



United Nations
Educational, Scientific and
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Sustainable
Development
Goals



The Resource Mobilization Guidebook

17 PARTNERSHIPS
FOR THE GOALS



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Preface

Like many other UN agencies, UNESCO finances its activities from various sources, which include assessed contributions from its Member States and voluntary contributions from Member States, other multilateral organizations and outside partners and donors. Now more than ever UNESCO depends on these additional resources to meet its commitments for the 2030 Agenda and to maintain its positioning within the United Nations.

For the first time, UNESCO's funding needs were defined and embedded in its biennial programme and budget approved by Member States. The endorsement by Member States of UNESCO's funding needs for 2018-2019 in the approved 39 C/5 signaled a new institutional commitment to resource mobilization.

In light of the positive evolution in the mobilization of voluntary contributions over recent years, UNESCO can be more ambitious in setting its resource mobilization targets. At USD 453 million, the funding gap in the draft programme and budget for 2020- 2021 represents an increase of 30% over that identified for 2018-2019. Going forward, in order to meaningfully play its role in the achievement of the SDGs, and to maintain its relevance and visibility in an increasingly competitive environment, UNESCO needs to step up its resource mobilization performance – leveraging additional financial resources, diversifying its financial partners, working to increase the predictability of its resources, and accessing know-how and capacity from its public and private partners.

To realize this ambition every entity in the Organization – whether Sector or Section, Field Office or Institute is called to play its part. To help colleagues contribute in the most efficient way to this house-wide resource mobilization effort, and ensure that we are all pulling in the same direction, the Resource Mobilization Guidebook gives a step-by-step overview of the process of mobilizing resources. It explains who does what as part of a closely coordinated resource mobilization effort, and explains in detail at each stage in the process. It gives an overview of the tools, templates, modalities, and other knowledge resources available to all staff from the preliminary assessment of needs to the final programme evaluation.

Most importantly, the Resource Mobilization Guidebook places resource mobilization in the wider context of partnerships, which constitute themselves a separate SDG (SDG 17). Resource mobilization at UNESCO is not simply a transaction. It is a mutual commitment to build a long-term partnership based on a common purpose, mutual accountability and a shared commitment to deliver results. The Guidebook shines a light on the principles, values and priorities that underpin the way we mobilize resources. Its overarching purpose is to facilitate the work of the staff, to encourage the development of house-wide standards, and to foster excellence in the way we nurture and manage partnerships at UNESCO. At the end of the day, our collective ability to mobilize sustainable resources for our Organization will depend on the trust that we build with our partners.

Jean-Yves Le Saux

Director, Bureau of Strategic Planning

How to use this Guidebook

The Resource Mobilization Guidebook is closely articulated with the Extrabudgetary Workspace on UNESTEAMS. The Extrabudgetary Workspace is a regularly updated knowledge hub with donor intelligence, templates, training material and other resources to support resource mobilization across UNESCO. The Guidebook contains hyperlinks to various kinds of templates (project design, communication plans, agreements, reports, etc.) that can be downloaded by UNESCO staff on the Extrabudgetary Workspace and adapted for use.

The Guidebook can be read as a whole, but each Chapter is conceived to provide complete information on each topic so that it can be read on a stand-alone basis as per the punctual needs of staff members.

Since at the time of release of the Guidebook, UNESCO is in the middle of the process of re-designing its core IT systems, for the time being reference to functions and processes performed in various IT systems has been deliberately excluded from the Guidebook. Once the core redesign has been completed, and the associated processes have been settled, these additional elements will be added.

Generally speaking, since the context for resource mobilization is in constant evolution, the Guidebook should be seen as a living document and will be updated as and when necessary. Staff will be notified of updates on UNESCOMMUNITY, and updates will be made available through the Extrabudgetary Workspace.



Users are free to print their own reference copy, but to protect the environment there will be no print run of hard copies of the guidebook.

Summary of the Contents

Chapter 1: The Context for Resource Mobilization at UNESCO

This chapter explains how resource mobilization is framed within a notion of partnership based on shared purpose and mutual accountability. It explains the resource mobilization challenges faced by the UN at large and how they are being addressed, including through **'the UN Funding Compact'**. It looks at the link between resource mobilization and programming including how a “funding gap” is embedded in the biennial programme and budget. It refers to trends and challenges in ODA and how UNESCO and other UN are using **“Structured Financing Dialogues”** to create a better enabling environment for resource mobilization.

Chapter 2: UNESCO's Main Donors and Partners

UNESCO has a large and diverse group of partners who provide financial resources, human resources and other types of in-kind resources. This chapter introduces the main categories of donor with whom UNESCO cooperates such as **government donors**, the **United Nations system**, the **European Unions**, the **Multilateral Development Banks** and other **intergovernmental partners**, and the **Private Sector** and gives an overview of how we work with them.

Chapter 3: Roles and Responsibilities for Resource Mobilization

Resource mobilization is a joint responsibility of BSP, Programme Sectors, Field Offices and Category 1 Institutes. This chapter provides an overview of the roles and responsibilities of the various UNESCO actors involved at each stage in the process.

Chapter 4: Planning for Partnership

To translate resource mobilization objectives into concrete effect, the overarching resource mobilization strategy needs to be accompanied by **targeted time-bound resource mobilization plans** at Major Programme level, and at regional, sub-regional and country levels which are responsive to emerging issues and opportunities on the ground. This chapter explains how to plan resource mobilization including a SWOT analysis, the identification of niche areas, the analysis of financial needs and the setting of targets, donor mapping, defining UNESCO's added value, working out how you would like to engage including means and ways of engaging with private sector partners and how to factor communication into planning.

Chapter 5: Outreach to donors

This chapter explains how outreach is conducted from Headquarters and the Field. It explains the need to plan who will do the outreach and when. It includes guidelines for engaging with the private sector and introduces the “UN Global Compact”. It underlines the need for the buy-in from stakeholders and beneficiaries. It explains what should be included in a tailored presentation to donors. It introduces the “Constituency Relationship Management Tool”, which is a house-wide tool for tracking outreach to donors.

Chapter 6: Designing Quality Proposals

This chapter highlights the importance of Results Based Management (RBM). It looks at key questions for the design of quality proposals including criteria for assessing quality, risk analysis, prevention and mitigation, and the ownership of stakeholders including beneficiaries. It introduces the standard UNESCO templates for project design and the appraisal checklist. It also refers to the design of programmes supported through multi-donor special accounts and gives useful links to resources on Joint UN programming.

Chapter 7: Ways of channeling resources to UNESCO’s programme

UNESCO can offer its donors a range of different options for managing voluntary contributions and other resources depending on their requirements. This chapter provides information on the funding modalities such as Multi-donor **Special Account, Multi-Partner Trust Fund (MPTF), Funds-in-Trust, Additional Appropriation** and **Joint UN Programming**. It explains the main modalities for channeling financial resources to UNESCO’s programme. It explains how you can match UNESCO’s funding modalities to a donor’s requirements. It explains how different modalities correspond to different levels of earmarking. It introduces the standard funding agreement templates. It explains joint UN Programming.

UNESCO also receives precious in-kind contributions from partners including know-how and expertise. This chapter also gives an overview of human resources partnerships including JPO’s, loans and secondments, standby agreements, sponsored traineeships, UNESCO volunteers and UN volunteers.

Chapter 8: Negotiating a funding agreement with a donor

This chapter explains how you choose the right kind of funding agreement to match the way you want to engage with a donor. At the outset of a negotiation, UNESCO should always propose its standard agreement templates. This chapter explains, in case a donor insists on using its own agreement template, how to ensure that the agreement is compatible with UNESCO’s rules and procedures. It highlights clauses that are not compatible with UNESCO’s rules and regulations that are sometimes proposed by donors to meet their own concerns about the financial management or legal framework for their contribution.

Summary of the Contents

It puts forward explanations that you can share with the donor to reassure them that UNESCO can ensure sound fiduciary management through the application of its own rules and procedures.

It explains how an agreement can be tailored to a specific project with reference to the payment schedule, duration, the format and the frequency of financial reporting. It gives an overview of the management (PSC) rate by modality and introduces the 1% coordination levy for the Resident Coordinator System.

Chapter 9: Managing Donor Relations

The singular most important factor in putting these principles into practice is the establishment of a relationship of trust with our donors. This chapter explores how that trust can be built both through the stewardship of the institutional relationship with the donor on their overall partnership and portfolio with UNESCO, as well as through the day-to-day management of individual programmes and projects. It explains the need for clear communication and consultation mechanisms such as Steering Committees or review meetings, how to handle divergences from the agreed plan including budget revisions. It highlights the need for high quality and timely reporting on results and the need to associate the donor with programme evaluations, as well as the need to give visibility to the partnership and its results.

Chapter 10: How to prepare a project communication plan

A **project communication plan** outlines key project messages with consideration to how the messages will be presented, the needs of stakeholders including partners and donor(s) and how they will be communicated through specific activities or events. This chapter explains how to develop a project communication plan and introduces the relevant template. It gives guidelines on how to prepare and implement a project communication plan at all stages of the project cycle. It gives information on where you can get further help and advice on your communication plan and a list of useful resources.

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The context for resource mobilization at UNESCO

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Chapter 1.

The context for resource mobilization at UNESCO

1. Resource mobilization and partnership

Partnerships are essential for the realization of the results set out in UNESCO's Programme and Budget and strengthening the impact and the visibility of the Organization. Partnership, programme and communication are inextricably linked and mutually reinforcing. Non-financial partnerships which strengthen the impact and visibility of UNESCO's programme are also highly important. The relevance of UNESCO's partnerships, including its implementation partners, also influences UNESCO's capacity to position itself strategically vis-à-vis emerging global challenges.

As the UN Secretary-General has highlighted, partnerships are also essential for the achievement of the Sustainable Development Goals to which UNESCO's programme is geared: *"Member States have agreed that partnerships are critical to the implementation of the 2030 Agenda. The ambition and breadth of the Sustainable Development Goals make them simply unattainable without robust partnerships. The United Nations development system will need to draw on its unique convening power to help countries to broker the diverse partnerships needed at the global, regional and country levels and to bring together the actors with the appropriate mix of resources – knowledge, science and technology, finance – to find innovative solutions to pressing challenges that can be taken to the required scale. Building on existing partnership efforts, the United Nations is uniquely placed to offer the platforms needed for all actors to come together, build trust and mobilize their respective assets to achieve the Sustainable Development Goals"*¹.

UNESCO adheres to the UN definition of partnership²: *"Partnerships are voluntary and collaborative relationships between various parties, both public and non-public, in which all participants agree to work together to achieve a common purpose or undertake a specific task and, as mutually agreed, to share risks and responsibilities, resources and benefits"*.

UNESCO's engagement with donors, who often provide a blend of financial and knowledge resources, should always be framed within this spirit of common purpose and mutual accountability.

1 Repositioning the United Nations development system to deliver on the 2030 Agenda: our promise for dignity, prosperity and peace on a healthy planet, Report of the Secretary-General, 21 December 2017

2 GA Resolution 68/234, 66/223, 64/223, 62/211, 60/215, 58/129, 56/76

2. Central importance of UN Reform

UNESCO's approach to partnership will also increasingly be informed by emerging developments in UN Reform, notably the new primacy of the UNSDCF (United Nations Sustainable Development Cooperation Framework (UNSDCF or 'Cooperation Framework') at the country level, with UNSDCF outcomes as shared United Nations country team (UNCT) results, to which individual UNSDG entities contribute. In addition, it should also take into account the empowerment of UN Resident Coordinators at country level to have a leadership role in partnership development and common resource mobilization for the UNSDCF³.

At the same time, the entire UN Development System faces serious challenges when it comes to funding. Current funding patterns are characterized by a decline in core resources relative to overall funding, unpredictability and a rising share of tightly earmarked funds for specific development interventions. These patterns increase transaction costs, fragmentation, volatility and competition among entities. They also constitute lost opportunities, by hindering the system's ability to respond in integrated, flexible and dynamic ways to Member States' demands and national priorities. Ultimately, they compromise the multilateral nature of United Nations support to the 2030 Agenda.

In tandem, the United Nations development system needs to be more transparent and accountable for its spending. It also needs to be more effective and efficient in the use of limited resources and communicate more clearly on what it does and what it achieves. It must work more towards collective results within the United Nations and with other actors. These are commitments that the Secretary-General has placed at the heart of his reform agenda for the United Nations development system.

These challenges have given rise to the "Funding Compact" in response to the request of Member States for "whole of UN approaches"⁴.

The Funding Compact contains a set of commitments each with relevant indicators to measure compliance. The commitments apply to actions to be taken by all UNSDG entities, in their development roles, and to the funding provided for the implementation of their development interventions.

Through this Compact, the UNSDG commits to accelerating results for countries, through more collaboration. It will do so while reporting on needs and results more clearly, consistently and transparently; and it will continue to be more efficient in doing so. In parallel, Member States commit to aligning their funding with the requirements of the UNSDG entities: both in terms of quantity and quality. Such funding must also be provided with more stability and Member States will facilitate United Nations coherence and efficiency.

³ See also Chapter 8.5: 1% Coordination Levy for the Resident Coordinator System.

⁴ See the historic General Assembly (GA) resolution 72/279 and response to Member States' request for 'whole of UN' approaches through GA resolution 71/243 on the Quadrennial comprehensive policy review of United Nations operational activities (2016 QCPR resolution).

Workspace

Further information on the Funding Compact and the specific commitments it entails for both Member States and the UN Development System (guidance was issued in March 2019) is available on '[Partnering with UN](#)' at the Extrabudgetary Workspace.

The Joint SDG Fund or '2030 Fund'

The first of its kind in the United Nations, the Joint SDG Fund is an inter-agency, pooled mechanism for strategic financing and integrated policy support. The Fund supports programmes that work across all 17 Sustainable Development Goals (SDGs) and cross-cutting areas so programme countries can accelerate progress towards attaining the SDGs and 2030 Agenda.

As a country-focused instrument, the Fund champions collective efforts at country and multi-country levels, with the next generation of UNCTs and Resident Coordinators at the helm of this transformation. Pooled expertise from across all sectors will result in the development and growth of new coalitions. These "change makers" will use scalable finance and integrated policies to advance inclusive initiatives that accelerate multiple SDGs and cross-cutting issues like human rights, environment, youth, and gender.

The aim of the Fund is to incentivize integrated and transformative policy shifts at the country-level through collective action. Resident Coordinators/UNCTs will be supported as they create SDG strategic investments both in terms of integrated policy and financing that enable governments to cover more distance on the road to 2030.

For further information see: [UNDP Trust Fund Factsheet 'Joint SDG Fund'](#)

3. Link between programming and resource mobilization

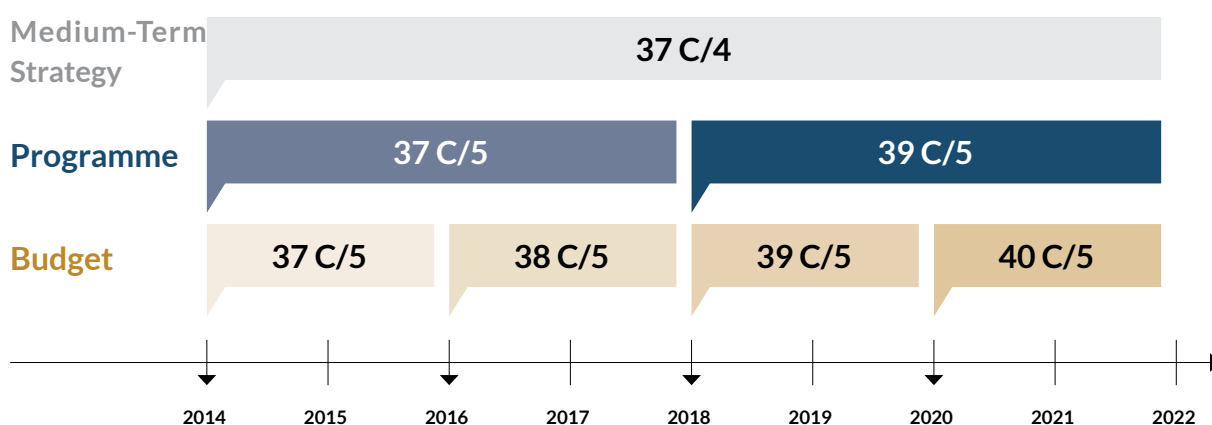
The purpose of resource mobilization is to strengthen UNESCO's programme. UNESCO cannot mobilize or receive funds that are not linked to C/5 expected result(s) or intersectoral theme in its programme.

UNESCO has two main sets of institutional planning documents: **the Medium-Term Strategy** (C/4 document) and **the Programme and Budget** (C/5 document), which together constitute the strategic, programmatic and conceptual framework for all of UNESCO's action. The C/5 is translated into operational programmes which are funded through regular programme and voluntary contributions.

The Medium-Term Strategy is the overarching planning document of UNESCO. It is an 8-year rolling document determining the corporate strategy of the Organization that can be revised by the General Conference, if so required.

The strategic orientations laid out in the Medium-Term Strategy document is translated into two consecutive Programme and Budget documents (C/5), each covering a four-year Programme accompanied by two biennial Budgets.

Figure 1.1 UNESCO's strategic orientation: From the eight-year C/4 to the C/5 four-year Programme and biennial Budget



The estimation of funding needs and the planning of resource mobilization is an integral part of the preparation of each biennial Budget. During the programming process, UNESCO Units and Offices are requested to define programmatic targets based on the need, and estimate how much funding is needed to achieve those targets over a 2-year period. This estimate will take into account the regular programme and voluntary funding that are available over the ensuing two years, as well as the “**funding gap**”⁵. The funding gap must be realistic. This means that it should reflect concrete opportunities for funding that are under discussion with donors, and capacity to implement. During this part of the programming process, the programmatic targets and the funding gap may have to be revised in relation to one another to ensure that there is a reasonable alignment between needs on one hand and capacity and opportunities on the other.

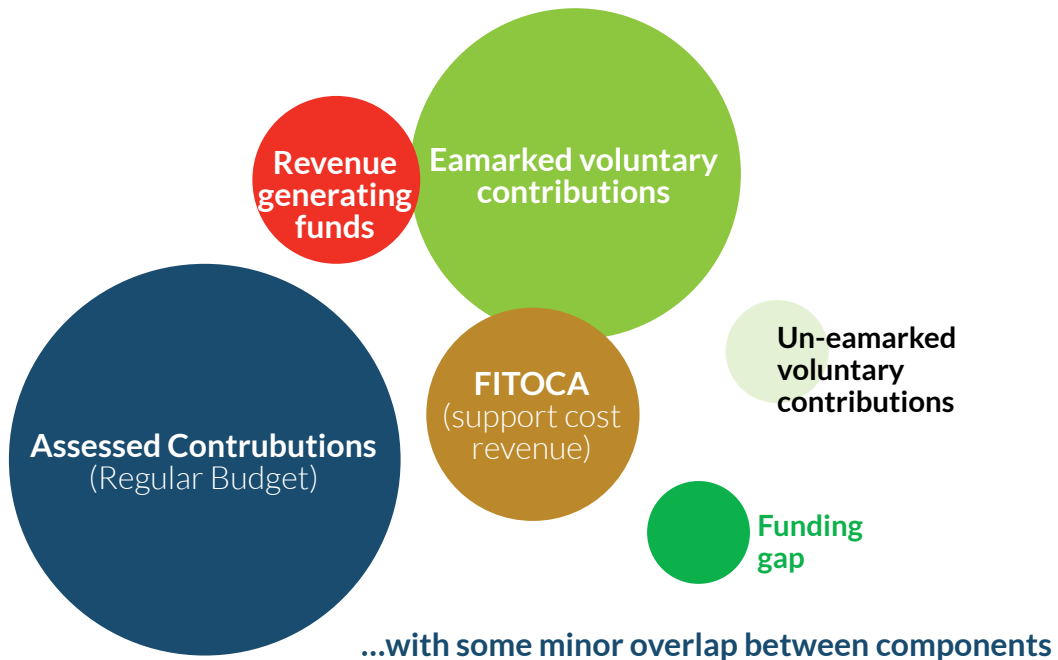
Each biennial Budget is presented as an Integrated Budget Framework, which provides a holistic view of all resources available to UNESCO to achieve its C/5 expected results. It includes assessed contributions, which are the mandatory contributions of Member States, an estimate of the voluntary funding in hand to be spent in the two-year period, and the funding gap. The Programme and Budget (C/5) including the funding gap is approved by all UNESCO Member States at the General Conference. Although the process of estimating the funding needs follows the two year programming cycle, the process of resource mobilization is constant because 1) the planning, budgeting and decision making cycle of UNESCO's partners and donors is independent of UNESCO's cycle and 2) resource

⁵ For more information on the funding gap, see also Chapter 4 Step 3: Analyse resources requirements and set resource mobilization targets.

Link between programming and resource mobilization

mobilization can be a lengthy process, and outreach efforts that may only culminate in the receipt of funds beyond any current Programme and Budget (C/5).

Figure 1.2 what component would you find in an integrated budget framework?



The overarching framework for resource mobilization is the biennial resource mobilization strategy⁶ prepared by the Bureau of Strategic Planning (BSP) that accompanies each Programme and Budget. It sets out the overarching goal and the specific objectives of resource mobilization, and identifies the enablers for resource mobilization.

To translate resource mobilization objectives into concrete effect, the overarching resource mobilization strategy needs to be accompanied by targeted time-bound Resource Mobilization Plans at Major Programme level, as well as regional, sub regional and country level plans developed by UNESCO Field Offices.

The funding gap must be assessed every 2 years in the preparation of each C/5 Budget. Resource Mobilization Plans should cover a period of at least 4 years in line with the quadriennium. They will be updated every 2 years in preparation for each successive C/5.

Another important reference is the “**Comprehensive Partnership Strategy**” which sets out the framework and principles for engagement with all UNESCO’s key partners. The Strategy has just been updated for the period 2019-2021⁷. The updated strategy will be posted on UNESCO’s Extrabudgetary Workspace shortly. .

⁶ [204 EX/5 Part II.B.Add](#)

⁷ The reference for the Executive Board document containin g the updated Comprehensive Partnership Strategy is 207 EX/11

4. Trends and challenges

The structure of Official Development Assistance (ODA) and recent trends have important implications for the way UNESCO's resource mobilization effort is organized. ODA disbursed by Member States through the multilateral channel can be accessed through negotiations from UNESCO Headquarters of strategic multi-annual framework agreements. For UNESCO field offices, the main envelope of ODA into which they can tap is 'Country Programmable Aid' which is defined by OECD as "the portion of aid that providers can programme for individual countries or regions, and over which partner countries could have a significant say"⁸.

Beyond ODA as signaled by the UN Secretary-General in his June 2017 Report "Repositioning the UN development system to deliver on the 2030 Agenda – Ensuring a Better Future for All", partnership with the private sector is also critically important for achieving the SDG's and "[m]aking effective use of diverse financing sources will entail an alignment of private financial flows with the 2030 Agenda, which in turn will require Governments and markets to join in new partnerships that build awareness and trust, align regulations and enable innovative instruments to foster risk sharing and accountability"⁹.

5. Structured Financing Dialogues in UNESCO

Against a backdrop of the stagnation of core funding, and a lack of flexible, predictable funding, the United Nations General Assembly (UNGA) requested the Executive Boards of the UN Funds and Programmes, and invited the Executive Boards of the UN Specialised Agencies to organise "Structured Financing Dialogues (SFD)" to ensure the funding of their respective development plans¹⁰.

UNESCO has also adopted the practice of SFD, as one facet of its overall strategy to create a better enabling environment for resource mobilization.

Through various decisions taken between 2015 and 2017, the Executive Board of UNESCO decided to organize, with the support of the Director-General, a structured dialogue on financing with Member States and relevant partners¹¹. The purpose is to monitor and follow up the adequacy, predictability, flexibility, transparency and alignment of both regular programme and voluntary contributions, including information on resource requirements.

8 [OECD 'Country programmable aid \(CPA\)'](#)

9 [Repositioning the UN development system to deliver on the 2030 Agenda – Ensuring a Better Future for All](#) (30 June 2017)

10 QCPR 67/226 - para. 46

11 [197 EX/Dec.5 \(IV,B\), 202EX/Dec 5 III C, 206 EX/5 Part II B](#)



Key Principles of Structured Financing Dialogues (SFD)

SFD are collective consultations with donors that complement bilateral discussions with donors. They aim to give a holistic view of all resource flows to the programme and help donors see how they can contribute most strategically.

SFD are based on several key principles: **alignment, flexibility, predictability, transparency, and diversification of the donor base.**

Alignment

- Defining C/5 expected results and programmatic targets based on an assessment of needs in the RBB exercise
- Making sure that the amount of anticipated resources indicated in the budget including available funding, as well as the funding gap is well aligned with programmatic targets
- Avoiding presenting to Member States a budget for approval that is overinflated, or underestimated, by making a realistic assessment of potential voluntary funding that will be available for spending in the biennium, and by adjusting the programmatic targets if necessary

Flexibility

- Striving for more flexibility in the way available resources can be deployed to fill the funding gap taking into account evolving resource mobilization performance over time. The two main kinds of flexible funds at UNESCO are regular programme and lightly earmarked voluntary funding under multi-donor special accounts
- Advocating for increased flexibility from Member States in the way RP can be spent
- Advocating for a higher proportion of lightly earmarked funding from donors

Predictability

- Encouraging donors to make multi-annual commitment to reduce vulnerability
- Engaging in stronger forward planning of anticipated voluntary funding

Transparency and Trust

- Building the trust and confidence of Member States and partners through enhanced transparency about all resource flows to UNESCO's Programme and budget
- Telling the story behind resource mobilization patterns
- Showing donors where evolving funding needs lie, so that resources can be invested strategically
- Telling the story about UNESCO from the perspective of key partners
- UNESCO's Transparency Portal plays a key role

Diversification of Donor Base

- Reducing vulnerability of depending on a limited number of donors by reaching out to new donors – emerging donors, middle income countries, private sector, sub-national actors

There are three main modalities for SFD.

1) **An annual discussion amongst Member States as an item on each Spring Session of the Executive Board:**

The “Structured Financing Dialogues” tabled at the Executive Board are a way of having an institutional exchange with Member States on how the resourcing of the programme is evolving and discussing opportunities and arrangements to promote more flexible, long-term funding encompassing regular budget and voluntary contributions.

2) **“Partners’ Meeting” with Member States and partners at Headquarters:**

The “Structured Financing Dialogues” open to non-state partners in the format of a “Partner’s Forum” are a way of showcasing UNESCO’s rich partnership landscape and creating an opportunity for existing and potential partners to engage in UNESCO’s programmes. The first UNESCO Partner’s Forum was organized in September 2018. The event was conceived to create a space where UNESCO’s partners, donors and beneficiaries could take the lead in explaining their motivation for partnering with UNESCO and the different ways of working with UNESCO.

3) **SFD-type consultations on a decentralized and/or thematic basis** with the participation of interested partners at regional or country level who have a specific interest in a given theme, region or sub-region (e.g. regional economic communities and other regional, development banks, embassies and delegations in the field).

SFD organized on a regional, country level or on a thematic basis are a way of bringing around the table existing and potential partners to discuss the resourcing of a programme based on clearly articulated funding needs. SFD will complement the existing bilateral exchanges with individual donors and partners in order to give a holistic view of all resource needs and allow partners to make more strategic choices on how to invest their resources in synergy with other partners.

SFD in UNESCO are part of a long-term process designed to improve the sustainability and predictability of funding for UNESCO’s programme. They are collective consultations that complement, but do not replace strategic bilateral consultations with partners.

 **Workspace**

Lessons learned from the first Structured Financing Dialogue open to non-state partners are available on [‘Structured Financing Dialogue’](#) at the Extrabudgetary Workspace.





United Nations
Educational, Scientific and
Cultural Organization



Sustainable
Development
Goals

UNESCO's Main Donors and Partners

2

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Chapitre 2.

UNESCO's Main Donors and Partners

UNESCO receives support from a large and diverse group of resource partners who provide financial resources, human resources and other types of in-kind resources (premises, equipment, know-how) to achieve and maximize the impact of UNESCO's programmes and priorities in all regions of the world.

The main categories of UNESCO's resource partners include governments, the other agencies, funds and programs of the United Nations System, the European Union, the multilateral development banks, and other multilateral organizations, and the private sector, including small and medium-size firms, national and international corporations, philanthropic and corporate foundations, financial institutions and private individuals.

1. Governments

1.1. Overview

UNESCO owes the greater part of its voluntary contributions to bilateral government donors who on average provide around 65 to 70% of the overall support to priority programme areas, individual projects and the Organization's specialized institutes. The cooperation with bilateral government donors is likely to continue to be the bedrock of UNESCO's extrabudgetary support for programmatic activities in all regions of the world, particularly in Africa.

The bulk of the funding received by UNESCO from government sources comes from the so-called "traditional" donors, in particular the members of the **OECD-Development Assistance Committee (DAC)**. UNESCO currently enjoys support from Australia, Belgium, Canada, France, Germany, Italy, Japan, Nordic countries (Sweden, Norway and Finland), the Netherlands, Portugal, Republic of Korea, Spain, Switzerland, and the UK.

These resource partners manage ODA at different levels:

- at central level by the relevant **Ministries** (Ministry of Foreign Affairs or sectoral Ministries **or development cooperation agencies**; and /or
- through the relevant **embassies** in the beneficiary countries.

They channel ODA through the **multilateral channel** (e.g. for UN agencies or International Financial Institutions) and through country [programmable aid](#).

Outreach to non-DAC donors and emerging donors are also key elements of UNESCO's strategy to diversify its donor base. This group of resource partners includes countries with very diverse profiles including Middle Income Countries, Upper Middle Income countries and the Gulf States.

OECD DAC	Australia, Belgium, Canada, France, Germany, Italy, Japan, Nordic countries (Sweden, Norway, Finland and Denmark), the Netherlands, Portugal, Republic of Korea, Spain, Switzerland, and the UK.
Non DAC and Emerging Donors	Angola, Benin, Brazil, Bulgaria, China, Equatorial Guinea, Gulf States, Indonesia, Iraq, Lebanon, Libya, Malaysia, Mexico, Morocco, Nigeria, Peru, Pakistan
Sub-national public partners	Regional Governments, Federal States, Provinces and municipalities

1.2. How do we work with Government Donors?

a) Strategic Cooperation based on Framework or Partnership Agreements

Wherever possible, UNESCO strives to place its cooperation with governments on a strategic, multiannual footing with arrangements for joint planning and review of cooperation that are embedded in a framework or partnership agreements.

These may be in the form of:

- **Strategic multi-year partnerships** providing support to priority areas to the C/5. Such framework agreements often provide for recourse to various funding modalities (funds-in-trust projects, contributions to multi-donor special accounts, additional appropriations to UNESCO's regular programme).

Examples

- 'Programme Cooperation Agreements' with Nordic governments ([Sweden](#) and [Norway](#)) providing high level support to ED, CI and SC variously often through lightly earmarked funding
- [Multiannual Framework agreements](#) with Flanders on Heritage and Science
- [Framework agreement](#) with Saudi Arabia on a Programme for the a culture of peace and dialogue

Governments

– Large scale multi-country projects

★ *Examples*

- [Framework agreement](#) with China to provide support to several countries in Africa on teacher education
- Framework funds-in-trust with the Republic of Korea to provide support for TVET in Africa.

– Recurrent support for Multi-donor programmes financed through special accounts

★ *Examples*

- Support for the Global Report for the Monitoring of Education
- Support of Nordic countries for CAP EFA
- Recurrent annual funding from Italy for the World Water Assessment Programme
- Heritage Emergency Fund

b) Project-based cooperation

Sometimes, UNESCO and resource partners identify cooperation on a self-standing basis linked to one punctual project or programme. These can be identified from Headquarters or the field. Some stand-alone projects also embed arrangements for joint planning and review in project design.

★ *Examples*

- Support from Italy for a project on rural radio broadcasting in Sudan
- Support from Kuwait, Saudi Arabia and the Republic of Korea for projects addressing the Syrian Refugee crisis

c) Self-benefitting cooperation

A growing number of countries including developing countries and middle-income countries (MICs) have turned to UNESCO in order to request UNESCO's technical assistance for advising, designing and/or implementing their national policies and programmes in UNESCO's areas of competence **on their own territory**. UNESCO will pursue its efforts to scale up this form of cooperation known as '**self-benefitting cooperation**'. In such contexts, UNESCO is well placed to build on expertise, knowledge platforms, and expert networks that are already in place for the development of new capacities and to help up additional channels of communication and cooperation in a sub-regional/regional or global context.

★ Examples

The self-benefiting modality proved its value in several Member States including Angola, Bahrain, Benin, Brazil, Cambodia, Chile, Costa Rica, Ecuador, Guatemala, Indonesia, Iraq, Libya, Mexico, Nigeria, Oman, Peru, Qatar, Thailand and Uruguay. The potential of this modality and its expansion to other countries needs to be further explored and developed.

🔗 Workspace

For more concrete examples and guidance on self-benefitting cooperation, please see '[Examples of best practice](#)' on the Extrabudgetary Workspace.

d) The UNESCO Multi-Partner Funds-in-trust (MPTF)

New models are emerging which offer pointers for the further evolution of this type of cooperation in the future. A salient examples is the UNESCO Multi-Partner Funds-in-trust (MPTF) currently being piloted in Afghanistan in support of the Government's strategy for culture. This innovative mechanism could potentially be used for building upon 'self-benefitting' type funding to create multi-stakeholder partnerships funded through domestic resources, ODA and private sector contributions. The MPTF is also well suited to attract pooled funding for regional or national programmes where the 'Steering Committee' mechanism can help build the ownership of the programme by beneficiaries and other key partners. MPTF is also a tool UNESCO can use to support Member States in donor coordination at country level in areas where UNESCO has a strong comparative advantage. MPTF is further explained in Chapter 7 'Ways of channeling resources to UNESCO's Programme'.

e) South-South cooperation

Other Middle Income Countries have sought UNESCO's assistance to share their development experience with other countries facing similar challenges at regional and/or sub-regional level, notably to foster **South-South cooperation**¹. Salient examples include Support from Middle Income countries for the World Academy of sciences for the advancement of science in developing countries (TWAS) and Malaysia -UNESCO Cooperation Programmer on South-South Cooperation (MUCP). Key insights from the recent MUCP external evaluation include the contribution MUCP has made to networking and knowledge sharing between middle income countries, to strengthening south-south collaborate research, to developing bottom up approaches and contributing to the SDG's.

See also the [UNOSSC website on UNESCO](#).

1 South-South Involves two or more developing countries and is a means of promoting effective development by learning and sharing best practices and technology among developing countries (UNDP definition).

1.3. Sub-national public partners

In many countries, including both OECD DAC and non-DAC Member States, there are sub-national entities that have decentralized accountabilities and budgets in UNESCO's fields of competence. These include Federal states, local government administrations and municipalities. UNESCO will continue to pursue and expand its cooperation with regional governments like Flanders and Catalonia, the Basque country and with federal states in Brazil, Mexico, and India, and with municipalities.

2. United Nations

2.1. Overview

The funding from the United Nations system for operational activities covers a spectrum of sources from 34 UN entities², multilateral vertical funds³ to inter-agency pooled fund mechanisms developed over the past 10 years for both development-related activities and humanitarian/transition assistance.

Inter-agency pooled funds, which include Multi-donor Trust Funds, Delivery as One Funds and Joint Programmes, have become an important funding source for UN agencies, including UNESCO as well as a mechanism that allows for effective collaboration with a variety of UN partners in pursuit of shared programmatic objectives.

2.2. Main UN funding mechanisms for UNESCO

The biggest share of funding received by UNESCO from individual UN agencies comes from UNDP, UNOPS, UNICEF, UNAIDS and UNEP. Their support to UNESCO's programmes focuses on catalytic action, capacity building and advocacy including efforts to leverage additional resources in scaling up of interventions.

- **Multi-Donor Trust Funds (MDTFs)**, Joint Programmes and other inter-agency pooled funding mechanisms represent an influential tool in response to development, crisis and transition environment challenges, and fit into the larger trend of issue-based financing. In recent years, they have become an important funding source for UNESCO. Their increasing use is a direct consequence of the shift in the development effectiveness agenda and its emphasis on multi-stakeholder partnerships with innovative pooled financing. It allows an effective collaboration of a variety of UN and non-UN partners in pursuit of shared objectives.
- **New international climate financing mechanisms** have been emerging in recent years such as the Adaptation Fund or the Green Climate Fund, which represent new potential

2 List of [the UN System](#) Funds and programmes: UNDP (incl. UNCDF, UNV), UN-Women, UNFPA, UNICEF, WFP, UNHCR, UNAIDS, UNCTAD (incl. ITC), UNEP, UN-Habitat, UNODC, UNRWA, UNOPS Specialized agencies (plus UNESCO): FAO, IAEA, ICAO, ILO, IMO, ITU, UNIDO, UPU, WIPO, WHO, WMO, UNWTO Regional commissions: ECA, ECE, ECLAC, ESCAP, ESCWAS Secretariat departments: OCHA, DESA, UNCCT Other entities: IFAD, OHCHR

3 Multilateral vertical funding sources managed by UN agencies or others that have developed innovative mechanisms relevant to UNESCO's mandate on climate finance instruments serving as financial mechanisms for the UN Framework Convention on Climate Change (UNFCCC): The Adaptation Fund (AF), the Green Climate Fund (GCF) and the Global Environmental Facility (GEF).

funding sources for the Organization. UNESCO has an accreditation for the Adaptation Fund, the Green Climate Fund (application underway) and the Global Environment Facility, for which UNESCO is an executing agency through GEF UN Agencies.



The Climate Funds

The Global Environmental Facility (GEF)

Today the GEF is the largest public funder of projects to improve the global environment. It was established in October 1991 as a \$1 billion pilot program in the World Bank to assist in the protection of the global environment and to promote environmental sustainable development.

The GEF focuses on the following main areas: Biodiversity, Climate Change (Mitigation and Adaptation), Chemicals, International Waters, Land Degradation, and Sustainable Forest Management / REDD + Ozone Layer Depletion. It also works on several crosscutting issue and programs: Results & Learning, Earth Fund and Public Private Partnerships, Capacity Development, Small Grants Programme and Country Support Programme.

UNESCO is not yet a GEF Agency, however it can position itself as an implementing partner to GEF agencies like UNDP and GEF. For tips on how to access GEF funding, please see '[Opportunities with GEF and SDC](#)'.

Adaptation Fund

The Adaptation Fund (AF) was established to finance concrete adaptation projects and programmes in developing countries. It focuses on environmental protection, which includes climate change influence on agriculture and community development.

The AF is supervised and managed by the Adaptation Fund Board (AFB), which is composed of 16 members and 16 alternates and holds periodic meetings throughout the year. The AF is not based in any one location. The Global Environment Facility (GEF), located at the World Bank headquarters in Washington, DC, provides interim-term secretariat services to the Adaptation Fund Board. The World Bank provides trustee services to the Adaptation Fund Board. The AF is unique in its disbursement modality since it promotes direct access to funds by developing countries through accredited national implementing entities.

UNESCO has engaged with the Adaptation Fund since 2012 and was re-accredited in 2016 for 4 years.

Green Climate Fund

The Green Climate Fund (GCF) was established at the COP in Cancun end of 2010. Its objective is to promote the paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change, taking into account the needs of those developing countries particularly vulnerable to the adverse effects of climate change.

The Fund's resources are allocated equally between mitigation and adaptation projects. Additionally, it aims to provide 50 per cent of the adaptation allocation for particularly vulnerable countries (least developed countries, small island developing states and African states).

UNESCO is not yet accredited to GCF. Four options for partnering with the GCF in the short-term are feasible:

- Support a number of National Designated Authorities (NDA) with their Readiness
- Support a number of Accredited Entities (AE) or National Accredited Entities (NAE) with their National Adaptation Plan (NAP) Readiness
- Partner with National Accredited Entities in the implementation of their projects
- Partner with Accredited Entities as a Delivery Partner in their projects

2.3. How do we work UN funding partners?

2.3.1. Bilateral cooperation with UN agencies

a) Global Strategic Collaboration Agreements

UNESCO has signed MoU/Global Strategic Agreements with a number of UN agencies that provide a framework for its strategic alliances with its UN partners and define its areas of common interest and spheres of cooperation. All UNESCO's agreements with the UN agencies are available on [the UNESCO website](#). These agreements do not necessarily involve the transfer of funding.

b) Funding Agreements

If UNESCO is to receive resources from another UN agency for the implementation of programme activities, specific agreements need to be concluded with details on financial and programmatic/administrative arrangements.

The most common arrangement is the UN-UN Transfer Agreement, which facilitates the transfer of funding from one to another UN Agency for programmatic activities.

2.3.2. Participation in joint UN programming

- **Modalities of cooperation among UN agencies**

There are several modalities for collaboration (joint planning, programming and resource mobilization) among UN agencies. The [policies and guidance notes](#) developed by UNDG define the different aspects of collaboration under these modalities.

UNDG, which unites 32 UN entities that play a role in development, has issued a number of policy guidance notes to facilitate programme activities among agencies and joint funding approaches⁴.

Workspace

All signed MoU for the joint UN funds are available at the Extrabudgetary Workspace under '[Partnering with UN](#)'.

- **Joint Programme**

A joint programme⁵ is one modality of working together in the context of UNSDCF Delivering as One/One Programme or other frameworks for common country programming. It may also be used in countries that are not using any of these frameworks, and to support regional or global UN collaboration. A joint programme can be established at national regional or global levels (involving two or more countries or regions).

Funds received for a joint programme can be:

- stand-alone, i.e. financed directly by UN organizations or by donors to UNESCO and not through an MDTF/One Fund or other pass-through funding mechanism⁶;
- financed through an MDTF, including One Fund, or a global fund;
- co-funded by governments.

- **Multi-Donor Trust Fund**

Multi-Donor Trust Fund (MDTF)⁷ managed by the UN are an important funding mechanism to channel and leverage resources in an effective and coordinated way to support UN system-wide development efforts. Their growing use is a practical manifestation of the aid effectiveness agenda and of the successes of joint programmes and Delivering as One. Participating UN organizations continue to expand their participation in these partnership arrangements through a variety of pooled funds, MDTFs and bilateral arrangements.

⁴ <https://undg.org/home/guidance-policies/>

⁵ A joint programme is a set of activities contained in a joint work plan and related common budgetary framework, involving two or more UN organizations and national or subnational governmental partners. It is intended to achieve results aligned with national priorities as reflected in UNSDCF One Programme or an equivalent programming instrument or development framework. While the joint programme arrangement is only between UN organizations, government entities, civil society organizations and the private sector can be engaged as implementing partners, depending on the rules of participating UN organizations.

⁶ Dedicated presentations are devoted the Resource Management Modalities for Joint Programmes. Key elements are available here : <http://manual-part1.hq.int.unesco.org/EN/Chap5/Pages/Item5.5.aspx>

⁷ For more information see also the UNDG Guidance Note on Establishing, Managing and Closing Multi-Donor Trust Funds: <https://undg.un.org/resources/undg-guidance-establishing-managing-and-closing-multi-donor-trust-funds> and BSP's presentations.

United Nations

When managing an UN-administered MDTF, participating UN organizations customarily appoint an Administrative Agent (AA) who signs standard UNDG agreements for the management of the fund with donors through a Standard Administrative Agreement (SAA), and with participating organizations through a memorandum of understanding.



An MDTF is a funding mechanism which:

- receives contributions from more than one donor
- holds these funds in trust
- allocates funds through a designated governance structure, and
- disburses funds through an administrative agent/ fund manager to a number of different UN recipients

• One Fund

To support implementation of the One UN programme, UNCTs often establish a One UN Coherence Fund or UN Country Fund. This joint development fund aims to maximize effectiveness by pooling resources into a common fund to support the country's strategic priorities, as defined by the One UN programme. To further accelerate coherence, efficiency and delivery, the One UN approach calls for contributing multi-year, un-earmarked commitments to the One UN Fund. This enhances predictability and helps ensure a strategic programme in which funding decisions are driven by national development priorities and strategies.

The One UN Fund pools donor contributions for allocation by the UNCT, under the leadership of the RC. These funds are meant to be additional to core funds provided to UN agencies, funds and programmes. As of December 2016, 21 One UN Funds had been established, are administered by the MDTF Office of UNDP and adhere to UNDG standards.

2.4. Some strategic tips for mobilizing resources within the wider UN context

The general principle for resource mobilization within the UN system is that programming priorities (country, regional, global or thematic) drive the funding mechanism and/or the interest for a UN agency individual programme support and/or joint programme initiative with UNESCO. It is therefore critical to participate from the very beginning in the various joint UN planning processes to identify national key development issues corresponding to UNESCO's mandate and to highlight possible areas of intervention of UNESCO.

- In a normal development context, the timely and continuous participation in the joint UN planning process is essential. Indeed, at the country level, the full involvement in the United Nations Country Teams (UNCTs) to prepare Common Country Assessments (CCAs) and United Nations Sustainable Development Cooperation Frameworks (UNSDCF's) is the first and strategic step in preparing future country programmes and projects supported by UN agencies, in which UNESCO can possibly participate.
- For humanitarian and transition activities, the primary planning tools are the OCHA-led consolidated inter-agency appeals process (CAP); the common interagency planning,

coordination and resource mobilization mechanism for the humanitarian response to crisis; and the needs assessment, work planning and/or appeal documents for transition situations. These are the main vehicles through which UNESCO can provide crisis and transition oriented programming and potentially access funds. It is therefore important for UNESCO to engage early and fully in these processes, which aim to bring together the UN, NGOs, host governments and international agencies to evaluate needs and formulate a common strategy for humanitarian response.

Successful resource mobilization from other UN agencies depends on strong relationships based on trust and results.

When working with other UN agencies specifically with the UN Funds and Programmes, it is essential to gather intelligence on their country priorities as articulated in their Country Programme Documents and/or in their medium term strategies covering global and regional objectives. They expect UNESCO to:

- understand their priorities and be able to articulate how UNESCO will help them meet their objectives in the country through a programmatic partnership
- bring credibility through its added value thanks to UNESCO's unique relationships with national governments.

3. The European Union (EU)

3.1. Overview

The European Union (EU) is a key partner for UNESCO and the UN system as a whole. The EU commitments to the UN in 2017 reached a record high EUR 3.6 billion. The increase in recent years is largely attributed to the refugee crises in the EU neighbourhoods. The EU implements through the UN when a specific expertise is valued, as well as a singular capacity, privileges and access to deliver assistance and humanitarian aid.

The EU is highly committed to multilateralism and helps shape and support the UN policy agenda. Most importantly, it shares common values and principles with the UN. UNESCO's overall cooperation with the EU is progressing well.

The European Commission (EC) in Brussels is organised into departments known as [Directorates-General \(DGs\)](#), each responsible for a specific policy area. Key interlocutors of UNESCO include the following Directorates Generals of the European Commission: the DG for International Cooperation and Development – DEVCO, the DG for Neighborhood and Enlargement Negotiations – NEAR the DG for Education and Culture – EAC, the DG for European Civil Protection and Humanitarian Aid Operations – ECHO and the DG for Research and Innovation – R&I.

In addition, UNESCO is also working with the Delegations of the EU at country level (more than [140 EU Delegations and Offices](#)) the [European Parliament](#) and the [European External Action Service](#) (EEAS), which is the European Union's diplomatic service. It helps the EU's

The European Union (EU)

foreign affairs chief – the High Representative for Foreign Affairs and Security Policy – carry out the Union's Common Foreign and Security Policy.

3.2. How do we work with the EU?

- The collaboration between UNESCO and the European Union (EU)⁸ was formally set up in 1964 through an exchange of letters. In April 2003, the United Nations and the European Commission signed the Financial and Administrative Framework Agreement, known as [FAFA](#) to which UNESCO acceded in February 2004. An amendment to the FAFA was signed in February 2014 and an updated version in December 2018.
- On 8 October 2012, UNESCO and the EU signed a [Memorandum of Understanding](#) (Strategic partnership) with a view to strengthening the partnership by improving dialogue and knowledge sharing, promoting best practices and creating synergies where appropriate.
- UNESCO (HQ and Field Offices) can directly negotiate with the EC in Brussels or Delegations of the EU at country level (modality called **Indirect Management**), or in certain cases apply for EU funds through **calls for proposals**. BSP and the UNESCO Liaison Office in Brussels should be consulted well in advance to be able to provide guidance and advice.

Example of projects directly negotiated (Indirect Management):

- Cash for Work: Promoting Livelihood Opportunities for Urban Youth in Yemen – EUR 9,780,000
- UNESCO implementation of the Skills and Technical Education Programme (STEP) in Malawi – EUR 9,000,000
- Youth Empowerment: Media and Information Literacy as a response to prevent hate and violent extremism in Jordan – EUR 1,000,000

Following the adoption of the 2013 EU Financial Regulations, the EU requested beneficiaries of EU funds, including the UN, to pass an evaluation exercise (so-called Pillar Assessment). The Pillar Assessment of UNESCO on internal control, accounting, independent external audit, procedures and rules for grants, for procurement and for sub-delegation has been completed. The evaluation reported as positive and compliant. This is now a precondition to be able to work under the Indirect Management mode.

In 2018, **new EU Financial Regulations** have been adopted and new **Contribution Agreement template** developed (in force on 1st of January 2019). The first caters for extended reliance on partner's procedures through various means, which entails a simplification at the contractual level. The Contribution Agreement is a corporate Commission template, which will be used with all implementing partners. The Financial Regulation of 2018 introduced the possibility to use the same template for pillar-assessed entities regardless of the management mode and nature of the action. Note however that other agreements can apply to specific programmes i.e. when working with ECHO and the Horizon 2020 programme.

⁸ The Lisbon Treaty entered into force on 1 December 2009 and the European Community became the European Union.

While pillar assessments carried out in the past remain valid, revised terms of reference are in preparation which will include pillars on publication of beneficiaries, data protection and exclusion from financing. The revised methodology is expected to be available in 2019.

Workspace

To learn more about EU Instruments and EU funding, you can consult '[Cooperation with the EU](#)' at the Extrabudgetary Workspace.

4. Multilateral Development Banks and other intergovernmental partners

4.1. Overview

Multilateral Development Banks (MDBs) comprise international and regional development banks. UNESCO's major partners are [the World Bank](#), the Asian Development Bank, [the African Development Bank](#), and [the Islamic Development Bank](#) as well as other multilateral development partners such as the OPEC Fund for International Development and the Global Partnership for Education.

MDBs play a major role in setting and influencing the international development agenda. The World Bank and the major regional development banks are amongst the largest single sources of development finance in areas where UNESCO has a mandate and expertise. The provision of finance by MDBs is linked to the realization of specific policy outcomes, including the SDGs and frameworks and policy initiatives such as Poverty Reduction Strategy Papers, the Global Partnership for Education, Managing for Development Results and the harmonization of donor practices.



The Global Partnership for Education (GPE)

[The Global Partnership for Education \(GPE\)](#) is a multi-donor Trust Fund hosted by the World Bank.

It brings together over 60 developing country governments, and more than 20 donors, international organizations, civil society, teacher organizations, the private sector and philanthropy to improve learning and equity through stronger education systems. GPE's role is to agree standards for education planning and policy-making and to mobilize financing from public and private sources around the world to support and monitor the implementation of those plans.

For tips on how UNESCO can access GPE funding see '[UNESCO's engagement with GPE through CapED](#)' on the extrabudgetary workspace.

4.2. How do we work with the MDBs?

4.2.1. Policy dialogue and research

Through joint workshops and research in areas of common interest.

Examples

For a documentation of the lessons learned for resource mobilization relating to the 'Promoting Peace in the Lake Chad Basin Programme' financed by the African Development Bank see 'Cooperation with the Lake Chad Basin Commission' on the Extrabudgetary Workspace at '[Examples of best practices](#)'.

See also a video on the '[Promoting Peace in the Lake Chad Basin Programme](#)'

4.2.2. Cooperation in project formulation

UNESCO participates in project formulation with MDBs in a number of ways:

- Through involvement in joint identification and preparation missions with MDBs and joint workshops and research in areas of common interest;
- UNESCO (*Field Office*) approaches sectoral Ministry and/or national executing agency and the bank on the basis of notice from bank;
- UNESCO (*Field Office/Programme Sector with BSP/MLP*) responds to call for expression of interest from the bank;
- At the request of the bank in the context of standing cooperation programmes with AfDB and OFID (*BSP/MLP with Field Office/Programme Sector*);
- A Member State may request UNESCO's assistance in preparing project for bank financing (*BSP/MLP with Field Office/Programme Sector*)

Potential Sources of Funds for Project Formulation

- Technical assistance advanced from loan
- Grant finance for project preparation from Bank itself
- Trust Fund placed at disposal of Bank for project preparation by a bilateral donor or group of donors
- UNESCO may consider contributing to project formulation from its own funds.

Key interlocutors for UNESCO at country level

- Bank: Country Task Manager; Sectoral Resource Person or the Head of Resident Mission
- National Authorities: Sectoral Ministry; Executing Agency or the Ministry of Finance or Planning

4.2.3. Cooperation in project implementation

a) **Agreements between UNESCO and a Government/Regional Economic Community - Technical Assistance by UNESCO under projects financed by MDBs**

Concerning project agreements concluded with Governments, it is the national authorities of the beneficiary country, usually the sectoral ministries, who are responsible for contracting. UNESCO Field Offices can play a decisive role in this respect in influencing the authorities of their host countries at the project formulation stage. To participate in project implementation, UNESCO must either negotiate a direct agreement with the Government of the beneficiary country (sole source procurement), or be awarded the contract on the basis of a successful bid in the context of a tendering exercise.

Key interlocutors for UNESCO at country level are the National Executing Agency; the Project Implementation Unit; the Sectoral Ministry or the Country Manager of the bank.

b) **Direct agreements between UNESCO and a bank**

Most of the MDBs also promote the development of global or regional public goods (e.g. policy meetings, exchange of good practices, regional studies, etc.). This is an important entry point for UNESCO for cooperation with MDBs by direct agreement with the banks. Such exercises are often financed from Trust Funds, financed by bilateral Governments, and administered by the banks.

UNESCO has standard templates to formalize the agreements with MDBs to receive direct grants:

Potential Sources of Funds for Project Implementation

- Loan Funds
- Grant Funds

The Multilateral Development Banks also administer major Multi-donor Trust Funds, such as the African Water Facility (AfDB), and the Global Partnership for Education.

5. Private sector

5.1. Overview

Working with the private sector to develop long-term and sustainable partnerships has become a necessity, not only an option for UNESCO. The private sector nowadays plays a crucial role in working towards sustainable development.

UNESCO works with all types of private sector entities, including small- and medium size firms, national, international and multinational corporations, philanthropic and corporate foundations and business associations to carry out its vast mandate.

The level of extrabudgetary funding from private sector and foundations has been evolving significantly over the past years. In addition to funding, the private sector's core

Private sector

competencies such as its technological know-how, effective business processes, reach and networks and its unique capacity to innovate can greatly enhance the scale and quality of UNESCO's work, strengthening sustainability and greater impact.

The base of private sector and foundation partners has become increasingly diverse including new stakeholders from the Gulf States and from middle-income countries such as Brazil, China, South Africa and Russia.



UNESCO's major private sector partners include

Companies: Airtel Gabon (Gabon), Ericsson (Sweden), HNA Group (China), Microsoft (US), Nike (US), Kush Productions (UK), Talkmate (China), Tang West Market Group (China), TV Globo (Brazil), Seabourn (US), Phosagro (Russia)

Philanthropic and corporate foundations: China World Peace Foundation, Siemens Foundation, Education Above All Foundation, L'Oréal Corporate Foundation (France), Misk Foundation (Saudi Arabia), William and Flora Hewlett Foundation (US), Ford Foundation (US), Elion Foundation (China), Dubai Cares (UAE), King Salman Centre (Saudi Arabia), Auxilium Foundation, Sabrina Ho Initiative, Macau, CJ Cultural Foundation, Open Society Institute, Chanel Foundation, Qatar Foundation.

In the wider UN context, the emerging consensus is that it is important to distinguish the 'business sector' which basically covers 'for profit' entities from the 'private sector' which covers 'not for profit entities' such as Foundations.

UNESCO also stands ready to engage in new UN-wide work streams aimed at adopting a system-wide approach to partnerships and a review of the role of the Global Compact and its relationship with UN Country Teams to enhance engagement with entrepreneurs, the private sector, financial institutions and others to more effectively support national SDG priorities. SG report on QCPR 2017.

5.2. How do we work with the private sector?

Based on experience, the UN Global Compact has identified 6 different models for UN business partnerships which represent the most common configurations⁹:

1. Global implementation partnerships focus on implementation outcomes. They establish platforms comprising numerous representatives from all relevant sectors to create frameworks for action that address global challenges and allow for local implementation.

2. Local implementation partnerships execute humanitarian or development projects in particular areas or regions. They are often accompanied by encouraging changes in behaviour of local target groups.

⁹ UN Business Partnerships. A Handbook. UN Global Compact. For more information go to: <https://www.unglobalcompact.org/library/361>

3. Corporate responsibility initiatives concentrate on changing business behaviour, for example, through leveraging their commitments to a specific development cause or fostering the self-regulation of a specific sector.

4. Advocacy campaigns encourage behavioural changes of target groups to alleviate development problems. Desired changes can range from sensitizing individuals to certain issues to encouraging individuals to engage in problem solving.

5. Resource mobilization partnerships focus exclusively on engaging companies to provide resources or to mobilize external resources to enable UN entities to better fulfill their mandates.

6. Innovation partnerships enable outcomes. They utilize the expertise of business partners to develop and implement innovative products and services that can, for example, improve work processes within UN entities.



UNESCO's Partnership with TV Globo

In many cases, a given partnership may combine two or more of the above models. A good example is UNESCO's partnership with TV Globo in the 'Criança Esperança' Programme. TV Globo, the largest Brazilian broadcasting network and the 4th largest in the world, created the programme in 1986. TV Globo reaches almost 90% of Brazil's 5,564 municipalities. By means of the Criança Esperança Programme TV Globo provides UNESCO's mandate a high level of visibility and allows the Organization to advocate the themes of its mandate widely.

It is a multi-donor Social Mobilization and Fundraising Campaign, which has been promoted for the past 32 years, aimed at transforming the future of vulnerable children and young people and reducing poverty. Every year, a large campaign mobilizes Brazilians, who donate funds to support social projects implemented by NGOs in all five regions of Brazil. By means of the Criança Esperança Programme UNESCO Brasilia Office is able to support important projects throughout the country and to work in different priorities such as social protection, social inclusion, prevention of HIV/AIDS, inclusive education, youth empowerment and engagement, fight against racism and discrimination, and others. In 2017, the Program raised around USD 5 million, funded 85 social projects in five regions of Brazil and benefitted more than 50,000 girls and boys and young women and men.

See a video about [UNESCO's engagement with TV Globo](#).

For further information concerning cooperation with the Private Sector, you may refer to the following links:

- [Guidelines on Cooperation between the United Nations and the Business Community](#)
- [The United Nations Global Compact](#)
- Resources on UN-business partnerships, including examples, tools and guidance for developing and sustaining partnerships: <https://www.unglobalcompact.org/library>





United Nations
Educational, Scientific and
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Sustainable
Development
Goals

3

Roles and Responsibilities for Resource Mobilization

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Chapter 3.

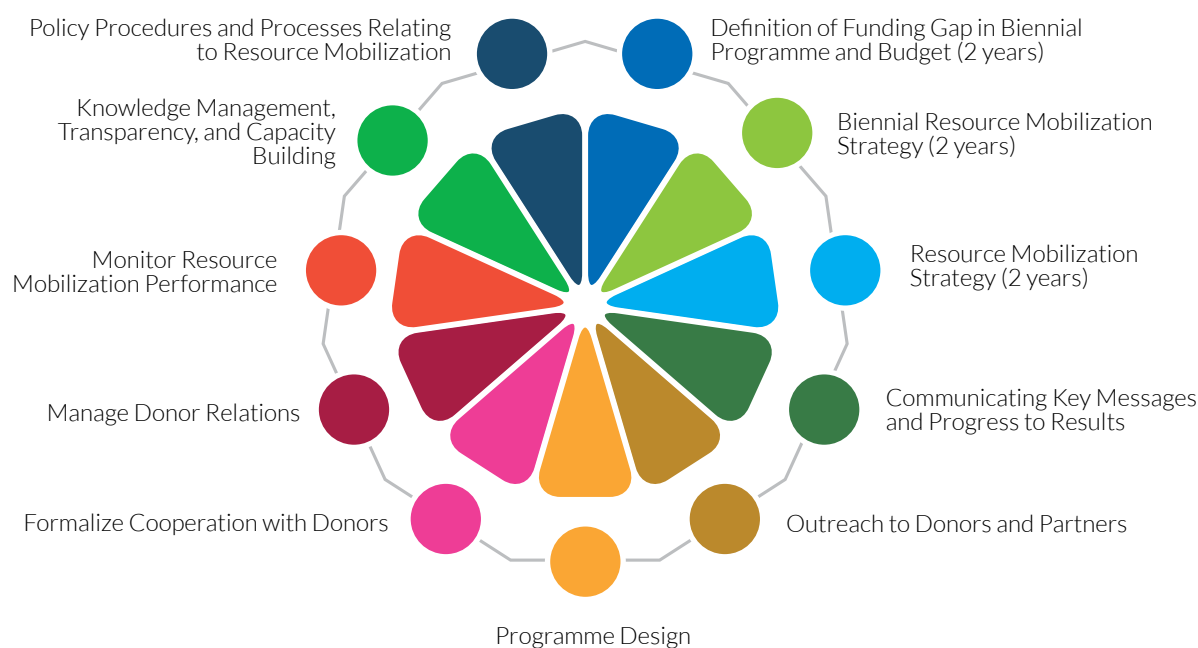
Roles and Responsibilities for Resource Mobilization

1. Roles and responsibilities

Resource Mobilization is a joint responsibility of the Bureau of Strategic Planning, Programme Sectors, Field Offices and Category 1 Institutes.

- The **Director-General** leads overall resource mobilization effort, setting priorities for resource mobilization and spearheading outreach efforts at the highest level.
- The **Bureau of Strategic Planning** is the institutional focal point for UNESCO's public and private partners including key interlocutors from civil society. It ensures the stewardship of existing public and private partnerships with a view to bringing them to scale and promoting long-term, strategic alliances. It pro-actively prospects for new donors and partners to diversify and expand UNESCO's donor base. It provides backstopping and guidance to UNESCO Programme Sectors, Field Offices, and Category 1 Institutes in support of their efforts to engage with partners and mobilize resources. It is the focal point for the elaboration of strategies for partnership and resource mobilization. It also contributes to the creation of a stronger enabling environment for resource mobilization, through the provision of capacity building and knowledge resources for internal and external stakeholders, by providing support for structured financing dialogues and other donor consultations, and promoting the refinement of systems and processes to make them ever more conducive to efficient engagement with partners.
- The **Programme Sectors, Category 1 Institutes, and Field Offices** are accountable for mobilizing resources and are the main actors in designing and implementing projects and programmes in close consultation with donors, as well as reporting on progress towards results.
- **Field Offices** play a lead role in mobilizing resources from decentralized multilateral funding sources such as the multilateral development banks, UN funds and programmes, the European Commission, as well as decentralized governmental and private funding sources, including self-benefitting arrangements.

The following diagram gives an overview of the roles and responsibilities as per different steps as part of Resource Mobilization.

FIGURE 3.1 Roles and responsibilities in Resource Mobilization

1.1. Definition of funding gap in biennial budget (2 years)

BSP	Programme Sectors	Field Offices	Institutes
Co-ordinates preparation of C/5 in which funding gap defined at C/5 expected result (ER) level	Define and consolidate funding gap by C/5 expected result (ER) at Major Programme (MP) level	Assess funding gap by ER at country, sub-regional and regional levels (feeding into assessment at MP level)	Prepare a Programme and Budget for approval of its Governing body including any funding gap
	Identify need for in-kind resources, including human resources.		

1.2. Biennial resource mobilization strategy (2 years)

BSP	Programme Sectors	Field Offices	Institutes
Drafts biennial UNESCO Resource Mobilization Strategy, in consultation with UNESCO stakeholders	Provide feedback, advice and inputs to BSP on the draft strategy based on lessons learned, best practice and challenges encountered		

Roles and responsibilities

1.3. Resource mobilization plans including targets (4 years)

BSP	Programme Sectors	Field Offices	Institutes
<p>Coordinates the preparation of resource mobilization plans by Programme Sectors and field offices</p> <p>Makes available resources such as donor profiles, donor mapping, and examples of best practice on the extrabudgetary workspace</p> <p>Provides feedback on all resource mobilization plans to identify possible synergies, to avoid duplication and ensure coordination vis-à-vis donors</p> <p>Provides advice on funding opportunity, on approaches to specific donors, and major strategic partnerships</p> <p>Uploads resource mobilization plans onto a dedicated intranet site</p>	<p>Elaborate specific guidance on resource mobilization priorities in consultation with BSP and field offices and shares with all UNESCO Field Offices and Category 1 Institutes</p> <p>Provide feedback on field office and category 1 Institute resource mobilization plans</p> <p>Exchange information with UNESCO field offices on planned programmatic and/or fundraising initiatives</p>	<p>Develop resource mobilization plans at national, sub regional or regional level and monitor their implementation^{(i),(ii)}</p>	<p>Contribute to resource mobilization plan of Sector and prepares resource mobilization plan for Category 1 Institute</p>

(i) Template for Resource Mobilization Plan by FO is available at 'Templates' on the Extrabudgetary Workspace.

(ii) All Field Offices: Ensure that resource mobilization plans are closely aligned with the overall biennial resource mobilization strategy of UNESCO and any sectoral resource mobilization priorities and guidance and the UNESCO Country Strategy. National Field Office: Develops a country resource mobilization plan, or a national component of a wider regional, or sub regional resource mobilization plan and monitors its implementation. Cluster Office: Develops a multi-country/sub regional resource mobilization plan (e.g. Pacific sub-region, Caribbean sub region) and monitors its implementation. Multisectoral Regional Offices (MRO's) in Africa: Develop the resource mobilization plan with sub-regional and national components with the offices and antenna that they supervise and monitors its implementation. Regional Bureaus by Sector (ED, SC, CLT): Develop and monitor regional sectoral resource mobilization plan in close consultation with other UNESCO field offices in the region and in close consultation with the Executive Office of their respective parent Sector and monitors its implementation.

1.4. Communicate key messages and progress to results

BSP	Programme Sectors	Field Offices	Institutes
<p>Coordinates the development of clear statements of UNESCO's capacity and relevant experience in key areas that can be used by programme specialists when preparing project proposals</p> <p>Supports Programme Sectors, and field offices in the development of consistent presentations to donors (including on UNESCO's contributions to SDGs)</p>	<p>Prepare key messages and policy briefs and advocacy material and share with Field Offices and Category 1 Institutes</p> <p>Identify communication channels at global level</p> <p>Develop clear statements of capacity in key areas that can be useful for programme specialists when preparing project proposals</p>	<p>Customize key messages to the country/regional context</p> <p>Send documentation on 'success stories' or documented best practices with photos or other advocacy material to the focal point for communication in each Programme Sector.</p> <p>Identify communication channels at regional and country level</p> <p>Position UNESCO to donors and partners at regional, sub-regional and/or country level.</p> <p>Position UNESCO in UNSDCF through 'UNESCO Country Strategy'</p>	<p>Contribute to key messages and advocacy materials of sector and develops dedicated material for category 1 Institute</p> <p>Identify communication channels at global level, regional and country level</p> <p>Position UNESCO to donors and partners at global, regional, sub-regional and/or country level.</p>
<p>Works with KMI on the further enhancement of the Transparency Portal</p> <p>Designs and updates reporting guidelines in consultation with Programme Sectors, Field Offices and Category 1 Institutes, to meet donors' expectations for results based reporting</p> <p>Creates visibility opportunities to promote high level partnerships (web news, side events, signing ceremonies with senior management)</p>	<p>Plan and budget for communication and evaluation in project design</p> <p>Prepare and implement project communication plans</p> <p>Closely engage existing donors in evaluation and use evaluations as a platform for outreach to potential donors</p>		

Roles and responsibilities

1.5. Outreach to donors and partners

BSP	Programme Sectors	Field Offices	Institutes
<p>Organizes Structured Financing Dialogue (SFD)/and Partners' Forums at global level</p> <p>Coordinates all Headquarters based outreach to donors and consultations with all donors with whom UNESCO holds a framework or partnership agreement</p> <p>Oversees outreach and resources mobilization efforts of the UNESCO offices in Geneva and New York to potential partners based in Switzerland and the USA respectively, and of the Brussels office vis à vis the EU</p> <p>Coordinates outreach to, and due diligence of private sector partnerships</p> <p>Works with PAX on strategic partnerships for Africa, and with the Gender Equality Division on any specific fundraising initiatives relating to gender equality</p> <p>Supports and advises Programme Sectors and field offices in their efforts to engage with donors by providing advice and information on donor priorities and modalities</p> <p>Guides potential donors to matching priorities within UNESCO's programme</p> <p>Informs relevant UNESCO stakeholders of potential donor interest and upcoming opportunities and donor meetings</p>	<p>Organize thematic Structured Financing Dialogues/and Partners' Forums in consultation with BSP</p> <p>Prepare and deliver tailored presentations to donors for structured financing dialogues, and other collective or bilateral donor consultations in consultation with BSP</p> <p>Request BSP to conduct due diligence on private sector partners before negotiating agreement⁽ⁱ⁾</p>	<p>Organize decentralized Structured Financing Dialogues on programmes/topics of national/regional interest in consultation with BSP and Programme Sectors</p> <p>Prepare and deliver tailored presentations to donors for structured financing dialogues, and other collective or bilateral donor consultations in consultation with BSP</p> <p>Request BSP to conduct due diligence on private sector partners before negotiating agreement</p> <p>Actively engage with decentralized donors to identify shared priorities and potential entry points for cooperation in consultation with BSP and Programme Sectors</p>	<p>Coordinate consultations with governing board, and other partners on funding needs.</p> <p>Request BSP to conduct due diligence on private sector partners before negotiating agreement</p>
<p>(i) The details of the due diligence procedure, particularly from the private sector are available at UNESTEAMS.</p>			

1.6. Programme design

BSP	Programme Sectors	Field Offices	Institutes
Develops and updates tools for project design (appraisal check list, standard project document, and standard concept note including RBM guidance) taking into account best practice in the UN system and emerging donor requirements	Provide feedback and other inputs to proposed updates to tools and templates		
Foster intersectoral collaboration and networking between Programme Sectors, field offices and category 1 Institutes on project design and resource mobilization	Once the preliminary interest of the donor has been established, draft concept notes tailored to potential donors		
	Draft project documents in consultation with key stakeholders (beneficiaries, partners and donors) with reference to the appraisal check list		
	Provide feedback and advice to field offices on concept notes and project documents based inter alia on the appraisal check list and ensure adherence to standard templates		

1.7. Formalize cooperation with donors

BSP	Programme Sectors	Field Offices	Institutes
	Once firm donor interest has been confirmed, ensure timely launch of internal validation process involving Programme Sectors and where appropriate BFM on prodoc and budget and consultation of BSP on agreement		Once firm donor interest has been confirmed, ensure timely launch of internal validation process within Institute.
Negotiates funding agreements or backstop negotiations of Programme Sectors and FO's on funding agreements.	Bring substantive knowledge to negotiations with donors	Negotiate substantive and formal aspects of agreements with representatives of donors with backstopping from BSP if the agreement is not standard	

Roles and responsibilities

<p>Reviews funding agreements and where necessary seeks the advice of LA and other services on non-compliant clauses.</p> <p>Signs funding agreements or delegate authority to sign to programme sectors, Category 1 Institutes, and field offices</p> <p>Formalizes with the donor any divergences from an initial agreement (through an amendment)</p>	<p>Obtain clearance from BSP on any (non-standard) funding agreement prior to signature</p> <p>Negotiate agreement on endorsement by beneficiary approval (plan of operations) with backstopping by BSP if necessary. Seek the advice of LA on any deviation from standard templates with copy to BSP. Ensure that the formal endorsement of the beneficiary country(ies) has been secured before project implementation starts</p> <p>Work with relevant UNESCO Field Office to obtain formal endorsement of beneficiary government(s)</p>
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1.8. Manage donor relations

BSP	Programme Sectors	Field Offices	Institutes
<p>Build and maintain institutional relationships between UNESCO and representatives of donors through appropriate channels and through the organization and follow up of periodic review meetings, and ad hoc donor consultations</p> <p>Advocate with donor in favour of strategic, multiannual cooperation</p>	<p>Contribute to maintaining effective relationships with donors relating to specific programme areas (e.g. in relation to programmes funded through multi-donor special accounts)</p>	<p>Maintain close working relations with decentralized representatives of donors not only relating to extrabudgetary cooperation, but also within country, or regional thematic clusters or coordination mechanisms (e.g. Local Education Groups)</p>	<p>Maintain effective relationships with donors contributing to programme of category 1 Institute</p>

<p>Designs and updates reporting templates and check lists</p>	<p>Represent UNESCO (with BSP) in programme/project review meetings with donors and other planning and review mechanisms such as project steering committees at the appropriate level</p> <p>The Responsible Officer</p> <p>Maintains a continuous dialogue with donor focal point, involves the donor in all key milestones of the project and facilitates interaction between the donor and other key stakeholders in the project, including through site visits to the project</p> <p>Ensures that timelines presented to donors for approval are realistic</p> <p>Ensures that risks and risk mitigation measures are clearly articulated in the project document and monitored during implementation phase</p> <p>Ensures that the project is implemented in accordance with the signed agreement including the delivery of agreed outputs and achievement of outcomes within the agreed budget and with respect for agreed reporting deadlines</p> <p>Communicates in a timely way with BSP and the donor on any need to diverge from the agreed plan</p> <p>Ensures visibility for the partnership and its results</p>
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1.9. Monitor resource mobilization performance¹

BSP	Programme Sectors	Field Offices	Institutes
<p>Monitors how the funding gap is being closed through on-going resource mobilization efforts</p> <p>Monitors cumulative amount of agreements signed.</p> <p>Records outreach to donors in the Constituency Relationship Management Tool</p> <p>Reports to senior management and the governing bodies on resource mobilization</p> <p>Evaluates the biennial resource mobilization strategy</p>			<p>Monitor the status of outreach to donors as per resource mobilization plan, and records outreach to donors in the Constituency Relationship Management Tool</p> <p>Record signed agreements in UNESCO's core IT systems, and monitors actual resources mobilized by ER, including financial and in-kind resources</p> <p>Evaluate specific resource mobilization plans against targets</p>

¹ The closing of the funding gap by C/5 expected result will be monitored against the funding gap in the approved C/5. The basis for estimating projected funding and monitoring resource mobilization performance will be the cumulative total amount of signed agreements for any duration signed during a biennium, or during the period (minimum 4 years) for which the more context-specific resource mobilization targets are set.

Roles and responsibilities

1.10. Policy, procedures and processes relating to resource mobilization

BSP	Programme Sectors	Field Offices	Institutes
<p>Coordinates the sustained improvement of the UNESCO frameworks and associated guidance material for accountability, due diligence transparency, RBM/RBB, risk management and donor-friendly financial reporting in close consultation with Major Programmes, Field Offices and Category 1 Institutes</p> <p>Coordinates committee for the review of high risk projects</p> <p>Pursues efforts to simplify and streamline processes and procedures linked to resource mobilization</p> <p>Monitors and reports to senior management and governing bodies on resource mobilization</p>	N/A		

1.11. Knowledge management transparency and capacity building

BSP	Programme Sectors	Field Offices	Institutes
<p>Enhances the extrabudgetary workspace as a knowledge hub for intelligence on funding opportunities, best practice and guidance material</p> <p>Works with KMI and PAX on enhancing data and IT based systems to support resource mobilization including a Constituency Relationship Management Tool</p> <p>Develops user-friendly materials on modalities and agreement types to back up negotiations with potential donors</p> <p>Provides capacity building on resource mobilization through training, and coaching and the development of learning materials in cooperation with relevant Office /Sector /Institute</p>	<p>Help document and share best practice in resource mobilization and in building and sustaining strategic partnerships</p>		





United Nations
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Sustainable
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Planning for Partnership

4

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2. Identify opportunities for large-scale (multidisciplinary) programmes

When analysing opportunities, UNESCO entities are actively encouraged to collaborate on identifying how UNESCO can contribute to complex contemporary challenges through the design of large-scale multidisciplinary programmes. These programmes are an opportunity to place at the service of UNESCO's Member States UNESCO's unique multidisciplinary knowledge, capacity and expertise. Typically, such programme should also bring together expertise from Headquarters, Field Offices, and when relevant, UNESCO's specialized Institutes.

Workspace

Examples of successful multidisciplinary programmes can be found at '[Examples of best practices](#)' on the Extrabudgetary Workspace.



Case study “Promoting peace in the Lake Chad Basin through the sustainable management of natural resources”



A project to strengthen the capacities of some LCBC Member States (Chad, Cameroon, Central African Republic, Niger and Nigeria) to safeguard and sustainably manage the hydrological, biological and cultural resources of the Lake Chad basin.

Why a best practice?

- Strategic
- Draws on UNESCO's comparative advantage
- Regional
- Interdisciplinary response to complex challenges
- Large scale (USD 6.4M for 3 years)

For more information, check '[Examples of best practices](#)' at the Extrabudgetary Workspace.

See also a video on the '[Promoting Peace in the Lake Chad Basin Programme](#)'.

Step 2: Identify and prioritize niche areas for UNESCO

A niche area for UNESCO is a situation in which UNESCO's programme, expertise and mandate are particularly relevant and well suited. It is a notion that helps focus UNESCO's resource mobilisation efforts. A niche area may be a domain where UNESCO has a strong comparative advantage vis-à-vis a national, sub regional, regional or global strategy, policy or set of needs which resonate with C/5 expected results or transversal themes.

UNESCO may also be well positioned in a niche area because it has presence and visible results and there are concrete opportunities for leveraging funding. For example, UNESCO is very well suited to assist Member States in the Arab States region in a programme for youth empowerment because of its multidisciplinary set of competences in youth, communication and information, and skills development. It can show case solid results like those achieved through the major EU financed programme [Networks of Mediterranean Youth \(NET-MED Youth\)](#)¹. It has staff at field level and Headquarters with confirmed experience in delivering similar programmes. To ensure that resource mobilization efforts are efficient, niche areas need to be carefully prioritized in the light of needs on the ground, opportunity and UNESCO's capacity, especially in countries where UNESCO is a non-resident agency.

★ *Examples*

Niche areas for UNESCO in LAC in Natural Sciences

Integrated water resources management through UNESCO's water family in LAC

Indigenous knowledge LAC: a key for sustainable and equitable development

Sustainable development through UNESCO sites in LAC.

At country level, the planning of resource mobilization will also be closely articulated with the design of the United Nations Development Assistance Framework (UNSDCF) under the leadership of the UN Resident Coordinator.

The UNSDCF is the strategic programming framework at the national level and highlights the UN common response to National Development Priorities and results, based on normative programming principles reflecting the 2030 Agenda. The UNSDCF outcomes, the UN entities' outcomes and the outputs represent the three different levels of the results matrix. UNSDCF s and related equivalent common country-level programming documents, based on a Common Country Analysis (CCA), represent the collective strategic results of the UN system.

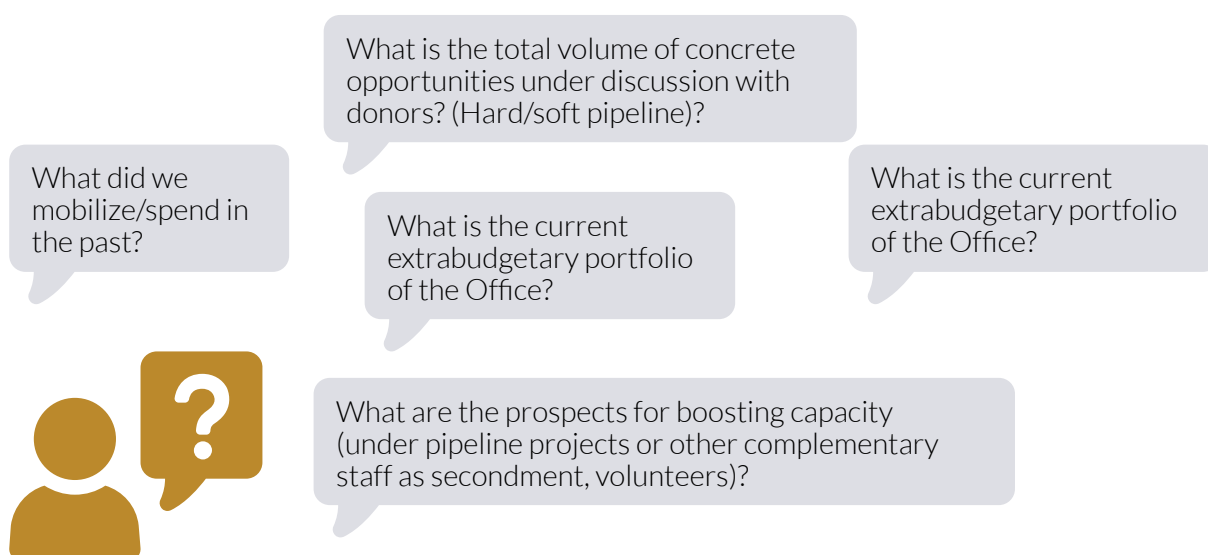
1 [NET-MED Youth – Meet today's Mediterranean superheroes](#) (video)

Step 3: Analyse resources requirements and set resource mobilization targets

1. What resources are required to deliver the C/5?

Having clearly identified which C/5 expected results or multidisciplinary themes are relevant for a given niche area, an assessment needs to be made of how much funding is needed.

This process involves determining **the biennial programmatic targets**, the **total resources required to achieve those biennial targets** (total needs) and the **'funding gap'**. To avoid aspirational projections, both the programmatic targets themselves and the associated funding gap need to be defined realistically based on a careful upfront assessment of funding opportunities in the pipeline, capacity and past trends in resource mobilization and expenditures.



DO A REALITY CHECK > KEY QUESTIONS

The assessment of the funding gap is done as part of the preliminary Results-Based Budgeting (RBB) work plan exercise coordinated by BSP. See example below.

2. What exactly is meant by the 'funding gap'?

The funding gap is the resources we plan to spend over two years to achieve programmatic targets of the C/5 minus available resources in hand (RP, XB, In-kind, etc.). To determine the funding gap we start by looking at the country/beneficiary level needs. However, since we cannot meet all the needs ourselves and within a biennium, we should refine our action plan by assessing (list not exhaustive):

- Priorities identified by the countries/beneficiaries under the office/unit's responsibility;

Roles and responsibilities

- the key areas where UNESCO has a comparative advantage;
- what UNESCO or other agencies have been doing to address the issues in the current biennium; and
- what UNESCO strategically should be doing to address the remaining issues in the next biennium.

Once an appropriate action plan is determined, the Office/Unit should then estimate the overall costs. The funding gap is the difference between the total costs of the action plan and the resources that we foreseeably have in hand for the coming biennium.

To ensure that this estimate of funding needs is as realistic as possible, it should also be cross-checked against funding opportunities that are already under discussion with donors or confirmed opportunities for raising funds which have still to be explored with donors. The latter could relate to a national, regional or global strategy or need that is of interest to donors, or the existence of funding envelopes or donor funded programmes that are relevant to the assessed needs.

For clarity, the following should be noted:

- If there is a multi-year funding agreement under negotiation with a donor, the amount that should be taken into account when assessing the funding gap, is what needs to be spent to achieve programmatic targets in a given biennium.
- Fixed annual allocations from Governments that are contingent on Parliamentary approval every year and cannot be considered already firmly committed should be included in the gap.
- Even if a donor is sure to sign an agreement, if the agreement has not actually been signed at the time the funding gap is assessed, the relevant part of the funding should be taken into account in the calculation of the funding gap, and not included under committed voluntary contributions.
- Assessed voluntary contributions² should not be included in the gap. Since they are in fact mandatory, these amounts should be included under committed voluntary contributions.

The assessed funding gap should take into account funding expected from all modalities including funds-in-trust, special accounts and Additional Appropriations.

2 Relating to under the 1972 World Heritage and 2003 Intangible Heritage Conventions.

★ Examples

Overview of available funding and funding gap for selected C/5 ER

C/5 expected result (2 years)	Geographic scope	Total needs (US\$)	Available RP (US\$)	Available XB (US\$)	Total available (US\$)	Funding gap (US\$)
		A	B	C	D (B+C)	E (A-D)
Disaster Risk reduction	Asia and Pacific	5 M*	50 K	1.15 M	1.2 M	3.8 M

What do we mean by realistic?

Building Community Tsunami Readiness	Indian Ocean	1.8 M**	0	0	0	1.8 M
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What do we mean by realistic?

ED Sector wide policy and planning	Pakistan	3.5 M***	100 K	200 K	300 K	3.2 M
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What do we mean by realistic?

* Funding from EU and ADB in the pipeline taken into account.

** Recurrent past funding from two government aid agencies for this topic taken into account.

*** Final negotiations with Italy on new project (US\$ 2 million), potential interest from DFID and recent application to the World Bank taken into account

3. How much do we plan to mobilize in the medium term?

Resource Mobilization Plan should cover a period of at least 4 years in line with the quadriennium. They will be updated every 2 years in preparation for each successive C/5.

The resource mobilization target at global, regional, sub-regional or country level is the estimated amount that a UNESCO entity is planning to raise from donors and partners to finance the development interventions, projects. It is based on an assessment of the total amount that will be committed by donors in any given year over 4 years.

★ Examples

Resource Mobilization targets by C/5 expected result 2018-2021

C/5 ER or Transversal theme	RM Targets (US\$) for 4 years	Country/ Sub region/ Region	Year 1	Year 2	Year 3	Year 4	Potential donors
SHS C/5 ER3	2 Million	Tunisia		1.5			EU
ED C/5 ER2			500 K				France
ED C/5 ER2	5 Million	Morocco			5 M		KOICA

When planning resource mobilization consideration should also be given to in-kind resources that need to be mobilized e.g. meeting costs, project office space, secondments, equipment, etc.

★ Examples

Targeted in-kind resources

Nature	Estimated value in USD	Potential donor
Solar panels for schools	USD 2 millions	Panasonic
Office space and running costs for literacy project office	USD 120 K per annum	Host country

4. Have a clear view on the pipeline of project ideas and proposals under discussion with donors

Both the estimation of the funding gap for the two-year period of the C/5 and the setting of resource mobilization targets for four years, must take into account the ideas/proposals already under discussion with potential donors.

These can be qualified as **“hard pipeline”** (firm or highly likely opportunities) and **“soft pipeline”** (tentative or exploratory discussion on funding). They should capture the total amount of funding that could be committed by donors through firm agreements on a multi-annual basis.

When anticipating when the funding will be committed, we should take into account that many donors have a lengthy budget approval cycle which means that funding may actually only be available one or even two years after the initial negotiations start.

The total volume of projects in the hard pipeline should be commensurate with the funding gap and resource mobilization target identified for each C/5 expected result. If this is not

the case at any point in time, additional efforts will need to be made to expand the pipeline in order to make sure the resource mobilization targets are reached.

Step 4: Map the targeted donors by niche area

A preliminary mapping of donor priorities and funding mechanisms can be done through basic internet research. An overview of UNESCO's cooperation with different categories of donor, as well as donor profiles and mappings prepared by BSP are available on the extrabudgetary workspace. In addition, a regularly updated view of the top 15 donors by any beneficiary country is available from the OECD-DAC web site.



Useful sources of information

- [UNESTEAMS Extrabudgetary workspace](#)
- [OECD DAC website ODA flows](#)
- Donor's country strategy papers usually on their web sites
- CCA/ UNSDCF analysis, national Development Plans
- Development plans of regional or sub regional organizations
- Meetings of thematic groups of technical and financial partners at country level (e.g. Local Education Group)
- Ministry of Planning at national level
- [OECD-DAC documents](#)

When mapping potential donors, in addition to assessing the alignment on priorities and geographic focus, it is also important to understand the following.

1. (Any) prior history of cooperation of cooperation with UNESCO

Check with BSP if there is any prior history of cooperation, or standing partnership agreements with the potential donor which would influence the scope and focus of cooperation.



Workspace

Donor profiles and existing framework and partnership agreements are available at ['Framework Agreements'](#) on the Extrabudgetary Workspace.

2. Ability to provide resources and the nature of the resources that can technically be provided

Some potential donors may have specific restrictions on the nature of resources they can provide. For example, the Islamic Development Bank can only provide assistance to countries that are members of the Organisation of the Islamic Conference, and the Turkish Development Agency (TIKA) can only provide parallel support to UNESCO programmes, not funding. As far as the private sector is concerned, some companies may only be able to provide financial resources to entities that provide for tax exemption.

3. Motivation – why would they be interested in partnering with UNESCO?

In order to make a compelling pitch to a potential donor, it is very important to understand what their motivation could be in partnering with UNESCO. When it comes to engagement with the private sector, having a good understanding of why a company would wish to partner with UNESCO, can also be important for detecting any potential incompatibilities with UNESCO's mandate and values. (For more information on due diligence of the private sector go to Chapter 5 'Outreach to donors'.)

Once the basic desk research has been conducted, the most effective way of getting a more precise understanding is simply to set up a meeting with potential partners to exchange information on priorities in the country/region. When mapping donors by niche area, it is also important to identify UNESCO units, offices etc. that could play a key role in design, resource mobilization and implementation. See below.

★ *Examples*

Donor Mapping by niche area in East Africa with key UNESCO players

Niche area	Targeted donors	Key UNESCO players ⁽ⁱ⁾
Youth empowerment to promote peace-building		
East Africa Region		
Create Regional platform to enhance youth empowerment and gender equality for peace building – EAC, Great Lakes Initiative, IGAD, Category 2 Centre CERED-GL	African Development Bank, Islamic Development Bank, EU, Japan	UNESCO Offices in Nairobi, Addis, Kinshasa, UNESCO Chairs, SHS Youth and Sport Section, BSP, Brussels Liaison Office to the EU
Countries in East Africa Country level		
Youth Peace dialogue – Ethiopia, Kenya, Somalia, South Sudan and Uganda	EU, Norway, Japan, Saudi Arabia, DFID, SDC	UNESCO Offices in Nairobi, Addis, Juba, Kampala project office, SHS Youth and Sport Section, BSP, Brussels Liaison Office to the EU

(i) UNESCO offices, units, Institutes etc that have a comparative advantage in the niche area and could play a key role in design, resource mobilization and implementation.

Step 5: Define UNESCO's added value in each niche area

Drawing on the information and ideas generated in the SWOT analysis, identify and be ready to communicate on UNESCO's added value in each of the various niche areas on which you will focus your resource mobilization effort.

Some aspects of UNESCO's added value are generic like its reputation and brand, its convening power, its global presence, its neutrality, application of Results-Based Management. Other dimensions of UNESCO's added value need to be defined in relation to the specific niche area in which UNESCO is positioning itself. These aspects of added value include the following:

- Expertise and relevant experience
- House-wide capacity
- Visibility in a specific area
- Partnerships with relevant stakeholders
- Access to networks



NB:

When communicating UNESCO's added value, it is very important to capture 'house-wide' assets, and not focus narrowly on the added value relating to the office or unit, or country where a proposal is being developed.

The provision of an overview of projects and programmes together with information on the budget, the donor, and if possible a summary of the results achieved, can be very compelling evidence in favour of UNESCO's added value.



Workspace

An example is available on the Extrabudgetary Workspace at '[Examples of best practices](#)'.

If a specific implementation partner is being positioned as part of UNESCO's added value, to protect UNESCO's reputation, care should be taken to ensure that the relevant screening has taken place well before a funding agreement is signed with the donor.

Step 6: Decide what kind of engagement you want to have with individual donors

Once you have understood where a potential partner's priorities lie, and any specific conditions or restrictions which would influence the way they could partner with a UN agency like UNESCO, you need to establish the form of engagement you will propose to a partner.

In general, UNESCO favours long-term partnerships with established mechanism for the joint planning and monitoring of cooperation that build ownership and mutual accountability, rather than punctual one-off cooperation linked to a specific project or activity. Nevertheless, for many new partners it may take time to build up the trust required to enter into a long-term engagement with UNESCO, or it may be preferable to try out cooperation through a pilot project. In other cases, UNESCO may need very targeted assistance in connection with a study, an event or complementary staffing to reinforce the capacity of an office or unit. The type of resources that UNESCO is trying to access (e.g. finance, knowledge, capacity in communication and outreach) will also influence thinking about the form of engagement.

The main forms of engagement can be summarised as follows:

- Long-term partnership (shared objectives, resources, risks)
- Upstream cooperation on project design/feasibility studies
- Programme/Project-based cooperation
- Human resources partnerships (loans, secondments, JPO's, interns)
- Knowledge exchanges (participation in an advisory board, data sharing, community of practice, task force or advocacy group)
- Co-hosting or sponsorship of events
- Consolidation of, or participation in a network
- Solicitation of a contribution from an individual within a wider (on-line) fund raising campaign.

The types of engagement described above may be resourced through financial or in-kind contributions, or a mixture of both.

1. Forms of engagement specific to the private sector

The private sector, specifically the business sector, has a range of relationships with Societal actors such as governments, UN agencies, NGOs, community-based groups, faith based organizations which can be grouped according to the following models:

- Philanthropy: Chequebook charity – giving with 'no strings attached'
- Social/Cause Related Marketing: Aligning a brand with a cause to increase sales and profit
- Corporate Social Responsibility (CSR): Considering business' social, economic & environmental impacts

- Core Business: An integrated business approach where increasing social outcomes equals increased business profitability and sustainability
- The nature of UNESCO's engagement with the private sector under the above models may have one, or a combination of several of the following characteristics:
- Strategic Partnership: Long-term mutually beneficial relationships, sharing risks, responsibilities, resources, competencies & benefits
- Influencing: UNESCO engaging businesses in dialogue about their social, economic & environmental impacts
- Sponsorship: Marketing the UNESCO brand in relation to a particular sector issue
- Fundraising: Requesting donations for specific programmes, projects, activities.

Workspace

Examples of different forms of engagement between UNESCO and the private sector which illustrate the above forms of engagement can be found on the Extrabudgetary Workspace at [‘Examples of best practices’](#).

For more information on how to formalise cooperation relating to the above forms of engagement see Chapter 8 ‘Preparing a funding arrangement’.

Step 7: Factor communication into your planning for resource mobilization

Communication is critically important for positioning UNESCO vis-à-vis key partners when exploring new entry points for engagement. Considerations relating to communication need to be an integral part of the resource mobilization plan.

Key components of the communication in the context of the Resource Mobilization Plan will include the following:

- a) Mapping of upcoming opportunities to build visibility and engage with potential stakeholders
- b) Customizing key messages by target audience at country/regional level for each C/5 expected result
- c) Prioritising channels or methods for communicating key messages to target audiences

★ *Examples*

Niche areas for UNESCO in LAC in Natural Sciences

Niche area	Upcoming opportunities to build visibility and engage with potential stakeholders
Reforming curricula to better adaptation of ED to decent jobs	Joint event with ILO to be organized (June 2018)
Post earthquake cultural heritage rehabilitation	<ul style="list-style-type: none"> • Launch of French funding at French Embassy, July 2018 • Hainan Project Steering Committee, September 2018 • Creation of Donor Group on Cultural Heritage Reconstruction, December 2018
Girls' and young women's empowerment through community learning centres (CLC's)	Asia Pacific Regional meeting on CLCs to be organized by Bangkok office

Messages need to be differentiated by target audience and careful attention needs to be given to the most appropriate communication channel or method. The criteria for choosing communication methods and channels include costs, risk and credibility. Communication channels could include face to face communication with groups or individuals, TV, radio, film, video, social media, web sites, print media including newspapers and magazines, posters and leaflets.

★ *Examples*

Messages about Natural Sciences for specific target audiences by niche area in LAC

Niche area	Target Audiences	Message Communication Channel
Women and Youth in Science in LAC	National governments, private sector, development banks	SCIENCE NEEDS WOMEN Channel: interview with DG in current affairs magazine / social media
		SCIENCE EMPLOYS YOUTH Channel: Breakfast launch for private sector of new policy brief / social media
		STEM EDUCATION KEY FOR DEVELOPMENT Channel: Regional Policy Forum for technical and financial partners

Communication will also be an integral part of the implementation strategy of each individual project and should be carefully planned and budgeted at the project design phase. (See Chapter 10 'How to prepare a project communication plan')





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5

Outreach to donors

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Chapter5.

Outreach to donors

1. Outreach from Headquarters

Bureau of Strategic Planning (BSP) manages the overall institutional relationship with key donors. It works with the Executive Offices of Programme Sectors, UNESCO Field offices and Category 1 Institutes to advocate to funding partners to scale up their funding, and render it more strategic and sustainable to help UNESCO address the funding gap identified in its biennial Budget. This is done through the organization of regular consultations including structured financing dialogues (See Chapter 1 'The context for resource mobilization'), by coordinating cooperation linked to standing framework and partnership agreements, and guiding existing and potential donors to areas of UNESCO's programme which are of potential interest, and in some cases offering a menu of different options for support, in line with UNESCO's priorities.

In the event, that regional envelopes of funding are negotiated with donors from Headquarters, it is critically important that the relevant Directors or Heads of UNESCO field offices are involved from the outset to ensure the relevance and sustainability of the programme from the perspective of key partners and stakeholders on the ground. Further down the line when it comes to the finalization of the project document, the role of UNESCO field offices should also be fully captured, including in budgetary terms to ensure that their costs are fully budgeted.

2. Outreach from the field

Many donors also make available resources at country level, in addition to channeling funds through budget allocations for individual multilateral agencies or for specific purposes. To tap into this funding, it is very important for UNESCO Field Offices to develop solid working relations, and establish credibility with in-country representatives of bilateral donors and other funding sources in the beneficiary countries. Cooperation is mainly focused on where UNESCO's strategy in support of the host country overlaps with that of the donors, and their representatives in situ.

UNESCO Field Offices play the lead role in engaging with the representatives of donors on the ground. At the same time, it is critically important that field offices alert the relevant division(s) at Headquarters early in the exploratory process so that they can capture best practice developed globally by UNESCO and channel it into the ensuing negotiations and programme design.

3. Always treat potential and existing donors as partners

Do not wait until something is needed before reaching out to potential and existing donors. If they are working in the same programme areas as UNESCO, take the opportunity to involve them in meetings and events relating to shared topics of interest. Pro-actively seek opportunities to exchange information on areas of common interest and build your peer network also involving technical leads from (potential) private and public donor partner organizations. Keep them regularly informed of events or policy initiatives that may be of relevance to their own programmes and involve them in consultations in new policies and programmes.

Make sure that all your donor contacts are registered in the “Constituency Relationship Management Tool” (CRM) (See the section 11 below) so that their interest in different aspects of UNESCO’s programme can be monitored and they are invited to participate in relevant events and initiatives. Partnerships are essential for realizing the results set out in UNESCO’s Programme and Budget and strengthening the impact and the visibility of the Organization.

4. Who approaches which donor and when?



Key considerations when planning who will engage with which donors and when are that 1) what could damage UNESCO’s credibility and 2) which approach will be most effective for engaging with the donor.

With regard to coordination, it is critically important to avoid at all costs multiple uncoordinated, and uninformed approaches to the same donor requesting support for different projects. The risk of this happening at Headquarters level is significantly higher than in the field. BSP should always be kept in the picture about **outreach from Headquarters based**

staff. At field level, coordination is assured by the Director or Head of office with respect to the outreach activities of their own staff with decentralized representatives of donors. The tracking of outreach in the CRM also supports a coordinated approach to resource mobilisation. Always check existing opportunities in the CRM in order to coordinate with other UNESCO services who may be targeting the same donor and contact.

From the point of view of effectiveness, a key question to address is “what would be the most impactful way to engage with a donor?”, “Should it be done at senior management level, or rather at technical level?” Assess the most effective approach. In some cases, it may be necessary to initiative parallel initiatives to different representatives of the donor at the same time. For example, it may be necessary for an ADG to engage with a senior representative of the donor in the capital, for BSP to engage with the Permanent Delegation

Guidelines for engaging with the private sector

and a field Director to engage with an Ambassador at country level. These initiatives need to be carefully coordinated and consulted with all stakeholders throughout the process.

Before engaging with donors, it is important to get in touch with BSP to get a briefing.

Workspace

Updated donor profiles and briefings can also be consulted at any time on the Extrabudgetary Workspace under '[Donor Profiles](#)'. Donor intelligence is also available in the CRM.

Once the necessary desk research has been completed to have a good understanding of the donor's priorities, arrange a face-to-face meeting to exchange information on the programmes and priorities of UNESCO and the donor respectively, and identify possible synergies.

Once the potential interest of the donor has been ascertained you can move to the next step, which could be either submitting a concept note, or preparing a tailored presentation for the donor.

Workspace

Concept note templates are available on the Extrabudgetary Workspace at '[Templates](#)' and in the CRM.



NB:

Unless responding to a formal call for proposals, **concept notes or project proposals should never be submitted 'cold' (without prior consultation with the potential donor).**

5. Guidelines for engaging with the private sector

The term "private sector" covers all types of business enterprises, including small and medium-size firms, national and International corporations, philanthropic and corporate foundations, financial institutions and individuals. In the wider UN context, the emerging consensus is that it is important to distinguish the 'business sector' which basically covers 'for profit' entities from the 'private sector' which covers 'not for profit entities' such as Foundations.

Building on the successful models of partnership already established by UNESCO with a number of companies at global, regional and national level, UNESCO is keen to develop

more extensively partnerships which draw on the state of the art expertise of the private sector to strengthen the impact and visibility of its programme, and to influence the way companies do business and raise awareness about international standards and norms.

Going forward, building on the increased commitment of private sector stakeholders towards SDG-related corporate social responsibility, UNESCO will explore how to engage in the broader range of business partnership modalities identified by the United Nations Global Compact for engagement. These include global multi-stakeholder partnerships that create frameworks for action that address global challenges and allow for local implementation, corporate responsibility initiatives and advocacy campaigns that encourage behavioral changes of target groups to address development challenges as well as resource mobilization partnerships that provide resources or help mobilize external resources to boost the impact of UNESCO's programme¹ (See Chapter 2 'Donors and Partners'). With regard to UNESCO's engagement with other private sector target audiences, such as philanthropists, foundations and individuals, UNESCO encourages private sector engagement which optimizes the mobilization of large scale funding aligned with its programme and reduces the proportion of tightly earmarked funding, as well as the identification of innovative funding mechanisms that engage the general public.

Partnering with the private sector contains an element of reputational risk that is different from any other partnership with "traditional partners" of UNESCO. Therefore, adequate mechanisms are needed to identify and manage potential risks that could affect UNESCO's intergovernmental character, its impartiality and independence.

UNESCO has therefore put in place a due diligence process to minimize and manage potential risks in an effective manner.

When assessing potential private sector, UNESCO looks on the one hand for values and behaviors that are compatible with those of UNESCO, and on the other, checks for any aspects of a potential private sectors partner's activity that is not consistent with the mandate and values of UNESCO.

5.1. Criteria which demonstrate compatibility

- Each and every partner should contribute to the achievement of UNESCO's strategic objectives
- All partners should enhance, support and enact, within their sphere of influence, a set of core values in the areas of human rights, gender equality, labor standards, the environment and anti-corruption, in line with the 10 principles of the UN Global Compact
- Partners should be committed to core UN values

¹ For further information see the UN6Global Compact. UN-Business Partnership. A Handbook. <https://www.unglobalcompact.org/library/361>

5.2. Criteria which demonstrate incompatibility

UNESCO will NOT cooperate with entities that:

- Systematically fail to demonstrate commitment to meeting the above mentioned principles of the UN Global compact
- Involve any product, service or activity that conflicts with UNESCO's mandate, or undermine UNESCO's work (such as production and sale of alcohol and tobacco products)
- Are complicit in human right abuses, tolerate forces or compulsory labor or the use of child labor, are directly involved in the sale or manufacture of anti-personnel landmines or clusters bombs, or otherwise do not meet relevant obligations or responsibilities required by the UN
- Are violating sanctions by the UN Security Council

As part of the due diligence exercise, a questionnaire needs to be completed about each potential private sector partner. The questionnaire covers the following:

- General Information
- Reasons for Partnership
- Financial Information
- Corporate Sustainability Information
- Other Disclosures

The due diligence questionnaire must be uploaded in the CRM.

In addition, before any partnership is formalized, the no objection should be sought from the UNESCO National Commission where that private sector partner is registered.

Workspace

Download [the questionnaire on "Due diligence for private sector"](#) at the Extrabudgetary Workspace.

5.3. The UN Global Compact

The United Nations Global Compact is an important reference for all UN agencies in their engagement with the private sector. It is a voluntary initiative based on CEO commitments to implement universal sustainability principles and to take steps to support UN goals. The UN Global Compact Board, appointed and chaired by the United Nations Secretary-General, is designed as a multi-stakeholder body, providing ongoing strategic and policy advice for the initiative as a whole and making recommendations to the Global Compact Office, participants and other stakeholders. It comprises four constituency groups — business, civil society, labour and the United Nations.

Make sure you have the buy-in and engagement of beneficiaries and other key stakeholders in the project

At the UN Global Compact is also a very important resource for companies. It helps them to do business responsibly by aligning their strategies and operations with [Ten Principles](#) on human rights, labour, environment and anti-corruption (See below); and to take strategic actions to advance [broader societal goals](#), such as the [UN Sustainable Development Goals](#), with an emphasis on collaboration and innovation.



Ten Principles of the UN Global Compact

Human Rights

[Principle 1](#): Businesses should support and respect the protection of internationally proclaimed human rights; and

[Principle 2](#): make sure that they are not complicit in human rights abuses.

Labour

[Principle 3](#): Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

[Principle 4](#): the elimination of all forms of forced and compulsory labour;

[Principle 5](#): the effective abolition of child labour; and

[Principle 6](#): the elimination of discrimination in respect of employment and occupation.

Environment

[Principle 7](#): Businesses should support a precautionary approach to environmental challenges;

[Principle 8](#): undertake initiatives to promote greater environmental responsibility; and

[Principle 9](#): encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption

[Principle 10](#): Businesses should work against corruption in all its forms, including extortion and bribery.

6. Make sure you have the buy-in and engagement of beneficiaries and other key stakeholders in the project

Making sure that the beneficiaries and other key stakeholders fully support the project idea is very important before entering into any serious discussions with potential donors.

What kind of information should a tailored presentation donor include?

Ideally, the entry points for engagement with donors around a national or regional programme or set of priorities, should first be worked out with the beneficiaries and other key stakeholders.

Involving beneficiaries in outreach to potential partners can strengthen the case for support because it is a very tangible way of demonstrating the ownership and engagement, which in turn points to sustainability.

In some cases, it may be the beneficiary or other key stakeholder who leads exploratory discussions with the donor with UNESCO positioned as a privileged partner for the implementation of the project as a whole, or specific project components. By way of example, this is typically the way that negotiations are conducted for projects where UNESCO will support a Regional Economic Community (REC) in its negotiations with a Multilateral Development Bank in an arrangement whereby UNESCO is an implementation partner to the REC.

7. What kind of information should a tailored presentation donor include?

When approaching a donor, it is very important to tailor the overall messaging to each specific donor and the level and nature of their interest.

For a donor who has already decided to engage with UNESCO and is prepared to give UNESCO the space to share information on high level priorities and needs, the key information to share would include the specific entry points proposed, overall funding needs, summary information on other partners and donors to UNESCO in that area, why UNESCO is uniquely placed to have impact in that area, and how the proposed interventions are responsive to the donor's priorities.

For a pitch linked to a specific programme, it would be important to start by making the case for investment in that area with reference to the needs and ownership of key stakeholders and beneficiaries, explain why UNESCO is uniquely placed to help address the related challenges, and specify the funding required and complementary interventions and resources of UNESCO and other partners in the programme area. Reference should be made to the specific donor priorities and interventions in the country or region where the proposed intervention is to take place.

Some Programme Sectors have developed key messages about UNESCO that can be tailored by staff at Headquarters and the field in their outreach to donors.

See for example the advocacy materials developed by the Culture Sector at '[Resource Mobilization](#)' on UNESTEAMS.

8. Tracking outreach to donors

The process of outreach to donors also needs to be regularly monitored.

The key monitoring information to be stored is the status of outreach and engagement to donors (e.g. 'has an exploratory meeting been held?', 'has a concept note been submitted?' 'what was the feedback?'), the necessary follow up action to be taken and by whom, and the names and contact details of the key UNESCO staff and donor counterparts. An example is given below.

★ Examples

Planning and monitoring outreach to donors

Niche area ----- <i>Geographic scope</i>	UNESCO lead Name, title, Office	Other key UNESCO players ----- <i>Name, title, Office⁽ⁱ⁾</i>	Donor Name, title, Department	Status and next steps at⁽ⁱⁱ⁾ 30 January 2014 ----- <i>Action</i> ----- <i>Responsible officer(s)</i>	Deadlines ----- <i>Other comments</i>
Promoting peace in the Lake Chad basin through sustainable development ----- <i>Lake Chad Basin</i>	SC/MAB j.gomez@unesco.org	SC/HYD WHC FO Yaoundé FO Abuja BSP AFR	Lake Chad Unit African Development Bank	Meet with AfDB in Tunis to discuss to discuss UNESCO role in overarching Programme ----- <i>Action: SC/MAB and BSP</i>	March 2014 ----- <i>Positive feedback from AfDB on concept note developed by MAB with SC/HYD, Yaoundé and WHC</i>
				Participate in AfDB mission to appraise programme ----- <i>Action: UNESCO Yaoundé and SC/MAB</i>	September 2014 ----- <i>5 year investment plan of Lake Chad Basin Commission foresees UNESCO as privileged</i>

(i) Use this column for recognizing other UNESCO offices, units and category 1 institutes that are involved in programme design and outreach.

(ii) Use this column for monitoring the status of outreach to donors e.g. exploratory meeting held, concept note submitted, full fledged project document elaborated, negotiations on agreement initiated.

9. Constituency Relationship Management Tool (CRM)

The Constituency Relationship Management Tool (CRM)² is a unified and user-friendly application to manage all your contacts and keep you up-to-date on who is interacting with whom and on what topics throughout the Organization - from Headquarters to Field Offices and Institutes. Many international organizations also use CRM.

The Contact & Organization Relationship Management will also be a baseline for the Resource Mobilization and for Events Management processes. It allows the maintenance, sharing and publishing accurate data and centralized information on all kinds of contacts. This includes day-to-day Contact's maintenance, relationships between a contact and the Company/Organization, follow-up, track history and exchanges. In addition, activities management, reporting and dashboards is part of this package. The system captures official contacts and organizations such as Permanent Delegations to UNESCO, National Commissions, Intergovernmental Organizations (IGOs), Non-Governmental Organizations (NGOs), Ministries but also UNESCO specialized Networks.

The resource mobilization module allows for the storage and sharing of new cooperation opportunities and preliminary discussions with donors, including preliminary project concept notes.

The CRM enables the coordination of various fundraising efforts pursued at the local, regional and HQs levels more effectively. It facilitates information sharing and entry points for collaboration by enabling UNESCO staff to capture and share Donors' and Partners' profiles in the system.

CRM captures the due-diligence process compulsory for concluding opportunities with private sector partners, including individuals.

The Event Management module allows the launching of mass mailing campaigns and the possibility of online donations.

The User Guide is available at [UNESCO Resource Mobilization Training Material.pptx](#), where you will find the link to access the database, which will also be included with a specific access in Duo.

2 <https://unesco.crm4.dynamics.com/main.aspx>





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Designing Quality Proposals

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Chapter 6.

Designing Quality Proposals

Results-Based Management (RBM) places results at the centre of planning, budgeting, implementation, monitoring, evaluation and reporting. UNESCO's capacity to clearly articulate C/5 expected results and report on the results achieved with the support of its donors is critical to the Organization's capacity to mobilise resources.

RBM is a management strategy which reflects the way an organization applies processes and resources to undertake development interventions to achieve desired **results** (i.e. **outputs, outcomes, impacts**) integrating evidence and lessons learned on past performance and actual results into management decision-making. It is a participatory and team-based management approach that focuses on performance and achieving results. RBM is designed to improve programme delivery and strengthen management effectiveness, efficiency and learning.

The essence of the RBM approach is to move from input and activity accountability and place focus on the results achieved, in particular outcomes and impact, for the resources invested. Hence, RBM which encompasses programme, financial and human resources management, helps moving the focus of programming, managing and decision-making from inputs and activities to the results to be achieved. During the programming phase, it ensures that there is a necessary and sufficient sum of activities to deliver the outputs supporting the achievement of outcome and contribution to the impact. In that regard, the Theory of Change facilitates the process of making sense of how a development intervention works and is intended to lead to change, culminating in the impact.

During the implementation phase, the RBM approach helps to ensure and monitor that all available financial, human and institutional resources continue to support the intended results. In that regard, the Results Framework, Monitoring, and Evaluation (M&E) Framework ensures, beyond the monitoring of outputs and outcomes achieved that these will contribute in effect to the impact.

Project officers can familiarise themselves with UNESCO's approach to RBM as set out in "[Results-Based Programming, Budgeting, Management, Monitoring and Reporting \(RBM\) approach as applied at UNESCO, Guiding Principles](#)"

1. Key questions for the design of quality proposals

1.1. Quality Assessment Criteria

For ensuring the quality of a proposal, the first question to be addressed is how the project contributes directly to achieving the C/5 expected results of UNESCO's Programme and

Budget approved by all UNESCO's Member States, and by extension the Sustainable Development Goals.

Other key quality assessment criteria are **relevance, effectiveness, efficiency, sustainability**.

- **Relevance:** to what extent is the project adapted to the priorities and needs of the beneficiary group(s) and the donor policy?
- **Effectiveness:** to what extent are the results, in particular outcomes, of the project likely to be achieved?
- **Efficiency:** is this the most efficient approach in terms of time and cost to achieve the stated outputs of the project?
- **Sustainability:** to what extent are the benefits of the project likely to continue after the funding and support from the donor has come to an end?

These questions need to be addressed by the responsible officer during the project design phase.

1.2. Risk analysis, prevention and mitigation

Enterprise Risk management (ERM) is essential to governance and accountability in UNESCO. It is a broad strategic and proactive approach that will help us to focus on areas where the Organization has a comparative advantage, to maximize impact while streamlining efficiency and value for money. Ultimately, it should improve UNESCO's chances to reach programme performance within budget and specified timeline. The Organization can be successful only if risks are anticipated, carefully measured in order to define preventive mitigation measures to reduce the impact of the risks and to adequately manage these risks against set results.

The core objective of ERM is to assess the uncertainty of the future in order to make the best possible decision today. It enables staff at all levels across the Organization to:

- Be aware of the need to identify and manage risks
- Embed enterprise risk management in every programme
- Make smarter use of the limited resources, maximizing the impact for the Organization
- Anticipate and treat potential risk events that may affect the achievement of results
- Facilitate risk-informed decisions
- Maintain forward looking rather than reactive management
- Reassure UNESCO's stakeholders including partners about the Organization's capacity to achieve its results and manage key risks
- Seize opportunities, bearing in mind that a risk can both be a threat and an opportunity depending on how it is managed

A risk is defined as a potential event that, if it materializes, may have a positive or negative impact on the achievement of UNESCO's objectives. Important to highlight is that a risk is as much **a potential threat as a missed opportunity**.

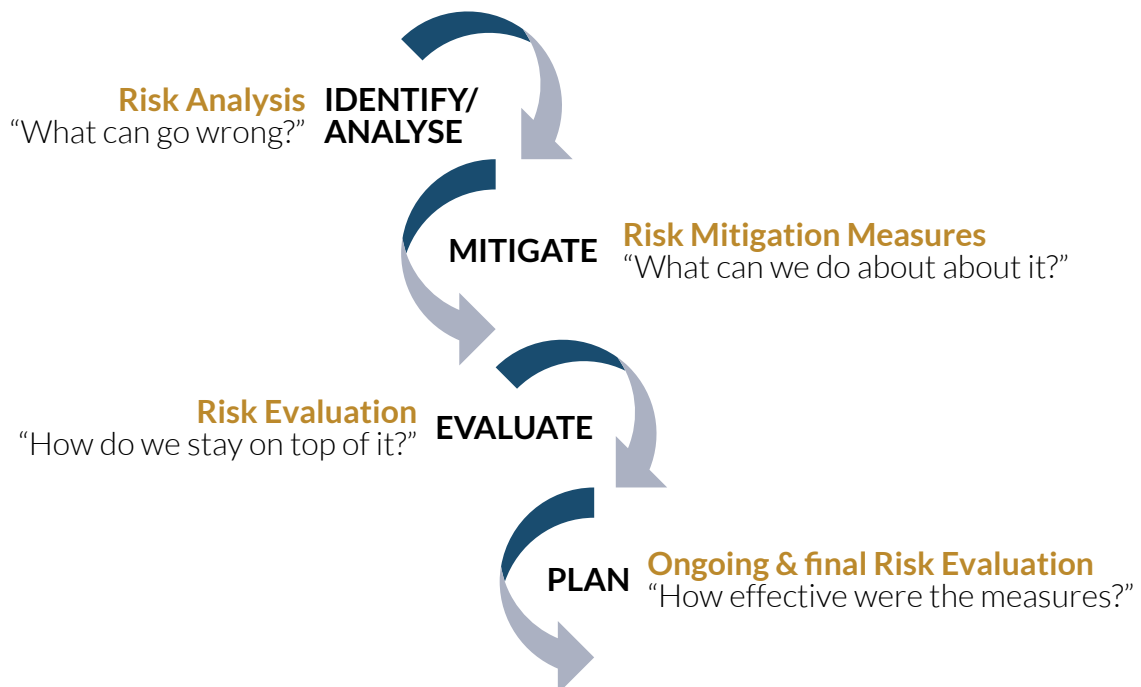
Key questions for the design of quality proposals

Risks can occur at all stages of the project life cycle and may have a positive or negative impact on the achievement of the project's results. It may negatively impact the project's timeline, performance or budget, impact the reputation, integrity, credibility and trust from donors and other stakeholders.

In order to prepare for the impact of potential risks, it is critical to **plan and budget for risk management activities** (e.g. risk analysis, risk mitigation, risk evaluation) across at all stages of the project life cycle.

- **At the project design stage** – each responsible officer should conduct a risk identification¹ of potential risks and formalize this exercise through a dedicated risk analysis.
- **At the project design stage** – for the identified risks through the risk analysis, each responsible officer should identify adequate preventive mitigation measures. The formulation of these measures should meet the “SMART” criteria (Specific, Measurable, Achievable, Relevant, Time-bound)
- **During the course of project implementation (i.e. monthly / quarterly or upon need)** – each responsible officer should conduct a risk evaluation and revise regularly the identified mitigation measures (e.g. upon a change of scope, upon identifying more adequate preventive mitigation measures, etc.)
- **At the end of the project** – each responsible officer should conduct a final risk evaluation to assess the effectiveness of the identified mitigation measures, the residual risk, etc.

FIGURE 6.1 Risk management at the project life cycle



Risks identified in project documents of extrabudgetary projects will serve as a basis for **risk discussion with donors through the lifecycle of the project** and **will be an integral part of the overall monitoring and evaluation of the project.**

¹ Risk identification is the Process of finding, recognizing and describing risks. Risk identification involves the identification of risk sources, events, their causes and their potential consequences. Risk identification can involve historical data, theoretical analysis, informed and expert opinions, and stakeholder's needs.

See also the [UNESCO's 2017 Enterprise Risk Management Policy](#) on UNESTEAM.

1.3. Ownership of stakeholders and endorsement of the beneficiary government

Ensuring that the national authorities and other stakeholders, including potential beneficiaries, are closely involved from the project design phase and throughout the project cycle is of critical importance to ensuring the sustainability and impact of the project.

The project concept note, or the project document, including the roles and responsibilities of the national or regional stakeholders, should be consulted with key stakeholders and ideally have received the de-facto approval of the beneficiary government(s), before the proposal is formally sent to the donor.

In some instances, the donor may request UNESCO to provide written proof of the beneficiary government's approval of a proposal, before giving formal consideration to a proposal. Failing to seek beneficiary approval early enough in the process can create delays further down the line, which can irritate the donor, or in extreme situations cause the donor to withdraw funding from the project.

Beneficiary country approval is formalized once the Funds-in-trust agreement for the project has been concluded with the donor. See Chapter 8 –Negotiating a 'funding agreement with a donor'.

2. UNESCO Templates for project design

Workspace

To assist responsible officers in designing quality proposals which meet corporate standards and which reflect UNESCO policies relating to programming and project design, the following resources are available on the Extrabudgetary Workspace under '[Templates](#)':

- A standard UNESCO concept note template in English and French
- A standard UNESCO project document template in English and French

The standard UNESCO project document template includes also the following RBM tools to support project design including the following:

- Intervention logic
- Theory of change
- Monitoring and Evaluation Framework
- Communication Plan

Appraisal Checklist

In addition to proposing a common structure and presentation for UNESCO proposals, the above templates also contain detailed guidance for responsible officers on how to complete the templates with the most important and relevant information.

The above templates are 'default' templates. If the donor insists on using their own project document template, UNESCO can of course comply, but responsible officers should ensure that the key information required in UNESCO's template is reflected in the template of the donor. Furthermore, when the key RBM terms used by the UN systems differs from that of the donor, the UN term should be indicated in parenthesis immediately that of the donor (e.g. After "Overall objective" or "Goal" indicate "(Impact)" or after "Specific objective" indicate "(Outcome)").

3. Appraisal Checklist

To help the project officer, and other reviewers check the quality of project design after the project document has been completed, BSP has developed an "Appraisal Check List".

The Appraisal Check List can also be a tool for detecting very high impact risks that are difficult to mitigate, including those which are outside the control of the project or related to the donor which should be referred to the **Committee for review of high risk projects**.



Workspace

Download [the Appraisal Checklist](#) on the Extrabudgetary Workspace.

DOES THE PROGRAMME OR PROJECT IDEA SHOW EVIDENCE OF	REVIEWERS		
	PROJECT OFFICER	DIR, DIVISION OR FO	EO
RELEVANCE AND STRATEGIC FIT			
A clear explanation of how the project contributes to the 2030 Agenda, SDG's and UNESCO's C/5 expected result			
UNESCO's added value in the programme area and proof of a successful track record			
A clear needs assessment and rationale			
Alignment with national or regional strategies/priorities of Member States and synergies with other development partners and existing programmes			
Relevance to the donor's (ODA) strategy and priorities			
THOROUGH PLANNING			

Design of programmes supported through Multi-donor special accounts

Consistent application of RBM approach throughout project document and budget (including Theory of Change, Results Framework from activities & outputs to outcomes and impact, and a M&E Framework)		
Provision for an inception phase if project design needs to be further developed in particular through further stakeholders engagement		
A realistic timeline		
Adequate consideration given to Gender quality, the Human Rights-Based Approach and Youth Engagement		
Delivery capacity of UNESCO and its implementation partners		
Strategy for sustaining the benefits of the project after it has finished and replicating or scaling up the activities, outputs and outcomes		
Provision for monitoring and evaluation involving stakeholders, including in the budget		
Provision for a communication plan, including in the budget		
OWNERSHIP AND STRONG PARTNERSHIPS		
Ownership by government counterparts		
The stakeholders, including beneficiaries and key partners are involved throughout the project cycle		
RISK ANALYSIS		
A risk analysis and mitigation strategy		
Are there very high impact risks that are difficult to mitigate, including those which are outside the control of the project such as a crisis or transition situation, or related to the donor? If yes indicate if you recommend referral to the Committee for review of high-risk projects.	REFERRAL TO THE COMMITTEE FOR HIGH RISK PROJECTS (YES OR NO)	

4. Design of programmes supported through Multi-donor special accounts

A Results Framework in line with the C/5 should also be established for Multi-donor programmes funded through special accounts.

The Results Framework should contain at least the results information in the C/5, namely linkage to C/5 expected result(s), performance indicators and targets.

At the moment a “Special Account linked to major UNESCO Programmes” is created, the detailed information needed to complete the Results Framework may not be fully available. In addition, funding commitments to multi-donor programmes financed under special accounts are likely to evolve over time. In this regard, it is possible to update the Results

Joint UN Programming

Framework “as and when necessary”. The Results Framework will also serve as the main tool for internal and external narrative reporting.

In addition, as foreseen in the model financial regulations for special accounts approved by the General Conference, the responsible Sector or office should prepare a biennial timeline for the activities to be undertaken under the Special Account together with a budget and expenditure forecast including any funding gap. The funding gap should take into account contributions that are under negotiation as well as recurrent patterns of donor support (See Chapter 4). The expenditure forecast or spending plan should cover at least a two-year period. In addition to being an important tool for planning purposes, a biennial expenditure plan is essential for the monitoring of the filling of the funding gap in each C/5.

5. Joint UN Programming

There are plenty of hand-on materials and guidance notes issued by UNDG/FMOG on Joint Programming/Joint programmes and the relevant resource management modalities that are available at <http://www.undg.org/>.

The key reference on the resource management modalities that apply to joint programming is the “[Guidance Note on Joint Programming](#)”.





United Nations
Educational, Scientific and
Cultural Organization



Sustainable
Development
Goals

7

Ways of Channeling Resources to UNESCO's Programme

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Chapter 7.

Ways of Channeling Resources to UNESCO's Programme

1. Matching UNESCO's funding modalities to a donor's requirements

UNESCO can offer its donors a range of different options for managing voluntary contributions and other resources depending on their requirements. Key considerations for determining the right funding modality are set out below:

1. The level at which the donor would like to make a commitment (for example to the Programme and Budget (C/5) as a whole, to a Major Programme, to the overall programme of a specialized Category 1 Institute, to a C/5 expected result, or to a specific project)
2. The extent to which a donor would like to be actively involved in decision making on the use of the funds throughout the life of the programme
3. The type of narrative and financial reporting required by the donor (e.g. reporting on their contribution to a project/programme, or acceptance of a consolidated report on the programme all funding sources combined)
4. Whether or not the donor's contribution is linked to a specific period, at the end of which any unexpended balance needs to be returned
5. The requirements of the donor relating to the visibility of their contribution or the partnership as a whole
6. Whether or not a pooled fund already exists in the area to which the donor would like to make a contribution
7. The commitment of the donor to support programmatic coherence above other considerations

These questions need to be explored with the donor during the negotiation phase.

Overview: Finding the right modality for a donor's requirements

DONOR CONDITIONS	MULTI DONOR SPECIAL ACCOUNT	MPTF ⁽ⁱ⁾	FIT ⁽ⁱⁱ⁾	AA ⁽ⁱⁱⁱ⁾
FUNDING WITH FIXED DURATION		X	X	X
REPORT ON INDIVIDUAL CONTRIBUTION			X	
DONOR DECISION MAKING ON (RE) ALLOCATION		X	X	
RETURN OF BALANCE AT END OF PROJECT		X	X	
OK FOR CONSOLIDATED REPORTING	X	X		
PREFERENCE FOR POOLED FUNDING	X	X		
LOWER MANAGEMENT RATE	X	X		X

(i) Multi Partner Funds-in-Trust ; (ii) Single Donor Funds-in-Trust; (iii) Additional Appropriation

2. Levels of earmarking

There are three main types of funding for which UNESCO has developed different modalities: core funding, lightly earmarked funding and tightly earmarked funding.

Level of Earmarking	Type of Modality
CORE FUNDING (Pooled)	<ul style="list-style-type: none"> Special Account for un-earmarked voluntary contributions to support the approved UNESCO Programme and Budget (C/5) Facility for contributions to the core programme of Category 1 Institutes
LIGHTLY EARMARKED FUNDING (Pooled)	<ul style="list-style-type: none"> Special account for each Major Programme (allowing earmarking at MP, MLA or ER level) Multi-donor Special accounts Multi- Partner Funds-in trust (MPTF) for multi-donor programmes
TIGHTLY EARMARKED FUNDING (Single donor)	<ul style="list-style-type: none"> Funds-in-Trust with a single donor for a specific project Additional appropriation for a specific activity

3. Overview of the Main Funding Modalities

3.1. Pooled funding modalities

The pooling of lightly earmarked funding under programmes supported by multiple donors promotes programmatic coherence, donor coordination, and gives UNESCO the flexibility to channel funds towards emerging programmatic priorities and most pressing needs to achieve its C/5 expected results. The clear advantage of pooled funding mechanism is that it allows UNESCO and its partners to achieve greater impact and sustainability, whilst reducing transaction costs and fragmentation of support.

In order to reduce the fragmentation of funding and promote programmatic coherence, UNESCO advocates for pooling funds under the Special Accounts and Multi-Partner Funds in Trust. It is also important to note when presenting different options to donors that pooled funding is exempt from the 1% UN coordination levy that applies to tightly earmarked funding (See Chapter 8 'Preparing a funding agreement').

Whenever possible and when contributions are small (less than US\$ 250 000), UNESCO recommends Pooled Funding Modalities or the Additional Appropriation to Regular Programme Modality as explained in detail below. These modalities are fast and flexible with lighter reporting procedures.

3.1.1. Multi-donor Special Account

From a donor viewpoint, and using the impetus created by the Paris Declaration on Aid Effectiveness, there is ever increasing interest in channeling voluntary contributions towards core budget support or large-scale programmes.

a) Main characteristics

- Normally multi-year and pooled contributions from several donors.
- UNESCO provides consolidated financial narrative reporting on the use of the pooled resources rather than on the contributions of individual donors.
- Decisions on resource allocation and reallocation are taken by UNESCO.
- Management Rates apply at a standard rate of 7% under the Special Account Modality. (For further information on Management Rates, please see Chapter 8 'Negotiating a funding agreement').
- There is no start or end date for the programme.
- There is a single programme document for the special account as a whole. Donors do not receive individual proposals.
- Special accounts are usually established under the authority of the director-General, but they can also be established under the authority of the Executive Board.
- Advisory or consultative committees can be established to support work undertaken in the framework of the special account.
- An appropriate modality to receive on line contributions from individual donors.

b) How to set up a multi-donor special account:

- i) To open a Special Account, Sectors/Bureaux/Field Offices are responsible for submitting a request to the Director-General via BSP and, as necessary, LA. This request should include the purpose and supporting elements for opening a new Special Account. Directors of Category I Institutes may consult BFM, BSP and LA before approving the creation of a special account in line with the Institute's Financial Regulations. Normally there should be an assessment that the programme to be financed is of interest to several donors.
- ii) Draft Financial Regulations, based on the standard model endorsed by the Executive Board drafted by the Sector and reviewed by BSP together with the applicable Results Framework. The Financial Regulations are subsequently presented to the Executive Board for information purposes.
- iii) BSP and, as necessary, LA make recommendations to the Director-General. Upon the approval by the Director-General, BSP provides a budget code.

3.1.2. Multi-Partner Funds in Trust (MPTF)

The UNESCO MPTF can be defined as a type of pooled funding modality designed to receive contributions from donors to support specific national, regional or global development results aligned with the C/5 with a governance mechanism involving UNESCO, donors and other stakeholders. The UNESCO MPTF would apply in situations where at the needs assessment phase it was determined that it was not likely that other United Nations entities would be involved. Conversely, in situations where other United Nations entities would be involved, UNDG guidelines and UNDG standard templates would be applied. UNESCO's MPTF is inspired by the UNDG agreement templates relating to joint programming and UNDG standard terms of reference for Multi-Donor Trust Funds approved in 2015.

a) Main characteristics

- It is an instrument for receiving lightly earmarked contributions to a multi-donor programme, on a multi-annual basis, for an indicative duration.
- The accountability for approving proposals prepared by UNESCO is vested in a Steering Committee comprised of key partners and other stakeholders and UNESCO itself.
- A pooled fund with a strong multi-stakeholder governance mechanism.
- There is a single programme document for the MPTF as a whole. Donors do not receive individual proposals.
- Management Rates apply at a standard rate of 7%.

b) How to set up an MPTF

The need and opportunity for establishing an MPTF is first discussed with key partners and other stakeholders, including beneficiaries and donors. Key conditions for setting up the MPTF is the assessment that the programme area is fully aligned with the C/5, and that several donors would have an interest in contributing to the Fund.

Overview of the Main Funding Modalities

A Terms of Reference for the MPTF is developed as a tool for dialogue with donors. It will include key information on the MPTF including a Results Framework in line with the C/5, a risk assessment as well as governance arrangements, the procedures for project approval, monitoring and evaluation provisions and indicative resource mobilization targets.

The MPTF becomes effective with the signature by UNESCO of an agreement with a donor for the first contribution to the MPTF. On the basis of the first signed letter of agreement, a revenue account will be established for the MPTF. Contributions to the MPTF from different donors will be consolidated in the dedicated revenue account established for the MPTF. The agreement with each donor will make it clear that contributions from different donors will be co-mingled and not identified or administered separately. After the Steering Committee approves a specific project proposal, funds are transferred from the revenue account to a separate project code.

c) **What is the difference between a Special Account and a MPTF?**

The main difference between a special account and an MPTF is that the design of the MPTF always provides for a Steering Committee which has a decision making role on the use of the funds that is comparable to that of a single donor under a funds-in-trust agreement. There are also differences in the way a special account and MPTF are set up. The creation of a special account requires a DG approval, and the regulations are shared with the Executive Board, whereas an MPTF just becomes effective with the signature of an agreement with the first donor to the MPTF. For a detailed comparative analysis, please see [Annex II of 202 EX/30 Part II 'Financial Regulations of special accounts'](#).

3.2. Single donor Funds-in-Trust (FIT)

For donors who require narrative and financial reporting on their specific contribution, Funds-in-Trust (FIT) is the most appropriate modality, although it should be noted that management rate is higher than that of pooled funds, and the FIT modality may also be subject to the 1% UN Coordination levy (See Chapter 8) with the exception of FIT for contributions under USD 100K.

3.2.1. Donated Funds-in-Trust

These funds are directed towards a specific project or programme identified by the funding source in agreement with UNESCO.

3.2.2. Self-Benefitting Funds-in-Trust

It applies when a donor funds a project on its own territory. The main difference from a donated Funds-in-Trust is that the agreement for self-benefitting FIT contains the privileges and immunities to be applied to UNESCO, whereas for the donated FIT arrangements, a plan of operations needs to be signed with the beneficiary country by which the latter grants the privileges and immunities and formally endorses the project, after the signature of the FIT agreement with the donor.

Workspace

Concrete examples of self-benefitting projects are available on the Extrabudgetary Workspace under '[Examples of best practices](#)'.

a) **Main characteristics:**

A distinct budget code is created for each project. Specific narrative and financial reporting is provided to the donor on their contribution.

The donor retains ownership of the funds throughout the period of the project, and must be consulted on any substantial modifications to the project design or budget.

The donor should be consulted on the handling of any savings at the end of the project.

Management Rates apply at a standard rate of 9% (For further information and details on UNESCO's Management Rates, please see Chapter 8).

b) **How to set up a Funds-in-Trust:**

To set up a Funds-in Trust, Sectors/Bureaux/Field Offices and Institutes are responsible for preparing a FIT project document and budget and ensuring its quality review and validation. The elaboration of a full project document usually takes place after a donor has confirmed its interest on the basis of a preliminary concept note. For the projects with a budget less than US\$ 250,000, the budget needs to be validated at the AO level, for projects with a budget more than US\$250,000 budget needs to be validated by BSP.

In parallel to the review and validation of project document, a funding agreement needs to be prepared and agreed with the donor. If the donor accepts to use the UNESCO standard Funds-in-Trust project agreement template, BSP can sign or give authorization to the relevant ADG/DIR of the Office to sign the standard agreement. If the donor insists on using their own agreement template, or proposes non-standard clauses, BSP will negotiate with the donor to ensure that any divergences from the standard template are aligned with UNESCO's rules and regulations, and may seek the advice of LA and other relevant services to work out a formulation for non-standard clauses that is aligned with UNESCO's rules (See also Chapter 8 – 'Preparing a funding agreement').

Once the agreement is signed by both parties, BSP can create a project budget code for that FIT project against which expenditures will be incurred once UNESCO receives the funds.

3.3. Additional Appropriation to the Regular Budget Modality

These are contributions accepted by the Organization for attribution to the Regular Programme. Additional Appropriation (AA) Modality has the following main characteristics:

a) **Main characteristics**

- It is treated in the same manner as the Regular Programme Budget.

Standard Agreement Templates

- There is no ceiling on additional appropriations.
- If there are any unused funds after the completion of the activity, they are not returned to the donor.
- Unspent funds can be carried forward from one biennium to the other.
- It supports an existing activity.
- UNESCO does not provide financial report for donors but additional appropriations are given due visibility in the Management Chart prepared for the Executive Board.
- Additional appropriations are not subject to a Management rate (indirect costs).

b) How to set up an Additional Appropriation

Responsible Sectors/Bureaux/Field Offices and Category 1 Institutes should first identify the specific activity that is to be reinforced through an additional appropriation. Once the applicable conditions have been explained to the donor, the arrangement is formalized through the UNESCO standard letter for additional appropriation to regular programme from the administrative manual, of which there are two different templates. For additional appropriations under \$50 K, if the donor is in agreement, the additional appropriation letter does not need to be countersigned by the donor.

4. Standard Agreement Templates

Standard agreement templates for the formalization of the voluntary contributions under the above-mentioned modalities (FIT, Special Accounts, MPTF and Additional Appropriation) are available at UNESCO's Administrative Manual under [Chapter 5 "Extrabudgetary Funding Sources and Funds Management Modalities"](#).

Workspace

Specially adapted **agreement templates for specialized Category 1 Institutes** relating to funding for core activities, multi-donor programmes and additional appropriations are available on the Extrabudgetary Workspace under ['Templates'](#).

For more information, see Chapter 8 – 'Negotiating a funding agreement with a donor'.

5. Joint UN Programming

5.1. UN common country programming processes

'Joint programming' is an umbrella term to describe how the UN Country Teams and partners work together to prepare, implement, monitor and evaluate their development interventions. The country analysis and the UNSDCF are both part of joint programming.

Through a joint programme UN agencies, implementing partners and donors, combine their efforts and resources in a common work plan and budget. To be involved in a joint programme, it is critically important for UNESCO to position itself at the time the UNSDCF result matrix is being defined. The UNSDCF results matrix offers a first concrete opportunity for two agencies or more to work out how efforts and resources can be combined for greater effectiveness and efficiency. This process can occur at several points during the UNSDCF cycle but the earlier a joint programme is considered, the better.

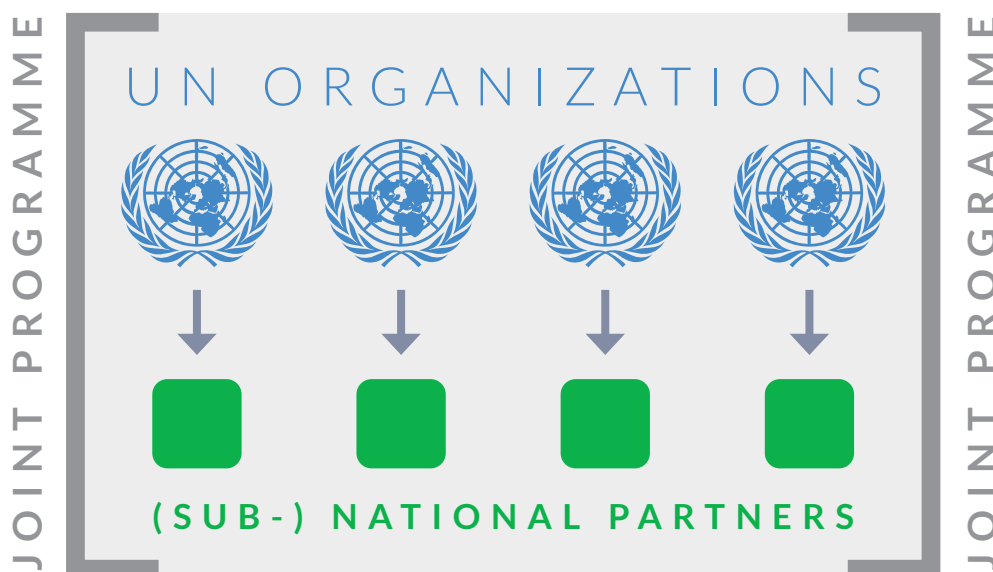
5.2. Resource Management modalities

5.2.1. Joint Programme with Parallel Funding

Under parallel fund management, each organization independently manages its own funds from regular and other resources. This option is likely to be the most effective and efficient when interventions by participating UN organizations are aimed at common results with under the same joint programme but with different national and/or international partners.

Under this modality, each organization manages its own activities within the common work plan and the related budget, whether from regular resources or other resources.

FIGURE 7.1 Graphic illustration of fund management for a Joint Programme with Parallel Funding



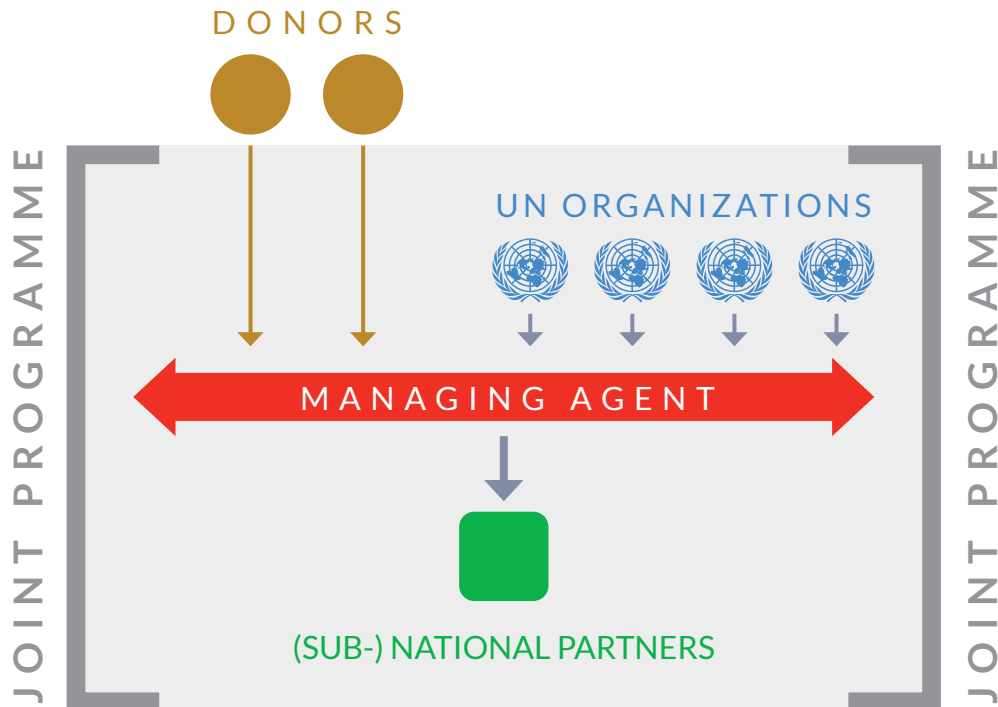
5.2.2. Pooled funding, UNESCO as a managing agent

Under this option, participating UN organizations pool funds together and send them to one UN organization, called the managing agent, chosen jointly by participating UN organizations in consultation with the national partner. The managing agent will support the national partner in managing the programme. Programme and financial accountability for UN support to the joint programme will rest with the managing agent.

Joint UN Programming

The memorandum of understanding signed between the managing agent and the parties is a binding agreement that enters into force upon signature by authorized officials of the parties.

FIGURE 7.2 Graphic illustration of fund management for a Joint Programme with Pooled Funding



Pass-through fund management, UNESCO as an administrative agent (AA)

Under pass-through fund management, two or more organizations develop a multi-donor trust fund or joint programme. If the donor(s) and participating UN organizations agree to channel the funds to participating organizations through one UN organization, then the pass-through modality applies. The UN organization channelling resources, called the AA, is jointly selected by all participating organizations.

The multi-donor trust fund or joint programme is formalized through a memorandum of understanding signed by each participating UN organization and the Multi-Partner Trust Fund Office as the AA. The Fund will be established upon signature by all participants.

Disbursements made to the participating organizations will be made from this fund within the timeframe set out in the memorandum of understanding, signed between UNESCO and Participating UN Organisations. The AA fee (currently 1 per cent) is established by the UNDG, reflected in the UNDG standard legal agreements for the pass-through fund management modality and meant to cover the full costs of delivering the AA functions.

5.2.3. For further information

There are plenty of hand-on materials and guidance notes issued by UNDG/FMOG on Joint Programming/Joint programmes and the relevant resource management modalities which are available at www.undg.org.

The key reference on the resource management modalities which apply to joint programming is the '[Guidance Note on Joint Programming](#)'.

6. Human Resources Partnerships

Human resources are a critically important resource for UNESCO, and there is a set of HR partnership and volunteer arrangements in place to management relationships with partners who would like to place experts and other human resources at UNESCO's disposal.

6.1. Junior Professional Officers

Partnership between UNESCO and donor governments to fund specific posts.

Donor countries fund, at a specific request of UNESCO, P1 or P2 extra-budgetary posts. All costs are covered by the donor. They normally finance posts for their own nationals, but some of them may consider applicants from developing countries.

JPOs are young talents, under 32 years of age who meet UNESCO recruitment standards.

They are appointed for at least 1 year, and the standard duration is of 2 years.

6.2. Loans and secondments

A partner institution deploys a member of its staff to a specific post in UNESCO and covers all the costs. The individual is released in response to a specific and temporary need of UNESCO.

Releasing institutions can be public and private partners: Member states, NGOs, Non-UN International Organizations, Private companies and foundations.

The difference between both is that under a loan scheme (non-reimbursable loan), the "releasing entity" pays full and direct remuneration to the loaned personnel, including benefits and social security. Loaned personnel are independent contractors and are thus not staff members of UNESCO.

In the Secondment Agreement, the "releasing entity" deposits in UNESCO's account the estimated cost to cover the full remuneration of the incumbent, including benefits. Seconded individuals are hired on a fixed-term appointment, which gives them the status and conditions of an international civil servant. The funds from the counterpart are placed in a separate ledger account which is managed by UNESCO as a funds-in-trust, and on which the counterpart receives financial reports. As such, funds provided for a secondment are considered as a voluntary contribution and contribute to the donor's overall ranking of

Human Resources Partnerships

extrabudgetary donors to the organization, which is not the case for a non-reimbursable loan.

More information and the standard templates to formalize the secondment and loan arrangements are available from [UNESCO's Human Resources Manual](#).

6.3. Stand-by Agreement

It is designed to enhance staff capacity during crisis/transition situations.

Partner deploys, at the request of UNESCO, experts preselected on a roster, and available at short notice. The assignment is funded by the Partner and it normally cannot exceed 18 months.

UNESCO's main stand-by partner is NORCAP, administered by the Norwegian Refugee Council

6.4. Sponsored Traineeships

It is designed for students, researchers and young professionals, who have completed at least 3 years of studies at an undergraduate level, in a university or equivalent.

They are sponsored by an institution; no compensation by UNESCO. The sponsoring institutions can be public or private; but are mostly governments, regional or academic institutions.

6.5. UNESCO Volunteer

They are individuals who offer their services to UNESCO for a specific assignment, on a voluntary basis. The main objective for them is not to learn from a practical experience within UNESCO, but to offer their expertise, knowledge and know-how to the Organization.

These assignments can be conducted on the premises of UNESCO, or online via internet.

6.6. UN Volunteer

UN Volunteers are qualified, highly motivated individuals. They are contracted and deployed by UNV (programme of UNDP). Purpose of UNV is to contribute to peace and development through volunteerism.

UN Volunteers are not staff members (not for UN, nor UNESCO). The assignments are paid by UNESCO or a donor through UNV (usually for its nationals).

Process: UNESCO Field Office contacts HRM, draft collaboratively the Description of Assignment; UNV preselects the candidates and UNESCO takes the final decision. The UN Volunteer is under the administrative authority of UNV (contract), but technical supervision of his/her UNESCO manager.

The UNV Programme is active in 130 countries; and has field presences in 80+ countries worldwide. There are nearly 7000 volunteers in the field, who come from 153 countries.

Detailed information about Human Resources partnerships is available at [HR Partnerships Toolkit](#).

7. In-kind contributions

Partners can support UNESCO by providing in kind support, for example by hosting the statutory meetings of UNESCO's culture conventions or other high level meetings, covering the cost of travel of participants, the provision of free office space, or a donation of equipment. Other common in kind contributions include databases, web sites, interpretation and translation, print and distribution of documents.

In-kind contributions can be formalized through a partnership agreement, or a simple exchange of letters. BSP should be consulted on the specific legal requirements relating to the acceptance of donations of equipment. Dedicated agreement templates for Human Resources Partnerships are available in UNESCO's Human Resources Manual.

All in-kind contributions and their approximate value are reported in UNESCO's Management Chart.

FIGURE 7.3 Summary table of the UNESCO partnerships and volunteer arrangements

Modality	Purpose	Duration	Funding sources	Miscellaneous
JPO	Donor governments finance P1 or P2 posts, normally filled by their nationals.	1 – 4 years	Extra-budgetary post financed by Donor government	
Loan	Deployment of skilled personnel from a releasing entity for a specific need and period.	6 months – 4 years	Individual remunerated by the releasing entity.	Considered as an individual contractor.
Secondment	Deployment of skilled personnel from a releasing entity for a specific need and period.	1 year – 4 years	Extra-budgetary post financed by the releasing entity.	Considered as a staff member.
Stand-by agreement	Quick deployment of experts from a Stand-by partner to a UNESCO Field Offices during a crisis situation.	Max 18 months	Individual remunerated by the partner.	Partner holds a roster with preselected experts available on short notice.
Sponsored Traineeship	Students or junior professionals financially supported by an institution.	6 months – 1 year	Individual receives a stipend from an institution for the assignment.	Long-term partnership with an institution, or on an ad hoc basis.

In-kind contributions

UNESCO Volunteer	Individuals with know-how or expertise, conduct short mission for free.	2 weeks – 6 months	Free of charge.	
UN Volunteer	Collaboration with UNV/UNDP; individuals assigned to a UNESCO Field Office. Can be young, national or international UV	3 months – 4 years	Post funded by the UNESCO's office receiving the assignment, or by a donor through UNV.	





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8

Preparing a Funding Agreement with a Donor

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Chapter 8.

Preparing a Funding Agreement with a Donor

At the outset of a negotiation, UNESCO should always propose its standard agreement templates. If a donor insists on using its own agreement template, a careful review will be necessary to ensure that the agreement is compatible with UNESCO's rules and procedures and it includes the main clauses that feature in UNESCO standard agreements that are there to ensure that there is clarity and transparency about the conditions that will apply to the management of the contribution of the donor.

The Bureau of Strategic Planning provides support during the negotiation phase, and if necessary will seek the advice of Legal Affairs on non-standard clauses requested by donors.

During the negotiation phase, there will be a number of clarifications to be made to ensure that UNESCO and the donor are in mutual agreement and that there is full transparency on the way that the contribution from the donor will be managed.

- Choosing the right kind of agreement
- Checking that there are no clauses in the funding agreement proposed by the donor that are incompatible with UNESCO's rules and regulations and giving assurance to the donor that any underlying concerns behind such clauses can be addressed by UNESCO in different ways
- For funds-in-trust projects, tailoring the agreement template to a specific project
- Applying the correct management rate

1. Choosing the right kind of agreement

Once the choice of modality has been agreed with the donor (See Chapter 7) and agreement has been reached on the content of a proposal, a funding agreement needs to be negotiated with the donor.

For all the various modalities described in Chapter 7, there are standard agreement templates. In addition for various categories of donor (private donor, UN, EU, Multilateral Development Banks) there are specific agreement templates. All the above agreement templates are available in [Chapter 5 of the Administrative Manual](#).

In addition, tailored agreement templates are available for specialised Category 1 Institutes of UNESCO which take account of their distinct government arrangements and budgetary and accountings set up.

 **Workspace**

The templates for specialised Category 1 Institutes are available at [‘Templates’](#) on the Extrabudgetary Workspace.

**NB:**

For framework or partnership agreements, it is important to clarify with the donor whether their commitment concerns a single programme, multiple programmes, and all UNESCO modalities as defined in Chapter 7 ‘Channelling resources to UNESCO’s Programme’, or whether the donor would only like to channel their funding through funds-in-trust projects. BSP can provide guidance on the relevant template.

2. Checking for clauses that are not compatible with UNESCO’s rules and giving assurance

Sometimes donors request the insertion of clauses that are incompatible with UNESCO’s rules and regulations. With regard to these ‘red line’ clauses, it is important to explain clearly to the donor why UNESCO cannot accept these clauses and offer assurance to the donor how their concerns can be met in different ways.

In general, it is important to explain to the donor that UNESCO can only exercise quality control and exercise its fiduciary responsibility to the donor, and to Member States if it follows its own rules and regulations.

The main ‘red line’ clauses are summarised below, together with suggestions as to how UNESCO can give assurance to the donor, and move forward with the negotiation.

2.1. Audit

Requests in conflict with rules/ procedures	The performance of an audit on the project by an independent auditor designated by the donor
<p>Explanation</p>	<p>The appointed External Auditor retains the exclusive right to carry out external audits of the accounts and statements of UNESCO.⁽ⁱ⁾ The single audit principle is based on this exclusive right whereby the audit opinion given by the External Auditor on UNESCO's financial statements covers all financial operations of the Organization, including those arising from the use of specific funds.</p> <p>Deviation from the single audit principle may not be accepted whilst concluding a potential donor agreement. Specific audits or verifications of project accounts, other than those undertaken by the External Auditor or by the Internal Oversight Service as part of their respective mandates, constitute a breach in the single audit principle.</p> <p>In line with the above, UNESCO's standard donor agreement includes a clause that states "The funds made available by the donor shall be subject exclusively to external and internal audit procedures as laid down in UNESCO's regulations, rules and directives."</p> <p>The UNESCO Secretariat cannot derogate from the single audit principle because it is foreseen in the financial regulations which can only be changed collectively by all UNESCO's Member States. The single audit principle applies to all UN agencies.</p>
<p>Ways of giving assurance and moving forward</p>	<p>UNESCO has an external auditor who is independent and is appointed by the General Conference in accordance with UNESCO's Financial Regulations article 12 'External Audit, and Annex Additional Terms of Reference Governing the Audit'. The External Auditor issues a report on the audit of the annual financial statements and relevant schedules, and may make observations with respect to the efficiency of the financial procedures, the accounting system, the internal financial controls and in general the administration and the management of the Organization. External audit reports are publicly available on UNESCO's website as Executive Board and/ or General Conference documents.</p> <p>If the donor requires a formal certification mechanism, the CFO may provide such certification on the accounts of the project.</p> <p>BSP may also contact IOS to discuss additional assurance mechanism they can provide to address potential requests from the donor.</p> <p>Should the donor not be satisfied with the above options and still require an external independent audit / verification of the project accounts, this should be requested prior to the signature of the agreement.</p> <p>BFM will contact the External Auditor to verify the feasibility and modality of such external audit assignment. It is only with prior agreement of the External Auditor that this exceptional option may be brought in the negotiation and should be limited to very exceptional cases, and must be reviewed on case-by-case basis. All costs related to this audit should be charged as direct costs to the project and should be budgeted accordingly.</p>

(i) The Internal Oversight Service of UNESCO has a complimentary mandate that includes the internal audit and investigative functions of the Organization.

2.2. Applicable jurisdiction

Requests in conflict with rules/ procedures	A proposal to submit the project to national law(s) and/or the jurisdiction of national courts.
Explanation	<p>As a UN Specialized Agency, UNESCO enjoys the privileges and immunities set out in the Convention on the Privileges and Immunities of the Specialized Agencies of 21 November 1947. In particular, it enjoys immunity from jurisdiction and, as a consequence, is not subject to the jurisdiction of national courts.</p> <p>In addition, given the status of UNESCO, as an intergovernmental organization and a UN specialized agency, the agreements it enters into cannot be subject to national law.</p> <p>The above convention provide officials of UN with immunity from legal process with respect to their official duties. Other key provisions relate to the establishment of the Juridical personality of the UN, the inviolability of UN premises and property, tax exemption, and diplomatic immunity of pouch and communications.</p>
Ways of giving assurance and moving forward	<p>Even though UNESCO enjoys immunity from jurisdiction, the 1947 Convention on the Privileges and Immunities of the Specialized Agencies explicitly foresees that specialized agencies shall make provisions for appropriate modes of settlement of disputes arising out of contracts and agreements. As a consequence, UNESCO includes, in its agreements a settlement of disputes clause according to which, in the absence of an amicable settlement, disputes shall be referred to arbitration in accordance with UNCITRAL Arbitration Rules.</p>

2.3. Checking that no funding goes to terrorist organizations or individuals

Requests in conflict with rules/ procedures	A request to adhere to any black list of individuals and/or organizations involved in terrorism other than the list designated by a UN Security Council sanctions regime.
Explanation	<p>As a UN agency UNESCO can only adhere to UN Security Council sanctions/ black lists.</p>
Ways of giving assurance and moving forward	<p>Enhanced consultations or reporting mechanisms can give the donor assurance that no funding will go to terrorist entities or individuals, for example by including in the narrative reporting a list detailing the implementation partners who will receive funds under the project.</p>

2.4. Bank account versus project account

Requests in conflict with rules/ procedures	A request to open a separate bank account to account separately for a contribution of a donor.
Explanation	<p>The opening of multiple bank accounts would be an unacceptably high risk for the Organization, and a burden to supervise.</p>

Tailoring an agreement to a specific project (for funds-in-trust projects)**Ways of giving assurance and moving forward**

UNESCO can ensure that a contribution will be managed and accounted for separately by creating a separate 'ledger account' otherwise referred to as a 'project account' or 'budget code'.

3. Tailoring an agreement to a specific project (for funds-in-trust projects)

The project document and the legal “contract” between UNESCO and the donor are integral parts of the funding agreement and, during the negotiations, there are certain requirements which relate to how a contribution for a specific project will be managed, that need to be agreed with the donor, and specified either in the project document, or in the “contract”. A summary of the main points to be clarified is given below.

3.1. The Payment schedule

UNESCO’s standard agreement is provided so that the full amount of the project is paid upon signature of the agreement. However, especially for large multiannual projects, a donor may legitimately request the total amount of the project to be paid out in instalments, which are linked to specific milestones or reports. In such cases, careful attention should be given to ensuring that the payment schedule is carefully aligned with the timeline and budget of the project, in order to ensure at any moment in time, UNESCO always has sufficient funds in the project account to implement the agreed activities according to the timeline.

UNESCO’s rules specify that UNESCO cannot start project activities, or take any financial commitments until the funds from the donor are on the project account. However, in exceptional circumstances, a donor may request UNESCO to initiate some activities before the first disbursement is made. This is known as an “**advanced allotment**”. In such cases, the advice of BSP should be sought immediately to determine whether or not this requirement can be accepted.

3.2. The duration of the project and the duration of the agreement

Before UNESCO can start the project, certain conditions need to be in place: the funding agreement should be signed, the funds should be transferred to UNESCO’s account, and, for projects in a single country, UNESCO should obtain the formal endorsement of the project by the beneficiary government.

If the donor requires a specific date to be determined either for the deadline for implementation of project activities, or an expiry date for the agreement, a very realistic estimate should be made of the time that will be required to obtain the formal endorsement of the beneficiary government, and the time required to complete reporting and evaluation once the implementation of project activities is completed. Preferably, the expiry date of the agreement should be at least 6 months after the deadline for the implementation of project activities.

3.3. The format and frequency of financial reporting

In order to have a clear overview of how financial resources contribute to results over time, the budget should ideally be presented by Outcome, Output, and/or key activity. See below.

3.3.1. Budget by outcome, output and/or key activity

Outcome, output and/or key activity	Year 1	Year 2	Total (US\$)
Outcome 1			
Output 1			
Activity 1 ⁽ⁱ⁾			
Outcome 2			
o Output 1			
- Activity 1			
o Output 2			
- Activity 1.			
- Activity2			
Evaluation⁽ⁱⁱ⁾			
Communication			
Contingencies⁽ⁱⁱⁱ⁾			
Subtotal - direct Costs			
Indirect Costs			
TOTAL			

(i) Activity level information is optional.

(ii) Around 3%. The Guidelines on evaluation, including how to budget for evaluation are available on the Extrabudgetary workspace at the following link: <https://teams.unesco.org/ORG/BSP/CFS/SitePages/Monitoring%20and%20Evaluation.aspx>

(iii) Keep contingencies to the minimum. They should not exceed 2%.

Certain donors may require for their own accountability processes a budget by category of expenditure in the format given below.

3.3.2. Budget by Category of expenditure

Cost Elements Description	Year 1	Year 2	Total (US\$)
10 - Personnel costs, consultants and missions			
o Personnel Costs			
o Staff Mission Costs			
o Consultants			
20 - Contracted services			
Evaluation			
30 - External training and Grants			
40 - Equipment and maintenance			
o Equipment			
o Leases			
o Maintenance & repairs			
50 - Other expenses			
o Financial Contributions			
o Communication & visibility			
o Utilities			
o Other supplies			
o Finance Costs			
Contingencies			
Subtotal - direct Costs			
80 - Indirect costs (13%)			
TOTAL			

The approved budget should only be appended to the agreement in one of the above formats.

Another major factor in determining the format of the budget is ease of day-to-day management. Highly complex budget structures with multiple WBS elements and very detailed budget breakdowns may be difficult to manage. If the donor requires 'activity' information, present it at a 'key activity' level. Similarly, if the budget is presented only by activity, it should be structured by 'key activity'.

The donors' expectations concerning the format of financial reporting must be discussed and agreed during the negotiations on the agreement, because as indicated above, the format of the approved budget determines the format of financial reporting, and once the budget is configured in UNESCO's IT systems, structural changes become very difficult.

The standard frequency of financial reporting is yearly. However, in exceptional circumstances, if requested by the donor, six monthly reporting can be provided.

4. Applying the correct management rate

The applicable management rate to be applied in a funding agreement depends on the funding modality and are summarized below:

Modality	Rate
Funds-in-trust	9%
UN Funding and UNESCO Multi-Partner Trust Fund	7-8%
Junior Professional Officers	12%
UNESCO Prizes	9%
Special Accounts	7%
Additional Appropriation to the regular programme	0%

5. 1% Coordination Levy for the Resident Coordinator System

The Deputy Secretary General formally notified Member States of the new policy and the modalities for the implementation of the 1% Levy for the Resident Coordinator System on 12 March 2019. In summary, the new levy applies to all tightly earmarked funding from a single donor whether public or private except self-benefiting or South-South or UN funding. It does not apply to pooled funding arrangements like multi-donor special accounts. Funding partners are invited to choose between two options to managing the levy: Either they select 'donor administered' and pay the levy directly to the UN or 'agency administered' which means the UN agency concerned will collect the levy on a project-by-project basis and transfer it to the UN. The new arrangements become effective when funding partners notify DCO of their selected option and the official entry into force date.



The latest UN guidance on the 1% Coordination Levy is available on the Extrabudgetary Workspace under '[Partnering with UN](#)'.





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Managing Donor Relations

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Chapter 9.

Managing Donor Relations

In line with the Structured Financing Dialogue principles explained in Chapter 1, UNESCO aspires to mobilize funding which is very closely aligned with its programme, long term and predictable and which includes an ever increasing proportion of funding with as little earmarking as possible. UNESCO also seeks to diversify its donor base to ensure that the Organization is not dependent on a limited number of donors.

The singular most important factor in putting these principles into practice is the establishment of a relationship of trust with our donors. That trust is built both through the stewardship of the institutional relationship with the donor on their overall partnership and portfolio with UNESCO, as well as through the day-to-day management of individual programmes and projects.

Donors are key stakeholders in a project or programme and should be kept abreast of all key milestones throughout the project cycle. The level of involvement of a donor during the various phases of the programme/project cycle may vary between a single donor funds-in-trust and a multi-donor programme funded through a special account, but from programme inception through to the final evaluation, the relationship between the UNESCO Secretariat and the donor should be one of partnership based on mutual accountability, transparency and the sharing of risks and rewards relating to the programme supported.

The project design phase is critical for clarifying and managing the expectations of a donor – notably with regard to the results, a realistic and comprehensive definition of risks, and arrangements for monitoring, reporting and evaluation.

Once the programme is up and running, key factors in maintaining a good relationship with the donor are constant communication, including a timely alert on any need to diverge from the agreed plan, or unforeseen risks, timely achievement of agreed results, timely and high quality reporting and ensuring that all efforts are deployed to ensure visibility for the partnership and its results. Once a project has come to an end, the best way to pursue and even scale up cooperation with our donors is to demonstrate that UNESCO achieves results.

1. Clear communication and consultation mechanisms

Under many programmes and partnerships, consultation mechanisms involving the donor, and sometimes other stakeholders, are already foreseen in the agreement. In the context of a framework, or partnership agreement, this may take the form of an annual review meeting where annual narrative and financial reports are presented, and plans for future

cooperation are discussed. On the suggestion of either UNESCO or the donor, such annual review meetings can also be an opportunity to discuss more strategic or policy issues which extend beyond the donor's portfolio of projects, or a given programme.

Annual review meetings with donors who hold framework or partnership agreements with UNESCO are coordinated by the Bureau of Strategic Planning, who will coordinate the reporting to the meeting, and if necessary issue a call for proposals in accordance with criteria agreed in advance with the donor.

Consultation mechanisms involving a group of donors can also be established to provide feedback and advice to UNESCO on programmes funded through multi-donor special accounts such as the regular meetings of donors to Cap ED, or the Heritage Emergency Fund for example.

At country level, Advisory or Steering Committees can be established to help monitor and advise on a single programme. Often in addition to the donor, such programme committees may also involve representatives of the beneficiaries and other key stakeholders in the programme.

Such mechanisms are a welcome tool for fostering joint accountability, building ownership, and promoting transparency. At the same time, it should always be made clear that the accountability for the actual day-do-day implementation, including all matters relating to contracting and procurement rests exclusively with UNESCO and will be handled in accordance with UNESCO's rules and regulations. BSP can be approached for guidance on the terms of reference for such consultation mechanisms.

Beyond these institutional consultation mechanisms which may meet on an annual or six monthly basis, it is a good practice to involve the donor in key events in the project life cycle, such as any launch event and inception workshop, any major meeting organized in the framework of a programme, and in the reference group established to conduct the final evaluation.

UNESCO staff may also invite the donor who is funding a given project and other interested donor to visit the project, and discuss the project with beneficiaries and other key stakeholders.

UNESCO also encourages the organization of joint consultations of donors and other stakeholders in a programme, such as "Structured Financing Dialogues" (see Chapter 1 p. ...) or Partners' Forums which create an opportunity to communicate about the results of a UNESCO programme from the perspective of the donors, the beneficiaries and other stakeholders and which can be a powerful tool for communicating UNESCO's added value.

2. Handling divergences from the agreed plan

For justifiable reasons, during the lifecycle of a project, it may be necessary to diverge from the plan agreed with the donor. The required change may bear for example on the Results Framework, the timeline of the project, or the budget which are all integral parts of UNESCO's legally binding agreement with the donor.

Handling divergences from the agreed plan

Taking into account any provisions in the funding agreement which allow UNESCO to make budget revisions, or no cost extensions, without referral to the donor, all such requests to the donor for changes from the agreed plan, should be communicated in a timely way, and accompanied by an explanatory note giving the rationale for the revision and explaining what it entails.

Only budget revisions which have an impact on the budget as approved by the donor need to be submitted to the donor for approval using the tabular format given below, and accompanied by an explanatory note. The request for a budget revision should refer to the initial budget estimate and the revised estimate. It should not refer to expenditures.

Budget component as per budget format approved by the donor	Original Approved Budget	Proposed New Budget	Variation
Outcome			- ()
Output			+ ()
Communication			
Evaluation			
Management rate (%)			
Total			

When there is an additional contribution to a project which increases the overall allocation of the project, a budget revision should be prepared for the total revised budget of the project, not the amount of the additional contribution.

All requests for no cost extensions should be submitted well before the expiry date of the project. Any extension requests submitted after the expiry date are likely to be ineligible. If it is anticipated that there will be a lapse between the submission of the request for an extension, and the reply of the donor, it is preferable to specify the number of months by which the project should be extended from the date of approval of the donor.

In some cases, donors may require that such revisions are accompanied by a formal amendment to the agreement. In such cases, BSP can be approached for guidance on how to formulate the amendment.

Any changes to the project document which according to the donor agreement, do not need to be submitted to the donor for prior approval, should be reported in the ensuing narrative report and summarized in the final report.

3. High quality and timely reporting on results

UNESCO's major donors have repeatedly made it very clear that UNESCO's capacity to clearly articulate the outcomes achieved (as opposed to reporting only on activities and outputs) will be a critical factor in decisions by donors as to whether to support UNESCO or not, so quality of narrative reporting is of the upmost importance.

The key factors which must be reported on in a narrative report include the following:

- Overall Performance including how these achievements have contributed to the impact as well as to the C/5 expected result(s), national priorities and SDG's. Information on how a gender equality perspective and human rights based approach were reflected in the implementation of the project.
- Any changes and amendments that need to be brought to the donor's attention for information or approval.
- A measurement of results describing the progress in delivering the outputs and achieving the outcomes against associated targets in the project proposal.
- Information on the beneficiaries of the project disaggregated by sex, age, and other guidance specified in the proposal.
- Information on how accountability to beneficiaries has been ensured including measures to ensure their active engagement/involvement and ownership.
- Risk identification, management and mitigation
- Exit strategy and an assessment of the sustainability of the results
- Lessons learned
- Visibility of the project and its results.

Once the draft report has been completed, a careful check should be made to ensure that:

- All relevant sections have been completed in full.
- The report contains information on the achievement/progress to outcomes, and not just information on the delivery of outputs and implementation of activities¹.
- Outputs and activities are not erroneously reported as 'outcomes'.
- All annexes have been attached to the report, or are available electronically.

Workspace

Templates for progress and final narrative reports are available on the Extrabudgetary Workspace under '[Templates](#)'.

¹ Project officers can familiarise themselves with UNESCO's approach to RBM as set out in "[Results-Based Programming, Budgeting, Management, Monitoring and Reporting \(RBM\) approach as applied at UNESCO, Guiding Principles](#)"

4. Associating the donor with programme evaluations

Evaluation, whether it be mid-term, or final, is a critically important moment in the life of programme both for UNESCO and the donor(s) involved, and UNESCO staff should ensure that donors are closely associated with the process. The TOR of the evaluations should be shared with the donor, as a key stakeholder in the project, the donor should be invited to participate in the reference group that accompanies the evaluation process.

Workspace

UNESCO's evaluation policy, as well as relevant guidelines and templates are available on the Extrabudgetary Workspace at '[Monitoring and Evaluation](#)'.

5. Giving visibility to the partnership and its results

Communication is critically important (1) for positioning UNESCO vis-à-vis key partners when exploring new entry points for engagement, (2) as an integral part of the project implementation strategy, and (3) when it comes to communicating convincingly about the results of a project and scaling up.

The resource mobilization action plans described in Chapter 4 'Planning' need to be accompanied by communication plans. Key components of the communication plan will include the following:

- Mapping of upcoming opportunities to build visibility and engage with potential partners
- Customization of key messages by target audience at country/regional level for each niche area
- Main channels or methods for communicating key messages to target audiences

Giving visibility to the results achieved on the ground is critically important for the overall resource mobilization effort. In this relation, responsible officers will be encouraged to involve donors in the key events of the projects they are supporting, to organize visits to the project for existing and potential donors and to facilitate meetings with beneficiaries and other key stakeholders. On completion of the project, key stakeholders including the donor and beneficiaries need to be invited to press conferences, events/seminars/round tables to mark the completion of the project and disseminate its results. Final evaluations documenting the results of a given project need to be exploited to advocate for funding for the project area from existing and potential donors. Opportunities need to be created through events, social media or media coverage for the beneficiaries to tell the story of the project from their perspective. This can be a powerful tool for the mobilization of additional resources. Chapter 10 is dedicated to 'How to develop a project communication plan'.





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How to Develop a Project Communication Plan

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Chapter 10.

How to Develop a Project Communication Plan

communication plan outlines key project messages with consideration to how the messages will be presented, the needs of stakeholders including partners and donor(s) and how they will be communicated through specific activities or events. A good communication plan clearly identifies specific messages, the time at which the information will be shared, and the communication channel to be used to deliver the messages.

A communication plan is often financed from the budget of the project.

The basic reference template for a communication plan is given below, but some donors like the European Union may have their own template. Consult BSP if in doubt.

It is important to consider that preparing a communication plan needs to start at the planning stage of the project. The communication plan is an integral part of the implementation strategy of the project and should be reflected in the project document and budget.

1. What is the purpose of a project communication plan?

The purpose of a project communication plan is to:

- facilitate effective and efficient communication and engagement with the various audiences having a major stake in the project;
- provide visibility to the results; outputs, outcomes and impact of the project; and to
- reflect how key stakeholders including beneficiaries, donor and UNESCO work together to achieve the project results.

Template for a project communication plan

Communication Objective	Target Audience	Message	Communicator	Timeline	Delivery method	Status	Reason to believe: tangible impact, proof of delivery by beneficiary, key figure



NB:

Remember to foresee and integrate the cost of the communication plan in the project budget

2. When to develop a project communication plan?

You need to start developing your communication plan as soon as you start planning your project. The communication plan is an integral part of the implementation strategy of the project and should be reflected in the project document and budget.

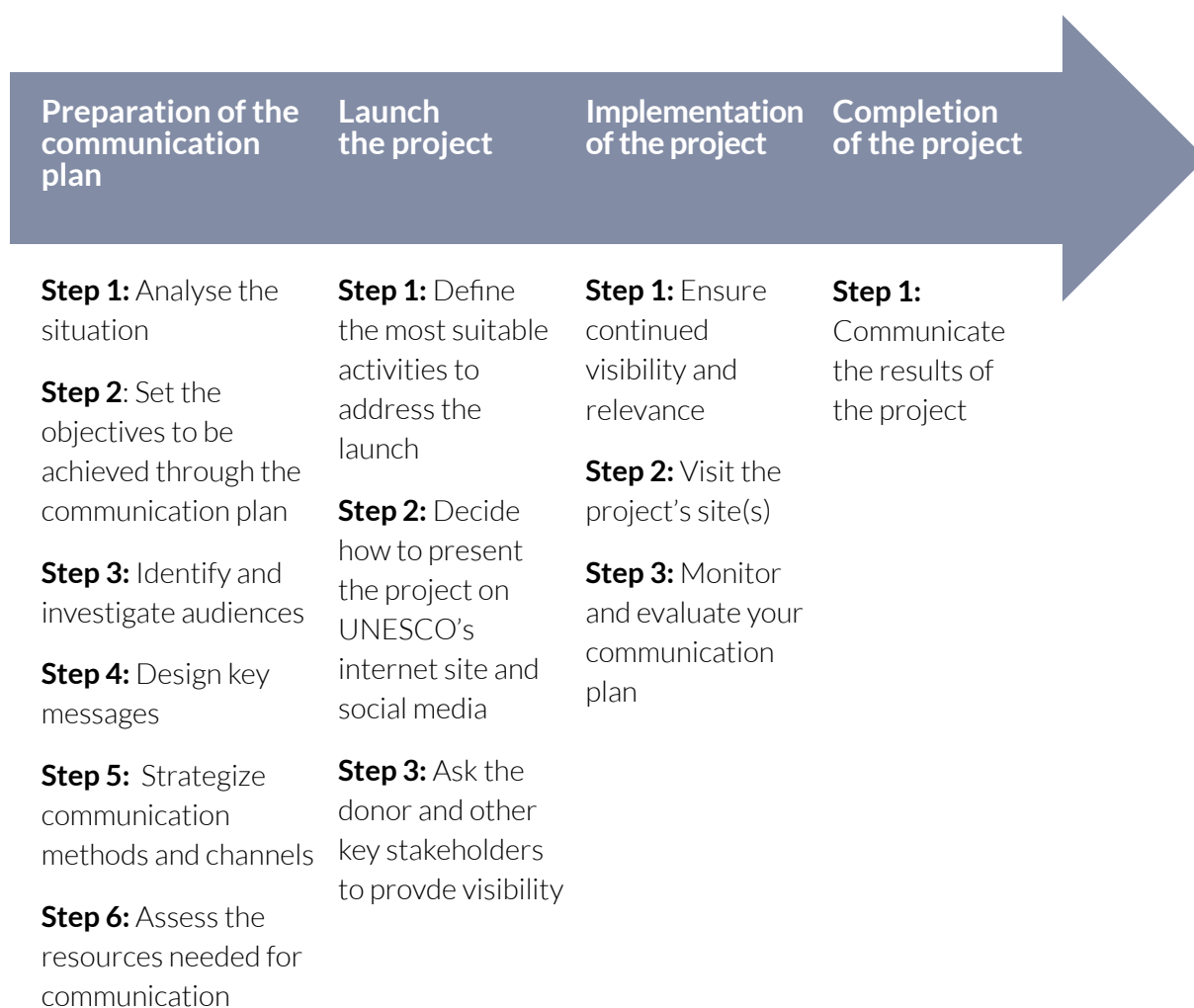
Key principles of communication: be **clear, consistent, coherent**

- Follow the rules and guidelines of UNESCO visual identity and logo: we should all communicate as one single UNESCO family.
- Tell the story of the project: give prominence to the importance of impact/human interest stories (testimonies, quotations, etc.) not as an end product but as part of the project. (e.g. Education Sector - [Education Transforms lives: UNESCO stories](#))
- Be relevant: define audience(s) and adapt key message(s) and the appropriate communication channel to these audiences. Be contemporary, accurate, and a catalyst for solutions to cutting edge global challenges.
- Focus on results: showcase solid results and success stories in the programme area.
- Put a premium on collaboration and partnerships: build and promote collaboration towards a common objective.
- Express optimism: speak with an uplifting, engaging and understandable voice.
- Be honest: be candid, open and honest in your communication.
- Ensure timeliness: communicate at the right time for the targeted audience.

Preparing and implementing your communication plan

- Use clear/appealing/catchy and easy to understand language: avoid UNESCO jargon, acronyms and technical terms that are unfamiliar to the targeted audience.
- Use images and videos: good pictures tell a story and evoke/provoke emotions. Make sure to include short descriptions or captions – prefer short videos (less than 1 minute) for social media stories. Make sure this material is branded with UNESCO logo and visual identity.
- Acknowledge donors' and partners' contributions: ensure that donor/partner's support is given visibility and is appropriately mentioned.

3. Preparing and implementing your communication plan



3.1. Preparation of the communication plan

Step 1 Analyse the situation

The situation analysis will help develop the rationale for the communication plan, the main needs to be addressed and the possible activities. At this stage, it will be important to distinguish between 1) communication with beneficiaries, 2) communication with other key stakeholders (implementation partner, donor, other UNESCO colleagues etc.), 3) communication with indirect beneficiaries on which the project could have an impact, i.e. policy-makers, and 4) broader communication within UNESCO at global level, or with partners in the region for example.

It will involve consulting direct beneficiaries, key partners and other stakeholders on their expectations regarding communication and mapping available communication channels, methods and tools.

Step 2 Set the objectives to be achieved through the communication plan

Work out the overall objectives of communication within the project, taking into account the outcomes of the project and the context within which it is developed, including the wider UNESCO context.

There could be several communication objectives, some of which are an integral part of the project such as replicating results, improving synergies between partners, or boosting sustainability of the project's outcomes. Others could extend beyond the immediate scope of the project such as strengthening the overall partnership with the donor, demonstrating UNESCO's credibility, attracting new donors and partners or using the project as a platform to advocate for UNESCO's role in achieving the SDGs.

Step 3 Identify and Investigate audiences

List all the audiences you might contact, attempt to influence, or serve, such as:

- Within the beneficiary country(s) where the action is implemented (e.g. ministries, members of parliament, local communities, project beneficiaries for example adolescent girls, provincial education authorities, local and international media)
- Within UNESCO's community (Member States, UNESCO's partners and networks)
- Within the donor community (Embassies, Permanent Delegations, local groups, public and private sectors, key decision makers and other stakeholders within a donor country).

You need to understand the audience – what they need, how they might want to receive the communication, and what their information and communication habits are. A good communication plan will help to engage and empower beneficiaries and other key stakeholders.

Step 4 Design key Messages

Define key messages that will be central to your communication plan –for example on progress towards results in the project area, UNESCO’s added value and contribution to the 2030 Agenda, the role of direct beneficiaries, key partners and other stakeholders, etc.

Messages need to be differentiated by target audience. When defining messages, the following factors need to be taken into account:

- What difference does your project makes? What difference did UNESCO make with this project?
- What is the main point you want to communicate to a specific audience?
- What do you want the audience to do or feel after receiving the information?
- What is/are the most appropriate language(s) that should be used?
- How credible is the person or source who will deliver the message?
- What is/are the best communication channel(s) or format(s) for delivering the message?
- When and where should the message be delivered?

All messages must be based on evidence and the information must be accurate, accessible and timely. The communication needs to highlight the coherence, effectiveness and relevance of the project to key stakeholders, including government, donors and UNESCO staff involved in the project.

Step 5 Strategize communication methods and channels

The criteria for choosing communication methods and channels includes costs, risks and credibility. Credible methods are chosen so that people will trust and value what is communicated through that method.

Communication channels include face-to-face communication with groups or individuals, TV, radio, film, video, social media, web sites, print media including newspapers and magazines, posters and leaflets, and popular theatre. It can also be a simple update through email for stakeholders or a project platform for exchange, etc.

It is worth investing in quality photos and videos right from the outset. This will also facilitate the communication to donors and of course facilitate outreach at the global level through UNESCO’s central channels.

Draw up a list of upcoming events, international days, major conferences, or visits of UNESCO’s senior management, Goodwill ambassadors that could constitute opportunities to give visibility to the project. Consider the pros and cons of organizing visibility and outreach events with the donor at their headquarters (e.g. for EU stakeholders and decision makers in Brussels). National personalities in the country where the project is implemented could be mobilized to generate awareness.

When your strategy involves media outreach, your communication plan should outline how you will build partnerships with relevant local media, and involve them in the development

of the project. Any media strategy must also take into account the particular media environment in the country. If free, independent and pluralistic media do not exist, for example, you can seek the advice of CI as to whether a media development component may be required as part of the project.

Step 6 Assess the resources needed for communication

Establish performance indicators and associated baselines and targets for your communication plan so that you can measure progress. Depending on the project, performance indicators could include number of visits to UNESCO web sites, activity on UNESCO social media accounts, the number of articles published, the number of TV appearances etc.

Assign responsibilities for communication. This may be reflected in the 'Implementation strategy' for the project.

Calculate the human and financial resources required to implement the communication plan and ensure they are adequately costed in the project budget.

- Human Resources: Person/days required to implement the communication activities; overall personnel costs. Members of the management team responsible for communication activities. Direct share to be charged to the project.
- Financial resources: Budget required implementing the communication activities for communication research, M&E, training and capacity building, photographs, development and production of print material and of broadcast material, special events.

Factor communication into the overall timeline of the project (Annex B of Project Document template).

3.2. Launch the project

Step 1 Define the most suitable activities to address the launch

Mark the formal endorsement by beneficiary government or launch of the project and invite the donor's representative (e.g. Ambassador of the donor country) to the event as well as other key target audiences (project stakeholders, potential other donors, media, civil society).

Define the means (Signing Ceremony, launch event, internet news, photograph, reception, social media, UNESCO networks press release, joint press release with partner, press conference).

Be sure to involve the donor and other key stakeholders in inception workshops.

Step 2 Decide how to present the project on UNESCO's internet site and social media

Consult the communication focal point in each Sector on how to present the project on UNESCO's website and social media. Several options are possible. Always keep CAB/DPI and Sector focal points for communications in the picture. The communication focal points can assist and help avoid difficulties, e.g. advise on whether or not it is appropriate to set up a dedicated website for the project, or help integrate a website into UNESCO's technical infrastructure for instance, or ensure the communication product is in line with visual identity guidelines, etc.

Professional photographs with a caption and copyright should be taken of the project and related events, and kept in a photobank for easy access.

Remember that summary information about the project will systematically be made available to the general public through the Transparency Portal based on information entered by the responsible officer in SISTER and FABS respectively.

Step 3 Ask the donor and other key stakeholders to provide visibility

Make sure the beneficiary government and its community fully appreciates the importance given by the donor to the project's visibility and the potential impact of visibility efforts on the donor's continuous/future funding perspective.

Work with the beneficiary government counterpart (ministries, institutions, universities, NGOs, etc.) and donor (capital, development cooperation agency, embassies, Permanent Delegations) on the development of consistent messages/statements about the project.

Plan joint visibility events with the donor.

3.3. Implementation of the project

Step 1 Ensure continue visibility and relevance

Invite the donor(s) to all key events of the project, so as to ensure their ownership of the results and the sense of partnership. This can also help mobilize additional resources in the project area from the same donor, replicate and scale up the results and influence decision makers.

Ensure that the beneficiary population is aware of the roles of UNESCO and of the donor in the project's implementation to promote teamwork between direct beneficiaries, key partners and other stakeholders.

Build long-term partnerships with local media, sharing key updates with them and including them in any related events. View them as partners in the communication surrounding the project (and its related issues in society), rather than simple channels for distribution and promotion.

Step 2 Visit the project's site(s)

Arrange visits for the donor to the project site to meet with beneficiaries.

Communicate progress towards results and keep the donor interested.

Step 3 Monitor and evaluate your communication plan

At a minimum, you should keep a spreadsheet recording all communications materials or projects and rank them against the hereunder questions. Other methods for recording communications may include survey, testing, questionnaire, interview or focus group discussions.

- a) What have the reactions to the communication been? Was it well-received? Did it respond to the information needs of target audiences? Did communities receiving the communication product suggest changes? What changes?
- b) Who received the communication product? How did they receive it?
 - i) For publication, keep a distribution list
 - ii) For interpersonal communication, keep a participation list
 - iii) For radio or television, try to determine how many people would have received the messages
 - iv) For website and internet material, track the number of downloads or page views
- c) Has the communication resulted in behavioral change of target audiences? Has there been an increase in the number of people visiting the site(s) after the communication was launched?

3.4. Completion of the project

Step 1 Communicate the results of the project

Involve key stakeholders including the donor and project beneficiaries and relevant local media in press conferences, events/seminars/roundtables to mark the completion of the project and disseminate its results.

Share visibility material with the donor in the final report (press cuttings, leaflet, brochures, books, videos, etc.).

Make sure a copy of the final report and evaluation of the project is sent to the Evaluation section of IOS.

Use evaluations of the project to engage potential new donors in the project area.

Getting further help and advice on your Communication Plan

Create opportunities through events, social media or media coverage for the beneficiaries to tell the story of the project from their perspective. This can be a powerful tool for the mobilization of additional resources.

Work with local media to develop these stories and make project direct beneficiaries and staff available for interviews and follow-up discussions.

Send documentation on 'success stories' or documented best practices with photos or other advocacy material to BSP, the Executive Office of the Programme Sector as well as DPI and Sector focal point for communication.

4. Getting further help and advice on your Communication Plan

4.1. Whom to contact for further advice:

- Contact details in DPI: Matthieu Guével (m.guevel@unesco.org)
- Media relations and hot content: George Papagiannis (g.papagiannis@unesco.org)
- Web and strategic content: Matthieu Guével (m.guevel@unesco.org)
- Publications and branding: Ian Denison (i.denison@unesco.org)
- Public relations, communication partnerships: Armelle Arrou (a.arrou@unesco.org)

4.2. Communication Focal Points in the Programme Sectors:

- ED: Anne Muller (a.muller@unesco.org)
- SC: Isabelle Brugnon (i.brugnon@unesco.org)
- IOC: Rejane Hervé-Smadja (r.herve@unesco.org) and Vinicius Lindoso (v.lindoso@unesco.org)
- SHS: Petra van Vucht Thijssen (p.van-vucht-tijssen@unesco.org)
- CLT: Denise Bax (D.Bax@unesco.org)
- CI: Natalia Denissova (n.denissova@unesco.org)
- Section for Media Development and Society (Mirta Lourenço, Chief of Section)
- BSP/MGP or BSP/MLP for guidance on any specific templates to be used for project communication plans with partners/donors (i.e. EU)

Seek advice from BSP and CAB/DPI on the correct logo use of partners and donors, especially when dealing with Private Sector partners.

4.3. Useful Resources

CAB/DPI has corporate subscriptions to professional tools. Project managers can join:

- Media relations and press monitoring - CISION
- Photos – Shutterstock
- Social Media management – Hootsuite
- Mass mailing distribution – Mailchimp (cost related to volume)
- Web development (cost depending on project)
- Events management (under development)

Links to photo banks:

- UNESCO Mediabank
- [ED photo library on UNESTEAMS](#)
- UN Photo
- [UN Photo on Flickr](#)
- [Flickr](#)
- [ILO](#)
- [The World Bank](#)
- [World Bank on Flickr](#)
- [CNRS](#)
- Shutterstock

Other useful links:

- [UNESCO's Transparency Portal](#)
- [DPI Guidance on use of social media](#)
- [Guidelines on use of UNESCO's name and logo](#)
- [Education Sector Visual Identity Guidelines](#)
- [UNESCO and the Sustainable Development Goals](#)

