

Guidelines for the formulation of 36 C/5 (2012-2013 biennium) CAP Outlines and Extrabudgetary Projects

These guidelines are designed to assist responsible officers to formulate CAP Outlines and Extrabudgetary Projects for the 36 C/5 (2012-2013).

The Complementary Additional Programme (CAP) has two key functions: it is the main programming tool for Extrabudgetary (XB) Projects and the main vehicle for resource mobilization. The CAP encompasses two different types of CAP Outlines:

CAP Thematic Outlines: created by the ADGs, they are designed to mobilize unearmarked or lightly earmarked resources in areas of strategic priority for UNESCO. CAP Thematic Outlines may be sectoral or intersectoral, and underpin fully fledged thematic extrabudgetary programmes.

CAP Programme/project Outlines: created by Responsible Officers, they are designed to mobilize resources for Extrabudgetary Projects which require specific visibility for resource mobilization.

CAP Outlines that have completed the specialized validation cycle are made available to potential donors and the general public via the 36 C/5 CAP Tree on the internet. XB Projects are then associated to CAP Outlines in order to enhance up-front programming as well as to track XB resource mobilization. The objective is to ensure that CAP Outlines and XB Projects become fully integrated and inter-communicating components of the same strategy.

Since much of the information required is relevant for CAP Outlines and XB Projects, the majority of this information is developed under the section [CAP Outlines](#). The information specific to [Extrabudgetary \(XB\) Projects](#) is developed in the subsequent section.

I. CAP Programme/project Outline

Please consult SISTER Help Card 2.5 "[the Extrabudgetary Process](#)" for instructions on how to access the CAP Outline template and how to request validation for the element. The following information will assist you in formulating the substantive content.

Nota Bene: All fields in the CAP Outline are mandatory apart for "Associated Field Office(s), Institute(s) or HQ Division(s)" under section 4, sections 9, 10 "Performance indicator(s)/Means of verification/Programmed benchmark" under section 14 for CAP Thematic Outlines, sections 17, 19 and 20 knowing that section 19 is only applicable for Field Offices.

0. CAP Outline Code and Template N°:

The CAP Outline Code and Template number will be automatically provided by the system¹.

1. Title:

This mandatory field not only provides the title of the CAP Outline, but implicitly the overall scope of the CAP Outline. The title should set out its purpose and main thrust (topic/theme) in a short and action-oriented manner, thereby providing its overall scope (e.g. "Integrating intercultural dialogue and cultural diversity into national policies of country X" or "Support to development of independent and pluralist media of countries Y and Z").

In preparing the CAP Outline, Field Offices, UNESCO Category 1 Institutes, Sectors and Services may wish to take into account the following elements:

- The CAP Outlines may be presented as **aggregate Programmes** or as a **specific XB Project** by thematic area, linked to an MLA or Intersectoral Platform included in the 36 C/5. Where appropriate you are encouraged to adopt a programme approach, by designing CAP Outlines that constitute an over-arching strategic framework, and which may lend themselves to funding by multiple donors.
- **All Special Accounts** for which additional resources are sought, as well as the Funds handled by UNESCO which are financed, or co-financed from voluntary contributions should be entered into the CAP. This applies to Special accounts managed by intergovernmental bodies, Funds related to UNESCO Conventions and other normative related projects, and any other Special Account opened in the past and for which fresh voluntary contributions should be mobilized. Special accounts can be presented by thematic areas, by project or as aggregate Programmes in connection with a specific thematic area.
- In preparing CAP Programme/project and CAP Thematic Outlines Sectors are also invited to articulate requirements for in-kind resources, and specific competencies that could be mobilized by UNESCO, inter alia, through recourse to secondments, Associate Experts, and other personnel required by UNESCO to be funded from XB resources (e.g. ALD contract). Projected, or on-going XB financed posts (inter alia, secondments, including short term secondments by Stand-by Partners in PCPD situations, Associate Experts and ALD's) have to appear in the CAP as they are funded by voluntary contribution and reinforce UNESCO MLAs and Expected results. They can appear as stand alone CAP Outlines, or in the framework of a larger XB Project.

¹ Later on, when funds for CAP Outlines have been raised, the implementing Field Office, Institute or HQ Division will associate the CAP Outline to the newly created XB Project template in SISTER. This will help BSP/CFS track the resources mobilized for specific XB Outlines.

2. Responsible officer (Last name, first name):

This mandatory field has been introduced to facilitate follow-up in the negotiations with the donors concerning each CAP Outline. The responsible officer is the person accountable for the programming and implementation of the CAP Outline. The responsible officer is also accountable for resource mobilization in close consultation with BSP/CFS.

Assistant (Last name, first name):

The person selected will be able to enter the information on behalf of the responsible officer. This role does not entail responsibility, unlike the deputy.

Note: the officer designated “assistant” of the responsible officer cannot carry out actions in relation to the validation cycle (i.e. request validation, validate or invalidate).

3. Deputy (Last name, first name):

The deputy seconds the responsible officer and acts as officer-in-charge in the absence of the responsible officer. Note: this person can be someone hierarchically above the responsible officer.

4. Implementing Field Office(s), Institute(s) or HQ Division(s) (Fund Centre):

Select from the drop-down menu the Field Office, Institute or HQ Division responsible for implementing the CAP Outline (corresponding to the 3-letter acronym of this entity).

For CAP Outlines implemented by a Field Office or a Category 1 Institute, the fund centre corresponds to the acronym of the office (e.g. “BEI” for Beirut, “BRZ” for Brasilia or “IBE” for International Bureau for Education). For Headquarters, it refers to the Division or Bureau, (e.g. “FEM” for Division of Freedom of Expression and Media Development (CI/FEM)). This information enables a categorization of the CAP Outlines by Headquarters, Field Offices or Category 1 Institutes.

Associated Field Office(s), Institute(s) or HQ Division(s) (as appropriate):

Select from the drop-down menu all other Field Office, Category 1 Institute or HQ Division which will be involved in the implementation of the CAP Outline. If not, this implies that the implementation is undertaken without the involvement or collaboration of any other UNESCO entity.

5. Estimated Duration (in months/years):

Please provide an estimated duration for the XB Project envisioned in the CAP Outline, keeping in mind the fact that implementation is dependent on the identification of a donor.

Please also note that projects or programmes financed by extrabudgetary resources do not need to follow the biennial cycle of the regular programme. The duration may be shorter, or longer than 2 years. Funds mobilized under the 36 C/5 CAP can be spent **after** the end of the biennium.

6. This CAP Outline will contribute to the following Major Programme/Office 1:

Select from the drop-down menu the Major Programme/Office 1 to which the CAP Outline pertains (e.g. “Part II.A. I. Education” or “Part I. General Policy and Direction”). You may refer to the Major Programmes and Parts detailed in the 36 C/5.

7. This CAP Outline will contribute to the following MLA and be attached to the corresponding grouping(s):

To fully align projected and mobilized Extrabudgetary resources and Regular Programme resources, each CAP Outline has to indicate a **specific MLA** in the 36 C/5 which it would reinforce.

Extrabudgetary contributions from the donor community to **UNESCO Category 1 Institutes**, to Programme-related services (AFR, ODG/GEN, BSP) and to Corporate Services providing support for programme execution and Administration (ERI, BFC, HRM, BFM and MSS) should also appear in the CAP. As per the structure of the 36 C/5, Category 1 Institutes are assimilated to MLA, and CAP Outlines may be linked directly to the different Institutes.

MLA: Select the title of the Main line of Action [or Chapter for Programme-related and Corporate Services] of the 36 C/5 to which the CAP Outline pertains (e.g. "CI/MLA 2: Strengthening free, independent and pluralistic media, civic participation and gender-responsive communication for sustainable development").

Grouping: Select the title of the Grouping to which the CAP Outline contributes. This administrative level is used according to the specific needs of the organizational entity. Some Sectors and Services group the work plans by region, some by thematic area and some by MLA expected result. A new feature has been introduced in the 36 C/5 allowing to have two levels of Groupings. If a Sector decides to use this feature, the first level Grouping will correspond to a specific 36 C/5 Expected Result of the MLA to which it is associated. The second Grouping level (i.e. Regional/Thematic sub-Grouping) will enable the classification of these work plans by region or theme. Hence, work plans will de facto be grouped by C/5 Expected Result and sub-grouped by region or theme.

Depending on the MLA selected above, a set of relevant Groupings will be proposed in the drop-down menu.

Similarly, if the two-level Grouping feature is used by a Sector, a set of relevant Regional/Thematic sub-Groupings will be proposed in the drop-down menu. For more information, please contact the Executive Office of the relevant Sector or Service.

8. This CAP Outline will contribute to the following MLA expected result(s) and, as appropriate, Grouping expected result(s):

MLA expected result(s):

Once the relevant MLA has been identified, select the MLA expected result(s) to which the CAP Outline seeks to contribute (e.g. "CI/MLA 2, expected result 5: Capacities of media training and journalism education institutions strengthened to reach the established criteria of excellence in training as regards journalists' investigative skills and gender equality perspectives in media"). This ensures a cascading results chain from the policy (36 C/5) to the operational level (work plan). This link established between the results at different programme levels ensures that the Organization focuses its resources on attaining the results defined at the highest levels.

Similarly, if the two-level Grouping feature is used by a Sector, the MLA expected result to which the CAP Outline contributes will automatically appear in this section and will not be modifiable.

Grouping expected result(s) (where applicable):

Once the relevant Grouping has been identified, select the Grouping expected result(s) to which the CAP Outline contributes.

To be noted, if the new 2-level Grouping feature (i.e. a MLA expected result Grouping and a Regional/Thematic sub-Grouping) is used by a Sector and if specific expected result(s) have been defined at the Regional/Thematic sub-Grouping level, then the responsible officer of the CAP Outline should select the relevant Regional/Thematic sub-Grouping expected result(s) to which the CAP Outline contributes.

9. This CAP Outline will also contribute to the following expected result(s) of Global Priority Africa and/or Global Priority Gender Equality (as appropriate):

In line with the Medium-Term Strategy (34 C/4) the Organization accords global priority to Africa and Gender Equality. Under each Major Programme, specific expected results along with performance

indicators and associated benchmarks are defined for the Organization's global priorities: Africa and Gender Equality. If relevant, specify the expected result(s) of the priority(ies) to which the CAP Outline contributes. The specific contribution of the CAP Outline to the global priority should be reflected in the expected results.

10. Only if the CAP Outline contributes to other MLA(s) than the one indicated under section 7 above, indicate the Programme Sector MLA(s) and associated expected result(s) (as appropriate): Some CAP Outlines may seek to reinforce more than one MLA and relevant expected result(s) within the 36 C/5. If this is the case, responsible officers should indicate relevant additional MLA(s) and associated expected result(s) from the proposed menu by sector.

Nota Bene: These additional MLA(s) and expected result(s) cannot contain the same information entered under sections 7 and 8.

11. Thematic Area:

This mandatory field has been introduced into the CAP firstly to make the CAP more accessible and user friendly for donors, and secondly, to respond to the concerns of certain Member States about the need for a more strategic approach within the CAP.

The thematic areas have been designated by each of the Sectors and Services and are included in a single choice menu in the 36 C/5 CAP Outline template. Colleagues will be able to select the thematic area which is most relevant to the CAP Outline.

The selection of a sectoral or intersectoral thematic area in connection with each CAP Outline makes it possible for UNESCO to make a thematic presentation of all its proposals to donors and partners. This makes it easier for UNESCO's partners to match shared priorities and identify concrete entry points for cooperation.

This thematic area view is additional to the CAP Thematic Outlines programmed under the direct responsibility of ADG's and which underpin fully fledged extrabudgetary programmes.

12. Description of the CAP Outline (main interventions; UNESCO's comparative advantage; transition/exit strategy; beneficiary groups):

A brief description should be given of the nature of the intervention to attain the results. It should not exceed 250 words.

Of particular interest to the donor, is UNESCO's added value in achieving the indicated results and the XB Project's sustainability. Describe what measures will be put in place to ensure that the results and benefits of the XB Project last beyond the end of the XB Project and that these benefits are sustained and scaled up after the initial XB Project cycle. Also describe the XB Project's transition/exit strategy. The exit or transition strategy is a statement indicating the way you intend to gradually phase out external support and have national partners take over; and the way you will change the modality of implementation. Once the foundations of the XB Project are established, the sustainability is driven by other players. UNESCO needs to ensure the smooth hand over of the XB Project, by ensuring the relevant skills transfer to (national) partners, or by building capacity to manage the XB Project for example.

The description may include the financial aspect (how will XB Projects be financed when the grant ends?), the Institutional level (Will structures allowing the XB Projects to continue be in place at the end of the action? Will there be local "ownership" of action outcomes?) and the Policy level where

applicable (What structural impact will the action have? - e.g. will it lead to improved legislation, codes of conduct, methods, etc?).

Finally, the description needs to include the beneficiary groups (target groups) that is the groups or organizations who benefit directly or indirectly from the implementation of the XB Project thus from the attainment of the results. Direct beneficiaries represent those for which the XB Project is primarily organized. Indirect beneficiaries refer to those who are affected by the XB Project. To be recalled, a XB Project needs to be programmed and implemented for and with the targeted populations.

13. Overall goal:

What is the long term result(s) expected from the implementation of the XB Project? The overall goal normally outlasts a XB Project's implementation period, and has sustainable benefits for the beneficiaries (target groups).

14. Expected results of this CAP Outline (you may not enter more than 10 expected results):

This mandatory field is dedicated to the specific results of the CAP Outlines.

Expected Result N° 1: The expected result (or “result statement”) describes a concrete, visible and measurable change in state, induced by the intervention(s) to be undertaken. It expresses the change induced by the implementation of the CAP Outline. In other words, it should convey how a specific situation is expected to be different from the current situation. For this reason, it should articulate what is to be different rather than what is to be done. In many cases, the expected result relates to the use of outputs by intended beneficiaries.

Formulation of results should follow the “SMART” criteria (‘Specific, Measurable, Achievable, Relevant and Time-bound’). Results are often formulated in the past tense, as they describe the end situation expected after the interventions have taken place.

Examples:

- 1) Science and Technology Strategic Plan, in line with European standards and responding to the EU accession requirements elaborated and adopted by national authorities in country X.
- 2) Policy and planning, and monitoring and evaluation in country X is based on high-quality data collection, analysis and interpretation.
- 3) Integrated heritage policies, plans and strategies of countries X, Y and Z developed in line with international conventions.

N°	Performance indicator(s) (a maximum of three):	Means of verification	Programmed benchmark (on the basis of baseline data if available* ¹):
	<p>Performance indicators provide indications of the change. They are used to measure progress related to an expected result or an aspect of it. There is a tendency to formulate process indicators referring to the different steps of the implementation (e.g. “Number of HIV/AIDS prevention workshops organized” or “Network among scientists established”). It is better to define indicators of change rather than of process, referring to what you want the beneficiaries to do differently after the intervention (e.g. “% of schools integrating HIV/AIDS sensitive teaching material” or “Number of women scientists participating actively in the network established” or “Number of initiatives undertaken by women scientists participating actively in the network established”).</p>	<p>(data source):</p> <p>The data sources and methodologies used to measure and analyze performance (e.g. “Policy adopted reflecting the gender sensitive recommendations” or “Report summarizing the conclusion of a survey”).</p> <p>This field is optional.</p>	<p>UNESCO defines the term <i>benchmark</i> as a target associated to a performance indicator. The benchmark is ideally accompanied by baseline data describing the situation before the implementation. Baseline data is the starting point from which progress towards expected results will be measured, while the benchmark is the target expected to be achieved by the end of the biennium (e.g. “50% of schools (Baseline: 10%)”).</p>

*¹ The baseline is to be indicated next to the benchmark in brackets.

Key expected outputs of this CAP Outline:

An output is the first effect of the intervention which contributes to the attainment of results. It reflects the action of the Organization. It is a tangible or intangible product deriving from the

interventions. In general terms outputs can be considered as the new knowledge and skills the Organization builds and disseminates.

Please list the **key** expected outputs deriving from the interventions of the Organization which will lead or induce the result or change for the beneficiary. This will allow to further specify on one hand the expected result(s) which depend on the actions of the beneficiary/target groups and on the other hand the **key** expected outputs which are under the control of the Organization. Examples of **key** Outputs: Global Monitoring Report, World Conference, Policy or technical advice, Direct beneficiaries acquired new skills.

15. Geographical Scope of the CAP Outline (choose one of the following categories):

- None/Internal institutional benefit
- Global
- Regional (please select the benefiting region(s))
- National (please select the benefiting country(ies)/territory(ies))

A CAP Outline can have a global, regional or national scope. These categories are mutually exclusive.

For inter-regional CAP Outlines (e.g. Asia with Latin America) more than one region may be selected if appropriate. Apart for CAP Outlines which are global in scope, colleagues will be invited to specify the region(s) or countries benefiting from the implementation of the CAP Outline. However, if the CAP Outline has a regional scope but **does not benefit all the countries belonging to the concerned region**, we invite responsible officers to only fill the section **National** within this section 16, specifying the beneficiary countries from the proposed menu.

Note: For CAP Outlines which do not have a direct geographical scope or where the benefit is considered as internal to the institution, the category “None/Internal institutional benefit” may be selected. This is the case for most CAP Outlines in the Programme-related and Corporate Services.

Kindly note that the accuracy of the information provided under the field of “Geographical Scope of the CAP Outline” has a direct impact on the selection by potential donors of your CAP Outline through the “search” function.

16. This CAP Outline has targeted interventions in favour of (Youth; LDCs; SIDS; Disadvantaged and excluded groups; Most vulnerable segments of society; Indigenous Peoples):

In this field colleagues are invited to indicate if the CAP Outline will target specifically one or several of the following categories: Youth, LDCs, SIDS, Disadvantaged and excluded groups, Most vulnerable segments of society, Indigenous peoples). The specific contribution of the CAP Outline to the groups or group of countries should be reflected in the expected results.

Note: If none of the categories under this section is relevant to your CAP Outline, you may select “None”.

17. This CAP Outline addresses the following specific programme issues (UN Decades/Years; Dialogue among civilizations and cultures; South-South cooperation; North-South-South cooperation; Post-Conflict/Post-Disaster situations; World Summit on the Information Society (WSIS) follow-up):
Where relevant, select the applicable box(es).

- For **UN Decades/Years**, specify to which Decade/Year the CAP Outline will contribute.
- Colleagues are invited to indicate here whether the CAP Outline involves **South-South or North-South-South cooperation**, either from a programmatic perspective, or from a funding perspective.

South-South cooperation focuses on cooperation, exchanges of knowledge, skills, resources and know-how. This process can be bilateral or multilateral in scope and sub-regional, regional or interregional in character. Such information is of critical importance for resource mobilisation, because South – South and/or North-South-South cooperation attracts specific kinds of donors and may require tailored fundraising and resource management modalities.

- CAP Outlines that concern **Post-Conflict/Post-Disaster countries or situations** are particular in the sense that they are potentially attracting different funding sources amongst UNESCO's traditional donors; the approval process, the administrative documents involved, and the overall negotiation are lighter and swifter. PCPD CAP Outlines may also be included in Consolidated Appeals and UN Work plans. UNESCO reinforces its assistance to conflict and disaster-affected countries by contributing to early recovery and reconstruction, reconciliation and dialogue, while giving special attention to the prevention of the recurrence of conflict. By indicating whether or not CAP Outlines correspond to PCPD situations, colleagues will allow the development of a tailored fund mobilization strategy.

- UNESCO has played a key role in the two phases (Geneva 2003 – Tunis 2005) of the **World Summit on Information Society (WSIS)**. In recognition of its contribution UNESCO has been assigned a lead facilitating role in the multi-stakeholder implementation, facilitation and coordination of 6 of the 12 WSIS Action lines: Access to information and knowledge, E-learning; E-science; Cultural diversity and identity, linguistic diversity and local content, Media, and Ethical dimensions of the Information Society. In line with the Approved Programme and Budget (C/5), UNESCO is committed to continue leading towards the achievement of the 2015 goals through the WSIS follow-up.

If relevant, please specify the WSIS Action Line/s to which (parts of) your CAP Outline contributes and highlight in the box if there are any multi-stakeholder components (with governments, the private sector, intergovernmental organizations, civil society). It would be good also to mention your CAP Outline's expected contribution to the WSIS goals in your implementation strategy.

Please contact the WSIS team (wsisteam@unesco.org) for more information, if needed.

Note: If none of the categories under this section is relevant to your CAP Outline, you may select "None".

18. Relevance to development priorities or normative framework: (if yes, please clearly state the priority and indicate the reference of the relevant planning document):

In general, consultations should be undertaken with partners and beneficiary groups (target groups) to ensure the relevance of a CAP Outline to a given national development priority, or (global) normative framework.

Where country specific CAP Outlines are concerned, consultations have to be undertaken to ensure that all submitted CAP Outlines correspond to the priorities and/or plans of the beneficiary country(ies). Reference to the corresponding documents such as the national development plans or relevant legislation should be quoted in the template. The relevance of the CAP Outline to the priorities of the beneficiary constitutes a compulsory criterion for the selection of the CAP Outline in the CAP.

19. Only in the case of an CAP Outline implemented by a Field Office: This CAP Outline is part of a common country programming document (e.g. UNDAF; Delivering as One programme/plan; MDG-F; PRSs; etc.) or is part of a UNESCO Country Programming Document (UCPD) (In the case of UNDAFs and One plans, specify the outcome/output to which it contributes):

This part is only relevant for CAP Outlines implemented in the Field.

For CAP Outlines implemented at national level, synergies with existing UNDAF's, One Plan or PRSs should be explained in the template, including how the UNESCO proposed CAP Outlines contribute to the implementation and purpose of those programming and strategic documents.

Note: The UNESCO Country Programming Document (UCPD) is not a common country programming document.

Note: If none of the categories under this section is relevant to your CAP Outline, you may select "None".

20. Institutional support to Category 1 UNESCO Institutes (as appropriate):

The Complementary Additional Programme needs to encompass all XB Projects that are funded by voluntary contributions. This also should include the support provided to Category 1 institutes, the budget of which is often substantially covered from extrabudgetary contributions.

For the 36 C/5 CAP, therefore, Category 1 Institutes are invited to include not only operational XB Projects but also their own running costs for possible financing from donor contributions.

21. Estimated funding required for the CAP Outline (in US\$):

The CAP Outline should contain the indication of the estimated funds needed for the XB Project implementation.

In identifying such amount, colleagues may take into account the following elements:

- The estimated funding required indicated in the CAP Outline is a global amount, which may be further broken down in the course of negotiations with some donors and when the contributions are provided in the Funds-in-trust.
- The estimated amount should be **expressed in US\$**: the use of other currencies may cause the miscalculation of the overall amount of the CAP.
- In the calculation of the overall estimated funding requirement, colleagues shall need to take into account **cost recovery policy**. Kindly carefully consult BFM's guidelines on the Cost Recovery Policy and Budgetary Aspects of Extrabudgetary Projects to this effect.
- Support costs have to be included in the estimated amount. Depending on the scope of the CAP Outline, Responsible Officers are invited to identify the suitable rate (7% for joint UN Programme and UN Multi-donor Trust Funds, 10% for special accounts and 13% for funds-in-trust). In case of doubt it is recommended to account for a rate of 13%.

Exceptionally for CAP Thematic Outlines developed in the context of the 36 C/5 CAP, the responsible officer is not required to indicate the estimated funding required.

22. Self-benefiting CAP Outline under negotiation with the national authorities:

A growing part of voluntary contributions provided by bilateral Governments are devoted to self-benefiting fund-in-trust arrangements. These arrangements, where the funding source and the beneficiary of the XB Project is the same Member State, are seen to be one of the most suitable modalities for UNESCO to extend its assistance to Member States that request UNESCO's expertise and technical cooperation and are able to finance such assistance themselves.

23. Was the CAP Outline included in the previous 2010-2011 Complementary Additional Programme? (If yes please specify the number of the CAP Outline and if it was funded totally, partially or unfunded):

CAP Outlines included in the 2010-2011 Complementary Additional Programme which reflect needs that remain relevant to the Main Lines of Action and expected results of the 36 C/5, may be adjusted, and resubmitted under the 36 C/5 CAP, either on a stand alone basis, or integrated within CAP Outlines that represent broader over-arching strategies. Please indicate whether the submitted CAP Outline was already included in the 2010-2011 Complementary Additional Programme and if yes provide the Code or template number that was attributed to the CAP Outline.

Provide also the indication if this CAP Outline was totally funded by the donors, partially funded or unfunded.

24. Resource Mobilization:

Donor interest:

Please indicate the names of any donors who have indicated preliminary interest in funding the XB Project or aggregated programme or with whom you have started negotiations.

Resource Mobilization by Responsible Officer: Please describe the pro-active steps to be taken by the Responsible Officer or his/her team to mobilize resources for this CAP Outline.

These steps should be undertaken in close consultation with the Division of Cooperation with Funding Sources (BSP/CFS) to ensure that resource mobilisation efforts are coordinated and funds are managed in accordance with UNESCO's regulations and rules.

Status of Resource Mobilization:

The possibility to monitor resource mobilization under the CAP on a constant basis, and generate statistics for senior management, governing bodies and other decision making purposes is an important asset of the processes described above. The CAP Outlines are systematically associated to the XB Projects which have received funding and the figures on resource mobilization are generated automatically by the system.

CAP Outlines are organized into two categories:

- "Awaiting financing": a check box will be checked by default at the creation of the CAP Outline.
- "Financed": the breakdown by Donor (i.e. a Donor list and associated to each Donor an amount box) will appear.

In the SISTER 36 C/5 tree and CAP Tree, three icons to signify when a CAP Outline is "Awaiting financing" (i.e.), "Partially financed" (i.e.), or "Fully financed" (i.e.) will be visible both internally and to the donor community on the internet.

Furthermore, the Search/Report function of SISTER includes these fields thus allowing to search on them.

25. Associated RP Element(s)/Extrabudgetary Project(s):

If the CAP Outline seeks to reinforce a Regular Programme element (Activity, Office 5) or an Institute Activity, you can indicate the code of the associated element under field 25. All associated RP Elements will be listed and accessible from here. If one or several Extrabudgetary Project(s) is/are associated to the CAP Outline, the code(s) and the link(s) to the Project(s) will be also displayed here.

Note: several RP elements and several XB Projects can be associated to the CAP Outline. The association of a XB Project to the CAP Outline is indicated via the XB Project template (see field 11 below).

26. Attachment to a 37 C/5 Grouping:

There will be unfunded, or partially funded CAP Outlines in the 2012-2013 Complementary Additional Programme which remain relevant to the Main Lines of Action and results of the 37 C/5 and require (additional) resources during the next quadrennium. If the 36 C/5 CAP Outline should be carried-over to the next quadriennium (2014-2017), indicate the code of the 37 C/5 Grouping (and Regional/Thematic sub-Grouping where applicable) to which it should be attached and click "Save". Once copied in the 37 C/5 SISTER version, colleagues will then need to review the CAP Outlines retained in the 37 C/5 CAP and adjust them both with respect to the expected results of the 37 C/5 and to changed circumstances and stakeholders expectations.

II. Extrabudgetary Project

All Extrabudgetary Projects must be associated to a CAP Outline (either a CAP Programme/project Outline or a CAP Thematic Outline). Please refer to SISTER Help card 2.5 "[the Extrabudgetary Process](#)" for instructions on how to create an Extrabudgetary Project template.

Only the fields which are specific to Extrabudgetary Projects are explained below. The others correspond to the fields already explained under the CAP Outline section (Section I). To consult these fields click on the links which will redirect you to the explanation already given in Section I.

Nota Bene: All fields in the 36 C/5 CAP Extrabudgetary Project are mandatory apart for "Associated Field Office(s), Institute(s) or HQ Division(s)" under section 4.

0. Project Number and Phase:

The Project Number represents the Budget Code of XB Projects. It will be automatically uploaded from FABS with the usual budget code structure (e.g. 552RAS1000).

Phase:

There are three different phases defined for a XB project: "Not started", "On-going" and "Completed". When an XB project is still in programming, which means that it is being designed, by default, the phase displayed will be "Not started". As soon as the XB code is created in FABS the phase will be switched from "Not Started" to "On-going". Once the XB project has been implemented, the responsible officer needs to modify the phase and select "Completed".

[1. Title:](#)

[2. Responsible officer \(Last name, first name\):](#)

[3. Deputy \(Last name, first name\):](#)

[4. Implementing Field Office\(s\), Institute\(s\) or HQ Division\(s\) \(Fund Centre\):](#)

5. Duration:

The starting and ending date of the project needs to be entered as per the agreed Project Document. Once the XB Project has been created in FABS these dates will be uploaded automatically from FABS.

[6. This Extrabudgetary Project will contribute to the following Major Programme/Office 1:](#)

[7. This Extrabudgetary Project will contribute to the following MLA and be attached to the corresponding grouping:](#)

[8. This Extrabudgetary Project will contribute to the following MLA expected result\(s\) and, as appropriate, Grouping expected result\(s\):](#)

[9. This Extrabudgetary Project will also contribute to the following expected result\(s\) of Global Priority Africa and/or Global Priority Gender Equality \(as appropriate\):](#)

10. Only if the Extrabudgetary Project contributes to other MLA(s) than the one indicated under section 7 above, indicate the Programme Sector MLA(s) and associated expected result(s):

11. Association to the Complementary Additional Programme

Indicate the CAP Thematic Outline or the CAP Programme/project Outline to which the XB Project is associated. XB Projects can be associated to a pre-defined CAP Thematic Outline if:

- a) They were developed in response to an emerging need or opportunity;
- b) They do not require specific visibility for on going resource mobilization efforts; or,
- c) Were not foreseen in the upfront programming in the CAP of a specific CAP Programme/project Outline.

12. Implementation Strategy (including justification/identification of needs, modalities of action and target groups):

The implementation strategy explains how to move from the current situation to the one described in the expected result ("result statement"). It should be action-oriented specifying the:

- Major issues to be addressed and relevant baseline;
- Rationale with the underlying assumptions and causal sequence of the interventions to be undertaken, the key outputs deriving from them, the expected result(s) to be attained and measures to follow up on them as well as the manner in which this activity will contribute to the attainment of C/5 expected results. Furthermore, specify the long-term result foreseen beyond the biennial timeframe providing the overall perspective of the activity;
- Major beneficiaries and key partners and their expected roles;
- Conclusions of a risk analysis related to the implementation. An uncertain event may impact the performance of the programme delivery either positively or negatively. The measures foreseen to mitigate the negative impact of a threat should be formulated;
- Exit or transition strategy is a statement indicating the way you intend to gradually phase out external support and have national partners take over; and the way you will change the modality of implementation. Once the foundations of the Extrabudgetary Project are established, the sustainability is driven by other players. UNESCO needs to ensure the smooth hand over of the Extrabudgetary Project, by ensuring the relevant skills transfer to (national) partners, or by building capacity to manage the Extrabudgetary Project for example.

The activity reinforced by this Extrabudgetary Project should also be specified when appropriate.

It is recalled that beneficiaries and partners should be involved from the planning/programming stage to favour ownership and sustainability of the Extrabudgetary Project.

13. Overall goal:

14. Expected results of this Extrabudgetary Project (you may not enter more than 10 expected results):

15. Geographical scope of the Extrabudgetary Project (choose one of the following categories):

- None/Internal institutional benefit
- Global

- Regional (please select the benefiting region(s))
- Sub-region/Group of countries (please select the benefiting Sub-region(s)/Group(s) of countries)
- National (please select the benefiting country(ies)/territory(ies) and specify the amount per benefiting country/territory)

An Extrabudgetary Project can have a global, regional, sub-region/group of countries or national scope. These categories are mutually exclusive.

For Extrabudgetary Projects that are not global in scope, specify the region(s), sub-regions/group of countries or countries benefiting from the implementation of the Extrabudgetary Project.

For Extrabudgetary Projects that are national in scope, specify the estimated amount per benefiting country.

For inter-regional Extrabudgetary Projects (e.g. "Asia and the Pacific" with "Latin America and the Caribbean"), more than one region may be selected.

Note: For Extrabudgetary Projects which do not have a direct geographical scope or where the benefit is considered as internal to the institution, the category "None/Internal institutional benefit" may be selected. This is the case for most Extrabudgetary Projects in the Programme-related and Corporate Services.

16. This Extrabudgetary Project has targeted interventions in favour of (Youth; LDCs; SIDS; Disadvantaged and excluded groups; Most vulnerable segments of society; Indigenous Peoples):

17. This Extrabudgetary Project addresses the following specific programme issues (UN Decades/Years; Dialogue among civilizations and cultures; South-South cooperation; North-South-South cooperation; Post-Conflict/Post-Disaster situations; World Summit on the Information Society (WSIS) follow-up):

18. Relevance to development priorities or normative framework: (if yes, please clearly state the priority and indicate the reference of the relevant planning document):

19. Only in the case of an Extrabudgetary Project implemented by a Field Office: This Extrabudgetary Project is part of a common country programming document (e.g. UNDAF; Delivering as One programme/plan; MDG-F; PRSs; etc.) or is part of a UNESCO Country Programming Document (UCPD) (In the case of UNDAFs and One plans, specify the outcome/output to which it contributes):

20. Institutional support to Category 1 UNESCO Institutes (as appropriate):

21. This Extrabudgetary Project involves the following partnerships (Name and Specific expected role per partner):

List the external partners involved in the Extrabudgetary Project and their role.

Examples of different types of external partners:

- Foundation X: makes available a conference room and rooms for 20 participants (in-kind contribution).
- Ministry of Science and Technology of Country Z: participates in resource mobilization, provides technical support and expertise.

- Local and international NGOs working in the field of women and gender: expertise, organization of conferences and seminars on specific topics, review of survey questions.
- Private Enterprise T: Financial contribution and partner in the promotion campaign.
- Category 2 Institute Y: Implementation partner.
- National Commission of Country Z: Coordinator of participating line ministries.

Note: Internal entities (e.g. “HQ Divisions/Sections/Units”, “Field Offices” or “Category 1 Institutes”) are not considered as external partners. In-house cooperation should be included, as appropriate, under Section 4 in the “**Associated Field Office(s), Institute(s) or HQ Division(s) (as appropriate):**” field and detailed in the implementation strategy (section 12).

22. UNESCO Team members for this Extrabudgetary Project:

Indicate the complete list of UNESCO personnel who will be involved in the design and/or the implementation of the Extrabudgetary Project. Please note that colleagues indicated do not necessarily need to be in the same implementing unit, and can be added regardless of their type of contract (intern, temporary, ALD, NPO, etc). Over the course of the biennium, this field thereby provides a comprehensive overview of the human resources that have contributed to the Extrabudgetary Project.

23. Fund Type and Project Type:

The Fund Type and Project Type will be uploaded from FABS and reflects categories of Extrabudgetary Projects (e.g. Special Accounts, Funds-in-trust).

24. Total XB Project Budget:

When creating an Extrabudgetary Project in SISTER, the allocation should be entered under Proposed Allocation (i.e. total XB Project budget) as per the Donor agreement. This amount should be broken down by Donor if several donors are financing the XB Project.

Programme Support Costs (PSC %): Please enter the PSC Rate as per Donor Agreement. During the budget review process the Budget Officer (BFM) will validate this information and amend it where necessary.

Budget preparation: After saving the XB Project in SISTER a link to the online budgeting tool B4U (Budget for UNESCO) will appear. You will have the possibility to use B4U to facilitate the preparation of your budget.

Once done, you can attach in field 26 in SISTER the budget document validated from B4U or the excel budget document in UNESCO’s standard format as usual.

Please consult the B4U Help Card “[Budgetary Process and Budgetary Aspects of Extrabudgetary Projects](#)” for instructions on how to build budgets and how to request validation for the budget in B4U.

When the Extrabudgetary Project is created in FABS by BFM, the budgetary situation is uploaded into SISTER with the following information:

Allocation	Total budget approved as per the Donor agreement and for the whole duration of the XB Project. The allocation is broken down by budget components.
Previous	Sum of open obligations and actual disbursements between the beginning

expenditure	of the Project and the beginning of the biennium.
Expenditure 2012-2013	Sum of open obligations and actual disbursements for the current biennium.
Total Expenditure	Calculated: Sum of previous expenditure and Expenditure 2012-2013.
Av. Allocation	Calculated: Allocation minus Total Expenditure.
Av. Allotment	Annual budget envelope authorized to incur obligations minus Expenditure of the current year.

25. C/5 previous code(s) of attachment:

This information will be automatically provided by the system, allowing to have the overview of an Extrabudgetary Project which is implemented across several biennia.

26. Agreed Project documents:

- **Project document:**
The preliminary Project document as approved by the donor should be attached in this section. This field is mandatory.
- **Budget document:**
The proposed budget should be attached either as validated in B4U or as per the standard UNESCO format, in Excel.

Information may be entered or completed in the remaining part of this section only by BSP/CFS:

- **Signed Donor Agreement (including the Approved Project Document) and the Plan of Operations where applicable:**
When the Donor Agreement is signed, BSP/CFS will also attach a scan of the signed Donor Agreement and of the agreed XB Project Document to the XB Project template which will be indicated in SISTER by a green flag icon.

In addition, the scan of the Plan of Operations duly signed by both parties will be uploaded by BSP/CFS when required.

In case of a Special Account, BSP/CFS checks the Special Account box, which is indicated by the green flag icon.
- **Other project documents (e.g. Amendments with no budgetary impact):**
Finally, other Official Documents amending either the signed Donor Agreement or the agreed XB Project Document **for substantive aspects only**, (i.e. amendments which have no budgetary implications) may be attached (or the URL address may be provided) by BSP/CFS in the section "Other Official Documents". Amendments with budgetary implications will be uploaded by responsible officers/deputies or assistants when requesting a budget operation via the Budget Operations tool of SISTER.

27. Associated RP Element:

If the Extrabudgetary Project reinforces Regular Programme element(s) (Activity or Office 5), the responsible officer can indicate/modify the code(s) here. All associated RP element(s) will be listed and accessible from here.

Note: an XB Project can be associated to several RP elements but only to one CAP Outline (please refer to field 11).

28. Attachment to a 37 C/5 Grouping:

There will be XB Projects for which implementation will continue into the 2014-2017 quadriennium. If the XB Project should be carried-over to the next quadriennium (2014-2017), indicate the code of the 37 C/5 Grouping (and Regional/Thematic sub-Grouping where applicable) to which it should be attached and click "Save".

Once copied in the 37 C/5 SISTER version, colleagues will then need to review the XB Project and adjust it both with respect to the expected results of the 37 C/5 and to changed circumstances and stakeholders expectations. If necessary, colleagues will also need to indicate the 37 C/5 CAP Outline to which it should be associated.