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

Fifth Ordinary Session
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Item 7 of the provisional agenda: Terms of Reference for an evaluation of the pilot phase of the International Fund for Cultural Diversity (IFCD)

In conformity with the *Guidelines on the use of the resources of the International Fund for Cultural Diversity*, this document contains a proposal for terms of reference for an evaluation of the pilot phase of the IFCD. This evaluation is to take place six months before the end of the pilot phase, starting in January 2012.

Decision required: paragraph 13

1. At its second ordinary session (June 2009), the Conference of Parties approved the *Guidelines on the use of the resources of the International Fund for Cultural Diversity* (hereinafter “the Guidelines of the IFCD”), which set out the objectives and the fields of activity of the IFCD, defined the beneficiaries and the procedures for the submission, selection and approval of funding requests, and for reporting and evaluating funded programmes/projects.

2. Paragraph 5 of the Guidelines of the IFCD stipulates their provisions will apply during a pilot phase lasting 36 months from the date of their approval by the Conference of Parties (i.e. from June 2009 to June 2012). It also states that an evaluation of the management mechanisms established for the IFCD is to be carried out six months before the end of the pilot phase (i.e., in January 2012) in accordance with the administrative and financial regulations of UNESCO. The findings of this evaluation are to be submitted to the Committee with a view to a possible revision of the Guidelines of the IFCD.

3. In addition, Paragraph 17 of the Guidelines states that an evaluation should be undertaken systematically for programmes/projects funded by the IFCD during the pilot phase with regard to their efficiency and the achievement of their objectives relative to the resources spent.

4. At its third ordinary session (June 2011), the Conference of Parties requested that the Committee formulate the terms of reference for the evaluation of the IFCD pilot phase and invited it to review the Guidelines of the IFCD, ‘taking into account the experience and the results of the evaluation of the Pilot Phase, and to submit the results of its work on this matter to the Conference of Parties at its fourth ordinary session’ (paragraphs 7 and 8 of Resolution 3.CP 11). Draft terms of reference are presented in the Annex to this document.

5. At this session, the Committee is to

- (i) take into consideration the Secretariat’s report on the use of the resources of the Fund (document CE/11/5.IGC/213/6) and the Secretariat’s report on the implementation of the first and second years of the pilot phase (document CE/10/4.IGC/205/10A and document CE/11/5.IGC/213/5); and
- (ii) examine and possibly adopt the draft Terms of Reference for an evaluation of the IFCD pilot phase as proposed in the Annex to the present document.

6. Pursuant to the provisions in paragraphs 5 and 17 of the Guidelines of the IFCD and the Resolution 3.CP 11 mentioned above, the evaluation of the pilot phase of the IFCD should address the management of the IFCD by the Secretariat including financial and administrative mechanisms and the implementation of the programmes/projects by the beneficiaries.

7. With regard to the evaluation of programmes/projects, it is recalled that as of January 2012, the evaluators will only be able to take into account the projects funded during the first of the three funding rounds planned for the pilot phase, i.e., those approved by the Committee in December 2010 and implemented in 2011-2012.

8. It is to be noted that the beneficiaries of the funding are required, in accordance with paragraph 18 of the Guidelines of the IFCD on reporting, to submit the following elements before final payment can be issued¹:

(i) a detailed narrative report on the activities carried out during the project;

(ii) an analytical report including:

¹ See Article I of the contracts signed between UNESCO and beneficiaries of the IFCD funding.

- a self-evaluation of the results and impact of the project, as well as the acquired experience and lessons learnt throughout the setting-up phase of the project;
- an analysis of the impact of the project on the visibility and on the status of the participants involved in the project;
- an analysis of the project's potential impact and expected outcome on cultural policies and/or cultural industries, as the case may be.

(iii) at least 3 copies of each product resulting from the project, including photos documenting different stages of the project, including achievements, and when possible, a short video;

(iv) a detailed certified financial report with the original receipts, and payment slips.

9. A total amount of US\$ 35,000 has been foreseen for the evaluation of the IFCD pilot phase as proposed in the draft budget for 2012 presented in Annex III to document CE/11/5.IGC/213/6.

10. The evaluation process will be launched immediately following approval of the budget and the draft terms of reference by the Committee at its fifth session. It will consist of three phases: (i) preparation of the evaluation (December 2011 – January 2012), (ii) inception report, data collection and collation (February – May 2012), and (iii) drafting and submission of the final evaluation report (July 2012).

11. The following deliverables will be submitted by the evaluators:

- (i) an inception report of 10 to 15 pages proposing the methods, sources and procedures used for the evaluation;
- (ii) a draft final report;
- (iii) a final evaluation report of 20 to 30 pages structured as follows:
 - executive summary (maximum four pages)
 - programme description
 - evaluation purpose
 - evaluation methodology
 - findings, including financial mechanisms
 - lessons learned
 - recommendations
 - annexes (including interview list, data collection instruments, key documents consulted, balance sheets, terms of reference, etc.).

12. The evaluation will be carried out by the Internal Oversight Service of UNESCO (IOS).

13. The Committee may wish to adopt the following decision:

DRAFT DECISION 5.IGC 7

The Committee,

1. Having examined document CE/11/5.IGC/213/7 and its Annex;
2. Recalling paragraphs 7 and 8 of Resolution 3.CP 11 and paragraphs 4, 5 and 17 of the Guidelines on the use of the resources of the International Fund for Cultural Diversity;
3. Adopts the terms of reference for an evaluation of the pilot phase of the International Fund for Cultural Diversity as annexed to document CE/11/5.IGC/213/7.

ANNEX

Draft Terms of Reference

The following is put forward as a proposal for terms of reference for an evaluation of the pilot phase of the IFCD.²

Pursuant to the Resolution 3.CP 11 of the Conference of Parties to the Convention, the evaluation of the pilot phase of the IFCD has the following **objectives**:

- Measure the degree of implementation, efficiency and quality delivered on outputs and outcomes of the IFCD pilot phase.
- Draw on the lessons learned and make recommendations as to the governance and management of the IFCD in the future, including administrative and financial mechanisms.
- Make suggestions for the review of the Guidelines of the IFCD to take place at the sixth ordinary session of the Committee in 2012, including its objectives and general aspects, fields of activity, beneficiaries, procedures, approval of requests, evaluation and reporting.

Part A. Evaluation of the IFCD governance and management

The following questions are to be addressed:

- (i) To what extent were the provisions of the current Guidelines of the IFCD and the additional criteria adopted by the Committee successful in meeting the programmatic objectives of the Convention, achieving concrete and sustainable results, clarity and impact on the management of the pilot phase. To determine this, special attention will be paid to:
 - a. eligibility criteria and clarity of scope of the fields of activity for programmes/projects and requests for preparatory assistance;
 - b. role of the National Commissions and their capacity for reviewing projects;
 - c. role of the civil society and their access to IFCD resources;
 - d. identification of 'vulnerable groups';
 - e. identification of 'special situations' and 'cultural expressions at risk';
 - f. criteria and method for selection of experts to serve on the evaluation panel;
 - g. criteria for evaluation of programmes/projects and requests for preparatory assistance, with a particular emphasis on how they were related to the programmatic objectives of the Convention;
 - h. decision-making process in approving projects for funding;
 - i. duration of the funding cycle (one year during the pilot phase); and
 - j. complementarity of the IFCD with other international funds covering similar fields.
- (ii) To what extent were the management mechanisms put in place by the Secretariat successful in ensuring effective implementation of the first two years of the pilot phase and supporting project output delivery. To determine this, special attention will be paid to:
 - a. use of human and technical resources, organizational structure, information flows and decision-making;

² In formulating the questions to be addressed, the Secretariat referred to the Guidelines of the IFCD (notably, paragraphs 4, 5 and 17) and UNESCO/IOS *Guidelines for Developing Terms of References for Internal and External Evaluations*.

- b. procedures for submitting project applications and the application forms;
- c. examination of the eligibility of the requests by the Secretariat;
- d. assessment of the technical evaluation by the Expert Panel;
- e. coordination of the experts' work with the Secretariat and amongst the experts;
- f. working methods of experts and their tools for evaluation and communication;
- g. forms used to present the results of the experts' evaluation to the Committee;
- h. contract management; and
- i. visibility of the IFCD and a comprehension of the fields of activity of the IFCD by the relevant stakeholders and the public.

Part B. Evaluation of implementation of the projects approved in the first funding round

The following questions should be addressed:

- (i) To what extent were the programmes/projects cost-effective, i.e. could the outcomes and expected results have been achieved at lower cost through adopting a different approach and/or using alternative delivery mechanisms?
- (ii) To what extent did the programmes/projects achieve their expected outcomes and results?
- (iii) What are the reasons for the non-achievement?
- (iv) What were the main difficulties faced by beneficiary countries and stakeholders?
- (v) Did the programmes/projects have effective monitoring mechanisms in place? What monitoring indicators can be recommended for incorporation into the application forms?
- (vi) Did the activities address the objectives identified?
- (vii) Did the programmes/projects' objectives address the identified needs of the target group(s)?
- (viii) Do beneficiaries have the financial and human capacity to ensure the sustainability of programmes/projects?
- (ix) What was the degree of visibility achieved by the project?

Part C. Audit of the IFCD incomes and expenditures

The following points are to be addressed:

- (i) the voluntary nature of contributions to the IFCD;
- (ii) the multi-donor nature of the IFCD;
- (iii) conformity with the principle of financial accountability, as understood within the UN system;
- (iv) budget allocations between fixed costs and funding requests; and
- (v) analysis of IFCD accounts since its establishment.