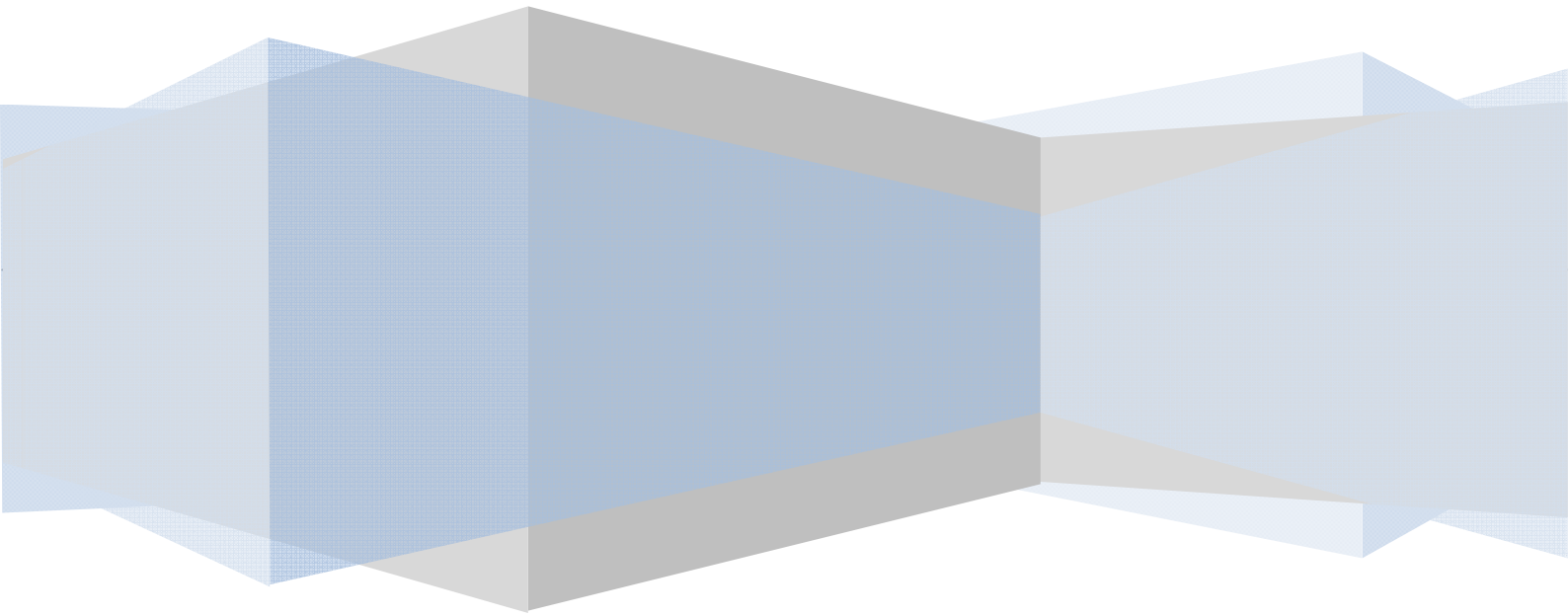


GlobalHort Project Guidelines



GlobalHort Project Guidelines

Objectives of Project Grants

The Global Horticulture Initiative Project Grant Scheme is established to encourage innovation, the development of new or the modification and adaptation of existing technologies and tools to local conditions, the promotion of scaling-up of successful innovations and/or best practices.

It also aims to create opportunities for disadvantaged stakeholder groups in the South to develop and enhance their capacities through the provision of start-up funds, and will also consider funding the support vacuum that exists between the initial stages of the research/innovation process and the scaling-up stage.

The scheme is expected to allow developing country partners who have interesting and innovative project ideas to access funding. The scheme is also expected to raise awareness on horticulture-related initiatives among agricultural research stakeholders, including advanced research institutions, international agricultural research centers and the National Agricultural Research System (NARS), among development actors, policy makers and the donor community to encourage their involvement in horticulture.

In summary, GlobalHort supports research-for-development projects and public private partnership (PPP).

Thematic focus, type of projects to be considered for funding

Theme 1: Horticultural production

All aspects of horticultural production fall under theme1: developing improved horticultural field practices comprising better rotations, integrated nutrient management, integrated pest management and improved water management are examples which are covered here. Special attention is given to the approach in which these technologies are developed. Instead of top-down, transfer-of-technology approaches it is suggested to use proven or novel **participatory approaches** like Participatory Technology Development (PTD) or Farmer Field Schools (FFS). The identification, use and further development of **farmer innovations** are also encouraged.

Theme 2: Nutrition and food safety

Proposed activities under this theme should be able to contribute to food safety and malnourishment alleviation through better use of the genetic diversity, plant protection and post-harvest technologies, nutrient content for sanitary quality traits, or through promotion of indigenous nutrient rich fruits and vegetables to target known areas of micronutrient deficiency. Proposals for scaling-up nutritional value and sanitary related innovations developed by small scale and local communities that address these health concerns will also be considered. It is important that activities go beyond the pure identification and characterization of potentially healthy food items. The focus should be placed on strategies on how to incorporate healthy food components into local diets.

Theme 3: Linking farmers to markets and support to small and medium agro-enterprises (horti SMEs)

This theme extends the framework of horticultural research by taking into account the growing effects of liberalization and the important changes occurring in horticulture and their consequences for rural areas. Proposals that address pre- and post-harvest improvement and horticultural value-addition technologies to increase over-all farm economic productivity and rural farm income while can be submitted under this theme.

Theme 4: Urban and peri-urban horticulture for supply of safe perishable products with low environmental impact

Proposals under this theme should concentrate on city supply in fresh horticultural products, focusing on resources, soil, water, labour, food safety, policy and governance.

Theme 5: Value-chain projects

Theme 5 refers to complex projects embarking several of the before mentioned themes. Projects covering production, processing, and marketing taking also into account institutional and legislative implications fall under theme 5. It is important to integrate a wide range of stakeholders from different sectors (research, implementing public sector, policy institutions, civil society, private sector) since no single stakeholder has a comparative advantage for the whole chain.

Part of the grant may be used to cover information management activities as well as publications, both print and electronic (including website and internet access) to facilitate information dissemination and exchange. It is suggested to use GlobalHort's website facilities to place and share project related information. The grant, however, cannot be used to finance core or permanent salary costs, overheads or large capital items such as purchase of vehicle, construction of buildings or research facilities.

Harmonization and Effectiveness

In order to avoid duplication of efforts and to avoid the development of parallel or competing structures, it should be shown how the project fits into the local, national or regional context and whether it is in line with the existing policies of local, national and international authorities and bodies. Past, current and expected future efforts of stakeholders in the public and private sectors should be briefly elaborated.

Eligibility

Application is open to **all stakeholders dealing with the horticultural sector**, provided that the **Lead Proponent (LP)** is

- from a national or international research institution, a university, or a civil society organization (e.g. NGO, farmers organization) AND
- it is based in Africa, Asia, Latin America or the Caribbean.

The proposed activity should involve **at least three stakeholders**, one of which should come from the NGOs, farmers' organizations, or small-medium enterprises sector.

Regional wide projects with the potential for further up- and out-scaling comprising activities in several (neighbouring) countries are welcome.

Proponents should submit Letter(s) of Intent from their collaborating organization(s) stating their willingness and commitment to participate in the proposed project.

Proponents may also identify a prospective Advanced Research Institution or development partner from a developed country or international organizations through which the project can be co-implemented to realize North-South R&D collaboration.

In order to encourage submission from local civil society organizations, GlobalHort Research Grants Scheme, on a per request basis, may also provide support to cover the cost of translation of the pre-proposal from any language to English.

Multi-stakeholder Approach

Commissioned calls through GlobalHort should involve several stakeholders and partners. Project partners can be international and national research organizations, government ministries and their executing bodies (e.g. Agricultural Extension Services), international and national development organizations and projects, non-government organizations (NGOs), community-based organizations (CBOs) including farmers's

organizations and individual farmers, and actors in the private sector (e.g. traders, merchants, input suppliers, private seed companies, etc.).

Depending on the topic, there should be a balance between the different sectors, for instance, it should be avoided that there are only project partners from one sector, e.g. research (e.g. one international research institute and five NARS partners). There should be a mix between research, public institutions or bodies (e.g. Extension, Ministry of Health) and the private sector.

Project partners are those which are actively involved in major project activities. Invited stakeholders to an inception or final workshop do not qualify to call them project partner. Project partners may require project funds to carry out the expected project activities. It cannot be expected that project partners collaborate based on their own funds only. There should be a clear **activity-based budget line for those partners**. It is also important to liaise with decision making bodies of these partners. It should be avoided to involve staff at the local level without informing the higher level of that respective organization or institute. Whenever possible, the expected duties should be in line of the project partner's own strategy.

Participatory Approaches

Partnerships with producers (farmers) and end-users (consumers) are crucial to the success of the project objectives. The involvement of all kinds of intermediate actors (middle men, extension staff, retailers, processors, etc.) at an early stage of the project is also strongly encouraged. In order to be more effective, the perception of farmers and consumers should be considered. Especially at the level of technology development and adaptation, participatory approaches and partnerships with farmers are encouraged. GlobalHort believes that demand-driven, participatory approaches are more appropriate and sustainable than a transfer-of-technology approach.

Over the last twenty years, different participatory approaches have emerged which have shown impact. Among these are Participatory Rural Appraisal (PRA), Participatory Action Research (PAR), Farmer Field Schools (FFS), Participatory Technology Development (PTD), Participatory Innovation Development (PID), and others.

There has been also a considerable misuse of the term “participatory” in the past. It is of minor importance to use certain terms. More important are **the roles the project devotes to farmers, consumers and other end-users**. Are they actively involved or is their role limited to receivers of the project outputs?

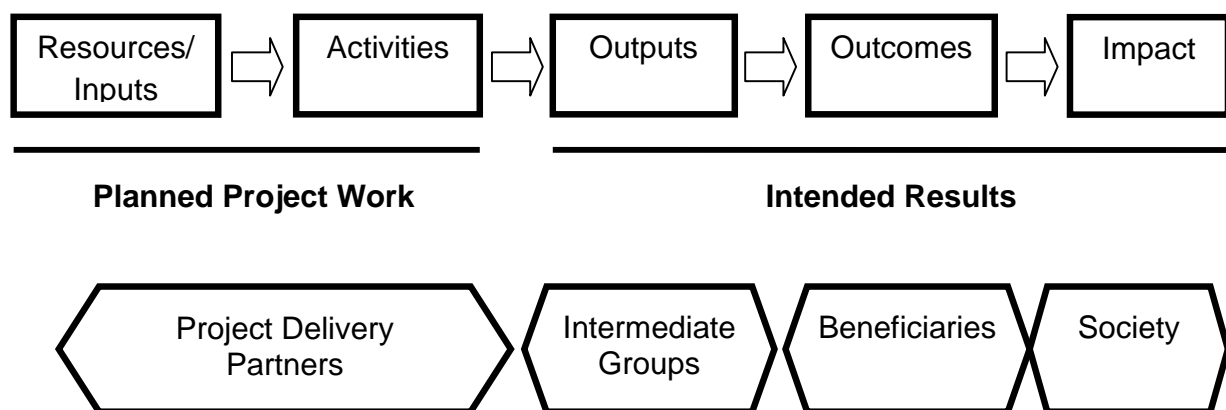
It is also important to keep the spirit of participation **throughout the project cycle**. Conducting a PRA at the start of the project to quickly collect information but then falling

back to top-down approaches as the project moves on with implementation is not what we understand by a participatory approach. A **both-sided learning process** by the end-users as well as by the project partners is anticipated. Therefore, joint experimental planning and implementation, farmer field days, farmer-to-farmer cross visits, farmer and consumer perception surveys, participatory monitoring and evaluation should form an integral part of the project activities.

Building a Logic Model

The **Basic Logic Model** components illustrate the connection between the *planned work* and the *intended results*:

The planned work describes what resources are needed to implement the project and what are the related activities:



Inputs (=Resources) include the human, financial, organizational and community resources a project has to do the work.

Project Activities

- ... are what the project does with the resources;
- ... are processes, tools, events, technology and actions that are part of the project implementation;
- Used to bring the intended project results or changes

The intended results comprise all the project's desired results including outputs, outcomes and impact

Outputs are direct products of project activities and include the products and services to be delivered by the project.

Outcomes describe how these products or services are utilized by the beneficiaries. They are the likely or achieved short-term and medium-term effects of an intervention's outputs.

Impact is the overall goal at the level of the society.

Stakeholder Analysis

Any individual, group, private or public institution or body or private company that is concerned with the objectives or activities of a project, or who may benefit or is negatively affected from the impact of project activities, or who can influence the outcome of these activities is a **stakeholder**. With the aim of maximizing the social and institutional benefits of a projects and of minimizing the negative project effects, a stakeholder analysis identifies all likely to be affected (either positively or negatively), and how. A stakeholder analysis should be conducted at an early stage of the project. It also serves to identify potential project partners which can take over parts of the project activities.

Beneficiaries are not a homogenous group. With regard to access and control over resources, in all societies there are **gender** differences, differences between young and old people, formally educated and uneducated people, between different ethnic groups, and so on. Inequitable access to services (health, education, etc.) and to opportunities in economic, social and political life hinders growth and prevents or slows down development. If gender issues are not adequately addressed, project success and effectiveness are at risk or gender disparities might be even deepened through project interventions. Therefore, a stakeholder analysis should encompass the identification of gender differences in order to develop specific project activities for the different gender groups where necessary.

Stakeholder analysis and problem analysis are closely connected. Without the involvement of the major stakeholders and their perceived view of a problem, the problem analysis and the developed project activities may not adequately address the key issues. Ideally, the project should be developed in a **participatory planning workshop** with representatives of the main stakeholders and potential project partners to ensure a balanced representation of interests.

Stakeholder analysis must involve as a minimum requirement:

- A list of possible stakeholders and their characteristics;

- Interests and expectations;
- Stakeholders' strengths and weaknesses (potentials and deficiencies)
- Identification of potential conflicts between different stakeholders;
- Implications and conclusions for the project

Problem Tree Analysis

A problem tree is the visualization of the **rationale or logic of the project**. It identifies the negative aspects of an existing situation and establishes '*cause-and-effect relationships*' between the problems that exist. It comprises the following steps:

1. Identification of the major problems faced and perceived by target groups, beneficiaries and stakeholders;
2. Visualization of the problems in form of a diagram ("problem tree") which shows the hierarchy of problems and shows which problems cause problems at the next higher level.

The major problem is presented on top and its causes underneath. The major aim is to identify bottlenecks to which the project can attach priority and seek for solutions to overcome through specific project activities. The complete problem tree represents a comprehensive picture of the existing negative situation.

The development of a good and realistic problem tree is crucial for the success of the project to achieve impact and should ideally be done in a joint session with anticipated project partners and various representatives of stakeholders. The problem tree analysis forms the basis to develop intervening activities to overcome the problems.

Objective Tree Development

The objective of the project is to address and overcome the problems elaborated in the problem tree analysis. Through project interventions the 'negative situations' of the problem tree are converted into 'positive achievements' or solutions to these problems. For instance, 'low horticultural production' is converted into 'horticultural production increased'. Such achievements through project interventions are objectives. The easiest way to develop the objective tree is to convert the problem tree into desirable achievements. The resulting diagram provides an overview of the desired future situation and shows the **impact pathway**, namely how the project activities lead to the desired project goal and impact.

Developing Project Interventions

Finally, strategies and activities need to be developed to achieve the desired objectives. At this stage, decisions need to be made about which strategies and activities can be handled by this project and which objectives fall outside its reach.

Not all of the objectives may be achieved by one project partner. Therefore, **it is important to identify project partners which have comparative advantages to tackle the identified problems to achieve the objectives**. Some objectives may be also unrealistic to achieve or cannot be addressed because they are outside a specific project call.

Project strategies usually focus on the lower level of the problem and objective tree. These strategies have the aim to produce project outputs, **direct project products or services** that can be used by stakeholders directly involved in the project.

Building the Output Logframe

The last step is to transfer the desired outputs and the activities into a log frame. It is suggested to use a table (example see next page) comprising activities under each expected output and the corresponding time frame, milestones and/or indicators, and the responsible person(s) for each activity.

Impact Monitoring

While the output logframe serves as a tool to monitor the project activities, it is also important to monitor whether the outputs and the associated activities lead to the anticipated impact. It is important to monitor how the generated outputs are utilized by the project partners, boundary partners (partners not directly involved in the project but expected to utilize the outputs) and beneficiaries. Therefore, a strategy should be outlined to describe the development pathway to achieve outcomes. It is suggested to provide a logframe with outputs and associated outcomes including indicators, assumptions and risks. The anticipated development pathway and the monitoring of indicators may require additional activities and resources.

Log frame (EXAMPLE!!!)

Component 2: Pilot communities along the ... are organized and concrete actions in more sustainable use of natural resources implemented

		Time (quarter – 3 months)				Milestones / Indicators	Who	Remarks
		1	2	3	4			
Activities		1	2	3	4	Description of main events and tasks and indicators to measure	Responsible Person	
Output 2.1 User groups formed and empowered in selected areas						NR use plan drafted for pilot areas by June 2007		
A 2.1.1	Train trainers for participatory needs assessment and capacity development					4 trainers trained up to Oct 2006		
A 2.1.2	Conduct participatory needs assessment for capacity and training for the communities					Needs assessment report for each community available by the end of 2006		Green Gold Project experience
A 2.1.3	User group resource use pattern, boundaries, income, expenses and development needs identified through participatory exercises					User group report for each community available by Feb 2007		
A 2.1.4	<p>Conduct at least 5 practical capacity development trainings on NRM and planning in connection with concrete activities mentioned under point A 2.2.2</p> <p>Suggested topics (to be defined in A 1.1.2)</p> <ul style="list-style-type: none"> ⇒ Training on participatory planning and ME ⇒ Training on CBNRM concepts and benefit sharing ⇒ Training on conflict management and negotiation skills 					Number of trainer user groups		

Budget and Human Resources

For project administration the lead institution is entitled to charge **15% overhead costs**. Expenses for salaries can only be covered for the number of exact days the respected person is working for the project.

Financial resources by partner:

Partners	Donor requested (\$)	Matching Fund* (\$)	Total (\$)
Lead institution			
Partner 1			
Partner 2			
...			
Partner n			

* Matching funds are resources which are provided from the lead institution and/or the participating partners

Financial resources by partner per year:

Partners	Total funds (\$)	Year 1 (\$)	Year 2 (\$)	Year 3 (\$)
Lead institution				
Partner 1				
Partner 2				
...				
Partner n				

Financial resources by output and partner:

	Lead institution (\$)	Partner 1 (\$)	... (\$)	Partner n (\$)
Output 1				
Output 2				
...				
Output n				

Human resources:

A list of expected participating staff (numbers) of each partner organization

Material resources:

A list or description each partner can provide to contribute to the project

Project Management Structure

There should be a description how the project is structured at various scales. The description should be supported by an organizational flow chart of the project management structure.

Annex

Additional information should be attached to the proposal document:

- Letters of Agreement of lead and partner institutions;
- Cv of project manager and component leaders of partner organizations;
- Expected environmental impact of the project (no more than half a page);
- Expected gender impacts (no more than half a page);
- Bibliography/references

ANNEX 1

FULL PROPOSAL Outline

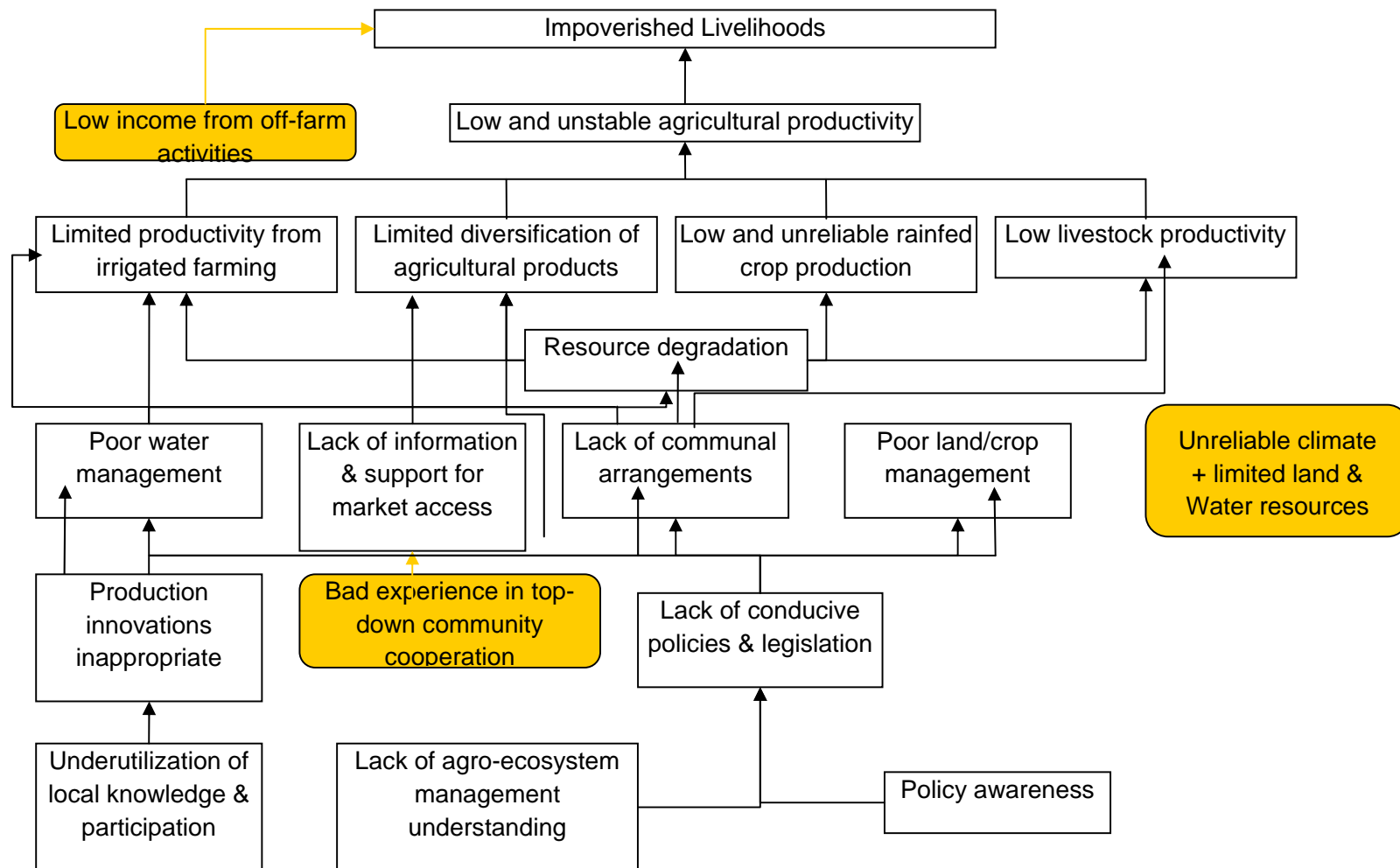
Full Project Title

Brief Title

1. Executive Summary (1 page)
2. Project proponents
 - 2.1. Project Manager
 - 2.2. Project Partners and Roles
(Provide contact details, including mailing address, telephone and facsimile numbers, email address, etc.)
3. Project Duration and total requested budget
4. Project Description
 - 4.1. Introduction
 - 4.2. Problem Statement and justification of the project,
(Should highlight the (sub) regional priority issue to be addressed by the proposed project and should contain a problem tree)
 - 4.3. Donor Harmonization and Effectiveness
 - 4.4. Justification of project partners
(include stakeholder analysis)
 - 4.5. Objectives
 - 4.5.1. Objective tree
 - 4.5.2. Project goal
 - 4.5.3. General objectives
 - 4.5.4. Specific objectives
(Project goal, general and specific objectives should be in line with objective tree)
 - 4.6. Methodology and Activities
 - 4.7. Project outputs
 - 4.7.1. Expected Outputs and Milestones
 - 4.7.2. Assumptions and Risks
 - 4.8. Project Monitoring

- 4.8.1. Monitoring of Outputs
 - 4.8.2. Impact Monitoring
- 5. Budget and human resources
 - 5.1. Financial resources per partner
 - 5.2. Financial resources by output
 - 5.3. Human resources
- 6. Project Management Structure
- 7. Annexes
 - 7.1. Letters of Intend of lead and partner institutions including statements on matching funds (financial and in kind)
 - 7.2. One page CV for project manager and component leaders
 - 7.3. Expected environmental impact of the project (no more than half a page);
 - 7.4. Expected gender impact
 - 7.5. Bibliography/references

Annex 2: Example of a problem tree



Annex 3: Example on an objective tree

