**GFEMS Request for Concept Notes for S-SJTIP-17-CA-1018 (PEMS 1)**

**Answers to Questions**

The below answers are offered by the Global Fund to End Modern Slavery (GFEMS) in response to questions submitted by potential applicants to the Fund’s [Request for Concept Notes](#) under award S-SJTIP-17-CA-1018 (PEMS 1). These answers supersede any apparently contradictory information within the solicitation, and applicants should use these answers to inform their concept notes.

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**Timelines**

1. *When can applicants anticipate information regarding dates, or tentative dates, for co-creation and project start-up?*

   Our anticipated timeline is available on the [RFCN page](#) and is tentatively:

   Invitation to Co-Creation: Early March 2020
   GFEMS Co-Creation: Late March—Mid April 2020
   Final Proposal: Late April 2020
   Contracting: May/June 2020

   We will add more specificity or make adjustments as soon as we are able.

2. *What is the deadline for submission of full proposal, if shortlisted after this stage?*
The proposal is tentatively due in late April. GFEMS will provide specific dates as soon as possible.

3. **Given the holiday season, will GFEMS consider moving the deadline for concept notes to January 31, 2020?**

We cannot grant any extension for these concept notes. Please note GFEMS has already offered a six and a half week concept note period (December 4–January 17), rather than its standard five week period, to account for the holidays.

**Eligibility**

4. **Can you please expand upon the requirement “Organizations with existing legal authority to operate in relevant overseas locations?”**

Applicants must have legal authority to operate within the countries in which they are proposing to work, and be in compliance with all applicable laws both in these countries and the countries in which that are registered. Consult section A5, “Eligibility requirements” (p. 7-8) for more details.

Applicants must be prepared to submit copies of permits and/or registrations as part of the due diligence process during co-creation. In addition to legal permissions to operate in relevant locations, GFEMS will also review legal ability to receive J/TIP funds without excessive tax or other contingencies.

5. **Can we partner with a for-profit company as long as they are not going to make any direct profits?**

Yes.

6. **Are you willing to work with faith-based organizations?**

Faith-based organizations are eligible to participate on the same basis as other applicants, and will not be discriminated against on the basis of their religious character or affiliation. However, applicants that engage in explicitly religious activities, including activities that involve overt religious content such as worship, religious instruction, and proselytization, must perform such activities and offer such services at a different time or location from any programs or services directly funded by this subaward, and participation by beneficiaries in any such explicitly religious activities must be voluntary and not a part of the scope of the proposed project in any way.

7. **Does working on any other active GFEMS project in India constitute a conflict of interest in any way?**

No, this is not considered a conflict of interest.

**Audited Financial Statements**

8. **Would audited tax returns from 2019 be sufficient for funding consideration under the above award in cases involving non-profit organizations who lacked funding?**

during 2017-2018 and were therefore only required to file IRS Form 990 and did so accordingly?

An IRS 990 tax return is not sufficient to be considered for funding under this award, Applicants must demonstrate compliance with USG rule and audit requirements relevant to the regulations by providing audited financial statements. If applicants cannot meet this standard, they may consider forming a consortia with organizations that can.

9. **We do not have any audited financials because our accountant said we didn't have enough funding from donations in the prior year to justify it. What can we do?**

GFEMS requires that individual applicants with which it will have a direct contractual relationship have two years of audited financials. This requirement is in place to ensure applicants can meet the financial and regulatory requirements of a subaward. If organizations that do not yet have two years of audited financial statements wish to apply, they should form a consortium with organizations that do. In these consortia, the partner with the necessary experience (indicated in part by audits) will act as the lead organization and serve as the Fund’s direct subrecipient.

**Consortia**

10. **What is a consortium?**

A “Consortium” is a unit comprised of a subrecipient and one or more third-tier subrecipients. Consortium applicants should identify a lead organization who will sign the subaward agreement with GFEMS and act as the Fund’s subrecipient. Other consortium members will be the subrecipient’s third-tier subrecipients. The lead member/direct subrecipient will hold the responsibility of carrying out the scope of work in the subaward and the accompanying requirements. This will include managing the third-tier subrecipients. GFEMS will not have a contractual relationship with third-tier subrecipients.

The consortium as a whole should meet the eligibility requirements as follows: (1) No consortium members should draw a profit; (2) all consortium members should have the appropriate legal permissions to fulfill their scope of work; and (3) the lead subrecipient that will be receiving money from GFEMS should have appropriate financial controls, demonstrated by two years of audited financial statements.

11. **We are planning to form a consortium in order to submit a comprehensive proposal, what type of consortium partners are allowed?**

The consortium must fulfill the Eligibility requirements as outlined in A.5 in the solicitation and clarified in Q34 above. Other than this, there are no concrete rules about the type of partners allowed.

12. **Can we bring on-board private sector partner(s) in country of destination to connect and demonstrate the end to end migration journey of a migrant worker?**

You may include this in your project design, but it is unlikely that such activities can be funded by GFEMS, so they would need to be covered by leveraged funds. f the GFEMS-funded portions of
the program are dependent upon activities under leveraged funding, GFEMS will evaluate the likeliness of success for those activities before moving forward.

13. **For the activity on "Improving coordination among NGOs working with victims/survivors. Applicants should propose plans to work across non-governmental organizations (NGOs) to improve best practices, ensure stakeholders are collaborating well, and ensure that victims move easily through intuitive processes."**, does the applicant have to demonstrate during the concept note stage which NGOs they will be working with, or does it have to be a solution that can be applicable to all such NGOs?

If NGO subgrantees are already selected, please identify them. If not, applicants should describe how they will select subrecipients.

14. **Do we have to provide financial details and past performance details of all partners we plan to engage with in the project, or only the main partners? For instance, if we plan to sub-contract work to some service providers like organizations that help to conduct surveys through enumerators on the ground, do we need to provide details about such a sub-contracted organization as well?**

You do not have to provide financial or past performance details for all subrecipients or contractors. If third-tier subrecipients or contractors are already selected please identify them. If not, applicants should describe how they will select third-tier subrecipients or contractors. Per the evaluation criteria, GFEMS will judge concept notes based on organizational/consortium capacity to implement projects--applicants should endeavor to make their consortium’s capacity as clear and compelling as possible.

15. **Is a letter of support/power of attorney required at the concept stage, in case of a consortium?**

This is not required, but if you are invited to co-creation, GFEMS will need to see evidence of a formal agreement.

Co-Creation

16. **Understanding that the co-creation stage does not guarantee funding, can you give us some information on the historical likelihood of an award once a concept note moves into the co-creation stage?**

GFEMS makes every effort to fund the applicants that enter co-creation, and the majority of applicants who have entered co-creation in the past was ultimately funded. However, a minority of applicants was not funded for a variety of reasons. Many of these organizations have left the co-creation process as the result of a mutual decision with GFEMS, others are not funded due to resource restrictions, and, in rare cases, GFEMS or its donors declined to fund final proposals.

17. **Will GFEMS consider providing capacity building workshops for new/selected applicants, allowing in-country co-creation time to be used for directly workshopping the selected opportunity with GFEMS staff and partners?**
GFEMS implements improvements in its co-creation process each time it hosts one; feedback is always welcome at proposals@gfems.org.

18. Can applicants anticipate financial support for expenses incurred to attend co-creation as pre-award costs?

Unfortunately, GFEMS cannot pay pre-award costs for applicants. Applicants must be prepared to pay for labor, travel, and other expenses incurred through the co-creation phase; GFEMS will endeavour to make co-creation as convenient and affordable as possible. Any workshop will include lunch and light refreshments.

Due Diligence

19. What should we expect in the due diligence process?

GFEMS conducts a rigorous due diligence process alongside co-creation. The purpose of this process is to determine potential subrecipients’ delivery and fiduciary capacity. When invited to co-creation, applicants will be asked to fill out a 120 item due diligence questionnaire, which may be previewed at https://www.gfems.org/evaluation-criteria. The questionnaire includes questions related to the applicant’s corporate governance, people management, risk management, subaward management, internal controls, financial management, data protection, and capacity to mitigate delivery risks, including safeguarding. Applicants will be asked to submit the following policies and supporting documentation, as part of a comprehensive package, for review by GFEMS staff:

- Code of Conduct
- Data Security documentation
- Financial Policies
- Travel Policy
- Procurement Policy
- Safeguarding Policy
- Incorporation or registration certificate
- List of all the current members of the Board of Directors
- Local non-profit registration or IRS determination letter for US organizations
- Most recent financial statements (balance sheet and income statement; if distinct from audited financials submitted with the concept note)
- Most recent independent auditor’s report, including management letter (if available and distinct from audited financials submitted with the concept note)
- Most recent financial audit (if distinct from independent auditor’s report above and distinct from audited financials submitted with the concept note)
- Most recent federal single audit report (if applicable)
- Any external assessments or project-specific audits on projects with similar size and scope completed in the past three (3) fiscal years.
- Most recently completed negotiated indirect cost rate agreement (NICRA) (if applicable)
The process usually involves follow-up questions from GFEMS on the above items. The due diligence process can take substantial time and effort to complete, but is essential for establishing proper subaward terms and support. While the due diligence process does not start until an applicant is invited to co-creation, GFEMS requests applicants be prepared to undergo this effort if they wish to submit a concept note.

20. **If an applicant has submitted the due diligence form recently will GFEMS allow applicants to update the existing form?**

GFEMS will not require any applicants who have completed the due diligence process in the past year to re-do the process. If it has been more than a year, applicants will be required to update the existing materials on file.

### Award Process

21. **Is it possible to submit a Concept Note with a few individuals and not a whole team assembled yet?**

Applicants must meet the eligibility criteria listed in section A5 of the Request for Concept Notes. If a group meets these requirements, it may apply. Applicants may apply without all organizations/actors identified yet, but should provide a plan for how they will identify any missing parties.

22. **Will GFEMS provide applicants with their score, placement, and opportunity for review (written or verbal) at the conclusion of the concept note and full proposal phases?**

There are no plans to do this at this time. However, GFEMS will provide feedback as it is able.

23. **How detailed does the Theory of Change need to be at the concept note stage? Does it have to be a summary of a ToC, or show activities, outputs, outcomes and impacts mapped to each other in a specific log frame format with KPI numbers attached to it?**

The Theory of Change should be a graphical representation that illustrates the underlying logic for how the proposed intervention activities will achieve progress and contribute to impact (prevalence reduction). The components of the ToC should include outputs, outcomes, and impact. We do not expect the ToC to be in a logframe format with the KPI numbers; logframes will be developed during co-creation.

- **Outputs:** Direct results of planned activities that document the delivery of those activities, usually in terms of numbers.
- **Program/Intermediate Outcomes:** The desired changes or progress that should occur as a result of the implemented outputs.
- **Long-term Outcome:** The longer-term outcomes for targeted community members that contribute to impact.
- **Impact:** The reduction in the prevalence of modern slavery for a targeted community.

24. **How can a for-profit demonstrate in the concept note that it will not make a profit from the grant-funded activities? Will a declaration suffice?**
A declaration will suffice at the concept note stage, but the detailed budget developed in co-creation should also demonstrate that no profit will be earned.

25. **We have previous awards but, not in Human Trafficking. What can we do in regards to the reference sheet, list the previous awards anyway?**

You should use awards of similar size as the one you are requesting. Use the space in the past performance matrix and organizational capacity sections to tell us how the experience is relevant even if it isn’t specific to modern slavery issues.

26. **Also, what if we have majority donations, can we use the donors as a reference?**

The only references we will accept are relevant funding agency staff from past awards–private donors do not require the same level of oversight and therefore don’t meet our requirement.

27. **On page 21, GFEMS writes "attach up to 3 past performance matrices." What is the minimum number required?**

There is no minimum number required. However, past performance is an important factor in determining your organizational capacity to implement projects.

**Concept Note Structure**

28. **Should a proposal for the Philippines cover all three opportunity areas or just one?**
   **The opportunity areas we are referring to are as follows:**
   - *Improve accountability by testing innovative approaches to identify bad actors and end their impunity*
   - *Improve recruitment industry practices by supporting and incentivizing the effective, sustainable adoption of ethical recruitment*
   - *Improve awareness and preparation in the most vulnerable source communities*

These are individual opportunities for funding within the solicitation (1.1, 1.2, and 1.3, respectively). Each concept note must only respond to one opportunity. Applicants are welcome to submit concept notes for as many individual opportunities as they like.

29. **Can you please clarify if proposals for the Maharashtra opportunity need to address all four interventions mentioned on pages 17 and 18 of the Request for Concept Notes document or can we restrict our proposal to a single intervention? (Build police and prosecutorial capacity, Implement victim- and child-friendly processes in the criminal justice system, Demonstrate models of improved aftercare and work to transform service provision, and, Improve coordination among NGOs working with victims/survivors)?**

GFEMS defined “Build police and prosecutorial capacity,” “Implement victim- and child-friendly processes in the criminal justice system,” “Demonstrate models of improved aftercare and work to transform service provision,” and, “Improve coordination among NGOs working with victims/survivors” as activities under the overall intervention (opportunity 2.1). Together, these activities will achieve the overall aim of the opportunity. As per section A3 of the solicitation, “Funding Opportunities” (p.7), GFEMS is open to concept notes that target one or more specific activities under an opportunity. Applicants should make a compelling case for the activity or
activities they have selected based on programmatic considerations and organizational capacity. In other words, use your concept note to convince GFEMS why your choice of activity or activities is the best use of the funding proposed.

As of this release, applicants may write separate concept notes for each activity if they wish.

30. **Can the applicant submit a concept note to undertake both sets of activities at 2.1 - that is 'a' (Build police and prosecutorial capacity) as well as 'b' (Implement victim and child-friendly processes in the criminal justice system)?**

Yes, applicants are encouraged to propose to address both activities. If they so choose, Applicants may submit separate concept notes for each activity, or address both in a single concept note.

31. **If an org is applying for the opportunity to "Strengthen the system to prosecute traffickers and protect victims of CSEC in Maharashtra", can it submit 2 different concept notes with two sets of partners - 1 for a prosecution based activity and the other for a protection based one?**

Yes, this is acceptable.

32. **The CSEC opportunity has a number of distinct but interconnected activities. Is there a minimum or maximum limit for the number of activities one needs to address in a single concept note?**

There is no minimum or maximum number--make a case for your choices.

33. **The first activity under CSEC for "Building Police and prosecutorial capacity" includes multiple sub-points like:**
   - Training police officers to properly collect and handle evidence (including good practices of interviewing child victims and the handling of digital evidence)
   - Instituting and building systems and processes that increase efficiency of casework
   - Addressing gaps in prosecutor capabilities to achieve convictions

   **Does one concept note need to address all these together or can an applicant focus on any one of these bullets?**

The concept note does not have to address all of these sub-points and may focus on one or more of the bullets.

34. **Can one organization submit more than one concept note under one opportunity?**

Yes, though the rationale for doing so should be evident.

35. **Can one organization propose more than one idea within the same concept note?**

The concept note should present a coherent concept that GFEMS can evaluate on its merits, as opposed to a menu of potential options. If the concept involves A-B testing of multiple intervention approaches, the concept note should explain the rationale and the testing/selection process. However, the concept note should present a single project concept.
Award Management

36. What grant management software does the U.S. Department of State and Office to Monitor and Combat Trafficking in Persons (J/TIP) require organizations to utilize in conjunction with award no. S-SJTIP-17-CA-1018 (PEMS 1)?

Subrecipients under this award will not have a contractual relationship with the Department of State or report directly to the Department of State. Rather, subrecipients will report to GFEMS, the prime recipient. GFEMS does not require applicants to own/utilize their own grant management software, but will provide a standard reporting format which will be compatible with the Fund’s grant management software, Amp Impact. This may include populating Microsoft Excel spreadsheets or direct input into Amp.

37. Will GFEMS allow for flexibility in project scope if there are difficulties beyond our control, namely in terms of embassy delays on Leahy vetting?

GFEMS will employ adaptive management based on project conditions, consulting with the subaward recipient on changes in the format of activities and modalities of delivery, as necessary. Leahy vetting, however, is a requirement for some activities and thus plans for mitigating risks related to obtaining vetting in a timely manner will be considered during the concept note evaluation process.

38. What is the upper limit on the Monitoring, Evaluation, and Learning (MEL) component within this proposal?

There is no upper limit on MEL; applicants should budget sufficient resources to conduct thorough MEL on their project and answer key questions on the effectiveness of their interventions. This usually includes a full-time MEL staff member. GFEMS will work with applicants to determine the right level of resources in co-creation.

Philippines Overseas Labor Recruitment Opportunities

39. Can the work be an extension of technologies developed or being developed in other regions rather than greenfield?

Yes. Technological solutions do not need to be new or novel, nor do solutions need to leverage technology. What is important is that the solution have a strong link — supported by evidence and/or logic — to prevalence reduction.

40. Can any funds be used for the country of destination?

We encourage applicants to prioritize activities in the Philippines. While concept notes may include activities in destination countries, applicants should be aware that there is a strong chance that any activities in destination countries will be deemed out of scope. We recommend that concepts not be dependent on such activities and that any proposed destination-country activities be limited to research and/or other light-touch activities.
41. Are services / support to survivors of trafficking considered a priority under the Philippines Overseas Labor Recruitment funding opportunities?

Yes, in opportunities that touch on the Fund’s Sustaining Freedom pillar, services to survivors are a priority. See the Fund’s Theory of Change on pg. 4-6 for details on Sustaining Freedom.

India CSEC Opportunity

42. The activity at point - 2.1-'a' mentions about building the police and prosecutorial capacity; however in addition to these agencies can the applicant also propose a concept for building the capacity of Judges so that all the 3 agencies (Police, Prosecutors and Judges) have a common understanding of the issue and work in coordination in the given geography?

Yes, and we affirm the importance of a common understanding of the issue and coordination across police, prosecutors and judges.

43. On page 19, GFEMS writes, “Long-term results should include increases in arrests and conviction rates at a state level for trafficking/CSEC cases.” Given the 18-month life-of-project, does GFEMS anticipate realization of long-term results, or, conversely, progress toward these long term results?

Because successful sex trafficking convictions in India take over two years on average, GFEMS does not expect a significant increase in convictions during 18 months. GFEMS will expect measurable increases in the interim milestones of law enforcement -- suspected offenders charge-sheeted and prosecutions initiated.

44. On page 17, the solicitation recognizes that Maharashtra is often a destination state for victims of CSEC. Throughout the life of this project, victims of CSEC may return to their home states even while their cases are ongoing in Maharashtra. May funds under this award be used for direct casework and/or transportation (for example, for court hearings) involving locations out of state that lead to ‘long-term results (of) increases in conviction rates’ in Maharashtra State?

This proposed use of funds is consistent with the Fund’s objective to reduce prevalence in Maharashtra. Allowable and unallowable costs can be further clarified during the co-creation period.

45. Can the proposal also look at interventions on the demand side of child sex trafficking or is it restricted to supply side interventions?

Yes, the concept note can propose interventions that address the demand side of child sex trafficking in Maharashtra

46. The RFP states that "GFEMS is looking to intervene across multiple cities in Maharashtra and solutions need to be designed for the local context. Projects under this solicitation will only be funded in Maharashtra and will build on existing GFEMS work in the state."
- **Can the participating orgs select the geographies within Maharashtra as long as a clear rationale can be established?**
  
  Yes.

- **Do we need to pin-point specific districts in the concept note stage itself?**
  
  No.

- **What type of work in Maharashtra in particular needs to be complemented for CSEC, since the DFID intervention has also been going on in Maharashtra specifically?**
  
  In selected cities and districts in Maharashtra, GFEMS is working to build the capacity of police, prosecutors, child welfare committees, and legal aid providers; documenting survivor care models; deploying a multi-stakeholder community response model; and testing a low-cost method to support survivors in community-based care. Work should complement these efforts by increasing geographic coverage of similar efforts or expanding the scope of services and capacity building delivered. Fine tuning to ensure complementarity can be conducted during the co-creation phase.

47. **Is there any minimum sample size that is required for any of the activities under the CSEC opportunity e.g. no. of case managers to be trained or % of case managers to be trained of all case managers in Maharashtra?**

There is no minimum number.

48. **To demonstrate 'impact at scale' through prevalence reduction, does there have to be a component of measuring prevalence through the project for CSEC activities?**

GFEMS is conducting prevalence studies at the sector level, so there is not an expectation for projects to measure prevalence reduction. To the extent that projects can reasonably assess the contribution of activities towards prevalence reduction, they should plan to do so - it is crucial that applicants are clear on what they will and will not be able to measure.