



**United Nations Voluntary Trust Fund on Contemporary Forms of Slavery
Guidelines of the Fund for the use of Grantees and Applicants¹**

I - MANDATE OF THE FUND

1. According to General Assembly resolution 46/122, grants from the United Nations Voluntary Trust Fund on Contemporary Forms of Slavery (hereafter referred to as “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 traditional slavery, serfdom, servitude, forced labour, debt bondage, the worst forms of child labour, forced and early marriage, the sale of wives and inherited widows, trafficking in persons for exploitation, including removal of human organs, sexual slavery, sale of children, commercial sexual exploitation of children and children in armed conflict.
3. Projects that address other violations of human rights that exhibit the primary characteristics of ownership, control and violent coercion may also qualify for project grants, subject to the availability of funding.

II - ADMISSIBILITY OF PROJECTS

4. 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.
5. In order to avoid retaining fees on the funds channeled and to maintain control over its use, the Fund does not, as a rule, authorize the re-granting to another Organization.
6. Priority in allocating grants is given to projects aimed at redress, empowerment and integration of victims of contemporary forms of slavery through the provision of direct assistance. Assistance may include medical, psychological, social, legal, humanitarian and educational assistance, vocational or skills training and/or other support to their independent livelihood.
7. Beneficiaries of projects must be victims of contemporary forms of slavery and, when applicable, members of their families. Projects may include components aimed at preventing the re-victimization of assisted victims.
8. Project grants cannot serve the purpose of direct financial compensation to victims.

¹ Revised and adopted by the Board of Trustees during its 17th session held from 3 to 7 December 2012.

9. Projects should consider the victims' need for inclusion into society and their rights to dignity, security and education.

10. Organizations submitting applications for projects should indicate the estimated number of victims to be assisted, directly or indirectly, and should demonstrate:

- i. that the project takes into consideration the needs and views expressed by victims (though not necessarily the same individuals who will be assisted);
- ii. that the Organization has adequate experience in dealing with contemporary forms of slavery issues and/or addressing their root causes and/or assisting victims of human rights violations;
- iii. that the project has a potential impact on the redress, empowerment and integration of the victims;
- iv. that the project takes the gender dimension into account;
- v. if and how the project will be able to continue without further additional financial assistance from the Fund.

11. Funds will be generally allocated to Organizations that can demonstrate at least two years' activities and experience in projects relating to contemporary forms of slavery.

PROJECTS DIRECTED AT ORGANIZING TRAININGS AND SEMINARS

12. Applications for projects seeking to organize training and seminars aiming at improving the quality of professional assistance to victims of Contemporary Forms of Slavery may be considered, subject to the availability of funding. A separate application should be submitted for such projects.

PROJECTS DIRECTED AT STUDIES, RESEARCH, PUBLICATION OF NEWSLETTERS

13. As a rule, applications for projects concerning investigations, studies, research, and publication of newsletters or similar activities are inadmissible, unless they address the causes of contemporary forms of slavery. They are subject to the availability of funding.

III - SUBMISSION OF APPLICATIONS FOR GRANTS

14. By applying for a grant, Organizations abide by the present guidelines. Once the Secretary-General's decision to approve the grant has been transmitted to the grantee, the concerned Organization accepts to strictly comply with the United Nations' financial and administrative obligations related to the use of the grant. By submitting a revised budget, Organizations accept to comply with any other conditions mentioned in the letter of notification sent by the Secretariat of the Fund informing them about the Secretary-General's decision.

APPLICATION PROCESS THROUGH THE ON-LINE GRANT SYSTEM

15. Organizations that present an application to the Fund for the first time need to request their registration through the on-line grant system (new in 2013) before they are allowed to submit an on-line application. First time applicants will then receive an automatic notification by e-mail of the approval of their registration request, along with the password to their on-line accounts. Organizations unable to access the Internet must contact the Secretariat of the Fund to get instructions on the way to proceed with their application. Applications have to be submitted in English, French or Spanish.

16. The Secretariat will declare inadmissible all applications which are not submitted within the established deadline using the on-line grant system of the Fund, which do not provide the necessary information in all its fields, or in any other manner do not comply with the present Guidelines.

17. A request for funding from a previous grantee of the Fund that has overdue financial and narrative reports will not be considered.

DEADLINE

18. In order to be admissible, applications must be submitted to the Fund's Secretariat by 1 APRIL every year. Applicants are also requested to submit the printout of the last page of the on-line application by fax, mail or e-mail (scanned copy) duly signed and dated by the project leader, to the Secretariat of the Fund postmarked by 1 April.

19. Complete applications will be reviewed by the Secretariat in the period April to October for consideration by the Board of Trustees at its yearly session. The Secretariat will undertake to inform the applicants of the approval by the Secretary-General of the recommendations adopted by the Board before the end of the year. Payments of grants will normally take place before March of the following year.

PERIOD TO BE COVERED BY THE GRANT

20. Grants requested from the Fund can cover a period of up to 12 months during the calendar year 1st January to 31st December, following the year of application. 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 one be awarded.

21. New grantees will have to submit a progress report on the use of the first grant awarded by 15 JULY.

22. 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 previous grants have been declared satisfactory by the Board and provided that funding is available the following year. The Fund is endeavouring to develop longer-term relationships with Organizations that have produced successful results and could benefit from capacity building, but Organizations should not expect that a grant will automatically be renewed.

BUDGET

23. An Organization can request a maximum amount of US\$20,000 per annual grant from the Fund unless the Board grants an exception from this maximum. As the Fund may not necessarily receive sufficient contributions to be able to pay this maximum, grantees may be awarded a lesser amount and requested to adjust their budget accordingly. As a general rule, projects cannot be totally dependent on the Fund. Due to the limited availability of funding, the grants awarded may be lower than the amount requested by the Organization.

24. In order to be admissible, budgets should be based on realistic local costs and salaries and should be presented in US dollars. Over-budgeting shall result in the inadmissibility of the application or the obligation to refund all, or part of, the grant.

25. 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. Confirmed 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.

26. 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 not exceed 15 % of the total budget, unless the Board decides otherwise in

exceptional circumstances.

27. The proposed budget must reflect the total cost of the project and not only the amount requested to the Fund and it should indicate in detail the items and sub-items of expenditure to be covered with the grant requested from the Fund.

28. Organizations should refer to the Users' Manual for further assistance on how to prepare a budget using the on-line grants system. Organizations should use the fields for comments available to explain and provide additional information on each individual budget line, type of expense and calculation behind the cost per unit indicated.

29. Organizations are requested to submit a revised and detailed budget for the period adjusted to the amount awarded within the deadline indicated in the letter of notification.

30. 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.

INFORMATION AND DOCUMENTS TO BE PROVIDED BY ORGANISATIONS

31. Organizations, which submit an application to the Fund through the on-line grant system and which have not been previously funded, 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 valid legal registration certificate of the Organization (if available);
- iv. confirmation and proof of the non-profit status of the Organization (if available);
- v. one reference letter and contact details (including an e-mail address and, if possible, a telephone number) of two referees within competent Organizations (preferably an internationally recognized or well-known Organization) in the field of contemporary forms of slavery, whom the Secretariat can contact to request information about the application;
- vi. copies of bank statements (covering the last 3 months available before your application) and recent annual accounts (signed by the chair or treasurer on behalf of the management committee or board of trustees);
- vii. list of principal members of the directorate or board of trustees of the Organization with their titles/positions.

32. All supporting documents should be submitted to the Secretariat through the on-line grant system. Exceptionally, and upon justification, Organizations may submit those documents by post or e-mail. If Organizations cannot produce some of these documents, they should explain why.

FIVE CASE STUDIES

33. Organizations shall include as part of the application, five descriptions of victims assisted recently and/or to be assisted with the grant from the Fund (explaining clearly into which of these two categories they fall). These descriptions should be drafted according to the format available on the on-line grant system. Names of beneficiaries may be withheld but the internal registration number should be provided in case the Secretariat requests information about the same individuals subsequently.

34. Case studies should include the following information:

- i. The history of the victim (including abuses and exploitation suffered by the victim);

- ii. When and how the victims were referred to and/or identified by the Organization;
- iii. The type of assistance already provided (or to be provided in the future) and methodology used by the Organization to assist the victim, highlighting the components to be supported with the Fund's grant;
- iv. The results expected from the assistance provided with the grant in respect of the redress, empowerment and integration of the victim;
- v. The future assistance to be provided to the victim, if available.

35. The information included in the descriptions will be kept confidential and will serve only for the internal use of members of the Secretariat of the Fund and Members of the Board, who are United Nations experts appointed by the Secretary-General. The purpose of these case studies is to assess whether the assistance to be provided under the project falls within the mandate of the Fund, as well as to understand the specific services offered by the Organization and the challenges it may face in assisting victims.

INFORMATION AND DOCUMENTS TO BE PROVIDED FOR PROJECTS CONCERNING TRAINING AND SEMINAR

36. In addition to the general requirements outlined in paragraph 29 above, applications for grants to organize training, seminars, which aim to promote or develop the provision of professional direct assistance to victims of contemporary forms of slavery, should be submitted using the on-line grants system of the Fund and should include:

- i. The draft programme and objectives of the training and/or seminar;
- ii. A provisional list of speakers and trainers;
- iii. Information on the target group of participants;
- iv. The expected benefit(s) in direct assistance to victims of slavery or slavery like practices.
- v. CVs (curricula vitae) of the personnel involved in the project;
- vi. CVs of the trainers;
- vii. Proof of other sources of funding (in cash or in kind), if available;
- viii. Indicators of success.

37. As a general rule, speakers' fees should not be covered by a grant of the Fund. However, pre-agreed fixed honorarium for trainers could be covered. Expenses to cover accommodation and daily allowances for trainees resident in the same city where the training takes place are not admissible. Co-funding is desirable but not required.

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

39. 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.

CONTACT DETAILS AND BANKING INFORMATION OF ORGANIZATIONS

40. 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 the payment of grants. Organizations must inform the Secretariat of the Fund about any changes concerning this data as soon as they occur.

41. Failure to update contact details/banking information as well as failure to communicate these changes to the Secretariat of the Fund may lead to the cancellation of a grant.

42. Organizations applying for a grant should provide all banking details requested in the banking information form available on the on-line grant system, including the IBAN and SWIFT codes, where applicable. 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.

43. The Fund will not cover any banking fees originated from delays in payments caused by outdated or incorrect information.

IV - FINANCIAL AND ADMINISTRATIVE OBLIGATIONS OF ORGANIZATIONS RELATED TO THE USE OF THE GRANT

REVISION OF BUDGET

44. By applying for a grant, Organizations abide by the present guidelines. By submitting a revised budget Organizations accept to comply with any other condition mentioned in the letter of notification sent by the Secretariat of the Fund informing them about the Secretary-General's decision on the awarded grant.

45. 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.

46. In case of award, Organizations should submit (through the on-line system) a satisfactory and detailed budget adjusted to the amount awarded. Failure to submit a revised budget within the established deadline indicated in the grant notification letter will lead to the cancellation of the grant. Any expenditure, which was not neither included in the revised budget nor expressly authorized by the Secretariat during the implementation of the project, will have to be refunded to the Fund.

47. In principle, budget revisions or adjustments should only be made to amounts in the lines included in the initial proposal and Organizations will not be able to add a new line or expense at the time of the revision of the budget. Addition of new lines or expenses in revised budgets will only be authorized on an exceptional basis.

48. Grants will not be released until a satisfactory revised budget is submitted and approved by the Secretariat of the Fund.

ACKNOWLEDGEMENT OF FUNDING

49. As soon as the grant has been received in the Organization's bank account, and no later than 1 MARCH, an executive officer of the Organization must return to the Secretariat of the Fund the acknowledgment of receipt, downloadable from the website, duly signed and dated.

RETENTION OF RECORDS

50. Organizations are required to maintain a record of expenses including all receipts and invoices documenting how grants are spent. Moreover, Organizations are required to maintain separate records of expenses documenting how grants are spent including:

- i. Financial records (all receipts/invoices);

- ii. Victims' files with information on the specific assistance provided in the context of the project's expenses;
- iii. Records on the management of administrative and other resources.

51. With due regard to any requirements by national legislation, this 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.

52. All Organizations subsidized by the Fund shall allow the UN staff undertaking a visit on behalf of the Fund or members of the Board, as well as needed non-UN authorized personnel accompanying them (auditor, translator, etc.) full access to their financial and other records relevant to the project at any time.

V - REPORTING ON THE USE OF THE FUND'S GRANTS

53. Unless otherwise stated in the letter of grant notification, Organizations for which a grant was approved should submit through the on-line grant system, final narrative and financial reports on the use of the grant by 1 APRIL following the year of implementation of their project. Reports may be drafted in English, French or Spanish.

54. A Users' Manual to assist Organizations in preparing reports on the use of grants through the on-line grants system is available in three languages (English, French and Spanish) in the webpage of the Fund.

55. The Organization should send the last page of the narrative report, duly dated and signed, by fax, post or e-mail (scanned copy) to the Secretariat of the Fund.

56. In cases where awards are received from national, regional or international courts as a result of successful litigation, legal fees paid by the Fund need not be returned, in accordance with the conditions under which the grant was allocated. However, the Fund encourages Organizations to use any such awards for the continued protection of victims of contemporary forms of slavery and to keep the Secretariat of the Fund informed as to how Organizations intend to use any such future awards.

57. The Secretariat of the Fund keeps records of Organizations which have not complied with its reporting requirements, in particular those requested to refund a grant, and reserves the right to share this information with other donors and/or partners.

SATISFACTORY NARRATIVE REPORT

58. Should a report be declared not satisfactory, the Organization would still have to submit a report by the new deadline provided by the Secretariat of the Fund. Failure to do so may lead to the grant having to be refunded.

59. The narrative and financial report should provide answers to all the items requested in the on-line report template and must show precisely how the grant of the Fund was used to assist victims of contemporary forms of slavery.

60. Organizations should provide disaggregated data on numbers of victims assisted under the following categories:

- i. form of slavery;
- ii. gender;
- iii. age;
- iv. nationality; and
- v. type of assistance provided.

61. Project coordinators 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.

SUBMISSION OF FIVE CASE STUDIES

62. Every Organization should include as part of its narrative report, description of five cases of victims assisted with the grant awarded by the Fund, some of which may be the same ones submitted with the original application provided they demonstrate the evolution of the case. Case studies must be drafted according to the instructions available in the corresponding screen of the on-line system.

63. 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

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

- i. the final programme;
- ii. the final list of speakers/trainers;
- iii. the final list of participants with their contact details;
- iv. results obtained (including benefits and results for victims of contemporary forms of slavery);
- v. evaluation made by the participants; and
- vi. follow up envisaged/carried out.

65. The Secretariat of the Fund reserves its right to directly contact participants to ask for their feedback about the training provided.

FINANCIAL REPORT

66. All Organizations supported by the Fund shall provide a financial report on the use of the grant paid by the Fund. The financial report should be presented in US dollars showing the currency exchange transactions in accordance with generally accepted accounting principles.

67. The final report must be accompanied by a Financial Statement showing details of the actual expenditure of funds compared with the revised budget approved by the Secretariat of the Fund.

68. All Organizations which received grants by the Fund should allow the Secretariat full access to their financial and other records relevant to the project 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.

69. Organizations which have been randomly selected or otherwise selected for audit by an independent external evaluator will be notified by the Secretariat via a Letter of Notification. 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

70. If satisfactory reports on the use of a previous grant have not been received by the assigned deadline, the Board will not consider any new application for a grant from that Organization.

VI - FIELD VISITS TO GRANTEES AND APPLICANTS

71. In order to better understand and evaluate the work done and planned, members of the Board, the Fund's Secretariat and/or UN staff or authorized personnel may visit projects of grantees and applicants 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. Such visits may be arranged before a grant application is considered, between making an award and paying it, while the grant is being used or afterwards. The Secretariat will 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.

72. The Organization has the obligation to provide access to their financial and other files relevant to the project to the official(s) 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 may cancel any pending grant, discontinue funding for the project, or request a total or partial refund of the grant, as appropriate.

COOPERATION WITH UNITED NATIONS ORGANIZATIONS AND MECHANISMS

73. 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, as well as the Special Rapporteurs on Contemporary Forms of Slavery, on the sale of Children, and on Trafficking in Persons. If an evaluation visit by those officials to the project is decided, the Fund's Secretariat will inform the project coordinator in advance and request his/her full cooperation.

74. The Fund's Secretariat may inform United Nations representatives based in the country where the Organization is based 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.

VII - PAYMENTS

75. The Fund's Secretariat does not process payments of grants but requests the Financial Services of the United Nations to do so. Organizations should take into account that this standard UN procedure takes at minimum a few weeks. Any discrepancy or incomplete financial and bank information submitted by Organizations will result in severe delay in the release of the grant (see paragraphs 41 to 44, above).

WITHHOLDING OF PAYMENTS

76. 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 Board of Trustees, 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 - MISMANAGEMENT OR FRAUD

77. In cases where it is suspected that there has been fraud or mismanagement in an Organization supported

by the Fund, no further application will be accepted for the following 5 years. Once the five-year period has passed, any new application from the Organization will be treated as those from first-time applicants, requiring a visit by a UN staff or member of the Board. The Board will also undertake necessary steps to satisfactorily verify that previous malpractices, including inadequate internal controls and issues related to governance, have been resolved.

IX - REFUND OF GRANTS

78. 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 revised budget proposal submitted to, and approved by the Secretariat of the Fund;
- iii. no narrative, financial or audit report was submitted within the deadline established by the present guidelines;
- 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.

X - EMERGENCY ASSISTANCE

79. On an exceptional basis and subject to the availability of funding, 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.

80. Organizations should send their requests for emergency funding on the Secretariat's application form, to be provided upon request, as well as a detailed letter of introduction explaining the reason for this request.

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

82. 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 will be notified of the application.

XI - USE OF THE UNITED NATIONS AND OHCHR LOGOS

83. Organizations supported by the Fund must not use the United Nations logo for any purpose. Organizations supported by the Fund wishing to use the logo of the United Nations High Commissioner for Human Rights (OHCHR) should contact the Secretariat of the Fund for permission and instructions on how to proceed.

XII. COMMUNICATION WITH THE SECRETARIAT

84. 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.

85. Organizations are responsible for ensuring regular and smooth communication with the Secretariat of the Fund by corresponding either with the person in charge of the project or by sending any queries to the general e-

mail address of the Fund slaveryfund@ohchr.org

CONTACT DETAILS

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