

## STATUTES OF THE UNESCO-CARLOS FINLAY PRIZE FOR MICROBIOLOGY

### Article 1 – Purpose of the Prize

- 1.1 This international Prize is named after the Cuban scientist Carlos J. Finlay (Camagüey, 3 December 1833 – La Havana, 20 August 1915) whose innovative research on infectious diseases led to the discovery of the transmission of yellow fever from infected to healthy humans by *Aedes Aegypti* mosquito, as well as advances in the study of other diseases such as cholera, tuberculosis, malaria and leprosy. His discoveries have had huge impact on scientific progress and human development.
- 1.2 The purpose of this Prize reward an individual, institution, or other entity or non-governmental organization who, through research and development, has made an outstanding contribution to the field of microbiology (including immunology, molecular biology, genetics, etc..) and its applications throughout the world. The objective of the Prize is in conformity with UNESCO's policies and related to the work of the International Basic Sciences Programme (IBSP) of UNESCO to promote scientific research, with a lasting awareness and appreciation of the basic sciences and their fundamental role for providing solutions to development challenges as set in the United Nations 2030 Agenda for Sustainable Development.
- 1.3. The Prize intends to serve as a lever for strengthening global capabilities in the basic and engineering sciences, as well as highlighting role models capable of attracting youth into science studies and careers, and empowering them in the fields of microbiology – known to be the study of all living microscopic organisms, such as bacteria, viruses, archaea, fungi, prions and protozoa.
- 1.4. The proposed Prize complies with the Revised Overall Strategy for UNESCO Prizes as adopted by the Executive Board.

### Article 2 – Designation, periodicity and amount of the Prize

- 2.1 The Prize shall be entitled “UNESCO-Carlos J. Finlay Prize for Microbiology”.
- 2.2 The Prize shall be funded by the Government of Cuba, and shall consist of a recurrent payment of 20,000 USD biennially (for each edition of the Prize), which shall cover both the monetary value of the Prize and the costs of administering the Prize.
- 2.3 Any interest that may accrue shall be added to the overall contribution. A certificate will be given to each of the recipients.
- 2.4 All funds received and the interest accrued thereon shall be kept in a special interest-bearing account for the Prize (see financial regulations in Annex II).
- 2.5 The full staff support and operating/management costs of the Prize, including all costs related to the award ceremony and public information activities, estimated at 10,000 USD shall be fully covered by the Government of Cuba. To this end, the Director-General will determine a mandatory overhead cost to be applied and charged against the funds in the special account, which is to be established under the financial regulations for the Prize.
- 2.6 The Prize shall be awarded biennially to one prize-winner at each edition, on an initial basis for three biennia (3 editions of the Prize in total).

### **Article 3 – Conditions/Qualifications of candidates**

- 3.1 The candidates shall have made a significant contribution to research and development in the field of microbiology (including immunology, molecular biology, genetics, etc.) and its applications, such as through
- (i) research in the form of published articles and communications ;
  - (ii) microbiology dissemination;
  - (iii) international or regional cooperation in microbiology.
- 3.2 The Prize may be conferred upon individuals, institutions, other entities or non-governmental organizations that have promoted microbiology advancement for societal transformation.

### **Article 4 – Designation/Selection of Prize-winners**

The prize-winners shall be selected by the Director-General of UNESCO on the basis of the assessments and recommendations made to him/her by an international jury. Particular attention should be given to women and young researchers.

### **Article 5 – Jury of the Prize**

- 5.1 The jury shall consist of five (5) independent members, being personalities with a recognized reputation in the field covered while also taking into consideration the need for equitable geographical distribution, gender equality and the principle of non-payment of honoraria. They shall be appointed by the Director-General of UNESCO for a two-year period for a maximum period of six years, with a possibility to renew each of them. Representatives and alternatives of Members of the Executive Board cannot be appointed as jurors. Jurors involved in a real or potential conflict of interest shall recuse themselves from further deliberations or be asked by the Director-General to do so.
- 5.2 The Jury shall elect its own chair and deputy chair. Members shall receive no remuneration for their work but will receive allowances for travel and accommodation when required. A quorum of three (3) jurors present will be required for jury deliberations to proceed. The working languages for jury deliberations will be English and French.
- 5.3 The jury shall conduct its business and deliberations in conformity with these Statutes and shall be assisted in the performance of its task by a member of the UNESCO Secretariat designated by the Director-General. Decisions shall be taken by consensus to the extent possible and otherwise by secret ballot until a simple majority is obtained. A member shall not take part in the vote concerning a nominated candidate from his or her country.
- 5.4 The Jury shall meet once every two years for deliberation on the Prize winner. The Jury may conduct its business and deliberations by correspondence or by electronic means.
- 5.5 The jury shall send an assessment on the nominations and accompanying recommendations to the Director-General of UNESCO at the latest one month before the award ceremony.

### **Article 6 – Nomination of candidates**

- 6.1 When UNESCO has received the funding of the prize *as well as the* operating/management costs of the Prize, as indicated in Article 2 above, the Director-General of UNESCO shall officially invite the submission of nominations to the Secretariat of the Prize, at least four (4)

months before the award ceremony, from the governments of Member States, in consultation with their National Commissions, as well as from non-governmental organizations maintaining official partnerships with the Organization.

- 6.2 Nominations shall be submitted to the Director-General by the governments of Member States, in consultation with their National Commissions, and by non-governmental organizations maintaining official partnerships with UNESCO and active in relevant fields covered by the Prize. A self-nomination cannot be considered.
- 6.3 Each nomination shall be accompanied by a written recommendation, which shall include, in English or French, *inter alia*:
  - (a) a description of the candidate's background and achievements;
  - (b) a summary of the work or the results of the work, publications and other supporting documents of major importance, submitted for consideration; and
  - (c) a definition of the candidate's contribution to the Prize's objectives.

#### **Article 7 – Procedure for the awarding of the Prize**

- 7.1 The Prize shall be awarded by the Director-General or his/her representative at an official ceremony held for that purpose in alternation at UNESCO's premises at Headquarters (whenever possible during the General Conference, the Executive Board or any high-level event) and in Cuba (whenever possible during a high-level event). In the extraordinary case where this is not possible, UNESCO shall choose a suitable place in any member state of UNESCO for the award ceremony. UNESCO shall present to the prize-winner a financial award of 10,000 USD as well as a *certificate*. UNESCO shall officially announce the name of the prize-winner and highlight his achievements.
- 7.2 If a work being rewarded has been produced by two or more persons, the prize shall be awarded to the principal author/contributor. In no case may a prize amount be divided between several persons.
- 7.3 The prize-winner, if possible, shall give a lecture on a subject relevant to the achievement for which the prize has been awarded. Such a lecture shall be organized during or in connection with the Prize ceremony.
- 7.4 The work produced by a person since deceased shall not be considered for a prize. If, however, a prize-winner dies before he has received the prize, then the prize may be presented posthumously.

#### **Article 8 – Sunset clause – mandatory renewal of the Prize**

- 8.1 Six months prior to the agreed end of the term of the Prize, the Director-General of UNESCO together with the donor will undertake a review of all aspects of the Prize and determine its continuation or termination. The costs of the review should be bore by the donor solely. The Director-General will inform the Executive Board of UNESCO about the results of this review.
- 8.2 In case of termination of the Prize, any unspent balance shall be returned to the donor unless otherwise agreed, in accordance with the Financial Regulations of the Prize.

#### **Article 9 – Appeals**

No appeals shall be allowed against the decision of UNESCO with regard to the award of the prize. Proposals received for the award of a prize may not be divulged.

**Article 10 – Amendments to the Statutes of the Prize**

Any amendment to the present Statutes shall be submitted to the Executive Board for approval.

**FINANCIAL REGULATIONS OF THE SPECIAL ACCOUNT  
for THE UNESCO- CARLOS J. FINLAY PRIZE FOR MICROBIOLOGY**

**Article 1 – Creation of a Special Account**

- 1.1 In accordance with the Statutes of the UNESCO-Carlos J. Finlay Prize for Microbiology and Article 6, paragraphs 5 and 6, of the Financial Regulations of UNESCO, there is hereby created a Special Account for the UNESCO-Carlos J. Finlay Prize for Microbiology, hereafter referred to as the Special Account.
- 1.2 The following regulations shall govern the operation of the Special Account.

**Article 2 – Financial period**

- 2.1 The financial period for budget estimates shall be two consecutive calendar years beginning with an even-numbered year.
- 2.2 The financial period for accounting shall be an annual calendar year.

**Article 3 – Purpose**

The Purpose of the UNESCO-Carlos J. Finlay Prize for Microbiology is to reward an individual, institution or other entity or non-governmental organisation who, through research and development has made an outstanding contribution to the field of microbiology (including immunology, molecular biology, genetics, etc.) and its applications throughout the world.

The amounts deposited in the Special Account shall be used to finance UNESCO-Carlos J. Finlay Prize for Microbiology and its operational and related costs.

**Article 4 – Income**

The income of the Special Account, in line with its Statutes, shall consist of:

- (a) voluntary contributions from the Government of Cuba, as well as other entities.
- (b) Such subventions, endowments, gifts and bequests as are allocated to it for purposes consistent with the object of the Special Account;
- (c) miscellaneous income, including any interest earned on the investments referred to in Article 7 below.

**Article 5 – Expenditure**

The Special Account shall be debited with the expenditure relating to its purpose as described in Article 3 above and the Statutes of the Prize, including administrative expenses specifically relating to it and programme support costs applicable to it.

**Article 6 – Accounts**

- 6.1 The Chief Financial Officer shall maintain such accounting records as are necessary.
- 6.2 Any unused balance at the end of a financial period shall be carried forward to the following financial period.

- 6.3 The accounts of the Special Account shall be part of the consolidated financial statements presented for audit to the External Auditor of UNESCO.
- 6.4 Contributions in kind shall be recorded outside the Special Account.

#### **Article 7 – Investments**

- 7.1 The Director-General may make short-term or long-term investments of sums standing to the credit of the Special Account.
- 7.2 Revenue from these investments shall be credited to the Special Account in line with UNESCO's Financial Rules.

#### **Article 8 – Reporting**

- 8.1 At the end of each financial period, a financial report showing the income and expenditure under the Special Account shall be prepared and submitted to the donor(s) to the Special Account.
- 8.2 An annual narrative report shall be submitted to the donor(s) to the Special Account.

#### **Article 9 – Closure of the Special Account**

The Director-General shall consult the Executive Board at such time as he/she deems that the operation of the Special Account is no longer necessary. Any balance upon closure of the Special Account shall be returned to the donor(s) of the Prize unless otherwise agreed.

#### **Article 10 – General provision**

- 10.1 Any amendment to these Financial Regulations shall be approved by the Director-General after consultations with the donor(s) of the Prize. The Executive Board shall be informed accordingly of any such amendments.
- 10.2 Unless otherwise provided in these Regulations, the Special Account shall be administered in accordance with the Financial Regulations of UNESCO.