td>FP4: Sustainable intensification of maize-based systems for improved smallholder livelihoods</td>
<td>FP4: Global Rice Array</td>
<td>FP4: Nutritious RTB food and value-added through post-harvest innovation</td>
<td>FP4: Sustainable intensification of wheat-based farming systems</td>
<td>FP4: Supporting Policies, Programs, and Enabling Action through Research (SPEAR)</td>
<td>FP4: Climate Services and Safety Nets</td>
<td>FP4: Managing resource variability, risk, and competing uses for increased resilience</td>
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<td>FP5: Climate change mitigation and adaptation opportunities in forests, trees and agroforestry</td>
<td>FP5: Livestock livelihoods and agro-food systems</td>
<td>FP5: Adding value to maize producers, processors and consumers</td>
<td>FP5: New rice varieties</td>
<td>FP5: Improved livelihoods at scale</td>
<td>FP5: Improving human health</td>
<td>FP5: Governance of Natural Resources</td>
<td>FP5: Enhancing sustainability across agricultural systems</td>
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<td>FP6: Cross-cutting Gender Research and Coordination</td>
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-- not part of the portfolio
C. Criteria of BMZ Project Funding along the R4D Continuum

In order to make outcome-oriented investments in international agricultural research that is making a meaningful contribution to the development targets specified in the SRF until 2022, BMZ is using an investment model since 2016. The research-for-development process is structured into four distinct stages which constitute the R4D continuum: discovery, proof of concept, piloting, and scaling.

General assumptions of the R4D Continuum:

- R4D activities move from one stage to the subsequent one within a given period of time.
- One project-funding grant (with a duration of three years) should cover at least one but not more than two consecutive stages.
- R4D activities progress through the continuum and finally contribute to outcomes at scale by integrating the appropriate set of partners.

Moreover, to support that model BMZ/GIZ may invite already funded projects that successfully conclude activities in a given stage and are of high potential for achieving success in the subsequent stage, to a follow-up phase. This invitation is based on assessments after year 2 of project implementation. Projects that receive such an invitation may submit a proposal for a follow-up phase (“Phase 2 Project” proposal) in addition to the usual “open call” proposal submission of the respective center. In case that a follow-up phase is granted, this second phase shall start after the conclusion of the preceding project phase. This follow-up phase system came into effect first in 2019 (i.e. it applied for projects funded under the 2016 call for proposals, starting in 2017). In 2020, it applies for projects funded under the 2017 call for proposals, starting in 2018. Application guidelines and access to online-templates for such a Phase 2 Project proposal will be provided upon invitation.

C.1 Criteria Ranges (R4D Continuum)

The five guiding criteria of the R4D continuum (beneficiaries, research to product, partnerships, outreach, funding) shall be understood as cross-cutting criteria to be addressed coherently in multiple sections throughout the online form.
(A) Beneficiaries
The SRF sets ambitious targets in terms of beneficiaries (smallholder households and the rural, impoverished population in the developing world in general) of CGIAR research and their partners until 2022 and beyond. Most of the targets directly (and quantifiably) address farm households and individuals (with an emphasis on women), having adopted innovations or meeting multiple dietary requirements respectively. In general, beneficiaries can therefore be understood as the end-users of a product or service of research (i.e. adoption) and/or concretely benefitting from such an end-use in terms of food and nutrition security, as well as income (i.e. exit poverty). For simplicity, contributions to BMZ Outcome target 3 (relating to SLO 3) while addressing hectares of land/forest under sustainable management, are also designated as “beneficiaries”.

For the CGIAR and its partners to achieve these ambitious target figures, it is important that activities progressing through the R4D continuum finally provide products, services and their direct positive effects to thousands of beneficiaries – and are able to substantiate this later. The investment model implies that projects in the early stages of research have yet to develop, test, adapt and proof innovations to a point where these are scaling ready, and can thus contribute to BMZ outcome targets / SRF targets. However, it is crucial that also these projects clearly focus on and are designed in a way to finally provide thousands of beneficiaries with innovations and their benefits.

It is acknowledged that not all beneficiaries reached directly or indirectly by the project during its duration by/with its activities and products/services, will finally and effectively adopt the final products. Therefore, proposed projects shall signpost a sound design and impact pathway and provide tangible, quantified figures and demonstrate later (1) how many beneficiaries have actually been reached, and (2) how many beneficiaries have effectively adopted the innovation by an outcome-oriented monitoring and evaluation according to the R4D continuum phase (please see also section C.2. for specific requirements).

(B) Research to Product
It is acknowledged that research for development, as any other research, is an open-ended process (that may also lead to negative results or failure). However, in case R4D activities successfully progress from one stage to a subsequent one, it is assumed that research outputs are finally transformed into tangible products or services that benefit people at a large scale.

Therefore, it is of utmost importance to assure that products and services generated by R4D are actually applicable for end-users – which also implies that they are affordable and profitable and consider the adoption requirements of the end-users. In this sense, products and services are understood in a broader sense and can also include capacities, knowledge forms, new approaches etc., conducted with consideration of the complexity in every single system.

**C) Partnerships**

For relevant products or services for end-users, it is crucial to engage and cooperate with appropriate partners – ideally from the very beginning. Partners are clustered here into two groups: “science partners” and (non-science) “implementation partners”. The latter are for instance development organizations, farmer organizations, policy makers, the private sector, non-governmental or civil society organizations etc. The right set of partners depends on the type of beneficiaries being targeted and the product or service that is developed. A late integration of implementation partners in the research process may negatively influence the chances of adoption of research products. It is acknowledged that the adoption of products and services by people at scale is beyond the control of research alone. In order to bring research products into practice and to contribute to development outcomes at scale, close cooperation in the sense of co-design and co-implementation between research and development partners is necessary. Using the BMZ grants and other modalities, manifold research-for-development partnerships were established over the recent years between German Development Cooperation and international agricultural research. In order to strengthen these partnerships, this call contains potential research-for-development themes that could be tackled in partnership between IAFs and GIZ programs of the Green Innovation Centers for the Agriculture and Food Sectors. A list of potential themes is attached as annex to these guidelines. In case that centers are interested to engage in a joint research-for-development activity, please contact the stated responsible person or your respective center focal point at BEAF. Please consider that no funds from BMZ grants can transferred to GIZ programs, while in-kind contributions from GIZ programs are welcome.
**D) Communication of Research Results**

The term “communication” includes scientific communication as well as communication measures for end-users. While it is acknowledged that scientific communication in the form of peer-reviewed publications is crucial for scientific work and an important factor of quality control, it is assumed that peer-reviewed publications dominate in the early stages of the R4D continuum. In the later stages however, it becomes increasingly important to focus on communication measures that translate scientific knowledge into local context and knowledge systems (“people products”). Nevertheless, peer-reviewed publications can also be part of later stages of the continuum for instance when analyzing outreach and adoption patterns or the “science of scaling”.

**E) Funding**

As research for development activities progress along the continuum, it is necessary to increasingly integrate implementation partners to improve overall outcome achievements. Three different scenarios (or a combination of them) of financing partner activities may apply: (1) part of the funding provided by the BMZ grant itself is allocated to implementation partners, (2) implementation partners provide contributions to the project activities by themselves (monetary or in-kind), or (3) additional co-funding on top of the grant is secured. Yet applicants especially in later stages of the continuum need to clearly demonstrate the comparative advantage of the chosen partnership and justify why their choice of budget allocation to partners/amount of co-funding and partner contribution is adequate for the proposed implementation/scaling activities.

**C.2 General Criteria**

**1) Research Design, Methodology and Consistency**

The proposal has to demonstrate why and how the proposed activities lead in an effective way to their expected results (being relevant, credible and legitimate). Therefore, the applicant shall clearly explain the scientific rationale, research questions and methods, giving confidence that research findings will be novel/address a specific gap, robust and scientifically trustworthy. This includes a clear demonstration that methods used and the capability of the research team and involved partners are fit for purpose. Participatory and demand-driven research approaches shall be used and good scientific practice observed.

Furthermore, clear definitions/identifications of the beneficiaries and intermediaries (e.g. farming households, consumers, user organizations, CBOs, policy makers etc.) must be provided, as well as a clear and concrete articulation of the demand for this project. It shall demonstrate the importance, significance and usefulness of objectives, processes and findings to the specific problem context and target group/beneficiaries. In case that regional and country-strategies in the envisaged research topic
exist, they have to be considered and mentioned in the proposal. Specifically for scaling activities, an adequate alignment with these partner and stakeholder priorities and strategies is expected.

The comparative advantage, mandate and capacity of the applicant as well as project partners must be demonstrated. A letter of intent of each project partner involved has to be submitted (as upload in ARGon) and must declare clearly the expertise, contribution and the taken tasks to achieve the project objectives (details please see section D.).

(2) Impact Pathway, Monitoring and Evaluation

As mentioned, applications for project funding need to provide a detailed impact pathway and if feasible a theory of change. There must be an assumption of how the expected outputs are assumed to lead to intended outcomes and impacts. It is expected that the impact pathway will be continuously reviewed and evolved – both during project duration and through the R4D continuum. A clear understanding of how final beneficiaries will be reached (by whom exactly, through which channels and with what communication material etc.) and how they are intended to use/apply the innovation to is key. Demonstrating how partners and stakeholders are expected to contribute along the pathway, which bottlenecks will have to be addressed etc. is of vital importance. The impact pathway or theory of change provided will serve also a role for evaluation, learning and impact assessment purposes.

Specific information on the target/beneficiary assumptions as well as the outcome-oriented monitoring for the project duration is required. The applicant should provide indicator-specific baseline information and outline what specific means of data collection and analysis will be used to verify the progress of the selected indicators – and why these are robust and fit for purpose. Indicators shall be specific, measurable (quantitative and qualitative), adequate, realistic and time-bound. For scaling projects, it should be indicated to what extent impact assessments will be part of the M&E activities (and/or enabled in the future) and whether baseline data will have to be procured as part of the proposed activities. Note that to verify BMZ outcome contributions adequate baseline information is required.

(3) Capacity Development

Capacity development (largely in the form of provisions of training) is a main task of international agricultural research and must be part of an application. Information on planned academic capacity development as well as capacity development on end-user and partner level must be provided (number of people trained etc.). This also includes capacity development at NARS level as well as any involved advisory services through collaborative training.
(4) Gender
Gender equality is crucial within all research projects. Therefore gender should addressed in the proposal according to the CGIAR system-wide Gender Strategy or the gender implementation trajectory developed by the relevant CRP. It is important to clearly highlight what measures will be undertaken to systematically integrate gender components in research/project activities and what gender outputs and outcomes are expected. This implies to define clear gender indicators to be able to measure these outputs and outcomes.
For every appreciable gender component enough time for gender experts who will oversee the activities should be budgeted.

(5) Budget
Adequacy and transparency of budget (tasks to be performed in accordance with the work-plan) is required at every stage. Please ensure that for the tasks to be conducted in the project funding activity, all necessary capacities (gender expert, M&E etc.) must be factored in. With regard to budget allocation to partners, it is referred to paragraph C.1 (E) and D. of these Funding Guidelines. Please be aware in general of the expense and time factor which rise by the change of partner(s): new budget calculation, legal documents to be provided, contract amendment.
It is advised against purchasing a car. If a car is needed, the costs should be financed by a leasing contract or similar and shall be reimbursed according to GIZ contractually stipulated conditions.

D. Procedures

CGIAR Centers and the two Non-CG-Centers\(^1\) are invited to submit proposals before January 31\(^{st}\) of each year (only one proposal per center). Collaborative projects combining the competencies of several centers complementing one another are particularly welcome.

A cover letter from the Center’s Director General should be submitted (to be uploaded in “Documents” in ARGon) together with the application. It has to be confirmed in this letter that the research project is synchronized with the DG of the CRP lead center as well as with the CRP Director. This confirmation should make sure that the proposal is part of the impact pathway of the CRP.

\(^1\) icipe and World Vegetable Center
Project partnerships in form of a „Letter of Intent“ (LOI) should (a) confirm that the partner organization has been part of the proposal development, (b) define all essential responsibilities and tasks that will be overtaken, (c) indicate planned in-kind contributions, and (d) express the willingness to work closely with other project team members.

e) Furthermore to be conducted: If funds are transferred from the grant recipient (IARC) to third parties (final recipients), the LoI and the necessary documents must provide reliable information about the legal form of the respective institution/organisation. The following points have to be elaborated:

1. Evidence of legal form and registration is required in accordance with the legal provisions applied in the country where the institution/organisation is based (please submit extracts from the appropriate register);
2. Formation documents showing the location of the final recipient’s registered office and the year of formation (if not shown in the register entry);
3. Tax number or other forms of substantiating documentation generally required in the respective country;
4. Submit articles of association and register entry or comparable documents if the partner country’s legal system recognizes the status of ‘public-benefit institute’ comparable to that provided for in German law.

(The requirements above do not apply purchases of materials/equipment or services).

Detailed instructions for the elaboration of proposals are set forth in the application online form in ARGon. The upper limit for funding is Euro 1.2 million (including indirect costs) for three years.

Review teams will evaluate the submitted proposals and provide their recommendation to GIZ/BEAF. Based on these inputs, GIZ/BEAF makes a recommendation of projects to be funded by the BMZ. After the final funding decision of the BMZ, centers are notified forthwith. If necessary, GIZ/BEAF requests revisions of proposal and budget. The final approved proposal and budget will be specified as part of contractual arrangements between GIZ and the individual center.

A contract (Grant Agreement) will be drawn between GIZ (on behalf and for the account of the BMZ) and the respective center, which enables the center to start with the project. Favored as starting date is January 1st of the following year.
E. Intellectual Property Rights, Biosafety and Genetic Engineering

As a matter of principle, research results and products are considered to be in the public domain. The IARC is required to indicate anticipated patentable research results in the proposal and to take 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.

BMZ cannot fund projects using transgenic and/or genome editing methods. In case of doubt, please contact the GIZ/BEAF team timely for advice.

F. Protection of Personal Data

Responsible data management and protecting the personal data of clients’, employees or other third parties against improper use is of the utmost importance to GIZ. As part of its social responsibility, GIZ adheres to and acknowledges worldwide compliance and endorsement of the EU General Data Protection Regulation (GDPR). GIZ takes appropriate technical and organisational measures to ensure a level of protection appropriate to the risk of unintentional or intentional falsification, destruction, loss or access by unauthorised persons to personal data, in accordance with Art. 32 GDPR. All provided personal data are used exclusively for the management of the funding programs, correspondence with the IARC’s, for information processing in the context of calls for proposals, (pre)contractual procedures and subsequent funding administrated by GIZ/BEAF. Information concerning any project proposal submitted to GIZ/BEAF is collected in GIZ’s data processing systems (name, profession and contact details of project coordinator, partner institutions, and name, profession and contact details of co-coordinators) for administration, monitoring and financial transactions. The “Declaration of Consent on the Storage and Use of Personal Data” is recorded in ARGon and has to be confirmed before users are able to enter application details.
The IARCs will ensure that their staff members are fully informed about and consent to the acquisition of data by GIZ. The IARCs also consent to the sharing of information from this database (personal data as well project-related data and results) with other CGIAR research centers, GIZ projects and interested persons, as well as publication on the GIZ website.

Applicants / grant recipients and other business partners are furthermore expected to observe the basic principles of data protection regulations. Contractors and business partners should ensure that any transfer of personal data to GIZ has a legal basis and are further encouraged to ensure that other data protection principles such as purpose limitation, data minimization and storage limitation, transparency and necessity are observed. GIZ requests all contractors, business partners and natural persons to be aware of the risks and responsibilities involved in the collection, processing and dissemination of personal data, and to take mitigation measures and protect those affected. GIZ/BEAF gladly provide applicants with more detailed information containing definitions, instructions and recommendations in this regard and refer further to the Principles for Digital Development, to be found at https://digitalprinciples.org/

G. Principles for Publications: Indication of German Support and Open Access

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 GIZ on behalf of the BMZ, funding should be acknowledged as "With the financial support of the Federal Ministry for Economic Cooperation and Development, Germany". More information and templates for permitted logos can be requested by sending an e-mail to beaf@giz.de.

Scientific and other material published as a result of German funding must be made available Open Access, in accordance with the “CGIAR Open Access and Data Management Policy”, approved on October 2, 2013 by the CGIAR Consortium (click here).

H. Reporting

Reporting is a key instrument for monitoring and evaluation of the German support to International Agricultural Research. The IARC is required to reflect on the criteria listed in section B. and C. and to document all relevant knowledge on the project’s overall effectiveness gained during project implementation in a final report. Specifically, the achievement of its outcomes, including the target figures for beneficiaries (BMZ Outcome target contribution as well as beneficiaries reach) as well a critical
review of the project’s impact pathway/theory of change, is expected. Furthermore, indications for future impact assessments should be outlined. In addition progress reports should be presented in form of an executive summary. Their objective is to report on major results achieved and limitations encountered towards achieving the project’s outcome.

Instructions for preparing the reports are outlined in corresponding online entry forms in ARGon (available end of October 2019).

As of 2019, the second progress report must contain sufficient information with clear indications whether and how a potential phase 2 would progress in the R4D continuum. Based on a positive assessment of the information provided herein, IARCs may potentially be invited to submit a follow-up proposal (see section C). A specific online entry form for these types of progress reports will also be available in ARGon timely.

Bonn, September 2019
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<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tr>
<td>BEAF</td>
<td>Beratungsgruppe Entwicklungsorientierte Agrarforschung (Advisory Service on Agricultural Research for Development, a GIZ service unit)</td>
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<tr>
<td>BMZ</td>
<td>Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Cooperation and Development)</td>
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<td>CGIAR</td>
<td>Global Agricultural Research Partnership for a Food-secure Future (former Consultative Group on International Agricultural Research)</td>
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<td>CIM</td>
<td>Centrum für internationale Migration und Entwicklung</td>
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<td>CBO</td>
<td>Community Based Organization</td>
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<td>Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH</td>
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<td>International Agricultural Research Center</td>
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<td>National Agricultural Research System</td>
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<td>NGO</td>
<td>Non-Governmental Organization</td>
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Contacts and addresses

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