



United Nations  
Educational, Scientific and  
Cultural Organization

# Handbook on the Participation Programme

Sector for External Relations and Cooperation, Division of Relations with  
Organizations and New Partnerships Participation Programme and Fellowships Section

# ***H*andbook to the *Participation* *Programme***

Sector for External Relations and Cooperation

Division of Relations with Organizations and New Partnerships

Participation Programme and Fellowships Section

(ERC/RPO/PPF)

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# Foreword

The scale of development needs poses great challenges for the international community. Conscious of the urgency of addressing these challenges, UNESCO contributes to capacity-building in its Member States, the building of peace, the eradication of poverty, sustainable development and intercultural dialogue through education, the sciences, culture, communication and information, and supports the Millennium Development Goals and the pursuit of fairness in globalization. In all its activities, UNESCO aims to improve living conditions for the underprivileged and build up the capacities of its Member States, with a view to ensuring that projects financed within the framework of the Participation Programme have tangible and lasting effects.

In this context, the Participation Programme is an important tool for UNESCO, with regard to satisfying various needs of the Member States that are not taken into account by the Programme and Budget. The Participation Programme serves as a vital complement to UNESCO's regular activities through the analysis and evaluation and the facilitation of the implementation of national, subregional, regional and inter-regional projects directly related to the activities of the Organization. It is also a means for UNESCO to strengthen its partnerships with its Member States and with international non-governmental organizations. Thus, the Participation Programme enhances the inclusive and generous spirit of UNESCO's noble mission.

In the current 2010-2011 biennium the Participation Programme, operating with a budget of \$19 million, will continue to provide assistance to Member States, Associate Members and international non-governmental organizations. To ensure a more equitable distribution of funds, priority will be given to least developed countries (LDCs), developing countries, post-conflict and post-disaster countries, small island developing States (SIDS) and countries in transition. Emergency assistance grants, which for the current biennium are capped at \$50,000, will be used to meet the urgent needs of Member States that have suffered natural disasters or are facing exceptional circumstances. Better results-oriented management and monitoring and better evaluation of the impact of projects, implemented on the basis of financial reports and

project evaluation reports, are expected to enhance the quality of services provided under the Programme.

This Handbook provides essential information on the rules and procedures of the Participation Programme and the emergency assistance scheme. It explains the Programme's objectives, guiding principles and implementation procedures as well as the conditions and criteria that must be met when applying for emergency assistance. Finally, it contains practical information on the preparation of financial reports and project evaluation reports, and forms for the submission of financial reports and requests for assistance. It is hoped that this Handbook will facilitate participation in the Programme and so help to enhance the quality and efficiency of UNESCO's activities.

**Ahmed Sayyad**

Assistant Director-General  
for External Relations and Cooperation



# The Participation Programme

## I. Origins

Under UNESCO's Programme and Budget for 1955-1956 (8 C/5), assistance for unplanned activities was provided to Member States through a programme called "Technical Aid Services for Special Activities". The title "Participation Programme" was first used in the Programme and Budget for the following biennium (9 C/5, 1957-1958). In his introduction to document 9 C/5, in 1957, Director-General Luther Evans stated his belief that many of UNESCO's initiatives in the field of special activities should "... cross over to the Participation Programme... Many of the activities were initiated by the Organization only in a purely formal sense. **They were mostly brought to our attention by individual Member States who had inadequate opportunities of securing UNESCO's support in any other way.**"

## II. Current Programme and Budget

Since the 1950s, the Participation Programme has become an important part of the Programme and Budget. The **current budget approved** for the Participation Programme for 2010-2011 is US\$19 million.

The General Conference, at its 35th session, in October 2009, decided that for the 2010-2011 biennium the total value of the assistance provided for each request should not be in excess of \$26,000 for national projects, US\$35,000 for subregional or inter-regional projects and \$46,000 for regional projects. The amounts approved by the Director-General in 2010-2011 will be calculated on a case-by-case basis.

The General Conference also asked the Director-General to ensure that the percentages of the total amount allocated under the Participation Programme budget for 2010-2011 did not exceed 7% for emergency assistance, 5% for international non-governmental organizations and 3% for regional activities.

Present  
budget

Maximum  
amounts  
permitted for  
assistance

### III. Principles and Procedures

#### A. *Criteria and conditions*

At its 35th session, in October 2009, in 35 C/Resolution 67, the General Conference approved the criteria, conditions and procedures for the submission of Participation Programme requests (see **Annex V** for the text of the Resolution).

The Participation Programme complements UNESCO's planned activities by allowing Member States to analyse and evaluate their countries' needs in relation to the Organization's activities and to implement projects that would not have been accepted under the Programme and Budget. UNESCO is the specialized agency of the United Nations with specific responsibility for education, natural sciences, social and human sciences, culture and communication. Projects approved under the Participation Programme are often a preparation for large-scale national projects, which are themselves funded by international funding agencies or the national budget of the Member State.

Member States submit Participation Programme requests to the Director-General via their National Commission for UNESCO or, where there is no National Commission, through a designated government channel. The National Commissions are the principal intermediary between Member States and UNESCO. In order to identify the needs of Member States and then to plan projects, the normal procedure is for the National Commission to bring together national specialists who will then identify projects that have been or are being formulated and which require assistance, sometimes in their totality and sometimes as a complement to the resources that the country is able to provide. The National Commission examines the projects to ensure that all the information required by the General Conference resolution on the Programme has been provided. The National Commission is obliged to make a selection, as the number of projects put forward usually exceeds the number that the country is entitled to submit (see (e) below). When preparing and submitting requests, National Commissions may, if necessary, consult the UNESCO Office in the region and the Participation Programme and Fellowships Section at Headquarters in Paris.

A form for the submission of projects is provided in **Annex I** of the Circular Letter (CL) that is issued for each biennium (the text of circular letter CL/3906 for 2010-2011 can be found in Annex I of this Handbook). This letter is sent to all ministers responsible for relations with UNESCO, National Commissions, Permanent Delegations and international non-



governmental organizations maintaining formal or operational relations with UNESCO, a list of which is established by the Executive Board.

## ***B. Basic principles***

- (a) Assistance may be given only to: Member States, Associate Members or territories, and international non-governmental organizations maintaining formal or operational relations with UNESCO. Member States should present Participation Programme requests to the Director-General via their National Commission for UNESCO or, where there is no National Commission, through a designated government channel.
- (b) The written communication from a Member State, Associate Member or international non-governmental organization submitting a Participation Programme request should include the clause relating to the acceptance of the conditions governing the implementation of projects approved under the Programme. The acceptance clause for projects submitted in 2010-2011 may be found in paragraph B.15 of 35 C/Resolution 67.

### ***(Extracts from the acceptance clause)***

The applicant shall:

- (i) assume full financial and administrative responsibility for implementing the plans and programmes for which participation is provided;
- (ii) 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 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 (see **Annex III** of CL/3906). 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 [for projects previously approved by the Director-General and for which payments were effected prior to 31 December 2008, and which have been certified by the competent authority];
- (iii) undertake to provide on a compulsory basis a detailed activity report on the results of the projects financed and their usefulness for the Member State or the international non-governmental organizations (INGO). By virtue of paragraph B.15, the applicant accepts the conditions set out in 35 C/ Resolution 67.

Who may apply

Clause of acceptance

IGOs  
not eligible

How many  
projects for  
Member States

National NGOs

Prioritizing

Substitutions

How many  
projects  
for INGOs

Time schedule

- (c) At its 30th session, the General Conference decided that intergovernmental organizations (**IGOs**) would no longer have access to the Participation Programme.
- (d) The deadline for submission of requests is set by the General Conference and is reflected in its Resolutions on the Programme. For the 2010-2011 biennium, the deadline is **28 February 2010**, except for emergency assistance.
- (e) The UNESCO General Conference decides on the number of requests each **Member State** and **INGO** may submit. At its 35th session, the Conference decided that the limit should be set at 10 requests for each **Member State** for the 2010-2011 biennium. The requests must be numbered in order of priority from 1 to 10. The 10 requests of a national, subregional or inter-regional nature may be spread among the programmes in the Approved Programme and Budget. If requests are not given priority numbers they will be returned. Requests from **national non-governmental organizations** (NGOs) come within the quota of 10 requests submitted by each Member State. For projects approved as financial contributions, both a financial report and an evaluation report must be submitted at the end of each project.
- (f) The order of priority may be changed only by an official letter from the National Commission (**part 3** of the application).
- (g) Substitutions may be made only if the request to be withdrawn has not been approved.
- (h) **International Non-Governmental Organizations** maintaining formal or operational relations with UNESCO, the list of which is established by the Executive Board, may submit up to two requests. For all projects, the INGOs must submit letters of support from at least two of the Member States concerned, one of the two being from the Member State where the activity will take place. These requests must be numbered in order of priority from 1 to 2. For projects approved as financial contributions, both a financial report and an evaluation report must be submitted at the end of each project. Further information concerning **INGOs** may be obtained from the Division of Relations with Organizations and New Partnerships of the Sector for External Relations and Cooperation at UNESCO Headquarters. The list may be consulted on the UNESCO website <http://www.unesco.org> (and then select Communities).
- (i) A time schedule for the implementation of each project must be indicated in **part 4** of the application form. Nonetheless, requests are considered in the order of priority set by the National Commission and the INGOs.

### C. *The forms and choices of assistance*

Circular Letter CL/3906 allows the applicant to select the form of assistance which best suits the project on the application form under **part 5**. A clear distinction must be made when filling out the form, so as to enable the Secretariat to evaluate and process the project.

The choice of assistance is up to the applicant, who may in the request ask the Director-General to either (i) approve a certain sum of money to be paid to the Member State/INGO as a **financial contribution** or (ii) **have the project implemented by UNESCO** (at Headquarters or in the field).

#### ***Financial contribution:***

If the applicant chooses to receive a **financial contribution**, the description, which should be submitted on the application form (under **part 5**), must include a detailed work plan giving the background of the project, the objectives and expected results, a timetable and **a clear budget breakdown expressed in United States dollars** for the use of the funds. Generally the funds are used by the Member State/INGO for: organizing a meeting or seminar, recruiting a consultant or specialist, purchasing equipment (not including the purchase of vehicles), providing fellowships or study grants, or purchasing publications or documentation. The amount required should be noted on the form in the column marked "*Financial contribution*". The amount approved may differ from the amount requested, following the evaluation made by sectors and services and the recommendation of the Intersectoral Committee on the Participation Programme.

#### ***UNESCO implementation:***

If the project is to **be implemented by UNESCO**, the project description must clearly indicate that the Member State/INGO wishes UNESCO to take responsibility for the project. An "x" should be placed in the column marked "*Implementation by UNESCO*" without indicating a sum (in **part 5** of the form "Type of assistance requested"). The following assistance may be provided either by UNESCO Headquarters or the relevant field office:

- a) *Specialist and consultant services*  
(not including staff costs and administrative support)

The applicant must give a description of the project for which a specialist or consultant is needed and state if a mission is foreseen. The time factor is also important and the dates foreseen for the consultant to carry out his/her tasks should be indicated. The description must also include the

qualifications required (academic background, professional experience, languages). The Member State/INGO may wish to propose a candidate, in which case his/her curriculum vitae should be included. Normally, specialists are provided for a short duration.

*b) Study grants and fellowships*

When filling out the description for this component, it is necessary to give the name and present position (or office) of the candidate, the purpose and details of the study plan, the proposed country (countries) and name of institution(s) where the study will take place along with the dates and the length of time foreseen. A curriculum vitae should also be provided for each candidate. The estimated cost of the grant (in United States dollars) should be furnished. The funds are provided only for the biennium when they are approved and are not renewed for another biennium. A study grant allows a Member State to organize short observation visits abroad, of a maximum duration of three months, for nationals occupying positions of high responsibility.

*c) Publications, periodicals and documentation*

This may cover either the production, translation or printing (or all three) of a document or the purchase of books and documentation. If the request is for the publication of a document, the description should indicate the approximate cost of production, translation (if necessary) and the number of copies to be printed. The name of the publisher should be provided, as should the completion dates for translation and publication. UNESCO may provide books and publications dealing with subjects within its fields of competence to libraries, university centres and research institutions. If the request requires the purchase of books and documentation, a list of the books must be provided including the author(s), title(s), language(s), publisher(s) and quantity. The estimated cost should be indicated in United States dollars.

*d) Equipment*

Adequate technical specifications should be included in the description of the material or equipment (not including the purchase of vehicles) along with the suggested supplier or manufacturer and the amount needed, the estimated price, submission of a pro forma invoice (the approximate freight charges should be part of the estimated budget). If air freight is preferred, that should be stated. Consideration should be given to the local availability of servicing, spare parts and supplies whenever applicable. Items should be listed in order of priority to ensure that the most needed equipment is obtained within the approved budget.

*e) Conferences, meetings, seminars or training courses*

This applies to events organized by UNESCO at the request of the Member State/INGO. A detailed description should include dates, place, theme, organizational aspects, language(s), translation or interpretation services, and an estimated budget breakdown including the cost of travel and daily subsistence allowance for participants (not including UNESCO staff members). If a publication or final report is foreseen, this should also be noted.

- (a) **Part 6** of the form asks for the contribution, if any, of the Member State to the project to be given. It is also necessary to state whether assistance is provided by other UNESCO programmes, other agencies, or private sources.
- (b) A detailed description of the project giving clear objectives and specific planned outputs and results and an estimated budget must be provided in **part 7** of the application form.
- (c) The projects must relate to the Programme and Budget of the Organization (C/5 document), in particular to its major programmes, interdisciplinary projects, activities on behalf of women, young people, Africa, least developed countries (LDCs) and the activities of the National Commissions for UNESCO. The link between the C/5 document and the project should be given in **part 8** of the application form.
- (d) Projects may have different geographical impacts – national, sub-regional (when several countries from the same geographical area inside the region are concerned), regional (when every country of the region is involved) or inter-regional (when the project brings together countries from different regions). The geographical coverage must be noted in the form under **part 9**. In addition, if the activity is of a subregional, or inter-regional character, it must have the support of at least two other Member States participating in the project - see the model letter of support in **Annex II** of the circular letter.
- (e) For **activities of a regional character**, each region (Africa, Arab States, Asia and the Pacific, Europe and North America, Latin America and the Caribbean) may submit three requests in an amount not exceeding \$46,000, each presented by one Member State. In this case the support of at least three Member States of the same region interested or participating in the project is required – see the model letter of support in **Annex IV** of CL/3906. The support of other Member States has no implication for requests submitted on their own behalf and they are not included in the quota of 10 requests provided for each Member State.

Funding from  
other sources

Project  
description

Link with  
UNESCO's fields  
of competence

Geographical  
impact

Regional  
activities

### ***Responsibility for carrying out the project***

**Part 10** of the application form asks for the name of the body responsible for carrying out the project. It is preferable that this be the National Commission itself. However, it may designate a government ministry, department or agency, or a national institution or body, which will have primary responsibility. It is therefore the responsible authority which, in the case of a financial contribution, is under obligation to submit a financial report and an evaluation report at the close of the project, through the good office of the National Commission.

### ***Beneficiary***

**Part 11** of the application form asks for the name of the beneficiary institution. A distinction is made here between the body responsible for carrying out the project and the beneficiary. If it so wishes, the responsible body may designate a beneficiary if it considers this to be the most efficient means for implementing the project. An individual may not be designated.

### ***D. Payment modalities and delivery of materials***

#### ***1. In the case of financial contributions***

The applicant may select only one modality for the payment of the financial contribution from the two mentioned below and specified under **part 12** of the application form:

- ◆ By bank transfer to the account of the National Commission (it is against the rules to make a transfer in the name of an individual). Practice has shown that this is the most efficient and reliable way of sending funds. If it is not possible, another channel may be used.
- ◆ On an exception basis, via field office, with the approval of UNESCO Headquarters.

#### ***2. In the case of delivery of materials***

The applicant may choose to receive materials purchased by UNESCO.

### ***E. Authorized signature***

At the end of the application form (Annex I, **part 13**), an authorized signature is required. It is imperative that each project be signed, stamped and dated by the responsible authority from the National Commission for UNESCO, or where there is no National Commission, by the designated government channel.

## F. *Emergency assistance*

Requests for **emergency assistance** may be submitted throughout the biennium. The project must meet the criteria listed below and approvals will be made according to the limited funds available

### ***Criteria for requesting emergency assistance***

The Executive Board, at its 160th session, adopted 160 EX/Decision 7.6, which sets out the criteria for requesting emergency assistance as follows:

- (a) When there are nation-wide insurmountable circumstances (earthquakes, storms, cyclones, hurricanes, tornadoes, typhoons, landslides, volcanic eruptions, fires, droughts, floods, 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;
- (b) When there are multilateral emergency assistance efforts undertaken by the international community or the United Nations system;
- (c) When the Member State requests UNESCO to provide emergency assistance, in accordance with (a) and (b) above, in the fields of its competence through its National Commission or an established government channel;
- (d) When the Member State is prepared to accept the Organization's recommendations in the light of the present criteria;
- (e) UNESCO emergency assistance should be restricted to the Organization's fields of competence and should begin once the threat to life has been overcome and the physical priorities have been met (food, clothing, shelter and medical assistance);
- (f) UNESCO emergency assistance should be concentrated on:
  - (i) assessing the situation and evaluating the basic requirements;
  - (ii) providing expertise and formulating recommendations on resolving the situation in the fields of its competence;
  - (iii) helping to identify outside funding sources and extrabudgetary funds;
- (g) Emergency assistance in cash or kind should be limited to the strict minimum and only provided in exceptional cases;
- (h) No administrative support or personnel costs shall be financed through the emergency assistance;
- (i) The total budget envelope for every emergency assistance project shall not exceed \$50,000. It may be complemented by extrabudgetary funds identified for this purpose or other sources of funding;
- (j) Emergency assistance shall not be provided if the Member State's request may be met within the ordinary Participation Programme;

- (k) Emergency assistance shall be provided in coordination with other United Nations agencies.

### *G. Rules and procedures*

The **rules and procedures** governing the operation of the Participation Programme are continually reviewed by the Executive Board, the General Conference and the Director-General. These different evaluations are reflected in the subsequent decisions and resolutions that are taken. This Handbook will be reviewed and modified accordingly.

#### **1. Procedures to be followed for emergency assistance:**

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*The following is a reminder of the requirements to be met by Member States and INGOs after the payment of Participation Programme or emergency assistance funds.*

*These requirements are twofold and of equal importance:*

*Firstly, UNESCO must receive a financial report providing a detailed breakdown of the use of the funds (refer to Annex III of CL/3906);*

*Secondly, UNESCO must also receive a detailed activity report, ("evaluation report") which addresses the various issues listed on page 18-19 of the present guidelines.*

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- (a) Faced with an emergency situation, a Member State, **through the National Commission or established channel**, will identify, as appropriate, its needs and the type of assistance which it requires from UNESCO, in its fields of competence;
- (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 back to the Director-General;
- (d) The Secretariat shall report to the Member State on the assistance and 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 US\$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 save exception, a financial report, shall be submitted by the Member State after completion of the project.



## **2. The internal UNESCO procedures for processing and approving Participation Programme requests:**

Upon receipt of the requests, the following action is taken:

- (a) The information provided on the application form is entered into the System of Information on Strategies, Tasks and the Evaluation of Results (SISTER). A number is given to each request based on the priority established by the applicant. If the information provided is not sufficient to make an evaluation, a letter is sent to the Member State requesting additional information.
- (b) According to the subject, the project is sent to the programme sector for an evaluation based on substance. A second opinion may be necessary if the request deals with equipment or a fellowship, or covers more than one field of action.
- (c) After the evaluation by the programme sectors and before submission to the Director-General, the Intersectoral Committee on the Participation Programme shall study the files from a technical and financial point of view and prepare recommendations for the Director-General. This Committee is chaired by the Assistant Director-General for External Relations and Cooperation (ADG/ERC) and composed of representatives from ERC regional sections, the Participation Programme and Fellowships Section and the programme sectors and services concerned.
- (d) The Director-General takes a decision on each request. She may find it necessary to approve a request in a modified form due to technical or financial considerations.
- (e) Member States are immediately informed of her decision. A copy of the approval letter is also sent to the Permanent Delegation, the relevant UNESCO field office, the programme sector or the service concerned.
- (f) The Bureau of the Budget notes the decision and allocates the funds on a case-by-case basis.
- (g) If the request is approved as a financial contribution, the certifying officer in the administrative section of the Participation Programme prepares the payment according to the instructions indicated on the application form. It is to be understood that no new financial contribution will be paid until the applicant has submitted all the financial reports on contributions previously approved and for which payments were made prior to 31 December 2008 (for instance, projects approved in 2010 will not be paid until all the financial reports on projects paid prior to 31 December 2008 have been received). The payment is validated and sent to the Comptroller. The Member State is then informed of the date and method of

payment. The activity for which a financial contribution has been approved should begin before the end of the budgetary period. The financial report must include a justification for the totality of the approved funds. If an approved project has not been implemented within the budgetary or liquidation periods, the funds revert to the overall budget of UNESCO. In that case, if the funds for an approved financial contribution have already been transferred to the beneficiary, they must be returned to UNESCO.

- (h) If the project is approved for the purchase of equipment, the Secretariat places the order with qualified supplier(s), through competitive bidding in certain cases. The orders are monitored until the equipment has been delivered.

#### *H. Guidelines for submission of a financial report for 2010-2011*

(Please refer to **Annex III** of the Circular Letter CL/3906)

##### *I. Guidelines for drawing up an evaluation report*

The evaluation report may be accompanied by any relevant documentation (news clippings, photographs, videos, CD Roms, project documents, meeting reports, publications).

#### **1. Evaluation submitted by (name of Member State or INGO)**

#### **2. Number and title of request**

Contribution received from UNESCO

#### **3. Evaluation of the project or activity implemented**

(a) Purpose and objectives, indicating the initial goals or expected outcomes as defined from the outset in the initial project.

(b) Benefits, major results obtained and impact of the project

- ◆ Were the expected results obtained?
- ◆ Were modifications made to the initial objective(s)? What factors made such modifications necessary?
  - c) What difficulties were encountered and what solutions were found?
  - d) What was the effect of the project on UNESCO's visibility in the Member State?
- ◆ Depending upon the nature of the project, did the Member State publicize the activity by means of announcements in the media/radio/television and/or posters?
- ◆ Was the general public invited to participate or be present?
- ◆ Were local non-governmental organizations involved?

e) Was the UNESCO field office consulted? Did it assist in the implementation of the project?

**4. Was there or will there be any follow-up? Are there long-term plans as a result of the project?**

Did this event reflect on the Member State's needs for the coming years in the fields of education, culture, communication, science and the human sciences?

**5. Was the project also financed through other funding sources?**

Please give explanations.

**6. Any other observations**

**7. Stamp, signature of Secretary-General of the National Commission and date**

**8. All financial reports and activity reports (evaluation reports) for the 2010-2011 biennium must be received by the Secretariat no later than 30 April 2012.**

*J. Decentralization*

UNESCO has field offices in every region of the world. These offices work in close cooperation with Member States in their region as well as with other United Nations agencies, civil societies and other UNESCO centres and institutes. Their function is to respond effectively to the needs of Member States in the region they serve. The National Commission may ask the field office in its region to cooperate in the following manner:

1. to assist in drawing up its Participation Programme requests;
2. upon instruction from the Member State, to receive funds for projects approved by the Director-General and either pay the beneficiary or implement the project. In the case of payment to the beneficiary, please note that bank charges should be included in the allocated budget;
3. to assist with follow-up when the Member State so requests.

**Nevertheless, the responsibility for processing and approving requests lies with UNESCO Headquarters.**

## **IV. Annexes**

◆ Circular letter CL/**3906** for 2010-2011  
(with application forms)

◆ Participation Programme: 35 C/Resolution **67**

17/12/2009

Ref.: CL/3906

Subject: **Participation Programme in the activities of Member States for 2010-2011**

Sir/Madam,

The Participation Programme, to which all Member States and Associate Members of UNESCO have access, provides a means of supporting activities in the Organization's regular programme priorities. In this biennium, in line with the Approved Programme and Budget for 2010-2011 (35 C/5 Approved), we should like you, when preparing your projects, to take particular account of the two top programme priorities (Africa and gender equality) and the priority target groups (youth, the Least Developed Countries, post-conflict and post-disaster countries and Small Island Developing States).

When formulating any request you may wish to make under the Participation Programme, I invite you to be sure that there is a link between your proposals and the priorities set out in UNESCO's regular programme, in accordance with 35 C/Resolution 67 that is enclosed herewith. Your projects should be submitted on the form annexed to this circular letter, clearly listed in their order of priority. **The closing date for the submission of requests is 28 February 2010.** The Participation Programme and Fellowships Section stands ready to provide you with any further information you may require (tel: +33 1 45 68 15 07; fax: +33 1 45 68 55 34).

I am also pleased to inform you that, under the provisions approved by the General Conference, each region may submit three regional requests in an amount not exceeding US \$46,000 each. These projects may be outside the quota of 10 requests submitted by each Member State, if they so wish.

Furthermore, I should like to draw your attention to the fact that Member States and international non-governmental organizations that received financial assistance under the Participation Programme in previous biennia (up to and including 2008-2009) undertook to forward the following to the Secretariat upon completion of each project:

- A **financial report** expressed in US dollars and containing a detailed and accurate statement of expenditure, which should correspond to the budget estimate that the former Director-General approved.
- A **project evaluation report**, which should describe in full the implementation of the project and the results obtained.

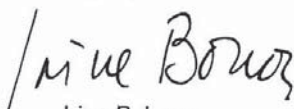
To Ministers responsible for relations with UNESCO

I should also like to recall that, as stipulated by the above-mentioned Resolution, no further financial contributions will be forthcoming in 2010-2011 until the Secretariat has received all the financial and evaluation reports on requests and emergency assistance paid before 31 December 2008. The projects approved in the form of financial contributions for the next biennium must be implemented by **31 December 2011, and the financial reports submitted by 30 April 2012 at the latest.**

Any sum not used for the purposes of the project should be reimbursed in the currency of payment.

As you know, in 35 C/Resolution 67, on the Participation Programme, adopted at the last session of the General Conference, I am invited to identify ways and means of strengthening the Participation Programme for the 2010-2011 biennium for the benefit of the Least Developed Countries (LDCs), developing countries, post-conflict and post-disaster countries, Small Island Developing States (SIDS) and countries in transition. For that reason, **I suggest that the member countries of the Organisation for Economic Co-operation and Development (OECD), and more particularly those on its Development Assistance Committee, as well as all countries whose annual gross domestic product per capita exceeds \$10,000, refrain from submitting requests. The funds saved could thus be available for the Member States which need them most,** as indicated in the General Conference Resolution stated above.

Accept, Sir/Madam, the assurances of my highest consideration.

  
Irina Bokova  
Director-General

Enclosures: 5 annexes

cc: National Commissions for UNESCO  
Permanent Delegations to UNESCO

ANNEX I

UNESCO

PARTICIPATION PROGRAMME 2010-2011

FORM FOR SUBMISSION OF A REQUEST

To reach UNESCO, ERC/RPO/PPF Section – Fax +33 (0)1 45 68 55 34  
by 28 February 2010 at the latest

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

<http://portal.unesco.org/en/ev.php->

URL\_ID=32042&URL\_DO=DO\_TOPIC&URL\_SECTION=201.html

Request number  
(leave blank)

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

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2. Title of project and place of implementation:

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3. Order of priority:

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 2010.

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 than vehicles)	<input type="checkbox"/>	
Conferences, meetings, translation &	<input type="checkbox"/>	

To Ministers responsible for relations with UNESCO

interpretation services, participants' travel costs (not including those of UNESCO staff members)		
Seminars and training courses	<input type="checkbox"/>	
	Total	Total

6. Contribution from the Member State or INGO in US \$: \_\_\_\_\_  
Please enter the amount so that a full evaluation can be made.

7. (a) Description of the **project**:

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

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(continue on a separate page, if necessary)

8. 35 C/5 activity to which this project relates:

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

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

(1) Project supported by at least two Member States: \_\_\_\_\_  
(attached form in Annex II  
to be completed by the Member States)

(2) Regional project supported by at least three Member States: \_\_\_\_\_  
(form in Annex IV)

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

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

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

**method of payment**

by bank transfer to the National Commission (recommended for reasons of reliability and speed)

account holder: \_\_\_\_\_

account number: \_\_\_\_\_

SWIFT code and other bank code: \_\_\_\_\_

name of the bank in full: \_\_\_\_\_

name of branch: \_\_\_\_\_

address of the branch: \_\_\_\_\_

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

**currency of payment**

US dollars     euros     other \_\_\_\_\_

or  Exceptionally, via Field Office upon HQ UNESCO approval

13. The applicant accepts the conditions set out in 35 C/Resolution 67 on the Participation Programme, adopted by the General Conference at its 35th session.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Stamp and signature

- of the Secretary-General of the National Commission for UNESCO
- or of the recognized representative of the Government<sup>1</sup>
- or of the international non-governmental organization maintaining official relations with UNESCO

<sup>1</sup> In Member States where there is no National Commission.



ANNEX II

PARTICIPATION PROGRAMME 2010-2011

MODEL LETTER OF SUPPORT

(Such letters may be sent to the ERC/RPO/PPF Section – Fax +33 (0)1 45 68 55 34  
and should be attached to the request)

I have the honour to inform you that the Government of:

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*(name of the country offering its support)*

wishes to support the project:

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*(title of the project)*

submitted by:

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*(name of the country or INGO submitting the project)*

within the framework of the Participation Programme for the 2010-2011 biennium.

*Place and date*

*Name, signature and stamp*

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(Secretary-General of the National Commission)  
(Permanent Delegate or recognized  
representative of the government)

**Note:** The fact that a Member State has given its support to a request submitted by another Member State has no implications for the 10 requests submitted on its own behalf.

**ANNEX III**  
**PARTICIPATION PROGRAMME 2010-2011**  
**FINANCIAL REPORT**

Which must be sent to UNESCO, ERC/RPO/PPF Section – Fax 33 1 45 68 55 34  
on completion of the project

Country (or NGO) \_\_\_\_\_

**Number and title of the request:** \_\_\_\_\_

In pursuance of 35 C/Resolution 67 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 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)

\* Delete as appropriate.  
\*\* Both signatures are required.



**ANNEX IV**  
**PARTICIPATION PROGRAMME 2010-2011**  
**MODEL LETTER OF SUPPORT**  
**REGIONAL PROJECT**

(Such letters may be sent to the ERC/RPO/PPF Section – Fax +33 (0)1 45 68 55 34  
and should be attached to the request)

I have the honour to inform you that the Government of:

\_\_\_\_\_  
*(name of the country offering its support)*

wishes to support regional project No. 1, 2 or 3 of the region:

\_\_\_\_\_  
*(title of the project)*

submitted by:

\_\_\_\_\_  
*(name of the country or group of countries submitting the project)*

within the framework of the Participation Programme for the 2010-2011 biennium.

*Place and date*

*Name, signature and stamp*

\_\_\_\_\_  
(Secretary-General of the National Commission)  
(Permanent Delegate or recognized  
representative of the government)

**Note:** The fact that a Member State has given its support to a request submitted by another Member State has no implications for the 10 requests submitted on its own behalf.

## ANNEX V

### 35 C/Resolution 67

#### 52 Participation Programme<sup>1</sup>

*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 \$19,000,000 for direct programme costs;
  - (c) to further allocate for this purpose an amount of \$50,000 for operating costs and an amount of \$930,200 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 for the benefit of least developed countries (LDCs), developing countries and countries in transition.
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 activities of the Organization, in particular to the major programmes, interdisciplinary projects, and activities to benefit Africa, the least developed countries, youth and women, 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 evaluation process.
7. The international non-governmental organizations maintaining formal or operational relations 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

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1. Resolution adopted on the report of the PRX Commission at the 7th plenary meeting, on 17 October 2009.

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. The deadline for submission of requests has been set for 28 February 2010, except for requests for emergency assistance, 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 2010.

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 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 maintaining formal or operational relations with UNESCO as defined in paragraph 7 above;
- (d) the Permanent Observer of Palestine to UNESCO, where the participation requested relates to activities in UNESCO's fields of competence in the Palestinian Autonomous Territories.

11. *Forms of assistance.* The applicant chooses the form of assistance, and may request either:

- (i) a financial contribution or
- (ii) implementation by UNESCO at Headquarters or in the field. In both cases, assistance may take the following forms:
  - (a) the services of specialists and consultants, not including staff costs and administrative support;
  - (b) fellowships and study grants;
  - (c) publications, periodicals and documentation;
  - (d) equipment (other than vehicles);
  - (e) 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 Screening Committee chaired by the Assistant Director-General for External Relations and Cooperation 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 the needs of developing countries and countries in transition, as well as of countries of Africa, least developed countries (LDCs), women and youth, 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 US 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 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 2012 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 he 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 platforms for post-conflict and post-disaster (PCPD) countries;
- (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;
- (d) emergency assistance in cash or kind should be limited to the strict minimum and only provided in exceptional cases;
- (e) no administrative support or personnel costs shall be financed through emergency assistance;
- (f) 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;
- (g) emergency assistance shall not be provided if the Member State's request may be met within the ordinary Participation Programme;
- (h) 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;
- (b) the Director-General shall then inform the Member State, through the National Commission or established channel, of his 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, save in exceptional circumstances, 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 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:

- formulation, evaluation and follow-up of requests improved in such a way as 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);
- implementation of adjustable strategies to meet the special and urgent needs of some groups of countries with common characteristics improved;
- accountability mechanisms strengthened to improve programme execution, management, monitoring and the flow of information to Member States;
- improved evaluation of the reports on results of activities supported;
- image of the Organization and impact of its action enhanced.