**CONVENTION FOR THE SAFEGUARDING OF THE  
INTANGIBLE CULTURAL HERITAGE**

**INTERGOVERNMENTAL COMMITTEE FOR THE  
SAFEGUARDING OF THE INTANGIBLE CULTURAL HERITAGE**

**Eleventh session**

**Addis Ababa, Ethiopia**

**28 November to 2 December 2016**

**Item 5 of the Provisional Agenda:**

**Report by the Secretariat on its activities**

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| **Summary**  The present document provides an overview of the activities undertaken by the Secretariat of the Convention for the Safeguarding of the Intangible Cultural Heritage during the first six months of the 2016-2017 biennium.  **Decision required:** paragraph 29 |

1. The present report concerns the activities of the Secretariat for the first six months of the biennium, namely from January to June 2016. It should be read in tandem with the following documents: the financial statement of the Convention’s Fund for the Safeguarding of the Intangible Cultural Heritage included in Document [ITH/16/11.COM/INF.5](http://www.unesco.org/culture/ich/doc/src/ITH-16-11.COM-INF.5-EN.docx), the report of the Secretariat to the General Assembly on its activities (Document [ITH/16/6.GA/6](http://www.unesco.org/culture/ich/doc/src/ITH-16-6.GA-6-EN.docx)), and the follow-up to the recommendations of the External Auditor’s ‘Report on the governance of UNESCO and dependant funds, programmes and entities’ (see Document [ITH/16/11.COM/7](http://www.unesco.org/culture/ich/doc/src/ITH-16-11.COM-7-EN.docx)), as well as the Director-General’s reports to the Executive Board on the execution of the programme adopted by the General Conference (EX/4).
2. The present document provides an overall strategic assessment of programme implementation focusing on key achievements and overall challenges encountered in implementation and remedial actions. The second part presents an assessment of progress by performance indicator against targets as adopted within the Organization’s Programme and Budget 2016–2017 ([Document 38 C/5 Approved programme and budget, 2016-2017: second biennium of the 2014-2017 quadrennium](http://unesdoc.unesco.org/images/0024/002443/244305e.pdf)). Furthermore, the present report contains two annexes dedicated to the follow-up on the Internal Oversight Service’s (IOS) audits and evaluations.
3. The reporting period covers six months only (from January to June 2016) in order to align the periodicity of the Secretariat’s report to the Committee with other reporting mechanisms within UNESCO. The intention also is to rationalize the reporting period of all other reports to the Committee.
4. **Overall strategic assessment**

**Key achievements**

1. Under the reporting period, the Secretariat facilitated the work of the governing bodies to take a set of key decisions. Among the five statutory meetings organized by the Secretariat between January and June 2016, the sixth session of the General Assembly constituted a major landmark with the election of 12 new members of the Committee and the approval of the Plan for the use of the resources of the Intangible Cultural Heritage Fund ([Resolution 6.GA 9](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/9)). At the same session, the Assembly also adopted substantial revisions to the Operational Directives for the implementation of the Convention. These include the increase of the ceiling for International Assistance requests to be submitted to the Bureau of the Committee from US$25,000 to US$100,000, the adoption of a new chapter on safeguarding intangible cultural heritage and sustainable development and the extension of the referral option (which had been used for the Representative List only) to all nominations to the Lists, selections of Best Safeguarding Practices (BSP), and approvals of International Assistance requests.
2. The increase of the ceiling up to US$100,000 for International Assistance requests represents an important step forward as it will give States Parties easier access to International Assistance. In other words, from now on a State Party can submit substantial requests for financial assistance without impairing its right to submit in the same year either a nomination, another request greater than US$100,000 or a proposal to the Committee. It is expected that the raised ceiling will contribute to reversing the trend of under-utilization of the Intangible Cultural Heritage Fund. For now a worrying trend continues since, under the reporting period, only five projects were granted International Assistance up to US$25,000 by the Bureau of the Committee. At the same time, the Secretariat has changed the working methodology for treating International Assistance requests up to US$100,000 by organizing at least three meetings of the Bureau per year (in March, June and October) and by advising the submitting States to take into account the deadlines related to these meetings. In this context, the number of International Assistance requests examined by the Bureau under the reporting period has shown a promising increase (6 requests) compared to the equivalent period in 2014 (no requests) and 2015 (four requests).
3. The adoption of the new chapter of the Operational Directives on safeguarding intangible cultural heritage and sustainable development is a milestone in the development of the Convention, which is in concert with the adoption of the 2030 Agenda for Sustainable Development in September 2015 by the UN system. The chapter now provides guidance for States Parties on measures they could implement to give effect and substance to the Convention’s potential as a tool, not only for safeguarding intangible cultural heritage, but also for pursuing sustainable development in line with the 2030 Sustainable Development Goals. With reference to this, the Secretariat has made considerable efforts to reflect this orientation in a number of thematic areas related to sustainable development and intangible cultural heritage, for example by contributing to UNESCO’s strategic planning on issues related to climate change and urban development. Contact has also been made with the World Health Organization in order to explore ways in which synergies between the safeguarding of intangible cultural heritage and a cultural approach to health might be elaborated.
4. An important part of work of the Secretariat of the governing organs of the Convention includes the processing of nominations to the two Lists of the Convention (the List of Intangible Cultural Heritage in Need of Urgent Safeguarding and the Representative List of the Intangible Cultural Heritage of Humanity), proposals to the Register of Best Safeguarding Practices, International Assistance requests and Periodic Reports of States Parties. The treatment of the nominations for the 2017 cycle is currently on schedule with the Secretariat having managed for the second consecutive year to send letters by the deadline of 30 June to submitting States concerning information needed to complete their files.
5. The sound governance of the Convention is also facilitated by enhanced knowledge management services as the number of States Parties continues to grow and experiences in safeguarding intangible cultural heritage further accumulate. The work undertaken during the reporting period focused on improving both the functioning of the Convention’s knowledge management system and its usefulness for diverse groups of stakeholders. For example, in May 2016 the Secretariat launched a [new monitoring interface](http://www.unesco.org/culture/ich/en/submissions-and-deadlines-00861), allowing users to access submitted reports, review the schedule of submissions and search them by mechanism, status and country. The Secretariat continues to enhance the web page dedicated to category 2 centres in the field of intangible cultural heritage (<http://www.unesco.org/culture/ich/en/Category2/>) with key documents for each of the eight centres, including their recent work plans and annual reports. Efforts have also been made to enhance the Convention’s website with improved navigation and ergonomics, search engine optimization and additional multilingual content.
6. As regards periodic reporting, a high number of overdue reports has been a source of concern. In view of improving the participation of States Parties in this reporting mechanism, the Secretariat provided detailed information, during the sixth session of the General Assembly in June 2016, to the States Parties on the periodic reporting mechanism and the situation as regards the submission of expected reports. To support them in this endeavour, the Secretariat has also started updating the *aide-mémoire* for completing the reporting form that provides submitting States with guidance when preparing their reports.
7. The implementation of the Convention remains greatly facilitated by the capacity-building programme, which is a key support to Member States for strengthening human and institutional resources for safeguarding intangible cultural heritage, including policy and strategy development across multiple sectors. Over the reporting period, UNESCO collaborated with more than 50 countries in planning and implementing projects. In 38 of the countries, UNESCO implemented multi-year projects with the support of extrabudgetary resources channelled either through Funds-in-Trust Agreements or earmarked contributions to the Intangible Cultural Heritage Fund (more information is available on the Convention’s [project webpage](http://www.unesco.org/culture/ich/en/project)). In the 19 other countries, UNESCO implemented single activities financed with the modest funds of UNESCO’s Regular Programme (either needs assessments, specific policy support or a training workshop).
8. One of the recent achievements is the completion of in-depth needs assessments in ten countries, which constitute a sound basis for decision-making about future strategy and policy choices in the field of intangible cultural heritage. In particular, a dedicated multi-year needs assessment project was completed in seven countries in Africa and the Arab Region (Comoros, Djibouti, Egypt, Madagascar, Palestine, South Sudan and Sudan) with funding from the UNESCO/Abu Dhabi Tourism and the Culture Authority Funds-in-Trust, and involving close cooperation between the Intangible Cultural Heritage Section, national counterparts and colleagues from UNESCO Field Offices. Proposals for multi-year projects were elaborated, duly tailored to countries’ specific needs and contexts. Another achievement is the completion of a project in five Portuguese-speaking African countries (Angola, Cabo Verde, Guinea-Bissau, Mozambique, Sao Tome and Principe) financed with an earmarked contribution from the Kingdom of Norway to the Intangible Cultural Heritage Fund. An evaluation showed that significant progress has been made in the areas of mobilizing all stakeholders, developing the institutional infrastructure required for safeguarding, conducting community-based inventorying and facilitating collaboration among the project countries. However, the project also brought to the fore that more support is required to strengthen capacities in the areas of elaborating safeguarding plans and to develop policies and legislation across multiple sectors as well as in the context of national development strategies.
9. An innovation for strengthening the network of facilitators in charge of delivering training and advisory services under the capacity-building programme was achieved through the development and dissemination of an on-line tutorial on the use of the materials for a training workshop on elaborating safeguarding plans. The Secretariat furthermore produced a cross-regional analysis of 73 facilitators’ reports to consolidate their perspectives on programme implementation and their recommendations for further programme development. Lastly, network members contributed to the development and testing of the tools required for piloting a tracer study to find out what difference individuals’ participation in the capacity-building programme has made to their engagement in intangible cultural heritage and what they recommend to further improve the programme.
10. The capacity-building curriculum is continually reviewed and adapted in order ‘to ensure that it responds to the major implementation challenges at the national level’ ([Decision 8.COM 5.c.1](http://www.unesco.org/culture/ich/en/Decisions/8.COM/5.c.1)). This entailed, for instance, updating all curriculum materials to reflect the decisions of the Committee and General Assembly. Over the reporting period, new training materials were developed on policy development for intangible cultural heritage, while materials on elaborating nominations were revised and enlarged with thematic units on the effects of inscription and on periodic reporting concerning inscribed elements.
11. Moreover, in view of supporting category 2 centres, the Secretariat organized for the fourth time an annual coordination meeting in June 2016 at UNESCO Headquarters. This provided a good opportunity to exchange information on recent developments in the life of the Convention and to discuss new perspectives for fields of cooperation and future synergies amongst the centres as well as between UNESCO and the centres. During the reporting period, the Secretariat continued working on the evaluation and renewal process of a number of centres, in particular for the International Information and Networking Centre for Intangible Cultural Heritage in the Asia‑Pacific Region (ICHCAP) in the Republic of Korea (completed); the International Research Centre for Intangible Cultural Heritage in the Asia-Pacific Region (IRCI), Japan (ongoing) and for the International Training Centre for Intangible Cultural Heritage in the Asia and the Pacific Region, China (ongoing).
12. In the field of monitoring and evaluation, the Secretariat started to develop an overall results framework for the Convention, against which accomplishments and challenges with regard to the Convention’s implementation could be compared. This initiative is a response to one of the requests from the 2013 IOS evaluation which was endorsed by the Committee. The activities during the reporting period included the preparation and organization of a category VI meeting of experts which took place from 7 to 9 September 2016, generously funded and hosted by the National Commission of the People’s Republic of China for UNESCO. The meeting laid an important ground for reflections on the overall goals of the Convention and ways to demonstrate how the desired results are achieved. The results of the expert meeting are presented under Item 14 of the agenda of the present session of the Committee (see Document [ITH/16/11.COM/14](http://www.unesco.org/culture/ich/doc/src/ITH-16-11.COM-14-EN.docx)).
13. Finally, the first semester of 2016 showed a steady increase in the number of States Parties to the Convention, in particular from Africa, with the following Member States ratifying the Convention: Cabo Verde, Cook Islands, Ghana, Guinea-Bissau, Ireland, Saint Kitts and Nevis, and Thailand. Moreover, an extension of the territorial application of the Convention was made by the Netherlands for Curaçao. At the time of writing, the total number of States Parties has reached 170. Three of the new States Parties benefitted from capacity-building activities before ratifying the Convention.

**Overall challenges encountered in implementation and remedial actions**

1. Overall, the Secretariat continued to concentrate its efforts around two pillars: (i) support for the governance of the Convention (in particular the organization of the General Assembly, the Intergovernmental Committee and its Bureau as well as the Evaluation Body) and the treatment of nominations, requests and reports submitted through statutory mechanisms, and (ii) the expansion of the geographical and programmatic scope of its capacity-building strategy. In addition, the development of an overall results framework for the Convention has started to encourage the Secretariat to reflect in a more coordinated way on the purposes of various mechanisms of the Convention, their impact on the ground and how better to serve the various stakeholders.
2. It is also important to stress that the work of the Secretariat nowadays takes place in a setting that asks for a clear and operational demonstration of the role that intangible cultural heritage can play in achieving sustainable and human development as well as in contributing to long-lasting peace. Considering the complexity of the issues and the recent adoption of the new chapter in the Operational Directives on the subject, the Secretariat is aware that States Parties may welcome further information, for instance in the form of case studies, on how to operationally link the safeguarding of living heritage and sustainable development. Efforts are also being made to identify programmatic entry points with specific indicators of the 2030 Sustainable Development Goals.
3. Despite all efforts, the fixed statutory landmarks on the calendar and heavy workload associated with it means that the Secretariat is not able to give sufficient attention to a number of issues. A case in point is the creation of tools alternative to the Register of Best Safeguarding Practices for sharing safeguarding experiences, further consolidation of the network of facilitators involved in the capacity-building programme, and the enhancement of cooperation with organizations within and outside the United Nations system.
4. In the same vein, at a time when emergency situations continue to be prominent, UNESCO is called upon to protect cultural heritage which in some cases is an object of deliberate targeting. Over the past months, the Secretariat has been increasingly solicited to contribute to UNESCO’s global response to such situations. In this context and following the adoption of the strategy for reinforcing UNESCO’s action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict by the 38th session of UNESCO’s General Conference in November 2015, an in-depth reflection is clearly needed on the role of the 2003 Convention and UNESCO’s possible actions in emergency situations. The debate of the Committee under Item 15 of the agenda of the present session will provide the opportunity to open up the discussion on this matter (see Document [ITH/16/11.COM/15](http://www.unesco.org/culture/ich/doc/src/ITH-16-11.COM-15-EN.docx)).
5. Regarding financial resources, it should be recalled that a large part (65%) of the Regular Programme budget of the biennium for the Intangible Cultural Heritage Section is dedicated to covering the costs of the statutory requirements of the Convention, which are considered ‘incompressible’ expenses. In this context and in line with the Organization’s policy of strictly aligning the Regular Programme and the Complementary Additional Programme, the Secretariat’s resource mobilization efforts concentrate essentially on extending the reach and effectiveness of the global capacity-building strategy. To this end, the Secretariat developed a [Concept Note](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-7_Rev.-EN.doc) for the 2014–2017 Complementary Additional Programme, ‘Strengthening capacities to safeguard intangible cultural heritage for sustainable development’, which was approved by the Committee at its ninth session in November 2014 ([Decision 9.COM 7](http://www.unesco.org/culture/ich/en/Decisions/9.COM/7)). The purpose was to inform donors of the funding requirements of the global capacity-building programme. Unfortunately, during the reporting period, no further resources could be mobilized and some of the long-standing contributors did not renew their engagement. This situation is most critical since supplementary voluntary contributions to the Intangible Cultural Heritage Fund and Funds-in-Trust contributions are essential to the success of capacity-building efforts; the Secretariat hereby renews its earnest call to urge potential donors to contribute in favour of the 2003 Convention.
6. The situation concerning the human resources of the Secretariat continues to be a source of concern. Since the Regular Programme resources are not sufficient, the Intangible Cultural Heritage Fund has to be used to provide support for the implementation of the Convention and to give the work of the Committee greater outreach in terms of impact and visibility. However, the mismatch between available human resources and the steady increase in workload and expectations on the part of States Parties remains a major challenge. It must be noted, with regret, that the implementation rate of the Intangible Cultural Heritage Funds continues to be very low. The increase of the ceiling of requests that can be examined by the Bureau from US$25,000 to US$100,000 may lead in the near future to a higher number of requests for the attention of the Bureau, and by consequence to a better implementation of the Funds. At the same time, a definite increase in the workload of the Secretariat will be expected due to this new possibility (see Document [ITH/16/11.COM/9.c](http://www.unesco.org/culture/ich/doc/src/ITH-16-11.COM-9.c-EN.docx)), which may not be absorbed easily with the current structure of the Section. A creative solution must be sought to address the issue of personnel so that the Secretariat will be able to give an enhanced attention to the administration of the International Assistance mechanism and the monitoring of the projects that benefit from the Intangible Cultural Heritage Fund.
7. **Assessment by Performance Indicator**
8. The report seeks to reflect the extent of the Secretariat’s work based on the 38 C/5 results framework and, more specifically, the performance indicators of Expected Result 5 within Major Programme IV: National capacities strengthened and utilised to safeguard the intangible cultural heritage, including indigenous and endangered languages, through the effective implementation of the 2003 Convention. The five performance indicators are cited below as approved by the General Conference at its 38th session:

PI 1 Governing bodies of the 2003 Convention exercise sound governance thanks to the effective organization of their statutory meetings

PI 2 Number of supported Member States utilizing strengthened human and institutional resources for intangible cultural heritage and integrating intangible cultural heritage into national policies

PI 3 Number of periodic reports on the implementation of the Convention at the national levels submitted by States Parties and examined by the Committee, and the number addressing gender issues and describing policies promoting equal access to and participation in cultural life

PI 4 Number of States Parties to the Convention increased

PI 5 Number of organizations within and outside the United Nations system, civil society, and the private sector contributing to programme delivery

1. At the same time, the report takes into account the results framework that was approved by the Bureau of the Committee of the 2003 Convention concerning the Secretariat’s utilization of the funds made available from the Intangible Cultural Heritage Fund for ‘other functions of the Committee’ for the period 1 January 2016 to 31 December 2017 ([Decision 11.COM 2.BUR 1](http://www.unesco.org/culture/ich/doc/src/ITH-16-11.COM_2.BUR-1_EN.docx)). This plan supersedes the plan previously approved by the Bureau in its Decision 9.COM 2.BUR 1 for the periods of 1 January 2014 to 31 December 2015 and 1 January to 30 June 2016, on the basis of the Plan for the use of the resources of the Intangible Cultural Heritage Fund and the budget plan adopted by the General Assembly at its sixth session ([Resolution 6.GA 9](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/9)). This structure presents a more specific framework for an important category of extrabudgetary funds: those devoted to assisting the Committee in fulfilling its mission.

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| **38C/5 Performance Indicator 1** | **Governing bodies of the 2003 Convention exercise sound governance thanks to effective organization of their statutory meetings** |

| **Target** | **Assessment of progress: 01/01/2016 to 30/06/2016** | **Likelihood that target will be attained** |
| --- | --- | --- |
| * Decisions providing strategic guidance and/or financial support for the implementation of the Convention taken in a dozen statutory meetings. * 100 safeguarding plans for intangible cultural heritage, including indigenous and endangered languages, developed and/or implemented by Member States. * 30 International Assistance requests submitted and 5 effectively implemented by Member States; 65 nominations submitted by Member States and processed, out of which one best safeguarding practice promoted and disseminated. | * 5 statutory meetings held with decisions providing strategic guidance and/or financial support for the implementation of the Convention: 1 General Assembly (30 May to 1 June 2016); 2 meetings of the Evaluation Body (10 to 11 March 2016; 20 to 24 June 2016); 2 electronic consultations of the Bureau of the Committee (21 March to 15 April 2016; 2 to 17 June 2016). * Plans for the use of the resources of the Fund adopted; Operational Directives (OD) revised concerning the increase of the ceiling for International Assistance (IA) to be examined by the Bureau; a new OD chapter adopted on the safeguarding of intangible cultural heritage and sustainable development at the national level. * 44 nominations, 4 BSP, and 4 International Assistance requests processed, each including a safeguarding plan (2017 cycle). * 10 International Assistance requests processed and analysed and 5 recommendations presented to the Bureau and approved (11.COM BUR 1 & 2). * [New monitoring interface](http://www.unesco.org/culture/ich/en/submissions-and-deadlines-00861) launched concerning periodic reporting, allowing all stakeholders to review submitted reports, consult the future submission schedules and search by mechanism, status and country. | High |

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| **38C/5 Performance Indicator 2** | **Number of supported Member States utilizing strengthened human and institutional resources for intangible cultural heritage and integrating ICH into national policies** |

| **Target** | **Assessment of progress: 01/01/2016 to 30/06/2016** | **Likelihood that target will be attained** |
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| * Policies developed or revised in 15 States and human and institutional resources strengthened in 25 States. * 20% of UNESCO-trained female cultural professionals contributing to national-level decision-making processes in the field of culture. | * Policies developed or revised in nine of the 37 States that received policy support under the capacity-building programme. Human and institutional resources strengthened in 22 States that benefitted from comprehensive multi-year projects. In five of the States, projects were completed and in 17 they are ongoing. * 45% of UNESCO-trained cultural professionals are female: no data available on their contribution to decision-making; mechanism under development. * Facilitators’ network strengthened through the development and dissemination of an audio-visual tutorial on safeguarding plans. * Core curriculum materials updated to reflect the decisions of statutory meetings (20 units; 3 languages). | Medium |

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| **38C/5 Performance Indicator 3** | **Number of periodic reports on implementation of the Convention at national levels submitted by States Parties and examined by the Committee, and number addressing gender issues and describing policies promoting equal access to and participation in cultural life** |

| **Target** | **Assessment of progress: 01/01/2016 to 30/06/2016** | **Likelihood that target will be attained** |
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| * 30 reports, of which 20 address gender issues. | * 6 periodic reports submitted on the implementation of the Convention at the national level and processed by the Secretariat in preparation for their examination by the Committee at its present session; 1 of them addressing gender issues. * 6 periodic reports submitted on elements inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding and processed by the Secretariat in preparation for their examination by the Committee at its present session; 3 of them addressing gender issues. | Medium |

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| **38C/5 Performance Indicator 4** | **Number of States Parties to the Convention increased** |

| **Target** | **Assessment of progress: 01/01/2016 to 30/06/2016** | **Likelihood that target will be attained** |
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| * 5 new ratifications, of which 2 from Africa. | * 7 new ratifications (Cabo Verde, Cook Islands, Ghana, Guinea-Bissau, Ireland, Saint Kitts and Nevis, and Thailand), of which 3 from Africa. An extension of the territorial application of the Convention made by the Netherlands for Curaçao. | High |

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| **38C/5 Performance Indicator 5** | **Number of organizations within and outside the United Nations system, civil society, and the private sector contributing to programme delivery** |

| **Target** | **Assessment of progress: 01/01/2016 to 30/06/2016** | **Likelihood that target will be attained** |
| --- | --- | --- |
| * 8 NGOs accredited; 20 NGOs renewed; 4 category 2 centres fully contributing to supporting UNESCO’s programme for the effective implementation of the 2003 Convention. | * Facilitated the accreditation of 24 NGOs by the sixth session of the General Assembly and the renewal of 59 accredited NGOs. * A number of category 2 centres contributing to certain aspects of UNESCO’s programme for the effective implementation of the 2003 Convention. | Medium |

1. **Duties, structure and composition of the Secretariat**
2. The primary responsibilities of the Secretariat, as set out in Article 10 of the Convention, are to assist the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage and to ‘prepare the documentation of the General Assembly and of the Committee, as well as the draft agenda of their meetings, and shall ensure the implementation of their decisions’.
3. Since 2014, the Section has been composed of two units – a Programme Implementation Unit and a Capacity-building and Heritage Policy Unit. Regional responsibilities are distributed transversally across the two units, with ‘regional officers’ for each of the six electoral groups of UNESCO. The tasks assigned to these Units are described in the Secretariat’s report to the tenth session of the Committee (Document [ITH/15/10.COM 7.b](http://www.unesco.org/culture/ich/doc/src/ITH-15-10.COM-7.b_EN.docx)) and to the sixth session of the General Assembly (Document [ITH/16/6.GA 6](http://www.unesco.org/culture/ich/doc/src/ITH-16-6.GA-6-EN.docx)) and have remained unchanged under the reporting period. The Section currently includes 12 established posts under the Regular Programme: 4 from the ‘general services’ category and 8 from the ‘professional’ category. The Chief of the Section also functions as the Secretary of the Convention. The beginning of the year 2016 was marked by the arrival of the new Chief of Section, Mr Tim Curtis.
4. In addition to the Regular Programme staff, the Section also relies on a number of persons working under various temporary assignments:

* Four Project Appointments continue to be supported by contributions from States Parties to the sub-fund of the Intangible Cultural Heritage Fund and two additional Project Appointments are financed with the Fund’s support to the knowledge management system and the capacity-building programme.
* There are two additional temporary posts: the first one (Project Appointment) was established in December 2014 with funding from the UNESCO/Abu Dhabi Tourism and Culture Authority Funds-in-Trust, and the second (Secondment), which started in March 2015, is financed by the UNESCO/Japan Funds-in-Trust for Safeguarding Intangible Cultural Heritage. In addition, an expert from the Government of the People’s Republic of China who joined the team in January 2014 continues to provide his service to the Section, while a project coordinator who managed a capacity-building project in Portuguese-speaking Africa, funded by the Intangible Cultural Heritage Fund thanks to an earmarked contribution from Norway, completed her term in May 2016.
* Under the reporting period, six additional temporary personnel contributed to the work of the Secretariat of the Convention for various periods, financed by the Regular Programme.

1. Moreover, the Conventions Common Services Unit, established in mid-2014 (see Document [ITH/13/9.COM/6](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-6-EN_.doc)), assisted the Section in the organization of statutory meetings. In particular, this concerned logistical aspects and the travel arrangements of meeting participants, as well as administrative and procedural issues linked to cooperation with category 2 centres and the treatment of requests for patronage and the use of the Convention’s emblem.
2. The Committee may wish to adopt the following decision:

DRAFT DECISION 11.COM 5

The Committee,

1. Having examined document ITH/16/11.COM/5,
2. Welcomes the revised format of the report of the Secretariat and its periodicity aligned with UNESCO’s reporting processes;
3. Further welcomes the seven States – Cabo Verde, Cook Islands, Ghana, Guinea-Bissau, Ireland, Saint Kitts and Nevis, and Thailand – that have ratified the Convention since the tenth session of the Committee and expresses satisfaction with the relentless pace of ratification;
4. Commends the Secretariat for ensuring the effective implementation of the decisions of the Committee and the resolutions of the General Assembly as well as the efficient organization of the statutory meetings;
5. Expresses satisfaction on the expanded reach and continued effectiveness of the global capacity-building programme and also appreciates the regular review, adaptation and enrichment of its content and format to respond effectively to major implementation challenges at the national, or in some cases regional level;
6. Expresses its concern as regards the decreasing mobilization of resources and calls States Parties to offer further support, particularly in the form of contributions to the sub-fund for enhancing the human resources of the Secretariat in order to allow it to address ongoing demands for the continued effective implementation of the Convention;
7. Regrets the low implementation rate of the International Assistance mechanism of the Intangible Cultural Heritage Fund and encourages States Parties to make better use of it;
8. Invites the Secretariat to explore creative solutions to resolve administrative and human resource bottlenecks in the implementation of the International Assistance mechanism which would enhance support to beneficiary countries and to improve the monitoring of the projects that benefit from the Intangible Cultural Heritage Fund;
9. Further encourages the Secretariat to strive to help States Parties in addressing a number of thematic areas to operationally link the safeguarding of intangible cultural heritage and sustainable development, particularly within the framework of the 2030 Agenda for Sustainable Development, and to seek extrabudgetary resources for this purpose as necessary;
10. Acknowledges that the Secretariat has made substantial progress in response to the recommendations of the IOS evaluation and audit, and to ensuring Committee’s decisions, and requests that the Secretariat continue its efforts as planned;
11. Further appreciates the efforts of the Secretariat to contribute to the coordination of the growing network of category 2 centres and to stimulating these centres’ potential to contribute effectively to the implementation of UNESCO’s strategic objectives in the field of intangible cultural heritage;
12. Further invites the Secretariat to expand the outreach and visibility of its activities by consolidating networks and partnerships such as cooperation with UNESCO Chairs, educational institutions, civil society and others.

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| **ANNEX I**  **Progress report on the twenty-four recommendations of the evaluation of UNESCO’s standard-setting work of the Culture Sector, concerning the Convention for the Safeguarding of the Intangible Cultural Heritage (up to June 2016)** | | |
| **Recommendation 1: Revise all relevant documents and forms (including the Operational Guidelines, the Periodic Reporting Formats, and nomination files) to include gender-specific guidance and questions.** | | |
| **Management Response:** Nomination and reporting forms have been amended accordingly. A new paragraph in the Operational Directives was endorsed by the Committee at its tenth session in December 2015 and adopted by the General Assembly at its sixth session in June 2016. | | |
| **Actions Planned** | **Expected Date of Implementation** | **Status** |
| Revise nomination forms ICH-01 (Urgent Safeguarding List (USL)) and ICH-02 (Representative List). | October 2015 | * The gender-specific guidance was integrated in October 2015 into the nomination forms ICH‑01 and ICH-02, as well as in ICH-03 (Register of Best Safeguarding Practices) and ICH-04 (International Assistance) for the 2017 cycle (**action completed**). |
| Revise Form ICH-10 on periodic reporting (Reports by States Parties on the implementation of the Convention). | December 2014 | * Forms ICH-10 and ICH-11 (Reports on the status of elements inscribed on the USL) were revised in December 2014 (**action completed**). |
| Include gender paragraph in the draft Operational Directives on sustainable development. | June 2016 | * In 2015, the tenth session of the Committee endorsed the amendment to the Operational Directives to include ‘gender equality’ in a new chapter, chapter VI, concerning ‘Safeguarding intangible cultural heritage and sustainable development at the national level’ ([Decision 10.COM 14.a](http://www.unesco.org/culture/ich/en/Decisions/10.COM/14.a)). * In 2016, the sixth session of the General Assembly adopted paragraph 181 dedicated to gender equality in chapter VI of the Operational Directives ([Resolution 6.GA 7](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/7)) (**action completed**). |

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| **Recommendation 2: Promote increased NGO and community involvement in the development of policy, legislation, safeguarding plans and sustainable development plans.** | | | | |
| **Management Response**: This recommendation is fully in line with the Convention and the Operational Directives. Although the implementation of this recommendation is the direct responsibility of the States Parties, the Secretariat uses every opportunity, in particular in the capacity-building programme and supporting material, to remind States of the importance of such involvement. Additionally, the General Assembly during its sixth session adopted amendments to the Operational Directives encouraging States Parties when preparing their Periodic Reports to complement the data gathered on the implementation of the Convention with information provided by relevant non-governmental organizations. | | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** | |
| Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops. | February 2016 | | * The role of non-governmental organizations and community involvement was part of the training for expert facilitators for Asia-Pacific (January 2015) and Africa (September 2015). * A UNESCO guidance note on providing advisory services for policy development in the field of intangible cultural heritage, made available in June 2015, underlines the role of non-governmental organizations and community involvement. * An independent training material unit on policy and legal development was made available in English, French and Spanish in the first half of 2016, integrating the importance of non-governmental organizations and community involvement (**action completed**). | |
| Revise Operational Directives to encourage States Parties when preparing their Periodic Reports to complement the data gathered on the implementation of the Convention with information provided by relevant non-governmental organizations | June 2016 | | * In June 2016, the General Assembly during its sixth session adopted amendments to the Operational Directives encouraging States Parties when preparing their Periodic Reports to complement the data gathered on the implementation of the Convention with information provided by relevant non-governmental organizations ([Resolution 6.GA 7](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/7)) (**action completed**). | |
| Integrate these aspects into the *aide-mémoire* for elaborating nomination files and for Periodic Reports. | November 2016 | | * The February 2015 version of the *aide-mémoire* mentions in several places the importance of non-governmental organizations and community involvement. * Following the adoption of the amendments to the Operational Directives by the General Assembly, the *aide-mémoire* on periodic reporting is being updated to further emphasize the role of non-governmental organizations. | |
| **Recommendation 3: Enhance cooperation with sustainable development experts for integrating ICH into non-cultural legislation and policy, and for other work related to ICH and sustainable development.** | | | | |
| **Management Response**: Although the implementation of this recommendation is the direct responsibility of the States Parties, the Secretariat is also integrating and/or strengthening these aspects in its capacity-building programme (curriculum and training of trainers), and in its development of new Operational Directives on Intangible Cultural Heritage and sustainable development. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops. | | Ongoing | | * As regards the integration of intangible cultural heritage into non-cultural legislation and policy, greater cooperation with the sustainable development experts allowed for: * the elaboration of a new format for policy and legal support in the capacity-building programme; * the elaboration of a dedicated unit (Unit 8) on intangible cultural heritage and sustainable development as capacity-building material; * the elaboration of a UNESCO guidance note on providing advisory services for policy development. * The regional workshop for expert facilitators from Africa (Constantine, Algeria, September 2015) focused on supporting policy development in the field of intangible cultural heritage in Africa and also discussed the difficulties of integrating intangible cultural heritage policy into non‑cultural legislation and policies. |
| Develop new Operational Directives on Safeguarding Intangible Cultural Heritage and Sustainable Development. | | June 2016 | | * Development experts participated in the elaboration of the draft amendment of the Operational Directives on intangible cultural heritage and sustainable development; this amendment was submitted to the ninth session of the Committee for debate and was endorsed at the tenth session of the Committee in 2015 ([Decision 10.COM 14.a](http://www.unesco.org/culture/ich/en/Decisions/10.COM/14.a)). * Operational Directives on safeguarding intangible cultural heritage and sustainable development at the national level were adopted by the General Assembly at its sixth session in June 2016 ([Resolution 6.GA 7](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/7)) (**action completed**). |
| **Recommendation 4: Support States Parties with the development of legislation and policy as part of the ongoing 2003 Convention capacity building programme and design appropriate capacity building formats to do so.** | | | | |
| **Management Response**: The Secretariat is strengthening its policy and legal advisory services in all current and future capacity-building activities. New training material developed, training of trainers conducted accordingly. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Design and use new training materials. | | February 2016 | | * A workshop on developing a new format for policy advice in the Convention’s capacity-building programme was held in June 2014 at UNESCO Headquarters. * Three papers were drafted on issues and experiences concerning policy and legal development in the field of intangible cultural heritage. * A UNESCO guidance note providing advisory services for policy development in the field of intangible cultural heritage was produced and made available in June 2015 in English and French. * New training material for workshops with national counterparts on policy development was prepared and made available online in English in February 2016 (**action completed**). |
| Train trainers. | | Ongoing | | * The issue was addressed during the training of expert facilitators for the Arab states (May 2014); Europe and Central Asia (September 2014); and Asia and the Pacific (January 2015). * A training workshop for expert facilitators was held on supporting policy development in the field of intangible cultural heritage for Africa (September 2015). |
| Integrate new specialized trainers in policy development into the network of trainers. | | Ongoing | | * Four new trainers specialized in cultural policy development have been integrated into the Convention’s network of expert facilitators. * Trainers specialized in cultural policy are participating in a multi-year capacity-building project in countries from Asia and the Pacific. * Trainers will participate in future policy support activities of the capacity‑building programme. |
| **Recommendation 5: Cooperate with sustainable development experts when supporting States Parties with the integration of ICH into non-cultural legislation and policy, and with other work related to ICH and sustainable development.** | | | | |
| **Management Response**: Sustainable development experts are being integrated into UNESCO’s Intangible Cultural Heritage trainers’ network, in order to complement those experts/trainers that are less familiar with the broader development issues. This should be considered in tandem with the actions planned and undertaken in response to recommendation 3. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Publish and disseminate the brochure ‘Intangible Cultural Heritage and Sustainable Development’ (ITH info kit). | | October 2015 | | * A brochure was published in October 2015 and distributed at the tenth session of the Committee; it continues to be distributed by the Secretariat and by UNESCO Field Offices (**action completed**). |
| Revise the final reporting template for training to include a question relating to participating sustainable development experts. | | 2016 | | * The template for reporting on training was revised in April 2016 to include questions on expertise in different areas of sustainable development. An online reporting tool is also being developed to reflect these evolutions, and to facilitate data input, export and analysis. |
| Guide for field offices to be elaborated. | | March 2016 | | * The Intangible Cultural Heritage Section, having consulted the UNESCO Field Offices, drafted a guidance note that has been disseminated to them together with the above-mentioned brochure (**action completed**). |
| **Recommendation 6: Establish, with the full involvement of UNESCO field offices and in cooperation with National Commissions, a follow-up mechanism for capacity-building activities to gather data about their effectiveness.** | | | | |
| **Management Response**: Consultations have been conducted in order to put in place this follow-up mechanism, which was initially planned to be in place on a pilot basis by the end of the year. However, completing the work of establishing a follow-up and evaluation mechanism for the Convention’s capacity-building programme before establishing the overall results framework of the Convention in which it should fit was not considered to be the most efficient way to advance. The Secretariat therefore took the decision to postpone the full establishment of the follow-up and evaluation mechanism for the capacity-building programme until the overall results framework has been created. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Define the methodology and work plan in line with the overall theory of change. | | June 2015 | | * The Intangible Cultural Heritage Section consulted IOS, expert facilitators, selected national counterparts and UNESCO Field Offices, who provided consultation on methodology; the work process is defined with a budget estimate (**action completed**). |
| Put in place the mechanism. | | 2016 | | * The piloting of tracer studies started in early 2016 in a selected number of countries that benefit(ed) from capacity-building activities. |
| **Recommendation 7: Review (and adapt if necessary) the content and format of the capacity-building strategy to ensure that it responds to the major implementation challenges at the national level.** | | | | |
| **Management Response**: Review meetings are conducted regularly in order to assess the content and format of the capacity-building strategy, in particular to adapt it to the evolving needs at the national level. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Initial adaptations reflected in updated logframe based on IOS evaluation. | | Ongoing | | * The progress and final reporting templates of capacity-building projects were revised with an updated logframe to include information on major implementation challenges at the national level. |
| Review meetings and competence upgrading with expert facilitators and Field Offices. | | Ongoing | | * The Secretariat received recommendations for further revisions from Africa, the Arab Region, Asia and the Pacific, Central Asia and Europe. Specific review meetings with facilitators and UNESCO Field Offices have been or will be organized in specific regions such as for Africa (September 2015). |
| Draw lessons from a consolidated analysis of all expert facilitators’ reports by region. | | 2016 | | * A cross-regional analysis of the expert facilitators’ reports has been finalized and shared with expert facilitators and UNESCO Field Offices in 2016. Its findings feed into the preparation of review meetings and new capacity-building activities (**action completed**). |
| Specific activities and financial provisions for policy assessments integrated into capacity-building programme. | | Ongoing | | * The budget of new capacity-building projects systematically includes provisions for policy assessments/development. |
| Introduce new units on gender, sustainable development and policy development. | | February 2016 | | * New training units on gender (Units 48 and 49), as well as an information brochure on the topic in question were made available in June 2015. * A new training unit on sustainable development (Unit 8) was revised and aligned with the 2030 Agenda for Sustainable Development and was made available in February 2016. * A training unit on policy development (Unit 55) was prepared and made available in February 2016 (**action completed**). |
| **Recommendation 8: Promote the USL by re-positioning it as an expression of States Parties’ commitment to safeguarding and to the implementation of the Convention, and especially recognize those States Parties that submit nominations to the USL.** | | | | |
| **Management Response**: The publication of the digital version of the USL is intended to put emphasis on its importance. All opportunities in communication, media, and speeches are seized in order to emphasize its importance. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Stop the publication of the leaflet of yearly inscribed elements and publish Brochures only on the USL and Best Safeguarding Practices. | | Ongoing | | * The yearly publication on inscribed elements has been stopped. * The brochures on the USL and BSP for elements inscribed and practices selected in 2012 and 2013 were published electronically in 2014. Electronic brochures on the USL and BSP for elements and practices inscribed and selected in 2014 and 2015 are under preparation. |
| Highlight the purpose of the USL, IA and RL in presentations, speeches, media interviews, media kits, training activities etc. | | Ongoing | | * The purpose of the USL, IA and RL is highlighted in the current version of the relevant training materials, presentations, speeches, etc. |
| **Recommendation 9: Clarify to States Parties and other stakeholders all misconceptions regarding the purpose and use of the Representative List.** | | | | |
| **Management Response**: All opportunities in communication, media, and speeches are seized in order to emphasize the purpose and use of the Representative List. Capacity-building materials also underline this aspect. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Highlight the purpose of the USL, IA and RL in presentations, speeches, media interviews, media kits, training activities etc. | | Ongoing | | * The purpose of the USL, IA and RL is highlighted in the current version of the relevant training materials, presentations, speeches, media interviews, media kits, etc. |
| **Recommendation 10: Ensure that the inscription of elements on the Representative List reflect more closely the criteria and procedures specified in Chapter I.2 of the Convention’s Operational Guidelines.** | | | | |
| **Management Response**: To be applied by the Committee and its Evaluation Body; the Secretariat includes this point in training sessions for the Evaluation Body. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Prepare an evaluation of the implementation of previous decisions of the Committee in connection with the inscription of elements, the selection of proposals to the Register of Best Safeguarding Practices and the approval of requests for International Assistance. | | December 2014 | | * The Secretariat prepared the evaluation and presented it as a working document for examination by the Committee at its ninth session (Document [ITH/14/9.COM/13.d](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.d-EN.doc)) (**action completed**). |
| Secretariat to include this point in training sessions for the Evaluation Body. | | Ongoing | | * Members of the Evaluation Body trained in April 2015 and March 2016. * New members of the Evaluation Body to be trained in each cycle. |
| **Recommendation 11: Suspend the Subsidiary Body, so that all nominations are evaluated by one common and independent body.** | | | | |
| **Management Response**: Operational Directives adopted for one single Evaluation Body and the new Evaluation Body started its operations in 2015. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Operational Directives adopted for one single Evaluation Body. | | June 2014 | | * The General Assembly, during its fifth session, decided ([Resolution 5.GA 5.1](http://www.unesco.org/culture/ich/en/Resolutions/5.GA/5.1)) that ‘the evaluation [of files] shall be accomplished by a consultative body of the Committee established in accordance with Article 8.3 of the Convention, to be known as the “Evaluation Body”’ (paragraph 27 of the Operational Directives) (**action completed**). |
| Single Evaluation Body operational. | | October 2015 | | * A single Evaluation Body has evaluated all files since the 2015 cycle (**action completed**). |
| **Recommendation 12: Reconsider and complement the Register of Best Safeguarding Practices by developing alternate, lighter ways of sharing safeguarding experiences such as dedicated websites, e-newsletters, online forums, etc. (This recommendation is linked to Recommendation 19).** | | | | |
| **Management Response**: Different stakeholders, and in particular the NGO Forum, have to be consulted on lighter and alternative ways. Best practices can be identified through the analysis of Periodic Reports. Given the limited financial and human resources, more substantial actions promoting examples of good safeguarding practices could not be initiated. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Consult different stakeholders, in particular the NGO Forum, on lighter and alternative ways. | | October 2014 | | * NGO Forum representatives were consulted in December 2013; Members of the Consultative Body in September 2014 and category 2 centres in October 2014 (**action completed**). |
| Identify best practices through the analysis of Periodic Reports. | | Ongoing | | * The syntheses of the 57 Periodic Reports submitted for examination by the Committee since its ninth session contain information on safeguarding practices. |
| **Recommendation 13: Give priority to International Assistance requests within the ceiling of files to the Convention’s mechanisms**. | | | | |
| **Management Response**: This was proposed by the Secretariat to the Committee at its eighth session (Document [ITH/13/8.COM/5.c](http://www.unesco.org/culture/ich/doc/src/ITH-13-8.COM-5.c-EN.doc)) but not accepted by the Committee. The Secretariat is nevertheless giving important support to the International Assistance request mechanism and follow-up. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Propose the amendment of the Operational Directives to increase the ceiling of International Assistance requests that can be approved by the Bureau (currently up to US$25,000). | | December 2015 | | * The proposal to increase the ceiling to US$100,000 was endorsed by the Committee at its tenth session ([Decision 10.COM 15.c](http://www.unesco.org/culture/ich/en/Decisions/10.COM/15.c)) (**action completed**). |
| Present to the General Assembly the amendment of the Operational Directives to increase the ceiling of International Assistance requests that can be approved by the Bureau (currently up to US$25,000). | | June 2016 | | * The General Assembly approved at its sixth session in 2016 amendments to the Operational Directives (chapters I.8, I.10, I.14 and I.15) to increase the ceiling of International Assistance requests that can be approved by the Bureau to US$100,000 ([Resolution 6.GA 7](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/7)) (**action completed**). |
| **Recommendation 14: Promote International Assistance as a capacity-building mechanism for States Parties.** | | | | |
| **Management Response**: The Secretariat provides important and frequent feedback on International Assistance requests, including technical assistance, integrating this work as a capacity-building exercise. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Provide technical assistance with International Assistance elaboration as appropriate and promote other forms than just donations. | | Ongoing | | * Following the Committee’s request, the Secretariat ‘devise[d] a means, to offer technical assistance, through the provision of experts, as described in Article 21 of the Convention, to States Parties wishing to elaborate requests for International Assistance’ ([Decision 8.COM 7.c](http://www.unesco.org/culture/ich/en/Decisions/8.COM/7.c)).   Nine countries have already benefited from this mechanism.   * An *aide-mémoire* for completing a request for International Assistance was developed in English (2015) and French (2016). * The Secretariat promoted the use of International Assistance in forms other than just donations, as per Article 21 of the Convention (Document [ITH/15/10.COM/8](http://www.unesco.org/culture/ich/doc/src/ITH-15-10.COM-8_EN.docx)). Following the decision of the Committee in 2015 ([Decision 10.COM 8](http://www.unesco.org/culture/ich/en/Decisions/10.COM/8)), Form ICH-04 is planned to be revised to better reflect the provisions in Article 21 of the Convention regarding the forms of International Assistance. |
| Integrate and track trainings on International Assistance elaboration within CAP projects. | | 2016 | | * International Assistance was integrated into workshops on the different curriculum areas (safeguarding, nominations, etc.). * New comprehensive training materials on elaborating International Assistance were commissioned and have been developed. |
| **Recommendation 15: Strengthen UNESCO’s cooperation with WIPO over traditional knowledge and culture to ensure an ongoing exchange and learning between the two organizations and their Member States, especially in the context of WIPO’s current discussions about a new international standard-setting instrument for the protection of the intellectual property rights of communities**. | | | | |
| **Management Response**: To the extent possible considering its human resources, the Secretariat will increase its cooperation with WIPO, in particular in organizing joint events/meetings and in participating in WIPO’s governing bodies meetings as an observer. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Strengthen UNESCO’s cooperation with WIPO to ensure ongoing exchange and learning between the two organizations and their Member States concerning traditional knowledge and cultural expression. | | Ongoing | | * To ensure the strengthening of UNESCO’s cooperation with WIPO, the Bureau of the Committee approved funds for this purpose in the 2014-2015 and 2016-2017 spending plans for the use of the Intangible Culture Heritage Fund dedicated to ‘other functions of the Committee’. * The Secretariat of the 2003 Convention participated in an expert meeting convened in June 2014 by the United Nations Special Rapporteur on the subject of ‘the impact of intellectual property regimes on the enjoyment of the right to science and culture’. * The Secretariat collaborated with WIPO in organizing a conference on ‘Intellectual Property, Intangible Cultural Heritage and Traditional Medicine in the context of policies for the safeguarding of the intangible cultural heritage in the countries of South-Eastern Europe’ hosted by the Regional Centre for the Safeguarding of Intangible Cultural Heritage in South-Eastern Europe in Sofia, Bulgaria, in April 2015. * The Secretariat participated in a seminar organized by WIPO in June 2015 on ‘Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore’ to discuss the effective protection of traditional cultural expressions, knowledge and genetic resources, exploring initial ideas for cooperation to create synergies with relevant standard-setting instruments, including the 2003 Convention. |
| **Recommendation 16: Create opportunities for joint thinking, the exchange of experiences, cooperation and synergies between UNESCO’s culture conventions of 1972, 2003 and 2005 and establish appropriate mechanisms for this.** | | | | |
| **Management Response**: The Cultural Conventions Liaison Group, comprising the Secretaries of the respective conventions and senior CLT management, meets regularly and shares information. Sub-groups on different topics (Periodic Reports, International Assistance, etc.) also share resources and methodologies. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Participate in the CCLG, comprising the Secretaries of the conventions and senior CLT management. | | Ongoing | | * The Secretariat informed the Committee on progress made during its ninth session (Document [ITH/14/9.COM/13.h](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.h-EN.doc) and [Decision 9.COM 13.h](http://www.unesco.org/culture/ich/en/Decisions/9.COM/13.h)). |
| Facilitate thinking on synergies between 2003 and 2005 in the field of capacity building. | | Ongoing | | * The Secretariat reported to the Committee on progress achieved during its ninth session (Document [ITH/14/9.COM/13.h](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.h-EN.doc) and [Decision 9.COM 13.h](http://www.unesco.org/culture/ich/en/Decisions/9.COM/13.h)). * Since the ninth session of the Committee, the Secretariat:   + organized a workshop on ‘How to provide policy advice effectively?’ with the participation of the 2003 and 2005 Convention Secretariats;   + adapted the policy advice format of the 2003 Convention’s capacity‑building programme to promote synergy;   + organized a workshop for expert facilitators on providing effective policy support in Africa that included experts from the 2005 Convention. |
| Integrate the services of the CLT/CCS effectively into the work of the Section. | | Ongoing | | * The Common Convention Services Unit (CLT/CCS) provided logistical support for the organization of the sixth session of the General Assembly and of the ninth and tenth sessions of the Committee. |
| Facilitate meetings between the Chairpersons of the six UNESCO culture conventions. | | Ongoing | | * In June 2015, during the 39th session of the World Heritage Committee in Bonn, Germany, the Chairs of the six UNESCO culture conventions met for the first time to discuss ways of working together more effectively. * In their statement, the Chairs emphasized the need for renewed political will to support UNESCO’s culture conventions and encouraged the United Nations to ensure that the protection, safeguarding and understanding of cultural and natural heritage, cultural diversity and creative expression worldwide be recognized as a cross-cutting issue in the implementation of the interrelated goals of the Post-2015 Development Agenda. |
| **Recommendation 17: Encourage representatives of accredited NGOs to participate in IGC debates prior to voting on agenda items and include the outcomes of the NGO forums (such as the NGO Statements) in the Committee agendas.** | | | | |
| **Management Response**: The NGO Forum report has already been integrated into the timetables of the sessions of the Committee since its ninth session in 2014, and NGOs have been given the floor when requested on several items of the agenda at sessions of the Committee and of the General Assembly. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Integrate the NGO Statement into the agenda.  Encourage NGOs to prepare their interventions prior to the session. | | Ongoing | | * The NGO statement was integrated into the timetable of the ninth and tenth sessions of the Committee. * The NGO Statement will continue to be integrated into the timetable of the Committee sessions. |
| **Recommendation 18: Revise the accreditation process and criteria for NGOs to ensure that all accredited NGOs have the required experience and capacity to provide advisory services to the Committee.** | | | | |
| **Management Response**: The General Assembly at its fifth session in June 2014 rejected the draft Directives prepared by the Secretariat, revising the criteria of accreditation to ensure that all accredited NGOs have the required experience and capacity to provide advisory services to the Committee. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| The General Assembly at its fifth session in June 2014 rejected the draft Operational Directives prepared by the Secretariat, revising the criteria of accreditation (Document [ITH/14/5.GA/5.1](http://www.unesco.org/culture/ich/doc/src/ITH-14-5.GA-5.1-EN.doc)). | |  | | None |
| **Recommendation 19: Encourage a debate on the role of the private sector and of private/public partnerships in safeguarding ICH at all levels (national, regional and international) in order to better define its potential for cooperation and involvement.** | | | | |
| **Management Response**: To be implemented at the Culture Sector level. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Identify specific fund-raising strategies for the 2003 Convention to feed into the overall Culture sector’s fund-raising strategy.  Explore options to integrate into CAP activities and consult on the potential methodology.  Coordinate with the overall Culture sector’s fund-raising strategy. | | Ongoing | | * The Conventions Common Services Unit (CLT/CCS) CCS has prepared a document on resource mobilization working principles, outlining the basic principles, approaches and tools that would be contained in a common resource mobilization strategy for the Culture Conventions. The document has been shared with the 2005 and 2003 Convention Secretariats for comments and will also be discussed with BSP/CFS prior to finalization. * The Panorama table prepared by CCS, which summarizes the different objectives and obligations of each Convention in terms of resource mobilization as well as the potential for each Convention to attract funding, has been updated to include recent developments. * The workflows proposed by CCS concerning private sector resource mobilization are being revised, taking into account the experience gathered since the CCS Unit was set up. * CCS prospects for private sector partners with a potential interest in ITH, with the objective of identifying five to seven potential partners during this biennium. * To ensure enhanced outreach and partnerships, the Bureau of the Committee approved funds for this purpose in the 2016-2017 spending plans for the use of the Intangible Culture Heritage Fund dedicated to ‘other functions of the Committee’. * The development of the overall results framework to be initiated at the expert meeting in Beijing, China, in September 2016, is foreseen to contribute to the fund-raising strategy. |
| **Recommendation 20: Strengthen informal sharing of interesting and innovative examples of working on the Convention, including about ICH safeguarding, development of policy and legislation, ICH and sustainable development, innovative partnerships and others.** | | | | |
| **Management Response**: See actions under recommendations 12 and 19. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| See actions under recommendations 12 and 19. | |  | |  |
| **Recommendation 21: Revise the periodic reporting form to include specific questions on policy, legislation and gender, and to ensure that the reports focus on results rather than on activities.** | | | | |
| **Management Response**: The periodic reporting forms have been revised to include specific questions on policy, legislation and gender. The Amended Operational Directives were adopted by the General Assembly at its sixth session (June 2016). | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Revise Form ICH-10 (Reports by States Parties on the implementation of the Convention). | | December 2014 | | * Form ICH-10 (Reports by States Parties on the implementation of the Convention) was revised in December 2014 (**action completed**). |
| Propose draft Operational Directives in order to ensure that the Periodic Report include these issues. | | June 2016 | | * The Committee, at its ninth session, discussed and endorsed draft amendments to the Operational Directives on periodic reporting and recommended that the General Assembly approve these amendments ([Decision 9.COM 13.a](http://www.unesco.org/culture/ich/en/Decisions/9.COM/13.a)). * Amendments to the Operational Directives were approved by the General Assembly at its sixth session in June 2016 ([Resolution 6.GA 7](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/7)) (**action completed**). |
| **Recommendation 22: Develop an overall results framework for the Convention, linked to a Convention Theory of Change and including clear objectives, time-frames, indicators and benchmarks.** | | | | |
| **Management Response**: Considering the importance for all stakeholders to adhere to an overall results framework for the Convention, an open-ended working group of the Committee should be organized to discuss the results framework; extrabudgetary funding for such a working group should be mobilized. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Organize a working group of the Committee to discuss the results framework.  Mobilize extrabudgetary funding for such working group. | | 2016-2017 | | * At its ninth session, the Committee decided to convene an open-ended intergovernmental working group during the course of 2016 to examine the preliminary recommendations of possible directives, subject to the condition that voluntary supplementary contributions are received in due course to the Intangible Cultural Heritage Fund ([Decision 9.COM 13.e](http://www.unesco.org/culture/ich/en/Decisions/9.COM/13.e)). * The Committee approved at its tenth session China’s offer to support the organization in 2016 with an expert meeting on developing an overall results framework for the Convention ([Decision 10.COM 9](http://www.unesco.org/culture/ich/en/Decisions/10.COM/9)). * Pending the mobilization of extrabudgetary funding, an open-ended intergovernmental group will be established in 2017. |
| **Recommendation 23: Complement the data gathered on the implementation of the Convention through Periodic Reports submitted by States Parties with information provided by NGOs.** | | | | |
| **Management Response**: Periodic reporting Form ICH-10 was revised on 15 December 2014. States reporting in 2016 are able to integrate such contributions. Operational Directives were revised to integrate this recommendation in June 2016. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Encourage States to complement the data gathered on the implementation of the Convention with information provided by relevant non-governmental organizations.  Revise the forms for periodic reporting accordingly. | | December 2014 | | * Form ICH-10 revised in December 2014 (**action completed**). |
| Propose draft Operational Directives in order to encourage States Parties to involve NGOs in the preparation of Periodic Reports. | | June 2016 | | * Amendments to the Operational Directives were approved by the General Assembly at its sixth session in June 2016 (**action completed**). |
| **Recommendation 24: Strengthen monitoring and evaluation of the implementation of the Convention at the national level.** | | | | |
| **Management Response**: Although it is addressed to States Parties, the Secretariat will address this recommendation and integrate and/or strengthen these aspects in the capacity-building material and training of trainers’ workshops as well as in the *aide-mémoire* for the Periodic Reports. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Integrate and/or strengthen these aspects into the capacity-building material and training of trainers workshops.  Integrate these aspects into the *aide-mémoire*. | | 2017/2018 | | * Training materials to be developed and *aide-mémoire* updated once the overall results framework for the Convention is available (see Recommendation 22). |

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| **ANNEX II**  **Progress report on the follow-up on the four recommendations of the audit report of the working methods of all six culture conventions.** | | | |
| **Recommendation 1: We recommend that the convention secretariats formulate proposals to the Governing Bodies of UNESCO and/or of the Convention(s) to:**   1. Supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on a compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, and the preparation and translation of documents; 2. Prioritize the current workload of the convention secretariats to align it with available resources; 3. Reduce, when feasible, the frequency, duration and agenda of the meetings of States Parties and that of the Intergovernmental Committees and synchronize the meetings of the States Parties to the conventions, when efficiencies can be achieved; 4. Harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages; and 5. Modify the financial rules and regulations, if necessary, to allow application of cost recovery policy. | | | |
| **Actions Planned** | **Expected Date of Implementation** | **Status** | |
| (a) Remind States regularly of the existence of the Convention’s sub-fund. | Ongoing | * The Committee, at its ninth and tenth sessions, was reminded about the existence of the Convention’s sub-fund and encouraged States to contribute as indicated in [Decision 9.COM 7](http://www.unesco.org/culture/ich/en/Decisions/9.COM/7) and [Decision 10.COM 9](http://www.unesco.org/culture/ich/en/Decisions/10.COM/9). * For the biennium 2014-2015, the Secretariat received voluntary contributions to the Convention’s sub-fund totalling US$417,345, i.e. less than one fourth of the target of US$2,200,000 per biennium. | |
| (b) Apply the decisions of the Committee to limit the number of files to be treated each year by the Secretariat so as to allocate sufficient resources to address other demands from States Parties concerning International Assistance, capacity-building and cross-cutting issues. | Ongoing | * The Committee decided on 50 files per cycle for 2016 and 2017 ([Decision 9.COM 12](http://www.unesco.org/culture/ich/en/Decisions/9.COM/12)) and for 2017 and 2018 ([Decision 10.COM 13](http://www.unesco.org/culture/ich/en/Decisions/10.COM/13)). * No agenda item related to the accreditation of non-governmental organizations in the ninth session of the Committee but this item was included in the agenda of the tenth session; the biannual calendar will be followed thereafter. | |
| Develop mechanisms and tools to facilitate and streamline support provided by Secretariat to States Parties. | Ongoing | * On an experimental basis, technical assistance to States Parties wishing to elaborate International Assistance requests was introduced ([Decision 8.COM 7.c](http://www.unesco.org/culture/ich/en/Decisions/8.COM/7.c)). | |
| (c) Reduce the timetable of the sessions of the Committee. | Ongoing | * The Committee, during its ninth session, by [Decision 9.COM 13.g](http://www.unesco.org/culture/ich/en/Decisions/9.COM/13.g) encouraged the Secretariat to strengthen its efforts to coordinate the meetings of the States Parties for the different conventions, taking particular care to schedule them as far ahead as possible and with adequate time between them, contrary to what is recommended by the External Auditor. * The duration of the ninth and tenth sessions of the Committee was five days respectively (one day less than the eighth session). * The sixth session of the General Assembly lasted three days (one day less than the fifth session and two days less than the fourth session). * The General Assembly, during its sixth session, adopted revisions to the Operational Directives concerning the schedule of accreditation of non-governmental organizations. As a result of these revisions, requests shall be received by the Secretariat and examined by the Committee only in odd-numbered years instead of every year ([Resolution 6.GA 7](http://www.unesco.org/culture/ich/en/Resolutions/6.GA/7)). * Furthermore, to allow more time for other agenda items, the Committee delegates to its Bureau a number of decisions such as approving International Assistance requests up to US$100,000 and the use of 20% of the resources of the Intangible Culture Heritage Fund allocated to ‘other functions of the Committee’. * During its tenth session, the Committee adopted a new working method by which decisions concerning nominations, proposals and requests are adopted as a whole without debate based on the recommendation of the Evaluation Body, rather than paragraph by paragraph. This does not apply for those decisions for which a member of the Committee specifically requests to open the floor. | |
| (d) Remind States that additional languages will only be offered if extrabudgetary funding is secured. | Ongoing | * Arabic- and Spanish-speaking States were reminded, before the ninth and tenth sessions of the Committee, that interpretation in additional languages would be offered if extrabudgetary funding could be secured. * Saudi Arabia generously financed Arabic interpretation for the ninth session of the Committee. | |
| (e) The existing financial rules and regulations of the Organization and of the Intangible Cultural Heritage Fund allow for the application of the cost recovery policy. |  | * The Committee, during its eight session, took note ‘of the Organization’s cost recovery policy (Administrative Manual, item 5.9); and request[ed] that the Secretariat apply the policy consistently when using the resources of the [Intangible Cultural Heritage] Fund’ ([Decision 8.COM 11](http://www.unesco.org/culture/ich/en/Decisions/8.COM/11)). * The Secretariat applies cost recovery on funds allocated for financial assistance from the Intangible Cultural Heritage Fund (**action completed**). | |
| **Recommendation 2: We recommend that the convention secretariats, where applicable, explore more efficient ways of obtaining advisory services and consider potential chargeback mechanisms to the nominating States Parties and/or earmarked fund and formulate proposals to the respective Governing Bodies for possible economies and financial sustainability in the advisory service fees.** | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** |
| (e) During its sixth session, the Committee took note that ‘the consolidation of evaluation of all nominations within a single body would produce significant economies, while offering other advantages; reaffirm[ed] its recommendation to the General Assembly along those lines (Decision 6.COM 15); and further consider[ed] that potential chargeback mechanisms to the nominating States Parties and/or earmarked funds, as suggested in Recommendation 2, would not therefore be needed’ (Decision 8.COM 5.c.2). | November 2014 | | * The General Assembly, at its fifth session, adopted amendments to the Operational Directives to establish a single Evaluation Body ([Resolution 5.GA 5.1](http://www.unesco.org/culture/ich/en/Resolutions/5.GA/5.1)). * The first Evaluation Body was established in November 2014 ([Decision 9.COM 11](http://www.unesco.org/culture/ich/en/Decisions/9.COM/11)), which evaluated the files for the 2015 cycle (**action completed**). |
| **Recommendation 3: We recommend that the 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.** | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** |
| Establish a Culture Conventions Common Service Platform. | July 2014 | | * Common Services Unit established in July 2014 (**action completed)**. |
| **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.** | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** |
| The Conventions Common Services Unit will be in charge of developing the coordinated fund-raising strategy for all conventions and resource mobilization. | 2016-2017 | | * CCS has prepared a document on resource mobilization working principles, outlining the basic principles, approaches and tools that would be contained in a common resource mobilization strategy for the Culture Conventions. The document has been shared with the 2005 and 2003 Convention Secretariats for comments and will also be discussed with BSP/CFS prior to finalization. * The Panorama table prepared by CCS summarizing the different objectives and obligations of each Convention in terms of resource mobilization, as well as the potential for each Convention to attract funding, has been updated to include recent developments. * The workflows proposed by CCS concerning private sector resource mobilization are being revised, taking into account the experience gathered since the CCS Unit was set up. * CCS collaborates with ITH in the development of a communications and outreach strategy * CCS prospects for private sector partners with a potential interest in ITH, with the objective of identifying five to seven potential partners during this biennium. |