



**United Nations Voluntary Trust Fund on Contemporary Forms of Slavery  
Guidelines of the Fund for the use of Organizations**

**I MANDATE OF THE FUND**

1. According to General Assembly resolution 46/122, grants from the Fund shall be given to extend, through established channels of assistance, humanitarian, legal and financial aid to individuals whose human rights have been severely violated as a result of contemporary forms of slavery.
2. Contemporary forms of slavery which qualify for project grants include chattel slavery, serfdom, debt bondage, forced marriage and trafficking of persons, and trafficking and exploitation of children for sexual or labour purposes.
3. Projects that address other violations of human rights which are starting to be recognized as contemporary forms of slavery that exhibit the primary characteristics of ownership, control, and violent coercion and for which there is a developing international standard may also qualify for project grants, but will ordinarily receive a lower priority.
4. Additional information on contemporary forms of slavery under International law can be found in "Policies on selecting the Beneficiaries" and in the OHCHR publication "Abolishing Slavery and its Contemporary Forms" (HR/PUB/02/4). Both of these documents can be downloaded from the Fund's website or requested from the Secretariat.

**II ADMISSIBILITY OF PROJECTS**

5. As a rule, only applications by non-governmental organizations are admissible. Applications by governmental, parliamentary or administrative entities, political parties or national liberation movements are inadmissible.
6. In order to avoid retaining fees on the funds channeled and to maintain control over its use, the Fund does not, as a rule, subsidize a project through another organization.
7. Priority in allocating grants is given to projects addressing the root causes of slavery; providing direct medical, psychological, social, legal, humanitarian, educational or other forms of assistance, to victims of contemporary forms of slavery; combined with income generating activities.
8. Projects should consider the victims' need for security, education, independence, and reintegration into society.
9. Projects should address the role that human suffering, discrimination, social hierarchy; poverty, gender inequalities and unemployment are playing in perpetuating contemporary forms of slavery.
10. Organizations submitting applications are encouraged to integrate capacity building activities in their applications, which could include human rights and project management training.

11. Organizations submitting applications for projects should indicate the estimated number of victims assisted, directly or indirectly, and should demonstrate:
- i. the organization's consideration of the needs of the individual victims;
  - ii. the organization's experience in dealing with slavery and related human rights violations;
  - iii. the organization's capacity for providing sustainable results;
  - iv. the project's potential impact in alleviating and/or eradicating the specific form of slavery it is addressing;
  - v. the project's potential impact in enabling the victim to become autonomous;
  - vi. the project's potential impact in increasing the long-term capacity of the NGO to address contemporary forms of slavery;
  - vii. the organization's financial reliability and;
  - viii. the degree of directness to which the funding goes to victims of slavery.
12. The organization should provide information on its present and past activities, lessons learnt, results and impact of these activities and the aspects of contemporary forms of slavery that it deals with;
13. Funds will be generally allocated to organizations that can demonstrate at least two year's activities and experience in projects relating to contemporary forms of slavery.

#### PROJECTS DIRECTED AT PROVIDING DIRECT LEGAL ASSISTANCE

14. Organizations submitting applications for projects aiming to provide direct legal assistance to victims of contemporary forms of slavery should submit information on whether a legal aid program is provided for under domestic law. The Fund does not provide financial compensation to victims. Organizations should (if possible), in their application form, submit a list of those persons who would be assisted through the direct legal assistance.

#### PROJECTS DIRECTED AT ORGANIZING TRAININGS, SEMINARS OR CONFERENCES

15. Applications for projects seeking to organize training, seminars or conferences related to contemporary forms of slavery, are admissible, subject to the availability of funds. A separate application should be submitted for such projects.

#### PROJECTS DIRECTED AT STUDIES, RESEARCH, PUBLICATION OF NEWSLETTERS

16. Applications for projects concerning investigations, studies, research, and publication of newsletters or similar activities are generally inadmissible, unless they address the causes of contemporary forms of slavery and are subject to the availability of funds.

#### MAXIMUM REQUEST FOR FUNDING

17. An organization can request a maximum amount of 15,000 United States dollars per grant from the Fund unless the Board in exceptional circumstances grants an exception from the said ceiling.
18. Projects should be selected from all the geographical regions in order to provide the widest possible view of contemporary forms of slavery in the world; the project should take gender balance into consideration.
19. Organizations applying to the Fund must set out the long term impact which the project aims to achieve and must also address financial sustainability after the termination of the grant. Organizations are requested to explain how the project will be able to continue to function without additional financial assistance from the Fund.
20. In selecting grantees the Board of Trustees should take into account its Policies on selecting the Beneficiaries.

21. The Board of Trustees shall also consult with the International Labour Organization and relevant national institutions before funding projects addressing child labour in communities where the ILO's International Programme for the Elimination of Child Labour and/or national institutions are active on issues of child labour.

22. If satisfactory narrative and financial reports on the use of a previous grant have not been received, a new grant cannot be released and should be kept pending.

#### BUDGET

23. In order to be admissible, budgets should be based on realistic local costs and salaries. Overbudgeting shall result in the inadmissibility of the application or the obligation to refund all, or part of, the grant.

### **III SUBMISSION OF APPLICATIONS FOR GRANTS**

#### DEADLINE

24. In order to be admissible, applications must be submitted to the Fund's Secretariat before 31 March of each year.

#### APPLICATION FORMS

25. Applicants should provide answers to all the elements on the Fund's Application Form, which can be requested from the Secretariat of the Fund or downloaded from OHCHR website (see address at the end of this document). The application may be drafted in English, French or Spanish.

26. The Secretariat of the Fund will declare inadmissible all applications which do not use the Fund's Application Form, are not signed and dated by the project leader, or in any manner do not comply with the Guidelines of the Fund.

27. Applications must be sent by airmail in their original Form duly dated and signed. An additional copy must also be sent by e-mail. Applications must not have a bound form.

28. Organizations should check that all the data regarding their mailing address, contact numbers and banking information, are accurate, since they are essential for communication with the Secretariat and payment of grants. Organizations must inform the Secretariat of the Fund about any changes concerning this data as soon as they occur.

29. Organizations applying for a grant should provide all the banking details requested in the banking information form. Since grants are paid in US dollars by bank to bank transfer, the organization's bank account must be able to receive foreign payments in that currency. The name of the beneficiary of the bank account must be the name of the applying organization. If the bank account is in the name of a private individual, the application will, as a general rule, be declared inadmissible by the Secretariat of the Fund.

#### FIRST TIME APPLICATIONS TO THE FUND

30. Organizations which submit an application to the Fund for the first time should provide:
- i. documentary evidence that its staff has relevant experience in providing direct assistance to victims of contemporary forms of slavery (their curriculum vitae should be attached);
  - ii. copy of the statutes and organizational structure of the organization;
  - iii. copy of the legal registration certificate of the organization (if available);
  - iv. confirmation and proof of non-profit status of the organization (if available);
  - v. two reference letters by competent organizations (preferably an internationally recognized or well-known organization) in the field of contemporary forms of slavery in sealed envelopes;
  - vi. copies of bank statements (last 6 months) and recent annual accounts (signed by the chair or treasurer on behalf of the management committee or board of trustees);

- vii. 3 detailed descriptions of victims of contemporary forms of slavery to be assisted with the Fund's grant (names may be withheld);
- viii. List of principal members of the directorate or board of trustees the organization with their titles/ positions;
- ix. List of individuals having access to the bank's account of the organization; and
- x. Signature page for the bank's account.

31. If you can not produce some of these documents, they should explain why.

#### SUSTAINABILITY

32. Organizations applying to the Fund must set out the long term impact which the project aims to achieve and must also address financial sustainability after the termination of the grant. Organizations are requested to explain how the project will be able to continue to function without additional financial assistance from the Fund.

#### PERIOD TO BE COVERED BY THE GRANT

33. Grants requested from the Fund can cover a period of up to 12 months as from receipt of support from the Fund. Organizations are reminded that any grant awarded must be used within the given implementation period. Unspent amounts or carry-overs will have to be refunded or deducted from any future grant, should they be awarded.

#### MULTI-YEAR FUNDING

34. A new grant for the continuation of a project may be requested each year, provided that the narrative, financial and audit reports on the use of all previous grants have been declared satisfactory by the Board and provided that funding will be available the following year. The Fund is endeavoring to develop longer-term relationships with organization that have produced successful results and could benefit from capacity building, but organizations should not expect that a grant will automatically be renewed.

#### BUDGET

35. The amount requested from the Fund should generally not exceed two thirds of the submitted budget of the project. No project should be totally dependent on the Fund. Organizations must provide proof (in the form of applications to donors, or pledges by donors) that other donors are contributing to the project. Secured sources of funding must also be distinguished from those merely envisaged. Exceptionally, the Board may recommend financing projects which do not attain one-third of their total budget in matching funds.

36. Budgeted items of expenditure for which the Fund's participation is requested can cover different types of expenditures, but should focus on providing direct assistance to victims of contemporary forms of slavery. Administrative costs should be not exceed 15 % of the total budget, unless the Board decides otherwise in exceptional circumstances.

37. The project's proposed budget should indicate in detail the items and sub-items of expenditure to be covered by the grant requested from the Fund.

38. Any change in those budget items of expenditure already approved by the Fund must be submitted to, and authorized by, the Secretariat of the Fund, before any amount of the grant is used for those new items.

39. Organizations are requested to submit a revised and detailed budget for the period adjusted to the amount awarded as soon as notification of the amount awarded is received.

#### PROJECTS FOR TRAINING OR SEMINARS

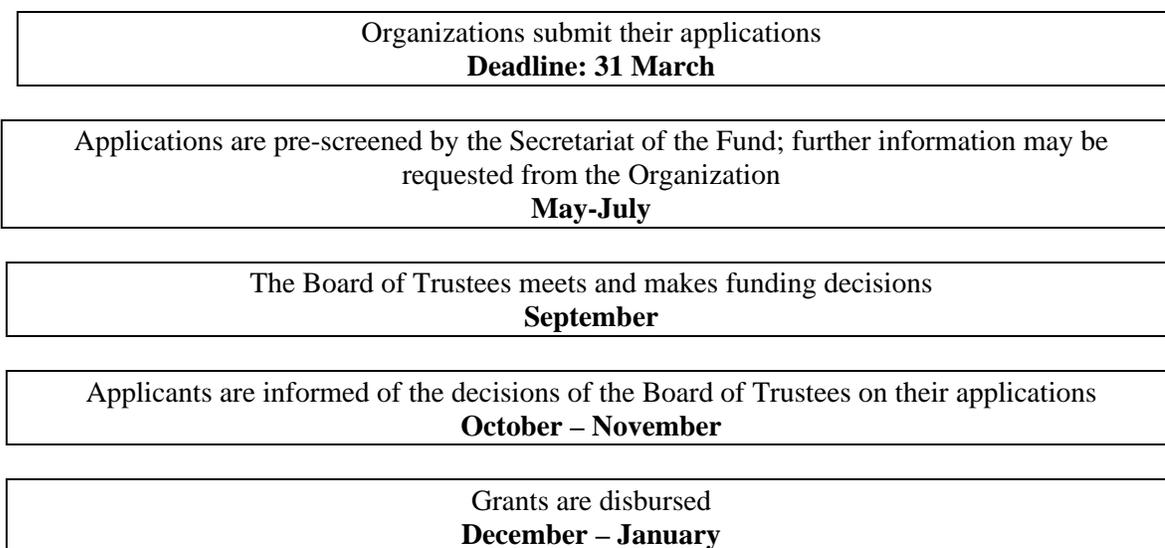
40. Applications for grants to organize training, seminars or conferences which aim at providing direct assistance to victims of contemporary forms of slavery should be submitted on a separate Application Form and should include:

- i. issues to be covered;
- ii. objectives of the training and /or seminar;
- iii. a provisional list of speakers/trainers and participants with their names, organizations and positions;
- iv. the venue, dates, and programme;
- v. the expected benefits and results for victims of contemporary forms of slavery;
- vi. indicators of success; and
- vii. follow up envisaged.

41. These applications should be sent well in advance of the meeting, since the Board does not subsidize events which have already taken place.

42. After the meeting, the final lists of speakers, participants and documents must be sent to the Secretariat, as well as a report on the training/seminar and any documentation relating to assistance to victims of contemporary forms of slavery or other outcomes, such as books, videos, etc.

43. The flowchart below shows the process from submission to disbursement



#### **IV REPORTING ON THE USE OF THE FUND'S GRANTS**

44. By applying to the Fund, the organization adheres to all its guidelines, and by accepting a grant, it equally accepts to comply with any other condition that could be attached to the grant and which is mentioned in the letter the Secretariat will send to the organization in order to inform it of the Secretary-General's decisions.

The above-mentioned condition is meant to ensure that the organization will use the grant in conformity with the application and budget it has submitted to the Fund and on the basis of which the grant was approved.

#### **ACKNOWLEDGEMENT OF FUNDING**

45. NOTE: Insertion on agreement form from organization. As soon as the grant has been received in the organization's bank account, an executive officer of the organization must return to the Secretariat of the Fund the receipt, duly signed and dated.

#### DEADLINE

46. Unless otherwise stated in the letter of grant notification, organizations for which a grant was approved should submit:

- i. a mid-year narrative and financial report containing the description of activities and expenditures incurred 6 months after the initiation of the project;
- ii. a final narrative and financial reports on the use of the grant one month after completion of the project;
- iii. if requested, an impact assessment reports two years after the termination of the project.

47. A grant for which certain conditions must be fulfilled before it can be paid is a "pending grant". As long as the conditions are not met, the grant will not be paid. Therefore, organizations should never pre-pay budgeted expenditures nor assume that a pending grant will be paid, as it may well not be the case.

48. Organizations for which a pending grant has been released will be informed in a letter from the Secretariat of the deadline for submission to the Fund of narrative, financial and other reports.

49. Even if a pending grant has still not been paid by the deadline for submitting new applications for funding, the organization may nonetheless submit an application for the following year.

#### REPORTING FORM

50. Reports should be drafted in accordance with the report submission form which can be obtained from the Fund Secretariat or downloaded from the OHCHR's website (see address below). Reports may be drafted in English, French or Spanish.

51. Reports must be sent in their original format only (no copies, no binding devices), by airmail. An additional copy must also be sent by e-mail.

52. The Secretariat of the Fund will declare inadmissible all reports which are not duly signed and dated by the project leader.

53. The narrative and financial reports should provide answers to all the items stated in the Secretariat's submission form and must show precisely how the grant of the Fund was used to assist victims of contemporary forms of slavery.

54. Organizations should provide percentage details of victims assisted by:

- i. form of slavery;
- ii. gender (men/women);
- iii. age (children/ adults/aged persons);
- iv. nationality; and
- v. type of assistance provided (medical/psychological/legal/social, education/training, economic, etc.).

55. Project leaders are requested to certify that all the information provided in the narrative and financial reports is accurate and true. They must also confirm their awareness that failure to comply with this obligation might result in the refund of the grant.

56. A Project Summary Form must also be submitted to the Secretariat with the narrative and financial reports. This form can be downloaded from the OHCHR website and should be sent by e-mail and preferably in English.

#### SUBMISSION OF 3 CASE DESCRIPTIONS

57. Every organization should include when possible, as part of its narrative report, description of three cases of victims assisted with the grant's funds. Case studies should be drafted according to the instructions attached to the reporting form and the specifications hereunder.

58. Case studies should include the following information:

- i. The history of the victim (victims, in general, should not be identified by name);
- ii. When and how the victims were referred to the organization;
- iii. How the victim was involved during the design and implementation phases of the project
- iv. The type of assistance provided by the organization with the Fund's grant; including details on the number, type and frequency of consultations;
- v. The results obtained with the assistance provided by the grant; and
- vi. The future assistance to be provided to the victim.

59. The information included in the case studies will be kept confidential and will serve only for the internal use of members of the Fund's Secretariat and Board of Trustees, who are United Nations experts appointed by the Secretary-General. They will only handle this information in private meetings within the United Nations. The purpose of these studies is to understand, through examples of individual cases, the type of assistance provided by the organization to victims of contemporary forms of slavery.

#### REPORTING ON TRAINING AND SEMINARS

60. The narrative and financial reports on the use of a grant approved for training or seminar activities should include the following final documents:

- i. issues that were treated;
- ii. objectives of the training and /or seminar;
- iii. the final list of speakers/trainers;
- iv. the final list of participants;
- v. the final programme;
- vi. results obtained (including benefits and results for victims of contemporary forms of slavery);
- vii. evaluation made by the participants; and
- viii. follow up envisaged/carried out.

#### FINANCIAL REPORT

61. The final report must be accompanied by a Financial Statement showing details of the actual expenditure of funds compared with the Project Budget as originally proposed in the Grant Application. It should also be accompanied by copies of receipts, bills and pay slips, pages of the accountant's book and monthly bank statements for the entire duration of the project.

62. All organizations which received grants by the Fund should allow the Secretariat full access to their financial records and provide a financial report on the use of the grant paid by the Fund, following the indications mentioned in the reporting form of the Secretariat.

63. Organizations which have been randomly selected or otherwise selected for audit will be notified by the Secretariat. When grantees are requested to provide an audit report on the use of the Fund's grant, the costs relating to the audit may be covered by the grant within reasonable limits.

#### OBLIGATION TO SUBMIT REPORTS

64. If satisfactory reports on a previous grant have not been received within the year following the latest communication by the Secretariat of the Fund, the Board will not consider any new application for a grant from that organization and, as the case may be, will recommend the refund of the grant not reported on. If the organization does not refund the grant within the time-limit indicated by the Board, no new application from the organization concerned will be declared admissible.

#### COOPERATION WITH UNITED NATIONS ORGANIZATIONS

65. Information may be provided or requested by the Fund on projects it subsidizes, to other United Nations staff posted in the field, and to representatives of other United Nations agencies, funds or programmes, such as the United Nations Development Program (UNDP), the International Labour Organization (ILO), and the Special Rapporteur on contemporary forms of slavery. If an evaluation visit by those officials to the project is decided, the Fund's Secretariat shall inform the project leader in advance and request his/her full cooperation.

66. The Fund's Secretariat may inform United Nations representatives on site that grants have been approved for projects in the country concerned, so that they are aware of the Fund's relationship with the organizations in charge of those projects.

#### **FIELD VISITS TO PROJECTS**

67. In order to better understand and evaluate the work done and planned, members of the Board and/or of the Fund's Secretariat may visit projects and meet with staff members of the organization implementing the project, as well as with victims of contemporary forms of slavery or members of their families assisted with the Fund's grant. The Secretariat may inform organizations in advance when such a visit is scheduled to take place. All organizations are expected to cooperate fully with the official undertaking the visit. A confidential report on this evaluation will be prepared for consideration by the members of the Board at their annual session or sooner, if necessary.

The organization has the obligation to provide access to their financial files to the official during the visit. Should the evaluation of the project not be satisfactory, or incomplete due to the limited access to files, staff and/or beneficiaries, the Secretariat of the Fund or the Board of Trustees will cancel any pending grant, discontinue funding for the project, or request a total or partial refund of the grant as appropriate.

#### **RETENTION OF RECORDS**

68. Organizations are required to maintain a record of expenses including all receipts and invoices documenting how past grants were spent. The information should be available at the organization's premises for a period of five years for inspection by the Board of Trustees of the Fund or members of its Secretariat.

### **V. COMMUNICATION WITH THE SECRETARIAT**

69. The Secretariat should be informed of any change of contact person or the person in charge of the project. Any changes in the banking details or in respect of the organization's address, telephone, fax, e-mail or other contact information should also be immediately notified to the Secretariat of the Fund to ensure that communication between the Secretariat and the organization is maintained.

### **VI. MISMANAGEMENT OR FRAUD**

70. In cases where the Board considers that there has been fraud or mismanagement in an organization supported by the Fund, no further application will be accepted unless the organization has taken serious internal measures to address the situation, and provides evidence which the Board finds satisfactory.

### **VII WITHHOLDING OF PAYMENTS**

71. Should information on a project received after the annual session of the Board of Trustees raise doubts concerning over-budgeting or mismanagement, the Secretariat can decide, if needed upon consultation with the Chairperson to withhold the payment of a grant or to request a project leader not to spend a grant already paid until the situation is clarified.

### **VIII REFUND OF GRANTS**

72. The Secretariat of the Fund or the Board of Trustees may request organizations to totally or partially refund a grant when:

- i. the project was not implemented in full or in part;

- ii. the grant was spent for expenditures other than those mentioned in the budget proposal submitted to, and approved by the Board of Trustees;
- iii. no narrative, financial or audit report was submitted within the deadline established by the grant agreement;
- iv. a narrative report and/or a financial report submitted was deemed not satisfactory;
- v. an evaluation of the project was deemed not satisfactory; and
- vi. any other reason provided to the Board of Trustees.

## **IX EMERGENCY ASSISTANCE**

73. On an exceptional basis, organizations and other established channels of assistance can submit an application for emergency assistance during the inter-sessional period for projects which provide direct humanitarian, legal and financial assistance to victims of contemporary forms of slavery and which encounter unforeseen financial difficulties such as the considerable influx of victims.

74. Applications for emergency assistance grants can amount up to US\$15,000.

75. During the inter-sessional period, the application will be submitted for recommendation to the Chairperson of the Board and the member of the Board from that particular geographic region, or at least one other member of the Board. All other Board members should be notified of the application.

75. This procedure could be implemented provided that sufficient funding is available at a given session and that a “special emergency grant” budgetary line amounting up to US\$40,000 be recommended to the Secretary-General for approval.

### **CONTACT DETAILS**

**United Nations Voluntary Fund on Contemporary Forms of Slavery (UNCFS)**

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**Internet: <http://www.ohchr.org/english/about/funds/slavery/>**