

# WB SALW CONTROL ROADMAP MPTF

UN Multi-Partner Trust Fund for the implementation of the Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons and their ammunition in the Western Balkans

## 2<sup>ND</sup> CALL FOR PROPOSALS: GUIDANCE ON THE SUBMISSION, EVALUATION OF PROPOSALS, SELECTION AND IMPLEMENTATION OF PROJECTS TO BE FUNDED THROUGH THE WESTERN BALKANS SALW CONTROL ROADMAP MPTF

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# CALL FOR PROPOSALS

## OVERVIEW

This Call for Proposals describes the procedures for submitting and evaluating the project proposals to be funded through the *Western Balkans Small Arms and Light Weapons (SALW) Control Roadmap Multi-Partner Trust Fund (MPTF)*. It also defines the key aspects that will guide the implementation and monitoring of the selected projects.

## BACKGROUND

Developed by six Western Balkan jurisdictions, under the auspices of Germany and France, in coordination with the European Union (EU), and with SEESAC's support, the Roadmap is a comprehensive document with a strong regional commitment that will guide the activities of the Western Balkans authorities on SALW control in the period 2019-2024. The Roadmap was adopted during the Western Balkans Summit organized in London, on 10 July 2018, as a testimony of the consensus reached among all stakeholders in the region about the current challenges, the overall targets to be reached, and timeline of actions to be taken in the area of arms control. The Roadmap envisages a comprehensive approach to SALW control, with measures ranging from securing the stockpiles of firearms and ammunition to mainstreaming gender in SALW control. In this context, the **Western Balkans SALW Control Roadmap MPTF** was established to ensure a donor coordinated approach in the implementation of the Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of SALW and their ammunition in the Western Balkans. It enables a platform contributing to strengthened coordination, planning and communication among the donors, implementing partners and national authorities, and develops synergies among different players involved in this programmatic area. It also aims to reduce risks to governments and financial contributors through a comprehensive risk and results-based management system. Its governance structure includes a Steering Committee (chaired by the UNDP), a Secretariat (ensured by SEESAC), an Administrative Agent (MPTF Office) and the participating UN organizations (UNDP and UNODC).

## SUBMISSION OF PROJECT PROPOSALS

In the context of the Western Balkan SALW Control Roadmap MPTF, the offices of the two participating UN organizations (UNDP and UNODC) covering the Western Balkans region are eligible to receive funding, assuming full programmatic and financial accountability for the funds disbursed to them. The 6 Western Balkans jurisdictions that are targeted by the MPTF include: Albania, Bosnia and Herzegovina, Kosovo\*, Montenegro, the Republic of North Macedonia and the Republic of Serbia.

The offices of the participating UN organizations are invited to submit project proposals by **31 March 2020**, as per the templates provided in the Annexes 1 to 5. Project proposals should be in line with the thematic priorities mentioned below, should take into consideration the guiding principles and the administrative guidelines of the call, and will be evaluated against the eligibility and evaluation criteria listed in the Project Selection section.

Project proposals should be sent via e-mail to the following email address [seesac@undp.org](mailto:seesac@undp.org).

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\* *References to Kosovo shall be understood to be in the context of Security Council resolution 1244 (1999).*

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## Thematic priorities

The thematic priority of this call for proposals is:

- **Countering illicit possession, misuse and trafficking of firearms**, including through raising awareness and/or weapons collection, and improving criminal justice response and addressing different impact on women and men. The proposals should integrate the gender perspective.

Proposals should be developed in line with the SALW control strategies/roadmap action plans (as relevant) of the targeted jurisdictions.

Proposals should be consulted/coordinated with the heads of SALW Commissions who have the general overview of the priorities and needs across the functional areas of the Roadmap/Action Plans and the mandate to coordinate the implementation of the Roadmap at the local level. A brief description of the consultation process should be added to related section in the project proposal.

Proposals should provide a clear link to the overarching concern of illicit trafficking, possession and misuse of firearms in that jurisdiction.

The Western Balkans authorities ongoing activities in support to the implementation of the Roadmap need to be taken into consideration when developing proposals. Proposals should include a clear description of how the proposed project possibly complements other ongoing initiatives and builds on previous interventions, as well as a description of the remaining gaps in the area that the project is proposing to address, as well as the timetable foreseen for its completion.

## Administrative guidelines

- Project proposals could cover a period until 30 June 2023;
- The indirect costs of the Participating UN Organizations recovered through programme support costs (*GMS*) should be calculated at **7%**;
- Proposed budgets should be presented as per the UNDG budget categories, provided in Annex 6;
- Project developers should ensure the cost efficiency of proposed activities, and particular attention should be paid to project management costs. Project management costs should be broken down and justified. Management costs approaching or exceeding 20% will be subject to extra scrutiny and explicit approval of the Steering Committee;
- Proposals should reflect cost sharing with other projects, if applicable. Proposals should clearly indicate if it was submitted for funding through other funding mechanisms and if so, include the reference to the status of resource mobilization efforts;
- Proposals should mention in kind contributions, where existing;
- Projects are advised to have a local presence in the region so that continuous “on demand” comprehensive technical support is provided to the authorities.

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## PROJECT SELECTION

The WB SALW Control Roadmap MPTF Steering Committee is responsible for the selection and approval of the projects to be funded. The selection will be made based on the evaluation process and recommendations from the MPTF Secretariat, in line with the provisions of the MPTF Operational Manual.

The MPTF Steering Committee is chaired by the UNDP Istanbul Regional Hub Manager and consists of:

- Representatives of all Participating UN Organizations;
- Representatives of France and Germany (as co-chairs of the donor coordination initiative on illicit firearms trafficking in the Western Balkans), and the EU;
- Other top 3 donors to the MPTF (i.e. the donors who have amounted the biggest contributions to the MPTF at the moment a SC meeting is convened)
- The MPTF Office as the AA and ex officio member without the right to vote.
- All other donors (except of the top 3 who enjoy full membership rights) are granted the observer status (with no voting right) for increased transparency, access to information and provision of inputs.

SEESAC functions as the Secretariat of the Fund, responsible for the programmatic coordination and monitoring the activities of the Fund, providing technical and management support to the Fund, **without the right to vote**.

### 1. Assessment procedure

The project proposals assessment is conducted through two rounds of review:

#### A. Secretariat Review

The Secretariat receives the proposals submitted by the offices of participating UN organizations and conducts an administrative review (to ensure observance of the eligibility criteria and administrative completeness of the submission, i.e. all supporting documents and required information is included in the package), as well as technical review (the programmatic quality control of the proposal to ensure relevance and alignment to the Roadmap priorities, RBM quality standards, etc.).

A review panel will be assigned by the MPTF Secretariat and will include minimum 3 technical experts, 1 Chair and 1 Secretary, all part of the SEESAC team. Additionally, external experts may also be invited by the MPTF secretariat for provision of technical advice. To avoid conflicts of interest, all members of the review panel will declare any conflict of interest that may exist.

The review panel will receive the project proposals and related annexes for analysis and will make recommendations to be submitted to the Steering Committee (through the Secretariat).

During the review, the Secretariat may request clarifications or missing documentation from participating UN organizations related to the proposals and their annexes.

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### B. Steering Committee Review

The Steering Committee will review the project proposals that were both recommended for approval and rejection by the Secretariat. At the end of the review, the SC, with the support of the Secretariat, will prepare a note summarizing the technical review process and the project evaluation based on the review criteria with:

- (i) recommendation for approval; or
- (ii) recommendation for rejection.

The Steering Committee, upon review, may suggest further adjustments to the selected project proposals. They may include budgetary adjustments, corrections, clarifications, etc. In this regard, the respective offices of participating UN organizations will be requested to update and resubmit the project proposal. Should the adjustments be accepted by the Steering Committee, the project proposal will be approved for funding, provided that sufficient funds are available in the Trust Fund.

The assessment of the project proposals will be conducted by the MPTF Secretariat in two stages:

1. Stage 1: The project proposals will be screened against the first two eligibility criteria below. Only those project proposals that contribute to the achievement of one or more Roadmap goals and which have identified a concrete challenge in line with the SALW control priorities defined in the SALW Strategy/Roadmap Action Plan of the targeted jurisdiction/s will be included in the second stage of the evaluation process.
2. Stage 2: The project proposals which have passed the first stage will be evaluated against the technical criteria listed in the table below. The project proposals receiving the highest scoring will be recommended for funding to the MPTF Steering Committee, within the limits of the budget availability.

To avoid conflicts of interest, all members of the Steering Committee will declare any conflict of interest that may exist.

#### ***Assessment criteria and scoring***

<b>Stage 1 - Eligibility criteria</b>	
1. The project contributes to the achievement of one or more of the Roadmap goals;	Yes/No
2. The project proposal demonstrates that it was developed in consultation and coordination with the Head of the SALW Commission (Heads of the SALW Commissions in case of regional projects);	Yes/No
3. The project responds to the thematic priorities of the call.	Yes/No
<b>Stage 2 - Technical criteria</b>	<b>Max. points obtainable</b>
1. The proposal is fully in line with the SALW control strategies/roadmap action plans (as relevant) of the targeted jurisdictions.	5
2. Proposals should provide a clear link to the overarching concern of illicit trafficking, possession and misuse of firearms in that jurisdiction.	12

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3. Proposals should include a clear description of how the proposed project complements other ongoing initiatives and/or builds on previous interventions;	6
4. Proposal includes a description of the remaining gaps in the area that the project is proposing to address;	6
5. The project's objectives and the intervention approach are appropriate for the identified challenges;	12
6. The project's results and resources framework is clearly defined;	5
7. The project activities are well planned and articulated and contribute to the achievement of the expected results;	7
8. The proposal demonstrates strong national ownership	8
9. The project demonstrates sustainability of results;	5
10. The risks are clearly identified and managed;	5
11. The project resources are allocated in an efficient and effective manner, and project management costs are clear and justifiable;	10
12. The project adheres to social and environmental standards <sup>2</sup> ;	4
13. The project integrates gender perspective into its activities and expected results;	7
14. The visibility plan is clear and appropriate for the proposed project, in terms of the communication and visibility materials to be produced, targeted audiences, messaging, activities, and donor visibility.	4
15. Knowledge management is appropriately ensured through relevant knowledge products and/or other actions.	4
<b>TOTAL</b>	100

## 2. Announcement of results

Within 2 working days after the Steering Committee meeting minutes have been signed, the Secretariat will provide information to all offices of the participating UN organizations on the decisions of the Steering Committee and indicate the following stages of the actual implementation of the project and launch of its activities.

<sup>2</sup> The social and environmental standards require projects to: strengthen the social and environmental outcomes of projects; avoid adverse impacts to people and the environment; minimize, mitigate, and manage adverse impacts where avoidance is not possible; strengthen the implementing organization and partner capacities for managing social and environmental risks; and ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

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## IMPLEMENTATION OF SELECTED PROJECTS

The offices of the participating UN organizations will be directly responsible for meeting delivery rates and achieving the planned results of their proposed projects. Projects will be implemented in close partnership with the Government partners to ensure their full participation in the projects' activities, commitment to achieving project results and their sustainability. For more information on the implementation of projects, please refer to the Operational Manual.

### 1. Financial management and project implementation

The MPTF Office, in its capacity of the Administrative Agent, will disburse the funds to the offices of the participating UN organizations in accordance with the decisions of the Steering Committee. The offices of the participating UN organizations will ensure the efficient delivery of the projects' financial resources, according to respective internal control frameworks and procedures in line with their own rules and regulations.

When funds are transferred to an office of a participating UN organization, it must create a separate ledger account, in accordance with its procedures and financial regulations, for the receipt and administration of funds released from the Fund account by the Administrative Agent. This ledger account shall be administered by the organization in accordance with its own rules and procedures. Indirect costs of the Participating UN Organizations recovered through programme support costs will be maximum seven percent (7%). Implementing Partners, consisting of Government institutions and NGOs can receive funding from the Fund through Participating UN Organizations.

### 2. Monitoring and reporting

For each project approved for financing from the Fund, each office of the participating UN organizations must provide the Secretariat with the quarterly, annual and final narrative (including visibility) and financial reports, as per Section IV – Reporting of the Memorandum of Understanding between UNDP and UNODC and Chapter 7 - Monitoring, evaluation and reporting of the Operational Manual.

#### Narrative reports:

Each Participating UN Organization will provide the Secretariat with the following narrative reports prepared in accordance with the reporting procedures applicable to the Participating UN Organization concerned:

- Quarterly progress reports, to be provided no later than one month after the end of the quarter;
- Annual narrative progress reports, to be provided no later than three (3) months (31 March) after the end of the calendar year; and
- Final narrative reports, after the completion of the activities in the approved programmatic document, including the final year of the activities in the approved programmatic document, to be provided no later than four months (30 April) after the end of the calendar year in which the operational closure of the activities in the approved programmatic document occurs;
- Additional progress reports may be requested to the offices of the participating UN organizations based on the decision by the Steering Committee.

The reports of the offices of the participating UN organizations will include:

- Summary of progress achieved;

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- Actual results: an updated table based on a logical framework matrix as measured by indicators, agreed baselines and targets, and relevant data sources;
- Activities implemented in the reporting period;
- Information on the risks and difficulties encountered and measures taken to mitigate risks, overcome problems and eventual changes introduced;
- Information on the implementation of Visibility and Communications plans;
- Information on costs incurred as well as legal commitment entered in to by the office in the reporting period;
- Financial report. Quarterly financial reports will be based on provisional financial data and will be submitted in accordance with the Financial Report Template (to be provided);
- Gender mainstreaming considerations
- Where applicable, a request for payment;
- Work plan and forecast budget for the next reporting period.

### Financial reports:

Each Participating UN Organization will provide the following financial statements and reports, in accordance with the accounting and reporting procedures applicable to the Participating UN Organization concerned:

- Quarterly financial reports, to be provided to the Secretariat one month after the end of the quarter. Quarterly financial reports will be based on provisional financial data;
- Annual financial report as of 31 December with respect to the funds disbursed to it from the Fund Account, to be provided to the MPTF Office no later than four (4) months (30 April) after the end of the calendar year; and
- Certified final financial statements and final financial reports after the completion of the activities in the approved programmatic document, including the final year of the activities in the approved programmatic document, to be provided to the MPTF Office no later than five (5) months (31 May) after the end of the calendar year in which the financial closure of the activities in the approved programmatic document occurs, or according to the time period specified in the financial regulations and rules of the Participating UN Organization, whichever is earlier.

### **3. Communication and visibility**

The offices of the participating UN organizations will take the appropriate measures to ensure the communication of their project results and activities, as well as the visibility of the donors and other partner organizations of the project.

As part of the project proposal, applicants are required to prepare a brief project visibility plan that should concisely elaborate the key visibility and communications materials, lay out key audiences, key messages and expected deliverables throughout project implementation. Implementing organizations will report to the MPTF Secretariat on the implementation of the visibility plan.

Generally, all the communication materials prepared within the project will display the following logos, as appropriate:

- Logo of the implementing organization, following their specific visibility guidelines;
- Logo of the MPTFO;
- Logo of the MPTF donors, as provided by the donors through the MPTF Secretariat;

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- Logos of other partners (if applicable).

The recipients are requested to confirm with the Secretariat the correct use of the logos, prior to the launch of a publication.

The recipients are also requested to inform the Secretariat in advance of any events to be organized and consult with the Secretariat on the appropriate level of representation of the donor and other partners.

The recipients will share with the Secretariat visibility and communication materials that can be further distributed with traditional and social media.

The recipients will maintain a close communication and will consult with the Secretariat on any sensitive issues that require particular attention. The Secretariat is responsible to provide advice and refer the issue to the SC, if necessary.

### **4. Evaluation**

The individual project evaluations will be conducted in accordance with the offices of the participating UN organizations' own rules and procedures and will be budgeted in the project during the project design phase, wherever the case may be. The evaluation reports will nevertheless be shared with the Steering Committee through the Secretariat.

### **5. Knowledge management**

The offices of participating UN organizations should elaborate how knowledge management will be ensured by, e.g., producing knowledge product (e.g. analytic report, study) or a substantive communication or visibility material (e.g. video, Instagram story, blog post) that focuses on lessons learnt and knowledge sharing.

## **ANNEXES**

1. Project Proposal narrative template
2. Project Proposal budget template
3. Project results framework
4. Risk matrix
5. Multi-year work plan
6. UNDG budget categories
7. MPTF Operational Manual
8. Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of SALW and their ammunition in the Western Balkans