European Union/Food and Agriculture Organization of the United Nations (FAO) FLEGT Programme (GCP/GLO/395/EC)

Call for Project Proposals

GUIDELINES

For non-VPA countries

Deadline for the calls for proposal: <u>12/12/2012</u>

Programme funded by the European Union

1

Contents

1. Background

Illegal logging poses a major challenge for the establishment and maintenance of efficient markets and sustainable logging practices in a global economy that increasingly demands assurances of legal and sustainable production of wood and wood products. Illegal behaviour in the logging sector results in lost government revenue, missed opportunities for industrial development, and increased environmental damage and social problems.

In 2003, the European Commission adopted the Forest Law Enforcement, Governance and Trade Support Programme (FLEGT) Action Plan,[1] whose ultimate goal is to encourage sustainable management of forests. To this ends, ensuring the legality of forest operations is a vital first step. The Plan focuses on governance reforms and capacity building to ensure that timber exported to the European Union (EU) comes only from legal sources.

2. Programme objective, priorities and eligibility criteria

2.1 Objective

The EU FAO FLEGT Programme is a four-year initiative that supports stakeholders in the enforcement of forest law, governance and trade exchanges. This support is provided to countries engaged in the negotiations or the implementation of a Voluntary Partnership Agreement (VPA) with the European Union – known as "VPA countries" within the framework of these guidelines – but also to wood-producing developing countries and/or those who are major players in wood products trade, which are known as "non-VPA countries".

2.2 Definition of "non-VPA countries"

This refers to countries listed in **Annex 1** that are eligible within the framework of this call for proposals.

2.3 Thematic priorities

The proposals must address at least one of the seven thematic priorities developed below and must also be part of the FLEGT Action Plan of the European Union.

The examples mentioned below for each of the seven thematic priorities only serve as <u>examples</u> and are by no means considered exhaustive. Other examples of previously funded projects can be found on the website of the Programme.[2]

---

[1] FLEGT Action Plan: http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2003:0251:FIN:EN:PDF
[2] http://www.fao.org/forestry/acp-flegt/projects/en/#13415808424751&id=plugin_160720&height=402

Thematic priority 1 Support during the briefing and pre-negotiation phases of the Voluntary Partnership Agreement (VPA)

Examples of eligible activities (non-exhaustive list):
- ↘ organization of briefings and awareness-raising meetings on FLEGT and on its different elements, e.g. VPA, the European Union timber Regulation (EUTR), etc.;
- ↘ involvement and organization of different groups of activities with the aim of implementing the FLEGT Action Plan;
- ↘ organization of national workshops aimed at identifying the challenges of forestry governance.

Thematic priority 2 Activities to promote better transparency and the development of an independent observation mechanism in the forest sector

Examples of eligible activities (non-exhaustive list):
- ↘ development and implementation of an independent or external observation strategy within civil society;
- ↘ development of information-sharing mechanisms in the forestry sector;
- ↘ strengthening of civil society capacities in the monitoring and collection of information on forestry infractions.

Thematic priority 3 Support to local communities and community forestry activities in line with a national FLEGT strategy

Examples of eligible activities (non-exhaustive list):
- ↘ support to initiatives aimed at improving governance at the local level through the set-up of a conflict management mechanism, a dialogue platform and participatory management of forests, etc.;
- ↘ awareness raising of the FLEGT process among local communities;
- ↘ support for the set-up of a Legality Assurance System (LAS) and for the traceability of community forest logging.

Thematic priorities 4 Activities aimed at improving the timber legality assurance systems, the traceability of forest products and the national control systems

Examples of eligible activities (non-exhaustive list:
- ↘ determination of the actual state of the timber legality and traceability system;
- ↘ determination of the actual state of the collection and monitoring system of forestry revenue;
- ↘ development of harmonized tools for the monitoring of regional timber flows.

Thematic priority 5 Support to the process of revising the legal and regulatory framework

Examples of eligible activities (non-exhaustive list):
- ↘ a diagnostic analysis of forestry regulatory texts;
- ↘ development of complementary regulatory laws;

↘ support to initiatives to develop legality standards.

Thematic priority 6 Support to private sector initiatives

Examples of eligible activities (non-exhaustive list):
↘ awareness raising on the FLEGT process among staff of forestry companies;
↘ training in internal audits on legality/traceability;
↘ capacity strengthening of the private sector on the EUTR.

Thematic priority 7 Issues related to domestic and regional timber markets

Examples of eligible activities (non-exhaustive list):
↘ socio-economic characterization of the sector on the informal artisanal logging;
↘ integration of the informal sector into the national regulatory frameworks;
↘ a timber flow study at the national and sub-regional levels.

2.4 Eligibility criteria

In order to benefit from the Programme, the following general conditions must be fulfilled:

1. The applicant is registered in an eligible country (see the list of non-VPA countries in **Annex 1)**, in which the project is implemented.

1. The applicant is a government institution, a civil society organization[3] or an organization/federation of the private sector.[4]

2. The proposal addresses at least one of the thematic priorities defined in point 2.3 above and included within the FLEGT Action Plan.

3. The civil society and the private sector organizations submitting a proposal must provide the names of two reference officers from the government forestry agency. These references will serve to verify that the government is informed of the proposal.

4. The proposal is complete and follows the required format (see section on "Proposal Format" below).

5. The proposal is within the following financial parameters:
   a. The proposal does not exceed the maximum limit of **EUR100 000** (or USD135 000).
   b. The contribution of the beneficiary counterpart amounts to at least **20 percent** of the required amount (in cash or in kind).

Without being an eligibility criterion, the countries are strongly encouraged to pre-select projects through existing national-level multiple stakeholder processes to ensure consistency with national priorities and to best involve different stakeholders in the project.

---

[3] For the purpose of this guideline a civil society organization is defined as a not-for-profit organization that pursues an issue(s) and values defined by its members or constituency and that contributes to the common good or public interest.

[4] For the purpose of these guidelines a private sector organization is defined as a not-for-profit grouping, union or association of private sector businesses or individuals working toward a common interest that is aligned with the public interest.

3. Proposal submission

All proposals submitted in English, French or Spanish must be <u>signed</u> by the applicant organization and faxed or preferably sent electronically (see details in the box below). Proposals sent by e-mail must include a scanned copy of the page signed by the applicant. The applicant shall receive a notice confirming receipt of the proposal shortly after the proposals' submission deadline.

The proposals must be sent by fax or e-mail to the following address:

Robert Simpson
Programme Manager
EU FAO FLEGT Programme
Food and Agriculture Organization of the United Nations (FAO)
Viale delle Terme di Caracalla
00153 Rome
Italy
Fax: +39 06 570 55514
E-mail: EU-FLEGT-Call-For-Proposals@fao.org

4. Deadline for proposal submissions

The proposal must be submitted no later than:

Wednesday 12/12/2012 at 17.00 GMT +1.

5. Scoring and selection process

All the proposals submitted to the programme shall be evaluated as follows.

Step 1: Verification of eligibility

All received proposals shall be registered by the Programme Management Unit (PMU) and their eligibility verified with respect to the criteria defined in these Guidelines (see point 2.4). Only the proposals that fulfil the eligibility criteria will be examined by the Expert Panel.

Step 2: Evaluation and scoring of proposals

The PMU shall send the eligible proposals to the members of the Expert Panel so that each proposal will be evaluated and scored. Each proposal will be evaluated independently by at least two members of the Expert Panel. The Expert Panel shall score the proposals according to the evaluation criteria presented in Table 1 below.

Concurrently, the list of eligible proposals shall be sent for information and possible advice to the EU Delegations of the countries concerned.

Table 1. Evaluation criteria and scoring system

Evaluation criteria	Maximum possible points
1. *Relevance and complementarity* −Does the project address the thematic priorities of the EU FAO FLEGT Programme (see point 2.3)? −Does the project address the priorities of the forestry sector at the national level? −Does the project respond to the needs and expectations of the target groups and the final beneficiaries?	30 points
2. *Effectiveness and feasibility of the activities* −Are the activities adapted to the expected results and set objectives? −Can the activities be carried out within the project duration? −Are the activities described adequately and are they technically achievable? −Are the activities Specific, Measureable, Achievable, Relevant and Time-bound (SMART)?	15 points
3. *Methodology* −Does the implementation strategy truly reflect a logical process allowing to achieve the expected results? −Is the logical framework clearly presented and does it truly contain the required components (Objectives, Activities, Results, Objectively Verifiable Indicators and Source of Information)?	15 points
4. *Sustainability* −Is funding for the activities planned at the end of the project? −Is there a structure(s) that would make it possible to continue activities at the end of the project? −Does the proposal effectively specify the means that will be deployed in order to sustain the project in the long term or at least its impact?	10 points
5. *Innovation* −Does the project include innovative approaches that could be replicated in other contexts, or does it contribute to programmes having these characteristics?	10 points
6. *Efficiency* −Is the ratio between the estimated costs and the expected results satisfactory? Are the costs justified? −Is the proposed budget coherent and balanced, and does it correspond to the funding needed for the activities' implementation?	10 points
7. *Capitalization of lessons learned* −Does the project contribute to the dissemination of ideas, lessons learned and best practices? −Is an activity planned to capitalize on lessons learned drawn from the project?	10 points
Total	**100 points**

A maximum of 100 points are available for the seven criteria. A total of 70 points and a minimum of 50 percent of available points in each criterion are required to be eligible for EU FAO FLEGT Programme funding.

If there are more proposals with scores of at least 70 points than can be funded, the Expert Panel shall provide a hierarchy of scores and a list of proposals that they recommend for funding.

The Expert Panel will prepare an evaluation report summarizing the results of the evaluation process.

Step 3: Review by the Advisory Committee

FAO's Advisory Committee shall examine the proposals of the project recommended by the Expert Panel in its evaluation report. By taking into account the thematic and regional balance, the Advisory Committee may make complementary observations and request clarifications. On the basis of this review, it can make proposals to the PMU to modify the Expert Panel's evaluation report.

Step 4: Checking for duplication and/or overlap

The list of proposals considered by the Advisory Committee shall be forwarded to other FLEGT support institutions for review in order to reduce the risk of duplicate funding.

These proposals shall also be sent to EU Delegations of the countries concerned to enable them to provide technical advice.

Step 5: Approval by the Steering Committee

The PMU shall forward the Expert Panel's evaluation report to the Steering Committee of the Programme for review and final approval. The latter may request clarifications, present other points of view and/or require complementary information from the PMU.

Step 6: Information and contracting

After endorsement by the Steering Committee, the PMU shall inform all applicants of the evaluation results. For the selected proposals, the PMU shall then initiate the negotiations of Letters of Agreement.

Proposal format

Proposal should be no more than **15 pages,** formatted on A4 paper, and written in Time New Roman size 12 font. Additional relevant information may be submitted in annexes for reference.

Part I. Project Summary

1.1 Project title

Indicate the project title.

1.2 Thematic area concerned

Review the thematic priorities of the project countries (see **Annex 1**) and indicate here the one that best describes the objectives of the proposal.

1.3 Applicant's contact information

• Name of the organization:
• Office address :
• City and postal code :
• Country:
• E-mail:
• Telephone (office) :
• Telephone (mobile) :
• Website:

Check the box that corresponds to the type of organization:

• Government institution	❑
• Civil society organization	❑
• Private sector organization	❑

1.4 Information on the contact person within the organization

• Name of contact person :
• Title:
• E-mail :
• Telephone (office):
• Telephone (mobile):

1.5 Organization background (1/2 pages maximum)

Please provide background information on the institution, including its mission statement, institutional objectives, number of employees, financial management capacity, work history highlights and current projects.

1.6 Information on the government references

Civil society and private sector organizations submitting a proposal must provide the names of at least two officials in the forestry administration who have knowledge of the project proposal.[5] Each government reference must be accompanied by at least the name of the person, his/her title, e-mail and telephone number. Check the appropriate box: [6]

• Government references ❑	
• Not applicable ❑	

Please include the following information:

• Name of Government Reference 1:
• Title
• Ministry :
• E-mail :
• Telephone :

• Name of Government Reference 2 :
• Title:
• Ministry:
• E-mail :
• Telephone :

1.7 Summary of funding

	Total (in US dollars)
Funding requested from FAO:	
Contribution provided by the applicant:	
Total amount of the project:	

Indicate the funding requested from FAO within the framework of the project and the counterpart amount that will be provided (all amounts must be expressed in US dollars). For each project, the contribution in cash or in kind by the applicant **must be at least 20 percent** of total project funding.

---

[5] At this stage, it is not required to provide an official approval by the forestry administration. The references provided shall only aim to ensure that the submission of the project to the EU FAO FLEGT Programme is known by the heads of the forestry administration.
[6] If the applicant is a government institution, no reference shall be provided and the box "not applicable" should be checked.

<u>1.8 Declaration and signature</u>

I hereby certify that all information contained in this proposal is accurate and true. This proposal is not currently and has not been previously funded by another institution.

Date_____Signature_____

(Signature and name of applicant)

Part II. Project Description

2.1 Background of the project and description of the problem (maximum 1 page):

Describe the problem that the project will address as well as the context and the factors that perpetuate the problem. Confine the description to relevant forest-related policy, legislation, law enforcement, economic and social issues.

2.2 Objective:

The objective of the project should be expressed in a concise statement, identifying the expected outcome of the project. The objective should contribute to resolving the stated problem and should be feasible given the resources available to implement the project.

2.3 Project outputs, activities and work plan (maximum 2 pages):

List the project outputs. Each output should be described in one sentence, supported by a list of key activities. Each of the activities should be described in one paragraph.

The satisfactory completion of all the activities should result in the achievement of the outputs. The completion of all outputs should create the conditions for the achievement of the project objective (see Figure 1).

Objective
What is the ultimate goal of the project?

Outputs/Results
What is the measurable achievement of the project?

Activities
What are the project activities?

Contributions and inputs
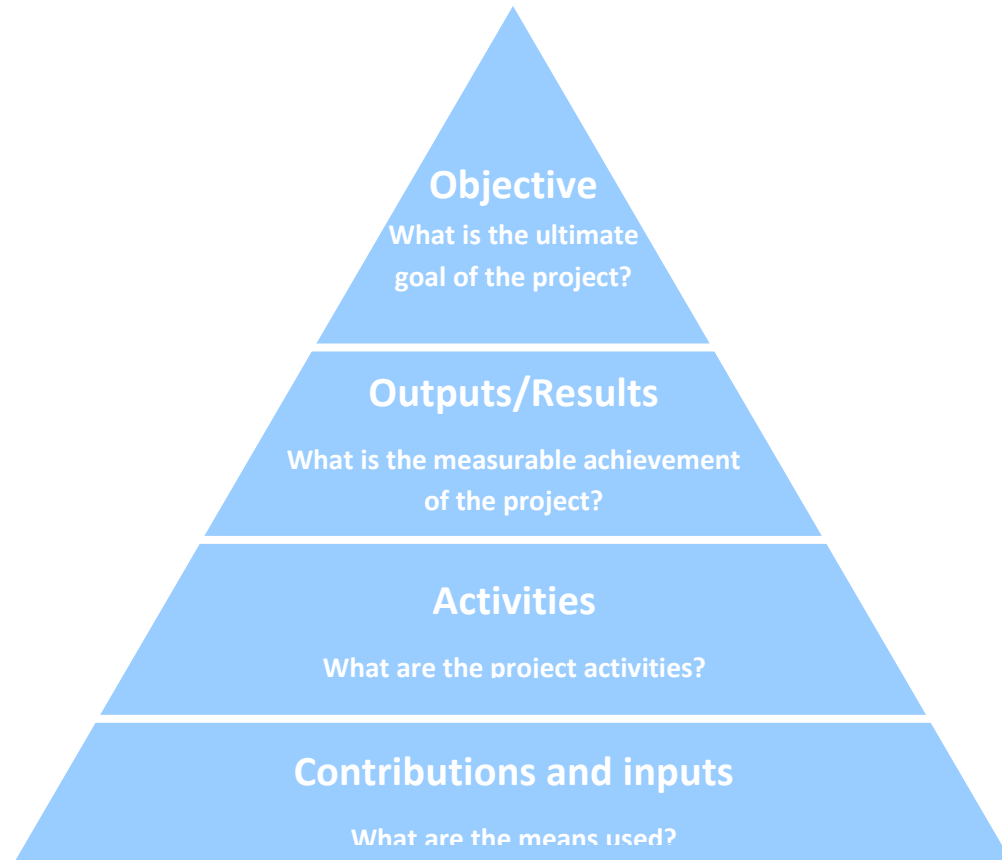**What are the means used?**

Figure 1: Intervention logic

It is strongly recommended that each proposal include:

- the organization of a **launching workshop** that will allow to inform actors concerned of the objectives and expected outputs of the project and to fine-tune the action plan;
- the organization of a **close out workshop** of outputs and lessons learned at the end of the project, in the presence of the main stakeholders.

The applicant must include in its activities a communications/visibility component in order to communicate the outputs and activities of the project to all stakeholders in the forestry sector. This may include both publications (brochures, articles, posters, CDs/DVDs), websites, radio/television broadcasts/print media, documentaries, promotional materials or any other means capable of promoting the EU-FAO FLEGT Programme and its partners (EU and FAO).

Finally, a short work plan must be included in the proposal. The proposal shall in part be evaluated on the feasibility of expected outputs with respect to the duration and available budget of the intervention. The duration of project execution shall not exceed **12 months**.

Example of a work plan[7]

Activity description	Months after Protocol Agreement signature											
	1	2	3	4	5	6	7	8	9	10	11	12
Launching workshop	x											
Output 1												
Activity 1	x											
Activity 2		x										
Activity 3			x									
Output 2												
Activity 1		x										
Activity 2			x									
Activity 3				x								
Output 3												
Activity 1					x	x	x					
Activity 2								x	x	x		
Activity 3										x	x	x
Close out workshop												x

---

[7] This example is indicative only. Preference will not be given according to the number of outputs or activities.

2.4 Description of output indicators

Specify and describe <u>in detail</u> the indicators of the output that will be delivered as a result of the activities and financial resources provided to the project.

For example, the proposal could include the following output indicators:

1. <u>inception report</u> (describe the contents)[8]
2. <u>progress report 1</u> (describe the contents)
3. <u>progress report 2</u> (describe the contents)
4. <u>final report</u> (describe the contents).

2.5 Methodology (maximum 2 pages):

Describe the implementation modalities of the project activities, persons involved and the persons responsible for its execution. The methodology must also describe interrelations among activities, the chains of events or seasonal issues that could affect project implementation. The methodology should, if applicable, identify the possible roles of the forest-dependent populations, the gender parity issues or consistencies with national and regional forestry and poverty reduction policies.

Include in an annex to the proposal any figures, organizational diagrams or visual tools required to understand the methodology.

Part III. Creating an enabling environment for the FLEGT Action Plan implementation (maximum 2 pages)

3.1 Relevance:

Describe how the project will support the implementation of the FLEGT Action Plan elements through one or more of the following factors:

1. Increase the effectiveness of the stakeholders in implementing FLEGT-related initiatives linked to FLGT.
2. Strengthen local, national and/or regional capacities to implement FLGET-related initiatives.
3. Improve and facilitate greater understanding of FLEGT-related issues.
4. Support complementary activities to current FLEGT-related projects, funded through the EU FAO FLEGT Programme or other FLEGT programmes.
5. Support the implementation of national forestry sector programmes and/or some FLEGT Action Plan elements.

---

[8] In addition to the progress of project activities, these reports can also present, in Annexes, deliverables such as: a proposal for a new regulation, procedures manuals, guides, workshop reports, mission reports, brochures, maps, etc.

3.2 Partnerships:

Identify and describe any partnerships with relevant actors that may be established or strengthened through the project. In particular, identify and describe clearly any opportunities of promoting collaboration among the government, the private sector and civil society.

3.3 Innovation:

Describe any innovations or opportunities for integrating or replicating the results at the national or regional level.

3.4 Sustainability:

Describe how the project will complement and/or contribute to the success of an ongoing national programme.

3.5 Capitalization of lessons learned:

Sharing lessons learned with the different stakeholders is a priority of the EU FAO FLEGT Programme.

Briefly describe how the applicant will record the outputs and lessons learned, make them available and share them with the stakeholders.

Part IV. Budget

Please develop the budget using the Excel spreadsheet attached (Annex A) and make all budget submissions in US dollars.

Please submit the budget, in Excel format (*.xls), duly completed with the project proposal.

Part V. Logical framework

Each project proposal must be accompanied by a simplified logical framework that will be used to assess the feasibility and relevance of the project. The logical framework must provide a detailed, logical and organized chart of your project. At the implementation phase of the project, this logical framework will serve as the main tool to ensure the project's monitoring and evaluation.

	Intervention logic	Objectively Verifiable Indicators	Sources and means of verification
Objective	*What objective must the project achieve?*	*What indicators show in detail that the project objective has been achieved?*	*What are the available sources of information that can be collected? What methods can be used to obtain this information?*
Expected outputs	*The outputs are the achievements that will allow to reach the objective. What are the expected outputs? (Number these outputs) Output 1: Output 2:*	*What indicators allow to verify and determine that the project achieves the expected outputs?*	*What are the sources of information for these indicators?*
Activities	*What are the key activities to implement, and in which order, in order to produce the expected output? (Group the activities by output) Activity 1.1: Activity 1.2:*	*What means are required to implement these activities, for example, in terms of personnel, equipment, training, studies, supplies and operating facilities?*	*What are the sources of information on the development of the activity?*

Part VI. Check list

This checklist must allow the applicant to make sure that all the required components are included in the project proposal. <u>This completed list must be attached to the project proposal</u>.

Project title : <*indicate title*>	YES	NO
PART 1 ADMINISTRATIVE		
1. The proposal format, published under this call for proposals, was used.		
2. All of the sections of the application form have been completed and signed.		
3. The proposal is sent by e-mail or fax.		
4. The budget in Excel format is attached to the proposal (Annex 1).		
PART 2 (ELIGIBILITY)		
5. The duration of the intervention does not exceed 12 months.		
6. The contribution requested does not exceed USD 135 000.		
7. The contribution requested from FAO does not exceed 80 percent of the total eligible costs.		
8. The applicant is registered in the country in which the project is being implemented.		
9. The applicant is a government institution, a civil society organization or a private sector organization/federation.		
10. The proposal addresses one of the thematic priorities recommended by the Programme.		
11. The proposal provides the name of two head officers from the government forestry agency who are informed of the project		

ANNEX 1: List of non-VPA countries

Africa:

Angola, Benin, Botswana, Burkina Faso, Burundi, Cape Verde, Chad, Côte d'Ivoire, Ethiopia, Equatorial Guinea, Guinea, Guinea-Bissau, Kenya, Madagascar, Malawi, Mali, Mauritius, Mozambique, Namibia, Nigeria, Rwanda, Senegal, Sierra Leone, Somalia, South Africa, Sudan, Swaziland, Tanzania, Togo, Uganda, Zambia, Zimbabwe

East Asia Pacific:

Cambodia, Fiji, Dem. Rep. Korea, Myanmar, Papua New Guinea, Philippines, Samoa, Solomon Islands, Thailand, Timor-Leste, Tonga, Vanuatu

South Asia:

Bangladesh, Bhutan, Nepal, Sri Lanka

Latin America and Caribbean:

Belize, Bolivia, Colombia, Costa Rica, Dominica, Dominican Republic, Ecuador, El Salvador, Guatemala, Jamaica, Nicaragua, Panama, Paraguay, Peru, St. Lucia, St. Vincent and the Grenadines, Suriname