

**ANEXO IV**  
**Resolución 40 C/5**

*La Conferencia General*

**A. Programa de Participación**

1. Autoriza a la Directora General a seguir ejecutando, durante el periodo 2020-2021, el Programa de Participación en las actividades de los Estados Miembros, de conformidad con los principios y condiciones aprobados por la Conferencia General en su 40ª reunión;
2. Invita a la Directora General a:
  - a) comunicar sin demora a las comisiones nacionales para la UNESCO o, en su defecto, al cauce oficial designado, las razones por las cuales se modifican o deniegan las cantidades solicitadas, para que así se puedan mejorar la formulación, el seguimiento y la evaluación de los proyectos presentados en el marco del Programa de Participación;
  - b) informar a las comisiones nacionales o, en su defecto, al cauce oficial designado, de todos los proyectos y actividades ejecutados en sus respectivos países por organizaciones internacionales no gubernamentales con apoyo del Programa de Participación;
  - c) presentar al Consejo Ejecutivo, en cada una de sus reuniones de otoño, un informe que contenga la siguiente información:
    - (i) una lista de los proyectos aprobados como parte del Programa de Participación o de la ayuda de emergencia, en la que se indiquen las cantidades aprobadas para financiar dichos proyectos y cualquier otro gasto o tipo de apoyo conexo;
    - (ii) con respecto a las organizaciones internacionales no gubernamentales, una lista análoga a la que se prevé en el inciso i) supra;
  - d) velar por que el porcentaje de los fondos del Programa de Participación destinado a la ayuda de emergencia, a las organizaciones internacionales no gubernamentales y a las actividades regionales no sea superior al 7%, al 5% y al 3%, respectivamente, de la cuantía total asignada al Programa de Participación para el ejercicio en cuestión;
  - e) recabar fondos extrapresupuestarios para complementar el programa de ayuda de emergencia para 2020-2021 según sea necesario;
  - f) determinar medios que permitan reforzar el Programa de Participación durante el próximo ejercicio bienal en beneficio de los países menos adelantados, los países en desarrollo, los países en situaciones posteriores a conflictos o desastres, los pequeños Estados insulares en desarrollo y los países en transición;
3. Pide a la Directora General que en los informes reglamentarios dé cuenta periódicamente a los órganos rectores de la ejecución del programa aprobado por la Conferencia General y de la consecución del siguiente resultado esperado:

1) Mejora significativa de la gestión del programa para lograr mayor transparencia, fortalecer los mecanismos de rendición de cuentas, promover la imagen de la Organización, intensificar los efectos de su acción y dar prioridad efectiva a África y otros países considerados objetivos prioritarios (países menos adelantados, pequeños Estados insulares en desarrollo, países en desarrollo y países en situaciones posteriores a conflictos o desastres);

## **B. Programa de Becas**

1. Autoriza a la Directora General a seguir aplicando, durante el periodo 2020-2021, el plan de acción para el Programa de Becas con miras a:

a) contribuir a mejorar los recursos humanos y la creación de capacidades de los países en ámbitos estrechamente relacionados con los objetivos estratégicos y las prioridades del programa de la UNESCO, en particular “África” e “Igualdad de género”, mediante la concesión y administración de becas;

b) negociar con los donantes interesados acuerdos de participación, en efectivo o en especie, para financiar becas mediante programas de copatrocinio;

c) explorar las posibilidades de fortalecer el Programa de Becas mediante alianzas con entidades de la sociedad civil y organizaciones no gubernamentales;

2. Pide a la Directora General que en los informes reglamentarios dé cuenta periódicamente a los órganos rectores de la ejecución del programa aprobado por la Conferencia General y de la consecución del siguiente resultado esperado:

(1) Armonización de los ámbitos temáticos con los objetivos estratégicos de la Organización. Capacitación de becarios (de África y países menos adelantados en particular) en ámbitos programáticos prioritarios gracias a la transferencia de conocimientos y al perfeccionamiento de las competencias en niveles universitario y de posgrado;

## **C. Consignación de créditos al Programa de Participación y al Programa de Becas**

1. Autoriza a la Directora General a:

(a) asignar al Programa de Participación, para el periodo 2020-2021, la siguiente cantidad del presupuesto integrado con cargo a todas las fuentes de financiación:

○ en la hipótesis de un presupuesto ordinario de 507, 518 o 523,6 millones de dólares: 11 025 200 dólares;

○ en la hipótesis de un presupuesto ordinario de 534,6 millones de dólares: 11 081 100 dólares;

(b) asignar también al Programa de Becas, para el periodo 2020-2021, la siguiente cantidad del presupuesto integrado con cargo a todas las fuentes de financiación, a fin de cumplir las obligaciones contraídas por la UNESCO en virtud de los acuerdos de participación con los donantes en el marco de los programas de copatrocinio de becas:

○ en la hipótesis de un presupuesto ordinario de 507, 518 o 523,6 millones de dólares: 842 100 dólares;

○ en la hipótesis de un presupuesto ordinario de 534,6 millones de dólares: 842 100 dólares;

(c) asignar además, para el periodo 2020-2021, la siguiente cantidad del presupuesto integrado con cargo a todas las fuentes de financiación, para gastos de personal y funcionamiento de la unidad encargada del Programa de Participación y del Programa de Becas:

- en la hipótesis de un presupuesto ordinario de 507, 518 o 523,6 millones de dólares: 1 580 700 dólares;
- en la hipótesis de un presupuesto ordinario de 534,6 millones de dólares: 1 580 700 dólares.

### **39 C/Resolution 61**

#### **I. Participation Programme: Principles and conditions**

##### **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. Member States with high annual GDP per capita as established by the World Bank are invited to refrain from submitting requests.
4. Requests shall be submitted online by the Member States through the National Commissions for UNESCO or, where there is no National Commission, through a designated government channel.
5. The projects or action plans submitted by the beneficiaries 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, as well as activities of the National Commissions for UNESCO with a specific reference to the paragraph of the C/5 document corresponding to the activity. It is understood that no financing will be provided for supplies and equipment which are not directly linked to operational works within the framework of these projects or for the recurrent costs of the beneficiary organizations.
6. Each Member State may submit seven requests or projects, which must be numbered in an indicative order of priority from one to seven. Requests or projects from national non-governmental organizations will be included in the quota submitted by each Member State.
7. The indicative order of priority laid down by the Member State may only be changed by the Secretariat following consultation with the National Commission itself based on the evaluations of the programme sectors. Member States must include at least one gender-equality project among their first four priorities.
8. Non-governmental organizations in an official partnership with UNESCO 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 is to be implemented and another Member State concerned by the request. In the absence of supporting letters, no such requests may be considered.

9. *Submissions:*
- (a) requests should be submitted by the following deadlines: the last working day of February of the first year of the biennium for Africa, small island developing States (SIDS) and least developed countries (LDCs), and the last working day of August of the first year of the biennium for all other eligible countries, except for requests for emergency assistance, which may be submitted at any time in the biennium;
  - (b) requests should, wherever possible, be submitted online, with a view to moving to exclusively online submissions in due course.
10. Following submission of requests online using the electronic form, acknowledgement of receipt is automatic. The Secretariat shall inform Member States of the response by the Director-General to the requests as soon as possible.
11. *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 are to 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 two per region and must be submitted by one Member State or a group of Member States. Such requests must be supported by at least three Member States (or Associate Members) concerned, and will not come within the quota of seven requests submitted by each Member State; they will be 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) non-governmental organizations in an official partnership with UNESCO.
12. *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, material, supplies (for operational programme purposes in accordance with the list of benchmarks annexed to the Participation Programme circular letter of the Director-General sent at the beginning of each biennial budget cycle);

- (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).
13. *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, \$28,000 for a subregional or interregional project or activity, and \$38,000 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.
14. *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 the Participation 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 (ADG/ERI) 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. In this regard, an appropriate selection criterion such as annual GDP per capita, established by the World Bank and/or the scale of assessment of Member States' contributions to UNESCO, is to be considered by the Secretariat since, in general, the funds requested by Member States by far exceed those available. In addition, the Secretariat will establish the relevant financial ceilings, to be communicated to Member States, based on their status as LDCs, SIDS, developing countries or middle-income countries. Member States with high annual GDP per capita, as established by the World Bank, are invited to refrain from submitting requests;
  - (f) the need to ensure that funding for each project approved 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 15(a).
15. *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 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 the 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**

16. 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 the last working day of March following the end of each biennium 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.
- (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 grant-holders' 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**

#### **17. 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 in support of 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.

18. *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; the form for the submission of requests may be used for 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 his or 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.



## ANNEX V

### PARTICIPATION PROGRAMME 2020-2021

#### LIST OF BENCHMARKS

**The purpose of these benchmarks is to guide Member States, Associate Members and NGOs in an official partnership with UNESCO in their project formulations for the Participation Programme.**

**A. The project must:**

1. be related to UNESCO's mandate and fields of competence (40 C/5 – <https://unesdoc.unesco.org/ark:/48223/pf0000367155>);
2. support, in this connection, UNESCO's Regular Programme priority activities (40 C/5 – <https://unesdoc.unesco.org/ark:/48223/pf0000367155>);
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, in a sustainable manner, African countries, least developed countries (LDCs), developing countries, post-conflict and post-disaster countries, small island developing States (SIDS) and middle-income countries;
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; and,
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 Y");
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 40 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 district, if in a large city);
16. the beneficiary group targeted (youth, women, students, artists, 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; and
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 online request form ([www.unesco.org/pp](http://www.unesco.org/pp)) for 2020-2021;
22. the order of priority takes into account the implementation date of the projects;
23. at least two (2) competitive offers (pro forma invoices) for the purchase of professional goods and services in the amount of \$5,000 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 (two), interregional (two) or regional (three) project;
27. the NGOs in an official partnership with UNESCO 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 \$26,000 for a national request, \$28,000 for a subregional or interregional request and \$38,000 for a regional request;
29. the name and title of the person who signs the request form and the stamp are clearly shown; and
30. the expected results and impact of the project are clearly indicated in the request form.
31. The **financial reports** should use the same breakdown of expenditures as that of the budget approved by the Director-General. They should be expressed in United States dollars and contain a detailed and accurate statement of expenditure, duly certifying that the funds allocated have been used for the implementation of the project, together with an annex in the currency used for the implementation of activities. Copies of the supporting documents (receipts, contracts, invoices, etc.) should be submitted no later than three months after the deadline for the submission of financial reports. A **bank statement** showing the receipt of funds in local currency should always be included.
32. Any entity that has not provided the financial reports before the deadline of 30 March 2020 will not be eligible for any other contract with UNESCO.
33. The **project evaluation reports** should contain a detailed description of the implementation of the projects and the results obtained.

**Equipment and supplies for which funding is not authorized under the Participation Programme**

In 39 C/Resolution 61 on the Participation Programme, Part A – Principles, paragraph 5, it is stipulated that no financing will be provided for supplies and equipment that are not directly linked to operational works within the framework of projects submitted. Unauthorized items include:

- furniture (e.g. tables, chairs, bookcases)
- TV-video equipment and accessories (e.g. home cinemas, LCD or plasma screens, DVD players/recorders, camcorders, stereos)
- IT equipment such as software and touchscreen tablet computers
- appliances (e.g. vacuum cleaners, air conditioners, refrigerators, microwave ovens)
- peripheral devices (hard disk, USB key, printer)
- office supplies (ink cartridges, toner, paper)