

Call for Proposals

UNODC – UN Voluntary Trust Fund for Victims of Trafficking in Persons, Especially Women and Children (UNVTF)

Guidelines for Grant Applicants

Name of the grants programme:

Third Grant Cycle of the UNVTF Small Grants Programme

Deadline for receipt of Project Proposals: 30 September 2017

All information available on: www.unodc.org/humantraffickingfund

NOTE: A grant is defined as a small-scale, non-repayable, non-recurrent (one-off) award of funds to a recipient entity given based on a transparent, fair and competitive selection process for the purpose of undertaking activities that contribute to the achievement of the UN mandates.

NOTE: This Call for Proposals forms the basis for applying for UNODC / UNVTF grants. It must neither be construed as a grant agreement, nor be regarded as a confirmation of a grant awarded by UNODC / UNVTF to any entity. Consequently, UNODC / UNVTF is not liable for any financial obligations, or otherwise, incurred by any entity in responding to this call for proposals. Such costs will not be considered as part of the grant budget in the event that a grant is awarded to an applicant.

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1 GRANTS PROGRAMME

1.1 Background

The 2003 Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention Against Transnational Organized Crime Trafficking in persons, defined human trafficking as *“the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. [...]”*

Trafficking in persons is a global phenomenon which has an impact at international, regional and national levels. It is closely interlinked with issues such as human rights violations, forced labour, migration, gender imbalance, child labour, violence against women, poverty and social exclusion.

The Voluntary Trust Fund for Victims of Human Trafficking (UNVTF) was established by resolution 64/293 of the United Nations General Assembly on 12 August 2010 as part of the United Nations Global Plan of Action to Combat Trafficking in Persons. The particularity of the Fund is that it is **victim-centred**, with the objective of providing essential humanitarian, legal and financial aid to victims of trafficking in persons through established channels of assistance.

The Fund is managed by the United Nations Office on Drugs and Crime (Fund Manager), which benefits from the strategic guidance and expertise of a five-member Board of Trustees, appointed by the UN Secretary-General on a geographically representative basis.

The Trust Fund has funded 34 NGO projects in 30 countries committing USD 2 million in grants. In its first grant cycle (2011-2014), 11 NGOs from across the globe were awarded grants for up to three years, totalling US\$ 750,000. From the second call for proposals in 2014, 23 NGOs have been selected to receive US\$ 1.25 million for projects implemented over the three-year cycle ending in 2017/18.

1.2 Objectives

This Call for Proposals takes into consideration the importance of harnessing all available resources towards the implementation of activities aimed at meeting the objectives of the UNVTF Small Grants Programme.

The main objectives of this Grants programme are:

- **To provide essential assistance and protection to victims of trafficking in persons, in particular from the identification phase until their legal status has been resolved.**
- **To provide direct and effective access to essential services and remedies for victims of trafficking in persons, with an emphasis on assistance delivery by grassroots organizations, including, but not limited to, shelter, food, medical care, legal aid, access to justice, and psychosocial support.**

1.3 Thematic focus and priority issues

Despite the call being global and open to assisting all victims of trafficking in persons, priority will be given to projects **assisting victims coming out of a context of armed conflict and victims that have been identified among large movements of refugees and migration flows.**

While this call will consider assistance to victims that have been trafficked for any purpose or type of exploitation, priority will be given to projects assisting victims trafficked for the purpose of sexual exploitation, organ removal, forced begging, forced criminality and any emerging exploitative purpose (e.g. skin removal, online pornography).

The following indicative activities will be given priority:

- Identification of victims of trafficking amongst migrants and refugees
- Access to legal advice and legal representation aimed at securing legal status in the host country for the victim;
- Essential advice on the victim's rights and to claim access to remedies, including compensation or similar aid packages from national governments;
- Provision of shelter;
- Provision of psycho-social support;
- Provision of essential medical assistance;
- Assistance to obtain access to justice, legal advice and assistance including for victims to act as witnesses in court cases;
- Assistance with family reunification and repatriation, based on the full consent of the victim.

1.4 Location

This is a global call for proposals.

However, priority will be given to projects implemented in developing countries, especially countries along migration routes and communities affected by armed conflict.

1.5 Duration

The duration of the project can range from **12 to a maximum of 24 months.**

1.6 Fundamental principles

Grant applicants are expected to consider the following fundamental principles in designing their grant project proposals:

- Partnership/collaboration/cooperation with other stakeholders;
- Project design with the potential for replication;
- Sustainability of project activities;

- An approach that values diversity among men and women and considers the special needs of girls, boys, women and men;
- Alignment with the 2003 Trafficking in Persons Protocol.

1.7 Award amounts

Proposals with budgets ranging from minimum USD 20,000 to maximum USD 60,000 will be considered for award. Please note that value for money will be assessed as a part of the rating criteria.

Payments will be made on the basis of annual instalments as per the needs reflected in the work plan and project budget for each year. The payment of a second and exceptionally third annual instalment is conditional on the entity meeting the **reporting requirements** specified in the funding agreement and the successful implementation of the activities in the previous year, as assessed by UNODC/UNVTF.

As a general rule in UNODC/UNVTF, grant awards should normally not exceed a monetary limit of 25% of the entity's annual income. This limit will be checked when making the final decision.

2 ELIGIBILITY CRITERIA

2.1 Eligibility of applicants

In order to be eligible for a grant, applicants **must**:

- be a non-profit making organisation (CSOs including NGOs, CBOs) registered under the relevant Laws of the country where it is registered and in the country where it will be implementing this project;
- have been registered for not less than three (3) years;
- be directly responsible for the preparation and management of the project, i.e. not acting as an intermediary;
- demonstrate prior experience of at least two (2) years implementing activities in the area of direct assistance to victims of trafficking in persons in line with the 2003 UN Trafficking in Persons Protocol;
- have a bank account;
- have a minimum of three (3) people within the organization working at least part-time on providing direct aid to victims.

Organizations implementing projects in high and very high income countries are also eligible to apply but require to include a thorough justification explaining that no other sources of funding, in particular from the local and national government, could be obtained for the activities in this project proposal.

2.2 Eligibility of projects

Only projects aimed at achieving the objectives, focusing on the priority issues and meeting all other requirements as outlined under section 1 are eligible for funding under this Call for Proposals.

Organisations who have previously benefitted from a UNODC and/or UNVTF grant shall provide a written statement outlining the differences between the currently proposed and the previous project, highlighting improvements in the implementation approach, based on lessons learned.

Grants may be awarded either for self-contained activities or for activities which are a component of a larger project. If other funds are required for implementing the project, please provide evidence of the secured funding up front.

The following types of project proposals are **not eligible** for funding:

- Project proposals which discriminate against individuals or groups of people, such discrimination based on their gender, sexual orientation, religious beliefs, or lack of them, or their ethnic origin;
- Projects focusing on campaigning or solely on awareness-raising;
- Activities designed to produce studies, publications or newsletters, or conducting research;
- Activities involving capacity building of governmental stakeholders or training of officials on matters not related to direct victim assistance (e.g. investigations; prosecutions etc.)
- Activities that fall within the core mandate of the United Nations Office on Drugs and Crime (e.g. legislative assistance, capacity building for criminal justice practitioners, establishment of institutional frameworks to combat trafficking in persons etc.), except victim protection and assistance.
- Project proposals concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- Project proposals concerned only or mainly with individual scholarships for tertiary studies or training courses;
- Credit or loan schemes;
- Debts and provisions for losses or debts;
- Project proposals which consist exclusively or primarily of capital expenditure e.g. land, buildings, equipment, vehicles, etc.
- Scholarships, sponsorships and tertiary education school fees;
- Cash donations;
- Political party and religious activities;
- Project proposals which provide funding for terrorist activities;

2.3 Eligibility of project costs

The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents. Costs that do not appear realistic may be rejected. It is therefore in the applicant's interest to provide a **realistic and cost-effective budget**.

Proposals submitted for over 12 months should present its budget broken down by year.

Eligible direct costs

To be eligible under this Call for Proposals, costs must be directly verifiable and traceable to the activities being implemented. Eligible Costs should also comply with the principles of sound financial management, in particular value for money and cost-effectiveness.

Eligible direct costs should correspond to local market rates and may include:

- The cost of staff assigned to the project, corresponding to actual project staff salaries plus social security charges and other remuneration-related costs;
- The cost of consumables and supplies necessary for the implementation of project activities;
- Administration and project support costs, which must not exceed 10% of the total annual budget.

Contributions in kind

Contributions in kind are not considered actual expenditure and are not eligible costs for reimbursement.

Ineligible costs

The following costs are **not eligible**:

- Debts and provisions for losses or debts;
- Interest owed;
- Salary top-ups and similar emoluments to government employees
- Items already financed in another framework, i.e. existing capacity should not be included in the budget;
- Purchases of land or buildings¹;
- Currency exchange losses;
- Taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes;
- Credit to third parties.

3 APPLICATION PROCEDURE

Applications are to be submitted following the forms, instructions and deadlines provided in this section.

Evaluations of the proposals will include an administrative, financial, as well as a substantive review, as described in the next chapter.

Following the evaluation of applications, a list of eligible proposals, ranked according to their scores provided by the technical evaluation team, will be set up and shared with the UNVTF Board of Trustees for endorsement. After receiving the recommendations of the Board, the final ranked list will be determined.

All applications will be acknowledged and the outcome of the evaluation communicated to the applicant in due course.

¹ Except where necessary for the direct implementation of the project, in which case ownership belongs to UNOV/UNODC until it is transferred to the final beneficiaries. Any such transfer shall be done in accordance with the internal rules of UNOV/UNODC.

The number of proposals that will be funded after the evaluation process will depend on the funds available at the Trust Fund at the time and over the next years, until 31 December 2019.

Eligible applicants, for whose projects funding has been secured, will be notified by UNODC/UNVTF and may be requested to adjust their proposals before finalization of the grant agreement, to satisfy all technical requirements, and be fully in line with rules and regulations of the United Nations.

The list of eligible proposals will remain valid until 31 December 2019. Projects in this list will be considered in the order of their ranking, to the largest extent possible. However, UNODC, with the full endorsement of the Board of Trustees of the Trust Fund, reserves the right to select projects for funding outside of the order of ranking on the list, to respond to specific donor priorities, with the premise that all projects on the list are considered eligible for funding.

3.1 Application forms

The full Application information, including all relevant documents, templates and background information is available on the website of the Trust Fund: www.unodc.org/humantraffickingfund.

Project proposals must be submitted in accordance with the instructions in the project proposal application form.

All applications must be in **English**. We regret but we do not have the capacity to review applications received in any other language than English.

Hand-written applications will not be accepted.

Due care must be taken to complete the application form. Any error or major discrepancy related in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) may lead to rejection of the application.

Clarifications will only be requested if information provided is unclear, and prevents objective assessment of the application.

Please note that only the application form and the completed annexes will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the project.

3.2 Documents to be submitted for application

The following documents must be submitted as part of the application:

- Registration certificate as evidence for legal credentials of the organisation;
- Project proposal application form (template provided);
- Project budget (template provided);
- Organisational financial statements for the last 2 years (or audit reports where available);
-> At least one audited financial statement needs to be submitted!
- Bank Account information (template provided)

Further documentation may be required and these may be communicated to provisionally selected applicants.

Documents may be checked for truthfulness and accuracy of representation through various means, including but not limited to internet searches, formally official confirmation from responsible offices, letters of recommendation, etc.

3.3 Where and how to send the application

The completed application form and budget must be submitted in Word and Excel (not PDF).

Applications must be submitted by email to victimsfund@unodc.org.
A confirmation of receipt will be sent.

Applications sent by any other means (e.g. by fax or by regular mail) or delivered to other addresses will not be considered under this Call for Proposals.

Incomplete applications will be rejected.

The Trust Fund will not give prior opinion on the eligibility of applicants or projects, nor will it respond to individual inquiries regarding project selection.

3.4 Deadline for submission of applications

The deadline for the submission of concept notes is **30 September 2017**, as evidenced by the date of receipt of submission email. Any application submitted after the deadline will be automatically rejected.

4 EVALUATION PROCEDURE

4.1 Eligibility assessment

All applications will be examined and evaluated by a technical evaluation team. In a first step the eligibility of the applications will be assessed as follows:

- Has the submission deadline been respected?
- Has the correct application form been duly filled?
- Are all requested documents attached to the application?
- Can the organization demonstrate prior experience of at least two (2) years implementing activities in the area of direct assistance to victims of trafficking in persons in line with the 2003 UN Trafficking in Persons Protocol?
- Does the application meet all the eligibility criteria as mentioned in section 2 above?

If the first assessment of the application reveals that any of the above questions are negative the application may be rejected solely on that basis and the application will not be evaluated further.

4.2 Technical assessment of concept notes

The quality of the project proposals will be assessed in accordance with the evaluation criteria set out in the evaluation grid below. Each subsection will be given a score in accordance with the following guidelines: 0 = information not provided, 1 = poorly meets the criteria; 2 = partially meets the criteria; 3 = adequately meets the criteria; 4 = entirely meets the criteria; 5 = exceedingly meets the criteria.

Evaluation criteria	Maximum Score
1. Capacity of the Organization	20
1.1 The organization has a proven track record in the field of assisting victims of trafficking in persons	
1.2 The organization can demonstrate past experience in project management, implementing international funds.	
1.3 The organization can demonstrate capacity to work in partnership with various stakeholders, including government entities.	
1.4 The organization has a track record in working with the targeted beneficiary group and local communities.	
2. Quality of the Project Proposal	35
2.1 The project responds to a clearly articulated need by providing effective, tried-and-tested solutions to assist victims of trafficking.	
2.2 The targeted beneficiaries have been clearly identified and quantified, including gender and age break-down.	
2.3 The project provides tailored responses to the special needs of the beneficiaries they are serving.	
2.4 There is a clear logical link between the problem, objectives, expected results and project activities.	
2.5 The proposal includes cultural sensitivity and gender-specific needs and responses.	
2.6 The indicators, risks and mitigation measures have been well identified, and the monitoring provisions are well chosen.	
2.7 The proposal has mechanisms in place to consult and listen to the victims during its project implementation.	
3. Work Plan and Budget	20
5.1 The budget is clear and sufficiently detailed	
5.2 The proposed budget is required for the implementation of the project, either with or without additional sources of funding.	
5.3 The proposal is well designed with effective and realistic implementation costs and methods.	
5.4 The work plan is realistic and considers all activities required to achieve the expected results.	
Maximum total score	75

4.3 Provisional selection

Following the evaluation of eligible project proposals, a table listing the applications ranked according to their scores will be established. The list will be shared with the Board of Trustees of the UNVTF for their recommendations, before finalizing the ranking of the eligible proposals.

All applicants will be informed of the outcome of the evaluation.

UNODC/UNVTF reserves the right to publicize the names of the successful organizations and project titles widely on the Trust Fund's website as well as in dedicated fundraising publications, in order to attract donor funding for the various project proposals on the list.

5 APPROVAL AND AWARD

Once there is concrete funding available for one of the eligible proposals on the list, the selected project proposals are reviewed by the UNODC Committee on Grants and External Engagements based on which the final approval will be granted.

Applicants are informed in writing of UNODC's decision concerning their application.

The following documents will be signed as part of the grant agreement between UNODC and grant recipients:

- Grant agreement based on the standard UNODC Grant agreement
- Annex A – Project Proposal, including work plan
- Annex B – Project Budget

Applicant organizations of the selected projects will receive the requested grant amount in the organization's bank account via bank transfer. The banking details will be collected from all applicants in order to reduce any delay in payment. Payment for successive years (if applicable) will be transferred based upon successful performance and compliance with reporting requirements.

6 REPORTING, MONITORING AND AUDIT

After signature of the grant agreements, the implementation of the selected projects will begin. Organizations selected are responsible for the monitoring and evaluation of progress made according to the provisions outlined in the project document.

6.1 Reporting requirements

During the course of implementation, the grantee will provide to the Fund Manager:

- An interim annual narrative report, to be provided within one (1) month of the completion of the first year of implementation.
- An interim financial statement reflecting expenditures in relation to the funds disbursed to it from the Trust Fund account, within one (1) month of the completion of the first year and of the second year of implementation.
- A final narrative report, after the completion of the activities in the approved programmatic document, detailing achievements, constraints, and impact with regard to the utilization of the funding for the Activity, to be provided within three (3) months of the completion of the Activity or the expiration or termination of the Agreement.
- A final financial statement / report reflecting expenditures in relation to the Activity, to be provided within three (3) months of the completion of the Activity or the expiration or termination of the Agreement.
- Certified Annual Financial Statements of the Organization if and when requested by UNODC.

Summaries of the reports submitted will be published on the UNVTF website.

6.2 Monitoring

The Trust Fund Manager or the Board Members can conduct site visits of ongoing projects. These will be done upon prior notification and coordination with the respective organization.

6.3 Audit

Projects that receive more than USD 20,000 from the UNVTF over their entire life span, will have to submit an audit report from a qualified audit firm, specifically on the funding received by the UNVTF. The implementing organization shall be responsible for payment of any amount, representing any fees, expenses or financial costs in connection with such audit. The UNVTF will cover the costs of this audit. To ensure these costs will be covered, organizations shall include the estimated costs for the audit in the UNVTF project budget (approximately 10% of the total funds received should be budgeted).

7 INDICATIVE TIMETABLE

	Date
Deadline for submission of project proposals	30 September 2017
Acknowledgement of the application received	2-6 October 2017
Information to applicants on the outcome of the evaluation of the proposal (inclusion on the list of eligible proposals)	November-December 2017
Estimated start date /project implementation	Upon signature of the grant agreement
End of the validity of the list of eligible proposals	31 December 2019