



Australian Government
AusAID
Department of Foreign Affairs and Trade

**GUIDELINES FOR THE
HUMAN RIGHTS
SMALL GRANTS SCHEME
(HRSGS)**

September 2008

For further information contact:

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Australian Agency for International Development (AusAID)
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IMPORTANT - PLEASE NOTE

PROPOSALS MUST BE SUBMITTED

IN ACCORDANCE WITH SECTION 6 (on page 5)

OF THESE GUIDELINES

THROUGH THE APPROPRIATE

AUSTRALIAN OVERSEAS POST

TIMETABLE (HRSGS)

October	Proposals sought (via cable to posts)
10 November	Proposals deadline (OOB Canberra time)
November	Selection process including Ministerial Endorsement of Selection
10 December	Successful Proposals announced (Human Rights Day)
December	Funds made available to posts
May	Finalisation of annual HRSGS expenditure at posts; project completion reporting

1 Scheme Description

1.1 The Human Rights Small Grants Scheme (HRSGS) aims to promote and protect human rights by providing small grants to locally based organisations in developing countries for activities that promote and protect human rights in a direct and tangible way.

2 Objectives and Focus

2.1 A key element of Australia's human rights policy is to strengthen domestic capacities that promote and protect human rights. The HRSGS complements other often much larger interventions in the area of human rights implemented through the Australian Government's bilateral and regional aid programs.

2.2 Activities must produce sustainable, measurable benefits and be consistent with Australia's aid and foreign policy objectives.

2.3 Under the HRSGS Australian posts overseas identify proposed activities. Funding is provided to:

- (a) grass roots activities of direct benefit to people in need, particularly members of vulnerable groups; and
- (b) activities which focus on one or more of the following:
 - educating and training of human rights workers;
 - promoting international human rights standards including improved reporting to UN treaty bodies;
 - promoting and strengthening national and regional human rights institutions and infrastructures;
 - human rights education and awareness raising;
 - promoting democratic principles.

Note: Priority will be accorded to activities that aim to strengthen the ability of counterpart organisations to deliver sustained human rights activities after Australian assistance has ceased.

2.4 The primary geographic focus of the HRSGS is the Asia-Pacific region. A proportion of funds will be retained for possible funding of proposals outside this region identified jointly by DFAT and AusAID. Such proposals may arise due to particular government initiatives in human rights. Posts interested in accessing these funds should first discuss the possibility of funding with DFAT or AusAID.

3 Development Approach

3.1 To be eligible for funding, activities must:

- where possible, use existing community structures, be implemented by local organisations acceptable to the national or local authorities of the country in which the activities are planned, and be consistent with the country's development policies;
- encourage and facilitate community self-help and self-reliance through local participation in defining goals, formulating development strategies, contributing to costs (including contributions in kind), and in the implementation and management of such activities;

- ensure that the specific social and economic needs of men, women and children are addressed and that opportunities for women to participate as decision makers in determining objectives and types of activities, are increased;
- provide good value for money;
- propose innovative mechanisms or approaches;
- aim to strengthen counterpart organisations in developing countries to enable them to sustain human rights activities after Australian assistance has ceased;
- benefit groups selected on the basis of need, and not on religious, sectarian or political grounds;
- where possible, aim to strengthen institutional reporting capacity in terms of UN human rights treaty body reporting obligations.

3.2 Support will NOT be provided for proposals that seek funding for:

- activities that are determined reasonably to be contrary to the interests of the Commonwealth of Australia;
- activities that support independence movements;
- evangelism or missionary outreach, or similar activities by political organisations;
- welfare activities (welfare is defined as care and maintenance, other than in refugee and emergency situations, which aims to maintain people in a particular condition on a longer-term basis. Substantial and broad impact on social and economic conditions in the community is not normally expected from welfare programs);
- emergency relief activities;
- recurrent costs unless there is a convincing plan to ensure the recipients will be able to take over those recurrent costs within the life of the activity;
- activities funded through other Australian Government programs. Organisations seeking HRSGS funds must declare all other proposals or sources of Australian Government funding which may impact on the activity;
- retrospective activities;
- activities which do not comply with the guiding principles for Australian aid program assistance for population and family planning activities, or those for which any response to the Family Planning Checklist accompanying those guidelines is “NO”;
- travel expenses that exceed 20 % of total project costs; or
- the provision of equipment, freight or buildings, where each exceeds 20% of the total project costs.

3.3 All proposals must conform with AusAID's NGO Co-operation Program (ANCP) Generic Guidelines.

4 Eligibility of Recipient Organisations

4.1 Funding is restricted to organisations (preferably non-governmental, but not excluding government bodies) in eligible developing countries that are involved in the promotion and defence of human rights. Eligible developing countries include all countries in Asia, the Pacific, Africa and the Caribbean, and countries covered by Amman, Kabul, Ramallah and Tehran posts in the Middle East. Proposals from individuals are not eligible. Preference will be given to proposals from agencies that have a proven track record of activity in the sector and/or country concerned, and which are financially accountable.

5 Funding

5.1 In applying for funds, Applicants and Posts should note the following criteria:

- Projects must be a minimum limit of \$10,000 but preference will be given to larger projects in the range of \$50,000 to \$70,000.
- Projects should preferably be of one year duration.
- Projects of up to \$150,000 over two years will be considered in exceptional cases.
- Proposals for joint or partial funding will be considered.

6 Application and Selection Procedures

General:

6.1 Selection rounds under the HRSGS are held annually with successful applications announced on Human Rights Day, 10 December.

The Applicant Organisation:

6.2 To be eligible for assessment, proposals must be submitted to the local Australian diplomatic mission (the post) in their final form (working documents are not sufficient) in English. Proposals must clearly set out the strategy that will be adopted to ensure that the activity is identified as an Australian-supported initiative.

6.3 The applicant organisation should complete the **Activity Proposal** (at Appendix 2 in these Guidelines). This document includes the **Standard Budget Format** (Attachment A) which must be completed, and the **Family Planning Checklist** (Attachment B) which should be completed only if relevant to the proposal. Applicant organisations should note that if the organisation has not previously received AusAID funding under the HRSGS, then a number of other documents must be provided together with the proposal. These include:

- a copy of the organisation's constitution or articles of association;
- an audited annual financial statement certified by a public accountant who is not a member of the organisation;
- a copy of the organisation's annual report, or a similar document; and
- an outline of its work program

If such documents are unavailable then adequate explanation must be provided. (Please note that these requirements are listed under *Bona Fides of the Applicant Organisation* on page 9 of the Guidelines)

The Post:

6.4 On receipt of a proposal from a local organisation a **Proposal Assessment** is to be completed by the post (see Appendix 1b in these Guidelines). If organisations have not previously received AusAID funding under the HRSGS, it is essential that all questions under the heading *Bona Fides of Applicant Organisation* (in Appendix 1b) are answered as 'yes'. Note that this does not include those questions under *Other* (page 10). If such documents are unavailable then adequate explanation must be provided by the organisation. If neither document nor adequate explanation is provided, the proposal will be considered non-compliant and incomplete and will not be accepted by the selection panel.

6.5 Posts are to assess all proposals and shortlist and rank a maximum of **two** proposals to be cabled to AusAID, Canberra by OOB Canberra time on **Monday 10th November**. Cables should include the Activity Proposal and all attachments, Proposal Assessment and Ranking Assessment Sheet. Where posts identify a potential political risk, the post is to provide details on how this risk is to be managed and obtain an endorsement by the head of mission for the proposal. One overall **Ranking Assessment Sheet** (Appendix 1a) is to be completed by each post submitting proposals. Proposals should be marked to the attention of Human Rights Fund Manager, AusAID. **Applicant organisations should be advised that the Scheme is likely to receive proposals for funding significantly in excess of the funds available.**

6.6 Posts should note that successful organisations will not be able to access new funds until any previous HRSGS funding is acquitted.

6.7 The nominated HRSGS contact officer at each post is responsible for initiating the Letters of Exchange with the successful organisations, and forwarding the HRSGS funds to ensure that all HRSGS monies are processed by 31 May each year. The contact officer is also responsible for providing a reporting cable on acquittal of all funds.

AusAID/DFAT Human Rights Section Canberra:

6.8 A joint AusAID/DFAT selection panel will consider proposals during October - November. The panel will comprise the Director, Human Rights and Indigenous Issues Section, DFAT, and/or delegates and the director responsible for the Human Rights Fund, AusAID and/or delegates.

6.9 The panel will assess each proposal in terms of its potential human rights benefits, quality in addressing the HRSGS objectives, and value for money. The ability of Australian overseas posts to monitor projects and evaluate the success of previous projects will also be considered.

6.10 The panel's recommendations will be forwarded to the delegate for funding approval. A quorum of three panel members may make recommendations to the delegate. The delegate will be the Assistant Director General, Development Partnerships Branch, AusAID. On receipt of the delegate's approval, the Minister's endorsement of the HRSGS outcomes will be sought.

6.11 On receipt of the Minister's endorsement all posts will be advised and funds for successful activities will be made available.

7 Activity Management and Reporting Requirements

General:

7.1 Organisations undertaking activities funded through the HRSGS will enter into an Exchange of Letters with the post through which the application and funds have been channelled. Implementation, accountability, required outputs, funding and reporting requirements will be determined and recorded in the Exchange of Letters.

7.2 The Australian Government may from time to time monitor, review and/or evaluate activities funded under the HRSGS. Such a review would be undertaken in consultation with relevant organisations.

The Applicant Organisation:

7.3 The implementing organisation must provide to the post for forwarding to AusAID, Canberra, a **Completion Report** for each activity in the format at Appendix 3 of these Guidelines. The report is to provide information to measure the success of the HRSGS in meeting its stated goals and to properly account for monies granted to organisations involved in human rights activities. The format includes a financial report signed by an authorised representative of the implementing organisation acquitting expenditure against outputs as identified in the original proposal. The completion report is due **3 months after the activity completion date**.

7.4 Any queries should be directed to the accredited Australian diplomatic mission for your country by phone or letter.

The Post:

7.5 It is the responsibility of the relevant post to ensure that reports are completed and forwarded to Canberra in a timely fashion. Following completion, the post is responsible for providing a reporting cable on the impact of the activity, both quantitative and qualitative.

Appendix 1a**Human Rights Small Grants Scheme - Ranking Assessment
(To be completed by the Post and forwarded to Canberra)**

Posts are requested to fill out one ranking assessment form (Appendix 1a) with recommended proposals listed in order of priority. A separate covering form for each proposal forwarded to Canberra is also required (Appendix 1b).

POST RECOMMENDATIONS IN PRIORITY ORDER:

(Proposal Title, Implementing Organisation)

1.

2.

Appendix 1b

Human Rights Small Grants Scheme - Proposal Assessment
(To be completed by the Post, one for each proposal forwarded to Canberra)

PROPOSAL TITLE: _____

COUNTRY: _____

IMPLEMENTING ORGANISATION: _____

PROPOSAL TIMEFRAME: _____

POST CONTACT: _____

CONSISTENCY WITH HRSGS GUIDELINES (these objectives are not in order of priority)

Does the proposal:

- | | |
|--|-----------------|
| : promote awareness of and education about human rights directly? | YES / NO |
| : promote national and regional human rights institutions and infrastructures? | YES / NO |
| : contribute directly to the protection of human rights? | YES / NO |
| : encourage wider adherence to international human rights standards? | YES / NO |
| : promote democratic principles? | YES / NO |

BONA FIDES OF APPLICANT ORGANISATION

Has the organisation previously received AusAID funding? **YES / NO**

If YES, have the previous funds been acquitted? **YES / NO**

If NO, has it submitted the following documents with its application?

- | | |
|---|-----------------|
| : a copy of the organisation's constitution or articles of association? | YES / NO |
| : an audited annual financial statement certified by a public accountant who is not a member of the organisation? | YES / NO |
| : a copy of the organisation's annual report, or a similar document? | YES / NO |
| : an outline of its work program? | YES / NO |

OTHER

Are there potential public diplomacy gains from supporting the proposal? **YES / NO**

Is the proposal politically sensitive? **YES / NO**

If YES to politically sensitive, please provide details on how this risk will be managed, including any comments from Head of Mission endorsing the proposal.

PROPOSAL RECOMMENDATION

RECOMMENDED / NOT RECOMMENDED

Signed:

..... / / **(Date)**

Name, Position

Appendix 2

Human Rights Small Grants Scheme Activity Proposal

(To be completed by the applicant organisation)

The following formats should be used.

- Part A is a summary of the proposal that is used to record the activity in AusAID.
- Part B is the format for providing details of the proposal. It should be succinct and typically **should not exceed five A4 pages**, including the proposed budget.
- The Family Planning Checklist at page 15 is to be completed when applicable.

PART A. PROPOSAL SUMMARY

Activity Title:

Country/Region/Location (province, district, city, village)

Details of Organisation

Name:

Address:

Telephone No.:

Fax No.:

Email:

Principal Contact Officer

PART B. PROPOSAL FORMAT

1. INTRODUCTION

List the activity's main objectives, components, inputs and schedule. Summarise how the activity was identified and how the anticipated benefits will justify the costs and risks. How does this project fit with one or more of the objectives of the HRSGS?

2. ACTIVITY SETTING

2.1 The Existing Situation

Briefly describe the present situation, the target group or institution and their needs and the causes of their needs. How was the target group involved in preparation of the proposal?

2.2 Existing Programs in the Area

What other related activities, if any, are being conducted by government or other organisations in the sector or area described in 2.1?

3. ACTIVITY DESCRIPTION AND ANALYSIS

3.1 Objectives

State specific activity objectives. Objectives should be stated in measurable terms whenever possible.

3.2 Description of the Proposal

Describe where the activity will be located. Set out components/tasks to be carried out to fulfil the objectives described in 3.1. Why is the proposal the most appropriate way to address the situation described in 2.1? Who will be responsible for each component/task?

3.3 Activity Schedule

Provide the timetable for the major components/tasks.

3.4 Inputs and Costs

Summarise the inputs (people, materials, training etc.) required for each component/task listed in 3.3 and their costs (see Attachment A).

3.5 Expected Benefits and Risks

List, and quantify if possible, the expected benefits of the activity. Include benefits to specific vulnerable groups, such as women, prisoners, children, persons with a disability, etc. Discuss the appropriateness of the activities to the social, economic and local skills level. Consider any risks that might affect the success of the activities and what would be done in such situations.

3.6 Sustainability

Describe how activity outcomes will be sustained when Australian funding ends.

4 PROPOSAL IMPLEMENTATION

4.1 Implementing Agency(s) and Arrangements

Describe the implementing and coordinating agencies, their technical and administrative skills and their experience and expertise in relation to the proposal.

4.2 Monitoring

Identify the performance indicators to be used to monitor the proposal's achievements against its stated objectives.

STANDARD BUDGET FORMAT

	AusAID \$ AUD	Implementing Organisation \$ AUD	Other Donors \$ AUD
Inputs: Personnel			
Name/position/function/time dedicated to Proposal			
Staff Costs			
Travel Costs			
Inputs: Non-Personnel			
Materials, Equipment, Freight, Commodities, Insurance, (<i>attach a separate list of assets</i>)			
Training Costs			
Other (<i>specify</i>)			
Support Costs			
Communications			
Report Preparation			
Vehicle/Transport Costs			
Field Office Costs			
Other (<i>specify</i>)			
TOTAL			

Personnel Costs

Personnel are staff dedicated to the proposal.

Non-Personnel Costs

Direct activity inputs, eg materials, equipment, training costs.

Support Costs

Communications, report preparation, vehicle costs and other costs directly attributable to the successful management of the proposal.



Australian Government

AusAID

GUIDING PRINCIPLES

FOR AUSTRALIAN ASSISTANCE FOR FAMILY PLANNING ACTIVITIES

Australia supports a reproductive health approach to family planning activities based on the following guiding principles:

- Individuals should decide freely the number and spacing of their children and have the information and means to exercise this choice.
- Women and men should have access to the widest possible range of safe and effective family planning methods and should participate fully in defining the family planning services they need.
- Family planning programs should cater for all people who may be sexually active.
- Australia's assistance should actively work towards improving the quality of care in family planning programs by (but not limited to):
 - involving communities in planning programs appropriate to their needs;
 - increasing the choice of family planning methods available;
 - improving the skills and competence of family planning service providers;
 - providing accurate information and confidential counselling for clients;
 - providing follow-up advice and services to clients;
 - ensuring affordable, acceptable and accessible services.

NOTE:

- *Australian aid funds are not available for activities that involve abortion training or services, or research, trials or activities, which directly involve abortion drugs.*
- *Australian aid funds can only be used to purchase contraceptives which are registered in Australia: monthly cycle oral contraceptive pills; emergency contraceptive pills; barrier methods (including condoms, diaphragms, cervical caps), Depo Provera (three monthly injectable), Copper T and Multiload IUDs and Implanon (hormonal implant). It is not necessary that the particular brand or formula be registered in Australia.*



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GUIDING PRINCIPLES QUESTIONNAIRE

The *Guiding Principles Questionnaire* is to be used to screen all bilateral, regional, NGO Windows, ANCP Base-accredited NGO, SAS and other bilateral NGO projects which include a family planning component. The *Questionnaire* should be addressed in narrative form by the design team/NGO and form part of the Project Design Document/NGO activity proposal.

1. Are there any partner government policies which limit the ability of women and men to make free and informed choices about timing of childbirth and family size? If yes, how will these be addressed to ensure the project provides a voluntary approach to family planning?
2. How will women and men (in the recipient country) be involved in the design and management of the project's family planning activity?
3. How will local social, cultural and economic issues that impinge on the family planning component of the project be addressed? In particular, consider the differing roles and status of women and men.
4. Which key groups in the community support, and will be involved with, the family planning component of this project?
5. What family planning methods will be available in the project area? Will the available family planning methods be accessible and affordable to prospective clients?
6. What follow-up arrangements will there be for those who wish to change or cease using a family planning method? What arrangements will be made in regard to providing confidential services for clients?
7. What arrangements exist in regard to continuity of contraceptive supplies following completion of the project?
8. Will the project's activities (such as revolving funds or income generating activities) be accessible to people, regardless of numbers of children or contraceptive status?
9. What arrangements will be put in place for monitoring and evaluation against the *Guiding Principles*?
10. Describe any issues relating to the family planning component of this activity, which need to be addressed before the project can proceed. In particular, consider if any of these issues represent major risks.

NOTE:

- Australian aid funds are not available for activities that involve abortion training or services, or research, trials or activities, which directly involve abortion drugs.
- Australian aid funds can only be used to purchase contraceptives which are registered in Australia: monthly cycle oral contraceptive pills; emergency contraceptive pills; barrier methods (including condoms, diaphragms, cervical caps), Depo Provera (three monthly injectable), Copper T and Multiload IUDs and Implanon (hormonal implant). It is not necessary that the particular brand or formula be registered in Australia.



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Family Planning Checklist

The *Family Planning Checklist* is a tool for monitoring and reporting on the family planning component of projects funded under the Australian aid program. The contractor/NGO should answer the *Checklist* in narrative form.

NAME OF PROJECT:.....
NAME OF CONTRACTOR/NGO:.....
COUNTRY:.....
PERIOD COVERED BY THE CHECKLIST:.....

1. Has the project encountered any difficulties in ensuring the beneficiaries are able to make free and informed choices about the number, timing and spacing of their children?
 - If so, what were these difficulties?
 - How are these difficulties being addressed?
2. Are project beneficiaries able to choose freely from a wide range of family planning methods?
 - What is the range of methods available?
3. Do all project beneficiaries have access to accurate information about family planning?
 - What is the range of information available?
 - Is the quality of information adequate?
4. Please list all types of IEC (Information, Education and Communication) material developed or purchased with Australian aid funds during this reporting period. (Please note: it is the contractors/NGO’s responsibility to ensure that all Australian aid funded IEC material complies with the *Guiding Principles*.)
5. (Other questions as identified by the AusAID Activity Manager/NGO Section)

NOTE:

- Australian aid funds are not available for activities that involve abortion training or services, or research, trials or activities, which directly involve abortion drugs.
- Australian aid funds can only be used to purchase contraceptives which are registered in Australia: monthly cycle oral contraceptive pills; emergency contraceptive pills; barrier methods (including condoms, diaphragms, cervical caps), Depo Provera (three monthly injectable), Copper T and Multiload IUDs and Implanon (hormonal implant). It is not necessary that the particular brand or formula be registered in Australia.

Appendix 3

Human Rights Small Grants Scheme
Project Completion Report
(To be completed by the implementing organisation – due 3 months after the activity completion date)

Country: _____

Implementing Organisation: _____

Proposal Title: _____

Amount Approved (by AusAID): _____

Amount Spent: _____

CONSISTENCY WITH PROPOSAL OBJECTIVES

1. How has the proposal met its identified objectives? List the achievements against the original objectives:

2. If any anticipated outputs were not achieved, what were they and why were they not achieved?

3. What aspects of the proposal were particularly successful?

4. What changes to the proposal would have enhanced the outcome?

FINANCIAL ACQUITTAL

	AusAID \$ AUD	Implementin g Organisation \$ AUD	Other Donors \$ AUD
Activity Personnel Inputs			
Activity Non-Personnel Inputs			
Activity Support Costs			
TOTAL			

Declaration and Acquittal

An appropriately authorised officer of the funded organisation must make the following declaration.

“I declare that:

- this report is complete and accurate;
- the acquittal is a correct record of income and expenditure for this proposal;
- the expenditure detailed in the acquittal has been extracted from the organisation’s financial accounting records;
- a detailed record of income and expenditure at an individual item level is available;
- the funds allocated to this proposal were used in accordance with the Exchange of Letters and the Activity Proposal, including any variations to the Proposal approved by AusAID in writing.”

Signature:

Full Name:

Position in the Organisation:

Date:

Noted at Post by (Name, Position, Date)