INTERGOVERNMENTAL COMMITTEE
FOR THE PROTECTION AND PROMOTION OF THE
DIVERSITY OF CULTURAL EXPRESSIONS

Seventh ordinary session
UNESCO Headquarters, Paris,
10-13 December 2013

<u>Item 13 of the provisional agenda</u>: Activities of the Committee

At its fourth ordinary session in June 2013, the Conference of Parties adopted Resolution 4.CP 13 on the future activities of the Committee, calling upon the Committee to establish at its seventh ordinary session, a workplan for its activities, including a rough indication of timelines and to the extent possible the human and financial resources available from both the Regular programme and extra-budgetary resources. This document sets out the main elements for a potential workplan including new activities to be pursued in 2014. In preparing its workplan, the Committee is to take into account the recommendations of the Internal Oversight Service (IOS) audit on the working methods of the cultural conventions that is provided in annex to this document.

Decision required: Paragraph 30.

1.   At its fourth ordinary session in June 2013, the Conference of Parties adopted the future activities of the Committee (Resolution 4.CP 13) requesting them to:

   • examine the impact of the development of *digital technologies* on the Convention;

   • examine the Parties' *quadrennial periodic reports* and, if needed, revise the Operational Guidelines on Article 9 of the Convention, in particular on implementation-related issues that have not yet been sufficiently addressed in the periodic reports, such as the status of the artist;

   • implement the *International Fund for Cultural Diversity* (IFCD), including the *fundraising strategy* and the action plan on the implementation of the IOS recommendations that it adopted following the evaluation of its pilot phase;

   • *promote and raise visibility* of the Convention and, in particular, a framework for processing future requests authorizing the use of the emblem;

   • pursue the *ratification strategy* by proposing follow-up activities, including on regional and subregional levels;

   • design and implement a *comprehensive capacity-building programme*, including the development of a *knowledge management system* to support capacity-building initiatives of Parties and civil society;

   • assess the *involvement of civil society* in the implementation of the Convention at the national, regional and international levels, including the work of the Convention's governing bodies;

   • monitor the implementation and assess the impact of *Article 21 - international consultation and coordination*;

   • examine the *role of public service broadcasting* in achieving the objectives of the Convention.

2.   Many of these activities are the subject of a working document. For a more full report on:

   • the Parties' quadrennial periodic reports, potential revisions to the Operational Guidelines on Article 9 of the Convention, and the question of the status of the artist, see documents CE/13/7.IGC/5 and CE/13/7.IGC/INF.6;

   • the promotion and visibility of the Convention, and in particular the use of the emblem, see document CE/13/7.IGC/11;

   • the implementation of the IFCD, including the implementation of the fundraising strategy and the action plan on the implementation of the IOS recommendations, see documents CE/13/7.IGC/6, 7, 8 and 9 and CE/13/7.IGC/INF.7;

   • the ratification strategy, see document CE/13/7.IGC/10;

   • the design and implementation of a comprehensive capacity-building programme, including supporting knowledge management system see documents CE/13/7.IGC/4 and CE/13/7.IGC/INF.4;

   • monitoring the implementation and assessment of the impact of Article 21, see document CE/13/7.IGC/12.

3. For other activities not covered by a specific working document, a brief summary of the issues and input for the Committee's debates are presented in the current document, in particular on :

- the impact of the development of digital technologies on the Convention;

- the role of public service broadcasting in achieving the objectives of the Convention;

- the assessment of the involvement of civil society in the implementation of the Convention.

To this list of new activities, is added the tenth anniversary of the Convention in 2015.

Work plan for the activities of the Committee

4. The Conference of Parties requested the Committee to establish at its seventh session a work plan for its activities including a rough indication of timelines, to the extent possible, based on the human and financial resources available from both the regular programme and extrabudgetary resources. Annex I contains a work plan that could serve as a basis for discussion by the Committee. It sets out main activities determined by the Conference of Parties, the action required to implement them as well as the timeframe. Annex I also provides estimates on the financial resources required to achieve all priority activities on the Committee's work plan and within the 2014 timeframe totalling $ 1 835 281 (without staff costs).

Results of the IOS audit on the working methods of cultural conventions

5. In the framework of establishing its work plan of activities, the Committee should also take into consideration the results of the audit of the working methods of cultural conventions carried out by the Internal Oversight Service (IOS). The report was published in September 2013 (IOS/AUD/2013/06) and is included in Annex II. The results of the audit were presented to the Executive Board at its 192nd session (D-ocument 192 EX/5 Part II). The Board noted "the importance of improving the quality of causal analysis and evidence of impact brought about by UNESCO's normative work" and invited "the Director-General to implement the recommendations, except those recommendations that require a decision by the Executive Board and/or General Conference, in which case the relevant issue shall be submitted to the Executive Board for its consideration" (192 EX/Decision 5 Part II).

6. The purpose of the audit was to assess the adequacy and efficiency of the standard-setting working methods in the Culture Sector. One of the audit's main findings was that "the current situation is unsustainable as support from the regular programme budget decreases and the workload of the convention secretariats increases. There is thus a need to review the amount of Secretariat work that can be executed and cost-saving measures should be considered (…)".

7. Recommendation 1 invites the Secretariat "to formulate proposals to the governing bodies of UNESCO and/or of the convention(s) to:

(b) prioritize the current work load of the convention secretariats to align it with available resources;

(c) reduce the frequency […] of the meetings of State Parties and […] synchronize the meetings of the State Parties to the conventions, when efficiencies can be achieved;

(e) modify the financial rules and regulations if necessary to allow application of cost recovery policy".

8. The Committee must further take account of other recommendations, in particular:

    –   Recommendation 2, which recommends to explore where applicable "more efficient ways of obtaining advisory services and consider potential chargeback mechanisms to the nominating State Parties and/or earmarked fund and formulate proposals to the respective governing bodies for possible economies and financial sustainability in the advisory service fees".

    –   Recommendation 3, which recommends "that the CLT Sector should expand its common logistics unit to include additional services that add value and provide cost-effective solutions to support the work of all convention secretariats".

9. The Committee should further examine the outcomes of the ongoing IOS evaluation of the Convention, which assesses the impact of the Convention on national policy and legislation and is due for publication in 2014. The Secretariat will then be in a position to formulate proposals relating to the implementation of the recommendations and submit them for consideration to the eighth ordinary session of the Committee in 2014.

The impact of the development of digital technologies on the Convention

10. At its sixth ordinary session in December 2012, the Committee took into account the interest expressed by many Parties in their quadrennial periodic reports in the modernization of cultural policies and measures in the digital era (Decision 6.IGC 17). In that regard, the Committee invited the Parties that so wished as well as civil society to report to the Committee during its seventh session on aspects of the development of digital technologies that have an impact on the Convention and proposals for future action. At its fourth ordinary session, the Conference of Parties mandated the Committee to consider this matter. The Conference of Parties invited the Parties that so wished as well as civil society to report to the Secretariat on aspects of the development of digital technologies that have an impact on the Convention and proposals for future action for examination of the Committee during its seventh ordinary session (Resolution 4.CP 13, paragraph. 6).

11. To enable the Committee to hold a constructive debate at this session, and in accordance with the Resolution, the Secretariat invited the Parties, intergovernmental organizations and civil society to reflect on the key issues that would form the basis of future action and the main results that they sought to achieve through the new programme of activity. To encourage reflection on these issues, on 2 October 2013 the Secretariat sent a letter to all Parties, together with a short survey identifying five thematic areas of action that the Parties were invited to rank by order of priority in the framework of the Committee's mandate until June 2015 (1 = absolute priority, 5 = low priority). The themes and actions were identified following an examination of the references to digital technologies in the text of the Convention and of the Operational Guidelines approved by the Conference of Parties.

12. Thirty-three Parties[1], nine organizations from civil society[2] and no intergovernmental organizations responded to the survey. The results are as follows:

    *   Priority 1: Policies and measures to promote cultural expressions
    *   Priority 2: Education and raising public awareness
    *   Priority 3: International cooperation for development
    *   Priority 4: The integration of culture in sustainable development
    *   Priority 5: Preferential treatment for developing countries

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[1] Albania, Argentina, Australia, Austria, Azerbaijan, Bosnia and Herzegovina, Canada, Costa Rica, Côte d'Ivoire, Czech Republic, Estonia, former Yugoslav Republic of Macedonia, Germany, Hungary, Iceland, Italia, Latvia, Madagascar, Mauritius, Mexico, New Zealand, Niger, Republic of Moldova, Romania, Serbia, Slovakia, Spain, Sweden, Tunisia, Ukraine, United Kingdom of Great Britain and Northern Ireland, Uruguay, European Union.
[2] Chad coalition for cultural diversity, Culture and traditions, European Broadcasting Union (EBU), French coalition for cultural diversity, IMPALAmusic, International Federation of University Women (IFUW), International Network for Cultural Diversity (INCD), Njock Njock, ULEPICC.

Other themes proposed by Parties in their responses are:

- Take into account Articles 12 and from 14 to 18 of the 2005 Convention.

- Strengthen the reflection and debate on accessibility for all to various digital formats.

- Consider the impact of the Internet on intellectual property and the issue of rights of access to programmes/works containing intellectual property for cultural, educational and non-commercial purposes.

- Consider cooperation with civil society and NGOs of the cultural sector in the promotion and consolidation of cultural diversity.

- Mainstreaming gender in cultural activities.

- Encourage the public domain for digital cultural content and services, encourage the protection of cultural workers (artists and performers) against other actors in the digital landscape.

13. The aim of this survey was to facilitate the Committee's debates at this session, to help define the objectives of future action to be taken by the Committee and the outcomes expected from these actions. It is important that the Committee addresses these questions in order to chart a clear work plan for the coming year(s).

14. In addition to the short survey, the Secretariat further encouraged the Parties and civil society to submit short discussion documents that could serve as information documents and thereby inform the reflections of the Committee and its future work plan. These documents were made available to all members of the Committee and to observers via the website of the Convention.

15. In this context, it is recalled that a report by Professor Véronique Guèvremont entitled "Preliminary reflection on the implementation of the Convention on the Protection and Promotion of the Diversity of Cultural Expressions in the Digital Age", was presented to the fourth ordinary session of the Conference of Parties. The report is available on the following website: http://www.ficdc.org/cdc3524?lang=en

16. In addition to the results of the survey and the information submitted by the Parties and civil society, the Committee may consider the measures provided in the quadrennial periodic reports through which 32 Parties have provided information on digital technologies particularly on the adoption of national measures and policies, programmes and plans, or reported on thematic workshops or seminars.[3]

Assessment of the involvement of civil society in the implementation of the Convention

17. Given the importance of civil society in the text of the Convention, and the attention accorded to it by the Conference of Parties at its fourth session, the assessment of the involvement of civil society in the implementation of the Convention at the national, regional and international levels, and in the work of its governing bodies, is of great interest.

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[3] As an illustration of national measures or policies, it is worth noting those adopted by the Federal Ministry of Education, Arts and Culture in Austria in 2011: "Safeguarding the future of art house, small and regional cinemas". This measure is aimed at digitizing film products in regional and local cinemas in Austria. Similarly, Canada restructured the Canada Music Fund in 2009 in order to increase the visibility of Canadian music on digital platforms and international markets. Egypt, for its part, set up an Arab school of film and television via the Internet, which enabled it to offer a wide range of cinema and television courses to Arabic-speakers across the world. For further information, see the periodic reports of Austria, Canada and Egypt.

18. To recall, Article 11 of the Convention acknowledges the fundamental role of civil society in the protection and promotion of the diversity of cultural expressions and invites the Parties to encourage the active participation of civil society in achieving the objectives of the Convention. Moreover, other provisions of the Convention refer explicitly or implicitly to the role and participation of civil society in the protection and promotion of the diversity of cultural expressions, for example Articles 6, 7, 12, 15, and 19. Finally, the relevant Operational Guidelines propose ways in which civil society could be associated with the implementation of the Convention and the work of its organs.

19. In order to facilitate the Committee's initial discussions on the subject and taking account of the complexity of the task, the Secretariat is currently holding consultations with IOS and commencing an assessment involving the experts who contributed to the drafting of the Operational Guidelines relating to Article 11.[4] The outcome of this assessment will be presented for examination at the eighth ordinary session of the Committee. It would then be in a position to take decisions on future action to be taken and the methods that should be employed as part of the assessment.

20. This exercise will make use of relevant information gathered by the Secretariat through the Parties' quadrennial periodic reports on the activities undertaken by civil society organizations to promote the ratification and implementation of the Convention. Furthermore, Decision 6.IGC 17, which was adopted by the Committee at its sixth session, invites civil society to submit information documents that can also serve as input to the assessment. Also of note are the results of an initial meeting entitled "The role and participation of civil society in the implementation of the Convention for the Protection and Promotion of the Diversity of Cultural Expressions: an exchange of views between civil society and the Parties to the Convention", which was held at UNESCO Headquarters in Paris on 23 June 2008.

The role of public service broadcasting for achieving the objectives of the Convention

21. Another of the Committee's new activities is to examine the role of public service broadcasting in achieving the objectives of the Convention. In this regard, the Convention states in Article 6.2(f) that the Parties may adopt "measures aimed at establishing and supporting public institutions as appropriate" and in Article 6.2 (h) that Parties may adopt measures aimed at enhancing diversity of the media, including through public service broadcasting. While, the Operational Guidelines do not specifically mention broadcasting agencies as such, they do refer to public service institutions and public channels. For example, the guidelines relating to Article 7 state that: "cultural policies and measures developed by Parties to promote the diversity of cultural expressions should, at the stage of distribution/dissemination, promote access in the distribution of cultural activities, goods and services through *public, private or institutional channels at the national*, regional and international level" (paragraph 1.6.3).

22. Taking account of the wide scope of this new activity, the Committee is invited to identify pertinent themes and questions and avenues for reflection that could form the basis of a future work plan. At this session it will therefore be necessary to exchange views about what is feasible and the objectives to be achieved before the next session of the Conference of Parties in 2015.

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[4] See the information document presented by the Secretariat at the first session of the Committee in 2007: "Civil society and the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions" CE/07/1.IGC/INF.6. This report provides an overview of the term "civil society", which includes existing definitions, the functions of civil society organizations, the assessment of its capacities, and its modalities of interaction and coordination. See also: Guèvremont, Véronique. *La mise en oeuvre et le suivi de la Convention sur la diversité des expressions culturelles: le défi d'une action concertée de la société civile* [The implementation and monitoring of the Convention on the Diversity of Cultural Expressions, Ministry of Culture, Communications and Women's Issues of Quebec, November 2007, 22 p. Available in French, English and Spanish: http://www.diversite-culturelle.qc.ca/fileadmin/documents/pdf/societe-civile.pdf

23. In order to support this exchange of ideas and encourage proposals for action from the Committee, an information document has been prepared jointly by an international organization (the European Broadcasting Union (EBU)), a Party (German National Commission for UNESCO) and a civil society organization (the International Federation of Coalitions for Cultural Diversity, (IFCCD)). This document sets out a number of current issues that affect public service broadcasting in the framework of the Convention. The document also proposes a roadmap for future action to be undertaken by the Parties, intergovernmental organizations and civil society. Moreover, representatives from public service broadcasting organisations will be present at the Committee's session to provide input on this matter.

Celebration of the tenth anniversary of the Convention

24. Several Parties raised the issue of the tenth anniversary of the Convention during the fourth ordinary session of the Conference of Parties, but is not the subject of any of its resolutions. The Committee's attention is therefore drawn to the fact that in addition to the tenth anniversary of the Convention 2015 will be the year of the fifth ordinary session of the Conference of Parties and the 38th session of the General Conference. It will also see the adoption by the United Nations of new sustainable development goals, in which culture should at last occupy its rightful place. It is therefore an important year for the international community that works for the protection and promotion of the diversity of cultural expressions.

25. The Parties and the international community could take this opportunity to reflect on how the Convention, since its adoption, has contributed to achieving its objectives, to examine the implications of the Convention on various stakeholders, to identify challenges and seek ways to make it more effective in future. The Committee may wish to encourage the Parties to promote and support this reflective process at the international, regional and national levels, by for example organizing activities (symposia, workshops, forums or seminars) as well as to organise special events that may also serve to raise money for the International Fund for Cultural Diversity or promote the visibility of the Convention as outlined in related operational Guidelines.

26. The Committee is therefore invited to consider possibilities and make proposals for the ways in which to celebrate the tenth anniversary of the Convention. In this context, the Committee may wish to invite the Parties to indicate which celebratory activities they could organize for 2015. The Secretariat could consider organizing one or more events at the time of the fifth session of the Conference of Parties and/or the 38th session of the General Conference and/or as part of the IFCD's fundraising activities for 2015. The preparation and organization of such events will require as yet unidentified extrabudgetary resources.

27. The Committee is invited at this session to consider, discuss, amend and adopt the work plan of its activities as set out in Annex I. For each activity, the Committee is invited to make proposals for future action, to define their objectives and outcomes as well as to identify, to the extent possible, the financial resources required (from both the regular programme and extra budgetary resources) to achieve all priority activities within the 2014 timeframe.

28. The Committee is to take into consideration the results of the IOS audit on the working methods of cultural conventions, particularly the recommendation to review the volume of work of the Secretariat and set priorities. It is to also take into account Resolution 4.CP 7 of the Conference of Parties, which states that "the following activities are essential for the implementation of the Convention and the necessary funds should be ensured as a matter of priority, despite the current financial situation: statutory activities; knowledge management system; capacity-building activities; fundraising and communication strategy for the IFCD".

29. The Committee may wish to adopt the following decisions:

DRAFT DECISION 7.IGC 13a

The Committee,

1. *Having examined* document CE/13/7.IGC/13 and its Annexes;

2. *Recalling* Resolution 4.CP 13 of the Conference of Parties and Decision 6.IGC 17;

3. *Adopts* the work plan for the activities of the Committee contained in Annex I of this document and annexed to this decision;

4. *Takes note* that 2015 marks the tenth anniversary of the Convention on the Protection and Promotion of the Diversity of Cultural Expressions;

5. *Invites* the Parties and civil society to reflect on how to celebrate the tenth anniversary of the Convention at the local, national, regional and international levels, and to inform the Secretariat of the events and activities that they wish to organize and implement;

6. *Requests* the Secretariat to submit to it, at its eighth session in 2014, a programme and timetable for the celebration of the tenth anniversary of the Convention, including the range of activities to be undertaken by the Parties and the Secretariat, if additional extrabudgetary resources are available;

7. *Invites* the Parties to transmit to the Secretariat all relevant information relating to:

    – the activities and actions they are undertaking with regard to the development of digital technologies;

    – the role played by their public service broadcasters in achieving the objectives of the Convention;

    – the assessment of the work of civil society within their territory for the implementation of the Convention;

8. *Requests* the Secretariat to submit to it, at its eighth ordinary session, the information transmitted by the Parties and civil society on these issues.

DRAFT DECISION 7.IGC 13b

The Committee,

1. *Having examined* document CE/13/7.IGC/13 and Annexe II, Audit of the Working Methods of Cultural Conventions (IOS/AUD/2013/06);

2. *Takes note* that the audit carried out by the Internal Oversight Service (IOS) seeks to identify possible improvements to the working methods of all UNESCO conventions and their synergy and *welcomes* its conclusions and recommendations;

3. *Welcomes* the creation by the Culture Sector of a common platform for support services for the work of all convention secretariats, thus implementing Recommendation 3 of the IOS audit;

4. *Considers that the annual frequency of the sessions of the Committee is appropriate and in accordance with Article 23.2 of the Convention and welcomes the proposal to reduce the duration and agenda of these sessions, thus implementing Recommendation 1(c) of the IOS audit;*

5. *Notes the Organization's increasing reliance on extra budgetary contributions and invites the Parties to provide financial resources to the Secretariat in accordance with the priorities established by the Conference of Parties at its fourth ordinary session, particularly in relation to capacity-building, knowledge production and related activities, thus implementing Recommendation 1(b) of the IOS audit and Articles 9 and 19 of the Convention;*

6. *Acknowledges the need to strengthen the human resources capacities of the Secretariat in a sustainable manner to enable it to respond efficiently to the priorities identified by the Parties, decides to consider creating a sub-fund within the International Fund for Cultural Diversity (IFCD) to be used exclusively for strengthening the human resource capacities of the Secretariat, and requests the Parties to provide the Secretariat with specialist associate experts in the areas covered by the Convention;*

7. *Urges the Secretariat to implement the Organization's cost-recovery policy when using the resources of the International Fund for Cultural Diversity, thus implementing Recommendation 1(e) of the IOS audit and the financial regulations of the Special Account for the IFCD (Article 5);*

8. *Requests the Secretariat to submit to it, at its eighth session in 2014, the outcome of the IOS assessment of the impact of the Convention on national policies and legislation, together with an action plan for the implementation of the recommendations.*

ANNEX I

Work plan for the activities of the Committee

ACTIVITIES	ACTIONS TO BE TAKEN	TIMEFRAME	RESOURCE REQUIREMENTS 2014
Examination of periodic reports **Revision of the operational guidelines relating to Article 9 of the Convention**	• Examination of the Parties periodic reports and the analytical summary of the Secretariat • Decision on the framework of the regional training programme • Debate and proposed amendments on the revision of the operational guidelines and the reporting framework	7IGC	Funding required for implementation of regional training programme as reported on in documents CE/13/7.IGC/5 and CE/13/7.IGC/INF.4 including needs assessment, preparation of training materials, training workshops held in Africa, Arab States, Asia Pacific regions (funding requirements included in the figures for capacity building provided below)
	• Examination and adoption of revisions to the operational guidelines and statistical annex • Examination of Secretariat's report on the implementation of a regional training programme	8IGC	
Implementation of the International Fund for Cultural Diversity (IFCD)	• Examination of the implementation status of the IFCD in 2013 • Approval of projects resulting from the fourth call • Appointment of new members to the expert panel	7IGC	No additional resources required
	• Examination of the implementation status of the IFCD in 2014 • Approval of projects resulting from the fifth call	8IGC	
Implementation of the fundraising strategy for the IFCD	Examination of the first report on the implementation of the strategy	7IGC	Funding required for fundraising activities reported on in document CE/13/7.IGC/7 (est. $55,281)
	Examination of the second report on the implementation of the strategy	8IGC	

ACTIVITIES	ACTIONS TO BE TAKEN	TIMEFRAME	RESOURCE REQUIREMENTS 2014
Implementation of IOS recommendations of the IFCD	Examination of the first report on the implementation of the recommendations	7IGC	Funding required for activities reported on in Annex II document CE/13/7.IGC/8 (including knowledge management for the IFCD, community building and collaborative project development workshops, implementation of the results framework) (est. $410,000)
	Examination of the second report on the implementation of the recommendations	8IGC	
Results of the ratification strategy	Examination of the report on the results of the strategy	7IGC	To be determined based on decisions taken by the 7IGC
		8IGC	
Promotion and visibility of the Convention, and use of the emblem	Examination of the first report on the use of the emblem	7IGC	No additional resources required
	Examination of the second report on the use of the emblem	8IGC	
Monitoring the implementation and impact of Article 21 – international consultation and coordination	Examination of the first report on the impact of Article 21	7IGC	$30,000 Funding required for activities to continue monitoring the impact of Article 21 as reported on in document CE/13/7.IGC/12
	Examination of the second report on the impact of Article 21	8IGC	
Impact of the development of digital technologies on the Convention	Initial discussion by the Committee	7IGC	$30,000 Funding required to engage experts from all regions to contribute to a report to be examined at the 8IGC
	Examination of the first report on priority theme decided by the Committee at its seventh session	8IGC	
The role of public service broadcasting in achieving the objectives of the Convention	Initial discussion by the Committee	7IGC	$30,000 Funding required to engage experts from all regions to contribute to a report to be examined at the 8IGC
	Examination of the first report on the questions decided by the Committee at its seventh session	8IGC	

ACTIVITIES	ACTIONS TO BE TAKEN	TIMEFRAME	RESOURCE REQUIREMENTS 2014
Assessment of the involvement of civil society in the implementation of the Convention	Initial discussion by the Committee	7IGC	$30,000 Funding required to engage experts from all regions to contribute to a report to be examined at the 8IGC
	Examination of the first report on the assessment of the involvement of civil society	8IGC	
Capacity-building programme	Examination of the Secretariat's proposal for a long term capacity building programme	7IGC	Funding required for activities reported on in documents CE/13/7.IGC/INF.4 and document CE/13/7.IGC/5 including expanding the expert facility, preparing training materials on six thematic areas (including periodic reporting), further develop knowledge management system and activities, launch training workshops in Africa, Arab States, Asia Pacific regions and technical assistance missions in ten countries) (est. $1 250 000)
	Examination of the first report by the Secretariat on capacity-building activities	8IGC	
Celebration of the tenth anniversary of the Convention	Initial discussion by the Committee	7IGC	To be determined following debates and decisions taken by the 7IGC
	Examination and adoption of the programme and timetable for the celebration of the tenth anniversary	8IGC	
TOTAL RESOURCE REQUIREMENTS 2014			$1 835 281

ANNEX II

Internal Oversight Service

Audit Section

IOS/AUD/2013/06

Original: English

United Nations
Educational, Scientific and
Cultural Organization

Organisation
des Nations Unies
pour l'éducation,
la science et la culture

Organización
de las Naciones Unidas
para la Educación,
la Ciencia y la Cultura

Организация
Объединенных Наций по
вопросам образования,
науки и культуры

منظمة الأمم المتحدة
للتربية والعلم والثقافة

联合国教育、
科学及文化组织

Audit of the Working Methods of Cultural Conventions

September 2013

Auditors:
Hir Purkait
Slavka Douet
Nicola Tabacchi

EXECUTIVE SUMMARY

Key Results

IOS conducted an audit of the working methods of the six conventions in the field of culture to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work in the Culture Sector. The audit found that the current situation is unsustainable as support from the regular programme budget decreases and the workload of the convention secretariats increases. There is thus a need to review the amount of secretariat work that can be executed and cost-saving measures should be considered. Potential measures include reducing the frequency, duration and agenda of the meetings of governing bodies, synchronizing the meetings of the general assemblies, temporarily suspending fresh nominations, and using more sponsors for meeting expenses, including for translation and interpretation. The audit also found that there is an opportunity for a common platform across the culture conventions for support services given the synergies and nature of functions. Finally, alternative funding structures, such as those employed by other United Nations multilateral environment agencies, should be considered.

Background

1. Promoting Standard-setting instruments is one of the five established functions of UNESCO. In the field of culture, UNESCO promotes cultural Conventions and Protocols as detailed below.

2005 Convention on Protection and Promotion of the Diversity of Cultural Expressions

2003 Convention on Safeguarding of the Intangible Cultural Heritage

2001 Convention on Protection of the Underwater Cultural Heritage

1972 Convention Protection of the World Cultural and Natural Heritage

1970 Convention on Fighting Against the Illicit Trafficking of Cultural Property

1954 Convention on Protection of Cultural Property in the Event of Armed Conflict (1st Protocol and 2nd Protocol)

2. Implementation and support to these conventions forms a significant part of the UNESCO Culture Sector activities. In recent years, the total budgets of the six active conventions and protocols comprised about 80 per cent of the overall Culture Sector budget.

3. The importance of these conventions can be seen from the increasing ratification of (State) Parties as shown in the graph below.

Graph 1
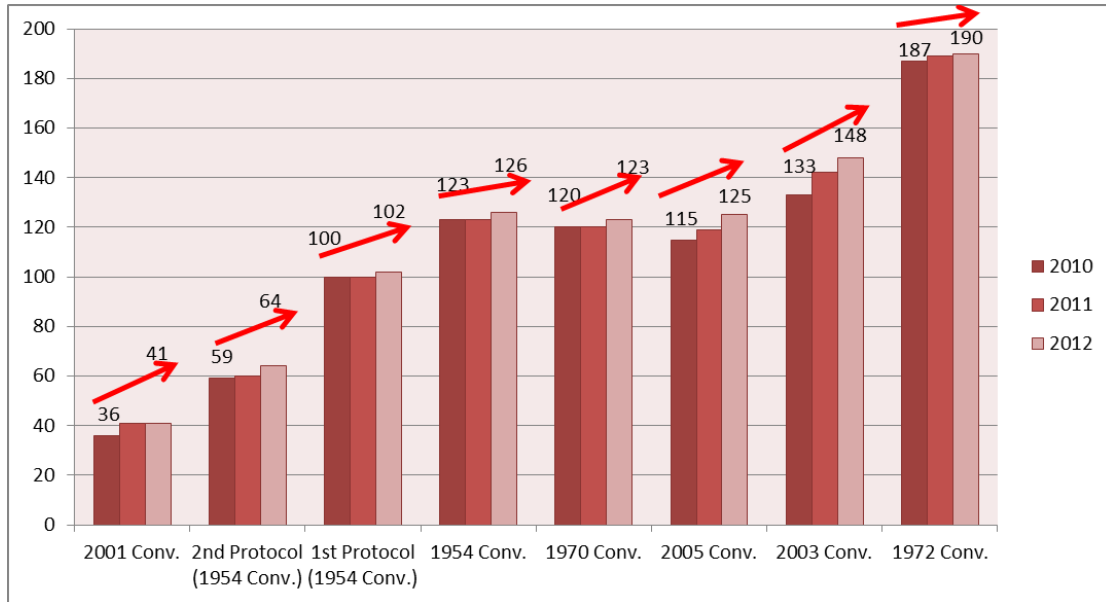
4. There are generally three funding modalities to support the activities under these conventions. 1) UNESCO Regular Programme support by way of activity funding and staff resources, 2) Dedicated funds for convention based on either assessed or voluntary contributions from the Member States, and 3) Other extra-budgetary funding. The total budgets for the biennium 2012-13, by convention are shown in the graph below.

Graph 2
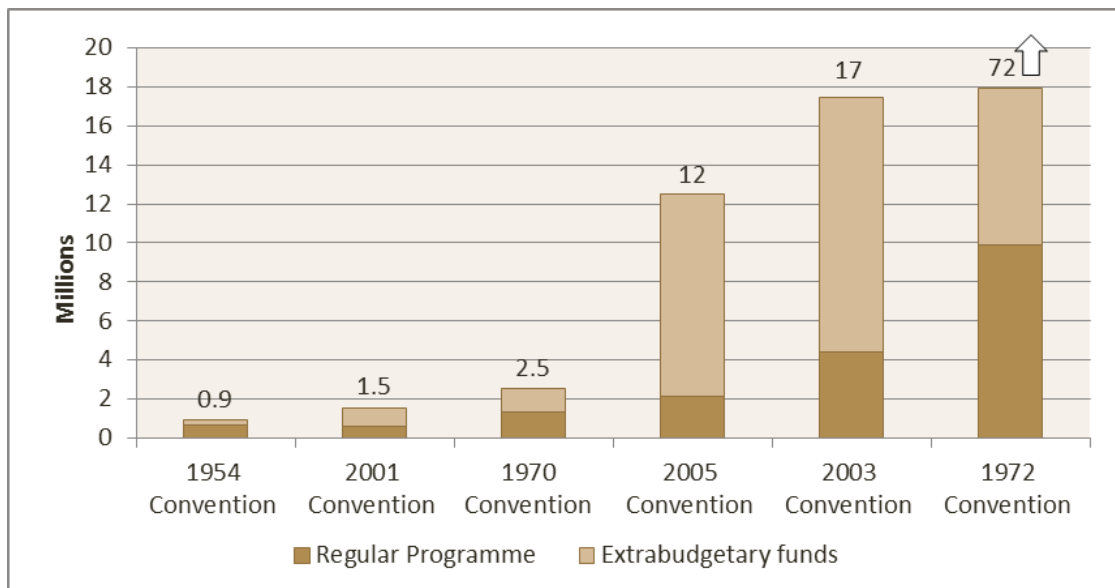
Source: FABS data July 2013. 33,9 Million USD is managed by the World Heritage Centre and 38.8 Million USD is delegated to UNESCO field offices.

5. Working methods of the governing bodies and broad functions of the secretariats are guided by the convention text as well as operational directives and rules of procedures adopted by the Governing Bodies of each convention.

6. Governance arrangements of these conventions are defined in the convention texts, and specific duties of each constituency are in the Operational Guidelines/Directives. The Conference/Assembly of State Parties is the highest decision making body and meets periodically, generally once in two years.

7. Four of the conventions are supported by intergovernmental committees, which meet annually or more frequently and are empowered to take decisions as per the convention texts and operational guidelines of the conventions. The sizes of these committees vary from 18 to 24 members, elected from the six UNESCO regional electoral groups for the election of Members of the Executive Board (except in case of the Second Protocol of the 1954 Convention). In addition, some conventions have subsidiary bodies/consultative bodies to support the work of the committee.

8. As mentioned in the texts of these conventions, UNESCO provides secretariats for the conventions. The roles of the secretariats, as defined in the convention text and in the operational directives are essentially twofold, i.e. a) to help organize the meetings of the Governing Bodies (i.e. Conference/Assembly of State Parties and Intergovernmental Committees) and b) to implement their decisions and recommendations as well as to perform any other function entrusted to them.

9. A Cultural Convention Liaison Group (CCLG) comprising of the heads of the convention secretariat has been established to increase coordination among conventions. The Group first met in January 2012.

Scope, objective and methodology

10. IOS conducted an audit of the working methods of the six conventions in the field of culture, in order to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work. The audit was performed in accordance with the *International Standards for the Professional Practice of Internal Auditing*.

11. The scope of the review included working methods of the convention secretariats, the funding arrangements and the meetings of the governing bodies. For the purpose of this audit, all six active conventions were reviewed.

12. The methodology of the audit included data and information gathering through a review of convention texts, operational guidelines, rules of procedures as well as prior studies and reviews and interviews with the staff of the convention secretariats. In addition, the audit reviewed funding and governance structure in a number of similar UN conventions hosted outside UNESCO for benchmarking purposes.

Achievements:

- Member States assign high priorities to the convention related activities. During the prioritization exercise by the Executive Board (the 5th Special Session), the expected results relating to all six conventions received Medium- High (B-A) priority (meaning a budget priority between 40-100 per cent) with special mention for resource support to the 1970 Convention.

- In recent years, efforts have been made to increase coordination among various convention secretariats. A Cultural Convention Liaison Group (CCLG) comprising the heads of the convention secretariats has been established. This group has high potential to foster coordination and efficiencies among the convention secretariats. To achieve this potential, the group would need clear roles and accountabilities.

Challenges and Opportunities:

- Increasing workload with decreasing funding is unsustainable. Over the years, work of the convention secretariats has increased due to an increase in the number of: a) (State) Parties to the conventions; b) statutory meetings and their bodies; c) decisions and recommendations to be implemented by the secretariat; d) nominations to the conventions' mechanisms; e) international or any other category of assistance requests, f) design and implementation fundraising campaigns and communication strategies and g) processing and analysis of periodic reports. In addition, there are increasing demands from Parties for capacity building and technical assistance in the implementation of the Conventions at country level as well as for the production, management and distribution of knowledge in line with UNESCO's overall objectives to act as a clearing house and laboratory of ideas. These activities have been determined as priority by the governing bodies, in particular for the development of policies and action plans, gathering qualitative and quantitative evidence, content development distributed through knowledge sharing platforms, thematic debates on key articles of the Conventions. However, the total funding for the activities and staff resources are on decline. The decline is likely to be aggravated in the coming biennium due to overall budgetary cuts in UNESCO. There is a need to prioritise the activities of the convention secretariats and explore other funding models.

- Governing Bodies meetings should be more efficient and cost effective by reducing the frequency of meetings to align with the forthcoming quadrennial programming cycle of UNESCO, by limiting the meeting durations, by synchronizing the meetings of General Assemblies of the conventions, possibly just after the UNESCO General Conference meetings and by harmonising the translation and interpretation requirements across the convention meetings. The Executive Board in its 191st session recommended that the General Conference, at its 37th session, request the governing bodies of all intergovernmental and other bodies to address the efficiency and effectiveness of their meetings and formulate governance reform and cost-saving measures as appropriate.

- There is a need to review the cost structure of the advisory services (E.g. process requests for nomination and international assistance, impart trainings and undertake monitoring activities) provided by these statutory bodies to find more cost effective ways. Conventions follow different working methods for processing of nominations and International Assistance requests. Advisory services obtained from the three statutory bodies constitute a large part of the 1972 Convention budget.

- Support services such as IT and Web design & maintenance, communication and meeting logistics are fragmented across the convention secretariats and a common platform for such services would be more efficient.

- A coordinated fund raising strategy with common resource mobilization team would be more effective for raising extrabudgetary resources and will also provide an opportunity for common branding of UNESCO cultural conventions.

Table of recommendations

Recommendation 1: We recommend that the convention secretariats formulate proposals to the Governing Bodies of UNESCO and/or of the Convention(s) to:

(a)   Supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents,

(b)   prioritize the current work load of the convention secretariats to align it with available resources,

(c)   reduce the frequency, when feasible, duration and agenda of the meetings of State Parties and that of the Intergovernmental Committees and synchronize the meetings of the State Parties to the conventions, when efficiencies can be achieved,

(d)   harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages, and

(e)   modify the financial rules and regulations if necessary to allow application of cost recovery policy.

Recommendation 2: We recommend that the convention secretariats, where applicable, explore more efficient ways of the obtaining advisory services and consider potential chargeback mechanisms to the nominating State Parties and/or earmarked fund and formulate proposals to the respective Governing Bodies for possible economies and financial sustainability in the advisory service fees.

Recommendation 3: We recommend that the CLT Sector should expand its common logistics unit to include additional services that add value and provide cost-effective solutions to support the work of all convention secretariats. The platform can function under the guidance of the Cultural Convention Liaison Group.

Recommendation 4: We recommend that the CLT Sector formulate, in consultation with BSP/CFS, a coordinated fund raising strategy for all conventions secretariats and form a common resource mobilization team.

RESULTS OF THE AUDIT

Issue 1: Increasing workload with decreasing funding is unsustainable.

13. Effective implementation of the conventions form a very large part of UNESCO's Culture Sector activity. The roles of the secretariats, as defined in the convention text are twofold, i.e. a) to help organize the meetings of the Governing Bodies (i.e. Committee/Assembly of State Parties and Intergovernmental Committees) and b) to implement decisions of the Governing Bodies.

14. Based on the abovementioned role, the secretariat generally undertakes the following activities;

- Organizing statutory and other meetings relating to the conventions and implementation of their decisions and recommendations

- Providing expert advice on different aspects related to the implementation of the Conventions and performing the function of a clearing house and laboratory of ideas

- Providing support to the Intergovernmental bodies in processing and evaluating of the State Parties (SPs) requests (e. g. listing) and providing feedback to SPs, for inscription based conventions

- Capacity building in SPs, either to support the convention through training and other activities or providing assistance in formulating proposals for inscriptions

- Processing and analysing periodical reports

- Design and implementation of fundraising campaigns and communication strategies to raise visibility of the conventions, how to implement them and build platforms for participatory policy making processes through partnerships with public authorities, civil society representations and private sector (e.g. SME's). Management of the relevant intergovernmental funds and establishment of contracts for the granting of international and other categories of assistance, including monitoring implementation and evaluation of projects financed by these funds.

Over the years, workload of the convention secretariats has gone up due to an increase in number of: a) States Parties to the convention; b) statutory meetings and their bodies; c) decisions and recommendations to be implemented by the Secretariat; d) nominations; and e) periodic reports.

15. Increase in the number of State Parties ratifying the convention is shown in the Graph 1 of this report. Trend in number of inscriptions for the two main inscription based conventions, i.e. Protection of the World Cultural and Natural Heritage (1972 Convention) and Safeguarding of the Intangible Cultural Heritage (2003 Convention), are shown below in Graph 3 and 4. Increase in number of inscriptions also lead to increase in processing of requests and reporting requirements.

Graph 3

Inscriptions in 1972 Convention

Graph 4

Inscriptions in 2003 Convention
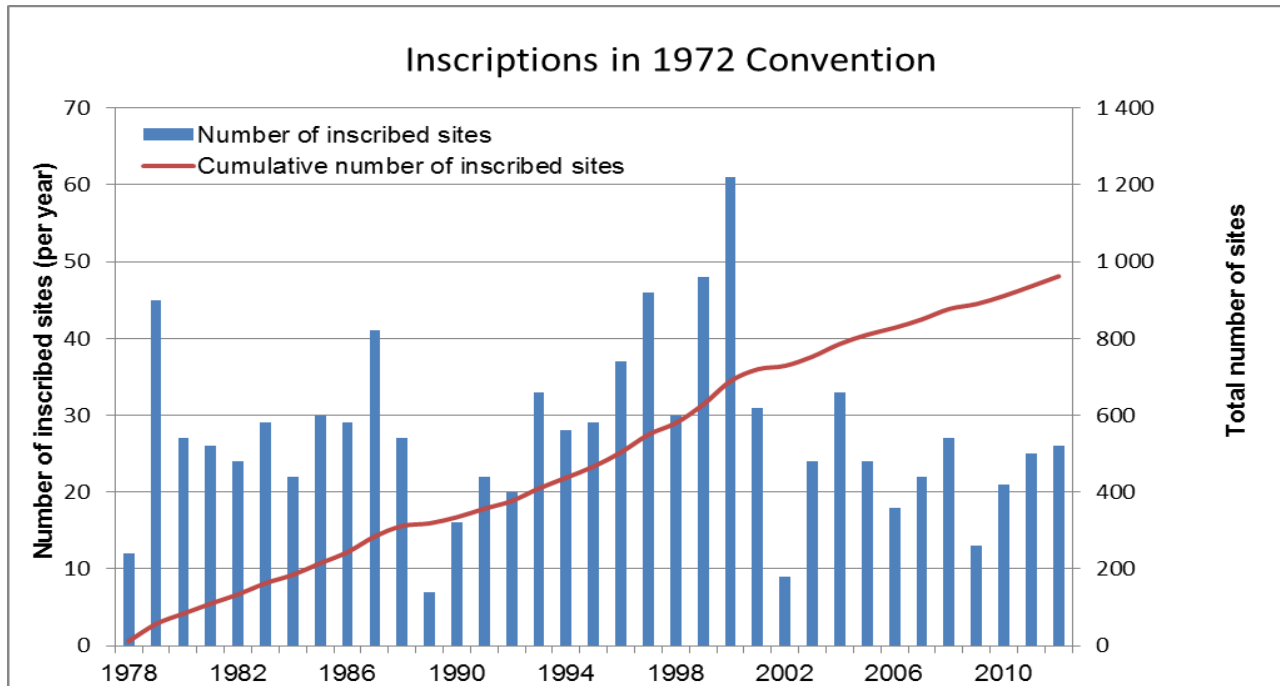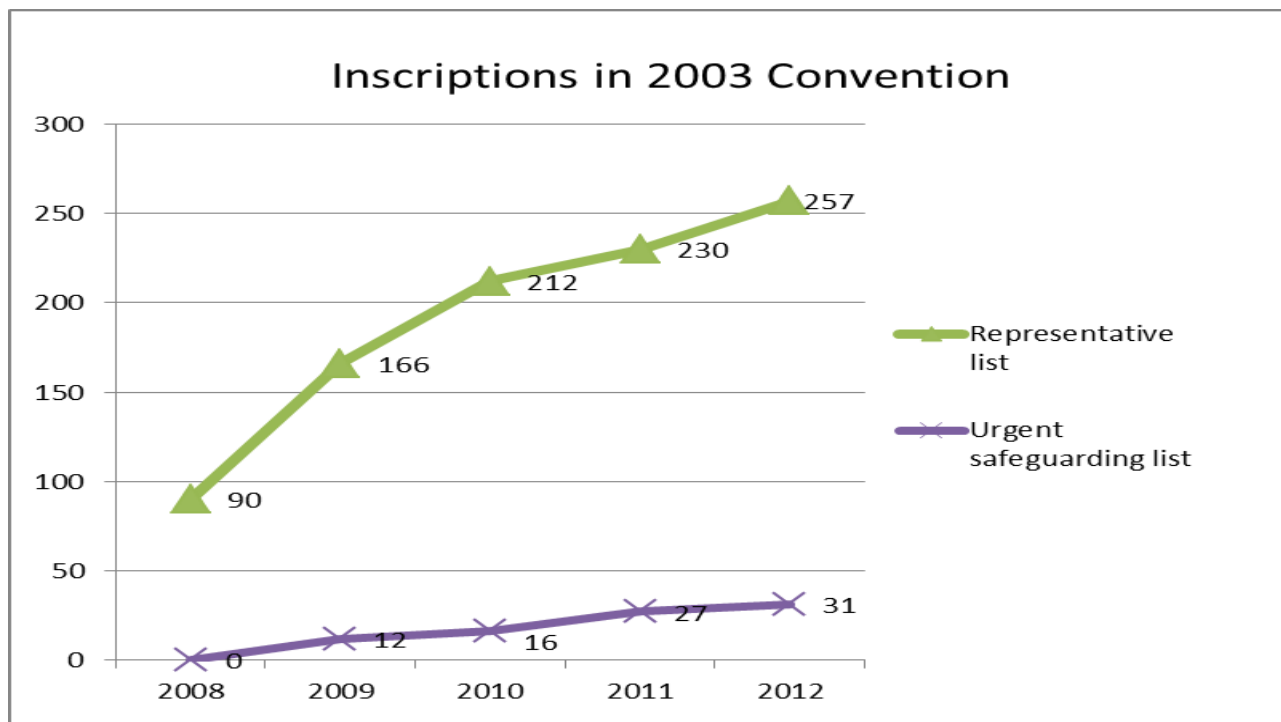
16. While the work of the convention secretariats has increased over the years, the financial resources of the secretariats have not been in tandem with the workload. Three funding modalities support the conventions' activities: (1) UNESCO Regular Programme support by way of activity funding and staff resources; (2) dedicated funds for a convention based on either assessed or voluntary contributions from Member States; and (3) other extrabudgetary funding. The activity support includes funding of some costs related to governing body and other subsidiary body meetings of these conventions, e.g. costs relating to translation, interpretation and some participant travel.

17. The trends of total budget of the conventions over the last three biennia are given below in graph 5.

Graph 5

(source: 34C/5, 35C/5 and 36C/5)

Culture Conventions as a percentage of Cultural Sector budget

| | 2008-2009 | 2010-2011 | 2012-2013 |
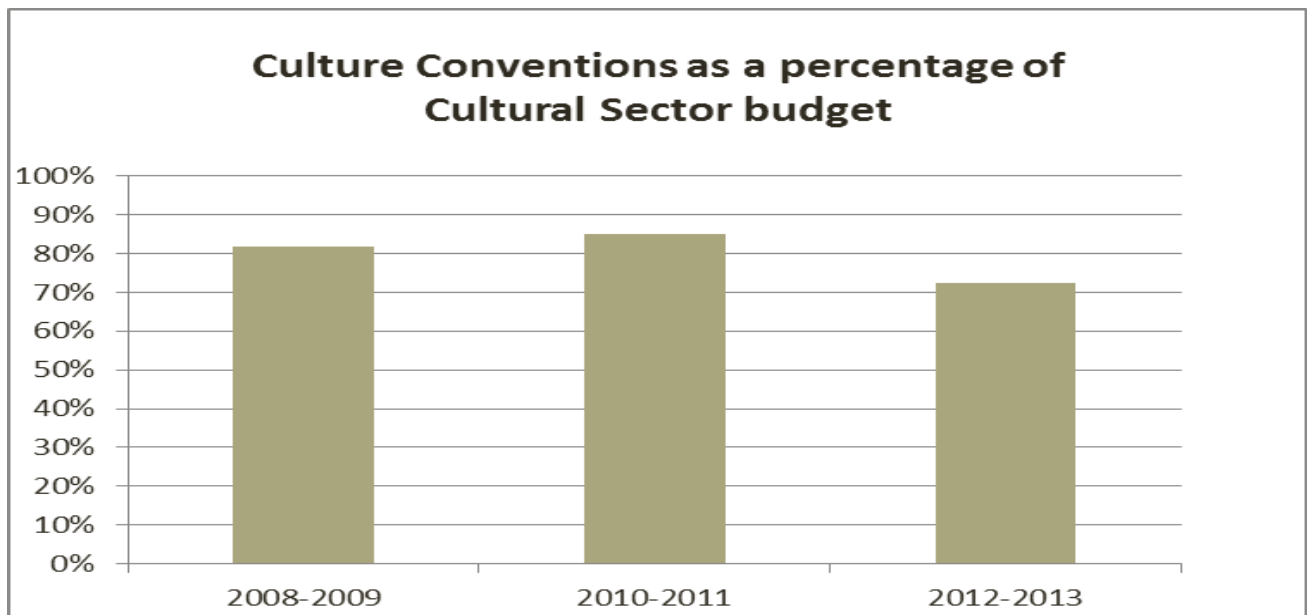
18. With the pressure on UNESCO regular programme budget for the next biennium, there is likely to be a significant reduction in the regular programme budgetary support to the convention budgets. It is relevant to mention here that during the prioritization exercise by the Executive Board (the fifth special session), the expected results relating to all six conventions received B-A priority (meaning a budget priority between 40-100 per cent) with special mention for resource support to the 1970 Convention.

19. Convention secretariats have been looking for extrabudgetary funds as well as other modalities like sponsorship of meetings of intergovernmental bodies leading to co-sharing of some of the meeting costs. However, the likely decrease in regular programme funding makes it difficult if not impossible to sustain the current workload.

20. Given the likely decline in financial resources for the next biennium, there is a need to align the secretariat workload with the financial resources. Some of the possible measures to prioritise/reduce the workload of the secretariat are discussed in detail in a later part of this report. As pointed out earlier, the role of the convention secretariats relate to the arranging for the meetings of the Governing Bodies and implementing their decisions. Therefore, implementations of all decisions of the Governing Bodies become mandatory responsibility of the secretariats. It is pertinent to note that while the financial resources by way of regular programme budget support for activities and staff levels are decided by the UNESCO Executive Board and General Conference, the activities of the secretariats are guided by the decisions taken by Governing Bodies of each convention. This creates a misalignment between the activities to be undertaken by the secretariats and available resources.

21. It is relevant to mention that a Joint Inspection Unit review of 45 conventions hosted by 11 different United Nations Organizations revealed[5] that, general trust funds, formed through contributions from the Contracting (State) Parties on compulsory or voluntary basis, are used to meet the expenses of the conventions, covering the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents. Special trust funds meet the extra-budgetary expenses for technical assistance and the participation of developing countries and countries with economies in transition in convention meetings. Similar funding structure can be explored for convention secretariats hosted by UNESCO to avoid governance overlap and ensure independence from UNESCO's regular programme budget.

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[5]. Source: Management review of environmental governance within the United Nations System by the Joint Inspection Unit (JIU/REP/2008/3)

Recommendation 1 (a):	
We recommend that the Convention Secretariats formulate proposals to the Governing Bodies of UNESCO and those of the Conventions to supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents.	High risk

CLT action plan:

The issue requires further discussions with BFM and LA before submitting proposals to the respective Governing Bodies, which could be based on the already approved sub fund for staffing for the 2003 Convention. Further, given the different meeting schedules of the Governing Bodies of the conventions, the implementation of the recommendation is foreseen by December 2015.

Recommendation 1 (b):	
We recommend that the Convention Secretariats formulate proposals to the Governing Bodies of UNESCO and those of the Conventions to prioritise the current work load of the convention secretariats to align it with available resources.	High risk

CLT action plan:

The governing bodies have given very clear priorities regarding the work to be done. The longstanding issue of the mismatch between the workload and human resources available to deliver on these priorities has become ever more critical in view of the reduced anticipated cash flow 2014-2015. The Secretariats of the Conventions will present proposals to better align workload with available resources. However, the different meeting schedules of the Governing Bodies of the conventions means that the implementation of the recommendation is foreseen by December 2015.

Issue 2: Meetings of the Governing Bodies need to be made more efficient and cost effective

22. Organising meetings of the Governing Bodies are one of the essential roles of the convention's secretariats as defined in the texts of the conventions. Organizing the State Party/intergovernmental body meetings take up considerable amount of secretariat staff time and financial resources. Some costs related to these meetings are charged to the dedicated fund or other extrabudgetary resources related to the conventions; however costs relating to translation, interpretation and some participant travel are borne by the UNESCO regular programme.

23. Comparative information on the Governing Body meeting frequency, duration and languages to be used, as prescribed in the conventions' texts is presented below.

Table 1

	1972	**1954 Hague**	**1999 Second Protocol**	**1970**	**2001**	**2003**	**2005**
State Parties meetings							
Name	General Assembly	High Contracting Parties	Parties to the Second Protocol	Meetings of States Parties	Meeting of States Parties	General Assembly	Conference of Parties
Frequency of meetings	Every two years	Every two years	Every two years since 2005	2003, 2012 2013	Every two years	Every two years (One extraordinary session)	Every two years
Duration	2-3 days	3 hours - morning	Afternoon and 1 day	2 days	3 days	5 days	3-4 days
Place	Paris since 1987	Paris	Paris	Paris	Paris	Paris	Paris
Working languages	All Six languages of UNESCO	All six languages of UNESCO	All six languages of UNESCO	All Six languages of UNESCO	All Six languages of UNESCO	All Six languages of UNESCO	All Six languages of UNESCO
Intergovernmental Committee meetings							
Frequency	Every year (10 extraordinary sessions)	N/A	Every year from 2006, one extraordinary in 2009	First meeting in 2013; Every year	N/A	Every year (4 extraordinary sessions)	Every year
Duration	About 10-12 days in the last 4 meetings;	N/A	2 days	2 days	N/A	5 days	4-5 days
Place	Hosted by Member States	N/A	Paris	Paris	N/A	Generally outside Paris, last session in Paris	Paris
Working languages	ENG/FRA	N/A	All Six languages of UNESCO; (currently interpretation in English, French and Spanish and working documents in English and French are provided through an agreement).	ENG/FRA	N/A	ENG/FRA	ENG/FRA

Frequency of meetings

24. As seen from the table 1 above, in general the (State) Parties to the conventions meet once in two years, whereas the Intergovernmental Committees meet once every year. The move in UNESCO from a biennial to a quadrennial programming cycle creates opportunities for changes in the frequency of governance meetings. A logical rule of thumb might be to halve the number of governance meetings, i.e. to hold (State) Party meetings once in every four years and Intergovernmental Committee meetings once every two years.

Duration of meetings

25. The meetings of (State) Parties were held for one to five days whereas the Intergovernmental Committee meetings lasted from two to twelve days. Although the Governing Body meetings have diverse agendas, there is a scope for limiting the meetings to not more than one week.

Meeting schedules

26. All meetings of (State) Parties are held at UNESCO headquarters where some of the Intergovernmental Committee meetings are cohosted by (State) Parties. 87 (State) Parties are common to four conventions. (State) Parties are at times represented by the same person to different convention meetings. Therefore, there is an opportunity to avoid multiple travels and exploit synergies across the conventions by synchronising the meetings of the State Parties to the conventions, possibly during or just after the UNESCO General Conference meetings.

Translation and interpretation requirements

27. At present, six language interpretation and translation is provided in all General Assembly/Conference of Party meetings whereas translation and interpretations in English and French are provided for Intergovernmental Committee meetings, with the exception of the 1999 Second Protocol and 2001 Convention where three language interpretations are provided in committee/advisory body meetings. Translation and interpretation requirements across the convention meetings can be harmonized in such a way that meetings of (State) Parties are held in all six working languages, whereas the Intergovernmental Committee meetings are held in English and French. It is relevant to mention that the cost of two way interpretation in French and English is $2,670 per day, whereas the cost of six-language interpretation comes at $12,460 per day.

Recommendation 1 (c):	
We recommend that the Convention Secretariats formulate proposals to the Governing Bodies of the Conventions to (i) reduce the frequency, duration and agenda of the meetings of State Parties and that of the Intergovernmental Committees and (ii) synchronize the meetings of the State Parties to the conventions when efficiencies can be achieved.	Medium risk

CLT action plan:

CLT accepts the spirit of the recommendation, but notes that changing frequency of the meetings would require amendment of the Conventions which CLT will not propose at this time. Some of the meetings of the governing bodies currently take place back to back, with particular bottlenecks in June and December. It has been expressed that this time schedule is unsustainable and not efficient as Parties do not have sufficient time between meetings to fully prepare for the debates and, in many cases, are not able to attend, given the intensity of the schedule. The Secretariat will submit proposals for revising the scheduling of meetings, as well as the duration and agenda. Given the different meeting schedules of the Governing Bodies of the Conventions, the implementation of the recommendation is foreseen by December 2015.

IOS comment: Notwithstanding these challenges noted by CLT, we encourage CLT's continued efforts to examine and reduce meeting costs as proposed in the recommendation.

Recommendation 1 (d):

| We recommend that the Convention Secretariats formulate proposals to the Governing Bodies of the conventions to harmonise the translation and interpretation requirements across the conventions meetings and seek extrabudgetary funding for additional languages. | Low risk |

CLT action plan:

Given the different meeting schedules of the Governing Bodies of the conventions, the implementation of the recommendation is foreseen by December 2015.

Recommendation 1 (e):

| We recommend that the Convention Secretariats formulate proposals to their respective Governing Bodies to modify the financial rules and regulations if necessary to allow consistent application of cost recovery policy. | Medium risk |

CLT action plan:

The Sector will present proposals in this regard to the respective Governing Bodies. Given the different meeting schedules of the Governing Bodies of the conventions, the implementation of the recommendation is foreseen by December 2015.

Issue 3: Working methods on processing of Nomination and International Assistance requests differs across conventions

28.   Comparative information on processing of nominations and international assistance requests across the conventions is presented in the table below.

Table 2

	1972 Convention	1954 Convention	1970 Convention	2001 Convention	2003 Convention	2005 Convention
Lists	1. World Heritage List 2. List of World Heritage in Danger	1. List of Cultural Property under Enhanced Protection (Second protocol of 1999) 2. International Register of Cultural Property under Special Protection	None	None	1. Representative List of the ICH of Humanity 2. List of ICH in Need of Urgent Safeguarding 3. Register of Best Safeguarding Practices	None
Inscription cycles	18 months Initial submission in February and Com decision in June of the following year	No specific cycle for inscription in the Register under the 1954 Convention but requests for inscription in the Second Protocol List are to be submitted to the Secretariat by 1 March every year. This requirement does not concern requests for provisional enhanced protection which may be submitted at any time.	N/A	N/A	20 months Initial submission by 31 March. Examination by Committee in December of the following year	N/A
International and other categories of assistance and deadline for requests	Submission latest by 31 October, except for Emergency Assistance that can be submitted at any time in the year.	1./preparatory, emergency, recovery assistance 2./ financial assistance Requests for international Request for international assistance provided by the Committee must be submitted to the Secretariat at least six months before the ordinary meeting of the Committee. Requests for emergency assistance may be submitted any time.			Same as inscription cycle for AI more than 25,000 and preparatory assistance At any time for less than 25,000	Annual financial assistance requests for projects made to the International Fund for Cultural Diversity Requests for participatory assistance from Parties belonging to LDC's members of the IGC
Name of advisory body	IUCN, ICOMOC, ICCROM	None	None	Scientific and technical advisory body	Subsidiary Body of the Committee for RL, Consultative Body (for USL, BSP and AI more than 25,000), Bureau for AI less than 25,000	Panel of experts

29. The two main inscription based conventions, i.e. Protection of the World Cultural and Natural Heritage (1972 Convention) and Safeguarding of the Intangible Cultural Heritage (2003 Convention) have similar inscription cycles but follow different approaches in processing nomination requests.

30. The 1972 Convention text itself identifies three advisory bodies (i.e. IUCN, ICOMOS and ICCROM) and defines their roles in assessment of the nomination requests. The advisory bodies provide evaluation on the requests for nominations and international assistance and have other advisory, training and reactive monitoring roles. The contracts for the advisory bodies represent more than 75 per cent of the approved budget of the World Heritage Fund. The level of activities and their respective approved budgets for the biennium 2012-13 are given in the table below.

Table 3

(Budgets in US dollars)

Advisory bodies	Advisory services Activities	Budget	Reactive Monitoring Missions Activities	Budget	Training Activities Activities	Budget
ICOMOS	1. Evaluation of 31 nominations of cultural or mixed natural/ cultural properties 2. Comment on 25 International Assistance requests, review of 5 Statements of Outstanding Universal Value of properties, etc. 3. Meetings Attendance (World Heritage Committee, General Assembly, WHC/AB meetings, etc.)	1,442,856.57	1. Undertake 24 reactive monitoring missions, peer reviews, desk reviews, etc. 2. Drafting of 53 reports on the state of conservation, review of 55 reports on the SOC 3. Meetings Attendance (SOC meetings, etc.)	569,664.97	N/A	N/A
IUCN	1. Evaluation of nominations of natural or mixed natural/cultural properties 2. Comment on International Assistance requests, etc. 3. Meetings Attendance (World Heritage Committee, General Assembly, WHC/AB meetings, etc.)	1,156,506	1. Undertake 24 reactive monitoring missions 2. Produce State of Conservation reports, etc.	603,138		NIL
ICCROM	1. Review and advise on International Assistance requests and other professional services 2. Meetings Attendance (World Heritage Committee, General Assembly, WHC/AB meetings, etc.)	186,734	1. Undertake 4 reactive monitoring missions	22,507	1. Implementation, coordination and monitoring of the World Heritage Capacity Building Strategy 2. Pilot activity 3. Workshop 4. Committee orientation sessions	108,424

31. Under the 2003 Convention, a consultative body of six individual experts and six NGOs examine proposals for the nominations to the Urgent Safeguarding list and Register for Best Safeguarding practices as well as requests for international assistance greater than $25,000. The nominations to the representative list are examined by a different body, called Subsidiary Body, comprised of representatives of the State Parties. During 2012-13, the consultative body examined 8 nominations for Urgent Safeguard list, 2 nominations for the Register of Best Safeguarding Practices and 10 cases of international assistance. The total expenditure incurred during the biennium (at the time of the audit in July 2013) was $109,176. The 2003 Convention Secretariat pointed out that relatively lower expenditure is due to more intensive staff inputs that are not accounted.

32. While the role of the advisory bodies in the 1972 Convention is very extensive and cannot be exactly compared with the work done by the Consultative Body under the 2003 Convention, it appears that the unit cost of assessments by the Advisory Bodies in 1972 Convention was significantly higher. In addition, studies have shown that the Committees often disregard the advice of the advisory bodies when deciding on nominations. The External Auditor of UNESCO in its report on the audit of the Global Strategy and the PACT initiative also commented on the increasing politicization of the Committee's decisions.

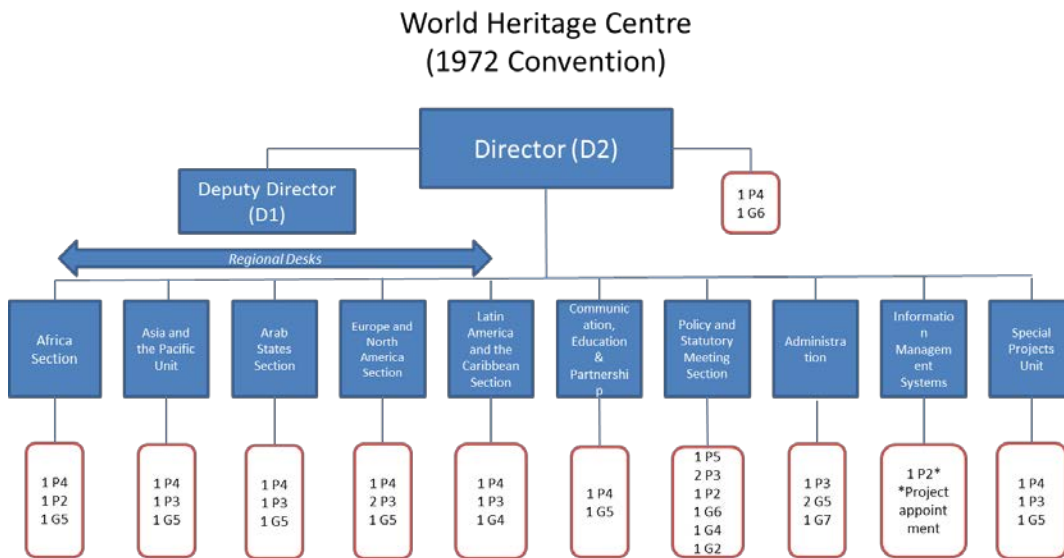|	
Recommendation 2: We recommend that the Convention Secretariats, where applicable, explore more efficient ways of the obtaining advisory services and consider potential chargeback mechanisms to the nominating State Parties and/or earmarked fund and formulate proposals to the respective Governing Bodies for possible economies and financial sustainability in the advisory service fees.	Medium risk
CLT action plan: The issue requires further discussions with BFM. Further, given the different meeting schedules of the Governing Bodies of the conventions, the implementation of the recommendation is foreseen by December 2015.	

Issue 4: A common service platform across the Secretariats would bring efficiency gains

33. Each convention has a separate secretariat, which forms part of the Culture Sector. Convention secretariats vary in sizes and are organised differently. For instance, the 1972 Convention Secretariat is in the World Heritage Centre (WHC) and has the largest secretariat staff. WHC is organized largely on a regional basis. The 2003 Convention is organized on a functional basis. Other convention secretariats have a flat structure given the smaller staff strengths. The organization chart of these convention secretariats are given below.

World Heritage Centre
(1972 Convention)

Director (D2)

Deputy Director (D1)

1 P4
1 G6

Regional Desks

Africa Section	Asia and the Pacific Unit	Arab States Section	Europe and North America Section	Latin America and the Caribbean Section	Communication, Education & Partnership	Policy and Statutory Meeting Section	Administration	Information Management Systems	Special Projects Unit
1 P4 1 P2 1 G5	1 P4 1 P3 1 G5	1 P4 1 P3 1 G5	1 P4 2 P3 1 G5	1 P4 1 P3 1 G4	1 P4 1 G5	1 P5 2 P3 1 P2 1 G6 1 G4 1 G2	1 P3 2 G5 1 G7	1 P2* *Project appointment	1 P4 1 P3 1 G5

Cultural Heritage Protection Treaties Section
(1954, 1970 and 2001 Conventions)

Chief of Section (P5)

1 G7 (50%) + 1 G4 and 1 G6 common to the three conventions

1954 Convention Unit	1970 Convention Unit	2001 Convention Unit
2 P3	1 P3	1 P3
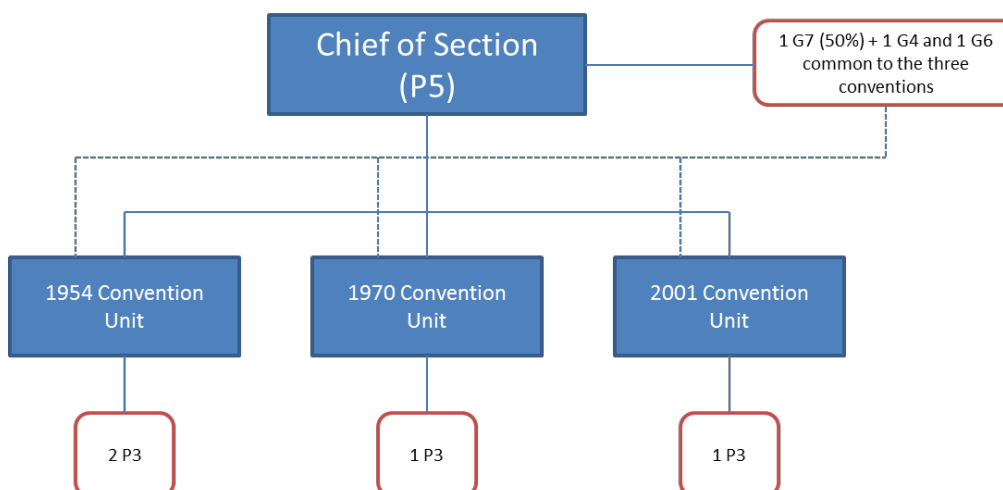
Intangible Cultural Heritage Section
(2003 Convention)

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                        ┌──────────────────┐          ┌──────────────┐
                        │ Chief of Section │──────────│  Assistant   │
                        │      (P5)        │          └──────────────┘
                        └──────────────────┘              ┌────────┐
                                 │                        │  1 G4  │
                                 │                        └────────┘
   ┌──────────────┬──────────────┼──────────────┬──────────────┐
┌──────────┐  ┌──────────┐  ┌──────────────┐  ┌──────────────┐
│Governing │  │Programme │  │Capacity      │  │Information   │
│Bodies and│  │and       │  │Building and  │  │and           │
│Processing│  │Evaluation│  │Heritage      │  │Communication │
│Unit      │  │Unit      │  │Policy Unit   │  │Unit          │
└──────────┘  └──────────┘  └──────────────┘  └──────────────┘
┌────────┐    ┌────────┐    ┌────────┐        ┌────────┐
│ 1 P4   │    │ 1 P4   │    │ 1 P4   │        │ 1 P3   │
│ 1 P2   │    │ 1 P3   │    │ 1 P3   │        │ 1 G6   │
│ 1 G6   │    │ 1 P2   │    │ 1 P2   │        └────────┘
│ 2 G4   │    │ 1 G4   │    └────────┘
└────────┘    └────────┘
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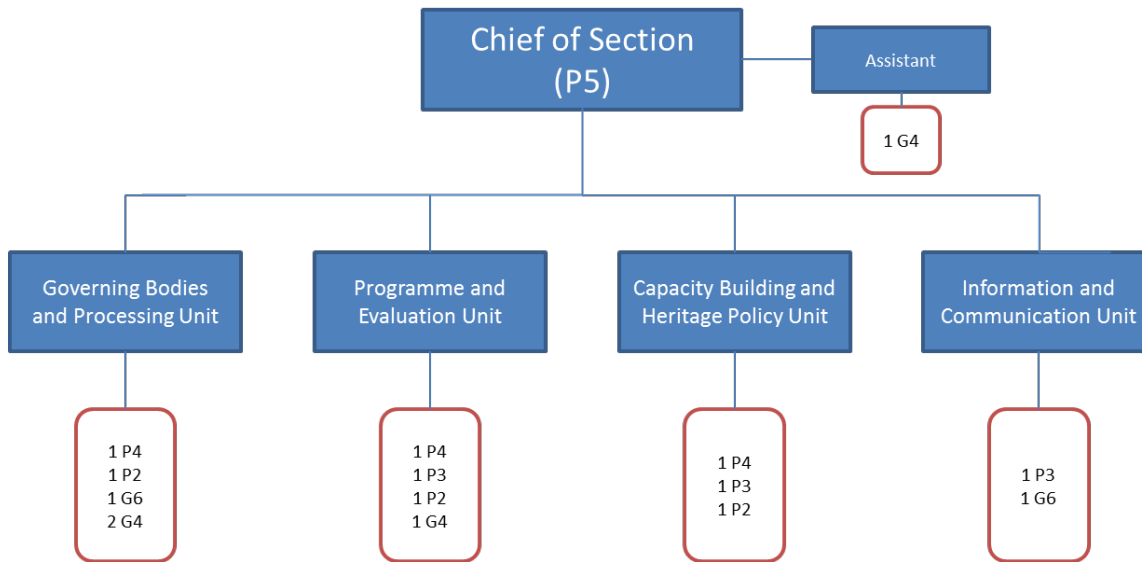
Diversity of Cultural Expressions Section
(2005 Convention)

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                ┌──────────────────┐
                │ Chief of Section │
                │      (P5)        │
                └──────────────────┘
                         │
                    ┌────────┐
                    │ 1 P4   │
                    │ 3 P3   │
                    │ 2 P2   │
                    │ 1 G6   │
                    │ 1 G5   │
                    └────────┘
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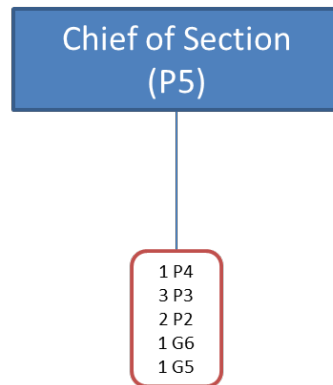
34. As seen from the organization charts, support services such as IT and Web design & maintenance, communication and meeting logistics are thinly spread across convention secretariats. This results in overlapping of resources and inadequate support service for some of the smaller conventions, e.g. 1970, 1954 and 2001 Conventions. Some efforts have been done with regard to sharing of common resources, e.g. sharing of resources for logistic services. Common support platform servicing all convention secretariats can improve efficiency through increased synergies and economies of scale to deliver better services across the conventions. CLT Sector pointed out that some of the positions relating to common services are financed from extrabudgetary resources thus making it difficult for sharing them across the conventions. This issue can be overcome with an effective chargeback scheme and cost recovery arrangement.

Recommendation 3:	
We recommend that CLT Sector expand its common logistics unit to include additional services that add value and provide cost-effective solutions to support the work of all convention secretariats. The platform can function under the guidance of the Cultural Convention Liaison Group (CCLG).	Medium risk

CLT action plan:
A common logistics unit has been in place for some time to coordinate the physical organisation of the meetings of governing bodies. The Sector has proposed to establish a new structure, called the conventions common services unit, effective 1 January 2014, which would undertake such services as well as a range of outreach services such as publications, website, exhibitions, patronage, and coordinating partnerships, including with existing and future category 2 centres, UNESCO Chairs and the private sector.

Issue 5: Need for a coordinated extrabudgetary strategy and resource mobilization team

35. There are three funding modalities to support the conventions' activities: (1) UNESCO Regular Programme support by way of activity funding and staff resources; (2) dedicated funds for a convention based on either assessed or voluntary contributions from Member States; and (3) other extrabudgetary funding. For the biennium 2012-13, the regular programme budget provided only about half of the total funding for all convention activities. This underscores the importance of the extrabudgetary funding in supporting convention activities.

36. Given the stagnant and possible decline in regular programme budgetary support to the convention activities, extrabudgetary funds will have to play a greater role in promoting activities to support implementation of the conventions.

37. Extrabudgetary fundraising has been a challenge for the conventions. As the convention secretariats have relied on traditional donors such as Member States, the donor base is not well diversified. Most of the extrabudgetary funds are from bilateral government sources and are confined to a few State Parties. While some efforts have been made to tap new donor sources, this is yet to show significant results despite the strong potential.

38. Further, there is very little coordination across the conventions in terms of fundraising efforts. While some conventions or funds supporting the conventions have a formal fund raising strategy and/or dedicated staff for fund raising, smaller convention secretariats like 1970, 2001 and 1954 Secretariats do not have any full-time dedicated fund raising staff, which hampers their fund raising.

39. Extrabudgetary fundraising efforts can be boosted with a coordinated strategy supported by dedicated team for resource mobilization. A common resource mobilization team serving all convention secretariats would be more cost effective instead of individual fund raising efforts and could reduce the risks and inefficiencies of internal competition among conventions.

Recommendation 4:	
We recommend that the CLT Sector, in consultation with BSP/CFS, formulate a coordinated fund raising strategy for all convention secretariats and form a common resource mobilization team.	Medium risk
CLT action plan:	
The issue requires further discussions with BSP/CFS. The implementation of the recommendation is foreseen by January 2014.	