



March 1, 2019

COUNTRY GUIDELINES

FOR PUBLIC SECTOR WINDOW PROPOSALS:

SPECIAL CALL FOR PROPOSALS FOR FRAGILE AND CONFLICT AFFECTED COUNTRIES

I. Focus of the Global Agriculture and Food Security Program

1. The focus of the Global Agriculture and Food Security Program (GAFSP) is on the long-term agenda to improve the income and food security of poor people in developing countries through more and better country-led public and private sector investment in raising agricultural productivity, linking smallholder farmers to markets, reducing risk and vulnerability, improving non-farm rural livelihoods, and through technical assistance, institution-building, and capacity development. The objective of this mechanism is to fill the financing gaps in country and regional agriculture and food security strategies, thereby contributing to the achievement of the Sustainable Development Goals to end poverty and hunger by 2030.

2. GAFSP has two financing windows: (i) the Public Sector Window that, through grants, finances public investment and technical assistance to **support implementation of country-led initiatives**, giving priority to those with evidence of stakeholder participation, including Producer Organizations (PO) and relevant Civil Society Organizations (CSOs), from project design to implementation, and (ii) the Private Sector Window that provides long- and short-term loans, credit guarantees, equity investment, and technical assistance to the private sector for activities in agricultural development and food security. For the scope of eligible activities see the GAFSP Framework Document:

https://www.gafspfund.org/sites/default/files/inline-files/GAFSP%20Framework%20Document%20FINAL%20%28external%29_0.pdf

3. There is no preference for any of the five components described in the GAFSP Framework Document. Technically sound proposals that reduce risk and vulnerability and increase the impact of agricultural interventions through emphasis on cross-cutting themes such as nutrition (direct nutrition interventions or nutrition sensitive agricultural activities), gender equality, strengthening climate resilience, and rural youth employment are encouraged and fully eligible for GAFSP funding, as are public-private partnerships. In this Call, GAFSP is looking for proposals that clearly justify the proposed public sector investment, and that also consider opportunities for complementary private sector engagement¹. The Steering Committee looks forward to receiving a broad range of proposals in this Public Sector Window Call. Priority will be given to proposals that are able to demonstrate high likelihood of effective implementation within the specific country context.

II. Eligible Countries for this Call for Proposals

4. Eligible countries for this special Call for Proposals must satisfy *all* of the following requirements: (i) current fragile and conflict affected country as determined by the FY19 Harmonized List of Fragile Situations published by the World Bank Group,² (ii) member of the International Development Association

¹ The private sector covers a broad spectrum from individual farmers and their cooperatives, through to commercially oriented large-scale corporations. GAFSP, with its focus on smallholders, engages primarily with those parts of the private sector which can play a critical and responsible role in delivering inclusive and sustainable economic growth and poverty reduction by adhering to principles espoused by GAFSP, including emphasis on local markets and working with producer organizations, smallholders, and their communities.

² For a list of current fragile and conflicted affected countries for 2019, see <http://pubdocs.worldbank.org/en/892921532529834051/FCSList-FY19-Final.pdf>. Do note that eligibility for this Special Call for Proposals, with regards to classification as fragile and conflict affected, will be made with reference to this FY19 list only.

(IDA) and eligible to receive financing from IDA, but not from IBRD (“IDA-only countries”), and (iii) not in non-accrual status.³

5. The 24 countries that satisfy all the above requirements are the following:

Africa <i>(14 countries)</i>	East Asia and the Pacific <i>(6 countries)</i>	Eastern Europe <i>(1 country)</i>	Latin America <i>(1 country)</i>	Middle East <i>(1 country)</i>	South Asia <i>(1 country)</i>
Burundi CAR Chad Comoros Cote d’Ivoire Djibouti DRC Gambia Guinea-Bissau Liberia Mali Mozambique South Sudan Togo	Kiribati Marshall Islands Micronesia, FS Myanmar Solomon Islands Tuvalu	Kosovo	Haiti	Yemen	Afghanistan

6. The targeting to countries in fragile and conflict affected situations (FCS) in this Call for Proposals is to *ensure allocation of resources to this group of countries that are in high need of support*. Future GAFSP Calls for Proposals are expected to revert to GAFSP’s usual practice of extending eligibility to all IDA-only countries not in non-accrual status, as stated in the GAFSP Framework Document.

7. Please note that multi-country submissions from among the 24 eligible countries are permitted.

III. Proposal Selection Criteria

8. With limited resources available, not all country proposals can be financed. Priority will be given to IDA-only fragile and conflicted affected countries with a conducive policy environment, robust engagement with PO participants and agriculture CSOs, and sufficient capacity to implement the proposed activities. A fully independent review body constituted to advise the GAFSP Steering Committee, the Technical Advisory Committee (TAC), will use cross-country benchmarks (such as those referenced below) and the information provided in individual country proposals to undertake a relative assessment of country submissions. For the purposes of this 2019 Special Call only, decisions on country allocations will be based on a relative weighting of 30:70 assigned to measures of country readiness and proposal readiness. These measures will include:

- **Country Readiness (Overall weight of 30):** The country readiness assessment will be conducted primarily through the evaluation of individual country proposals, as well as through assessment of the policy environment. This assessment will be based on the following:

³ Non-accrual status occurs when the oldest payment arrears are six months overdue. Once all arrears are cleared, all loans to, or guaranteed by, the country are generally restored to accrual status.

- A current⁴ Comprehensive Africa Agriculture Development Programme (CAADP) National Agriculture and Food Security Investment Plan (NAIP), and an associated CAADP technical review report, are generally pre-requisites for African countries to apply for GAFSP financing.⁵ However, under this Special Call and on an exceptional basis, if a current investment plan has not yet been finalized, country submissions should instead include other relevant national planning documentation, such as (i) a Malabo Declaration country implementation Roadmap and (ii) a stocktaking report that lays the basis for the formulation of a NAIP, offering an analysis of agriculture growth options and suggesting areas for public and private investment in that context, based on the African Union Commission/NEPAD Planning and Coordination Agency (AUC/NPCA) CAADP guidelines under the Malabo Declaration.⁶
- For non-African countries, a current comprehensive agriculture and food security strategy and an associated investment plan that has undergone an independent technical review,⁷ covering similar technical aspects as the CAADP reviews, have also generally been provided as part of the submission and used to assess country readiness. If available, these should be provided. However, again, under this Special Call and on an exceptional basis, if a current investment plan has not yet been finalized, country submissions must instead include other relevant national planning documentation such as (i) a country implementation roadmap that captures the process and timeline for completion of a national investment plan, and (ii) a stocktaking report that lays the basis for the formulation of an investment plan, offering an analysis of agriculture growth options in that country context and suggesting areas for public and private investment.
- For all submissions that include a completed, current NAIP, if the technical review highlights significant shortcomings, the government should indicate how these have been or will be addressed in Part 1 of the Proposal Document.
- For all countries, a summary of implementation performance of their current or most recent investment plan, or other relevant national planning documentation, should be provided as Part 1 of the Proposal Document. Supplementary information on the CAADP technical review process can be found at:

<https://www.nepad.org/publication/country-caadp-implementation-guidelines-under-malabo-declaration>

- **Proposal Readiness (Overall weight of 70):** The proposal for GAFSP financing will be assessed against: (i) specific objectives, expected results, and engagement of stakeholders, including POs, agribusinesses and targeted project participants; (ii) justification for the overall approach; (iii) activities to be financed and their justification including rationale for public financing and any efforts at relevant private sector engagement including the potential for private sector co-financing during and beyond the life of the project; (iv) implementation arrangements; (v) amount

⁴ The CAADP NAIP should be under implementation and within the timeframe of the implementation period originally set out within the plan.

⁵ If African countries are unsure about whether they have satisfied CAADP requirements to be able to apply for GAFSP financing, they may inquire by contacting the GAFSP CU by email during the submission preparation period at gafsp-info@gafspfund.org.

⁶ <https://www.nepad.org/file-download/download/public/14430>

⁷ Guidance on the elements of the technical review for non-African Country Investment Plan consistent with the CAADP approach is provided in the Proposal Document template as well as in Annex 1 of this document.

of financing requested and time frame for implementation; (vi) post-project sustainability and exit strategies; (vii) risks and risk management; (viii) consultation with local stakeholders and development partners, including farmer partners; as well as (ix) detailed plan for project preparation (in case the proposal is accepted for financing). Assessment points for each of these sub-points are described in Part 2 of the Proposal Document. The project proposal is not expected to be equivalent to an appraisal stage document, but rather to be at a pre-appraisal stage.⁸ The completed Proposal Document will provide information to the TAC to guide their proposal assessments, and to the selected Supervising Entity(ies) to help speed preparation (with the provision of upfront information) and guide the subsequent more detailed design.

- The proposal will include a clear rationale for *public* financing of components and activities chosen, and description of any public-private dialogue that has taken place to identify optimal roles of the public and private sector players in the proposed operation, including tangible efforts made to date to attract private investment to finance similar activities in the country (see question 2 (a)-(f) of the Proposal template document) . GAFSP's working definition of private sector covers a broad spectrum from individual farmers themselves and their cooperatives, through to commercially oriented large-scale corporations.

IV. Outline of Proposals from Eligible Countries and Available Financing

9. Countries are expected to prepare their own proposals. They may engage with their partner Supervising Entity(ies) and organize any additional technical resources they may wish.

10. For this Special Call in 2019, GAFSP is making available limited assistance to support countries wishing to avail of technical assistance (TA) in their *proposal* preparation, furnished through either of GAFSP's two partner Supervising Entities that provide technical assistance only: the Food and Agriculture Organization of the UN (FAO) or the World Food Programme (WFP). The utilization of such assistance is not required and will be organized in response to demand and by these two partner organizations. With or without the use of TA provided with GAFSP assistance, proposal preparation and quality remain entirely the responsibility of the submitting country.

11. *Proposal assistance application process:* If countries are interested in seeking GAFSP-financed TA from FAO or WFP for their proposal preparation, they should contact: gafsp-info@gafspfund.org by 11:59pm on April 15, 2019 (Washington D.C. time), using the template attached in Annex 5. Requests received after this deadline will not be accepted. It is expected that countries will coordinate any such assistance organized through FAO or WFP, as needed, with the proposed investment Supervising Entity in finalizing their proposals.

12. *Two-part proposal:* Countries' proposals will have two parts (see Proposal Document template for more details).

Part 1: *Summary of elements covered in the country Agriculture and Food Security Strategy and Associated Investment Plan.*

⁸ While not yet providing a comprehensive technical presentation of all aspects of the project that would guide implementation of the project, the proposal should nonetheless reflect sufficient detailed preparatory work on the proposed objectives, indicative project design, and components, in line with the GAFSP Proposal Document template provided.

- **All eligible countries** that apply for GAFSP financing: Summarize the country’s overall agriculture and food security strategy and any associated investment plan (or related roadmap and stocktaking report, or other relevant national level planning documents) in Part 1 of the Proposal Document, and include in the proposal submission a summary of implementation performance of their current or, if none, most recent investment plan or other relevant national planning documentation.
- **African countries**
 - **Countries with a current CAADP National Agriculture and Food Security Investment Plan (NAIP) and associated CAADP technical review report:** Summarize the outcome of that process, including steps being or to be undertaken to address issues raised in the technical review report.
 - **Countries that have completed implementation of a CAADP NAIP and/or do not have a current applicable NAIP:** Summarize the current comprehensive agriculture and food security strategy and any new investment plan that has been prepared, or if a new NAIP is not yet finalized, use relevant, current national planning documentation (e.g., Malabo Declaration country implementation Roadmap, stocktaking report, or other national plans) to summarize and respond to questions in Part 1 of the Proposal Document
- **Non-African countries:** Summarize the current comprehensive agriculture and food security strategy and associated investment plan (or related roadmap, stocktaking report or other relevant national planning documentation), including evidence of the consultation process underpinning the development of the plan, and the steps being or to be undertaken to address issues raised in the independent external technical review (of full NAIPs only).⁹

Part 2: Specific Proposal for GAFSP Financing: Provide details on the specific proposal for GAFSP financing. The GAFSP proposal is expected to provide the GAFSP Steering Committee with sufficient information to prioritize the financing of country-led proposals. The proposals should be part of a clear, coherent, appropriately scaled, and inclusive strategy and investment plan that will contribute to improving food security, including through enhancing smallholder production and incomes. Any country applying for a second or subsequent GAFSP grant will need to provide evidence of implementation performance, impact, and additionality of the previous GAFSP grant(s).

13. *Proposal Document (template provided):* The sections and content guide for the GAFSP proposal is provided in the Proposal Document (Parts 1 and 2). All sections must be completed for the GAFSP Steering Committee to be able to make an informed decision on resource allocations. With the 2019 Call’s focus on FCS, it is expected that proposals will explicitly identify and address how fragility is defined in the context of this proposal for this country and how the impact of fragility on agriculture and food security may be addressed through the project’s geographic targeting and/or activities. It is also expected that proposals will clearly justify all proposed activities, including presenting a clear rationale for use of public grant financing for project activities, description of any public-private dialogue that has taken place, and

⁹ For non-CAADP countries, the government may appoint an organization to undertake the review of the Country Investment Plan. The organization appointed should be independent from those organizations that helped prepare the investment plan and should be recognized in the field of agriculture and food security. In addition, the organization should not be a potential GAFSP Supervising Entity for the project. If an individual conducts the review, the background/affiliation of the individual reviewer and any relationship(s) with GAFSP Supervising Entities should be clearly indicated.

steps that have been taken to advance engagement with and encourage appropriate co-investment by relevant private sector partners (including POs), during and beyond the life of the project.

14. *Engagement with preferred Supervising Entities:* The country's preferred Supervising Entity(ies) to support implementation of the project should be specified in the proposal (for investment and technical assistance: African Development Bank, Asian Development Bank, International Fund for Agricultural Development, Inter-American Development Bank, or the World Bank; for technical assistance in association with a parallel GAFSP-supported investment with one of the listed investment Supervising Entities: FAO or WFP). While proposal preparation remains fully the responsibility of country applicants, countries can engage with their preferred Supervising Entity(ies) early in the preparation of the proposal. Where applicable, the proposal should clearly specify the anticipated share of the proposed grant that will focus on investment and the anticipated share that will focus on technical assistance, in consultation with the country's preferred Supervising Entity(ies). For successful proposals, grant amounts will be awarded by the Steering Committee, with the final share of the proposed grant that will focus on investment and on technical assistance to be reviewed and finalized during the joint detailed project formulation and appraisal.

15. *Engagement with project participants and partners:* In addition to engagement with preferred Supervising Entity(ies), applicant countries are expected to demonstrate how they engage and consult, in a gender-inclusive manner, with existing POs and farmer participants that will benefit most from the proposed project. *Available resources for this Call:* Available resources in the GAFSP Trust Fund for 2019 are approximately US\$100 million¹⁰ which will likely be allocated to 4 to 7 proposals¹¹ among those submitted by eligible countries. To better guide Steering Committee decisions, should available resources permit only partial financing by GAFSP, countries are requested to indicate in the Proposal Document the minimum amount necessary to enable the proposed project to be viable and have a development impact.

16. *Project Preparation Grant (for successful submissions):* If a country's proposal is successful and it is difficult to source sufficient and timely funds through the government budget process or from other sources, a country has the option to request project preparation funds from GAFSP. A country requesting project preparation funds (i.e., funds to support continued preparation of the project through to implementation readiness, following approval of the grant by the GAFSP Steering Committee) should include a preparation grant request as a specific Appendix to the country's overall proposal submission. The preparation grant request will be considered at the same time as the overall proposal financing awards (see Annex 4 of this document for more details). The preparation grant will not be additional; it will be considered as part of the overall grant award and will therefore reduce the amount that could otherwise be used for other aspects of the government program.

17. *Coordination with the GAFSP Private Sector Window (to be carried out after a grant has been allocated):* Because this Call is looking for proposals that clearly justify the proposed public sector

¹⁰ The total amount is indicative and may change depending on further donor commitments received between the issuance of this Call and the time of allocation. There is no guarantee that all deserving proposals will be funded given the limited availability of funds.

¹¹ This number is indicative and based on an estimated range of grant sizes from \$10 to 30 million. Final awards will be based on relevant country and submission conditions, including the amount requested, quality of the proposal, demonstrated capacity to implement, etc. Grants in this round are anticipated to be smaller than historic average grant sizes for the Program, owing to the targeting of FCS countries and the potential for related implementation and capacity constraints.

investment, and that also consider opportunities for complementary private sector engagement, countries that successfully receive GAFSP Public Sector Window allocations and their respective Supervising Entities are expected to then engage in a dialogue on identifying tangible public-private sector engagement opportunities. This should be done during the subsequent project preparation and design phase and with the active involvement of the GAFSP Private Sector Window (with the International Finance Corporation (IFC)'s Advisory Services leading).¹² Engagement opportunities to be discussed could include, for example, the professionalization of local cooperatives and farmers' organizations with supply chain linkages to private sector off-takers, traders and processors in the subsector/value chain or activities supported by the Public Sector Window grant, or working with local financial institutions including banks and microfinance institutions to improve their internal capacity for agribusiness lending in geographic areas and/or the subsector/value chain or activities supported by the Public Sector Window grant.

18. *Monitoring and Evaluation (to be carried out after a grant has been allocated):* Countries submitting successful proposals will be required to develop a comprehensive results framework that adopts the relevant program level impact indicators¹³ and applicable project results indicators in line with the M&E Framework for GAFSP¹⁴. All approved projects will need to monitor food security using the Food Insecurity Experience Scale (FIES). Projects will also need to indicate plans for impact evaluation and may – following approval - avail of additional resources from GAFSP for rigorous impact evaluation using in-depth, statistically grounded methodologies.

19. *Prioritizing proposals:* GAFSP aims to provide funding for proposals that are derived from a country-owned inclusive planning process that involves relevant stakeholders including potential farmer partners and their POs and agribusinesses. Countries can submit **only one** proposal, that is derived from an internal process of prioritization.

20. *Disclosure:* Successful proposal documentation will be publicly disclosed. If the proposal documentation includes confidential or sensitive text or data that the government does not wish to be disclosed publicly, that information should be clearly highlighted in the submission to permit redaction.

21. *Language of proposal:* English is the operational language of GAFSP, thus submissions are expected in English. While the GAFSP proposals are always required to be in English, supporting documents may be submitted in French. In exceptional cases, the Steering Committee may allow countries to submit supporting documents such as the full strategy and investment plan in other major languages. For planned submissions in other major languages, please contact the GAFSP Coordination Unit (CU) at gafsp-info@gafspfund.org prior to submission.

¹² A new dedicated Advisory Services program within the existing GAFSP Private Sector Window led by IFC will be available to support eligible private sector entities and projects located in countries with successful proposal submissions.

¹³ All Public Sector Window investment projects have both an income indicator and a food security indicator (Food Insecurity Experience Scale, or FIES). Where relevant, projects are expected to have a productivity indicator (yield gains as an explicit objective for those projects with productivity aims) and a more specific "nutrition"-related indicator (Food Consumption Score (FCS) or Minimum Dietary Diversity of Women/Young Children (MDD-W/C)) in cases where the project has an explicit nutrition objective.

¹⁴ <https://www.gafspfund.org/sites/default/files/inline-files/GAFSP%20Final%20Draft%202017%20M%26E%20Plan%20June%20upload.pdf>

V. Proposal submission

22. *Submission documents:* Table 1 (pg. 10-11 lists the documents required to be included in the submission package to the GAFSP CU. The Document Checklist (using the template in Annex 3) should clearly indicate which of the submitted documents corresponds to the items required in the list in Table 1.

23. *Form and deadline of submission:* Submission should be via e-mail to: gafsp-info@gafspfund.org. Submission documents must be in Microsoft Word, Excel, or PDF. An acknowledgement email will be sent upon confirmation of receipt. Submissions must be received by: 11:59 pm, September 10, 2019 (Washington, D.C. time). No exceptions will be made on the deadline or document formats. Countries are encouraged to submit a few days earlier than the deadline in case of any technical problems in the submission process.

Table 1: List of documents required to be included in a GAFSP submission package

For African countries	For Non-African countries	Details
(1) Document Checklist	(1) Document Checklist	Use template in Annex 3
(2) Cover letter with endorsement signature from Minister of Finance <u>and</u> from the Minister of at least one technical ministry or line department.	(2) Cover letter with endorsement signature from Minister of Finance and from the Minister of at least one technical ministry or line department.	Examples of relevant technical ministries: agriculture, rural development, health, women and child welfare, environment/natural resource management, etc.
(3) Evidence of support from the in-country Sector Working Group, such as a letter	(3) Evidence of support from the in-country Sector Working Group (or equivalent), such as a letter, where such groups exist (or from a major donor if such group does not exist).	Support from the in-country sector working group for agriculture and food security or equivalent that includes donor partners, as reflected by the signature of the Chair of the group (or a major donor if there is no official Chair). The endorsements should note that GAFSP funding builds on and complements existing programs and will not displace or duplicate other sources of funding.
(4) Statement of readiness from preferred Supervising Entity(ies) ¹⁵	(4) Statement of readiness from preferred Supervising Entity(ies)	Statement of readiness from proposed Supervising Entity(ies) indicating that they have discussed the proposal with the government, that they are willing and ready to serve as Supervising Entity, with preliminary view of the financing structure of the project (e.g., stand alone, or additional financing to an existing project). The letter should include a list of projects supported by the Supervising Entity(ies) with their associated amounts under implementation (with implementation status) and in pipeline for the country.
(5) GAFSP proposal (Parts 1 & 2)	(5) GAFSP proposal (Parts 1 & 2)	All submissions are required to use the Proposal Document template for their proposal submission, completing: Part 1: Summary of the Country's Agriculture and Food Security Strategy and associated Investment Plan; and Part 2: Specific Proposal for GAFSP Financing
(6) Agriculture and Food Security Strategy	(6) Agriculture and Food Security Strategy	When the strategy is not current (i.e., within the timeframe of the implementation period originally set out in the project submission), countries should present a summary of national agricultural sector progress in recent years along with a clear roadmap to completing the strategy in the early part of implementation of a successful proposal.
(7) Current CAADP Agriculture and Food Security Investment Plan (NAIP).	(7) Current Agriculture and Food Security Investment Plan	Agriculture and Food Security Investment Plan must include evidence of the consultation process underpinning the development of the Investment Plan (See Annex 2).

¹⁵ Eligible Supervising Entities are Multilateral Development Banks (currently limited to African Development Bank, Asian Development Bank, Inter-American Development Bank, or the World Bank) or IFAD (International Fund for Agricultural Development) for investment operations and/or technical assistance. For technical assistance activities only, the Food and Agriculture Organization (FAO) and World Food Programme (WFP) may also be identified as additional preferred Supervising Entities. Specification of more than one Supervising Entity per proposal is possible; the desired division of labor must be clearly specified in the Proposal Document.

<p>For African countries that have completed implementation of a CAADP NAIP: an updated comprehensive Agricultural and Food Security Investment Plan, or, if this is not yet finalized, a Malabo Declaration country implementation Roadmap and stocktaking report, based on the African Union Commission/NEPAD Planning and Coordination Agency (AUC/NPCA) CAADP guidelines under the Malabo Declaration, and other relevant, current national planning documentation for the sector</p>	<p>For countries without a current national agricultural investment plan in place, a country implementation roadmap that captures the process and timeline for completion of the investment plan, and a stocktaking report that lays the basis for preparation of a NAIP, or other relevant, current national planning documentation for the sector</p>	
<p>(8) CAADP Technical Review Report of the current (or updated) Investment Plan. <i>[not applicable to countries submitting roadmaps/stocktaking reports/other national planning documentation]</i></p>	<p>(8) An independent and thorough technical review report of the investment plan <i>[not applicable to countries submitting roadmaps/stocktaking reports/other national planning documentation]</i></p>	<p>In the case of non-CAADP countries, the government may appoint an organization to undertake the review of the Country Investment Plan (<i>not</i> of the GAFSP project proposal). The organization or experts appointed should be independent from those organizations that helped prepare the investment plan and should be recognized in the field of agriculture and food security. In addition, the organization should not be a GAFSP Supervising Entity for the project. If an individual conducts the review, their background and affiliation, as well as any relationship(s) with GAFSP Supervising Entities, should be clearly indicated.</p>
<p>(9) Country response to the independent review observations <i>[not applicable to countries submitting roadmaps/stocktaking reports/other national planning documentation]</i></p>	<p>(9) Country response to the independent review observations <i>[not applicable to countries submitting roadmaps/stocktaking reports/other national planning documentation]</i></p>	<p>Country response to include views on independent review observations, and how it intends to take forward the review recommendations</p>

Annex 1

Guidelines for Review of non-African Country Investment Plans Consistent with the CAADP approach

Areas of Review	Content of Review of Country Investment Plans
Likelihood for the investment programs to realize growth and poverty reduction	<ul style="list-style-type: none"> • Is it aligned with the growth and poverty reduction targets in the country strategy? • Is it aligned with the internationally-agreed Sustainable Development Goals to end poverty and hunger by 2030?
Technical realism (alignment of resources with results) and adequacy of institutional arrangements to implement	<ul style="list-style-type: none"> • Does it establish evidence-based feasibility, efficacy and sustainability of the proposed programs? • Has the financial and economic merit been articulated by applying specific analytical tools such as cost-benefit analysis, risk assessment and beneficiary analysis?
Inclusive design, review and consultation processes	<ul style="list-style-type: none"> • Do the processes demonstrate commitment to gender equality and inclusiveness of vulnerable populations? • Does the plan present clear and verifiable evidence of participation by key stakeholder groups, including farmer groups, the private sector and other civil society organizations, in the preparation of the strategy and investment plan, and a mechanism to facilitate such participation in the execution of the proposed activities? • Does the investment plan present a plan for engagement with the private sector and civil society organizations/NGOs?
Consistency of country budgetary and development assistance commitments with the country investment plan	<ul style="list-style-type: none"> • Does the investment plan present a feasible financing plan with respect to resources from the country (from public and private sources) as well as those from the international donor community? • Has the phasing of individual programs within the plan been presented based on priorities and donor funding scenarios; is there a clear indication of any interdependence among projects? • Has a financing “gap” been put forward on which donors are expected to make programming commitments?
Adequacy of institutional arrangements for effective and efficient delivery, including M&E	<ul style="list-style-type: none"> • Does it sufficiently describe inter-agency and inter-sectoral coordination (including between agricultural and non-agricultural sectors, such as health/nutrition, natural resource management)?
Coherence and or consistency between policies, implementation arrangements and delivery mechanisms, and investment areas, priorities or program objectives	<ul style="list-style-type: none"> • Are any outstanding policy issues and related changes required to achieve the desired plan objectives and are these clearly presented? • Does it demonstrate the means and capacity for effective implementation given the level of resources from the country and donor community? • Does it establish, for each investment area, clear delivery mechanisms and institutional arrangements (who does what, when) taking into consideration country policies, and program objectives?
Appropriateness and feasibility of the indicators for impact and system for	<ul style="list-style-type: none"> • Does it define anticipated results and present targets and standards (gender-disaggregated) by which performance will be assessed during Plan implementation?

capacity improvement and accountability	<ul style="list-style-type: none">• Does it present a data collection and analysis system/plan to effectively monitor and report progress against the planned targets?
Extent and quality of dialogue, (peer) review and mutual accountability system	<ul style="list-style-type: none">• Who is responsible for implementation and what is the accountability system for results, including peer review arrangements?

Annex 2

Quality of Participation Guidelines

These guidelines will be used by the TAC to assess the extent to which the country investment plans (sections 1.4 and 1.5 of the Proposal Document) and GAFSP proposals (sections 2.4 and 2.8 of the Proposal Document) were developed in a participatory manner. These guidelines are intended to be used by governments and Supervising Entities to finalize and implement GAFSP-supported projects and ensure regular, sustained, inclusive, and meaningful participation of relevant actors.

Key Elements and Indicators	Means of Verification
<p>1. Participation is inclusive and representative</p> <ul style="list-style-type: none"> - Key actors are identified and representatives of each sector, who will represent those sectors in the participatory processes, self-select. - All interested parties and sectors connected with food security are invited to participate (e.g., women, smallholder producers, CSOs, private sector, public sector institutions, technical experts, and donors). - Particular attention has been paid to ensure the voice and participation of small-scale producers. - Participation opportunities are extended to stakeholders from outside the capital city. 	<p>Description in proposal and/or documents such as:</p> <ul style="list-style-type: none"> - Description of selection criteria and details about how actors were selected to be included in the country proposal. - Lists of participants in key meetings. - Minutes or meeting summaries that demonstrate participation by participants. - Invitations and meeting announcements.
<p>2. Participation is well planned and more than a one-off activity</p> <ul style="list-style-type: none"> - There is an agreed process for scheduling and organizing participation. The decision-making process and roles and responsibilities of actors are clearly defined ahead of opportunities for participation; and announcements of opportunities for participation are communicated widely in advance to ensure broad participation. - Self-selected representatives of key stakeholders (including civil society groups, farmer organizations and private sector) participate in the institutional and inter-ministerial coordination arrangements with clearly identified roles in implementation. Representatives of key producers' organization and CSOs should be invited to be members of these committees from the outset and should designate their own representatives. - Consultations and opportunities for participation have been provided regularly throughout development of the agriculture and food security strategy and the investment plan (or are being provided, to inform the related roadmap), and the GAFSP proposal. - There are specific plans and platforms to ensure participatory processes during implementation. 	<p>Description in proposal and/or documents such as:</p> <ul style="list-style-type: none"> - Documents outlining agreed process endorsed by key actors, defining roles and stating who is responsible. - CAADP Post-Compact Review for African countries, independent technical review report for non-African countries. - Evidence that the government is addressing the recommendations concerning stakeholder involvement from the CAADP Post-Compact review (for African countries) and from the independent technical reviews (for non-African countries [see Annex 1]) - Invitations and meeting announcements.
<p>3. Participation is meaningful and transparent</p> <ul style="list-style-type: none"> - Participation opportunities employ methodologies to ensure equal voice across genders, and of smallholder farmers. - Dissenting voices are accepted and recorded. - Minutes of meetings are recorded, provided to the participants, and disseminated broadly. 	<p>Description in proposal and/or documents such as:</p> <ul style="list-style-type: none"> - Terms of reference (TOR), methodology, and agenda endorsed by stakeholders. - CAADP Post-Compact Review for African Countries. - Meeting reports and distribution lists.

<ul style="list-style-type: none"> - Support is provided to enable broad participation of key stakeholders in consultation, implementation, and for capacity building. 	<ul style="list-style-type: none"> - Description and/or documentation outlining in-kind, financial or donor resources available to support consultation during implementation and for capacity building.
4. Participation impacts project design and implementation	
<ul style="list-style-type: none"> - There is evidence of meaningful participation by key actors in the planning and implementation of the agriculture and food security strategy and the investment plan (or the related roadmap), and the GAFSP proposal. - There is evidence that the agriculture and food security strategy, the investment plan, and the GAFSP proposal are responsive to gender concerns. - There is evidence that input received from all actors involved in participatory processes was addressed in the investment plan and in the GAFSP proposal. - There is evidence that the participatory processes discussed the rationale for the proposed public sector financing and the potential for complementary private sector investment, including by farmers and their organizations. - There is ownership/broad political support for the agriculture and food security strategy, for the investment plan, and for the GAFSP proposal. 	<p>Description in proposal and documents such as:</p> <ul style="list-style-type: none"> - Documentation from independent, self-selected civil society and other stakeholders that provides an analysis and evaluation of the design and impact of the consultation process organized by the government.

Annex 3 - Document Checklist

Document Checklist for <u>African Countries</u>	File Name (files should be in Word, Excel, or PDF only)
(1) Document Checklist	
(2) Cover letter with endorsement signature from: a. Minister of Finance b. Minister of at least one relevant technical ministry or line department	
(3) Endorsement letter from the in-country Sector Working Group	
(4) Letter of readiness from preferred Supervising Entity (or Entities, if more than one)	
(5) GAFSP Proposal Document (Parts 1 and 2) – using Proposal Document template for submission	
(6) Agriculture and Food Security Strategy	
(7) Current CAADP Post-Compact Agricultural Sector Investment Plan. For those countries that have completed implementation of a CAADP NAIP and have prepared an updated plan: a comprehensive Agricultural and Food Security Investment Plan, following elements described in the Proposal Document sections 1.1 through 1.5	
(8) CAADP independent Technical Review Report of the Investment Plan. For those African countries that have completed implementation of a CAADP NAIP and have a new investment plan: an independent and thorough technical review report of the current investment plan.	
(9) Country response to the technical review observations	
(10) Signed CAADP Compact for those countries that have not completed implementation of a CAADP NAIP.	
Notes:	

Document Checklist for <u>Non-African countries</u>	File Name (files should be in Word, Excel, or PDF only)
(1) Document Checklist	
(2) Cover letter with endorsement signature from: a. Minister of Finance b. Minister of at least one relevant technical ministry	
(3) Endorsement letter from the in-country Sector Working Group (or equivalent, if such group exists in-country)	
(4) Letter of readiness from preferred Supervising Entity (or Entities, if more than one)	
(5) GAFSP Proposal Document (Parts 1 and 2) – using Proposal Document template for submission	
(6) Agriculture and Food Security Strategy	
(7) Agriculture and Food Security Investment Plan	
(8) An independent and thorough peer review report of the investment plan	

(9) Country response to the independent review observations	
Notes:	

Annex 4

Project Preparation Grant

This information is for countries that wish to request a project preparation grant as part of any successful project grant approved by the GAFSP Steering Committee. This Annex does not describe the process by which proposal preparation assistance is offered, which is found in Annex 5.

A recipient country may include in its proposal a request for a preparation grant to be used to assist the country in the subsequent detailed design of a project approved under the GAFSP Public Sector Window. The GAFSP Steering Committee will consider the preparation grant request if it awards financing to the overall proposal. The preparation grant request will be considered at the same time as the overall proposal financing awards.

Countries have the option to request preparation funds if it is difficult to source sufficient and timely funds through the government budget process or other funding sources. A preparation grant request should be included as a specific Appendix in the country's Proposal Document (Appendix 3). The preparation grant will be made available to countries through their chosen Supervising Entities and is not additional to the GAFSP grant amounts (i.e., it will be considered as part of the overall grant award and will therefore reduce the amount that could otherwise be used for the proposed project). The specific amount for the overall grant (excluding the preparation funds) and the funds for the preparation grant will be identified separately in the award from the GAFSP Steering Committee. The preparation grant request should include the following:

Justification: Specify the reasons for the request, including measures taken to secure alternative financing for preparation including through the public budget.

Proposed activities and associated budgets: Provide a detailed list and associated budget for the preparation activities proposed to be undertaken. The grant can only be used for the preparation of the GAFSP-financed project, which may include:

- Feasibility studies and detailed designs, including technical studies;
- Environmental and social impact assessments, gender studies and studies on project-related cross-cutting issues;
- Pre-contract services including revision of designs and tender documents;
- Preliminary studies or dialogue with the private sector to design Public-Private Partnerships (PPPs) and concessions
- Institutional support, capacity development and human resource development during the project preparatory phase;
- Development of the indicative project monitoring and evaluation framework; and
- Carrying out the design and completion of the baseline studies.

Grant size requested: Preparation grant size is limited to a maximum of US\$500,000.

The grant must be used within 18 months from the date of Steering Committee approval. Any preparation funds that have not been disbursed after 18 months must be returned to the GAFSP Trustee. The undisbursed preparation funds cannot be added to the project grant. The recipient country should provide assurances in the preparation grant request that the preparation activities can be undertaken within the indicated time period.

The GAFSP TAC will review the preparation grant request at the same time as it reviews the overall proposal requests and will make combined recommendations to the Steering Committee. Upon approval by the Steering Committee of a preparation grant to a recipient country, the Supervising Entity requests the transfer of funds. Detailed processing of the grant will follow the policies and procedures of the investment Supervising Entity that will support the government to implement the overall project, identified as the preferred Supervising Entity in the Award notification letter from the Steering Committee.

A progress update on the use of and outputs financed by the preparation grant, and a final account of the use of funds should be submitted to the Steering Committee no later than 19 months after Steering Committee approval of the preparation grant. The progress update and final account of the use of funds will be submitted to the Steering Committee via the CU for a 5-day no objection review. If no objections are received at the end of the review period, these documents will be accepted as final. If any funds remain unused, the Trustee will submit a refund request to the Supervising Entity for their return. The Supervising Entity must return any funds remaining to the Trustee upon receipt of the refund request.

Annex 5

GAFSP | Application for Proposal Preparation Assistance

This application is for eligible countries that wish to seek assistance in preparing a proposal for the GAFSP Public Sector Window 2019 Special Call for Proposals for Fragile and Conflict Affected Countries. The technical assistance (TA) is offered on a demand-driven basis, to any eligible FCS, IDA-only country preparing a proposal submission. This technical assistance is completely optional and receiving it, in no way, indicates higher likelihood that a proposal will be selected for funding. Note that the assistance is in the form of TA delivered by staff or consultants of the World Food Programme (WFP) or the Food and Agriculture Organization (FAO) of the United Nations. It is *not* in the form of financial assistance directly to countries.

Submission Requirements:

1. Please fill out the template below and send it by email to the GAFSP Coordination Unit at <gafsp-info@gafspfund.org> by 11:59pm on Monday, April 15, 2019 (Washington D.C. time).
2. Please also attach a written indication of agreement from one of the two GAFSP Supervising Entities that are eligible to provide this assistance in preparing the proposal: WFP or FAO.
3. It is expected that countries will coordinate any such assistance organized through FAO or WFP, as needed, with the proposed investment Supervising Entity in finalizing their proposals.

If you have any questions about this application, please send an email to the GAFSP Coordination Unit at <gafsp-info@gafspfund.org>.

Template | Technical Assistance for Proposal Preparation

Basic Information	
Country:	
Project Name (indicative):	
Project Objective (indicative):	
Subsector(s) that the project will target (e.g., crops, water management, rural roads, livestock, nutrition, etc):	
National Executing Agency:	
Supervising Entity requested for Proposal Preparation Assistance (please signal the preferred organization):	<input type="checkbox"/> WFP <u>or</u> <input type="checkbox"/> FAO
Confirm attachment of written agreement by the selected SE (WFP or FAO) to provide assistance	<input type="checkbox"/> WFP Country Representative – confirmation attached <input type="checkbox"/> FAO Investment Center – confirmation attached
Other partners:	[List any other partners (local or international) that the country will involve in the proposal preparation process. Include other GAFSP Supervising Entities if applicable.]

Brief description of activities for which assistance is requested, including: <ul style="list-style-type: none">• Technical area• Specific deliverable(s)• Timeframe	[Insert brief description of the nature and anticipated technical areas for proposal preparation assistance]