

ANNEX I

UNESCO PARTICIPATION PROGRAMME 2012-2013

FORM FOR SUBMISSION OF A REQUEST

To reach UNESCO, National Commission Malta,
Ministry of Education and Employment,
Great Siege Road, Floriana.

by 13th February 2012 at the latest.

This form is available on the Internet at the following address:

<http://www.unescomalta.org/>

Request number
(leave blank)

1. Request submitted by (name of country, territory or international NGO):

2. Title of project and place of implementation:

3. Order of priority (leave blank)

4. Dates of implementation of the project:

Commencement date _____

Termination date _____

Please take account of the fact that the first approvals will not be granted before June 2012.

5. Type of assistance requested:

Type of assistance	Implementation by UNESCO programme sectors, services concerned or field offices	Implementation by the beneficiary Financial contribution (in US \$)
Specialists and consultants – not including staff costs	<input type="checkbox"/>	
Study grants and fellowships	<input type="checkbox"/>	
Publications, periodicals, documentation, translation, reproduction	<input type="checkbox"/>	
Supplies and equipment (other	<input type="checkbox"/>	

than vehicles)		
Conferences, meetings, translation & interpretation services, participants' travel costs and any other services deemed necessary by common accord (not including those of UNESCO staff members)	<input type="checkbox"/>	
Seminars and training courses	<input type="checkbox"/>	
	Total	Total

6. Contribution from the Member State or INGO in US \$:(leave blank) _____

7. (a) Description of the **project**: (You may wish to attach further documentation).

(b) Detailed description of **estimated budget**: The budget must be drawn up in US \$
(provide three pro forma invoices for equipment)

(continue on a separate page, if necessary)

8. 36 C/5 activity to which this project relates:

36 C/5 paragraph No.	
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9. Geographical coverage of the project (tick the appropriate box): (leave blank)

National	
Subregional (1)	
Interregional (1)	
Regional (2)	

(1) Project supported by at least two Member States (leave blank) _____
(attached form in Annex II,
to be completed by the Member States)

(2) Regional project supported by at least three Member States (leave blank) _____
(form in Annex IV)

10. Name of the body responsible for carrying out the project:

11. Beneficiary institution(s): name, address, telephone no., fax no.

12. In the case of financial contributions, please tick the appropriate box:

Method of payment

by bank transfer to the National Commission or to the ministry responsible (recommended for reasons of reliability and speed). Payment to a third party is not authorized.

Account holder: _____

Account number: _____

SWIFT code and other bank code: _____

Name of the bank in full: _____

Name of the branch: _____

Address of the branch: _____

(In addition, please supply a statement of account information)

Currency of payment

US dollars euro other _____

or Exceptionally, via field office upon UNESCO HQ approval.
In this case the approved projects will be implemented by the field office concerned.

13. The applicant accepts the conditions set out in 36 C/Resolution 69 on the Participation Programme, adopted

by the General Conference at its 36th session.

Date

Stamp and signature:
of the Secretary-General of the National Commission
for UNESCO or of the recognized representative
of the government (1) or of the international
non-governmental organization in an
official partnership with UNESCO

(1) In Member States where there is no National Commission

ANNEX III
PARTICIPATION PROGRAMME 2012-2013
FINANCIAL REPORT

Which must be sent to UNESCO, ERI/NCS/PPE Section
(Fax: +33 1 45 68 55 34) on completion of the project

Country (or INGO) _____

Number and title of the request: _____

In pursuance of 36 C/Resolution 69 adopted by the General Conference concerning the principles and conditions governing the Participation Programme:

1. I hereby certify that the financial contribution of **US \$** _____ received from UNESCO for the above request has been fully/partially () spent, in accordance with the purposes for which it was granted, as follows:

	US \$
(a) _____	_____
(b) _____	_____
(c) _____	_____
(d) _____	_____
(e) _____	_____
(etc.) _____	_____

TOTAL _____

Unspent balance to be returned to UNESCO _____

2. I undertake to keep **all supporting documents (receipts, contracts, invoices, etc.)** in respect of the use made of this financial contribution for a period of five years after the end of the biennium concerned and to provide them to UNESCO when it or its External Auditor so requests, failing which unsupported amounts will be reimbursed to UNESCO.

3. For a regional project, the Member State or group of Member States which submitted the request is responsible for filling in this form.

Date	Stamp and signature (**) (of the financial officer)	Stamp and signature (**) (name of the Secretary-General of the National Commission or of the international non-governmental organization)
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* Delete as appropriate.
** Both signatures are required.

ANNEX V

36 C/Resolution 69

69 Participation Programme¹

The General Conference

I

1. *Authorizes* the Director-General:
 - (a) to implement the Programme of Participation in the activities of Member States, in accordance with the following principles and conditions;
 - (b) to allocate for this purpose an amount of \$17,917,800 for direct programme costs, and *requests* the Director-General to use the funds remaining and available after the closing of the accounts corresponding to document 35 C/5 in order to maintain the budgetary level of the Participation Programme at a level which will not be lower than that contained in document 35 C/5;
 - (c) to further allocate for this purpose an amount of \$53,100 for operating costs and an amount of \$1,112,500 for staff costs.

A. Principles

1. The Participation Programme is one of the means employed by the Organization to achieve its objectives, through participation in activities carried out by Member States or Associate Members, or by territories, organizations or institutions, in its fields of competence. This participation is designed to strengthen the partnership between UNESCO and its Member States and make that partnership more effective through a sharing of contributions.
2. Under the Participation Programme, priority will be given to proposals submitted by least developed countries (LDCs), developing countries, post-conflict and post-disaster countries, small island developing States (SIDS), countries in transition and middle income countries.
3. Requests shall be submitted to the Director-General by the Member States through the National Commissions for UNESCO or, where there is no National Commission, through a designated government channel.
4. The projects or action plans submitted by the Member States under the Participation Programme must relate to the priorities of the Organization, in particular to the major programmes, interdisciplinary projects, and activities to benefit Africa, youth and gender equality, the least developed countries, developing countries, post-conflict and post-disaster countries, small island developing States (SIDS) and countries in transition, and to the activities of the National Commissions for UNESCO. In the selection of Participation Programme projects, due account will be taken of the priorities defined by the governing bodies for UNESCO's regular programme.
5. Each Member State may submit 10 requests or projects, which must be numbered in order of priority from 1 to 10. Requests or projects from national non-governmental organizations will be included in the quota submitted by each Member State.
6. The order of priority laid down by the Member State may only be changed by the National Commission itself and before the start of the approval process.
7. The international non-governmental organizations in an official partnership with UNESCO, of which the list is established by the Executive Board, may submit up to two requests under the Participation Programme for projects with subregional, regional or interregional impact, provided that their request is supported by at least the Member State where the project will be implemented and another Member State concerned by the request. In the absence of supporting letters, none of these requests may be considered.
8. Requests should be submitted as soon as possible at the beginning of the biennium and no later than the deadline set for the submission of requests, 28 February 2012, except for requests for emergency assistance or a regional project, which may be submitted at any time in the biennium.
9. The Secretariat shall advise Member States of the response by the Director-General to the requests within three months of the deadline of 28 February 2012.
10. *Beneficiaries.* Assistance under the Participation Programme may be accorded to:
 - (a) Member States or Associate Members upon request through their National Commissions or, where there is no National Commission, through a designated government channel, to promote activities of a national character. For activities of a subregional or interregional character, requests are submitted by the National Commissions of the Member States or Associate Members on whose territory they take place; these requests must be supported by at least two other National Commissions of participating Member States or Associate Members. For activities of a regional character, requests are limited to three by region and must be submitted by one Member State or a group of Member States. These requests must be supported by at least three Member States (or Associate Members) concerned and will not come within the quota of 10 requests submitted by each Member State; they will be

¹ Resolution adopted on the report of the PRX Commission at the 15th plenary meeting, on 9 November 2011.

- evaluated and screened by the Secretariat in accordance with the procedure established for the processing of requests submitted under the Participation Programme;
- (b) a non-self-governing or trust territory, upon the request of the National Commission of the Member State responsible for the conduct of the territory's external relations;
 - (c) international non-governmental organizations in an official partnership with UNESCO as defined in paragraph 7 above.
11. *Forms of assistance.* The applicant chooses the form of assistance, and may request either:
- (a) a financial contribution, or
 - (b) implementation by UNESCO at Headquarters or in the field. In both cases, assistance may take the following forms:
 - (i) the services of specialists and consultants, not including staff costs and administrative support;
 - (ii) fellowships and study grants;
 - (iii) publications, periodicals and documentation;
 - (iv) equipment (other than vehicles);
 - (v) conferences, meetings, seminars and training courses: translation and interpretation services, participants' travel costs, the services of consultants, and other services deemed necessary by all concerned (not including those of UNESCO staff members).
12. *Total amount of assistance.* Whichever of the above forms of assistance is requested, the total value of the assistance provided for each request shall not be in excess of \$26,000 for a national project or activity, \$35,000 for a subregional or interregional project or activity and \$46,000 for a regional project or activity. The financial provision made by the applicant must be sufficient to implement the activity satisfactorily. The activity must be executed and all funds disbursed in accordance with the Financial Regulations of the Organization. The expenditures must be made according to the distribution of the budget as approved by the Director-General and communicated to Member States in the letter of approval.
13. *Approval of requests.* When deciding upon a request, the Director-General shall take into account:
- (a) the total amount approved by the General Conference for this Programme;
 - (b) the assessment of the request made by the relevant sector(s);
 - (c) the recommendation of the Intersectoral Committee on the Participation Programme chaired by the Assistant Director-General for External Relations and Public Information and responsible for screening the Participation Programme requests, which are to be in conformity with the well-established criteria, procedures and priorities;
 - (d) the contribution that such participation can effectively make to the attainment of Member States' objectives in UNESCO's fields of competence, and within the framework of the major priorities of the Medium-Term Strategy (C/4) and the Programme and Budget (C/5) approved by the General Conference, with which participation must be closely linked;
 - (e) the need to establish an equitable balance in the distribution of funds, by giving priority to Africa, least developed countries (LDCs), gender equality and youth as well as developing countries and countries in transition and small island developing States (SIDS), which need to be mainstreamed throughout all programmes;
 - (f) the need to ensure that funding for each approved project is, as far as possible, allocated no later than 30 days before the date set for the start of the implementation of the project concerned, and in accordance with the conditions laid down in paragraph B.15(a).
14. *Implementation:*
- (a) the Participation Programme will be implemented within the biennial programme of the Organization, of which it forms an integral part. The implementation of the activities set out in a request is the responsibility of the Member State or other applicant. The request submitted to the Director-General must show specific scheduled commencement and termination dates for the implementation of projects, cost estimates (in United States dollars) and promised or expected funding from the Member States or private institutions;
 - (b) the results of the Participation Programme will be made known with a view to the planning and implementation of the Organization's future activities. The activity reports and sexennial reports, submitted after completion of each project by Member States, will be used by the Secretariat to evaluate the Participation Programme's impact and results in Member States and its consistency with the objectives and priorities set by UNESCO. An evaluation by the Secretariat may also be undertaken while the project is being carried out; the list of beneficiaries submitting reports late will be transmitted to the governing bodies;
 - (c) the use of UNESCO's name and logo for the activities approved under the Participation Programme, in accordance with the directives approved by the governing bodies, will give this programme a higher profile when it is carried out at the national, subregional, regional or interregional levels, and the beneficiaries will report on the results recorded in this way.

B. Conditions

15. *Assistance under the Participation Programme* will be provided only if the applicant, when sending in the written requests to the Director-General, accepts the following conditions. The applicant shall:

- (a) assume full financial and administrative responsibility for implementing the plans and programmes for which participation is provided; in the case of a financial contribution, submit to the Director-General, at the close of the project, an itemized statement accounting for the activities executed (financial report in United States dollars) and certifying that the funds allocated have been used for the implementation of the project, and return to UNESCO any balance not used for project purposes. This financial report must be submitted by 30 April 2014 at the latest. It is understood that no new financial contribution will be paid until the applicant has submitted all the requisite financial reports or returned the contributions paid out. The financial reports shall be signed by the competent authority and certified by the Secretary-General of the National Commission. Also, given the need for proper accountability, all the additional supporting documents necessary shall be kept by the applicant for a period of five years after the end of the biennium concerned and provided to UNESCO or the auditor upon written request. In certain exceptional cases or in unavoidable circumstances, the Director-General may decide on the most appropriate way to handle requests, in particular through implementation by a field office concerned, provided that she duly informs the Executive Board;
- (b) undertake to provide on a compulsory basis, together with the financial report mentioned in subparagraph (a) above, a detailed activity report on the results of the projects financed and their usefulness for the Member State or States and UNESCO; in addition, a sexennial report on the impact of the Participation Programme shall be prepared by each beneficiary on a cycle aligned with the Medium-Term Strategy (C/4);
- (c) pay, where participation is accorded in the form of study grants, the cost of the grantholders' passports, visas, medical examinations and salaries while they are abroad, if they are in receipt of a salary; help them to find suitable employment when they return to their countries of origin in accordance with national regulations;
- (d) maintain and insure against all risks any property supplied by UNESCO, from the time of its arrival at the point of delivery;
- (e) undertake to cover UNESCO against any claim or liability resulting from the activities provided for in this resolution, except where it is agreed by UNESCO and the National Commission of the Member State concerned that such claim or liability arises from gross negligence or wilful misconduct;
- (f) grant to UNESCO, with regard to activities to be carried out in connection with the Participation Programme, the privileges and immunities set out in the 1947 Convention on the Privileges and Immunities of the Specialized Agencies.

C. Emergency assistance

16. *Criteria for according emergency assistance by UNESCO:*

- (a) Emergency assistance may be accorded by UNESCO when:
 - (i) there are insurmountable circumstances nationwide (earthquakes, storms, cyclones, hurricanes, tornadoes, typhoons, landslides, volcanic eruptions, fires, droughts, floods or wars, etc.), which have catastrophic consequences for the Member State in the fields of education, science, culture or communication and which it cannot overcome on its own;
 - (ii) multilateral emergency assistance efforts are being undertaken by the international community or the United Nations system;
 - (iii) the Member State requests UNESCO to provide emergency assistance, in accordance with (i) and (ii) above, in the fields of its competence, through its National Commission or an established government channel;
 - (iv) the Member State is prepared to accept the Organization's recommendations in the light of the present criteria.
- (b) UNESCO emergency assistance should be restricted to the Organization's fields of competence and should only begin once the threat to life has been overcome and the physical priorities have been met (food, clothing, shelter and medical assistance); it shall also take account of the policy followed by the intersectoral platform for support to countries in post-conflict and post-disaster situations.
- (c) UNESCO emergency assistance should be concentrated on:
 - (i) assessing the situation and the basic requirements;
 - (ii) providing expertise and formulating recommendations on resolving the situation in its fields of competence;
 - (iii) helping to identify outside funding sources and extrabudgetary funds;
 - (iv) the urgent needs as identified by the Member States in the case of emergency assistance in cash or kind.
- (d) no administrative support or personnel costs shall be financed through emergency assistance.
- (e) the total budget for any emergency assistance project shall not exceed \$50,000; it may be supplemented by extrabudgetary funds identified for this purpose or other sources of funding.
- (f) emergency assistance shall not be provided if the Member State's request may be met within the ordinary Participation Programme.
- (g) emergency assistance shall be provided in coordination with other United Nations agencies.

17. *Procedures to be followed when providing emergency assistance:*

- (a) faced with an emergency situation, a Member State, through its National Commission or the designated government channel, will identify, as appropriate, its needs and the type of assistance it requires from UNESCO, within UNESCO's fields of competence; a specific form will be available for the submission of this type of request; a provisional budget as well as pro-forma invoices in case of equipment should be provided.
- (b) the Director-General shall then inform the Member State, through the National Commission or established channel, of her decision.
- (c) when appropriate, and in agreement with the Member State, a technical assessment mission will be sent to appraise the situation and report to the Director-General.
- (d) the Secretariat shall report to the Member State on the assistance and the amounts it envisages providing and the follow-up, if any, which could be considered; the total value of the assistance provided shall not be in excess of \$50,000.
- (e) in the case of goods or services to be supplied by UNESCO, there shall be no international competitive bidding if the situation requires urgent action.
- (f) an evaluation report and a financial report shall be submitted by the Member State after completion of the project.

II

2. *Invites* the Director-General:

- (a) to communicate without delay, in order to enhance the presentation, follow-up and evaluation of the projects submitted under the Participation Programme, to the National Commissions for UNESCO or, where there is no National Commission, through the designated government channel, the reasons for modifying or denying the requested amounts;
- (b) to inform the National Commissions, or where there is no National Commission, the designated government channel, of all projects and activities undertaken by international non-governmental organizations in their respective countries with support from the Participation Programme;
- (c) to provide to the Executive Board at every autumn session a report containing the following information:
 - (i) a list of applications for contributions from the Participation Programme received in the Secretariat;
 - (ii) a list of the projects approved under the Participation Programme and those under emergency assistance, together with the amounts approved to finance them, and any other costs and support connected with them;
 - (iii) with regard to international non-governmental organizations, a list drawn up along the same lines as that provided for in (ii) above;
- (d) to ensure that the percentage of the Participation Programme funds for emergency assistance, international non-governmental organizations and regional activities does not exceed 7%, 5% and 3% respectively of the allocated amount for the Participation Programme for a given biennium;
- (e) to seek extrabudgetary funds to supplement the emergency assistance programme for 2012-2013 as needed;
- (f) to identify ways and means of strengthening the Participation Programme in the forthcoming biennium for the benefit of the least developed countries (LDCs), developing countries, post-conflict and post-disaster (PCPD) countries, small island developing States (SIDS) and countries in transition.

3. *Requests* the Director-General to report in the statutory reports on the achievement of the following expected results:

- (1) formulation, evaluation and follow-up of requests improved to enhance complementarity between the activities planned as part of the Programme and Budget and those supported under the Participation Programme, ensuring conformity with the major priorities of the Medium-Term Strategy (C/4) and the Programme and Budget (C/5);
- (2) implementation of adjustable strategies to meet the special and urgent needs of some groups of countries with common characteristics improved;
- (3) Participation Programme impact and accountability mechanisms strengthened through enhanced information and communication with Member States at all stages of programme execution.

ANNEX VI

PARTICIPATION PROGRAMME 2012-2013

30 benchmarks

The purpose of these benchmarks is to guide Member States, Associate Members and international NGOs in their project formulations for the Participation Programme. We suggest you use them systematically when preparing each project.

A. The project must:

1. be related to UNESCO's mandate and fields of competence (<http://www.unesco.org/new/en/unesco/about-us/who-we-are/introducing-unesco/>);
2. support, in this connection, UNESCO's regular programme priority activities (36 C/5) (<http://unesdoc.unesco.org/images/0019/001919/191978e.pdf>);
3. preferably take account of UNESCO's two global priorities: Africa and gender equality;
4. pay particular attention to the participation of girls and women;
5. especially benefit least developed countries, developing countries, post-conflict and post-disaster countries, small island developing States, middle income countries and countries in transition, and in a sustainable manner;
6. contribute to intercultural and inter-ethnic dialogue and reconciliation in an impartial manner and without favouring specific political or religious groups;
7. contribute to promoting UNESCO's visibility in the Member State;
8. conform to the Organization's ethical standards and not present a conflict of interest in the case of candidatures (study grants).

B. The information provided on the project must also clearly show:

9. an explicit title (for example, National Workshop on "The Impact of Climate Change on Cultural Heritage in X: case of the Y Medina");
10. classification in the order of priority given to the requests;
11. the project's aim and main objectives;
12. a reference to the paragraph of document 36 C/5 corresponding to the activity;
13. the name and status of the institution responsible for implementing the project's activities and of the beneficiary institution(s);
14. a description of the project, giving specific details of the activities proposed to meet the objectives and the dates of implementation;
15. a precise location for the implementation of the project (name of the province, town or quarter, if in a large city);

16. the beneficiary group targeted (youth, women, students, artists, indigenous peoples, etc.);
17. the partner institutions or groups (private and/or public);
18. a detailed description of the estimated budget in United States dollars and a well-defined breakdown for each item of expenditure;
19. the financial participation in the project by the Member State or any other agency/institution;
20. a detailed work plan, list of participants, programme of the workshops/conferences, objectives, publications (language(s), distribution/quantity).

C. We invite you to ensure that:

21. the project is submitted on the request form corresponding to the Director-General's circular letter for 2012-2013;
22. the order of priority takes into account the implementation date of the projects (those with the highest priorities shall be approved during the first year of the biennium);
23. at least three (3) competitive offers (pro forma invoices) for the purchase of professional goods and services in the amount of US \$2,500 and above are attached to the request form;
24. for ephemeral activities (such as conferences, meetings, festivals, training and so forth), the alternative of renting the necessary equipment is explored and, if the option to buy remains the best solution, that the final destination of the equipment after the event is indicated;
25. the administration costs and the purchase of means of transport are not covered by UNESCO's financial participation in the projected budget;
26. the necessary letters of support are attached to the request form for a subregional (2), interregional (2) or regional (3) project;
27. the INGOs submit the two (2) obligatory letters of support (otherwise, the projects shall not be submitted to the Intersectoral Committee);
28. the maximum amount requested corresponds to the geographical scope of the project, which is US \$26,000 for a national request, US \$35,000 for a subregional or interregional request and US \$46,000 for a regional request;
29. the title of the person who signs the request form and the stamp are clearly shown;
30. the expected results and the impact of the project are clearly indicated in the request form.