

*The Albanian Initiative:*



## **CAI-Albania Field Grant**

# **GUIDELINES FOR APPLICATIONS**

## **PHASE I**



CREATIVE ASSOCIATES INTERNATIONAL INC



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## I. Introduction

Trafficking in human beings within, through and from Albania is a complex problem requiring a response that deals with the whole system, both within the country and internationally. This is a regional issue, as well as a national, local, and family issue. At the most basic level this is about saving human lives and living with dignity.

*Trafficking in persons is not only an abuse of the human rights of its victims, but also an affront to all our humanity. [USAID Strategy]*

Albania presents a complex and tragic model of trafficking in general and, especially, of trafficking of girls, women, and children. Currently, Albania is a country of origin, internal trafficking and a country of transit for trafficked human beings; however, the situation is continually changing. Recent enforcement and legal efforts to combat ease of use of ports and sea connections to Italy have reduced transit via speedboats, but other means and strategies are being used, such as provision of illegal documentation to allow entry to other countries with traditional air, ferry and land transport.

There are no exact and complete data yet on human trafficking for prostitution or forced labor, due to lack of coordination and collaboration by countries to establish a standard definition or registration of trafficking cases. However, from the studies of national and international institutions, it is clear that the phenomenon is much larger than the one presented in official figures. Further, the lack of transparency and open discussion of this problem inhibits understanding and makes the process of eliminating it even more difficult.

In 1995 a law was passed that classified the trafficking of human beings for prostitution as a criminal act, but it was poorly crafted and ineffective. Albania now has fairly comprehensive legislation on anti-trafficking. Victim/Witness Protection Program Legislation recently has been approved and, responsible governmental structures are working to draft the subsequent by-legal acts. On 12 February 2004 the Albanian Parliament approved a new law with further additions and amendments to the Albanian Criminal Code in all the above areas, in response to the tragic events of 9 January 2004 when two boats of Albanians being smuggled or trafficked to Italy were swamped and most of the passengers aboard drowned. This new law: introduces new definitions for trafficking offenses, in line with the Palermo Trafficking Protocol; provides for higher penal sanctions and also heavy fines for the perpetrators of trafficking and illegal border crossing offences; increases the penalties for abuse of state offices; and amended the Criminal Procedures Code to improve the in-court and pre-trial victim/witness protection legislation, in line with standards developed in the EU and by other Council of Europe member states in the SEE Region.

In line with the above, the Government of Albania has also funded and established, in conformity with recently enacted domestic legislation, a Serious Crimes Court and a Serious Crimes Prosecution Office. The Serious Crimes Court is responsible for providing adequate in-court physical and personal protection to witnesses, police and judicial and prosecution officers. Recently enacted Assets Declaration and Assets Seizure legislation will also be implemented as soon as possible through cooperation between the High Inspectorate for the Declaration of Assets and relevant internal audit bodies to punish corrupt officials of the police, prosecution, judiciary and other services, proved to have enjoyed benefits beyond their reasonable means. All of these developments in the legal framework are to be commended. However, enforcement and conviction rates have yet to meet expectations.

The US government provides specialized enforcement and legal support through the International Criminal Investigative Training Assistance Program (ICITAP), to assist the Ministry of Public Order and Albanian National Police to adopt modern investigative techniques and equipment; establish internationally accepted policies, procedures, and standards of conduct; combat organized crime and trafficking; reduce police corruption and

collusion in organized crime; and establish and implement a national computerized law enforcement network compatible with regional initiatives. The Office for Overseas Prosecutorial Development Assistance and Training (OPDAT) seeks to further the goals of the Criminal Division in international training and criminal justice development. As part of this program, OPDAT has been tasked with the coordination of the training of judges and prosecutors abroad in coordination with various government agencies and U.S. embassies. These programs are both sponsored through the U.S. Department of Justice. These important efforts focus on the interdiction and criminal justice side of the trafficking and are coordinated by the U.S. Embassy in Tirana.

In February 2003, USAID convened a workshop of key anti-trafficking actors in Albania to assess the state of anti-trafficking efforts and to identify next steps to improve Albania's capacity to counter trafficking in human beings. Key findings and recommendations from the USAID February 2003 anti-trafficking included the need for:

- Improved coordination among government and civil society stakeholders;
- Consolidated data and better targeted anti-trafficking prevention campaigns;
- Effective technical training;
- Better mapping services and identification of vulnerable groups;
- Improved information collection and data management;
- Increased coverage and services in prevention, assistance and re-integration; and
- The need for resources to accomplish these goals.

Since the February 2003 Workshop, USAID has provided funding to Terre des hommes for a 3-year anti-trafficking effort to protect children at-risk of being trafficked; launched the Women's Legal Rights Initiative to create legislative and judicial support and training in relation to anti-trafficking, domestic violence, and the new Albanian Family Code; and assisted in the rehabilitation of the shelter, housing victims of trafficking in the Government of Albania National Center for the Reception of Victims of Trafficking.

USAID's largest programmatic response was to award a contract to Creative International, Inc. of US\$ 4.5 million over 3-years to design and implement ***The Albanian Initiative: Coordinated Action Against Human Trafficking***. (CAAHT)

The purpose of the CAAHT is to strengthen the capacity and participation of civil society to contribute to anti-trafficking in Albania, particularly by:

- 1) Improving programs that decrease trafficking in human beings, i.e. *prevention*  
and
- 2) Improving services which assist and reintegrate the victims of trafficking into their communities, and reduce re-trafficking; i.e. *assistance and reintegration*.

The program addresses these programmatic areas through the work of national, district and local community and social services. The key is to identify and support the particular capacities, skills and resources of each institution and entity that can contribute practically to prevention, assistance and reintegration.

The CAAHT supports a complex web of effective anti-trafficking actors. There are some institutions and NGOs which define their mandates specifically as anti-trafficking. These are key CAAHT stakeholders. But trafficking in human beings can only be effectively combated if institutions and NGOs that have wider mandates also incorporate anti-trafficking efforts in their communities and programs.

The CAAHT has three main program components.

The first component is ***Coordination***. The central purpose of this coordination effort is to promote concrete programs that are practical and results oriented. The 4 CAAHT Regional

Cluster Groups will be the central forums to facilitate coordination among CAAHT Grantee NGOs and with other CAAHT program stakeholders. In addition, the CAAHT will create small topical working groups on specific areas of anti-trafficking work in response to needs identified by CAAHT stakeholders. The first of these groups will be initiated in September 2004. Topical working groups will cooperate with the Regional Cluster Groups.

The second component is a **Grant Program** to strengthen the quality and geographic coverage of prevention programs, and victim assistance and reintegration services, through the provision of grants. US\$ 2 million will be disbursed over 2 years to local NGOs and locally registered INGOs/PVOs. The Grants Program criteria are informed by the Albanian National Anti-Trafficking Strategy. Grants will be awarded to projects that demonstrate a commitment to cooperation and complementary programming. A key priority of the grants will be to improve access to anti-trafficking programs and services, appropriate to the local context, throughout Albania. All projects conducted through the support of the Grants Program will be committed to achieving demonstrable results. The Grants Program is described in more detail in the following sections.

The third component is focused on **Information**. The CAAHT program is currently developing a set of linked databases to facilitate and support the coordination and consolidation of data collection and analysis to improve programs to decrease trafficking of human beings and to promote assistance and reintegration services. Better consolidated and coordinated data will help develop a better “real time” picture of prevention services and assistance/reintegration programs. Portions of this information will be available by September 2004 on the CAAHT web site [www.CAAHT.com](http://www.CAAHT.com).

A key challenge is to refine the system of case information to facilitate case management for assisting and reintegrating victims of trafficking which will enable them to access the most useful services possible, according to their individual needs. The CAAHT will help the anti-trafficking community in Albania to decrease duplication of data or conflicting data which may unknowingly or unnecessarily be maintained by several stakeholders. The CAAHT staff will work with stakeholders to identify together the best ways to gather and maintain this data. The central principle of the CAAHT approach to information management is to enable access to common data to maximize the sharing of information while protecting confidentiality, especially of victims of trafficking.

## **II. Statement of the Problem and the Vision**

In May 2004, USAID and the CAlI-Albania program convened 100 program stakeholders to introduce the CAAHT program and solicit input on the program activities. The Launch was followed by 3 regional workshops attended by a total of an additional 140 participants.

At the Launch and subsequent regional workshops, the key findings and recommendations from the February 2003 workshop, mentioned previously, were re-affirmed. Additional observations and recommendations from the Launch Conference, regional workshops and informational meetings that CAAHT staff have conducted with individual anti-trafficking NGOs include:

- Participants welcome the initiative of CAAHT program to support prevention programs and assistance / reintegration services.
- Trafficking affects urban and rural communities; but the program and services are more accessible in urban areas. Anti-trafficking coordination and program needs to be expanded throughout Albania, especially for more rural districts.
- There are many potential anti-trafficking actors (47 institutional resources and 20 community resources), but there is not much coordination occurring among them.

- Anti-trafficking should become an institutionalized concern of government and civil society actors which are not anti-trafficking specific (e.g. women's NGOs, children's NGOs, youth NGOs, legal services, vocational training, credit programs, etc.)
- Prevention programs need to ensure rights-based training has been made available throughout the country.
- Further phases of prevention programs need to develop more specific prevention interventions based on the particular 'face' of trafficking in specific populations, communities, districts and regions
- Victim's assistance / reintegration providers need training in case management.
- Reintegration services need more effective mechanisms for planning and implementing post-shelter reintegration that does not depend on shelter services.
- Reintegration programs need to develop more effective links to vocational training, employment skills building and credit/small enterprise development schemes.
- The Albanian media needs to be sensitized how to report about trafficking in human beings.
- The Albanian media needs to be mobilized to participate more constructively in trafficking prevention efforts.
- Non-personal case-based data about trafficking needs to be consolidated to provide a 'real-time' mapping and description of the changing nature of trafficking in human beings in Albania.

In one session of the Launch Conference working groups, participants were invited to develop a vision of the best results for this project that they could imagine from the use of CAAHT grants. Priorities for the Grants program were thus identified, in order of priority, as:

Organizations providing services have expanded capacities

- Enhanced capacity
- Higher standardization of services
- Increased geographic distribution of services
- Improved sustainability of results

Re-integration efforts are improved

- Increased number of re-integrated victims
- Development of new model for re-integration
- Rehabilitated victims
- Increased services
- Reduced psychosocial consequences
- Increased support for shelters
- Cooperation with State institutions on projects

Economic initiatives and business approaches are strengthened

- Increased support for employment / vocational programs for victims
- Increased support for victims through soft loans, micro credit, tax exemptions, etc.
- Reduced poverty
- Increased funding for new businesses
- Diversified fund-raising efforts to support sustainability

Prevention efforts are improved

- Increased focus on prevention to reduce victims
- Increased social activities for youth
- Increased focus on children

#### Coordination and information sharing is improved

- Established functional coordination mechanisms
- Established sophisticated information systems
- Distributed information all over Albania
- Coordinated case information
- Increased exchange of information, on a regular basis

#### Public awareness is increased

- Increased awareness on all levels
- Increased awareness of the consequences
- Increased focus on schools
- Increased understanding of the phenomena

#### Prosecution and conviction of traffickers is increased

- Increased number of criminal and civil proceedings
- Increased prosecution and conviction

#### Civil society is more empowered

- Improved attitudes of society toward trafficked persons
- Strengthened families
- Improved capacity

#### Networks and services of Government of Albania (GoA), NGOs and International Organizations (IOs) are improved

- Improved coordination between the GoA, NGOs and IOs
- Improved institutional relationships between the GoA and NGOs
- Improved local networks in justice, public order and health
- Improved coordination regarding shelters
- Improved employment programs

#### Programs and needs are better analyzed

- Increase of identification of sites/locations of highest risk for trafficking
- Increase of accurate analysis of capacity building and coordination needs
- Increase of success stories for basis of new programs

#### Media is more effective

- Use of high ethical standards and respect for human rights in media reporting

#### Legal legislation is improved

- Improved and more complete legislation
- Develop no cost legal protection for victims
- Improved legal assistance

#### Program impact is better assessed and measured

- Use of concrete and measurable ways to assess effort

#### The professional skills of service providers is upgraded

- Increase in skill development of state representatives working with police, in schools, and in municipalities
- Increase in skills through using participatory approaches in projects
- Increase in skills of social workers in shelters

### III. Grants Program Methodology

#### a) Grant Categories

Phase I of the CAAHT Grant Program will support projects in four major categories:

**Institution Building Grants** (22%) will provide support to NGOs to strengthen themselves as institutions or build up their capacity in targeted management and administrative areas. Management systems, fundraising strategies and strategic planning to achieve long-term sustainability will be emphasized.

Examples of possible types of Institution Building Grants include:

- A ‘mentor’ agency to work with core anti-trafficking agencies to develop their basic management and fund raising skills as well as to develop their plans for sustainability.
- Support for shelters working directly with victims of trafficking. More experienced shelters are encouraged to include in their proposals plans to provide training support to other shelter programs in Albania to build their staff capacity to assist victims of trafficking in domestic violence shelters in other regions of the country.
- Improve reintegration processes through development of inter-agency case management systems.

**Advocacy Grants** (25%) will support individual NGOs or groups of NGOs to implement national and/or local public awareness campaigns to address the root causes of trafficking in human beings.

Examples of possible types of Advocacy Grants include:

- Anti-trafficking awareness campaign “If it’s too good to be true, it probably is” to help potential victims of trafficking and their family and friends understand the techniques of traffickers and make more astute and informed choices.
- De-stigmatization message campaign to promote hope, change, opportunity and informed attitudes in the Albanian public about trafficking, rather than fear.
- Educate the Albanian media about anti-trafficking messages and ethical reporting.

**Implementation Grants** (44%) will support implementation of programs to prevent trafficking or to reintegrate returned victims of trafficking into Albanian society. **Prevention Grants** will support civil society to build upon lessons learned and best practices in Albania and the region to more effectively target vulnerable groups and create and disseminate information and encourage behavioral change which will help vulnerable individuals, families and communities avoid entrapment in the web of trafficking. **Reintegration Grants** will assist in the successful reintegration of returned victims of trafficking by building upon lessons learned and best practices in Albania and the region.

Examples of possible types of Implementation Grants include:

- Expansion of known prevention training programs to new districts / regions / populations; especially through training new partners in districts and local communities and Training of Trainers (TOT).
- Design and conduct prevention awareness and skills training based on trafficking techniques in local communities or districts.
- Training project on current Albanian legislation concerning trafficking in human beings (6 month); develop recommendations for next steps in revision of anti-trafficking legislation and regulations from social services perspective.
- Hotline for tracing suspected cases of trafficking and referrals for return/reintegration.
- Development of community-based reintegration programming in cooperation with shelters and to offer alternatives for assisting victims who may not need shelter care

- Develop reintegration support through conflict mediation and reconciliation programs, must have agreement for referrals from at least one shelter provider.
- District-based anti-trafficking program animators to promote and support coordination of anti-trafficking programs and services among local government and civil society actors; one-year program with handover strategy.
- Pilot job skills building and job placement program for victims in reintegration (must cooperate with shelters).
- Research project to map sources and mechanisms of trafficking in human beings and develop profiles of it's victims across Albania for the past 5 years; identify where the data is located and provide recommendations for improving consolidation and sharing of case data (coordinate with case management program).

**Technical Assistance to Shelters** (9%) will assist in the provision of specific training on state of the art psychosocial counseling skills and case management systems for service providers that work directly with victims of trafficking.

Examples of possible types of Technical Assistance to Shelters Grants include:

- Project to work with all victims service providers to train in victim's case management skills and systems to improve coordination and implementation of mid to long term reintegration plans
- Training and on-site mentoring program for improving psycho-social skills of direct victims service providers (primarily shelter workers)

## **b) Promoting Coordination of Anti-trafficking programs and services**

A central purpose of the CAAHT program is to improve coordination among anti-trafficking stakeholders in Albania. Coordination of anti-trafficking efforts at the district, regional and national level is essential. CAAHT Grantee agencies will be encouraged to coordinate between projects, within their region, and when relevant, nationally. Priority for awarding grants will be given to those projects which demonstrate significant inter-agency (NGOs and with governmental bodies) cooperation.

For example, priority will be given to projects that demonstrate how the goals and activities of the project build on prior anti-trafficking work of not only the applicant organization, but other anti-trafficking stakeholders working in the same sector and/or geographic area. Similarly, priority will be given to projects that are designed in cooperation with current and planned anti-trafficking projects in the same sector and/or geographic area. Mobilization of other donor funds and projects coordinated with the proposed project are also encouraged.

Applicant organizations are welcome to submit one proposal to be implemented by two or more cooperating organizations. In such cases, the lead agency will be wholly responsible for project funds and administration. Sub-grants to partner agencies are not allowed.

## **c) CAAHT Regional Coordination Clusters**

Coordination among CAAHT Grant Recipients and with other CAAHT partners will be promoted through bi-monthly CAAHT Regional Cluster Groups in four regions of Albania: South (Vlore), East (Korce), Central (Tirana) and North (Shkodra). Grantees will be contractually bound to participate in bi-monthly meetings. Other anti-trafficking stakeholders will be included at cluster meetings relevant to their areas of activity. CAAHT grant recipients will create the core of each cluster membership.

These cluster groups will provide forums for:

- Training in project management and reporting procedures provided by the CAAHT staff.

- Training in monitoring and evaluation provided by CAAHT staff.
- Regular updating of information about anti-trafficking prevention and reintegration programs in the 4 regions among partners.
- Identifying good practices, assessing gaps in programs and recommending areas for further CAAHT programs and grants.
- Promoting localized anti-trafficking strategies at district or regional levels.
- Open to receiving training from other agencies and IOs contributing to the continuing improvement of anti-trafficking programming in Albania.
- Potential advisory bodies to local governments to incorporate anti-trafficking efforts in decentralization plans.

CAAHT regional cluster groups will convene nationally once a year at the CAAHT Annual conferences in 2005 and 2006.

#### **IV. Grant Impact Results, Monitoring and Evaluation**

Projects supported by CAAHT grant funds are expected to plan for, measure and report specific project impacts that will contribute to the results achieved by the entire CAAHT program. The CAAHT staff will assist successful Grant Recipients in designing a thorough performance monitoring plan and data gathering instruments which will feed into the CAAHT results framework database.

Grantee agencies must comply with data gathering and reporting as stipulated by the M&E section of their grant agreement

The CAAHT team will be responsible for streamlining and consolidating the anti-trafficking data generated.

Grant recipients will be required to provide a minimum of 3 success stories annually

##### **a) What Is Monitoring and Evaluation?**

Proposal and project are required to present a monitoring and evaluation plan, and monitoring reports will be required throughout the life of the grant. Evaluation will be carried out at the end of the project to determine if you met your objectives, how well you met them, what impact the project had, and what the recommendations may be for next steps.

Following is a short explanation of monitoring and evaluation. After that the monitoring and evaluation requirements are presented.

Monitoring and evaluation is the system by which you collect information on what you do, that provides information upon which to analyze, learn, find out how well you are meeting your objectives and determine whether you need to do things differently.

Monitoring and Evaluation helps your organization

- Check progress towards achieving plans
- Diagnose problems and learn
- Determine the quality of performance
- Adjust targets and schedules
- Know when you need to change direction

## **b) Why Do Monitoring and Evaluation?**

Monitoring and evaluation provides four important functions to your project.

1. Management Decision-making – monitoring helps project managers see if they are meeting plans, so they can determine if and what they must do differently – do we need to go faster or slower? Are we working with the right groups in the right place? Do we need to change the budget?
2. Accountability – monitoring shows that you are meeting your project commitments – are we achieving what we said we would? Can we prove to both the donor and our clients that we are doing the best job we can?
3. Learning – monitoring can help you understand what is going right, what is going wrong, and how to improve your project's performance
4. Demonstrating Success – monitoring provides you with information that can be used in your next proposal to show that your work is effective.

Monitoring is an on-going process of data collection, information collection, analysis and reporting. Evaluation is a step back to look at the overall quality of the work and its impact on people, and on anti-trafficking in Albania.

## **c) Indicators**

Indicators are the units of measurement to tell you if you are achieving your objectives. Indicators are what we measure along the way that tell us quantity (how much we are doing), quality (how well we are doing it), direction and velocity (are we doing things faster or slower than expected, and are we going in the right direction) and through disaggregation, are we reaching the right people in the right places?

## **d) What Is Disaggregation?**

Disaggregation is dividing the number of the indicator into categories, such as the proportion of men and women, young or old, rural or urban, etc. In short, if you train 100 people, what do we know about them? We do disaggregation to find out:

Are we reaching the right people? (sometimes called “coverage”)

Are we missing any important segments of the population? (called “depth of coverage”).

## **e) Methods of Monitoring and Evaluation**

- Records – collected on on-going basis by staff (reports, log books, records or forms) or other partners (community committees, volunteers, etc)
- Observation – seeing it, recording it (to record existence and number, location, condition, progress, completion)
- Interviews – individuals, groups, organizations, clients/customers
- Surveys – special data collection on a topic, such as household questionnaire or series of focus group discussions
- Studies – combination of records and surveys, a more systematic research program to answer a particular question

- Case Studies and Success Stories – summaries about a person or group of people who have been especially affected by the project. "Success stories" are concrete examples of significant impacts achieved as a result of the project activities.

**f) Monitoring and Evaluation Plan**

USAID and CAAHT contribute data each year to the Trafficking in Persons (TIP) Report. We are required to report:

- The number of people reached through prevention activities
- The number of government officials trained in anti-trafficking
- The number of people provided with assistance and re-integration services

All grantees will be required, at a minimum, to provide data for one or more of these indicators. In addition, each grantee is required to submit a plan on what indicators they will use to measure progress, effect, results and impact of the project, how and when the data will be collected, by whom.

The plan will, for each of the project’s objectives or expected results:

- State the key indicators that will be used throughout the life of the project to (a) monitor performance to determine whether the project is being implemented as planned, and to (b) assess/evaluate effectiveness/impact of project activities.
- How and when will each of the indicators be assessed to determine whether the project is being implemented as planned? Who will monitor each of them?
- How and when will each of the indicators be investigated to determine whether the project is resulting in goal achievement?

This may be submitted in the form of a table, such as the following example

Project Objectives or Expected Results	Indicator (what will be measured, changes in the number, percentage, etc.). How will the indicator be disaggregated?	How will the data for the indicator be collected? What kind of form, record, log, observation or survey will be used?	Who will collect the data? How often? How often will it be reported? In what format will it be reported?

The CAAHT Monitoring and Evaluation Team have prepared some samples of indicators and data collection forms that you may find useful in developing your plan.

**g) Evaluation and Demonstrating Results**

It is not enough to train 500 people. It is not enough to provide services to 100 girls. What is the impact of your work? Proposals must also submit a plan on how they will demonstrate that their project had impact – how peoples’ lives are better, what changes in behaviors have been achieved, or how services have been improved.

For example, in prevention you may conduct workshops in rural villages to provide information on trafficking, how to spot it and how to avoid it. A few months after the workshop, did people remember your key messages? Have they done anything differently because of the workshop (trained others, counseled a vulnerable family or girl, or helped someone identify and counter a possible trafficking situation)? Working with CAAHT we can select a sample of workshop participants to interview.

Evaluation can be conducted through interviews or sample surveys, assessment workshops with some of the beneficiaries, or through some case studies or selected success stories. Case studies or success stories are vignettes about a person (or group of people) and the impact that your project has had on him or her. A typical success story is 300-500 words, many times accompanied by a photo (if appropriate).

While monitoring tells you about progress, evaluation tells you:

- What are the real results and impact of this project?
- Did you achieve your objectives? If not, why not?
- What else happened that was important but unexpected?
- How do the people you worked with feel about the project? How do they feel they were positively affected?

## **V. Grant Sizes, Duration, and Eligibility**

Length of total project cannot exceed 12 months.

Applicants may submit proposals with a budget appropriate to the nature and size of their projects. The minimum possible size of a grant award is \$5,000 and the maximum possible size of grant award is \$300,000. However, it is anticipated that most grant awards will be between \$25,000 and \$140,000.

Projects implementing anti-trafficking programs and/or providing services at district and regional levels beyond Tirana will be given priority

NGOs typically in under-represented areas of Albania, specifically those in rural areas will be given special consideration in grant competitions.

Priority will be given to projects that demonstrate coordination with other anti-trafficking programs in their geographic areas of program implementation.

Programs demonstrating cooperation with local government actors will be given priority for funding.

English is the official working language for the Albanian Initiative: Coordinated Action Against Human Trafficking project. Applications presented in English will be preferable. However, organizations may submit proposals in Albanian provided the Project Summary (2-3 pages) completed in English. The CAAHT project will support after submission for the translation of the full project proposal.

### ***NGO/NPO Eligibility Criteria***

Grantee agencies must meet the following criteria in order to apply for a grant:

The organization should be legally registered in the courts as a non-profit, non-governmental organization in Albania. Applicants must submit registration documents and statutes with their proposal.

The organization is neither a branch of a political party nor engaged in any partisan activities.

The applicant organization is encouraged to demonstrate coordinated support for the project by mobilizing a portion of the project funding through in-kind and/or cash contributions by the organization or other donors.

Applications must submit staff CV's of the core staff involved in the implementation of the project

## **VI. Definitions and Limitations**

NGO's are: Universities, profit making organizations, and non-profit organizations

Within Non-profit organizations there exists the subset PVOs: tax-exempt organizations that receive voluntary contributions of money, staff time, or in-kind support from the General Public; who are engaged in voluntary charitable or development assistance activities; and are not a university, private foundation or research institution.

PVOs are a subset of NGOs (and thus Non-profits) and require US registration.

Non-US NGOs are not required to register with USAID/Washington in order to receive awards from USAID.

Project applications from the government bodies and inter-governmental organizations will not be financed.

A grant ceiling of \$25,000- is set by statute for US NGOs or US registered PVOs.

The following conditions apply to grants issued by the CAAHT:

- (1) Grants may only be made to non-governmental organizations.
- (2) The total value of any individual grant to any U.S. organization may not exceed \$25,000.
- (3) USAID must be significantly involved in establishing selection criteria and must approve the actual selection of grant recipients.
- (4) All grants must include language giving USAID the ability to terminate the grant activities unilaterally in extraordinary circumstances.
- (5) CAII and its CAAHT program are not authorized to execute or administer cooperative agreements on USAID's behalf.

This program is authorized in accordance with the United States of America Foreign Assistance Act.

USAID reserves the right to fund any or none of the applications submitted to the CAAHT Grants Program.

## **VII. Required Certifications**

### **a.) Prohibition on the use of federal funds to promote, support, or advocate for the legalization or practice of prostitution (July 2004)**

- (1) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under the CAAHT

Program may be used to promote, support, or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked.

- (2) This subsection applies to all CAII-Albania Grant awardees.
- (a) For programs that target victims of severe forms of trafficking, as a condition of entering into this agreement or subagreement, the recipient/subrecipient agrees that in its activities outside of the United States and its possessions it does not promote, support, or advocate the legalization or practice of prostitution. The preceding sentence shall not apply to organizations that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.
  - (b) The term “severe forms of trafficking in persons” means—
    - i) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or
    - ii) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) This provision shall be inserted in all CAII-Albania Grant award contracts.
- (4) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination, in whole or in part, of the agreement by USAID prior to the end of its term.

**b.) Certifications as established at ADS 303.5.8**

Applicant NGOs must be prepared to comply with all applicable certification requirements in ADS 303.5.8 and be prepared to signed and submit compliance certifications in conjunction with signing the grant award contract.

## **VIII. Deadlines and Review Procedure**

### *Deadlines for Applications and Awards*

Applications for Phase I grants will be accepted in rounds once each quarter, beginning November 2004. Grants awards will be announced six weeks after each quarter application deadline. Proposals may be submitted anytime prior to the respective round deadline date. Completed applications must be received in the CAAHT office no later than 16.00 CET on the closing date of the grant round in order to be considered for the current grant round.

Late or incomplete applications may be considered in the following grant round.

Phase I Grants will be awarded in rounds once each quarter beginning December 2004 and continuing through the 4th quarter of FY 2005 (e.g. July 2005).

Phase I Grant Round  
Application Deadline

7 December 2004  
25 February 2005  
20 May 2005

Phase I Grant Round  
Awards Announced

21 January 2005  
11 April 2005  
5 July 2005

The CAAHT selection committee will review all proposals to ensure they meet the eligibility criteria and will advise USAID in selecting projects for funding. USAID will make the final selections for all grant awards.

All applicant NGOs will be notified in writing as to the success of the application. Unsuccessful applicants will receive a brief explanation of why the application was not selected.

Any organization that submitted an application in response to this RFA and which USAID chose not to support may request additional information regarding the review of that application. Such requests must be received in the CAAHT Tirana office no later than 21 days after the date of the letter of notification that the grant application was not successful. The CAAHT must respond in writing within 30 days from the date the letter of request is received in the CAAHT office.

*Support to Grantee Organizations*

After agreements with successful grant awardees are signed, CAAHT will provide training and technical assistance in project management, financial management and monitoring and evaluation to help grantee organizations successfully fulfill all grant requirements and ensure successful implementation of the project. More experienced CAAHT Grantee agencies will be encouraged to share their expertise and provide technical support to less capacitated Grantee agencies in their CAAHT Regional Cluster Groups, in coordination with the CAAHT staff.

*Program and Financial Reporting Requirements*

The Grant agreements will clearly describe all program and financial reporting requirements. In all cases, grantee organizations will be required to submit regular financial reports for all funds, as well as quarterly and final narrative program reports comparing results achieved with the objectives of the program.

## **ANNEX I: Proposal Documentation Required**

Grant proposals must contain all program and budget information in the attached proposal and budget headlines, and include all supporting documentation.

Grant applications in English are preferred. However, if the applicant NGO does not have access to adequate writing assistance in English, the application may be submitted in Albanian. All applications submitted in Albanian must be accompanied by an Executive Summary in English of no more than 3 pages.

### **Documentation required for Application to the CAAHT Project**

1. Legal Information
  - Copy of NGO's registration documents, (court verdict, NIPT)
  - Copy of the statute of the NGO
  - Declaration from the Court of the district that shows that there is no pending court procedure against the NGO raised from individuals or/and sub-contractors
2. Project Proposal
  - According to the headlines, including budget and timeline of activities  
***Submit 3 complete hard copies and 1 complete copy on floppy disk or CD***
3. Experience of the NGO on Anti-trafficking and project management
  - Short description of the general experience
  - Previous experience that qualifies the organization to implement the project proposed,
  - Past performance implementing similar projects.
  - Previous experience in the managing grants, including total budget size of each grant managed.
  - 3 written references, with contact information for follow-up, from previous project partners and/or donors concerning capacity of organization to implement the proposed project. (These can not be partners of the organization in the proposed project.)
4. Staff of the project
  - List the names and functions of all project staff
  - CV's of key management and program project staff

## ANNEX II: CAAHT PROJECT PROPOSAL FORMAT

Date: \_\_\_\_\_

Project Title: \_\_\_\_\_

Name of Organization Applying: \_\_\_\_\_

Address of Organization \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name of contact person \_\_\_\_\_

Implementing Office: \_\_\_\_\_

(if different from address of organization)

Proposed Start date: \_\_\_\_\_

Proposed End date: \_\_\_\_\_

Duration of the project: \_\_\_\_\_

Project Goal: \_\_\_\_\_

Grant Amount Requested: \_\_\_\_\_

Total Project Budget: \_\_\_\_\_

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### Statement of the problem:

- State the problem(s) in terms of the undesirable situation you are trying to improve.
- Explain how your organization became aware of the problems described above in the “Statement of the Problem”.
- What has been done by your organization and by others in the past to remedy these problems?
- What activities, if any, are currently being undertaken to address them?

### Project summary

- Briefly describe how your project will address the problems presented the “Statement of the Problem” above.
- How will it complement any activities described in the previous section?
- Discuss the improvements that will happen as a result of the implementation of this project.
- Explain how the project coordinates with other anti-trafficking efforts and organizations

### Project Goals and Objectives

- What is the goal of the project
- What are the specific objectives of the project proposed?

### Project Design and Implementation

- Define the key program components of the project and how they meet the project goals and objectives
- Describe how the program components will be implemented
- Describe the beneficiaries of the project.
- Describe the districts and communities to be reached by the project
- Demonstrate how the project coordinates with other anti-trafficking efforts and organizations

### **Project Monitoring and Evaluation**

- Identify the planned impact and results of the project (these may be more than those which address CAAHT results indicators). These results will include both quantity and quality outcomes.
- Identify which CAAHT results indicators the project activities will contribute towards.

### **Project activities plan/timeline of activities**

- What activities will be undertaken to achieve your expected results?
- What is the time frame for the activities, (starting and ending date)? The timeline of activities can be in excel spreadsheet where will be shown the name of the activity, start & and date of the activity, the responsible person.

### **Organization experience with anti-trafficking and organizational structure**

- What is the previews experience of the organization in this field?
- What is your organizational structure?

### **Detailed Budget**

- Budgets may be presented using the example CAAHT form in Annex IV or in a similar structure according to the organization's format.
- Budgets must have, at minimum, sub-categories for Personnel, Administration and Project Activity costs.
- Organization contributions may include other donor sources and in-kind contributions of labor or materials for activities. Office equipment and vehicles may not be included.
- Budgets may be calculated in LEK but the total requested from CAAHT Grant Program must be presented in US Dollars (US\$).
- Standard exchange rate must be used Lek 1 = US\$ 0.01.

### **Submit 1 original and 2 hard copies and 1 complete copy on floppy disk or CD to:**

Alketa Gaxha, Grants Specialist  
The Albanian Initiative: Coordinated Action Against Human Trafficking (CAAHT)  
Creative Associates International, Inc.  
Rr. Nikolla Tupe, Pall. 1  
3rd Floor over BKT  
PO Box 2409/1  
Tirana, Albania

Office phone: 04 257 416 / 417 / 418  
Office fax: 04 257 419

## **ANNEX III: Evaluation criteria and procedure**

NGOs and proposals meeting the eligibility criteria and submitting the complete documentation above will be evaluated on the following criteria:

### **Selection Criteria for Full Applications**

The criteria listed below will serve as the basis upon which all full applications will be evaluated. Technical aspects of the applications will constitute 50 points of the total evaluation and applicants' organizational experience and past performance will constitute 30 points of the evaluation. The remaining 20 points will be based on the quality of the key personnel. The review will also include an assessment of the likelihood that the proposed program will be successful in achieving its objectives and on the applicants' ability to achieve expected results within a reasonable time frame and at a reasonable cost.

#### **1. Technical Approach – 50 points**

The technical feasibility of program activities proposed in each full application will be evaluated according to the below criteria.

- Coherence and thoroughness of the proposed program (10)
- Relevance of the proposed program to CAAHT program and objectives (10)
- Does the program methodology have the potential to meet the proposed result within the timeframe of the project? Innovativeness, flexibility, pragmatism, and creativity in the overall approach to attain project outputs and achieve results, within the timeframe of the project. For example, how would the offeror approach project implementation tasks? How will the offeror work and coordinate with the various entities involved in this type of activity? How does the offeror plan to use available resources to achieve the greatest and most lasting results? (10)
- Are the number and types of beneficiaries for the target groups realistic and relevant to anti-trafficking programs and services? (5)
- Is the project coordinated with other anti-trafficking programs and services? (5)
- Will the project serve populations outside of the capital and/or in rural areas? (5)
- Is the project coordinated with government offices and/or services? (5)

#### **2. Institutional Qualifications / Past Performance-30 points**

Applications will also be expected to show, with regard to the applicant:

- Has the organization demonstrated responsible financial and administrative management of similar or larger sized projects in the past two years? (5)
- Does the organization have prior experience and success in implementing activities similar to the project being proposed; or is there significant reason to believe that the organization has the capacity to carry out the project. (5)
- Does the organization demonstrate the ability to analyze potential obstacles, risks and problems that could be encountered during program implementation and feasibility of the proposed solutions for addressing the identified problems? (5)
- Does the organization have a clear organizational structure and clearly defined roles and relationships among its staff and offices? (5)
- Does the organization have the capacity to recruit staff and/or volunteers in a timely fashion? (5)
- Is there a management plan showing the staffing requirements and other resources needed to implement the approach? (5)

#### **3. Personnel -20 points**

The applicant will also be expected to propose, in its full application:

- Key personnel with prior experience or the requisite credentials, including technical qualifications, professional competence, relevant academic background, to carry out the proposed project? (10)
- Does the proposal plan for the appropriate number and skills mix of the staff proposed to for implementation and program strategy? (10)