



Concept Note Guidance

Final Grants Round

Forest Governance,
Markets and Climate
(FGMC) Programme

November 2017

Contents

Important notes

| | | |
|----------|--|-----------|
| 1 | The Forest Governance, Markets and Climate (FGMC) programme | 1 |
| 2 | The Focus of the FGMC Final Grants Round | 2 |
| 2.1 | Organisations eligible to submit a Concept Note | 3 |
| 3 | Funding considerations for Concept Notes | 5 |
| 4 | The Application Process | 6 |
| 4.1 | Stage One: Concept Note | 7 |
| 4.2 | Stage Two: Project Proposals | 9 |
| 4.3 | Stage Three: Due diligence | 9 |
| 4.4 | Stage Four: Grant Awards | 9 |
| 5 | Guidance for completing the Concept Note Form | 10 |
| | Section A: Information about your organisation | 10 |
| | Section B: Project Information | 12 |
| | Section C: Project Analysis | 14 |
| | Section D: Project Budget | 16 |
| | Section E: Other Information | 17 |

Important notes

1. The deadline for receipt of your Concept Note is 8:00am (UK time) on **Tuesday 21st November 2017**.
2. All Concept Notes should be submitted in English using the Concept Note Form. Visuals cannot be inserted into the form. Figures and diagrams should be included in a single (small) file attached as an annex. All figures and diagrams should be referenced in the main document and should be explained in text, either in the main document or the annex. Please adhere to the word limits as we cannot guarantee to consider any information provided in excess of these limits.
3. When submitting your Concept Note, please:
 - save the Concept Note Form and save the file in a recognised format
 - use the filename **FGMC Grant CN Submission – [your organisation's name]**
 - for any attached annex, use the filename **FGMC Grant CN Submission – [your organisation's name] Annex**
 - email the document to FGMC-Applications@Kpmg.com
 - enter **FGMC Grant CN Submission – [your organisation's name]** in the subject line of the email
4. The FGMC Programme Management Support Team (PMST) will acknowledge receipt by return to the email address from which the Concept Note was sent. Acknowledgement of receipt does not imply eligibility to receive a grant. **The contact email address entered on the form will be the email address that the PMST will use for future correspondence.** Where possible, submit your Concept Note from the same contact email address.
5. Concept Notes will be processed by the PMST and evaluated by DFID. We may need to contact you for further information or invite you to make a presentation as part of the Concept Note evaluation process. If required, presentations will be on **Thursday 7th or Friday 8th December 2017**.
6. A limited number of organisations (estimated to be between 15 and 25) will be invited to submit a full Project Proposal following Concept Note evaluation. Notification will be made by **Tuesday 15th December 2017**. We will provide detailed information relating to proposal submission requirements at this time. Project Proposals should be submitted by 3:00pm (UK time) on **Monday 12th February 2018**.
7. Applicants must disclose any circumstances, including personal, financial or other that will, or might, give rise to a conflict of interest if awarded a grant.
8. If you have any questions with regard to completing this form, please email the FGMC PMST at FGMC-Applications@Kpmg.com

1 The Forest Governance, Markets and Climate (FGMC) programme

The Forest Governance, Markets and Climate (FGMC) programme is a global UK Department of International Development (DFID) programme with the broad aim of bringing about governance and market reforms that reduce the illegal use of forest resources and benefit poor people who depend on forests for their livelihoods. As part of global efforts to improve forest management and tackle deforestation, FGMC supports international policy processes which tackle illegal logging in timber-producing developing countries and the trade in illegally-produced timber products, in particular, the [EU Forest Law Enforcement, Governance and Trade \(FLEGT\) Action Plan](#)¹.

A central element of the EU FLEGT Action Plan are Voluntary Partnership Agreements (VPA), related to bilateral trade agreements between the EU and a timber-exporting country outside the EU. VPAs aim to: a) guarantee that any wood exported from a timber-producing country to the EU comes from legal sources; and b) help the partner country stop illegal logging by improving forest governance and regulation. FGMC supports these self-sustaining, nationally-owned and deliberative processes in an increasing number of countries.

FGMC seeks to ensure inclusive representation in policy reform processes, enrich national deliberation through enhanced capacity, knowledge, evidence and analysis and to ensure national and international discussions are informed.

The [FGMC Programme's Business Case](#)² has been approved for the 10-year period 2011-2021, with a total budget of £250 million funded from the UK's International Climate Fund (ICF), with an annual budget in this final phase of about £27 million. Approximately £10 million per year is expected to be allocated through *Accountable Grants* in a restricted grant scheme. The minimum grant size is £800,000. There is no upper limit. Cofinanced proposals are welcome. Grants will be awarded for periods of up to 36 months from 1st April 2018.

Concept Notes will be evaluated on both their own merit and on their contribution to the FGMC results.

The results and outputs of the FGMC programme are set out in detail in the [FGMC Logframe](#)³

| | |
|-----------------|--|
| Impact: | Improved management of forests for poverty reduction, biodiversity, conservation and climate protection |
| Outcome: | Governance and market reforms that reduce the illegal use of forest resources and benefit poor people |
| Outputs: | <ul style="list-style-type: none">▪ Producer and processing countries: Legal legitimate and credible mechanisms of forest sector governance and management in place in producer countries▪ Consumer actions: Public policies and private business standards that tackle trade in illegal timber▪ Communities of practice: Increased knowledge and momentum for change▪ Related processes: Coherence between programmes on forests and tackling deforestation at national and international levels |

The grants are awarded by DFID, and managed by the Programme Management Support Team (PMST), a self-contained team housed in KPMG that is supporting DFID in delivering the FGMC programme.

¹ <http://www.fao.org/forestry/33093-04ee4b3cc7232ef705169b9cc20c30850.pdf>

² <http://devtracker.dfid.gov.uk/projects/GB-1-201724/>

³ http://iati.dfid.gov.uk/iati_documents/4445967.xlsx

2 The Focus of the FGMC Final Grants Round

DFID's Forest Governance, Markets and Climate (FGMC) programme is aimed at eliminating the international trade in illegally-harvested products and establishing effective forest governance and market reforms in producer countries that promote legal trade, and benefit poor people. The second phase (2015-2018) of the FGMC programme is coming to an end in March 2018 and the third phase (2018-2021) of the programme will begin in April 2018. The third phase will include a restricted grant scheme which is designed to support DFID's global agenda and complement the facilitation and technical assistance activities delivered through a mix of instruments, including trust funds and Memoranda of Understanding (MOUs) with international bodies working globally and, through commercial supplier contracts for facilitation and technical assistance in key countries.

The programme will focus on policy and legal reforms that eliminate illegal logging and illegal deforestation, establishes transparency, promotes legal trade and ensures rights and benefits for poor people, local communities and indigenous people. The FGMC approach enables local interests (government, private sector and civil society) to come together to address and settle long standing grievances and injustices through a formal, inclusive, facilitated and reasoned process of deliberation, that gives legitimacy to legal reforms.

The focus of the final phase of the programme will be on securing the gains already or almost achieved and on the institutionalisation and embedding of sustainable processes and practices.

Significant gains have been achieved in all four output areas, particularly:

1. Forest governance and trade reforms in producer countries

In Indonesia, an internationally recognised licencing system (FLEGT) has been established. This recognises community rights and ensures third party independent monitoring and oversight, establishes civil society whistle-blowing, promotes small produce business, simplifies trade processes and ensures worker's rights are enforced. Progress towards similar internationally agreed licencing systems are advancing in Ghana, Guyana, Republic of Congo (ROC), Vietnam, Honduras and, maybe, Liberia and are expected to be in place by the end of the programme.

2. Regulatory measures and business standards that address global trade in illegal timber

Strict regulations on trade in illegal forest products have been introduced in consumer markets, including the EU Timber Regulation (EUTR), the Lacey Act in the USA, and, in Australia, the Australian Illegal Logging Prohibition Act (AILP). Less strict measures are in place in East Asia, including Japan and Korea. The shift in global trade, where more than 60% of all trade goes to and through China, means that eliminating illegal timber and securing forest governance reforms in developing countries requires China to put in place arrangements to stop illegal imports and to ensure that the investments of Chinese Overseas Enterprises recognise the rights of communities and indigenous people in producer countries. Progress has been made on both these fronts with the expectation that Chinese controls will be in place before the end of the programme.

3. Information and a community of practice creating momentum for change

Maintaining an informed community of practice is critical to global efforts to address illegal logging and deforestation. Importantly, this global practice reaches across interests and includes governments, private sector associations and civil society. It provides the evidence, analysis and the networks to ensure that actions to improve governance and law enforcement are fairly applied by the EU, inform the UN's call to action in under its strategic plan for forests, and draws from local field-based experience to inform global policy making.

4. Support to other international processes relating to deforestation

The threat to forests and forest-dependent communities is not just from illegal logging but, increasingly, from illegal forest clearance driven by expansion of commodities such as oil palm, rubber, cocoa, etc. These threats are well recognised and addressed through various international processes and platforms such as Nationally Determined Contribution (NDCs), REDD+ mechanisms, CITES amendments, private sector commitments, declarations, World Business Forum, etc. The focus of FGMC's contribution to these processes has been to promote transparency to drive changes in business practices and support the multi-stakeholder deliberative process as means of addressing conflict and ensuring legitimacy for legal and institutional reform. Significant progress has been made in the first two phases of the programme, including an amendment to CITES to include a ban on threatened rosewood species.

Given the focus of this phase on securing the gains already or almost achieved, the programme will retain the geographical focus established in earlier phases within regional clusters – South East / East Asia and the Mekong region (Indonesia, Myanmar and China), West Africa (Ghana, Liberia), Congo Basin (ROC, Cameroon) and Guyana . The reference to geographic clusters recognises the need to address regional market issues in operationalising national systems to check for legal compliance and to avoid illegal products flowing across borders.

All grants must be aligned with intended FGMC results and focused on policy or reform processes to achieve these results. Particular areas of interest for grant funding include:

- *Trade*: Asia-Africa trade, regional trade in Mekong and Africa, the implementation of market measures.
- *Voice and inclusive policy making*: Inclusion, Indigenous people and women's rights.
- *Transparency and accountability* to make use of newly established regulatory mechanisms.
- *Rule of law*: Independent monitoring, investigations and enforcement.
- *Business and trade standards that eliminate illegal logging and illegal forest clearance*.
- *transparent governance of (forest) land use practices*.
- *Enforcement and awareness in consumer markets* where these measures reinforce and translate into increased demand for legality and forest (and land) governance reform.

Two cross-cutting issues are important to DFID, and should be evidenced throughout Concept Notes:

- **Gender**: Promotion of gender equality is now a legal requirement following the passing into UK law of the [International Development \(Gender Equality\) Act 2014](#)⁴. Applicants will be required to demonstrate that they have considered gender and equity in both their Concept Notes and Project Proposals. They will need to show how their proposed approach to managing and delivering their grants is gender-sensitive and how they will ensure that the processes and outcomes they engage in are shaped and informed by gender considerations and lead to impacts that promote gender equality. DFID will expect to see a robust approach to measuring the effect of programme-funded activities on gender that goes beyond the disaggregation of impact data.
- **Value for money (VFM)**: Applicants who are selected to prepare full project proposals will be expected to demonstrate VFM in their final proposal.

2.1 Organisations eligible to submit a Concept Note

The following eligibility criteria apply to all organisations submitting a Concept Note for the FGMC Final Grants Round:

⁴ http://www.legislation.gov.uk/ukpga/2014/9/pdfs/ukpga_20140009_en.pdf

Type of organisations

Grants are limited to not-for-profit organisations. 'Not-for-profit' organisations include international and national non-government organisations (NGOs), federations and membership bodies, but exclude government bodies (national, regional or local) and individuals.

- Applications from consortia, partnerships or networks of two or more not-for-profit organisations or from organisations working with multiple funding sources and / or implementing partners are welcome. For all consortia a lead organisation should be declared and all consortium partners should be not-for-profit organisations.
- Organisations that support or encourage activities that discriminate on the basis of colour, disability, ethnicity, gender or religion; that lead to civil unrest; or are linked to terrorist organisations are not eligible.
- Concept Notes are open to new grantees and to non-UK entities.

Organisational capability

All applicants will need to provide evidence that they are established and have in place the resources, systems and processes that will enable them to effectively manage the size of funds that they are requesting within their proposal.

3 Funding considerations for Concept Notes

The following funding considerations apply to organisations submitting a Concept Note for the FGMC Final Grants Round:

- Grants should be used to fund specific project activities. Grants cannot be used for unspecified core funding of an organisation.
- Grants *can* be used to solely fund, co-finance or leverage funds for project activities that would take place in some form without FGMC support.
- Only one proposal per organisation will be supported.
- Concept Notes for standalone projects not contributing to FGMC outputs will not be considered.
- Concept Notes will be evaluated in terms of their contribution to securing existing FGMC gains, transferring best practices and lessons and effective delivery chains.
- The programme may adopt a policy of no advance payments, if this provision would significantly alter your proposal please indicate this in the Concept Note.

4 The Application Process

Key indicative dates in the FGMC Final Grants Round relating to the Concept Notes are as follows:

| Date | FGMC 2017 Grants Round: Activity | Stage |
|--|---|-------|
| Wednesday 01 st November 2017 | Concept Note guidance released | 1 |
| Tuesday 21st November 2017 (8:00am, UK time) | Concept Note submission deadline | 1 |
| Thursday 07 th and Friday 08 th December 2017 | Presentations (if required) | 1 |
| Friday 15 th December 2017 | Notification of Concept Note evaluation outcome | 1 |

The following dates are also relevant for those organisations that are subsequently invited to submit proposals:

| Date | FGMC 2017/8 Grants Round: Activity | Stage | | |
|---|---|-------|---|---|
| Friday 15 th December 2017 | Invitation to proceed to Proposal stage, preparation workshop and Project Proposal Guidance pack released | 2 | | |
| Monday 08 th January 2018 | General feedback and proposal information session | 2 | | |
| Wednesday 10 th January 2018 | Due diligence site-visits commence (phased) | | 3 | |
| Monday 12th February 2018 (3:00pm, UK time) | Proposal submission deadline | 2 | | |
| By Friday 16 th February 2018 | Due diligence site-visits conclude | | 3 | |
| Friday 02 nd March 2018 | Notification of proposal award decision | | 3 | |
| Monday 05 th March 2018 | Contracting discussions commence | | | 4 |
| Monday 26th March 2018 | Grant Award | | | 4 |

There are **four stages** to the FGMC Final Grants Round. Each stage is dealt with in this section.

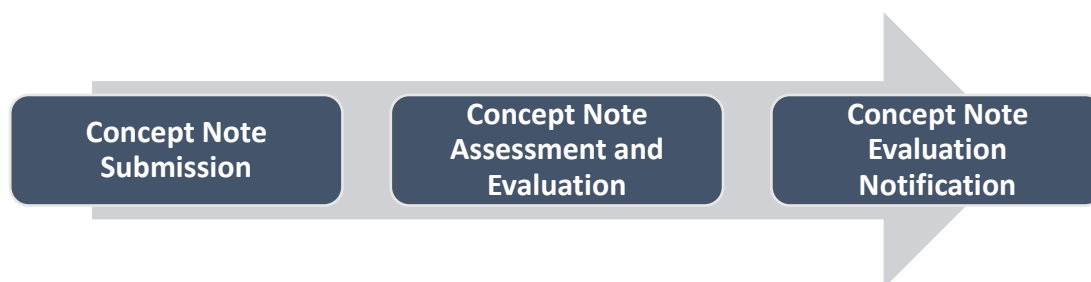


4.1 Stage One: Concept Note

The Concept Note for the FGMC Grants provides applicants with the opportunity to make the case for receiving a grant, and to set out their thinking on the purpose and shape of the grant.

There are 3 steps to the Concept Note stage:

- submission of a Concept Note;
- review and assessment of the Concept Notes by the PMST, including presentations if considered necessary, and evaluation of a shortlist of Concept Notes by DFID ; and
- notification of evaluation.



1. Concept Note Submission

Concept Notes should be submitted in English, by email to FGMC-Applications@Kpmg.com using the Concept Note Form, in accordance with this Concept Note Guidance document and updates incorporated within the FAQs. Visuals cannot be inserted into the form. Figures and diagrams should be included in a single (small) file attached as an annex. All figures and diagrams should be referenced in the main document and should be explained in text, either in the main document or the annex. Please adhere to the word limits as we cannot guarantee to consider any information provided in excess of these limits.

2. Concept Note Assessment and Evaluation

Concept Notes will be processed by the PMST and evaluated by DFID. A limited number of applicants, estimated at between 15 and 25, will be invited to prepare and submit full Project Proposals. These will be selected on the grounds of:

- a) relevance of the proposal to FGMC results;
- b) the capacity of the organisation to deliver FGMC results; and
- c) the distribution of proposals across the different parts of the FGMC framework.

3. Concept Note Notification

Applicants will be notified of the evaluation result by email. Successful applicants will progress to invitation to proposal stage. Only limited feedback on Concept Notes to unsuccessful applicants can be provided, on request.

Concept Note documentation and information

All documents relating to the Concept Note stage, together with FGMC programme and other relevant documentation, will be available for download at the [DFID FGMC Funding Webpage](#)⁵. Included on the webpage are:

Concept Note documentation:

- Concept Note Form

⁵ <https://www.gov.uk/international-development-funding/forest-governance-markets-and-climate-2015-grants-round>

- Concept Note Guidance
- FGMC FAQs (The first FAQ will be uploaded within 5 days of the Concept Note guidance being released, and updated periodically until the date of submission of Concept Notes)

Key programme documentation:

- [DFID FGMC Business Case](#) (2011-2015)⁶
- [DFID FGMC Business Case Addendum](#) (2015-2018) ⁷
- [DFID FGMC Logframe](#)⁸
- DFID FGMC Annual Reports (2012, 2013, 2014, 2015, 2016, 2017⁹)

Other relevant documentation includes:

- [EU FLEGT Action Plan](#)¹⁰
- [DFID Logframe How To Note](#)¹¹
- [DFID Review of the use of 'Theory of Change' in international development](#)¹²

In addition applicants may find the following websites useful:

- [EU FLEGT Facility Website](#)¹³
- [FAO FLEGT Programme Website](#)¹⁴

The PMST is happy to answer questions from applicants at any point during the application process. The PMST will acknowledge questions sent by email within 1 working day. All questions and answers that the PMST feels would be useful for all applicants will be incorporated within the FAQ that will be periodically uploaded to the [DFID FGMC Funding Webpage](#).¹⁵ Applicants that submit questions will be notified when a new FAQ document has been released.

The Grant Award template and documentation that outlines the grant management process and expectations, such as implementation reporting requirements, will be made available as part of the Project Proposal Guidance pack that will be shared with those applicants who are invited to submit a proposal.

Concept Note key dates

| Concept Note: Activity | Deadline |
|---|--|
| Concept Note guidance released | Wednesday 01st November 2017 |
| Concept Note submission deadline | Tuesday 21th November 2017 (8:00am, UK time) |
| Presentations (if required) | Thursday 07th and Friday 08th December 2017 |
| Notification of Concept Note evaluation outcome | Friday 15th December 2017 |

⁶ http://iati.dfid.gov.uk/iati_documents/3718415.odt

⁷ http://iati.dfid.gov.uk/iati_documents/4722820.odt

⁸ http://iati.dfid.gov.uk/iati_documents/4445967.xlsx

⁹ Available on request

¹⁰ <http://www.fao.org/forestry/33093-04ee4b3cc7232ef705169b9cc20c30850.pdf>

¹¹ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/253889/using-revised-logical-framework-external.pdf

¹² http://r4d.dfid.gov.uk/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf

¹³ <http://www.euflegt.efi.int/home/>

¹⁴ <http://www.fao.org/forestry/eu-flegt/en/>

¹⁵ <https://www.gov.uk/international-development-funding/forest-governance-markets-and-climate-2015-grants-round>

4.2 Stage Two: Project Proposals

A limited number, estimated between 15 and 25 applicants, will be invited to submit a full Project Proposal following Concept Note evaluation. The requirements and timetable for this stage will be presented at the "Project Proposal Launch" workshop planned for 15th December 2017.

4.3 Stage Three: Due diligence

DFID requires all grant holders to be subject to due diligence and risk assessment. The arrangements and timetable for this stage will be presented at the "Project Proposal Launch" workshop planned for 15th December 2017.

4.4 Stage Four: Grant Awards

DFID will make a final decision to award grants based on the proposed project, the diligence assessment and risk assessment and the shape of the overall portfolio.

The PMST will finalise the award with grantees, taking into consideration feedback from the DFID assessment, the due diligence report, and comments raised by the potential grantee with regard to the contractual terms. No final date is set for awards to be completed. However, where existing grants are being renewed, we aim to ensure awards are in place by 01st April 2018.

Procedure and Selection Criteria for Concept Notes

Consideration of individual Concept Notes and their 'fit' with the overall portfolio will inform the decision to invite applicants to submit Project Proposals and the tentative allocation of funds.

Concept Notes will initially be evaluated on the following criteria which relate to Section C of the Concept Note Form:

| Criteria | Weighting | Relevant Sections in Concept Note Form |
|-----------------------------------|-----------|--|
| Results | 10% | Section C2a: Organisational alignment |
| | 20% | Section C2b: FGMC alignment |
| Relevance | 10% | Section C3a: Situation analysis |
| | 30% | Section C3b: Rationale for proposal |
| Positioning and Capability | 10% | Section C4a: Positioning |
| | 10% | Section C4b: Experience |
| | 10% | Section C4c: Capacity |

Other information provided in the Concept Note Form may be used to inform decisions in consideration of the overall portfolio of grants and the level of funds expected to be allocated to individual grantees.

During formative feedback potential grantees will be provided with a (tentative) estimate of the size of grant that will be considered at the final evaluation of Project Proposals.

5 Guidance for completing the Concept Note Form

Section A: Information about your organisation

| Organisation Information | | |
|---|---|--|
| A1 | Organisation name | |
| A2 | Nature of organisation (e.g. INGO, Federation) | |
| A3 | Year established | |
| A4 | Registration number | |
| A5 | Place of registration | |
| A6 | Registered Address, including country | |
| A7 | Organisation telephone number | <i>Please include international dialling code</i> |
| A8 | Organisation website | |
| A9 | Number of employees (full time equivalent in most recent year) | |
| Contact Information for this Concept Note | | |
| A10 | Contact person | |
| A12 | Job title / position | |
| A13 | Email | <i>Please note that this will be the email address to which future correspondence is sent</i> |
| A14 | Contact number | <i>Please include international dialling code</i> |
| Organisation Vision and Activities | | |
| A15 | Description of the organisation's mission and activities (Max 300 words) | <i>Please describe for the organisation or lead organisation (where applying as a consortium, network or federation). You may wish to include reference to your organisational vision, mission or strategy, or whatever best describes the rationale for activities and the activities that your organisation, consortium, network or federation undertakes.</i> |

| A16 | Past Financial Performance | | |
|--------------------------------------|--|--------------------------|--------------------------|
| | <i>Provide this information for the last 3 years for the legal entity that is submitting the Concept Note. Figures should be to the nearest £100,000, and based on audited accounts.</i> | | |
| Financial Year (start - end date) | <i>[mm/yy] - [mm/yy]</i> | <i>[mm/yy] - [mm/yy]</i> | <i>[mm/yy] - [mm/yy]</i> |
| Total income (funds received) | £ 0 | £ 0 | £ 0 |
| Capital expenditure | £ 0 | £ 0 | £ 0 |
| Operational expenditure | £ 0 | £ 0 | £ 0 |
| Annual surplus/ deficit | £ 0 | £ 0 | £ 0 |
| Total Reserves | £ 0 | £ 0 | £ 0 |

| | | | |
|--|---|--|--|
| A17 | Previous donor support in the last three years | | |
| <i>Please include information that relates to donations received during the last 3 years that you consider contributes to FGMC or similar activities. Information can be provided to the nearest £10,000 but should be based on the audited accounts referred to in A16.</i> | | | |

| Name of Donor | Amount (£) | Funding start and finish dates (mm/yy) | Name of project / purpose for which funding was provided |
|---------------|------------|--|--|
| | £ 0 | | |
| | £ 0 | | |
| | £ 0 | | |
| | £ 0 | | |
| | £ 0 | | |

| | | |
|--------------|--|--|
| Other | | |
|--------------|--|--|

| | | |
|------------|---|---|
| A18 | Any other information relating to Section A that you believe is important for us to know. | <i>Include here any other information that relates to any of the issues in this section that you feel should be considered.</i> |
|------------|---|---|

Section B: Project Information

| Project details | | |
|-----------------|---|--|
| B1 | Project title | <i>Please use the same title as on the front of your Concept Note Form.</i> |
| B2 | Project start date | <i>This should be 01 April 2018 or later.</i> |
| B3 | Project end date | <i>This can be any date up to and including the 31 March 2021.</i> |
| B4 | Single organisation, consortium, network or federation submission | <i>Please state if this application is from an individual organisation or from a consortium, network or federation.</i> |
| B5a | Other organisations, consortium partners, networks or federations – At proposal stage | <i>Please provide details of any other organisations or consortia that you would like to explore as partners (depending on proposals received and without any commitment at this stage.)</i> |
| B5b | Other organisations, consortium partners, networks or federations – During project implementation | <i>Please provide details of any other organisations, consortium partners, networks or federations that you intend to work with in the delivery of your Project.</i> |

| Summary of Concept note | | | | | | |
|--|--|---|--------------------------|--------------------------|--------------------------|--------------------------|
| B6 | Executive summary of the Concept Note (maximum 300 words) | | | | | |
| | <i>Provide a concise executive summary of the Concept Note, including what specific results you intend to achieve.</i> | | | | | |
| Summary of focus: Results, Processes and Arenas | | | | | | |
| <i>This section should be a summary of the analysis presented in Section C.</i> | | | | | | |
| <i>Please refer to Section 1 and Section 2 of this Guidance Note with regards to expectations for these questions.</i> | | | | | | |
| B7 | Results: FGMC Outputs Which of the FGMC Logframe Outputs will your Project Proposal address? | | Output 1 | Output 2 | Output 3 | Output 4 |
| | Primary Focus | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Secondary Focus | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Indirect Focus | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B8 | Results: Project outputs (themes, issues, etc.) What is the general thrust and nature of the outputs in your Project Proposal? (maximum 200 words) | <i>For example advocacy, capacity building, legal reform, promotion of indigenous rights, justice, inclusive voice, awareness-raising, gender, climate change. See guidance in Section 2.</i> | | | | |
| B9 | Results: Processes Which international or national processes will your Project engage in / support to achieve results? (maximum 200 words) | <i>For example, policy mechanisms and processes such as FLEGT, VPA, REDD+, and other formal or informal mechanisms in national, EU or UK forums through which your activities will lead to higher level results. See guidance in Section 2.</i> | | | | |
| B10 | Results: Arenas Which countries, regions, regional bodies, global arenas, etc. do you expect to achieve results in, including linkages across different results areas? (maximum 200 words) | <i>Please identify DFID-lead and supported countries, trade activities and communities of practice in which the project contributes or engages. See guidance in Section 2.</i> | | | | |

Summary of Approach to Cross-Cutting Issues: Gender

Please note: Greater detail will be required on gender and VFM at the Project Proposal stage. The purpose of including gender here is to give an early signal of the importance gender and VFM will be given in the evaluation of final project proposals.

This section should provide a summary of the consideration given to cross-cutting issues in the analysis provided in Section C, below.

| | | |
|------------|--|--|
| B11 | <p>Gender</p> <p>Summarise the essence of your approach to gender. <i>(maximum 200 words)</i></p> | <p><i>Gender is being treated as a cross-cutting issue which will be considered in the evaluation of Section C of the Concept Note Form and, more closely, in the evaluation of the final proposal.</i></p> <p><i>In this section you are being asked to summarise how gender has been considered in your Concept Note.</i></p> <p><i>In responding to this please refer to the guidance on gender included, or referred to, in Section 2.</i></p> |
|------------|--|--|

| Other | | |
|--------------|--|--|
| B12 | <p>Any other information relating to Section B that you believe is important for us to know.</p> | <p><i>Include here any other information that relates to any of the issues in this section that you feel should be considered.</i></p> |

Section C: Project Analysis

| Project Information | |
|---------------------|--|
| C1 | Brief summary of the Project activities (maximum 300 words) |
| | <i>Please provide a concise summary of the Project activities. What are the expected outputs and outcomes of your Project?</i> |

| Project Analysis | |
|---|---|
| <i>Please ensure you document how gender considerations are incorporated within each of these sections.</i> | |
| C2 | Results: <i>This section is concerned with how the activities and results of your organisation relate to FGMC results.</i> |
| | a) Results: Organisational alignment (maximum 300 words) <i>How do your Project outputs and outcomes align with your organisational goals? How does the proposed project complement other activities of your organisation?</i> |
| | <i>Please explain the alignment between the outputs and outcomes of your proposed Project and your overall organisational goals / objectives / strategy.</i> |
| | b) Results: FGMC alignment (maximum 600 words) <i>How do your Project outputs and outcomes contribute to the achievement of the FGMC results - outputs, outcome and impact (as set out in the FGMC Logframe)?</i> |
| | <i>Please explain how your proposed Project will contribute to the achievement of the different levels of FGMC results as detailed in the FGMC Logframe and FGMC Business Case and addendums. Please note that your Project results (outputs and outcomes) should lie within the overall FGMC framework but do not have to totally concur with / fully embrace all FGMC results. However, your Project should contribute to enhancing the quality of the policy and legal formulation processes in which you engage to bring about change.</i> |
| C3 | Relevance: <i>This section requires you to set out the 'theory of change' underlying your proposal in whatever format you find appropriate.</i> |
| | a) Relevance: Context (maximum 300 words) <i>What is the analysis of the context in which your proposal will function?</i> |
| | <i>This part of the section should contain an analysis of the situation or context in which the project will operate, including the nature of the problem and issues to be addressed, the main stakeholders involved, and the factors (drivers, power relations, processes, etc.) that determine the context. Where appropriate, this should be grounded in a particular space – whether geographical or otherwise – and at a specific point in time. The evidence for this analysis should be set out clearly. The detail presented in this section should be sufficient to provide background and context for the following section (C3b), where the relevance of the intervention is discussed.</i> |
| | b) Relevance: Intervention (maximum 600 words) <i>How will your Project engage with processes that lead to change?</i> |
| | <i>This part of the section should explain the nature and logic behind your proposed approach and activities and how the Project will engage with the situational analysis presented in the previous section (C3a). This section should contain an explanation of the underlying hypothesis (or causality) through which the proposed activities will seek to bring about change and explain how your organisation will engage with these processes or political spaces. We would expect you to detail the political processes that your proposed project will be engaging in, for example, FLEGT VPA, REDD, or other country, regional or global processes, formal or otherwise, and to explain how and why these processes are expected to deliver results.</i> |

| | |
|-----------|--|
| C4 | Positioning and capability <i>Why is your organisation suited to deliver your Project proposal? Please explain why your organisation is the appropriate recipient of a grant to deliver on your Project proposal. Please provide evidence in support of your response.</i> |
| | a) Positioning of your organisation with respect to key stakeholders (maximum 200 words) |
| | <i>'Positioning' refers to the ability of your organisation to influence critical stakeholders and engage in key processes to effect change.</i> |
| | b) Experience of your organisation (maximum 200 words) |
| | <i>'Experience of the organisation' refers to relevant experience and demonstrated ability of the organisation to manage similar interventions in similar contexts.</i> |
| | c) Capacity of your organisation (maximum 200 words) |
| | <i>'Capacity of the organisation' refers to in-house and partner personnel and other resources that are available to the organisation to implement the proposed Project.</i> |

| | |
|--------------|---|
| Other | |
| C5 | Any other information relating to Section C that you believe is important for us to know. |
| | <i>Include here any other information that relates to any of the issues in this section that you feel should be considered.</i> |

Section D: Project Budget

| Project Budget | | | |
|--|--|---|---|
| <p><i>Provide a rough estimate of the cost of the proposal and the grant to be funded by FGMC. This should be a rough estimate of the cost of the proposal (and only relate to the funds requested from DFID).</i></p> | | | |
| D1 | Estimate of Total budget (GBP) <i>(Amount to be requested from FGMC)</i> | £ | |
| | Rough breakdown of total budget <i>(Either in increments of £100k or 10%)</i> | | |
| | FGMC Logframe Output 1 | £ | % |
| | FGMC Logframe Output 2 | £ | % |
| | FGMC Logframe Output 3 | £ | % |
| | FGMC Logframe Output 4 | £ | % |
| D2 | Explanation (if required) | | |

| | | | |
|-----------|--|--|--|
| D3 | If FGMC is co-funding a project or wider intervention please state: | | |
| | Total project cost | £ | |
| | Funds already secured (amount): | £ | |
| | Funds already secured (donor): | | |
| | Funds already applied for: | £ | |
| D4 | <p>Would your organisation deliver the proposed project activities irrespective of being awarded an FGMC grant? <i>(Yes/No/Maybe)</i></p> | <p><i>Please state 'Yes', 'No' or 'Maybe'.</i></p> <p><i>Please note that FGMC grants <u>can</u> be used to (i) solely fund, (ii) co-finance or (iii) leverage funds for project activities that would take place in some form without FGMC support.</i></p> | |
| D5 | <p>Is your proposal dependent on advance funding from DFID or cofinancing from other sources. If so, explain how you would adjust the proposal if this financing was not available</p> | <p><i>Please state 'Yes', 'No' or 'Maybe'.</i></p> | |

| Other | | |
|--------------|--|--|
| D6 | Any other information relating to Section D that you believe is important for us to know | <i>Include here any other information that relates to any of the questions in this section that you feel should be considered.</i> |

Section E: Other Information

This section is for information purposes only.

| Annexes | | |
|-----------|--|--|
| E1 | Have you attached an annex? | |
| | What is the file name of the annexed document? | |

| Project proposal preparation | | |
|------------------------------|---|---|
| E2 | <p>If invited, how will you develop your full Project proposal?</p> <p><i>The purpose of this information is to help us prioritise / phase subsequent stages of the grants round, given the short time frame.</i></p> | <p><i>Please indicate whether the proposal is already finalised (or another stage of an existing Project) or to be developed 'de novo', whether the Proposal will be developed in-house, by consultants, with partners etc. If partners are involved, have they been identified already? Also, please include any other issues that may affect the time line required to prepare a full proposal.</i></p> |

Please remember to submit your Concept Note in line with the following guidance:

- save the Concept Note Form and save the file in a recognised format.
- use the filename **FGMC Grant CN Submission – [your organisation's name]** .
- **for any attached annex**, use the filename **FGMC Grant CN Submission – [your organisation's name] Annex** .
- email the document to FGMC-Applications@Kpmg.com .
- enter **FGMC Grant CN Submission – [your organisation's name]** in the subject line of the email.

Contact us

**Forest Governance, Markets and Climate
Programme Management Support Team (PMST)**

T +44 (0)20 7311 3760

E FGMC-Applications@Kpmg.com