



## Call for Proposals

### Guidelines and Proposal Template for Producer Organization Submissions

Call Launch Date: 20 May 2021

Submission Deadline: 8 September 2021

## GAFSP Call for Proposals: Guidelines for Producer Organization Submissions

### I. The Global Agriculture and Food Security Program

The Global Agriculture and Food Security Program (GAFSP) works to improve the income and food security of poor people in low-income countries through public and private sector investments, as well as technical assistance and advisory services. GAFSP aims to fill the financing and technical gaps in country-owned and country-led agriculture and food security strategies and plans. GAFSP takes a holistic food systems perspective—with agriculture at its core—to support countries resiliently and sustainably transform their food and agriculture sector to improve environmental outcomes, reduce greenhouse gas emissions, advance gender equality, increase smallholders' incomes, improve human health and nutritional outcomes, and enhance countries' capacity to adapt to and build resilience to potential future crises.

In line with this objective, and to maximize the impact of funding along the entire food value chain, GAFSP invites Governments and Producer Organizations (POs) to submit proposals for investment grants and technical assistance to support the implementation of country-led initiatives.

GAFSP allocates funds based on competitive, open Calls for Proposals that have clear, transparent guidelines set forth by the GAFSP Steering Committee in consultation with stakeholders, constituents, and partners. The GAFSP Steering Committee has launched a Call for Proposals targeting country governments and POs. The guidelines below address the requirements for POs applying for funding under this Call for Proposals. Separate guidelines and template are available for Countries applying under this Call<sup>1</sup>.

### II. Call for Proposals Objective and Scope and eligibility

**Objective:** The PO-led modality builds on the experience of the Missing Middle Initiative (MMI) pilot<sup>2</sup> and targets POs. The objective of the PO-led modality is to strengthen the managerial, governance and technical capacities of POs as key economic players in the value chain, and to build smallholder farmers' livelihood opportunities through capacity building and increased access to finance, markets, and technology.

**Scope:** This Call for Proposals is being launched in the context of the ongoing COVID-19 pandemic. Therefore, GAFSP funding will support medium- to long-term COVID-19 response efforts for a more sustainable, inclusive, and resilient recovery of the agriculture and food sectors in a changing climate to “build back better<sup>3</sup>”.

Within this context, GAFSP will continue its focus on the cross-cutting areas of gender and the empowerment of women and girls, climate resilience, and improved nutrition outcomes – themes that are in line with the Call for Action of the United Nations (UN) Sustainable Development Goals (SDG) Framework under the UN Decade of Action and also support the achievement of the SDGs to end poverty and hunger by 2030.

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<sup>1</sup> [<https://www.gafspfund.org/guidelines-2021-CfP>]

<sup>2</sup> In 2016 GAFSP launched the MMI pilot to finance activities directly managed and implemented by POs and agriculture civil society organizations while engaging with other actors in the agriculture value chain. The MMI pilot was launched with the recognition that entities like POs, smallholder farmer groups, and small and medium enterprises (SMEs) were not sufficiently serviced by GAFSP through its existing instruments. See <https://www.gafspfund.org/small-scale-grants> for more details.

<sup>3</sup> Deriving from its origins in disaster recovery, the term ‘build back better’ in the context of the present COVID-19 pandemic and recovery encompasses attention to economic recovery while addressing today’s global environmental threats: <https://www.oecd.org/coronavirus/policy-responses/building-back-better-a-sustainable-resilient-recovery-after-covid-19-52b869f5/>

**This Call for Proposals is seeking technically sound proposals that not only justify the proposed PO-led investments, but also seek to support the professionalization of POs in their business ventures while addressing local supply and market failures such as low access to commercial credit sources that inhibit the development of a productive agriculture value chain and the creation of a conducive environment for further private sector investment, especially by smallholder producers and their organizations**<sup>4</sup>. The GAFSP Steering Committee looks forward to receiving a broad range of proposals, and priority will be given to those that are able to demonstrate high likelihood of effective implementation within the specific context.

**Eligibility:** This Call for Proposals will be open to POs<sup>5</sup> that are registered and operating in the target GAFSP eligible country and whose mandate is aligned with GAFSP’s objectives. The POs’ primary target group should be smallholder producers, with the aim to professionalize their organizations and improve their members’ livelihoods and profitability, or related small businesses along the food value chain through improved access to finance and other means. The PO will need to partner with one of the seven GAFSP Supervising Entities (SEs)<sup>6</sup>.

Table 1 (below) shows the list of 57 GAFSP eligible countries under this Call for Proposals. Eligible countries are those members of the International Development Association (IDA) that are classified as active IDA-only countries, i.e., those countries that are eligible to receive financing from IDA and not from the International Bank for Reconstruction and Development (IBRD) and that are not in non-accrual status<sup>7</sup>.

**Table 1: List of Eligible Countries**<sup>8</sup>

Africa (33 countries)			East Asia and the Pacific (11 countries)	Europe and Central Asia (3 countries)	Latin America (4 countries)	Middle East (1 country)	South Asia (5 countries)
Benin	Guinea	Rwanda	Cambodia	Kosovo	Guyana	Yemen	Afghanistan
Burkina Faso	Guinea-Bissau	Sao Tome & Principe	Kiribati	Kyrgyz Republic	Haiti		Bangladesh
Burundi	Lesotho	Senegal	Lao PDR	Tajikistan	Honduras		Bhutan
CAR	Liberia	Sierra Leone	Marshall Islands		Nicaragua		Maldives
Chad	Madagascar	Somalia	Micronesia, FS				Nepal
Comoros	Malawi	South Sudan	Myanmar				
Congo,							

<sup>4</sup> The private sector covers a broad spectrum from individual farmers and their cooperatives 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. In line with these principles, POs are encouraged to build partnerships with private companies active in agricultural value chains, SMEs (local input dealers, traders, commodity brokers and agro-processors) and large domestic and international corporations (input and food manufacturers, large commodity traders and food companies), and/or to develop innovative solutions to access domestic local markets.

<sup>5</sup> For the purposes of this Call for Proposals, POs include farmers’ organizations and other forms of producer associations, cooperatives, unions and federations. They are autonomous membership-based professional organizations, structured on either a commodity or a territorial basis. Their members include smallholders, family farmers, and rural producers, including pastoralists, artisanal fishers, landless people and indigenous peoples.

<sup>6</sup> The Eligible Supervising Entities are: the African Development Bank (AfDB), the Asian Development Bank (ADB), the International Fund for Agricultural Development (IFAD), the Inter-American Development Bank (IDB), the Food and Agriculture Organization of the United Nations (FAO), the World Food Programme (WFP) or the World Bank.

<sup>7</sup> Nonaccrual 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.

<sup>8</sup> The list of eligible countries is determined at the time of the Call launch. Any changes to a Country’s IDA-only classification during the Proposal preparation time will not affect the country’s eligibility to apply for funding under the Call. Any country that is not eligible at the launch of the Call but that is reclassified as IDA-only prior to the submission deadline would become eligible to apply. For questions regarding a country’s IDA classification, please contact the GAFSP Coordination Unit (gafsp-info@gafspfund.org)

Democratic Republic of Côte d'Ivoire Djibouti Ethiopia Gambia Ghana	Mali Mauritania Mozambique Niger	Sudan Tanzania Togo Uganda Zambia	Samoa Solomon Islands Tonga Tuvalu Vanuatu				
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### III. Available Financing

Available resources in the GAFSP Trust Fund for Countries and POs applying under this Call for Proposals is approximately US\$150 million. Of this, an indicative amount of US\$25 million will be allocated for PO submissions. This will likely be allocated to 8 - 10 successful PO proposals.

### IV. Proposal Evaluation and Selection Criteria

GAFSP grant financing is highly competitive and not all technically sound proposals can be financed.

Overall, successful proposals will: (i) delineate an effective and cost-efficient set of activities to strengthen the institutional, technical, and administrative capacity of POs to carry out business-oriented ventures, improve their access to finance and markets, and increase their member smallholder producers' resilience and profitability under a clear intervention logic; (ii) have activities with measurable outcomes responding to clearly identified needs and address medium- to long-term COVID-19 response and sustainable recovery of the agriculture and food sectors in a changing climate based on the local context; (iii) incorporate elements of some (not necessarily all) *GAFSP priority cross-cutting themes* of promoting gender and the empowerment of women and girls, strengthening climate resilience, and improving nutritional outcomes as defined in their own country policy framework; and (iv) present an analysis of private sector opportunities that justifies the use of scarce grant financing which cannot be addressed by other types of funding. In addition, proposals should be evidence-based, taking into account lessons learned from relevant past experiences, and demonstrate implementation capacity and readiness. This could include evidence of having analyzed the effectiveness of measures to date to address COVID-related issues in the food system and proposed solutions.

The Proposal Template is organized into five sections. Proposals will be scored based on sections 1-5 and their respective weightings.

Sections	Weighting
Section 1: Basic Data	0%
Section 2: Project Description	35%
Section 3: Context for the Proposed Project	20%
Section 4: Cross-cutting Themes	20%
Section 5: Project Implementation, Sustainability, and Budget	25%

## V. Application Process

**Proposal Preparation:** PO-led project Proposals will be prepared by POs operating in eligible countries.<sup>9</sup> Applicants should engage in Proposal preparation in consultation with their preferred SE to discuss the Proposal and seek support as needed early in the preparation process. Each PO, through their partner SE, can submit only **one** Proposal under the PO-led modality. The Proposal can form part of, or be a component of, any larger project, including non-GAFSP projects under preparation or under implementation, with support of the SE in any GAFSP eligible country. The Proposal can also be a stand-alone intervention that is not part of a larger project.

**Engagement with Preferred Supervising Entities:** POs should clearly specify their preferred SE in the Proposal Template. POs must choose one SE from the following eligible SEs: the African Development Bank (AfDB), the Asian Development Bank (ADB), the International Fund for Agricultural Development (IFAD), the Inter-American Development Bank (IDB), the Food and Agriculture Organization of the United Nations (FAO), the World Food Programme (WFP) or the World Bank. The selected SE has the responsibility to submit the Proposal to the GAFSP Coordination Unit (CU) on behalf of the POs. If a Proposal is selected for GAFSP financing, SEs are responsible for supporting the PO in the further design and implementation of the projects in accordance with the SEs' own policies and procedures.

**Proposal Template:** Applicants must complete the Proposal Template included with these Guidelines. All sections must be completed for the GAFSP Steering Committee to be able to make an informed decision on resource allocations<sup>10</sup>.

**Supporting Documents:** *Table 2* below lists the supporting documents required to complete the application submission package.

**Requested Financing:** POs should indicate in the Proposal the total amount of GAFSP funding requested ("Amount Requested"), including a preliminary budget in Annex 1.

**Engagement with Project Participants and Partners:** GAFSP aims to provide funding for Proposals that are derived from an inclusive planning process led by the PO. In addition to engagement with the preferred SE, applicants are expected to demonstrate how they have engaged and consulted, in a gender-inclusive manner, with farmers, agro-processors, marketers, farmer organizations, women's groups, civil society and/or other relevant actors in the agriculture value chain in the preparation of the Proposal.

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

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<sup>9</sup> In the preparation of their Proposal, POs may wish to reference online resources such as those available through the [CGIAR COVID-19 Hub](#) or the [Committee on World Food Security \(CFS\)](#).

<sup>10</sup> Documents from the MMI Call for Proposals are available under the Project pages of the GAFSP website (<https://www.gafspfund.org/projects>). However, as the Proposal Guidelines as well as necessary submission requirements have changed significantly since the MMI Call, applicants are advised not to rely on submission documents from the MMI Call for guidance in preparing their submissions.

## VI. Proposal Submission and Review Process

**Proposal Submission:** The SE chosen by the PO is responsible for submitting the Proposal on behalf of the PO. All relevant partners, including PO contacts, should be copied on the submission of the Proposal package. Submissions should be made via e-mail to: [gafsp-info@gafspfund.org](mailto:gafsp-info@gafspfund.org). Submission documents must be in Microsoft Word, Excel, or PDF format. Proposals are required to be in English. Supporting documents may be submitted in French. Please contact the GAFSP CU at [gafsp-info@gafspfund.org](mailto:gafsp-info@gafspfund.org) prior to submission of supporting documents in other major languages, which may be permitted on an exceptional basis.

Submissions must be received by: 11:59 pm, 8 September 2021 (Washington, D.C. time (GMT -5)). No exceptions will be made on the deadline or document formats. Applicants are encouraged to submit a few days earlier than the deadline in case there are technical problems in the submission process. Applicants will receive an acknowledgement email upon confirmation of receipt.

**Review Process and Funding Decisions:** Eligible proposal packages are reviewed by a Technical Advisory Committee, comprising independent sectoral experts, who use the information provided in the proposals to make recommendations to the GAFSP Steering Committee for funding. Upon approval of a Proposal, the GAFSP Steering Committee will issue an award notification letter to the SE. The SE has the duty to notify the applicant PO in a timely fashion. Funding decisions are expected to be made by the GAFSP Steering Committee in late 2021.

**Project Preparation (for successful applicants):** If a Proposal is approved, the PO will work with the respective SE to design and appraise the project, in line with the SE's policies and procedures. Following approval of the final project design document by the GAFSP Steering Committee and the relevant authority within the SE, the GAFSP Trustee will transfer the grant to the SE in accordance with established procedures for the transfer of GAFSP funds. The SE will then transfer funds to the recipient PO and/or implement project activities, in line with the implementation and fund flow arrangements detailed in the project design document.

**Table 2: List of documents required to be included in the submission package**

Document	Details
(1) Statement(s) of readiness from preferred Supervising Entity, signed by the relevant Supervising Entity's country representative(s).	Statement of readiness from proposed Supervising Entity indicating the following: <ul style="list-style-type: none"><li>• that they have discussed the proposal with the PO</li><li>• that they are willing and ready to serve as Supervising Entity</li><li>• preliminary view of the financing structure of the project (e.g., stand alone or additional financing to an existing project) and indicative project milestones<sup>11</sup> (appraisal timeline, Supervising Entity approval date, first disbursement from Supervising Entity to PO, expected end of activity date)</li><li>• a list of projects (pipeline and under implementation) supported by the Supervising Entity(ies) with their associated amounts for the agriculture and food security related sectors in that country.</li></ul>

<sup>11</sup> It is anticipated that the GAFSP Steering Committee will make funding decisions the last quarter of 2021.

(2) Letters of intent of co-financing partners to the proposed project <sup>12</sup> (as indicated in <i>Table A of Annex 1</i> )	Letters of intent to co-finance indicating the following: <ul style="list-style-type: none"> <li>• that they have discussed the proposal with the PO</li> <li>• that they are willing and ready to collaborate on the project in specified ways</li> <li>• indicative co-financing amount and co-financing modality (e.g., through international NGOs, from bi-lateral government aid organizations, channeled through the proposed Supervising Entity or other).</li> </ul>
(3) GAFSP Proposal	All submissions are required to use the Proposal Template for their Proposal submission.

Do not send additional hard copy documents beyond those requested above. Any additional supporting documentation should be referenced in the application Template with a hyperlink and indication of relevant page numbers. Only send separate documents (include page references) if they are not available online.

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<sup>12</sup> Co-financing provided by the selected SE, can be included in the SE statement of readiness. No separate letter of intent would be required in that case.

## GAFSP Call for Proposals: Producer Organization Proposal Template<sup>13</sup>

Please review the “GAFSP Call for Proposals: Guidelines for Producer Organization Submissions” prior to completing this Template<sup>14</sup>. All questions in the Template should be answered and the total length of the completed Proposal should not exceed 20 pages in length (excluding annexes and supporting documents). Submissions should be in English and should include all documents specified in *Table 2* of the Guidelines. Where relevant, include hyperlinks to additional supporting documentation and reference the relevant page numbers. Monetary values should be expressed in US\$ or US\$ equivalent, specifying the exchange rate used (including the date of the exchange rate), and rounded to the nearest ‘000.

### Section 1: Basic Data

a. Project Name		
b. Country and Region		
c. Producer Organization (PO)	Name	
	Address	
	Registration	Yes (include date and location of registration) No
	PO website or link to annual report	
	Primary Activities of PO	
	Type of target farmers	
d. PO Mission Statement		
e. PO Focal Person (for this project)	Name: Title: Email:	
f. SE Focal Person	Name: Title: Email:	
g. Total GAFSP Grant Funding Requested (refer to Annex 1 – Project Budget Table)	Amount Requested: US\$	
h. Estimated project start and end date (mm/yy – mm/yy):		
i. Preferred Supervising Entity (Select only one)	<input type="checkbox"/> African Development Bank (AfDB) <input type="checkbox"/> Asian Development Bank (ADB) <input type="checkbox"/> International Fund for Agricultural Development (IFAD) <input type="checkbox"/> Inter-American Development Bank (IDB) <input type="checkbox"/> Food and Agriculture Organization (FAO) <input type="checkbox"/> World Bank (WB)	

<sup>13</sup> To obtain an editable Word version of this template, contact the GAFSP Coordination Unit at [gafsp-info@gafspfund.org](mailto:gafsp-info@gafspfund.org)

<sup>14</sup> A different template is available on the GAFSP website for Countries applying under this Call for Proposals [\[https://www.gafspfund.org/guidelines-2021-CfP\]](https://www.gafspfund.org/guidelines-2021-CfP)



<input type="checkbox"/> World Food Programme (WFP)
j. Has the PO previously received a GAFSP Missing Middle Initiative grant?
<input type="checkbox"/> Yes, please complete <i>Annex 4</i>
<input type="checkbox"/> No

**Section 2. Project Description (weighting 35%) (suggested 6-8 pages)**

**2.1 Project Development Objective** (max. 2 sentences)

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**2.2. Provide a clear description of the proposed project**, including a brief description of the rationale and approach, and more detailed descriptions of the project components and activities, geographic focus and target populations. Indicate how the project components and activities aim to achieve the project’s overall objectives, as well as how the proposed project activities intend to address the sustainable, inclusive, and resilient development of the project area’s agriculture and food system in a changing climate.

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**2.3. Elaborate on the target population and the targeting strategy for the project?** Be specific in identifying the target populations and include expected percentage/number of each group (e.g., smallholder producers, women, youth, children, minorities, or other marginalized groups). Why has this population group been selected as the target for his project (include data/evidence to support your argument/level of food insecurity or other need of the target population)? How will the direct beneficiaries be selected?

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**2.4 Describe major obstacles to smallholder and related small business development in the food and agriculture sectors in the project area.** What supply and market failures will be addressed through the proposed project activities, and are these systemic issues or resulting from or exacerbated by COVID-19 circumstances? Has any analysis of the local investment environment been conducted (include hyperlinks to any relevant studies/reports)? If so, does the proposed project respond to the findings from this analysis? If not, will the proposed project plan to conduct any analysis of the business environment in the target project area?

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**2.5 Describe proposed linkages between POs and private sector actors.** Will the project work with commercial banks (if yes, explain how)? Will the project work with other non-financial private sector entities (if yes, explain with whom and how)?

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**2.6 Describe expected results of this project and how they will be measured at output, outcome, and impact levels.**<sup>15</sup> Follow the guidance in *Annex 2* and elaborate a Results Monitoring Matrix in *Annex 2, Table E*.

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**2.7 What evidence is there that the proposed approach and activities will successfully address the issues identified?** How does this proposed project relate to other interventions carried out by the POs to date, and what lessons have been incorporated into the project design? Does the project build on or complement other government, development partner or private sector interventions? Indicate if this is a scaling up of a prior intervention, provide hyperlinks to relevant documents (e.g., evaluations and/or studies). If associated projects are former or ongoing GAFSP-funded Missing Middle Initiative projects complete *Annex 4*.

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**2.8 In summary, why should GAFSP provide grant funding to the proposed project?** (max. 1 paragraph). Why are the proposed activities a priority for funding?

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### **Section 3. Context for the Proposed Project (weighting 20%) (suggested 2-3 pages)**

**3.1 Describe the state of the agriculture and food system in the project area, including any current and future pressures on the sector (e.g., climate risks). Describe any impacts and disruptions caused by COVID-19, particularly impacts in project activity areas and on the target populations.** How has the COVID-19 response been coordinated at the local level and in the project area? Include specific COVID-19 context and data, where available, as relevant to the proposed project.

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**3.2 How will the proposed project address medium- to long-term COVID-19 response and recovery of the agriculture and food sectors in a changing climate and support the principle of ‘building back better’<sup>16</sup>?** What lessons have been learned from the pandemic over the past year and how will the project improve resilience to future disruptions? If available, provide hyperlinks to relevant research or studies used in your analysis. Has the PO taken concrete actions to date to address the impact of COVID-19? If yes, describe lessons from that experience. Then, highlight how the project will build on that to address specific medium- to long-term issues highlighted by the pandemic to ‘build back better’, limiting environmental degradation, promoting climate resilience and social wellbeing, and ensuring future preparedness.

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<sup>15</sup> Refer to the [GAFSP M&E Plan](#) for guidance on M&E requirements for GAFSP grants once approved.

<sup>16</sup> Deriving from its origins in disaster recovery, the term ‘build back better’ in the context of the present COVID-19 pandemic and recovery encompasses attention to economic recovery while addressing today’s global environmental threats: <https://www.oecd.org/coronavirus/policy-responses/building-back-better-a-sustainable-resilient-recovery-after-covid-19-52b869f5/>

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**3.3 What are the linkages between the proposed project activities and the strategic priorities that are relevant for the involved PO(s)?**

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**3.4 Are the proposed project activities aligned with national priorities (the country's agriculture and food security strategies, national COVID-19 Response Plan, or other approved development plans) and are any linkages to government programs proposed?**

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**Section 4. Cross-cutting Themes (weighting 20%) (suggested 2-3 pages)**

*It is expected that projects will address some, or all, of the cross-cutting themes to a certain degree. A cross-cutting theme should only be selected below if it is a significant additional focus of the proposed project with specific activities that address these themes directly.*

**4.1 Does the proposed project address any of the GAFSP priority crosscutting themes? (The Proposal will only be evaluated against the themes selected. Select only themes that the project addresses directly, and for which it will measure and report on impacts/outcomes in the project monitoring framework such as the logframe or Results Framework.)**

- Gender and empowerment of women and girls
- Climate resilience
- Improved nutritional outcomes

**4.2 Describe how the project will address the identified thematic focus area(s).** Be specific ( go beyond the use of buzz words like “nutrition sensitive agriculture” or “climate resilient varieties”) on how the project activities will address the thematic focus area(s) in the local context. Identify specific issues (and include supporting data) related to the selected themes that the project will address, and what target outcomes related to the theme are expected to be achieved.

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**4.3 Specify how the participation and role of women smallholder producers will be increased in POs and smallholder producer groups as a result of the proposed project** (complete this question even if the gender theme was not selected).

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**Section 5. Project Implementation, Sustainability and Budget (weighting 25%) (suggested 5-6 pages)**

**5.1 What are the risks to achieving the proposed project’s objectives and what are the potential negative externalities or spillovers that could result from the proposed project activities and targeting?** How likely are they to occur, what impact would they have, and what mitigation measures are proposed? Include a detailed assessment under *Annex 3, Tables E and F*.

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**5.2 What are specific design measures that will be incorporated to increase the likelihood of sustainability of the project activities or outcomes?** Provide specific examples of how the project will build in sustainability. For example, who will be responsible for maintenance and operations of equipment, facilities, etc.? What capacities would need to be developed and how? Have recurrent costs been factored into assets and programs? How are users/beneficiaries expected to share in the cost of any works or goods provided by the project?

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**5.3 Who has been involved or consulted in the development of the Proposal?** Specify who (e.g., local government agencies, private businesses, civil society, other POs, research organizations, public health and nutrition workers, women’s groups), where, when and through which modality stakeholders were consulted or involved in developing the Proposal. State how these consultations changed or specifically affected the design or selection of the proposed project activities. How would stakeholders continue to be engaged and consulted during project preparation and implementation if the proposal was approved? *Applicants are strongly encouraged to involve civil society during Proposal development and subsequent Project design and implementation.*

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**5.4 Provide a description of the PO’s structure, including membership, and services offered by the PO.** For example, the number of members and dues-paying members, average number of users for services offered by the PO (by year for most recent 2-3 years), membership fees, assets, office locations, number and roles of paid employees, as well as any financial data that indicates the scale and depth of the business venture supported by the PO (such as sales data by its members).

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**5.5 Describe the proposed project implementation arrangements,** including the lead and other POs, and other partners (e.g., private businesses, development partners, civil society organizations, or women’s groups) that will be involved in the implementation of the project and their roles. What is the intended implementation arrangement within the lead PO? Provide a clear overview of roles and responsibilities of different entities involved.

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**5.6 Describe the proposed financial and implementation arrangements between the SE and the**



**PO**, including breakdown of funds and how funds are transferred from SEs to POs as well as the financial and progress reporting system to be put in place.

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**5.7 Present the overall project budget using the *Tables A, B and C in Annex 1*.** Please respond in *Annex 1*. Do not include a table here.

**5.8 PO's readiness:** Provide information regarding the PO's:

- Previous experience in working in partnership with the preferred SE;
- Previous experience managing funds from the preferred SEs and/or other international entities such as development agencies or international NGOs;
- Main activities carried out by the PO in the past 5 years and external funders for those activities; and
- Experience in managing contracts, not limited to grant agreements.

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## Annex 1 – Project Budget Tables

Provide comprehensive budget information for the proposed project. All figures should be in US\$ and rounded to the nearest '000.

**Table A: Summary of Overall Project Funding**

Funding Source	Amount	Has this funding been secured (Yes/No)?
GAFSP grant amount requested		n/a
PO co-financing <sup>17</sup>		
Other Funding Sources ( <i>SE, ODA, international NGOs, etc.</i> )		
- [Specify source]		
- [specify source]		
- [specify source]		
<i>Add rows as needed</i>		
<b>Total Project Funding</b>		

**Table B: Detailed Project Budget** (for each component indicate who will administer the funds and manage procurement – SE or PO)

Components	Activities	GAFSP Funding Requested		Other Funding Sources Amount (US\$)
		Amount Requested (US\$)	Fund management and procurement (SE or PO)	
Component 1: [add name]	Activity 1: [add name]			
	Activity 2: [add name]			
	Activity 3: [add name]			
Component 2: [add name]	Activity 1: [add name]			
	Activity 2: [add name]			
	Activity 3: [add name]			
Component 3: [add name]	Activity 1: [add name]			
	Activity 2: [add name]			
	Activity 3: [add name]			
<i>Add rows for additional components and activities as needed</i>				
<b>TOTAL BUDGET FOR ALL COMPONENTS</b>				

Note: Do not include separate line items for contingencies. Instead factor contingencies into component costs.

**B.1. Clarify the underlying assumptions for the proposed budget:** For example, indicative unit costs for major investments including how derived, training and workshops, program coordination costs, additional budget notes, etc.

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<sup>17</sup> Include financial contributions only. Additional information on financial and in-kind contributions can be described under question B.3.



**B.2. Will the PO provide any financial or in-kind contribution to the project?**

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## Annex 2 – Proposal Stage Results Monitoring Matrix

**Review *Table D*** below for the list of GAFSP Tier 1 (impact) and Tier 2 (output and outcome) indicators and select the indicators that are relevant to the Proposal. The selected GAFSP Monitoring & Evaluation (M&E) indicators should be included in the Results Monitoring Matrix presented in *Table E* and should feed into the project Results Framework or Log Frame if the Proposal is approved.

**Present a Proposal stage Results Monitoring Matrix in *Table E*.** This should include indicators for the project as a whole and for all components, as well as indicative end-of-project target values. Refer to the [GAFSP M&E Plan](#) for requirements to be followed for any approved proposals. Refer to the list of Tier 1 and Tier 2 indicators in *Table D* and include those selected in *Table E*. **Note that the GAFSP M&E Plan is currently undergoing revision and there may be changes to the current set of core indicators. Specifically, there may be new indicators to be used by PO-led projects to capture results around the institutional capacity of the POs and access to financial services provided by POs for its members. These changes (once finalized) will be communicated to successful recipients for incorporation into the final Results Monitoring Matrix in the SE project design document.**



**Table D. GAFSP Tier 1 and Tier 2 Core Indicators**

#	Tier 1 impact indicators for all GAFSP projects	Check if Yes
1	Food and nutrition security ▶ Mandatory Food Insecurity Experience Scale (FIES) indicator and optional indicators are Food Consumption Score (FCS), Minimum Dietary Diversity-Woman (MDD-W) and Minimum Dietary Diversity -Children (MDD-C)	<input type="checkbox"/>
2	Household income	<input type="checkbox"/>
3	Crop yield (apply only to those projects with explicit productivity gain goals)	<input type="checkbox"/>
#	Tier 2 indicators for all GAFSP projects, <i>Mandatory Breakdowns</i> † (unit) ▶ Indicator notes	
1	Number of beneficiaries reached, gender disaggregated, percentage who have been helped to cope with impact of climate change†† ▶ People receiving benefits from the project. ▶ Disaggregation for gender and those receiving Climate-Smart Agriculture (CSA)-specific support.	<input type="checkbox"/>
2	Land area receiving improved production support, <i>percentage of these that are climate smart</i> (ha) ▶ Area that adopted new inputs/practices, new/rehabilitated irrigation services, land registration, etc. ▶ Disaggregation for climate-smart interventions.	<input type="checkbox"/>
3	Number of smallholders receiving productivity enhancement support, gender disaggregated, climate-smart agriculture support ▶ Number of end-users who directly participated in project activities. ▶ Includes technology/technique adoptees, water users with improved services, those who had land rights clarified, people offered new financing/risk management services. ▶ Using CSA approaches.	<input type="checkbox"/>
4	Number of producer-based organizations supported (number) ▶ Relevant associations established or strengthened by project.	<input type="checkbox"/>
5	Volume of agriculture loans that are outstanding. ▶ Volume of outstanding loans for agriculture and agribusiness in a financial institution	<input type="checkbox"/>
6	Percentage of beneficiaries with secure rights to land, property, and natural resources (percent of total beneficiaries) †† ▶ Measured as those with legal documentation or recognized evidence of tenure and those who perceive their rights are recognized and protected.	<input type="checkbox"/>
7	Roads constructed or rehabilitated, percentage resilient to climate risks (km) ▶ All-weather roads built, reopened, rehabilitated, or upgraded by project. ▶ Percentage that are designed to withstand changes in climate.	<input type="checkbox"/>
8	Number of post-harvest facilities constructed and/or rehabilitated (number) ▶ Includes markets, agro-processing/storage/quality control facilities.	<input type="checkbox"/>
9	Volume of agricultural production processed by post-harvest facilities established with GAFSP support, <i>by food group</i> (tons) ▶ Tons of total produce processed sorted by 10 major FAO food groups.	<input type="checkbox"/>
10	People benefiting from cash or food-based transfers, <i>gender disaggregated</i> (number of people) ▶ Number of people who benefited from cash or food transfer interventions.	<input type="checkbox"/>
11	People receiving improved nutrition services and products, <i>gender disaggregated, age disaggregated</i> (number of people) ▶ Number of people who received nutrition counseling/education, recipients of Ready-to-use-Therapeutic Foods, bio-fortified foods, and Vitamin A and micronutrient supplements. ▶ Number of people receiving extension support for nutrition-relevant techniques (e.g., homestead gardens, Farmer Field School support, etc.).	<input type="checkbox"/>
12	<i>Direct employment provided; gender disaggregated</i> (full-time equivalent) ▶ Number of direct employees in a client company. ▶ Part time jobs aggregated to full-time equivalent.	<input type="checkbox"/>
13	Persons receiving capacity development, <i>gender disaggregated, organization type</i> (number of people) ▶ Agricultural and non-agricultural rural training and capacity building support provided. ▶ Distinguishes between individual producers/household members, civil society organization staff, and government officials.	<input type="checkbox"/>
14	Number of substantive deliverables on food security processes completed (number) ▶ Measures “soft support” for institutional development provided through discrete deliverables. ▶ Deliverables include policy studies, strategies and plans, best practices, and lessons learned, among others.	<input type="checkbox"/>

**Note:** The definitions for the Tier 2 indicators can be found on pgs. 24 – 27 of the [GAFSP M&E Plan](#).

† Reporting on the indicator requires reporting all mandatory breakdowns for the indicator.

†† Climate-related language is included for indicators #1, 2, 3, and 7. In view of discussion and some concerns expressed by the GAFSP Steering Committee, it is noted that the experience of gathering such data at the SE/project level will be tracked and reviewed to assess the ease/feasibility of application and resulting “meaningfulness” of the data that are gathered. Please also see earlier footnote #6 on the use of the term ‘climate-smart’ in the GAFSP M&E Plan.

††† GAFSP projects have not traditionally supported land-ownership reform, although both the Technical Advisory Committee and most SE project preparation processes currently evaluate project readiness against a criterion that includes land access and land user rights, and they typically verify such aspects through their respective “safeguards” and appraisal policies. There was demand from SC members to see a standalone indicator, however, that can capture a focus on land use rights.

**Table E. Proposal Stage Results Monitoring Matrix**

Indicators <sup>18</sup>	Unit of measurement	Baseline <sup>19</sup>	End-of-project target	Data sources (Data collection instruments)
Project level indicators				
Project’s highest-level indicator				
Component level indicators <sup>20</sup>				
Component 1				
- Outcome Indicator 1				
- Output Indicator 1				
- Outcome Indicator 2				
- Output indicator 2				
Component 2				
- Outcome Indicator 3				
- Output Indicator 3				
- Outcome Indicator 4				
- Output Indicator 4				

*(Add rows as needed)*

<sup>18</sup> If any cross-cutting themes were selected in Section 3.1, this table must include some indicators that correspond to the selected theme(s).

<sup>19</sup> If this is unknown, write TBD (to be determined).

<sup>20</sup> Please identify indicators that can clearly represent the causal links in the results chain that bridge the gap between the current status and the objectives (desired high-level indicator). Ideally, under each component there is at least one outcome indicator and correspondent output indicator(s).

### Annex 3 - Risks and Negative Externalities

**F. Describe important potential risks to achieving the project's development objective(s)** based on the scale, complexity, duration, and magnitude of proposed project activities and operations. Provide an assessment of the likelihood (probability) and risk rating (severity, impact) of the risks, and proposed mitigation measures. Add additional rows to the table for additional risks, if needed.

**Table F: Project Risk Assessment**

Risk	Likelihood (L, M, H)	Risk rating (L, M, H)	Risk description	Proposed mitigation measures
<b>Technical design<sup>21</sup>:</b> Risk that technical design could affect the project from reaching its objectives				
<b>Institutional capacity for implementation<sup>22</sup>:</b> Risk that there is insufficient capacity to implement the project				
[add other risks]				
[add other risks]				

For Likelihood: L (low probability), M (moderate probability), or H (high probability).

For Risk rating: L (low risk or impact), M (moderate risk or impact), or H (high risk or impact).

<sup>21</sup> Indicative list of risks to assess: the technical complexity of the project; the extent to which project design is informed by analytical work; adequacy of number of components and subcomponents; past experience in designing and implementing similar operations; whether the design incorporates or relies on untested or unfamiliar technologies and processes; the extent to which project benefits dependent on external factors beyond the scope of the project.

<sup>22</sup> Indicative list of risks to assess: the complexity of the institutional arrangements (at central and local levels) such as number of implementing entities involved; geographical spread of project intervention areas and remoteness of these areas; experience of proposed implementing agency with similar scaled projects with international organizations.

**G. Describe important potential negative externalities or spillover effects that could arise from the project implementation** based on the scale, complexity, duration, and magnitude of project activities and operations, as well as an assessment of likelihood (probability) and risk rating (severity, impact) of the risks and proposed mitigation measures. Add additional rows to the table for additional potential negative externalities, if needed.

**Table G: Evaluation of Negative Externalities**

Potential Negative Externalities	Likelihood (L, M, H)	Risk rating (L,M,H)	Description of potential negative externalities	Proposed mitigation measures
Environmental <sup>23</sup>				
Social <sup>24</sup>				
Gender				
[add other negative externalities]				
[add other negative externalities]				

For Likelihood: L (low probability), M (moderate probability), or H (high probability).

For Risk rating: L (low risk or impact), M (moderate risk or impact), or H (high risk or impact).

<sup>23</sup> This could include the potential effects on natural resources such as water sources, forests, and protected areas; potential effects on biodiversity; and where appropriate, potential impacts on the climate arising from unchecked anthropogenic emissions of greenhouse gases (GHGs) and short-lived climate pollution (SLCPs).

<sup>24</sup> This could include the potential effects on human health and safety; the nature, scale and duration of social effects such as the need for land acquisition and/or involuntary resettlement; potential impacts on, equity, and indigenous peoples; and potential impacts on physical cultural resources.



### Annex 4 - Prior GAFSP Grant(s)

Provide details about each prior GAFSP grant (from the GAFSP Missing Middle Initiative) the PO has received (if applicable).

Project Name	
Country	
Responsible Implementing Entity	
Responsible Supervising Entity	
GAFSP Grant Amount and Amount Disbursed	Total Grant: US\$ Amount Disbursed (date): US\$
Grant Approval Date	
Project Status (active or closed)	
Project Closing Date	
Project Implementation Update <i>(implementation progress, results, challenges, etc.)</i>	
Most recent/last SE Implementation Rating for (i) achieving project objectives and (ii) implementation progress.	
Will the project proposed under this proposal build on or be linked to this prior GAFSP grant? If so, in what way?	

*(copy table in case of multiple prior grants)*



### Annex 5 - Proposal Preparation Team

List the names, titles, organizations and email addresses of the core members of the Proposal preparation team (including private consultants and Supervising Entity staff, if any, who directly contributed to completing the Proposal Template). Do not include individuals who participated in wider consultation meetings or workshops held as part of the preparation of the Proposal; their participation and influence in proposal development will have been described in 5.3.

Name	Title	Organization	Email

*(Add lines as needed)*