**CIVIL SOCIETY CATALYTIC FUND**

**TERMS OF REFERENCE**

**January 2019**

**CONTENTS**

[**ABBREVIATIONS** 3](#_Toc536627581)

[**1.**  **BACKGROUND** 4](#_Toc536627582)

[**2.** **OBJECTIVE AND KEY TERMS** 5](#_Toc536627583)

[**2.1** **Global objective** 5](#_Toc536627584)

[**2.2** **Key terms** 5](#_Toc536627585)

[**3.** **CSCF ELIGIBILITY** 5](#_Toc536627586)

[**3.1** **Eligibility criteria** 5](#_Toc536627587)

[**3.2** **Eligibility of applicant(s)** 5](#_Toc536627588)

[**3.2.1** **Lead applicant** 5](#_Toc536627589)

[**3.2.2** **Co-applicants** 6](#_Toc536627590)

[**3.3** **Eligibility of projects** 6](#_Toc536627591)

[**3.3.1** **Minimum criteria** 6](#_Toc536627592)

[**3.3.2** **Priority actions** 6](#_Toc536627593)

[**3.3.3** **Additional criteria** 7](#_Toc536627594)

[**3.3.4** **Ineligible actions** 7](#_Toc536627595)

[**3.3.5** **Visibility** 7](#_Toc536627596)

[**3.4** **Eligibility of costs** 7](#_Toc536627597)

[**3.4.1** **Ineligible costs** 8](#_Toc536627598)

[**4.** **APPLICATION AND SELECTION PROCESS** 8](#_Toc536627599)

[**4.1** **Application process** 8](#_Toc536627600)

[**4.1.1** **Concept note** 8](#_Toc536627601)

[**4.1.2** **Project development workshop** 9](#_Toc536627602)

[**4.1.3** **Full application** 9](#_Toc536627603)

[**4.2** **Evaluation and selection roles and responsibilities** 10](#_Toc536627604)

[**4.2.1** **CSCF Secretariat** 10](#_Toc536627605)

[**4.2.2** **Review Panel** 10](#_Toc536627606)

[**4.3** **Evaluation and selection process** 11](#_Toc536627607)

[**4.3.1** **Pre-selection of concept notes** 11](#_Toc536627608)

[**4.3.2** **Selection of full applications** 11](#_Toc536627609)

[**4.4** **Indicative timeline** 12](#_Toc536627610)

[**5.**  **IMPLEMENTATION, MONITORING AND EVALUATION** 13](#_Toc536627611)

[**5.1**  **Contracting procedures** 13](#_Toc536627612)

[**5.2** **Implementation of CSCF projects** 13](#_Toc536627613)

[**5.2.1** **Beneficiary responsibilities** 13](#_Toc536627614)

[**5.2.2** **CSCF Secretariat responsibilities** 13](#_Toc536627615)

[**5.3** **Monitoring and evaluation of CSCF projects** 14](#_Toc536627616)

[**5.4** **Schedule of payments for beneficiaries** 14](#_Toc536627617)

[**5.5** **Impact assessment** 15](#_Toc536627618)

[**ANNEX A: CONCEPT NOTE TEMPLATE – For download as separate document in the webpage** 16](#_Toc536627619)

[**ANNEX B: EVALUATION CRITERIA FOR CONCEPT NOTES (Available as a separate document in the webpage)** 17](#_Toc536627620)

[**ANNEX D: FULL APPLICATION TEMPLATE (Available as a separate document in the webpage)** 19](#_Toc536627621)

[**ANNEX F: EVALUATION CRITERIA FOR FULL APPLICATIONS** 20](#_Toc536627622)

# **ABBREVIATIONS**

CBM Community Building Mitrovica

CfP Call for Proposals

CSCF Civil Society Catalytic Fund

M&E Monitoring and evaluation

MESP Ministry of Environment and Spatial Planning

MLGA Ministry of Local Government Administration

MRMT Mitrovica Region Monitoring Team

PMU Programme Management Unit

# **1. BACKGROUND**

While Kosovo has made important progress toward democratic governance, a market economy, and European integration, the country faces enduring challenges on its path to stability and inclusive development. These challenges are especially acute in Mitrovica Region. Following the 1998-99 conflict, Serbs in the four northernmost municipalities uniformly rejected the authority of Kosovo institutions based in Pristina, and the institutions of Serbia and Kosovo intersected and overlapped there without formal boundaries or rules. This division of Mitrovica Region resulted in Albanian and Serb communities living within separate social, political and security structures in close proximity, contributing to a general sense of disorder and insecurity. Northern Kosovo became a flashpoint, its future status a contentious issue for Kosovo, Serbia, and their respective citizens.

Since 2011, a Kosovo-Serbia dialogue process facilitated by the EU has resulted in tentative steps toward integration of the four northernmost municipalities within the Kosovo-wide governance system. Local elections in 2013 established four municipalities in the Serb-majority north within Kosovo’s governance framework. Yet widespread corruption, ambiguity regarding the functions of municipalities operating within the Kosovo governance system and residual (“parallel”) municipalities operating within the Serbian system, and the orientation of elected officials toward Belgrade has aggravated public dissatisfaction and instability, and threatens to derail integration. Regionally, the status quo remains one of limited contact and cooperation between communities in the Serb-majority north and Albanian-majority municipalities to their south.

In response to these challenges, UN-Habitat, PAX and Community Building Mitrovica (CBM) developed the Inclusive Development Programme*,* which supports the integration of northern municipalities with strong local democratic oversight and consistent with effective multi-level governance. Developed in conjunction with the Ministry of Environment and Spatial Planning (MESP) and the Ministry of Local Government Administration (MLGA), this Programme provides technical assistance on municipal planning and management, in line with Kosovo’s legal and regulatory framework and principles of sound administration. But since an adequate strategic planning framework is not sufficient to ensure effective allocation of resources aligned with public demand, the Programme also seeks to strengthen the social contract by increasing local government responsiveness through civil society mobilization and public dialogue; and promotes inter-municipal and local-central trust, dialogue, and coordination.

Progress toward inclusive development and integration in northern Kosovo will require a dramatic, durable breakthrough in state-citizen relations, through greater citizen participation in local policymaking and greater accountability of local government to citizens. The Civil Society Catalytic Fund (CSCF) will issue two rounds of competitive open Calls for Proposals (CfPs) for innovative projects brought forward by members of the unique multi-stakeholder Mitrovica Region Monitoring Team (MRMT). The co-financing provided by CSCF will stimulate civil society action that increases local government citizen participation and accountability in northern Kosovo.

*Citizen Participation Plan (CPP)* is one of the key outputs of the inclusive Development Programme. This document is in the development phase in each of the seven Mitrovica region municipalities and has the key aim of fostering the process of structural inclusion of citizens in decision making processes in each of the seven Mitrovica region municipalities. This document is the key output of Objective 2 of the Inclusive Development Programme(Increase local government transparency, responsiveness and accountability through civil society mobilization and citizen participation).

# **2. OBJECTIVE AND KEY TERMS**

## **2.1 Global objective**

The **global objective** of the CSCF is to *strengthen civil society efforts to increase local government citizen participation and accountability in northern Kosovo.*

## **2.2 Key terms**

In relation to the global objective, **key terms** are defined below:

* *Citizen participation* in decisions that affect public welfare is not only guaranteed to citizens as a democratic right, but ensures that public policy outcomes are likelier to satisfy citizen needs and demands. Citizens need knowledge to make decisions about policy choices, and the skills to organize access and occupy political space, and ultimately exercise power.
* *Accountability* is the extent and capability of citizens to hold the state to account for its actions and demand responsiveness. It requires institutional transparency, answerability, and enforceability between state and citizens.

# **3. CSCF ELIGIBILITY**

These guidelines set out the rules for the submission, selection and implementation of the projects funded under the CSCF.

## **3.1 Eligibility criteria**

There are three sets of eligibility criteria, relating to:

1. The applicant(s)
2. The projects for which a grant may be awarded
3. The costs that may be taken into account in setting the amount of the grant

## **3.2 Eligibility of applicant(s)**

Two types of applicants will be deemed eligible to apply for CSCF grants:

* The **lead applicant*,*** i.e. the entity submitting the application form
* If any, its **co-applicant(s)**

Where it is not specified otherwise, the lead applicant and co-applicant(s) are hereinafter joint referred to as “applicant(s)”. Applicants are defined further below.

### **3.2.1 Lead applicant**

Lead applicants must be:

* Legally registered in Kosovo for a minimum period of 12 months prior to the deadline for submission of concept notes
* Based on northern Kosovo
* Directly responsible for the preparation and management of the project with the co-applicant(s), not acting as an intermediary
* Able to become a beneficiary in the project, together with co-applicant(s), if awarded a grant agreement

Note that applicants:

* May not submit more than one application under each CfP
* May not be awarded more than one grant under each CfP
* May not be a co-applicant in another application under the same CfP at the same time

### **3.2.2 Co-applicants**

Co-applicants must be:

* Operational in northern Kosovo
* Party to the preparation and management of the project, with the costs they incur eligible in the same way as those incurred by the lead applicant
* Able to become a beneficiary in the project, together with the lead applicant, if awarded a grant agreement

Note that co-applicants:

* May not be awarded more than one grant under each CfP
* May not be a co-applicant in another application under the same CfP at the same time

## **3.3 Eligibility of projects**

A project is composed of a set of activities. The initial planned duration of a CSCFproject may not exceed 12 months.

### **3.3.1 Minimum criteria**

The CSCF will support only those projects that meet the following **3 minimum criteria**:

* Contribute to achievement of the objective of the CSCF
* Take place mainly in the 7 municipalities of Mitrovica Region (though some activities and beneficiaries can be located outside of Mitrovica Region)
* Demonstrate catalytic effect, in that they promote broader or longer-term effects advancing the objective of the CSCF

### **3.3.2 Priority actions**

The CSCF will invest in projects that involve one or more of the following **5 priority actions**:

1. Mobilizing the public to engage collectively with issues relevant to local governance
2. Organizing informal and formal state-citizen dialogues involving local government, civil society, and the public
3. Monitoring and reporting on the performance of local government, including policy and decision-making processes, implementation of legislation, and management of public resources
4. Conducting local policy research and analysis, formulation, implementation, and impact assessment processes, including preparation of recommendations to influence local policy
5. Developing specific citizen participation and accountability measures in partnership with municipalities, including (but not limited to):

* participatory budgeting
* petitions and citizen’s initiatives
* referenda
* utilization of e-governance tools
* access to information laws and policies
* institutionalization of ethics and integrity codes and compliance mechanisms for public officials

### **3.3.3 Additional criteria**

The CSCF will prioritize investment in projects that meet one or more of the following **additional criteria**:

* Implementation by one or more MRMT members, and / or development and implementation in partnership with municipal government(s)
* Promotion of north-north and / or north-south cooperation
* Promotion of inter-ethnic social cohesion, by integrating cross-community contact and confidence-building into aims and activities
* Innovation, measured in the development of concepts, products and processes which are either new in absolute terms or a novelty in their application and adaptation to a specific context in northern Kosovo
* Advancement of women’s equality and empowerment, application of gender analysis and / or use of gender-disaggregated data
* Advancement of environmental protection

### **3.3.4 Ineligible actions**

The CSCF will not invest in projects that are:

* concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses
* concerned only or mainly with the organization of study tours or exchanges
* concerned only or mainly with individual scholarships for studies or training courses
* providing financial support to third parties

### **3.3.5 Visibility**

CSCF applicants must be prepared to publicize the fact that they are financed within the framework of the Inclusive Development Programme and acknowledge partnership with UN-Habitat, PAX, and CBM; additionally, applicants must be prepared to acknowledge specific donors financing the Inclusive Development Programme.

## **3.4 Eligibility of costs**

The overall minimum amount made available through the CSCF is EUR 85 000. The CSCF reserves the right not to award all available funds.

Project proposals will be solicited through competitive open CfP’s, with an indicative allocation of funds as per below:

* Round 1 (Q2 2018): EUR 85 000
* Round 2 (Q2 2019): EUR 85 000

Any grant requested from the CSCF must fall between the following minimum and maximum amounts:

* Minimum amount: EUR 10 000
* Maximum amount: EUR 25 000

Any grant requested from the CSCF must fall below 90% of the total eligible costs of the project. The balance (i.e. the difference between the total cost of the project and the amount requested from the CSCF) must be financed from other sources or contributed in-kind by the applicant.

Only eligible costs can be covered by a grant. The categories of costs that are ineligible are indicated below.

### **3.4.1 Ineligible costs**

The following costs are not eligible:

* debts and debt service charges (interest);
* provisions for losses, debts or potential future liabilities
* purchases of land or buildings
* currency exchange losses
* credits to third parties
* in-kind contributions
* salary costs of the personnel of national or local government institutions
* Value Added Tax, excise duties and other special consumption taxes or any other similar tax, duties or charges having equivalent effect

# **4. APPLICATION AND SELECTION PROCESS**

## **4.1 Application process**

The application process for CSCF round 2 will consist of three stages:

1. participate in a **project development workshop**, to be followed by
2. submission of a **concept note**, which, if approved, will result in an invitation to
3. submit the **full application**, which, if approved, will result in a grant award

### **4.1.1 Concept note**

In each CSCF round, eligible applicants will be invited to respond to a CfP using the concept note templates in Annex A, Annex C. Concept notes will be evaluated against the pre-selection criteria as indicated in Annex B.

Note that:

* In the concept note, lead applicants must provide only an estimate of the requested CSCF contribution, as well as an indicative percentage of this contribution in relation to the total eligible costs of the project. A detailed budget is to be submitted only by lead applicants invited to submit a full application.
* The elements outlined in the concept note may not be modified in the full application form. However, the lead applicant may adjust the duration of the project if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation. In such cases the duration must remain within the limits described in section 3.3, and be justified in the full application.
* The CSCF contribution may not vary from the initial estimate by more than 20 %. Lead applicants are free to adapt the requested CSCF contribution as a percentage of the total eligible costs, but not to exceed the maximum percentage established in section 3.4.
* The lead applicant may replace a co-applicant only in duly justified cases (e.g. bankruptcy of initial co-applicant). In this case the new co-applicant entity must be of a similar nature as the initial one.
* Own contributions by the applicants can be replaced by other donors' contributions at any time.
* Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.
* Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.
* Upon submission of a concept note, the lead applicant will receive written confirmation.

The deadline for the submission of concept notes will be established in the published CfP. Any concept note submitted after the deadline will be rejected.

### **4.1.2 Project development workshop**

All interested parties will be invited to participate in a one-day project development workshop, taking place approximately one week after CfP is launched. Participation in the project development workshop will be a pre-requisite for any applicants intending to submit a full application for a CSCF grant.

The workshop will be an opportunity for the interested parties to go over the guidelines in detail, and answer questions with support of expert practitioners. The workshop will also be an opportunity to sharpen existing project models and draft compelling applications. Applicants will also have the opportunity to learn from, and potentially collaborate or combine with, other applicants seeking support from CSCF.

Following the project development workshop, applicants will be able to access additional advice and support from a community of expert practitioners as they perfect their full applications.

### **4.1.3 Full application**

All applicants who participated in the project development workshop will be invited to submit a full application using the templates in Annex D, Annex E and Annex H. Full applications will be evaluated against the selection criteria as indicated in evaluation grid (Annex F).

Note that:

* The elements outlined in the concept note may not be modified in the full application form. However, the lead applicant may adjust the duration of the project if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation. In such cases the duration must remain within the limits described in section 3.3, and be justified in the full application.
* The CSCF contribution may not vary from the initial estimate by more than 20 %. Lead applicants are free to adapt the requested CSCF contribution as a percentage of the total eligible costs, but not to exceed the maximum percentage established in section 3.4.
* The lead applicant may replace a co-applicant only in duly justified cases (e.g. bankruptcy of initial co-applicant). In this case the new co-applicant entity must be of a similar nature as the initial one.
* A copy of the lead applicant’s accounts of the latest financial year must be accompany the full application. A copy of the latest accounts is not required from the co-applicant(s).
* Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.
* Upon submission of a full application, the lead applicant will receive written confirmation.

The deadline for the submission full applications will be established in the published CfP. Any application submitted after the deadline will be rejected.

## **4.2 Evaluation and selection roles and responsibilities**

Pre-selection of concept notes and selection of full applications will be determined by a 6-member Review Panel, supported by a Secretariat.

### **4.2.1 CSCF Secretariat**

CBM will serve as Secretariat to the Review Panel. This role will include the following responsibilities:

* In accordance with the relevant evaluation criteria, review concept notes, and distribute them to the Review Panel
* Convene and support meetings of the Review Panel within 4 weeks of the closing date for submission of concept notes
* In accordance with the relevant evaluation criteria, review and score full applications
* Pertinent to the evaluation criteria, and with attention to the available CSCF resources, prepare a written set of preliminary recommendations to the Review Panel on the composition of the grant portfolio
* Convene and support meetings of the Review Panel within 4 weeks of the closing date for submission of full applications
* Provide ad hoc assistance to the Review Panel as requested

### **4.2.2 Review Panel**

The responsibilities of the Review Panel will include:

* Review and select concept notes as recommended by the Secretariat
* Review and select full applications as recommended by the Secretariat
* Solicit ad hoc assistance from the Secretariat as needed

The Review Panel will consist of the following 6 members:

* 1 member appointed by CBM, acting as chair
* 1 member appointed by UN-Habitat Kosovo
* 1 member appointed by PAX
* 1 member appointed by the donor(s) contributing to the CSCF
* 2 members appointed on the recommendation of CBM, UN-Habitat, PAX, and / or the donor(s) contributing to the CSCF, and approved by the aforementioned, representing organizations which are NOT MRMT members and which are ineligible for CSCF grants for the duration of their Review Panel membership

Each member will serve for a period of three years unless withdrawn by their appointing institution. Appointing institutions will strive to ensure that the Review Panel consists of a roughly equal number of women and men.

Members will be expected to commit approximately 20 hours to the work of the Review Panel for a period of three years (approximately 10 hours for review of concept notes and full applications in two rounds, plus an additional 10 hours of panel meetings and supplemental business). Members who are unable to commit this time will be subject to withdrawal by their appointing institutions upon the recommendation of the chair.

Members of the Review Panel will be expected to declare any potential conflicts of interest.

Members of the Review Panel (or designated substitutes) will meet at least once in person to pre-select concept notes, and at least once in person to select full applications, for each round of CSCF grants, for a total minimum of four in person meetings over the course of Programme implementation.

All decisions of the Review Panel will be made by simple majority voting, with the chair casting a vote only when necessary to break a tie.

## **4.3 Evaluation and selection process**

### **4.3.1 Pre-selection of concept notes**

During the opening and administrative check (including the eligibility check of the project) for concept notes, the following will be assessed:

* + - If the deadline has been met; otherwise, the concept note will be automatically rejected
    - If the concept note satisfies all the criteria specified in the checklist in the instructions included in Annex A, including an assessment of the eligibility of the project; if any of the requested information is missing or is incorrect, the application may be rejected on that sole basis.

The concept notes that pass this check will be evaluated on the relevance and design of the proposed project. The concept notes will receive an overall score out of 50 in line with the evaluation grid in Annex B. The evaluation will also check the compliance with the instructions on how to complete the concept note (Annex A).

### **4.3.2 Selection of full applications**

During the opening and administrative check (including the eligibility check of the project) for full applications, the following will be assessed:

* + - If the submission deadline has been met; otherwise, the application will be automatically rejected
    - If the full application satisfies all the criteria specified in the checklist in Annex C, including an assessment of the eligibility of the project; if any of the requested information is missing or is incorrect, the application may be rejected on that sole basis

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and the capacity of the applicants. The evaluation criteria used are presented in the evaluation grid in Annex D. There are two types of evaluation criteria, described below:

1. The **selection criteria** help to evaluate the applicant(s) operational capacity and the lead applicant's financial capacity and are used to verify that they:

* have stable and sufficient sources of finance to maintain their activity throughout the proposed project and, where appropriate, to participate in its funding (this only applies to lead applicants)
* have the management capacity, professional competencies and qualifications required to successfully complete the proposed action (is applies to all applicants)

For the purpose of the evaluation of financial capacity, lead applicants must ensure that the relevant information and documents (i.e. accounts of the latest financial year and external audit report, where applicable) are submitted; if these documents are not submitted, the application may be rejected.

1. The **award criteria** help to evaluate the quality of the applications in relation to the objective and priorities set forth in the CfP, and to award grants to projects which maximize the overall effectiveness of the CSCF. They cover the relevance of the action, its consistency with the objective of the CSCF, quality, expected impact, catalytic effect and sustainability, and cost-effectiveness.

The lead applicant will be informed in writing of the decision concerning their application and, if rejected, the reasons for a negative decision.

## **4.4 Indicative timeline**

|  |  |
| --- | --- |
| **Round 2 timeline** | |
| ***2019***  Jan. 30  Feb. 11  Feb.27  Feb. 28  Week of March 9  March 11  March 26  Week of March 26  Week of April 1  April 16  May 15  Nov. 1  ***2020***  Apr. 30  May 31 | Call for concept notes issued  Project development workshop  Deadline for submission of concept notes  Review of concept notes by CSCF Secretariat  Review of concept notes by Review Panel  Approved concept notes announced  Deadline for submission of full applications  Review of full applications by CSCF Secretariat  Review of full applications by Review Panel  Approved projects announced  Start of round 2 projects  Mid-point reflection and learning exercise, deadline for submission of interim narrative and financial reports  End of round 2 projects  Deadline for submission of final narrative and financial reports |

# **5. IMPLEMENTATION, MONITORING AND EVALUATION**

## **5.1 Contracting procedures**

Following approval by the Review Panel of a grant award, the lead applicant will be invited to negotiate a grant agreement. It will be provided support by the CSCF Secretariat to prepare a project implementation plan and risk log to accompany the grant agreement. The CSCF Secretariat will sign the grant agreement with the lead applicant and ensure the overall administrative management of the contract, including putting in place quality control mechanisms for the satisfactory provision of outputs and deliverables and reports produced against the contract in order to process the payments. Grant activation and disbursement of funds will occur upon counter-signing of the grant agreement.

## **5.2 Implementation of CSCF projects**

Upon grant activation, the beneficiary is responsible for project implementation, while the CSCF Secretariat is responsible for supervising the project with ad hoc quality assurance checks to be performed by the Programme Management Unit (PMU).

### **5.2.1 Beneficiary responsibilities**

During the project implementation period outlined in the grant agreement, the beneficiary or beneficiaries will be expected to:

* Assume overall responsibility for the proper use of CSCF funds
* Comply with all provisions in the grant agreement
* Provide timely reporting to the CSCF Secretariat on progress in implementing the project, and financial reporting on the uses of funds as specified by the grant agreement
* Communicate with the CSCF Secretariat on all significant matters relating to the project, such as changes in activities, budget revision and timeline, as well as any emerging contextual risks or adverse impacts resulting from project activities
* Participate in knowledge-sharing and networking activities, so that other beneficiaries might benefit from project insights

### **5.2.2 CSCF Secretariat responsibilities**

During the project implementation period outlined in the grant agreement, the CSCF Secretariat will be expected to:

* Assume overall responsibility for monitoring, evaluation, and reporting on CSCF projects
* Communicate with beneficiaries on all significant matters relating to the project, such as changes in activities, budget revision and timeline, as well as any emerging contextual risks or adverse impacts resulting from project activities
* Organize and coordinate knowledge-sharing and networking activities, so that other beneficiaries might benefit from project insights
* Forward, for purposes of coordination and oversight, all work plans, reports and other information to the PMU

## **5.3 Monitoring and evaluation of CSCF projects**

The responsibility for achieving project results rests with the beneficiary or beneficiaries of a given grant agreement. Solid results-based monitoring and evaluation (M&E) and reporting is a key CSCF expectation. Beneficiaries are required to submit narrative and financial progress reports in line with the M&E and reporting plan outlined below:

|  |  |  |  |
| --- | --- | --- | --- |
| **Monitoring instrument** | **Description** | **Producer(s)** | **Deadline(s)** |
| Monthly narrative and financial report | Narrative and financial overview of project activities focusing on progress toward achievement of objectives, including lessons learned | Beneficiary | First week of each month, for the preceding month |
| Risklog revision | Analyzes challenges in external environment and internal conditions which may impact project implementation | Beneficiary | End of month 3  End of month 9 |
| Mid-point review report | Consolidates project progress reports to provide overview of achievements at mid-point and summarize lessons learned, with revision of project implementation plan as key output | Beneficiary  Secretariat | End of month 6 |
| Final narrative and financial report | Assesses project outputs, achievement of the expected impact through relevance, effectiveness, efficiency, stakeholder ownership, catalytic effect and sustainability parameters | Beneficiary  Secretariat | End of month 12 |

The M&E and reporting plan will support the implementation of CSCF projects throughout their duration and will include the mechanisms to systematically gather and generate reliable and useful information to measure progress toward achievement of targets. The plan will enable the Inclusive Development Programme Steering Committee, MESP and MLGA, local governments, and donor partners to track progress toward achievement of objectives, as well as draw out good practices and lessons learned from implementation experience.

On the basis of narrative and financial project progress reports submitted by beneficiaries, the CSCF Secretariat will prepare mid-term and annual reports on implementation of the CSCF, including a financial statement. All evaluation exercises will comply with the UN Evaluation Group Norms and Standards[[1]](#footnote-2).

## **5.4 Schedule of payments for beneficiaries**

The schedule of payments for beneficiaries in each round of CSCF grants will be as follows:

|  |  |
| --- | --- |
| 70% of total grant amount | Payable upon counter-signature of the grant agreement |
| 20% of total grant amount | Payable upon expenditure of 70% of the first tranche and submission of mid-point narrative and financial report |
| 10% of total grant amount | Payable upon submission and approval of final narrative and audited financial report |

## **5.5 Impact assessment**

At the conclusion of each round of CSCF grants, theCSCF Secretariat will outsource an impact assessment to a technical specialist familiar with the context in northern Kosovo. Impact assessments will determine whether the intended objective of the CSCF has been achieved, interviewing local and international observers and relevant public and civil society actors on the ground, and consulting reports and analysis obtained from authoritative open sources, as a means of measuring overall impact. Special attention will be paid to determining the catalytic effect and sustainability of CSCF project activities, and the feasibility of replication and up scaling elsewhere.

# **ANNEX A: CONCEPT NOTE TEMPLATE – For download as separate document in the webpage**

# **ANNEX B: EVALUATION CRITERIA FOR CONCEPT NOTES (Available as a separate document in the webpage)**

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 10 (1 = very poor, 5 = adequate, 10 = very good).

**Evaluation Grid**

|  |  |
| --- | --- |
| **Section** | **Maximum Score** |
| **1. Relevance of the project** | **30 points** |
| * 1. Does the project described in the proposal meet the minimum criteria for CSCF projects, namely: * It contributes to achievement of the CSCF objective * It takes place mainly in the 7 municipalities of Mitrovica Region * It demonstrates catalytic effect, in that it promotes broader or longer-term effects advancing the objective of the CSCF | 10 points |
| 1.2 Does the project described in the proposal contribute to achievement of one or more of the following 5 priority actions:   * Mobilizing the public to engage collectively with issues relevant to local governance * Organizing informal and formal state-citizen dialogues involving local government, civil society, and the public * Monitoring and reporting on the performance of local government, including policy and decision-making processes, implementation of legislation, and management of public resources * Conducting local policy research and analysis, formulation, implementation, and impact assessment processes * Developing specific citizen participation and accountability measures in partnership with municipalities | 10 points |
| 1.3 Does the project described in the proposal meet one or more of the following additional criteria:   * Implementation by one or more MRMT members, and / or development and implementation in partnership with municipal government(s) * Promotion of north-north and / or north-south cooperation * Promotion of inter-ethnic social cohesion, by integrating cross-community contact and confidence-building into aims and activities * Innovation, measured in the development of concepts, products and processes which are either new in absolute terms or a novelty in their application and adaptation to a specific context in northern Kosovo * Advancement of women’s equality and empowerment, application of gender analysis and / or use of gender-disaggregated data * Advancement of environmental protection | 10 points |
| **2. Design of the project** | **20 points** |
| 2.1. How coherent is the overall design of the project? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders? | 10 points |
| 2.2. Is the project feasible and consistent in relation to the objectives and expected results? | 10 points |
| **Maximum total score** | **50** |

Notes:

* If the total score for subsection 1.1 (minimum criteria) is less than 5 points, the application will be rejected.
* Concept notes with a score lower than 30 will be rejected.
* Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of 200% of the available budget for the round is reached.
* Lead applicants will receive a letter indicating their respective results.

# **ANNEX D: FULL APPLICATION TEMPLATE (Available as a separate document in the webpage)**

# **ANNEX F: EVALUATION CRITERIA FOR FULL APPLICATIONS**

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 10 (1 = very poor, 5 = adequate, 10 = very good) or between 1 and 5 (1 = very poor, 3 = adequate, 5 = very good).

**Evaluation Grid**

|  |  |
| --- | --- |
| **Section** | **Maximum Score** |
| **1. Financial and operational capacity** | **20 points** |
| * 1. Do the applicants have sufficient experience of project management? | 5 points |
| * 1. Do the applicants have sufficient technical expertise (especially knowledge of the issues to be addressed)? | 5 points |
| * 1. Do the applicants have sufficient management capacity (including staff, equipment and ability to handle the budget for the action)? | 5 points |
| 1.4. Does the lead applicant have stable and sufficient sources of finance? | 5 points |
| **2. Relevance of the project** | **25 points** |
| 2.1 Does the project described in the proposal meet the minimum criteria for CSCF projects, namely:   * It contributes to achievement of the CSCF objective * It takes place mainly in the 7 municipalities of Mitrovica Region | 5 points |
| 2.2 Does the project described in the proposal contribute to achievement of one or more of the following 5 priority actions:   * Mobilizing the public to engage collectively with issues relevant to local governance * Organizing informal and formal state-citizen dialogues involving local government, civil society, and the public * Monitoring and reporting on the performance of local government, including policy and decision-making processes, implementation of legislation, and management of public resources * Conducting local policy research and analysis, formulation, implementation, and impact assessment processes * Developing specific citizen participation and accountability measures in partnership with municipalities | 10 points |
| 2.3 Does the project described in the proposal meet one or more of the following additional criteria:   * Promotion of north-north and / or north-south cooperation, * Promotion of inter-ethnic social cohesion, by integrating cross-community contact and confidence-building into aims and activities * Innovation, measured in the development of concepts, products and processes which are either new in absolute terms or a novelty in their application and adaptation to a specific context in northern Kosovo * Advancement of women’s equality and empowerment, application of gender analysis and / or use of gender-disaggregated data * Advancement of environmental protection * Development or implementation in partnership with municipal government(s) | 10 points |
| **3. Effectiveness and feasibility of the project** | **20** |
| 3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results? | 5 |
| 3.2. Is the action plan clear and feasible? | 5 |
| 3.3. Does the proposal contain objectively verifiable indicators for the outcome of the action? | 5 |
| 3.4. Is the co-applicant(s)'s level of involvement and participation in the action satisfactory? | 5 |
| **4. Catalytic effect and sustainability of the project** | **20** |
| 4.1. Is the project likely to have broader or longer-term catalytic effects advancing the objective of the CSCF? | 10 |
| 4.2. Are the expected results of the proposed action sustainable, including:   * Financial sustainability (how will the activities be financed after the funding ends?) * Institutional sustainability (will structures allowing the activities to continue be in place at the end of the project? Will there be local ownership of the results of the project?) * Policy sustainability (where applicable) (what will be the structural impact of the action, e.g. will it lead to improved legislation, codes of conduct, methods, etc?) * Environmental sustainability (if applicable) (will the action have a negative/positive environmental impact?) | 10 |
| **5. Budget and cost-effectiveness of the project** | **15** |
| 5.1. Are the activities appropriately reflected in the budget? | 5 |
| 5.2. Is the ratio between the estimated costs and the expected results satisfactory? | 10 |
| **Maximum total score** | **100** |

Notes:

* If the total score for section 1 (financial and operational capacity) is less than 10 points, the application will be rejected. If the score for at least one of the subsections under section 1 is 2 or less, the application will also be rejected.
* If the total score for subsection 2.1 (minimum criteria) is less than 5 points, the application will be rejected.
* After the evaluation, applications will be ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for the round is reached.
* In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

**ANNEX H: LOG FRAME TEMPLATE (Available as a separate document in the webpage).**

**ANNEX I: GRANT AGREEMENT TEMPLATE**

**GRANT AGREEMENT**

**IN REGARDS TO**

[INSERT PROJECT TITLE]

This Grant Agreement (hereinafter referred to as “the Agreement’) is made between Community Building Mitrovica (hereinafter referred to as “CBM”) and [insert beneficiary’s name and address] (hereinafter referred to as “the Beneficiary”), within the framework of the Civil Society Catalytic Fund (hereinafter referred to as “CSCF”) of the Inclusive Development Programme 2018-20.

WHEREAS CBM desires to provide grant support to the Beneficiary in the context of the implementation of [insert project title] as specifically described in Appendix B, on the terms and conditions hereinafter set forth, and

WHEREAS the Beneficiary is ready and willing to accept such funds from CBM for the above-mentioned activities on the terms and conditions as herein set forth.

THEREFORE, CBM and the Beneficiary agree as follows:

**1. Agreement Documents**

1.1 The following documents attached hereto shall be deemed to form an integral part of this Agreement in the following order of precedence:

(a) This agreement;

(b) Appendix A: General Conditions for Grant Support Agreements;

(c) Appendix B: Terms of Reference;

(d) Appendix C: Budget; and

(e) Appendix D: Reporting Formats.

1.2 This Agreement and the Appendices attached hereto shall form the entire Agreement between CBM and the Beneficiary, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Agreement.

**2. Purpose of the Agreement**

2.1 The purpose of this Agreement is to provide support for the [insert project title] as described in Appendix B (the Terms of Reference). None of the funds provided pursuant to this Agreement may be used for any purposes other than those expressly set forth in Appendix B.

2.2 Grant support is provided to the Beneficiary on the condition that funds are administered by the Beneficiary in accordance with this Agreement.

**3. Period of this Agreement**

3.1 This Agreement is effective and funds are granted by CBM as of [insert start date]or the date of the last signature below, whichever is the later.

3.2 Funds granted hereunder are available for project expenditures for the estimated period from the effective date specified in clause 3.1 above to [insert end date].

**4. Grant Amount and Payments**

4.1 CBM hereby grants to the Recipient the sum of EUR [insert grant amount] as shown in the Budget in Appendix C.

4.2 Payments to the Beneficiary shall be made in accordance with the following schedule upon the submission by the Beneficiary of appropriate payment requests, subject to the Beneficiary’s continued performance of its obligations under this Agreement:

|  |  |
| --- | --- |
| 70% of total grant amount | Payable upon counter-signature of the grant agreement |
| 20% of total grant amount | Payable upon expenditure of 70% of the first tranche and submission of mid-point narrative and financial report |
| 10% of total grant amount | Payable upon submission and approval of final narrative and audited financial report |

4.3 All payments to the Beneficiary shall be in EUR, and shall be deposited into the Beneficiary’s bank account.

**5. Reporting and Evaluation**

5.1 The Beneficiary shall submit the following reports during the life of this Agreement in the formats provided in Appendix D:

|  |  |  |
| --- | --- | --- |
| **Report** | **Description** | **Deadline(s)** |
| Monthly narrative and financial report | Narrative and financial overview of project activities focusing on progress toward achievement of objectives, including lessons learned | First week of each month, for the preceding month |
| Risk log revision | Analyzes challenges in external environment and internal conditions which may impact project implementation | End of month 3  End of month 9 |
| Mid-point review report | Consolidates project progress reports to provide overview of achievements at mid-point and summarize lessons learned, with revision of project implementation plan as key output | End of month 6 |
| Final narrative and financialreport | Assesses project outputs, achievement of the expected impact through relevance, effectiveness, efficiency, stakeholder ownership, catalytic effect and sustainability parameters | End of month 12 |

5.2 Failure to submit the reports specified in clause 5.1 without due cause shall constitute a material breach of this Agreement. The Beneficiary shall be deemed discharged from its obligation under this Agreement only upon the receipt and acceptance of the reports referred to in clause 5.1 and the return of any unspent funds in accordance with this Agreement.

**6. Correspondence**

6.1 All further correspondence regarding the implementation of this Agreement should be addressed to:

|  |  |
| --- | --- |
| For CBM:  [insert name, address, email, phone] | For the Recipient:  [insert name, address, email, phone] |

6.2 Any notice given by CBM or the Beneficiary shall be sufficient only if in writing and delivered in person, mailed or delivered electronically to the respective addresses specified in article 7.1 above.

IN WITNESS WHEREOF, the undersigned, duly appointed representatives of CBM and of the Recipient, have on behalf of CBM and the Beneficiary, respectively, signed the present Agreement on the dates indicated below their respective signatures.

|  |  |
| --- | --- |
| **FOR CBM:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  [insert name]  [title], [office]  Date (**mandatory**): | **FOR THE RECIPIENT:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  [insert name]  [title]  Date (**mandatory**): |

**GRANT AGREEMENT APPENDIX A**

**GENERAL CONDITIONS FOR GRANT SUPPORT AGREEMENTS**

**1. Allowable Costs**

1.1 The Beneficiary shall be reimbursed for costs incurred in carrying out the purposes of this Agreement which are determined by CBM to be reasonable, allocable, and allowable in accordance with the terms of this Agreement. The following definitions of what may be considered as reasonable, allocable, and allowable costs apply:

(a) Reasonable: shall mean those costs which are generally recognized as ordinary and necessary and would be incurred by a prudent person in the conduct of normal business.

(b) Allocable costs: shall mean those costs which are incurred specifically for the Agreement.

(c) Allowable costs: shall mean those costs which conform to any limitations in the Agreement.

1.2 Prior to incurring a questionable or unique cost, the Beneficiary shall obtain CBM's written determination on whether the cost will be allowable.

1.3 It is CBM policy that no funds shall be paid as profit or fee to a Beneficiary under this Agreement or any sub-recipient. This restriction does not apply to contractual relationships entered into by the Beneficiary under this Agreement.

**2. Accounting, Audit and Records**

2.1 The Beneficiary shall maintain financial records, supporting documents, statistical records and all other records pertinent to this Agreement in accordance with generally accepted accounting principles to sufficiently substantiate charges to this Agreement. Accounting records that are supported by documentation will as a minimum be adequate to show all costs incurred under the Agreement, receipt, and use of goods and services acquired under the Agreement, the costs of the project supplied from other sources, and the overall progress of the project. Unless otherwise notified, the Beneficiary’s records and sub-recipient records which pertain to this Agreement shall be retained for a period of seven years from the date of submission of the final financial report and may be audited by CBM and/or its representatives.

2.2 CBM shall retain the right to conduct a financial review, require an audit, or otherwise ensure adequate accountability of organizations expending CBM funds regardless of the audit requirement specified in the Agreement.

2.3 The Beneficiary shall furnish, compile and make available at all times to CBM any records or information, oral or written, which CBM may reasonably request in respect of the funds received by the Beneficiary.

**3. Revision of Agreement Budget**

3.1 The approved Agreement budget is the financial expression of the Beneficiary's project as approved during the award of the Agreement process.

3.2 The Beneficiary is required to report deviations from budget and project plans, and request prior approvals from CBM for any of the following reasons:

(a) To change the scope or the objectives of the project and/or revise the funding allocated among project objectives.

(b) To change a key person where specified in the Agreement, or allow a 25% reduction in time devoted to the project.

3.3 The Beneficiary is further restricted from transferring funds among cost categories. The Beneficiary is required to get the prior approval of CBM before making budget shifts which expect to exceed 10% of the total budget.

3.4 CBM is under no obligation to reimburse the Beneficiary for costs incurred in excess of the total grant amount specified in this Agreement. An increase to the total grant amount shall require an amendment to the Agreement in writing.

3.5 The total grant amount under this Agreement is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Beneficiary in the performance of the activities under this Agreement.

**5. Beneficiary’s General Obligations**

5.1 The Beneficiary shall carry out all activities for which it is responsible under this Agreement with due diligence and efficiency. Subject to the express terms of this Agreement, it is understood that the Beneficiary shall have exclusive control over the administration and implementation of this Agreement and that CBM shall not interfere in the exercise of such control. However, both the quality of the Beneficiary’s work and the progress being made toward successfully achieving the goals of such activities shall be subject to review by CBM. If at any time CBM is not satisfied with the quality of work or the progress being made toward achieving such goals, CBM may in its discretion (i) withhold payment of funds until in its opinion the situation has been corrected; or (ii) declare this Agreement terminated by written notice to the Beneficiary; and/or (iii) seek any other remedy as may be necessary. CBM’s determination as to the quality of work being performed and the progress being made toward such goals shall be final and shall be binding and conclusive upon the Beneficiary insofar as further payments by CBM are concerned.

5.2 CBM undertakes no responsibilities in respect of life, health, accident, travel or any other insurance coverage for any person which may be necessary or desirable for the purpose of this Agreement or for any personnel undertaking activities under this Agreement. Such responsibilities shall be borne by the Beneficiary.

5.3 The rights and obligations of the Beneficiary are limited to the terms and conditions of this Agreement. Accordingly, the Beneficiary and personnel performing services on its behalf shall not be entitled to any benefit, payment, compensation or entitlement except as expressly provided in this Agreement.

**6. Procurement of Goods and Services**

6.1 Procurement of goods is not allowed.

6.2 The Beneficiary shall maintain a written code or standards of conduct that shall govern the performance of its employees engaged in the awarding and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by CBM funds if a real or apparent conflict of interest would be involved. Such conflict would arise when the employee, officer or agent, or any member of the employee’s immediate family, the employee’s partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Beneficiary shall neither solicit nor accept gratuities, favours, or anything of monetary value from contractors or parties to sub-agreements. However, the Beneficiary may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the Beneficiary.

6.3 The Beneficiary shall establish written procurement procedures if procurement of goods or services in excess of EUR300 is envisaged under this Agreement. All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. The Beneficiary shall be alert to organizational conflicts of interest as well as non-competitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements. Contracts shall be made to the offer or whose offer is responsive to the solicitation and is most advantageous to the Beneficiary, price, quality, and other factors considered. Solicitations shall clearly establish all requirements that the bidder or offer or shall fulfill in order to be evaluated by the Beneficiary. Any and all offers may be rejected when it is in the Beneficiary’s interest to do so.

6.4 Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources.

**7. Sub-Agreements**

7.1 Sub-agreements are not allowed unless explicitly described in the Agreement as relationships between the Beneficiary and sub-beneficiaries as agreed with CBM.

**8. Anti-corruption**

8.1 The Beneficiary warrants that it has not and shall not offer any direct or indirect benefit arising from or related to the performance of this Agreement or the award thereof to any representative, official, employee, or other agent of CBM.

8.2 The Parties declare their commitment to counteract corrupt practices in the execution of this Agreement. Further, the Parties commit themselves not to accept, either directly or indirectly, as an inducement or reward in relation to the execution of this Agreement, any kind of offer, gift, payments or benefits, which would or could be construed as a corrupt practice.

**9. Termination**

9.1 CBM may terminate this Agreement at any time, in whole or in part, upon 14 calendar days’ written notice to the Beneficiary, whenever it is determined that the Beneficiary has materially failed to comply with the terms and conditions of the Agreement, or where sufficient funds have not been made available to CBM by its funding sources.

9.2 This Agreement may be terminated at any time, in whole or in part, by CBM with the consent of the Beneficiary. Both parties shall agree upon termination conditions, including the effective date and, in the case of partial terminations, the portion of the Agreement to be terminated. The agreement to terminate shall be set forth in a letter from CBM to the Beneficiary.

9.3 CBM may terminate this Agreement or portion of this Agreement with immediate effect upon written notice to the Beneficiary if it determines that corrupt or fraudulent practices were engaged in by representatives of the Beneficiary during award or during the execution of this Agreement without the Beneficiary having taken timely and appropriate action satisfactory to CBM to remedy the situation.

9.4 Upon receipt of and in accordance with a termination notice as specified above, the Beneficiary shall take immediate action to minimize all expenditures and obligations financed by this Agreement and shall cancel such unliquidated obligations whenever possible. Except as provided below, the Beneficiary shall not incur costs after the effective date of termination.

9.5 The Beneficiary shall within 30 calendar days after the effective date of such termination repay to CBM all unexpended CBM funds which are not otherwise obligated by a legally binding transaction applicable to this Agreement. Should the funds paid by CBM to the Beneficiary prior to the effective date of the termination of this Agreement be insufficient to cover the Beneficiary’s obligations in the legally binding transaction, the Beneficiary may submit to CBM within 90 calendar days after the effective date of such termination a written claim covering such obligations. CBM shall determine the amount(s) to be paid by CBM to the Beneficiary under such claim in accordance with this Agreement. This provision must be included in all sub-agreements.

**10. Amendment**

No modification of or change in this Agreement, waiver of any of its provisions or additional contractual provisions shall be valid or enforceable unless previously approved in writing by the parties to this Agreement or their duly authorized representatives in the form of an amendment to this Agreement duly signed by the parties hereto.

1. See <http://www.uneval.org/normsandstandards/index.jsp> [↑](#footnote-ref-2)