

## FACT SHEET

QUESTIONNAIRE TO BE FILLED OUT BY THE SECRETARIATS OF UNESCO'S INTERNATIONAL AND INTERGOVERNMENTAL BODIES

### **2003 Convention for the Safeguarding of the Intangible Cultural Heritage:** **General Assembly of the States Parties to the Convention** **and Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage**

#### **1. Committee/Institute/Convention/Commission/Programme**

a. Mandate and objectives:

- The General Assembly is the sovereign body of the Convention, according to the Article 4 of [the Convention](#).

The General Assembly gives strategic orientations for the implementation of the Convention and elects the 24 members of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage.

- The core functions of the Committee, according to the Article 7 of [the Convention](#), are to:

- 1) promote the objectives of the Convention, and to encourage and monitor the implementation thereof;
- 2) provide guidance on best practices and make recommendations on measures for the safeguarding of the intangible cultural heritage;
- 3) prepare and submit to the General Assembly for approval a draft plan for the use of the resources of the Fund;
- 4) seek means of increasing its resources, and to take the necessary measures to this end;
- 5) prepare and submit to the General Assembly for approval operational directives for the implementation of this Convention;
- 6) examine the reports submitted by States Parties, and to summarize them for the General Assembly;
- 7) examine requests submitted by States Parties, and to decide thereon, in accordance with objective selection criteria to be established by the Committee and approved by the General Assembly for: inscription on the lists and proposals and the granting of international assistance.

b. Do you have specific goals for the work foreseen in the current biennium?

- [The sixth session of the General Assembly](#) took place from 30 May to 1 June 2016 where the following items were dealt with:

- 1) Election of the Bureau
- 2) Distribution of seats in the Committee per electoral group
- 3) Report of the Committee to the General Assembly
- 4) Report of the Secretariat on its activities
- 5) Revision of the Operational Directives for the implementation of the Convention

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- 6) Accreditation of non-governmental organizations to act in an advisory capacity to the Committee
- 7) Use of the resources of the Intangible Cultural Heritage Fund
- 8) Election of the members of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage

The eleventh session of the Committee took place from 28 November to 2 December 2016, and the twelfth session will take place from 4 to 8 December 2017. The eleventh session dealt with the following items (see the [11.COM Agenda](#)):

- Adoption of the summary records of the tenth session of the Committee
- Report by the Secretariat on its activities: The Committee examined a report on the activities of the Secretariat from January to June 2016, including the Secretariat's support of the Convention's governance and other mechanisms as well as the implementation of the global capacity-building strategy.
- Voluntary supplementary contributions to the Intangible Cultural Heritage Fund
- Follow-up to the recommendations of the External Auditor's 'Report on the governance of UNESCO and dependant funds, programmes and entities' (Document 38C/23)
- Clarification on the decision making process concerning inscription, selection, or approval, of nominations, proposals and requests
- Reports of States Parties
  - a. Examination of the reports of States Parties on the implementation of the Convention and on the current status of elements inscribed on the Representative List of the Intangible Cultural Heritage of Humanity
  - b. Examination of the reports of States Parties on the current status of elements inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding
  - c. Reports of States Parties on the use of International Assistance from the Intangible Cultural Heritage Fund
- Report of the Evaluation Body on its work in 2016
  - a. Examination of nominations for inscription on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding
  - b. Examination of nominations for inscription on the Representative List of the Intangible Cultural Heritage of Humanity
  - c. Examination of proposals to the Register of Best Safeguarding Practices
- Establishment of the Evaluation Body for the 2017 cycle
- Number of files submitted for the 2017 cycle and number of files that can be treated in the 2018 and 2019 cycles
- Preliminary expert meeting on developing an overall results framework for the Convention
- Intangible Cultural Heritage in emergencies
- Date and venue of the twelfth session of the Committee

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— Election of the members of the Bureau of the twelfth session of the Committee

The Committee during its twelfth session is expected to deal with:

- Adoption of the summary records of the eleventh session of the Committee
- Report of the Committee to the General Assembly
- Report by the Secretariat on its activities: The Committee will examine a report on the activities of the Secretariat from January to June 2017.
- Draft plan for the use of the resources of the Intangible Cultural Heritage Fund in 2018–2019
- Voluntary supplementary contributions to the Intangible Cultural Heritage Fund
- Follow-up to the recommendations of the External Auditor's 'Report on the governance of UNESCO and dependant funds, programmes and entities' (Document 38C/23)
- Reports of States Parties
  - a. Examination of the reports of States Parties on the implementation of the Convention and on the current status of elements inscribed on the Representative List of the Intangible Cultural Heritage of Humanity
  - b. Examination of the reports of States Parties on the current status of elements inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding
  - c. Reports of States Parties on the use of International Assistance from the Intangible Cultural Heritage Fund
- Report of the Evaluation Body on its work in 2017
  - a. Examination of nominations for inscription on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding
  - b. Examination of nominations for inscription on the Representative List of the Intangible Cultural Heritage of Humanity
  - c. Examination of proposals to the Register of Best Safeguarding Practices
  - d. Examination of international assistance requests
- Establishment of the Evaluation Body for the 2018 cycle
- Number of files submitted for the 2018 cycle and number of files that can be treated in the 2019 and 2020 cycles
- Reflection on the transfer of an element from one List to the other and the removal of an element from a List
- Developing an overall results framework for the Convention – the Committee will discuss the results of an open ended working group on this issue to be organized in June 2017
- Intangible Cultural Heritage in emergencies – including presenting examples on the role of communities in both safeguarding their intangible cultural heritage at risk in emergencies and mobilizing it as a tool for preparedness, resilience, reconciliation and recovery

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- Date and venue of the thirteenth session of the Committee
- Election of the members of the Bureau of the thirteenth session of the Committee

c. Number of members and length of mandate periods for members

GA: [171 States Parties to the Convention](#)

COM: States Members to the Committee are elected for a term of four years, and every two years, the General Assembly shall renew half of them. A State Member of the Committee may not be elected for two consecutive terms. (Article 6 of the Convention)

Committee Members	Terms of office
<b>Group I</b>	
Austria	2016 - 2020
Cyprus	2016 - 2020
Turkey	2014 - 2018
<b>Group III</b>	
Colombia	2016 - 2020
Cuba	2016 - 2020
Guatemala	2016 - 2020
Saint Lucia	2014 - 2018

<b>Group V(a)</b>	
Congo	2014 - 2018
Côte d'Ivoire	2014 - 2018
Ethiopia	2014 - 2018
Mauritius	2016 - 2020
Senegal	2016 - 2020
Zambia	2016 - 2020

Committee Members	Terms of office
<b>Group II</b>	
Armenia	2016 - 2020
Bulgaria	2014 - 2018
Hungary	2014 - 2018
<b>Group IV</b>	
Afghanistan	2014 - 2018
India	2014 - 2018
Mongolia	2014 - 2018
Philippines	2016 - 2020
Republic of Korea	2014 - 2018
<b>Group V(b)</b>	
Algeria	2014 - 2018
Lebanon	2016 - 2020
Palestine	2016 - 2020

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d. Are the members organized by electoral groups?

- N/A

- Yes (see above) - The election of Members of the Committee shall be conducted on the basis of the electoral groups of UNESCO, as determined by the UNESCO General Conference at its most recent session ([Rule 13.1](#) of the Rules of Procedure of the General Assembly)

e. Intergovernmental or personal capacity/expert capacity of members

- The General Assembly elects the Chairperson and Rapporteur on personal capacity and the Vice-Chairpersons on intergovernmental capacity.

- The Committee elects the Chairperson and Rapporteur on their personal capacity and the Vice-Chairpersons on intergovernmental capacity

f. Have chairperson or/and Members States received introduction to the work and working methods?

- The Secretariat sends a welcome letter to a new State Party to the Convention, which brings their attention to the Basic Texts of the Convention and giving them the contact of the officer that is available to support them.

The Chairperson is only elected at the opening of the Session he is chairing and therefore cannot receive an introduction before.

- During a preparatory mission to Addis Ababa (in April 2016) the Secretary of the Convention had face-to-face discussions with the Chairperson on agenda items, the role of the Chairperson, the Rules of Procedure of the Committee and the working methods.

- For States Members of the Committee, an Information and Exchange Session and an Orientation Session are organized before the sessions of the Committee.

g. Are Observers authorized to participate and/or take the floor?

- The representatives of Member States of UNESCO not party to the Convention, of Associate Members of UNESCO and of permanent observer missions to UNESCO may participate and take the floor in the work of the Assembly as observers, without the right to vote. ([Rule 2.2](#))

- States Parties to the Convention which are not Members of the Committee, States not party to the Convention which are Member States of UNESCO or of the United Nations, Associate Members of UNESCO, Permanent Observer Missions to UNESCO, representatives of the United Nations and organizations of the United Nations system as well as intergovernmental organizations, public and private bodies and

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private persons whose observer status was approved by the Committee may attend the sessions of the Committee as observers and participate, without the right to vote. They may not take the floor during the adoption of decisions. ([Rule 8](#))

h. Meeting frequency and length

- The General Assembly meets in ordinary session every two years for 3-4 days and may convene extraordinary sessions if it deems it necessary or at the request of either the Committee or of at least one-third of the States Parties ([Article 4.2](#) of the Convention).
- The Committee meets in ordinary session every year for approximately 5 days ([Rule 2.1](#))

i. How many languages are interpreted during the meetings?

- 6 Languages - Arabic, Chinese, English, French, Russian and Spanish ([Rule 10](#)).

The two working languages (English and French) with the use of funds from the Regular Programme , and additional languages if extrabudgetary funds are offered by donors. ([Rule 41](#))

j. Where do the meetings take place?

- UNESCO Headquarters

- Any State Member of the Committee may invite the Committee to hold an ordinary session in its territory. In determining the place of the next ordinary session, the Committee shall give due regard to the need to ensure an equitable rotation among the different regions of the world. If such invitation is not received Committee meetings are held at UNESCO Headquarters ([Rule 4](#))

k. Overall budget, including corresponding funding sources broken down as follows:

Biennium approximate figures	RP	Other sources
Organizing meetings	US\$1,645,000	US\$1,200,000 (this figure does not include Host Country costs)
Operational activities	N/A	US\$2,900,000 - Implemented by the Secretariat US\$ 5,100,000 – International Assistance available to finance projects from ICH Fund
UNESCO staff (approximate budget in lump sum)	US\$2,750,000	US\$2,000,000 Of which dedicated to statutory meetings:

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	Of which dedicated to statutory meetings: US\$1,500,000	US\$850,000
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**2. Bureau (if any)**

- a. Number of members, mandate period, number of times for possible reelection  
 - According to [Rule 3](#), the Assembly shall elect a Chairperson, (a) Vice-Chairperson(s) and a Rapporteur. In practice 6-7 members one from each electoral group. The duration of the mandate is the duration of the session of the General Assembly.  
 - 6-7 members; 1 year; the bureau members shall be eligible for immediate re-election for a second term of office, provided that the country that each represents continues to be a State Member of the Committee at least until the end of the new term of office. ([Rule 12.1](#))
- b. Intergovernmental or personal capacity/expert capacity?  
 - The General Assembly elects the Chairperson and Rapporteur on personal capacity and the Vice-Chairpersons on intergovernmental capacity.  
 - The Committee elects the Chairperson and Rapporteur on personal capacity and the Vice-Chairpersons on intergovernmental capacity.
- c. Meetings frequency and length  
 - The Bureau meets twice in the morning of the second and third day of the General Assembly for about 30 minutes.  
 - The Bureau usually meets 3-4 times a year, for half a day face to face meeting and holds two to three electronic consultations ([Rule 12.3](#)).
- d. Are observers allowed to participate and/or speak?  
 - N/A  
 - Meetings shall be open to Committee Members and States Parties as observers, unless decided otherwise by the Bureau. Observers may address the Bureau only with the prior consent of the Chairperson. ([Rule 12.4](#))
- e. Interpretation during the meetings? - Yes - Yes
- f. How many languages interpreted during the meetings?  
 - Two: English and French  
 - Two: English and French. ([Rules 41](#))

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- g. Where do the meetings take place?
  - UNESCO Headquarters
  - UNESCO Headquarters & electronic consultations

### 3. Rules of procedure

- a. Who adopts the rules of procedure?
  - The General Assembly adopts its own Rules of Procedure ([Article 4 of the Convention](#)).
  - The Committee adopts its own Rules of Procedure ([Article 8 of the Convention](#))
  
- b. Preparation of meeting
  - i. Who decides agenda?
    - The Director General through the Secretariat based in accordance to Rules of Procedure, Operational Directives, decisions of the Committee and previous resolution of the General Assembly.
  
    - The Director General through the Secretariat

According to Rule 9 of the Rules of Procedure:  
The Director-General shall prepare the provisional agenda of the sessions of the Committee (Article 10.2 of the Convention).

The provisional agenda of an ordinary session of the Committee shall include:

    - (a) all questions that the Committee, at previous sessions, has decided to place thereon;
    - (b) all questions proposed by States Members of the Committee;
    - (c) all questions proposed by States Parties to the Convention which are not Members of the Committee;
    - (d) all questions proposed by the Director-General.

The provisional agenda of an extraordinary session shall include only those questions for the consideration of which the session has been convened.
  - ii. When are documents sent out?
    - At least thirty days before the opening of the session of the Assembly. ([Rule 16.3 \(i\)](#))
    - At the latest four weeks before the beginning of the session. ([Rule 42](#))



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- iii. Are they sent out in paper form?
- Documents are published on the website of the Convention: paper copies are printed only upon previous request.
  - Only to members of the Committee if requested in advance; otherwise documents are available online on the website of the Convention on the dedicated page of the Committee
- iv. Can you opt out of receiving printed documents? - See above.
- v. Who decides the timetable?
- The Secretariat
  - The Bureau ([Rule 12.2](#))
- vi. Who convenes the meeting?
- The Secretariat
  - The Chairperson of the Committee ([Rule 3](#))
- vii. Do you open up for video meetings?
- This has not been the case up to now
  - electronic consultations for Bureau meetings (through email exchanges)
- viii. Can there be extraordinary sessions? - Yes
- i. If yes: how?
- The General Assembly shall meet in ordinary session every two years. It may meet in extraordinary session if it so decides or at the request either of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage or of at least one-third of the States Parties. ([Article 4.2 of the Convention](#))
- At the request of at least two thirds of the States Members. ([Rule 2.2](#))
- ix. Do you appoint sub groups or sub committees?
- Yes
  - Yes, the Committee may establish such subsidiary bodies as it deems necessary for the conduct of its work ([Rule 21](#)) and on a temporary basis, whatever ad hoc consultative bodies it deems necessary to carry out its task ([Article 8.3](#) of the Convention and [Rule 20](#))
- Currently:

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- According to paragraphs 26 to 31 of the Operational Directives, currently the Evaluation Body is established every year by the Committee to evaluate files to the four mechanisms of the Convention and make recommendations to the Committee.
- By its [Decision 11.COM 10](#), the Committee decided to “establish an informal ad hoc working group, to be convened by the Chair of the next session of the Committee, which would meet intersessionally to examine the issues related to the consultation and dialogue between the Evaluation Body and the submitting States, the decision-making process of the Committee on nominations, proposals and requests, as well as any other issue in order to strengthen the implementation of the Convention; and to submit its recommendations to the Committee at its next session with a view to presenting revisions of the Operational Directives to the General Assembly”

i. If so for what duration and for which tasks?

According to the [Article 5](#) of the Convention:

1. An Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage, hereinafter referred to as ‘the Committee’, is hereby established within UNESCO. It shall be composed of representatives of 18 States Parties, elected by the States Parties meeting in General Assembly, once this Convention enters into force in accordance with Article 34.
2. The number of States Members of the Committee shall be increased to 24 once the number of the States Parties to the Convention reaches 50.

- The Evaluation Body is established every year by the Committee and serves for one year. The duration of office of each member of the Evaluation Body shall not exceed four years. Every year the Committee when it reestablishes the Evaluation Body renews one quarter of the members of the Body (Operational Directives para. 28)

The informal ad hoc working group has been established de facto of one year since it will have to give its recommendations to the 12.COM

c. Decision-making

i. Who prepare draft decisions?

- [The Secretariat](#)

- The Secretariat and Evaluation Body in case of nominations, proposals and requests

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- ii. Until when can member states suggest new draft decision or amendments?  
- As a general rule, no draft resolution or amendment shall be discussed or put to the vote unless it has been circulated reasonably in advance to all participants in the working languages of the Assembly. ([Rule 11.2](#))  
- Until the decision concerned is adopted.
- iii. Are observers allowed to participate and/or speak?  
- No. The observers do not have the right to vote.  
- No. The observers do not have the right to take the floor during the adoption of decision.
- iv. How are decisions adopted? - Consensus is privileged.  
The Assembly shall not decide on any matter unless a quorum is present.  
In the case of voting:  
Decisions shall be taken by a majority of the States present and voting, except for the provisions for:
1. The decision concerning the amount of the contributions, in the form of a uniform percentage applicable to all States which have not made the declaration referred to in paragraph 2 of Article 26 of the Convention, shall be determined by a majority vote of the States Parties present and voting which have not made the above-mentioned declaration. ([Rule 12.3](#))
  2. The Assembly may amend these Rules of Procedure by a decision taken in plenary meeting by a two-thirds majority of the representatives of States present and voting. ([Rule 18](#))
  3. The General Assembly may suspend the application of any of these Rules of Procedure, except when they reproduce provisions of the Convention, by a decision taken in plenary meeting by a two-thirds majority of the States Parties present and voting. ([Rule 19](#))
- Consensus is privileged.  
In case of voting:  
Each State Member has one vote.  
- Decisions by a simple majority (13) ([Rule 37](#))  
- Some by a two-thirds majority (16)  
    Amendment to the Rules of Procedure ([Rule 48](#))  
    Convening an extraordinary Committee session ([Rule 2.2](#))  
- Decision of the Election of members of the Evaluation Body is taken by secret ballot. ([Rule 39 B](#))

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#### 4. Relation to General Conference and Executive Board and to other intergovernmental organs

- a. Do you formally submit proposals for the program and budget of UNESCO (C/5)?
  - As a Chairperson, no. (the Secretariat, yes)
- i. If yes, how?
  - The Secretariat prepares for submission to the Board a draft programme of work for the Organization with corresponding budget estimates. The proposed programme takes into account the Decisions of the Committee and Resolutions of the General Assembly.
- b. How do you follow-up the General Conference's resolutions?
  - Include in the agenda items requested by the General Conference and debate those during the session (The Secretariat follows up with the preparation of the C4 and C5).
- b. Do you give input to the Executive Board in your field of competence?
  - As Chairperson when requested. The Secretariat provides inputs to answer questions from members States, proposes and reports on C5.
- c. Do you report on your activities to the General Conference and/or to the Executive Board more than once during each four year programme period?
  - According to the Article 30 of the [Convention](#) and the [Rule 46](#) of the Committee, on the basis of its activities and the reports by States Parties (...), the Committee shall submit a report to the General Assembly at each of its session, which shall be brought to the attention of the General Conference of UNESCO. Therefore, a report is send to the General Conference every two years.
- d. How do you follow-up the Executive Board decisions?
  - Include in the agenda items requested by the Executive Board and debate those during the session.
- e. Does a specific framework exist to collaborate with other international and intergovernmental bodies?
  - The Conventions Common Services Unit is established within the Culture Sector. This brings together the Secretaries of all the Conventions that discuss issues common to all the intergovernmental bodies. The Chairpersons of the culture conventions of the Culture Sector met once per year during 2015 and 2016.

#### 5. Any others comments regarding the governance of international and intergovernmental bodies

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During the eleventh session of the Committee, a few States Parties took the floor recognizing a number of achievements in improving the efficiency of the governing bodies of the 2003 Convention. At the same time they agreed that many of the recommendations of the External Auditor do not reflect the realities of intergovernmental bodies and reminded that the General Conference only adopted three of those recommendations. Furthermore, Committee Members expressed the need for a broader consultation process and therefore requested the Secretariat to include this item on the agenda of its twelfth session with a view to present it to the seventh session of the General Assembly of States Parties.

The document presented to the eleventh session of the Committee and the decision adopted can be found attached.

- 6. Please provide the reference and if possible hyperlink to the relevant statutory documents, including General Conference Resolutions establishing the bodies and relevant Executive Board decisions**

32/C Resolution 32: <http://unesdoc.unesco.org/images/0013/001331/133171E.pdf>

H.E. Mr Stanley Mutumba Simataa  
President of the General Conference  
Chairperson  
Working Group on governance, procedures and  
working methods of the governing bodies of  
UNESCO

cc. Permanent Delegation of Peru to UNESCO;  
Peruvian National Commission for UNESCO


January 18<sup>th</sup>, 2017

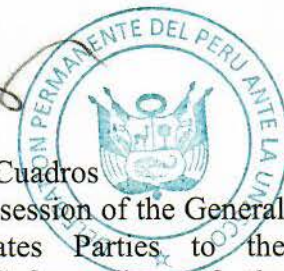
Dear Mr President,

With reference to your letters GBS/SCG/16/031 and GBS/SCG/16/054, respectively dated 6 April and 17 October 2016, please find enclosed the questionnaire filled out with the support of the Secretariat of the Convention for the Safeguarding of the Intangible Cultural Heritage as well as the report of the General Assembly of the States Parties to the Convention for the Safeguarding of the Intangible Cultural Heritage on its debate held as a follow-up to **38 C/Resolution 101**.

This item was discussed at the sixth session of the General Assembly of the States Parties to the Convention for the Safeguarding of the Intangible Cultural Heritage (6.GA), Headquarters, under item 'other business - Follow-up to the audit of the governance of UNESCO and dependent funds, programmes and entities', which was held from 30 May to 1 June 2016 at UNESCO. You will also find enclosed Resolution 6.GA 11 as well as Document ITH/16/6.GA/6, Annex I of which presents the implementation status of the twenty-four recommendations of the evaluation and the four recommendations of the audit report on the working methods of all six culture conventions.

Please accept, Mr President, the assurances of my highest consideration.

  
Jose Manuel Rodriguez Cuadros  
Chairperson of the sixth session of the General  
Assembly of the States Parties to the  
Convention for the Safeguarding of the  
Intangible Cultural Heritage



Enc. Report on the debates of 6.GA concerning the follow-up to 38 C/Resolution 101;  
Resolution 6.GA 11;  
Document ITH/16/6.GA/6

**Report on the debates of the sixth session of the General Assembly of the States Parties to the Convention for the Safeguarding of the Intangible Cultural Heritage concerning the follow-up to 38 C/Resolution 101 (Agenda Item 11)**

Item 11, '*Other business: Follow-up to the audit of the governance of UNESCO and dependent funds, programmes and entities*', was examined at the sixth session of the General Assembly of the States Parties to the Convention for the Safeguarding of the Intangible Cultural Heritage, which was held in June 2016.

Even though a specific item was not inscribed on the agenda of the session, the Report of the Secretariat included an Annex on the follow-up to the audits and evaluations, and the Committee's report presented to the Assembly indicated actions taken by the Secretariat and the Committee to improve the governance procedures and working of the governing bodies of the 2003 Convention. In particular, the following examples concern Recommendation number 3 of the said report: the use of electronic consultation for the Bureau of the Committee, for which the Assembly approved amendments to the Operational Directives increasing the delegation of authority to the Bureau; shorter sessions of the General Assembly and the Committee; and the online dissemination of documents, decisions and resolutions. The Secretariat prepared a working document on this issue to be discussed and examined during the eleventh session of the Committee, which was held later in the year, from 28 November to 2 December 2016.

Several Delegations took the floor on this item.

The delegation of **Philippines**, having attended the session of the General Assembly, suggested that in future sessions there should perhaps be greater intergovernmental preparation on substantive items on the agenda. This would avoid a situation in which there is a major focus on one particular part of our agenda, in this case the amendments to the Operational Directives. This could perhaps be avoided in the future by requesting that the Committee Members or Members of the Bureau consult widely with members of their regional groups before entering the General Assembly. Another issue raised during earlier discussions was that other cultural conventions had Operational Guidelines or Directives that might warrant discussion on the harmonization of procedures in adopting changes or amendments.

The delegation of **Sweden** thanked Cuba for taking the initiative to inscribe this item on this session, and thanked the Secretariat for its useful report on the ongoing work on governance. As stated by the Secretariat, the General Assembly passed a resolution in the General Conference that all intergovernmental bodies should report to the working group on governance. Since this General Assembly was precisely such an intergovernmental body, the delegation wished to know how – if this report was foreseen – it was going to work. With regard to the governance of UNESCO related to this Assembly, the delegation wished to highlight the need for harmonization between all intergovernmental bodies, especially in the Culture Sector. Common Rules of Procedure and working methods would facilitate the decision-making process and a common reporting format of the intergovernmental bodies would also be useful. The delegation recognized that the example made by the Secretariat, of linking its report so clearly to C/5, was an excellent method for enabling follow-up. Generally, in UNESCO and in the Culture Sector specifically, there was a need for the States Parties of the conventions to take decisions on the prioritization of activities and to decide where the focus should be, given the limited financial and human resources of the Secretariat.

The delegation of **Palestine** noted that both the Philippines and Sweden had insisted on the harmonization of the different cultural conventions in terms of their Operational Directives and other instruments. Sweden mentioned a common Rules of Procedure for the different assemblies of the conventions, although the delegation would not go that far. This was why Palestine proposed a new paragraph on this item, which had been given to the Secretariat.



Explaining the scope behind this proposal, the delegation referred to earlier interventions that spoke of creating a form of harmonization. Presenting some practical examples for simplifying the procedure and the participation of delegates in the different organs, the delegation explained that when this Assembly moved to a procedural motion, i.e. the adjournment of the debate, the motion needed to be seconded, whereas in other assemblies there was no seconded requirement for the same motion of procedure. Another example was the distribution of the working document to the Assembly: in some instances, a deadline was given, while in other cases it was not. Hence the rationale behind the delegation's simple proposal, which was purely technical, with the aim of simplifying the work of the delegations; this has been done in other assemblies, i.e. in the 1972 Convention and the 1954 Convention.

The delegation of **Cuba** recalled that at the 38<sup>th</sup> General Conference, in November 2015, Member States had approved a follow-up by the intergovernmental committees to the Auditor's report, as was presently the case. This had to be done at the General Conference and at the intergovernmental committees of the different cultural conventions, and as such, it should closely respect the relevant resolution. The delegation highlighted the importance of improving the governance system at UNESCO in order to deal with the challenges facing the Organization, including the 2030 Agenda for Sustainable Development.

The delegation of **Greece** remarked that since the Assembly was discussing governance issues in several conventions, it should also unite forces with other cultural conventions dealing with the protection of cultural properties in armed conflicts. The delegation explained that although intangible cultural heritage was not a property, it could still be very critically affected in armed conflict. It therefore sought a discussion on the possibility of working with the Hague Convention on the Protection of Cultural Property in the Event of Armed Conflict to find a way to work together to safeguard intangible cultural heritage during armed conflict, and most importantly, to use the great potential of intangible cultural heritage to overcome the impact of armed conflict on communities, groups and individuals, as this could restore their sense of identity and continuity. The delegation thus invited the Secretariat and the Committee to facilitate further deliberation and elaboration on the value of intangible cultural heritage, its safeguarding in cases of armed conflict, and its role in reconciliation, using any method deemed appropriate, e.g. by calling an expert meeting on the subject or any other such method.

The **Chairperson** now turned to the draft Resolution by Palestine, which was projected onto the screen.

The delegation of **Germany** made a comment on the second paragraph, proposing the 'improvement of coherence' as this was more logical than 'harmony'.

The **Chairperson** felt that it was a reasonable proposal to replace 'harmony' with 'coherence'.

The delegation of **Greece** concurred.

The delegation of **Palestine** asked whether the date proposed, 13 November 2017, might be too late. It asked the Secretariat whether, from a practical standpoint, the date ought to be changed.

The **Secretary** thanked Palestine for its question. In terms of receiving proposals, it was probably more useful for the Secretariat to receive them this year, adding that the Sector, and not just under the 2003 Convention, was expected to report back to the next sessions of the Executive Board and the General Conference. Thus, it would suit the Secretariat to receive suggestions or proposals earlier, which would give the team more time to work on them. The date was acceptable for the next General Assembly if this was the sole issue. However, in order to harmonize the work going on house-wide, it would be easier to receive the proposals towards the end of 2016, and possibly even before the Committee, as it would be interesting information to share.

The delegation of **Saint Vincent and the Grenadines** thanked Palestine for presenting this



draft Resolution and sought an explanation concerning paragraph 3, which read, 'Invites States Parties to communicate to the Secretariat proposals for the modification of its Rules of Procedure'. The delegation wondered whether this referred to the Rules of Procedure of the General Assembly or to the Rules of Procedure of the Committee.

The **Chairperson** believed that Palestine's proposal referred to the initiatives seeking to harmonize the Rules of Procedure.

The delegation of **Palestine** noted that the Philippines had an earlier request to speak.

The delegation of **Philippines** concurred with the Secretariat on the question of the deadline, adding that it would be better to receive the proposals sooner, also because of the process of the open-ended working group on governance, which would take two years to conclude its work, submitting its recommendations to the next General Conference in 2017. It suggested moving the deadline to 30 November 2016, so that the sub-group of the working group could also look at the proposals. However, additional proposals on other governance issues could also be welcomed that might improve the functioning of the General Assembly, and not just proposals on the Rules of Procedure.

The delegation of **Palestine** clarified that the last paragraph 3 requested suggestions on the Rules of Procedure of the General Assembly of the 2003 Convention so that they might be modified in conformity, or in coherence, with the other Rules of Procedure in order to simplify the work of the different assemblies by making them more similar. It noted that Sweden had spoken about a common Rules of Procedure, adding that, if it could be accomplished, this would be the ideal. The delegation recognized the many items included in the Rules of Procedure – for example the deadline for proposals and working documents, the official languages, the motions of procedures, and the vote by two-thirds majority, and so on – which differed from other assemblies. It clarified that the modifications were purely technical and did not affect the content of any convention. In addition, work on the Rules of Procedure might become an example to other conventions that were also modifying their Rules of Procedure. Thus, harmonization should not concern the content, but technical conformity among the UNESCO Conventions.

With regard to the question on governance, the delegation of **Cuba** felt that it was a rather limited approach to deal only with the Rules of Procedure. It added that when it came to governing bodies, the Committee and the Assembly should also be part of the consultation. The delegation sought to have a modern convention in terms of its regulation, operation and implementation. However, it seemed to be going further down the line and was not really in line with the General Conference Resolution, adding that the first paragraph should read, 'Recalling the General Conference Resolution from the 38<sup>th</sup> Conference'. The delegation also believed that the Assembly should not limit itself to the difficulties that exist within and between the different Rules of Procedures of the cultural conventions, even though the Assembly would not have a mandate to take a position on the other conventions and had to focus on the 2003 Convention. The Assembly should also exercise caution during the debate on the Auditor's report and not accept the recommendation to unify or to create only one Rules of Procedure or one session, as this issue required greater depth and analysis. To conclude, the Assembly should limit itself to the Rules of Procedures of the 2003 Convention and not the others, as its sole jurisdiction.

The **Chairperson** agreed that there was a need for a forum to discuss all these topics, and that the Assembly of the 2003 Convention could of course harmonize the Convention, but it did not have the mandate or jurisdiction to amend other conventions.

The delegation of **Egypt** agreed with the Chairperson and Palestine's proposal.

The delegation of **Netherlands** supported the suggestion by Greece to give more attention to intangible cultural heritage in armed conflict and to see how it can be linked with the Hague Convention.

The **Chairperson** thanked the Netherlands for its remark, which would be taken into

consideration in the summary report of the Assembly. The Chairperson then turned to draft Resolution 6.GA 11, in which the deadline had been amended from 2017 to 2016.

Following the explanation by Palestine and Cuba, the delegation of **Saint Vincent and the Grenadines** had a question for the Legal Advisor concerning paragraph 3. It questioned what was implied by inviting the Secretariat of the Culture Sector to harmonize the Rules of Procedures of all conventions, when the General Assembly could also change the Rules of Procedure.

The **Chairperson** agreed that this required a legal opinion, adding that it was clear that the Assembly could not take decisions regarding the Rules of Procedure of other conventions or other assemblies. Each assembly adopted decisions with respect to its own area of jurisdiction, and so could not approve a document referring to the Rules of Procedures and bodies of other conventions.

The **Secretary** concurred that some of the questions raised mirrored processes that were already ongoing and which were beyond the purview of the Assembly of the Convention. Thus, a request to the general Culture Sector would be difficult to adopt as a resolution given that it concerned all six of the cultural conventions, and the issue was up for discussion in the Executive Board and in the Open-Ended Working Group on the governance, procedures and methods of work of the governing bodies of UNESCO. The Secretary understood that the text proposed by Palestine related to the Rules of Procedure of the General Assembly of the 2003 Convention, reminding the Assembly that the Rules of Procedure of the Committee was adopted by the Committee itself, not by the General Assembly. Nevertheless, whether purely on procedural or other governance issues, the Assembly had to move the discussions through the Committee and then back to the General Assembly.

The **Chairperson** thanked the Secretary for the clear answer and moved to the adoption of draft Resolution 6.GA 11. With no objections or comments, the **Chairperson declared Resolution 6.GA 11 adopted.**

The resolution was adopted as below:

## **RESOLUTION 6.GA 11**

The General Assembly,

1. Noting the disparity of the rules of procedure of the different organs of the UNESCO cultural conventions,
2. Aiming at the improvement of coherence in the procedures of the above-mentioned organs in order to bring closer the conduct of business in these organs,
3. Invites States Parties to communicate to the Secretariat by 30 November 2016 proposals for the modification of its Rules of Procedure and requests the Secretariat to prepare a working document reflecting the proposals received and to present it at the seventh session of the General Assembly.



United Nations  
Educational, Scientific and  
Cultural Organization



Intangible  
Cultural  
Heritage

**6 GA**

**ITH/16/6.GA/6**  
**Paris, 29 April 2016**  
**Original: English**

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

**GENERAL ASSEMBLY OF THE STATES PARTIES TO THE CONVENTION**

**Sixth session**  
**UNESCO Headquarters, Room II**  
**30 May to 1 June 2016**

**Item 6 of the Provisional Agenda:**  
**Report of the Secretariat on its activities**

**Summary**

The present document reports activities carried out by the Secretariat from June 2014 to June 2016.

**Decision required:** paragraph 89

1. Since the time of its previous report to the fifth session of the General Assembly in June 2014 (Document ITH/14/5.GA/4.3), the Secretariat has provided a detailed report on its activities in 2014 to the ninth session of the Committee ([Document ITH/14/9.COM/6](#)) and a cumulative report on its activities during the 2014-2015 biennium to the tenth session of the Committee ([Document ITH/15/10.COM/7.b](#)). The present report updates the latter report and presents activities carried out by the Secretariat from June 2014 to June 2016.
2. The structure of the present report seeks to reflect the extent of the Secretariat's work during the reporting period based on the results framework adopted within the Organization's Programme and Budget 2014–2017 ([Document 37 C/5 Approved](#)), and more specifically, the eight performance indicators of Expected Result 6 within Major Programme IV: National capacities strengthened and utilised to safeguard intangible cultural heritage, including indigenous and endangered languages, through the effective implementation of the 2003 Convention, also evident in the SISTER programme that supports its implementation. This structure constitutes the overarching framework for all of the Secretariat's activities, whether funded from UNESCO's Regular Programme or from a variety of extrabudgetary sources. The report also contains two annexes dedicated to the follow-up on the Internal Oversight Service's (IOS) audits and evaluations.
3. The present report should be read in tandem with the following documents: the report of the Committee to the General Assembly on its activities ([Document ITH/16/6.GA/5](#)), the financial report of the Convention's Fund for the Safeguarding of the Intangible Cultural Heritage included in Document [ITH/16/6.GA/9](#) and the Director-General's periodic reports to the Executive Board on the execution of the programme adopted by the General Conference (EX/4).

#### **I. Duties, structure and composition of the Secretariat**

4. The primary responsibilities of the Secretariat, as set out in the Convention, are to assist the Committee and to 'prepare the documentation of the General Assembly and of the Committee, as well as the draft agenda of their meetings, and [...] ensure the implementation of their decisions' (Article 10 of the Convention).
5. 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 regional groups. A new Secretary of the Convention who is also Chief of the Section was appointed in January 2016.
6. The Programme Implementation Unit is responsible for the preparation, efficient conduct and follow-up of meetings of the Governing Bodies of the Convention. The Unit also undertakes treatment of nominations to the Lists of the Convention, International Assistance requests, proposals for Best Safeguarding Practices presented by States Parties, as well as requests for accreditation and renewal of non-governmental organizations and periodic reports; the organisation of thematic meetings and other processes that allow reflection on and development of the Convention also falls under the responsibilities of this Unit, together with overall reporting and fundraising at the Main Line of Action level.
7. The Capacity-building and Heritage Policy Unit is responsible for development and coordination of the global strategy for strengthening national safeguarding capacities to translate the principles of the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage into policies and programmes at country level. As such, it assumes coordination of the planning, implementation, monitoring and reporting of capacity-building programmes undertaken by the Section, Field Offices and Member States. It is also entrusted to develop training materials, maintain the network of expert facilitators and upgrade their competencies.
8. As of this date, the Section includes 13 established posts under the Regular Programme: 5 from 'general services' and 8 'professionals'. The Secretary of the Convention also functions as Chief of the Section; a Chief of Unit supervises each of the two units.

9. As explained in [Document ITH/13/9.COM/6](#), and in line with the restructuring plan approved by the Director-General, the Culture Sector established a Conventions Common Services Unit in mid-2014 aimed at providing all convention secretariats with a platform of pooled resources for several common needs linked to the logistical aspects of statutory meetings, as well as communication, outreach and partnerships. Since its establishment, the Unit has assisted the Section in the organization of statutory meetings particularly on logistical aspects and on 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 use of the Convention's emblem.

## II. Expected Result and Performance Indicators

10. The activities of the Secretariat are in line with the new eight-year [Medium Term Strategy \(2014–21\)](#) and the four-year Programme and Budget (2014–17) of UNESCO. The Approved Programme and Budget for 2014–2017 (37 C/5) contains one Main Line of Action: Supporting and promoting the diversity of cultural expressions, the safeguarding of the intangible cultural heritage, and the development of cultural and creative industries – for which one Expected Result on the 2003 Convention was established: National capacities strengthened and utilised to safeguard intangible cultural heritage, including indigenous and endangered languages, through the effective implementation of the 2003 Convention. The following eight Performance Indicators (PIs) have been developed for this Expected Result:
- PI 1        Governing bodies of the 2003 Convention exercise sound governance thanks to 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 safeguarding plans, including indigenous languages and endangered languages, developed and/or implemented by Member States;
  - PI 4        Number of International Assistance requests submitted and effectively implemented by Member States, nominations submitted by Member States and best practices submitted by Member States and disseminated by them and other stakeholders;
  - PI 5        Number of periodic reports on implementation of the Convention at national level submitted by States Parties and examined by the Committee, and those addressing gender issues and describing policies promoting equal access to and participation in cultural life;
  - PI 6        Number of States Parties to the Convention increased;
  - PI 7        Number of organizations within and outside the United Nations system, civil society, and the private sector contributing to programme delivery;
  - PI 8        Number of stakeholders involved in implementation of the Convention contributing information to the knowledge-management system.
11. A significant proportion of the services provided by the Secretariat – particularly relating to strengthening institutional and community capacities for effectively safeguarding intangible cultural heritage, raising awareness of such heritage and its significance, and disseminating information about best safeguarding practices – are only possible through the support of the line 'other functions of the Committee' of the Plan for the use of the resources of the Intangible Cultural Heritage Fund adopted by the General Assembly. The use of the funds that the fifth session of the General Assembly ([Resolution 5.GA 7](#)) allocated for this purpose was approved by the Bureau ([Decision 9.COM 2.BUR 1](#)) based in a proposal that already fully integrated the principles of results-based management and was expressed in terms of results, outputs and indicators. Footnotes in this document establish the link between these indicators and those at the MLA level.

12. In order to illustrate the performance indicators identified to measure the achievement of the Expected Result, the following narrative includes both qualitative and quantitative information.

**Performance Indicator 1: Governing bodies of the 2003 Convention exercise sound governance thanks to effective organization of their statutory meetings**

13. The Secretariat's support to the Convention's governance mechanisms is most visible immediately before and during the actual sessions of the Committee and General Assembly, but indeed takes place throughout the year and often over the course of several years. For example, nominations assessed by the Evaluation Body in 2015 included three dating from 2012, one from 2013 and seven from 2014. Even while the Evaluation Body met to evaluate nominations for examination by the Committee at its tenth session in 2015, the Secretariat was simultaneously treating nominations submitted for possible examination in 2016 and 2017.
14. During the 24-month reporting period, the Secretariat organized 15 physical statutory meetings and four electronic consultations of the Bureau<sup>1</sup>:

Six meetings and four consultations of the governing bodies:

- fifth session of the General Assembly of the States Parties to the Convention for the Safeguarding of the Intangible Cultural Heritage (2 to 4 June 2014);
- ninth and tenth sessions of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage (24 to 28 November 2014 and 30 November to 4 December 2015);
- three meetings of the Bureau of the Committee (13 October 2014, 6 October 2015 and 4 December 2015) and four electronic consultations of the Bureau (June 2014; November 2014; June 2015; and March 2016).

Six meetings for advisory services:

- meeting of the Subsidiary Body (1 to 5 September 2014);
- meeting of the Consultative Body (8 to 11 September 2014);
- four meetings of the Evaluation Body (3 and 4 March 2015; 15 to 19 June 2015; 9 to 11 September 2015; and 10 and 11 March 2016).

Three expert meetings as requested by the Committee:

- one expert meeting on safeguarding intangible cultural heritage and sustainable development at the national level, Istanbul, Turkey (29 September to 1 October 2014);
- one expert meeting on a model code of ethics for intangible cultural heritage, Valencia, Spain (30 March to 2 April 2015);
- one expert meeting on developing a follow-up and evaluation mechanism for capacity-building activities, Paris, France (1 to 3 June 2015).

15. The fifth session of the General Assembly, where more than 600 delegates and observers participated, in June 2014, debated 15 agenda items and sub-items over the course of 4 days, electing 12 new members of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage and adopting important revisions to the Operational Directives for the implementation of the Convention – notably, the creation of a single 'Evaluation Body' (numbering 6 experts representing States Parties to the Convention non-members of the Committee and 6 accredited non-governmental organizations) whose task is to evaluate all nominations, proposals and requests to the Convention's mechanisms for international cooperation.

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<sup>1</sup>. Virtual consultations are organized in two working languages (English and French) and require the same amount of preparation by the Secretariat as for physical statutory meetings.

16. The ninth session of the Committee in November 2014 held at UNESCO headquarters was the largest ever, with more than 1,070 delegates from 138 countries. Examining 29 agenda items including sub-items over the course of 5 days, the Committee welcomed significant progress made in implementation of the Convention and expressed its appreciation of the overall strategy of capacity-building set up by UNESCO to support States and communities in their safeguarding efforts. Although the tenth session of the Committee in November-December 2015 coincided with the 2015 United Nations Climate Change Conference (COP21) held in Paris, it still gathered 476 delegates from 109 countries. It examined 30 agenda items including sub-items over the course of 5 days, endorsed twelve ethical principles for safeguarding intangible cultural heritage and approved for submission to the present General Assembly draft Operational Directives on safeguarding intangible cultural heritage and sustainable development at the national level. In anticipation of the ninth and tenth sessions of the Committee, information and exchange meetings were organized respectively on 3 November 2014 and 6 October 2015 to present the provisional agenda and timetable, as well as practical information facilitating the participation of Member States to the sessions of the Committee.
17. In March 2015 and 2016, the Secretariat organized two orientation meetings for the evaluation bodies, which aimed to present the nature and procedures of the tasks to be accomplished and provide a general overview of the files for examination during the following months. Such meetings further determined their working methods and schedule in preparation for the evaluation meetings held in June 2015 and September 2015 for the 2015 cycle and in June and September 2016 for the 2016 cycle. In preparation for these evaluation meetings of advisory services, the Secretariat treated all documents received from State Parties concerning nominations and requests and made them available through a dedicated online interface for members of the evaluation bodies.
18. The Secretariat's assistance to the General Assembly, Committee and advisory bodies includes all logistical arrangements to allow those bodies to work under conditions most conducive to fruitful debate. Notable among these are the travel arrangements for experts representing States Parties or accredited non-governmental organizations based in developing countries and participating in the sessions of the Committee and its advisory bodies (over 200 trips in the reporting period).
19. The Secretariat is also responsible for providing the working documents of the statutory bodies in English and French for the Committee, and in six languages (also Arabic, Chinese, Russian and Spanish) for the General Assembly, as well as simultaneous interpretation in those same languages during the sessions. Extrabudgetary support has to be mobilized in order to provide interpretation at sessions of the Committee in languages other than English and French. During this reporting period, unlike earlier periods, such support was only obtained for Arabic interpretation at the ninth session of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage.
20. An important part of the Secretariat's work in preparing documentation of the statutory bodies comes with the treatment of nominations to the List of Intangible Cultural Heritage in Need of Urgent Safeguarding and 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 Secretariat had been unable to meet the deadlines set out in the Operational Directives for the treatment of files until the 2015 cycle. However, the treatment of the nominations for the 2016 cycle is on track with the Secretariat having managed for the first time to send letters by the deadline of 30 June 2015 to submitting States concerning information needed to complete their files. The treatment of the nominations for the 2017 cycle is ongoing at the time of writing this report.
21. Category VI expert meetings are organized upon the request of the Committee to provide recommendations with regard to specific issues and themes, which may also provide orientation and support to State Parties pertaining to safeguarding plans and measures. At the request of the Committee, UNESCO organized an expert meeting on safeguarding intangible cultural heritage and sustainable development at the national level in Istanbul,

Turkey, from 29 September to 1 October 2014, generously funded and hosted by the Turkish National Commission for UNESCO ([http://www.unesco.org/culture/ich/index.php?meeting\\_id=00454](http://www.unesco.org/culture/ich/index.php?meeting_id=00454)). The meeting drew up preliminary recommendations for a possible new chapter of the Operational Directives, which were discussed by the Committee first at its ninth session ([Document ITH/14/9.COM/14.b](#)); the tenth session of the Committee then approved them for submission to the present session of the General Assembly ([Decision 10.COM 14.a](#)). Furthermore, responding to the Committee's request in Decision 7.COM 6 and to the generous invitation of Spain, the Secretariat organized an expert meeting in Valencia, Spain, from 30 March to 2 April 2015 to initiate work on a model code of ethics that will assist in improving the quality of safeguarding efforts worldwide ([http://www.unesco.org/culture/ich/index.php?meeting\\_id=00463](http://www.unesco.org/culture/ich/index.php?meeting_id=00463)). Based on the outcomes of the expert meeting, a set of twelve principles have been elaborated to guide efforts from States Parties to integrate ethical considerations in the safeguarding of the intangible cultural heritage. These twelve ethical principles have been endorsed by the Committee at its tenth session and the Secretariat was requested to develop an online platform with a toolkit based on the ethical principles and comprising practical guidance and examples of existing codes of ethics to facilitate the development of specific codes by national and local entities ([Decision 10.COM 15.a](#)). In addition, an expert meeting held in Paris from 1 to 3 June 2015 was organized with the primary aim of following up on the impact of the capacity-building of the Convention (see paragraph 29). Following the decision of the tenth session of the Committee ([Decision 10.COM 9](#)), the Secretariat started to prepare an expert meeting to discuss the development of an overall results framework for the Convention, to be held in the second half of 2016 with generous financial support from China. This meeting shall lay the foundation for constructing a framework with clear objectives, time-frames, indicators and benchmarks. Finally, the expert meeting on intangible cultural heritage and climate change ([Decision 8.COM 12](#)), originally scheduled for the first half of 2015, did not take place as the funding proposed by Viet Nam for this purpose has not yet become available.

22. The Cultural Convention Liaison Group (CCLG), comprising of the heads of the Convention Secretariat and established in 2012 to increase coordination among conventions, continues to hold regular meetings to identify potential synergies. Furthermore, during the 39th session of the World Heritage Committee in Bonn, Germany, the Chairs of the six UNESCO culture conventions (or their representatives) met for the first time on 29 June 2015 to discuss ways of working together more effectively. In the context of the 70th anniversary of UNESCO, this provided a unique opportunity to reflect on the future of the Organization's standard-setting actions in the face of contemporary challenges and emerging needs. This is particularly important as the international community has adopted the United Nations 2030 Agenda for Sustainable Development, in which linkages between culture, development and peace are more fully recognized and projected forward. At the conclusion of the meeting, the Chairs released a [statement](#) outlining their concerns and emphasizing the need for a renewed political will to support UNESCO's culture conventions and encouraging the United Nations to ensure that the protection, safeguarding and understanding of cultural and natural heritage, cultural diversity and creative expressions worldwide be recognized as a cross-cutting issue in the implementation of the 2030 Development Agenda.



**Performance Indicator 2: Number of supported Member States utilizing strengthened human and institutional resources for intangible cultural heritage and integrating intangible cultural heritage into national policies<sup>2</sup>**

23. The Convention's global capacity-building programme continues to support countries with the development of their national policies and human and institutional resources for safeguarding intangible cultural heritage. Responding to the recommendations of the Internal Oversight Service's comprehensive 2013 evaluation of the impact and effectiveness of the 2003 Convention ([Document ITH/13/8.COM/INF.5.c](#)), the Committee specifically asked the Secretariat to ([Decision 8.COM 5.c.1](#)):

- strengthen support to countries in developing policies and legislation for intangible cultural heritage;
- establish a follow-up and evaluation mechanism for capacity-building activities to gather data about their effectiveness;
- constantly adapt the content and format of the Convention's capacity-building programme to respond to the major implementation challenges at the national level.

**(i) Capacity-building services effectively delivered to beneficiary countries**

24. As explained extensively in previous reports to the Committee and the General Assembly, the delivery of capacity-building services in countries is at the heart of the capacity-building strategy, often bundling several complementary country programmes within a larger multi-country package implemented by one or more Field Office(s). Typically such a project extends from 24 to 36 months and aims to address the most urgent requirements in a single country:

- revision of policies and legislation;
- redesign of institutional infrastructures;
- development of inventory methods;
- development of safeguarding measures and plans; and
- effective participation in cooperation mechanisms of the Convention.

All activities within the strategy aim at fully mobilizing all stakeholders (government, civil society and communities) in the decision-making, administration and practical aspects of safeguarding intangible cultural heritage, with due respect to gender equality in terms of different needs, aspirations, capacities and contributions.

25. Capacity-building activities were initiated or implemented in about 70 countries over the last two years, covering all regions of the world. Africa received particular attention in this regard, with 25 beneficiary countries. The capacity-building support took diverse forms; for example, some of them were short-term projects initially only with needs assessment or covering one theme, others were multi-year projects with several training components; projects were funded by extrabudgetary resources, regular budget of UNESCO, with national matching funds in some cases; self-benefitting funded projects were also implemented.

26. One important improvement over the course of the biennium concerns the introduction of in-depth needs assessments in the project elaboration phase. This new approach facilitates collaborative planning with national counterparts from the start, affords time to clarify the scope and possibilities for support under the global strategy beforehand, strengthens

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<sup>2</sup>. This performance indicator also reflects the outcomes of the Secretariat's work under the Expected Result 1 'Capacity-building programme strengthened to effectively support countries in developing their national policies and human and institutional resources for intangible cultural heritage' of the results framework that was approved by the Bureau (Decision 9.COM 2.BUR 1) and that guides the Secretariat's utilization of the funds made available from the Intangible Cultural Heritage Fund for 'other functions of the Committee' for the periods of 1 January 2014 to 31 December 2015 and 1 January to 30 June 2016.

cooperation among national and local partners and ensures that future projects reflect the needs and priorities of the beneficiaries. Such needs assessments were completed in 10 countries. In this regard, the dedicated multi-year needs assessment project carried out 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 Culture Authority Funds-in-Trust was innovative and exemplary.

27. Training workshops are the most visible delivery modality of the global programme. However, other support is provided, taking the form of advisory services, for policy and legal development. Among the training workshops carried out during the reporting period, community-based inventorying were most frequent. Analytical reports from expert facilitators explain how this component plays a key role in helping countries establish or revise a framework and methodology for inventorying intangible cultural heritage with the participation of communities, groups and relevant non-governmental organizations. The training and pilot activities are typically restricted to a specific region of the country, since the methodology requires participation of communities at local level. Beneficiary countries then use the new knowledge to replicate a similar process in other regions as part of their safeguarding strategies.

**(ii) Follow-up and evaluation mechanism established and implemented for capacity-building activities to gather data about their effectiveness**

28. The Secretariat advanced the establishment of a follow-up and evaluation mechanism for capacity-building activities to gather data about their effectiveness ([Decision 8.COM 5.c.1](#)) by organizing a workshop bringing together in June 2015 national counterparts (including National Commissions for UNESCO), expert facilitators and UNESCO colleagues working in the different regions of the world to develop the conceptual framework and indicators. This initiative should now continue within the framework of a larger exercise that is planned for in the second half of 2016 to construct an overall results framework of the Convention so as to ensure a coherence of approach in terms of objectives, time-frames, indicators and benchmarks. In the meantime, the Secretariat intends to pilot tracer studies in selected number of countries that have benefitted from the capacity-building activities.

**(iii) Expert facilitators' network and relevant education institutions strengthened**

29. With a pool of more than 80 expert facilitators from every region of the world, the Secretariat is drawing upon a large resource of expertise when designing and delivering capacity-building activities. Their analytical reports, often on training activities but also on needs assessments, provide a precious source for monitoring and adapting the programme.
30. Expert facilitators from three regions benefitted from workshops to assess lessons learnt from delivering capacity-building services, update their knowledge on recent developments in the life of the Convention and train them on newly developed curriculum materials in areas of safeguarding plans, gender and policy advice. The learning is mutual. While expert facilitators strengthen their knowledge on the subject matter, they at the same time provide valuable advice to UNESCO colleagues from Headquarters and Field Offices on how to further improve the formats and content of the capacity-building strategy. The Secretariat was able to organize three regional workshops during the reporting period thanks to the generous support from different host institutions:
- Review meeting with expert facilitators implementing capacity-building services in Europe and Central Asia, hosted by the Regional Centre for the Safeguarding of Intangible Cultural Heritage in South-Eastern Europe in Sofia, Bulgaria, in September 2014.
  - Workshop on safeguarding plans and policy support for intangible cultural heritage for experts facilitators from the Asia-Pacific Region, hosted by the International Training Centre for Intangible Cultural Heritage in the Asia-Pacific Region (CRIHAP) in Shenzhen, China, from 19 to 23 January 2015.

- Workshop on supporting policy development in the field of intangible cultural heritage with expert facilitators implementing capacity-building in Africa, hosted by the National Centre of Research on Prehistory, Anthropology and History (CNRPAH) in Algeria and the *Manifestation Constantine, capitale de la culture arabe 2015* in Constantine, Capital of Arab Culture 2015.
- In regions where the demand for capacity-building exceeded the availability of expert facilitators, the Secretariat expanded the network, which was the case for Asia and the Pacific, where four newcomers integrated in the network through their participation in the above-mentioned workshop in Shenzhen. In the Caribbean, mentoring was used to expand the network by bringing on board three incoming experts during the reporting period: an active participant in a capacity-building programme accompanied a senior facilitator in training activities in another country, allowing him or her to acquire the skills required to become a future facilitator. The UNESCO Offices in Harare and Windhoek, with funding from Flanders (Belgium), followed yet another approach. They identified strong participants from capacity-building activities previously implemented in a number of countries in southern Africa, in order to train them to be the future trainers for their respective countries.

31. The Secretariat recognizes the critical role of universities and other relevant institutions in training future decision-makers, administrators and actors in the field of intangible cultural heritage, which are an important complement to UNESCO's capacity-building efforts in this area. Therefore, the Secretariat, through the UNESCO Bangkok office, convened a regional symposium for tertiary education institutions in Asia and Pacific (2 to 3 November 2015) to encourage the development of postgraduate intangible cultural heritage programmes in universities of the region.

32. UNESCO's support for strengthening capacities for safeguarding extends beyond those activities it implements directly. In many countries, established universities or organizations can effectively integrate intangible cultural heritage into broader programmes in heritage. In this regard UNESCO provided advisory and technical support for the following capacity-building activities during the reporting period:

- A training for teachers and instructors from universities and specialized non-governmental organizations, hosted by the Norwegian Centre for Traditional Music and Dance in Norway, on community-based inventorying in Trondheim, Norway (October 2015).
- A capacity building workshop hosted by the Lombardy region in Italy and the canton of Graubünden in Switzerland on the implementation of the Convention in Tirano (province of Sondrio, Italy) and Valposchiavo, Switzerland (June 2015).
- A training on community-based inventorying for in-country stakeholders hosted by Monaco (October 2015).
- The first of a series of three capacity-building workshops for staff of the Hamdan Bin Mohammed Heritage Center in Dubai in the United Arab Emirates on the implementation of the Convention (October 2015).

**(iv) Content and format of the capacity-building programme reviewed and adapted**

33. 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](#)). This entails, for instance, updating all curriculum materials to reflect decisions of the Committee and General Assembly. The curricula are also being expanded to cover themes that are of high importance to States Parties. New training materials on gender and on policy development are now available and materials on sustainable development have been updated to reflect references to the recently adopted 2030 development agenda. Existing materials on preparing nominations are being revised to include thematic units on the effects of inscription and on periodic reporting of inscribed elements at the time of writing this report. In addition, new training materials on International Assistance requests are under

preparation. Furthermore, the Secretariat developed, tested and peer-reviewed comprehensive training materials on the developing safeguarding plans for intangible cultural heritage for a five-day workshop during this reporting period and organized a first training-of-trainers workshop on their use in January 2015 in Shenzhen, China. In order to help expert facilitators to familiarize themselves with these newly-developed training materials, the Secretariat has adopted a tailored approach providing training sessions in small numbers rather than organizing regional training of trainers workshops.

34. The formats and presentations of the curriculum materials are also subject to continuing improvement. A major restructuring of the materials began in late 2013 and was completed in 2015; converting them into a set of some 50 distinct units rather than four separate courses. In this manner, expert facilitators are now able to select from the sequence of units those that are best adapted to the particular needs of their trainees, assembling a workshop from the different building blocks that can respond to the circumstances and situation of each beneficiary country. All materials have been finalized in English and French during the reporting period with the majority also available in Arabic, Russian and Spanish.

**(v) Appropriate capacity-building formats and approaches developed and tested to support countries in the development of legislation and policy**

35. A priority has been the identification of appropriate capacity-building formats and approaches to support beneficiary countries in developing legislation and policy concerning intangible cultural heritage ([Decision 8.COM 5.c.1](#)). The Secretariat analysed approaches to policy advice that are used elsewhere in UNESCO and in other agencies to learn from them. It organized a workshop on 25 June 2014 at Headquarters with the participation of colleagues from the Secretariat of the 2003 Convention and that of the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions and guest speakers from United Nations Environment Programme (UNEP), UNESCO's Education Sector and the International Institute for Educational Planning (IIEP).
36. The reflections resulted in a comprehensive substantive UNESCO Guidance Note addressed to experts engaged by UNESCO to provide advisory services for policy development in the field of intangible cultural heritage. Accordingly, dedicated budgets for advisory services for policy and legal development were integrated in new multi-year projects developed for 13 countries during the reporting period and needs were assessed for policy development in a further 15 countries. Support to policy and legal development is ongoing in 24 countries in total.
37. The Secretariat has finalized in 2016 a thematic training unit on policy development for intangible cultural heritage, for use in workshops with national counterparts involved in policy-making, notably officials from the ministries in charge of policy decisions that affect the safeguarding of intangible cultural heritage and other key stakeholders. It draws upon the different papers commissioned by the Section on issues such as the comparative advantages of a stand-alone and comprehensive intangible cultural heritage policy versus the integration of intangible cultural heritage in other policies, either in or outside the field of culture, as well as on the outcomes of discussions held with expert facilitators and UNESCO colleagues from Field Offices at the workshop on supporting policy development in the field of intangible cultural heritage in Africa organized in Constantine, Algeria, in September-October 2015.

**(vi) Capacity-building programme planning, implementation and monitoring strengthened through improved information systems**

38. The organization, management and implementation of the capacity-building programme require the effective utilization of information systems. The Secretariat is, therefore, developing new information technology functionalities for monitoring and evaluation of capacity-building projects, for curriculum management and information-exchange among expert facilitators. The dedicated capacity-building web interface has been reviewed and the information on strategy and information on the expert facilitators' network updated, making



presentation more succinct and user-friendly. New web pages now provide consolidated information on projects implemented in cooperation with UNESCO. They present, in particular the budget and timing of all capacity-building projects managed by the Secretariat along with related news and meetings. A new functionality is available providing expert facilitators with improved access to capacity-building materials and a complementary tool is under development to help expert facilitators compose their workshops and download all related materials. New utilities to specifically facilitate the monitoring and evaluation of project activities allowing expert facilitators to report and provide information directly through online tools are in the making.

**(vii) Mobilizing resources for the implementation of the capacity-building strategy**

39. 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 strategy. In addition to support from the Intangible Cultural Heritage Fund through the budget line 'other functions of the Committee', as described above, supplementary voluntary contributions to the Intangible Cultural Heritage Fund and Funds-in-Trust contributions are essential to the success of capacity-building efforts. During the reporting period, eight donors have contributed to the implementation of the capacity-building strategy (Abu Dhabi Tourism & Culture Authority, Azerbaijan, Belgium [Flanders], Japan, Netherlands, Norway, Republic of Korea and Spain).
40. To inform donors of the funding requirements of the global capacity-building programme, the Secretariat developed a [Concept Note for the 2014–2017 Complementary Additional Programme](#) entitled 'Strengthening capacities to safeguard intangible cultural heritage for sustainable development', available for consultation on UNESCO's global partnership web page. The Concept Note was approved by the Committee at its ninth session in November 2014 ([Decision 9.COM 7](#)).

**Performance Indicator 3: Number of safeguarding plans, including indigenous languages and endangered languages, developed and/or implemented by Member States<sup>3</sup>**

41. More than 90 safeguarding plans have been developed and submitted by Member States during the reporting period, including safeguarding plans incorporated in International Assistance requests and nominations to the List of Intangible Cultural Heritage in Need of Urgent Safeguarding and Representative List of the Intangible Cultural Heritage of Humanity.
42. It is to be noted that a total of 81 elements that have been inscribed since 2008 on the Lists established under the Convention belong to the domain of oral traditions and expressions – for which indigenous and endangered languages are the primary vehicle. Safeguarding plans or sets of safeguarding measures have been developed by States Parties and submitted to the Committee as part of the inscription process for all of these elements.
43. The Committee at its eighth session in 2013 called upon States Parties and the General Assembly, as well as the Secretariat, category 2 centres, non-governmental organizations and all other stakeholders to '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.' and to 'strengthen informal sharing of interesting and innovative examples on working on the Convention, including about intangible cultural heritage safeguarding, development of policy and legislation, intangible cultural heritage and sustainable development, innovative partnerships and others' ([Decision 8.COM 5.c.1](#)).

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<sup>3</sup>. This performance indicator reflects the outcomes of the Secretariat's work under the Expected Result 3 'Guidance provided on best safeguarding practices and recommendations made on measures for the safeguarding of the intangible cultural heritage' of the results framework approved by the Bureau (Decision 9.COM 2.BUR 1).

44. Due to time constraints and lack of human resources, the Secretariat has however to date only been able to focus on the Register of Best Safeguarding Practices and on publishing the experiences of selected projects. This concerns the compilation of pedagogic materials about the methodologies and experiences of two safeguarding practices: ‘Education and training in Indonesian batik intangible cultural heritage in Pekalongan, Indonesia’ and ‘Fandango’s Living Museum’. For each practice, a brochure of some 30 pages is available in English and French, together with a 15-minute video and three-minute video on the Convention’s website (<http://www.unesco.org/culture/ich/en/Register>).
45. In addition, the periodic reports of States Parties on their implementation of the Convention at the national level as well as on the status of elements inscribed on the Urgent Safeguarding List constitute a rich and growing resource for drawing lessons about effective safeguarding practices and measures (Documents [ITH/14/9.COM/5.a](#), [ITH/14/9.COM/5.b](#), [ITH/15/10.COM/6.a](#) and [ITH/15/10.COM/6.b](#)). These reports offer a wide-ranging picture of safeguarding measures being used by States Parties and constitute a critical mass of experience. From the 2015 cycle, the Secretariat took the initiative to provide a summary of each report on the implementation of the Convention submitted in order to facilitate access to information. However, considering the low number of reports submitted by States Parties – for instance, only six of the 37 reports expected for the 2016 cycle were submitted – the potential of the periodic reporting mechanism as a resource of good practices has not been fully explored.

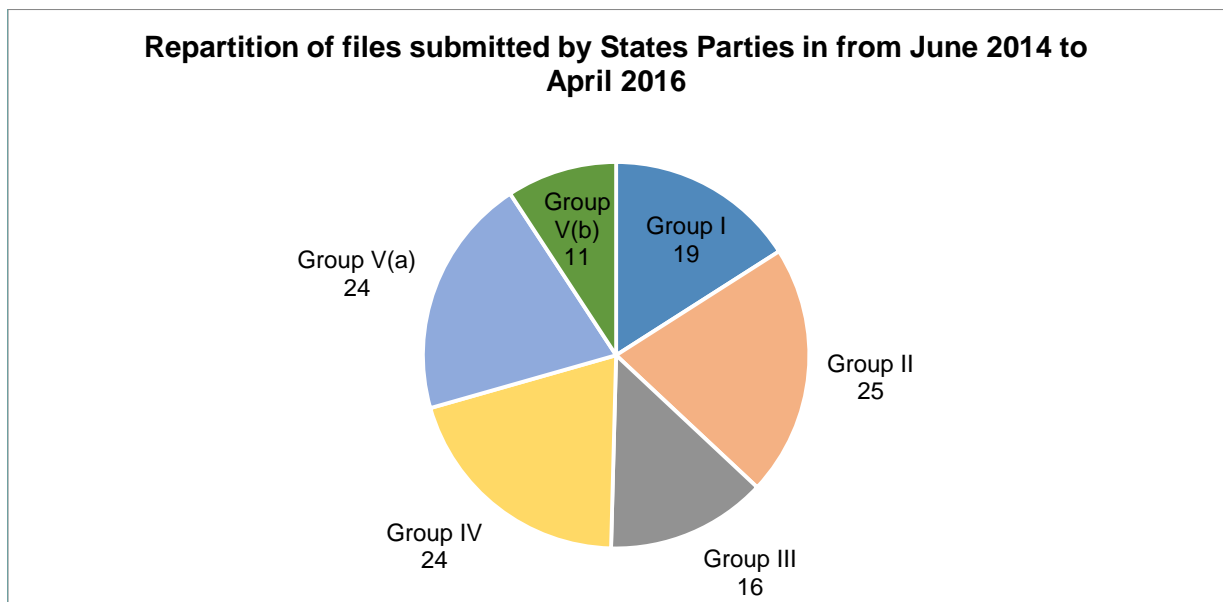
**Performance Indicator 4: Number of International Assistance requests submitted and effectively implemented by Member States, nominations submitted by Member States and best practices submitted by Member States and disseminated by them and other stakeholders**

46. During the reporting period, a total number of 124 files, including nominations to the List of Intangible Cultural Heritage in Need of Urgent Safeguarding and Representative List of the Intangible Cultural Heritage of Humanity, proposals to the Register of Best Safeguarding Practices and International Assistance requests, were submitted by State Parties to the Secretariat, as follows:

	2014 (from June 2014)	2015	2016
Representative List of the Intangible Cultural Heritage of Humanity	1	40	37
List of Intangible Cultural Heritage in Need of Urgent Safeguarding	-	7	5
Preparatory Assistance for elaborating a nomination for inscription on the Urgent Safeguarding List	-	1	-
List of Intangible Cultural Heritage in Need of Urgent Safeguarding combined with International Assistance	-	1	-
Register of Best Safeguarding Practices	-	6	1
International Assistance (requests greater than US\$25,000)	-	3	2
International Assistance (requests up to US\$25,000)	3	14	2
Emergency Requests	-	1	-

All of them have been or are being processed by the Secretariat.

47. The geographical distribution of the 124 files submitted<sup>4</sup> to the Secretariat during the reporting period demonstrates the participation of the six regional groups to the international mechanisms established by the Convention, as follows:



48. During the reporting period, a total of 20 requests for international assistance have been examined by the Intergovernmental Committee and Bureau of the eighth, ninth and tenth sessions of the Committee. As previously requested by the Bureau, the Secretariat assessed each of the requests to be examined to the Bureau and prepared a recommendation, which was then submitted to the Bureau for review. Fifteen of these requests were approved as follows:

	2014	2015	2016
Preparatory Assistance for elaborating a nomination for inscription on the Urgent Safeguarding List	1 <sup>5</sup>	1 <sup>6</sup>	-
International Assistance (requests greater than US\$25,000)	0	2 <sup>7</sup>	N/A
International Assistance (requests up to US\$25,000)	2	4	3
Emergency requests	0	2	-

49. At its ninth session in November 2014, the Intergovernmental Committee approved on an exceptional basis one International Assistance request due to special circumstances in the submitting State (Sudan). The Committee considered that this request still required further

<sup>4</sup>. The total of 124 files includes five multinational files involving States Parties from different regional groups.

<sup>5</sup>. The request for Preparatory Assistance for elaborating a nomination for inscription on the Urgent Safeguarding List was approved by the Bureau of the Committee in 2014 (Decision 9.COM 4.BUR/2). The corresponding contractual arrangements were completed and the assistance is currently being implemented until mid-2016.

<sup>6</sup>. The request for Preparatory Assistance for elaborating a nomination for inscription on the Urgent Safeguarding List was approved by the Bureau of the Committee in 2015 (Decision 10.COM 3.BUR/1). The corresponding contractual arrangements are under discussion with the State Party at the time of writing and the assistance is foreseen to be ongoing at the time of the present session of the General Assembly.

<sup>7</sup>. In addition, the Committee delegated its authority to the Bureau to take any appropriate decision regarding one request for International Assistance for an amount greater than US\$25,000.

improvement and delegated authority to the Bureau to approve the revised version ([Decision 9.COM 9.c.2](#)). With the assistance from the Secretariat and the Field Office such revised request was duly submitted to the Secretariat. The Bureau examined in October 2015 the revised request and considered that it satisfied the preoccupation of the Committee.

50. In order to improve the quality of International Assistance requests to be examined by the Committee and the Bureau, the Secretariat writes detailed and comprehensive letters indicating any missing information and advises the submitting State on how to improve the request so that it may be examined in the best possible situation. Furthermore, in response to the low number of International Assistance requests and the difficulties faced by States Parties to prepare requests that satisfy the criteria, as well as the administrative and financial regulations of UNESCO, the Committee asked the Secretariat to provide, on an experimental basis, technical assistance to States Parties wishing to elaborate such requests ([Decision 8.COM 7.c.](#)). The primary mode of technical assistance offered is consultation through e-mail, telephone and Skype, for up to 10 person-days of expert assistance over the course of three months. A longer period of assistance is made available as appropriate, including the possibility of a mission to provide the opportunity for the expert to work face-to-face with the national team preparing the request. To date the Secretariat implemented this new mechanism in nine countries, including six in Africa. Having received technical assistance, three States Parties in Africa submitted revised requests, of which one was an emergency request, and all three of them were approved by the Bureau in June and October 2015. Apart from one request which was cancelled at the request of the national authorities and another revised request which is under review by the Secretariat, the revisions of other four requests are on-going at the time of writing this report. All in all, initial results of technical assistance are positive and encouraging, and the approach being used seems to produce the desired improvement in the quality and fundability of the requests and in the likelihood of effective safeguarding.
51. To improve the effectiveness of this experimental mechanism, the Secretariat convened a workshop at UNESCO Headquarters from 20 to 22 July 2015, in order to train a core of facilitators and experts so that they can provide effective technical assistance to States Parties wishing to elaborate International Assistance requests, as requested by the Bureau in its [Decision 9.COM 2.BUR 1](#). Centring on experiences to date with the experimental mechanism to provide individualized technical assistance to States Parties requesting International Assistance from the Intangible Cultural Heritage Fund, the workshop also explored other efforts underway or planned by the Secretariat to (i) provide comprehensive information to States Parties about the criteria and procedures for requesting such assistance; (ii) develop practical tools to facilitate the preparation of timetables and budgets for International Assistance requests; and (iii) expand the existing curriculum materials of the global capacity-building programme to include in-depth treatment of International Assistance.
52. In order to provide guidance to Member States on how to prepare nominations to the List of Intangible Cultural Heritage in Need of Urgent Safeguarding and Representative List of the Intangible Cultural Heritage of Humanity, including the elaboration of safeguarding plans, and pursuant to the request of the eighth session of the Committee (Baku, Azerbaijan, December 2013), two aides-mémoires have been prepared by the Secretariat and made available on the website in 2014. A [third aide-mémoire](#) that provides submitting States with useful information when elaborating International Assistance requests including for the development of safeguarding plans was also prepared and made available online in English and French in 2015.
53. In conjunction with its decision at its eight session to create an integrated mechanism permitting States Parties to simultaneously nominate an element for inscription on the Urgent Safeguarding List and request International Assistance from the Intangible Cultural Heritage Fund to finance the proposed safeguarding plan, the Committee requested the Secretariat to create a combined ICH-01 and ICH-04 form accordingly and to report at its tenth session on the implementation of this mechanism ([Decision 8.COM 7](#)). As a result, the form ICH-01bis was elaborated by the Secretariat and was made available on the website in November



2014. At the time of writing, only one request using the new combined form ICH-01bis has been submitted to the Secretariat.

54. During the reporting period, eight elements were inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding which now numbers 43 elements, and 57 elements were inscribed on the Representative List of the Intangible Cultural Heritage of Humanity. Of the 167 States Parties (as at 23 March 2016), ten including three African States had their first inscriptions on the Representative List of the Intangible Cultural Heritage of Humanity in 2014 and 2015, which now totals 336 elements. At its seventh session, the Committee decided to establish an online resource, the Mechanism for Sharing Information to Encourage Multinational Files ([Document ITH/12/7.COM/14](#)), through which States Parties can, on a voluntary basis, announce their intentions to submit files and other States Parties may learn of opportunities for cooperation in elaborating multinational files. The Secretariat prepared this [online platform](#) and integrated it into the website in 2014. At the time of writing, three intentions to nominate an element have been included in the online platform.
55. Pursuant to the Committee's request for States Parties to avoid unnecessary reference in the titles of elements to specific countries or adjectives of nationality that may inadvertently provoke sentiments contrary to the Convention's principle of international cooperation ([Decision 9.COM 10](#)), the Secretariat has worked together with subsequent submitting States to align titles of nominations with the decision of the Committee.

**Performance Indicator 5: Number of periodic reports on the implementation of the Convention at the 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**

56. According to the Operational Directives and the guidelines adopted by the Intergovernmental Committee, the Secretariat informed the 19 States Parties that had ratified the Convention in 2007, the 19 States Parties that had ratified the Convention in 2008 and the 13 States Parties that had ratified the Convention in 2009 of the 15 December deadline for submission of their periodic reports one year prior to the deadline. To these 51 States should be added 37 States that, for different reasons, did not submit complete reports in previous cycles. The Secretariat prepared an *aide-mémoire* for completing the reporting form that provides submitting States with useful information when preparing their reports. Of the total 88 States Parties expected to submit their periodic reports for examination during the 2014, 2015 and 2016 cycles, 57 submitted a final report.
57. Of these 57 reports, 17 were final reports from States that had initially submitted them during prior cycles (1 in the 2012 cycle, 15 in the 2013 cycle, and 1 in the 2014 cycle) but wished to take additional time to provide missing information identified by the Secretariat. The remaining 40 reports were submitted for the first time in December 2013, December 2014 and December 2015; the Secretariat registered them, sent a letter to the States Parties to acknowledge receipt, and began its internal examination. In accordance with paragraph 165 of the Operational Directives, the Secretariat contacted those States Parties to inform them about missing information and advised them on how to complete their report. Thirty-four final reports were then submitted and, together with the 17 mentioned above, were examined by the Committee. Twenty-seven reports were examined by the Committee at its ninth session in 2014 and 24 reports were examined by the Committee in 2015. Furthermore, six reports (including three reports expected respectively in 2010, 2013 and 2014) will be examined by the Committee at its eleventh session in 2016. The Secretariat is working on systematically generating summaries of periodic reports to improve their accessibility.
58. Starting from 2014, in the overview of the reports the Secretariat has also included an in-depth study on a specific topic: inventory-making for the 2014 cycle and transmission and education measures for the 2015 cycle. For 2016, the Committee requested the Secretariat to prepare a 'cumulative focus on measures taken by States Parties concerning the integration of intangible cultural heritage and its safeguarding in cultural and other policies'.

This provides the Committee with a comprehensive cumulative analysis on those topics based on all reports submitted since the first cycle in 2011.

59. In addition to the reports on implementation of the Convention and in accordance with the Operational Directives (paragraphs 160 to 164), the Secretariat received a total of 18 reports on elements inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding:
- Of the 12 reports expected for elements inscribed in 2009, eight were submitted on time and examined by the Committee during the 2014 cycle.
  - Of the four reports expected for elements inscribed in 2010, only one was submitted, as well as two extraordinary reports for elements inscribed in 2013, which were examined by the Committee in 2015.
  - Of the 11 reports expected for elements inscribed in 2011, six reports submitted on time, as well as one report expected for an element inscribed in 2009, will be examined by the Committee in 2016.
60. At its tenth session in 2015, in accordance with the Operational Directives (paragraphs 168 and 169), the Committee examined the report submitted by a State non-party to the 2003 Convention on its two elements inscribed on the Representative List, which had previously been proclaimed Masterpieces. This report was duly submitted by the Russian Federation in December 2014.
61. Based on internal evaluation carried out by the Secretariat, 74% of reports examined by the Committee in 2014 and 29% reports examined in 2015 addressed gender issues and described policies promoting equal access to and participation in cultural life. Further detailed analysis of the reports is provided in Documents [ITH/14/9.COM/5.a](#) and [ITH/15/10.COM/6.a](#).

#### **Performance Indicator 6: Number of States Parties to the Convention increased**

62. During the reporting period, six countries newly ratified the Convention (Cabo Verde, Ghana, Guinea-Bissau, Ireland, Kuwait and Marshall Islands). At the time of writing, the total number of States Parties has reached 167. Meanwhile, the Secretariat continues efforts to further promote ratification of the Convention. For instance, the Secretariat supported the organization by the International Training Centre for Intangible Cultural Heritage in the Asia and the Pacific Region (CRIHAP) of a workshop in Sydney, Australia, in November 2015 for States of the Pacific region which have not ratified the Convention.

#### **Performance Indicator 7: Number of organizations within and outside the United Nations system, civil society, and the private sector contributing to programme delivery**

##### **(i) Category 2 centres supported to contribute to programme delivery**

63. The Convention's primary external partners are its network of category 2 centres under the auspices of UNESCO, established and funded by Member States to contribute to the achievement of UNESCO's objectives by way of global, regional, sub-regional or interregional activities. The Secretariat maintains active relations with eight such centres: seven are devoted exclusively to intangible cultural heritage and the eighth has a dual mandate in world heritage and intangible heritage. The Secretariat manages a dedicated web page (<http://www.unesco.org/culture/ich/en/Category2/>) with key documents for each centre including its recent work plans and annual reports, together with reference documents about the category 2 centre network.
64. During the reporting period, the Secretariat organized the second and third annual coordination meetings of category 2 centres in the field of intangible cultural heritage, respectively in June 2014 in Paris ([http://www.unesco.org/culture/ich/index.php?meeting\\_id=00436](http://www.unesco.org/culture/ich/index.php?meeting_id=00436)) and from 6 to 8 July 2015 in Guiyang, China, hosted by CRIHAP ([http://www.unesco.org/culture/ich/index.php?meeting\\_id=00478](http://www.unesco.org/culture/ich/index.php?meeting_id=00478)). These two coordination

meetings constituted platforms for participants to take stock of recent developments in the life of the Convention and larger trends underway at UNESCO concerning category 2 centres and to facilitate joint efforts for the integration of the Organization's medium-term strategy (37 C/4) and programme and budget (37 C/5) into the medium-term and short-term planning of the respective centres. It also offered the occasion to brief the centres fully about the new Integrated Comprehensive Strategy for Category 2 Institutes and Centres adopted in 2013 by the UNESCO General Conference ([37/C Resolution 93](#)), and the need for the centres to align their work plans to UNESCO's expected results in the field of intangible cultural heritage, in close coordination with the Intangible Cultural Heritage Section. Whereas the first two meetings in 2013 and 2014 aimed at establishing a common understanding of UNESCO's global strategy, the third annual meeting focused on peer-to-peer exchanges on the themes of information and networking, collaboration with UNESCO in the global capacity-building programme, programme planning and budgeting, governance, cooperation with Member States, and evaluation and renewal of category 2 centres. The fourth annual coordination meeting will be held immediately after the present session of the General Assembly on 3 June 2016 in Paris.

65. The evaluation and renewal process of the Regional Centre for the Safeguarding of the Intangible Cultural Heritage of Latin America (CRESPIAL) in Cusco, Peru, has been completed. A similar process for the International Research Centre for Intangible Cultural Heritage in the Asia-Pacific Region (IRCI) in Sakai, Japan, the International Information and Networking Centre for Intangible Cultural Heritage in the Asia-Pacific Region (ICHCAP) in Jeonju, Republic of Korea, and the Regional Heritage Management Training Centre "Lucio Costa" in Rio de Janeiro, Brazil are underway.

**(ii) Cooperation strengthened with organizations within the United Nations system**

66. With regard to questions of intellectual property, the Secretariat participated in an expert meeting convened in June 2014 by the United Nations Special Rapporteur in the field of cultural rights and the Office of the High Commissioner for Human Rights (OHCHR) on the 'the impact of intellectual property regimes on the enjoyment of the right to science and culture' within the framework of the International Covenant on Economic, Social and Cultural Rights (1976). Furthermore, the Secretariat collaborated with the World Intellectual Property Organization (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, from 23 to 24 April 2015. The workshop allowed mapping and analysis of some of the key issues related to harnessing intellectual property rights for safeguarding intangible cultural heritage, but also showed that more expert reflection and training is required to effectively advise States Parties of the 2003 Convention on this matter. Therefore, it was agreed with WIPO to collaborate on jointly developing training materials for capacity-building on this theme. The Secretariat also participated in a WIPO seminar organized from 23 to 25 June 2015 in Geneva, Switzerland, on issues relevant to the work of the Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore. The seminar contributed to the global debate initiated by WIPO on effective protection of traditional knowledge, traditional cultural expressions and genetic resources, exploring initial ideas for cooperation to create synergies with relevant standard-setting instruments, including the 2003 Convention. UNESCO will pursue this collaboration in the context of its capacity-building programme.
67. The Secretariat enhanced its cooperation with the World Bank for revision of the World Bank's environmental and social safeguarding policies, including its policy on physical cultural resources. In this regard, the Secretariat participated in the World Bank workshop on developing guidance for implementing the World Bank safeguarding standard for protecting cultural heritage in development projects, organized from 27 to 28 April 2015 in Paris, France. The Secretariat shared its expertise and made various suggestions to ensure that key principles of the Convention were reflected. The need for free, prior and informed

consent of indigenous people and local communities was particularly highlighted and was integrated in the draft [Environmental and Social Framework](#) developed by the World Bank.

68. Intangible cultural heritage is at the core of people's identity and has increasingly been targeted in conflicts and crisis situations over past years resulting in an increasing number of requests to the Secretariat to take action to safeguard intangible heritage in such contexts. While intangible cultural heritage cannot be disconnected from the communities who are its bearers, safeguarding intangible cultural heritage in a crisis situation means first and foremost to protect the bearers, i.e. the populations, from oppressive restrictions in engaging in their living heritage. Examining UNESCO's role and responsibilities for culture in conflict areas at its 196th session in April 2015 and at its 197<sup>th</sup> session in October 2015, the Executive Board of UNESCO invited the Director-General 'to continue and enhance efforts to protect culture in times of armed conflict and transition, notably by strengthening the capacity of UNESCO [...] through the operationalization of the relevant provisions of the various UNESCO cultural conventions', 'to enhance UNESCO's role within the United Nations system in order for the cultural dimension to be taken in due consideration' ([Decision 196 EX/29](#)) by 'embedding the protection of cultural heritage and cultural diversity in humanitarian action, global security strategies and peace building processes, by means of all pertinent United Nations mechanisms and in collaboration with the relevant United Nations Departments' ([Decision 197 EX/10](#)). To this end, the proposed 'Operational Directives on 'Safeguarding intangible cultural heritage and sustainable development at the national level' include dedicated provisions to peace and security (Document ITH/16/6.GA/7). At country level, considering UNESCO's mandate and operational means, the Secretariat is developing initiatives to integrate capacity-building for the safeguarding of intangible cultural heritage in emergency responses carried out by the international community. In Syria, a pilot capacity-building activity is under preparation in the context of a larger project funded by the European Union on emergency safeguarding of the Syrian cultural heritage. It aims to build knowledge of staff from international organizations, local NGOs and peacekeeping forces that intervene in conflict zones to understand the concepts and provisions of international law in the field of cultural diversity in general and intangible cultural heritage in particular, and enable them to act in support of its safeguarding. Given the limited scale of the human and financial resources UNESCO can realistically bring to bear, such upstream interventions offer the greatest likelihood of real impact and effectiveness. Based on the results of this pilot activity, the programme could be expanded to other crisis situations.

### (iii) Cooperation enhanced with civil society

69. According to the Operational Directives (paragraphs 90 and 96), non-governmental organizations shall be involved by States Parties in the implementation of the Convention at the national level, *inter alia* in identifying and defining intangible cultural heritage and in other appropriate safeguarding measures, and may be invited to provide advisory services to the Committee, as provided in Article 9 of the Convention. The General Assembly has to date accredited 178 non-governmental organizations, including 22 during the reporting period ([Resolution 5.GA 6](#)). In addition, at its tenth session in 2015, the Committee recommended to the present session of the General Assembly that 24 non-governmental organizations be accredited to provide advisory services to the Committee ([Decision 10.COM 16](#)).
70. Paragraph 94 of the Operational Directives foresees that every four years following accreditation of a non-governmental organization, the Committee reviews the contribution and commitment of the advisory organization and its relations with it, taking into account the perspective of the non-governmental organization concerned. In line with the Operational Directives, the renewal process was completed for the 97 non-governmental organizations accredited by the General Assembly in 2010 ([Resolution 3.GA 7](#)). The Secretariat reviewed the 69 reports submitted by these non-governmental organizations. In 2015, the Committee decided to terminate relationships with 38 organizations given that their contribution and commitment to the work of the Committee were deemed insufficient with reference to paragraphs 94 and 95 of the Operational Directives or given that they had not submitted any



quadrennial report allowing the Committee to appreciate their contribution and commitment to its work ([Decision 10.COM 16](#)).

71. Furthermore, considering that the network of UNESCO Chairs can serve as a bridge builder between academia, civil society, local communities, research and policy-making, the Secretariat reviews all applications to establish a UNESCO Chair in a field related to intangible cultural heritage, taking into consideration their potential and capacities to inform policy decisions, establish new teaching initiatives, generate innovation through research and contribute to the enrichment of existing university programmes while promoting the principles of the Convention at the regional or sub-regional levels and strengthening North-South-South cooperation. The network of UNESCO Chairs comprises 11 UNESCO Chairs carrying out activities related to the safeguarding of intangible cultural heritage in 11 different countries.

**Performance Indicator 8: Number of stakeholders involved in the implementation of the Convention contributing information to the knowledge management system**

**(i) Knowledge management services optimized and utilized for effective implementation and information-sharing<sup>8</sup>**

72. Knowledge management has become more and more indispensable as the Convention's growth continues, and management of the large quantity of information associated with the work of the Committee and General Assembly is made possible only through the Section's purpose-built knowledge management system supported entirely through the Intangible Cultural Heritage Fund. Based on [Resolution 5.GA 7](#) and Decision [9.COM 2.BUR 1](#) about the use of the resources of this Fund, work has continued since June 2014 on improving both the functioning of the Convention's knowledge management system and its usefulness and accessibility to its diverse constituencies.
73. In 2014, the Secretariat released dedicated web pages to present all of the projects undertaken by the Convention whether implemented by States Parties after approval of financial assistance requests by the Committee or implemented directly by UNESCO with financing from its regular programme budget or extrabudgetary funds. The online meeting registration tool was also enhanced to automatically inform Permanent Delegations of ongoing registrations.
74. The Secretariat launched in November 2015 a fully renovated website with the objective to improve browsing experience and provide more user-friendly interfaces. This website should allow States Parties members of the Secretariat and the public to follow more closely all the processes linked to implementation of the Convention (nominations under process, International Assistance requests and implementation status, capacity-building projects, status of States Parties vis-à-vis periodic reporting and linkage between inscribed elements and related periodic reports). This renovated website also includes a search engine to facilitate searches for web pages, elements, decisions, projects, etc. Simultaneously, all decisions of the Committee and resolutions of the General Assembly are being individually indexed in the database, which will considerably improve their accessibility.
75. Furthermore, intensive work is underway to provide easier access to statutory meeting documents and decisions. The Secretariat is processing all past statutory meeting documents to systematically insert cross-linking and include them into UNESDOC – the UNESCO-wide repository of documents.
76. In addition to improving access to existing information, the Secretariat is developing new online tools to elaborate and submit online International Assistance requests. This new functionality should significantly accelerate the circulation and treatment of these requests. By the end of the year, expert-facilitators will also be able to fill-in online their reports on

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<sup>8</sup>. This performance indicator reflects the outcomes of the Secretariat's work under the Expected Result 2 'Knowledge management services optimized and utilized for effective implementation and information-sharing' of the results framework approved by the Bureau (Decision 9.COM 2.BUR 1).

every workshop organized and the Secretariat will benefit from a new tool: a dashboard that will consolidate information on the diverse tasks each of the Section's staff members is responsible for, together with deadlines and status updates.

77. Overall, the number and type of stakeholders contributing to and benefitting from the knowledge management system are significantly increasing, from meeting participants (more than 1400 during the reporting period) to representatives of Member States requesting International Assistance (around 20 submissions a year), capacity-building facilitators and Evaluation Body members.

**(ii) Better visibility of intangible cultural heritage and awareness of its significance ensured through publication and dissemination<sup>9</sup>**

78. The editorial preparation of the [2014 edition of the Basic Texts of the Convention](#) – integrating the amendments to the Operational Directives adopted by the fifth session of the General Assembly and amendments to the Committee's Rules of Procedure adopted at its eighth session – was completed in the six working languages of the General Assembly. Electronic versions of these publications are made available online. Moreover, the information kit on the Convention has been reprinted with two additional thematic brochures on gender and sustainable development.
79. The website of the Section provides updated information on a regular basis with additional multilingual web content. For instance, 79 news items have been published during the reporting period (17 in the second half of 2014, 49 in 2015 and 13 in 2016 at the time of writing). Videos of elements inscribed on the Urgent Safeguarding List and Representative List are made available by the Secretariat through a cooperative arrangement with [YouTube](#). These continue month after month constituting more than 80% of videos viewed online from UNESCO – a remarkable rate (see the monthly reports of the Division of Public Information). The Committee's sessions also continue to rank among the highest-visibility events in UNESCO's calendar, with appreciable increases in web page visits and peaks of news coverage in print and electronic media.
80. The Secretariat also receives requests for patronage and use of the emblem of the Convention, which are then processed by the Conventions Common Services Unit. During the reporting period, 30 such requests were received and 27 resulted in the granting of the Convention's patronage. States that are granted patronage are requested to report on the use of the Convention's emblem and the relevant activities' impact on the visibility of UNESCO and the Convention with specific target audiences; the Intangible Cultural Heritage Section is making a systematic effort to collect such reports and make them available on the Convention's website. Furthermore, during the same period, the Intangible Cultural Heritage Section received 67 requests for the use of copyrighted multimedia materials available on the website of the Section. Fifty-eight such requests were approved for the use of a total of 1,156 photos and videos by external partners.

**III. Follow-up on audits and evaluations**

**A. Progress report on the twenty-four recommendations of the evaluation of UNESCO's standard-setting work of the Culture Sector, concerning the Convention for Safeguarding of the Intangible Cultural Heritage**

81. In line with its biennial plan for 2012-2013, UNESCO's Internal Oversight Service (IOS) completed in 2013 the evaluation of UNESCO's standard-setting work of the Culture Sector, Part I of this evaluation concerns the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage ([Document IOS/EVS/PI/129 REV.](#)). The purpose of the evaluation was to

<sup>9</sup>. This performance indicator reflects the outcomes of the Secretariat's work under the Expected Result 4 'Better visibility of the intangible cultural heritage and awareness of its significance ensured through publication and dissemination' of the results framework approved by the Bureau (Decision 9.COM 2.BUR 1).

generate findings and recommendations regarding relevance and effectiveness of the normative framework, with a focus on its impact on legislation, policies, and strategies of States Parties to UNESCO's culture conventions.

82. Preliminary findings were presented to the Executive Board at its 192nd session in 2013 ([Document 192 EX/5 Part II](#)) and the complete evaluation was presented to the Executive Board, at its 194th session in 2014, within the Annual Report of IOS ([Document 194 EX/22](#)). Annex III to Document 194 EX/22 includes the preliminary cross-cutting findings and conclusions related to the standard-setting work of the Culture Sector.
83. Furthermore, the evaluation was presented to the Committee at its eighth session in 2013 ([Document ITH/13/8.COM/5.c](#)). During that session the Committee considered the recommendations of the evaluation and adopted [Decision 8.COM 5.c.1](#). The table in annex I presents subsequent decisions by the Committee during its ninth and tenth sessions, planned actions with deadlines and the status of such actions taken for each of the twenty-four recommendations of the evaluation.

#### **B. Progress report on the follow-up on the four recommendations of the audit report of the working methods of all six culture conventions**

84. UNESCO's IOS completed in 2013 an audit of the working methods of all six cultural conventions in the field of culture to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work in the Culture Sector ([Document IOS/AUD/2013/06](#)). As a result, the audit generated four recommendations that essentially seek to streamline and rationalize various statutory processes and achieve cost efficiencies.
85. The IOS report, 'Audit of the Working Methods of Cultural Conventions' including the recommendations, was presented to the Committee at its eighth session ([Document ITH/13/8.COM/5.c](#)). During that session the Committee considered the recommendations of the audit and adopted [Decision 8.COM 5.c.2](#). A summary of the IOS report was also presented to the Executive Board at its 192nd session. The table in annex II presents subsequent decisions by the Committee during its ninth and tenth sessions and actions planned or taken and the status for the implementation of the Audit's recommendations.

#### **IV. Conclusion and prospects**

86. The Secretariat has concentrated its efforts around two pillars: support for the governance of the Convention (in particular the organization of General Assembly, evaluation bodies, Committee) and the treatment of nominations, requests and reports submitted through statutory mechanisms on one hand, and the expansion, on the other, of the capacity-building programme to a larger number of beneficiary countries. As a whole, steady progress has been made to meet the targets and benchmarks for the biennium and quadrennium. The principle that runs behind every aspect of the work of the Secretariat has been to provide with the most conducive environment for encouraging international cooperation and better implementation of the Convention at the national and international levels for the benefit of communities, groups and individuals for whom intangible cultural heritage is crucial for their identity and continuity.
87. Under the reporting period the Secretariat responded to the requests of the governing bodies by helping the international community to address a number of cross-cutting thematic areas such as sustainable development, codes of ethics, post-conflict and post-disaster management and the role of gender. In addition, improvements have been sought in terms of increasing the efficiency in supporting States Parties be it introducing new methodologies such as Technical Assistance for revising or elaborating International Assistance requests, streamlining of processes, or better access to information about the Convention. Similarly, action has been taken to start developing a monitoring mechanism that would allow qualitative and quantitative evaluation of the effectiveness both short-term and longer-term of

the capacity-building programme that should complement in the near future the development of an overall results framework of the Convention.

88. The situation concerning human resources of the Secretariat remains very difficult, given the high responsibilities and large volume of tasks assigned to it by the Convention, Operational Directives, governing bodies and the Organization. While the Secretariat is grateful for the support it is receiving from States Parties in the form of detachments, associate experts and project appointments, it must also be recalled that assignments of limited duration require a substantial investment in training and does not provide a sustainable solution. The financial constraints facing UNESCO call once again for creative solutions of focusing and prioritizing the Secretariat's work so that it can continue to be in a position to offer the highest quality service possible to the Committee, General Assembly and to Member States.
89. The General Assembly may wish to adopt the following resolution:

#### **DRAFT RESOLUTION 6.GA 6**

The General Assembly,

1. Having examined document ITH/16/6.GA/6,
2. Welcomes the new structure of the report of the Secretariat by performance indicators as well as the inclusion of the annexes of the report detailing follow-up actions carried out in response to the Internal Oversight Service's audits and evaluations;
3. Commends the Secretariat for ensuring the effective implementation of the decisions of the Committee and of the General Assembly as well as the efficient organization of statutory meetings, and appreciates a number of improvements made in the working methods of the Secretariat such as the provision of technical assistance, summaries for periodic reports, the timely treatment of nominations as well as a fully renovated website that facilitates access to existing information;
4. 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 level;
5. Thanks the States Parties that have generously provided extrabudgetary support to make the global capacity-building strategy possible and to support the other statutory functions of the Secretariat and invites 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;
6. Acknowledges that the Secretariat has made good progress in response to the recommendations of the IOS evaluation and audit as well as of its corresponding decisions, and wishes that such effort be continued as planned;
7. Takes note with interest that an expert meeting will be organised in the second half of 2016 in order to lay the foundation upon which an overall results framework of the Convention could be constructed and thanks the People's Republic of China for its generous offer of a voluntary supplementary contribution to the Intangible Cultural Heritage Fund to support the organization of such meeting;
8. Further appreciates the efforts of the Secretariat to coordinate the growing network of category 2 centres and stimulate their ability to contribute effectively to UNESCO's strategic objectives in the field of intangible cultural heritage;
9. Requests the Secretariat to report on its activities for the period between January 2016 and December 2017 for examination by the General Assembly at its seventh session, and to use this biennial format for future reports thereafter.



## 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 Safeguarding of the Intangible Cultural Heritage**

**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:** Reporting forms have been amended accordingly, and a new paragraph to be included in the Operational Directives has been submitted to the Committee at its ninth session (December 2014) for discussion and was endorsed at its tenth session (December 2015). Revised Operational Directives are submitted to the General Assembly for adoption at the present session in June 2016.

Actions Planned	Expected Date of Implementation	Status
Revise nomination forms ICH-01 (Urgent Safeguarding List) and ICH-02 (Representative List).	November 2014	<ul style="list-style-type: none"> <li>The gender specific guidance was integrated in October 2015 in the ICH-01 and ICH-02 nomination forms for the 2017 cycle (<b>action completed</b>).</li> </ul>
Revise Form ICH-10 on periodic reporting (Reports by States Parties on the implementation of the Convention).	November 2014	<ul style="list-style-type: none"> <li>ICH-10 form revised in December 2014 (<b>action completed</b>).</li> </ul>
Include gender paragraph in the draft Operational Directives on sustainable development.	June 2016	<ul style="list-style-type: none"> <li>In 2015, the tenth session of the Committee endorsed the amendment of the Operational Directives to include 'gender equality' in the section concerning 'Safeguarding Intangible Cultural Heritage and Sustainable Development at national level' (<a href="#">Decision 10.COM 14.a</a>).</li> <li>This amendment is submitted for adoption by the present session of the General Assembly in June 2016 (<a href="#">Document ITH/16/6.GA/7</a>).</li> </ul>

**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 Committee during its ninth 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. Revised Operational Directives are submitted to the General Assembly for adoption at the present session in June 2016.

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	<ul style="list-style-type: none"> <li>• The role of non-governmental organizations and community involvement was part of the training for expert facilitators for the Asia-Pacific (January 2015) and Africa (September 2015).</li> <li>• 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.</li> <li>• An independent training material unit on policy and legal development was made available in English in February 2016, integrating the importance of non-governmental organizations and community involvement. Other linguistic versions in French and Spanish of the training material are currently under preparation.</li> </ul>
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	<ul style="list-style-type: none"> <li>• The Committee during its ninth 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 (<a href="#">Decision 9.COM 13.a</a>). Revised Operational Directives are submitted to the General Assembly for adoption at the present session in June 2016.</li> </ul>
Integrate these aspects in the <i>aide-mémoire</i> for elaborating nomination files and for periodic reports.	October 2016	<ul style="list-style-type: none"> <li>• The February 2015 version of the <i>aide-mémoire</i> mentions in several places the importance of non-governmental organizations and community involvement.</li> <li>• If the amendments to the Operational Directives are adopted by the General Assembly the updated version of the <i>aide-mémoire</i> on periodic reporting will further emphasize the role of non-governmental</li> </ul>

		organizations.
<b>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.</b>		
<b>Management Response:</b> 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 (curriculum and training of trainers), and when developing new Operational Directives on Intangible Cultural Heritage and sustainable development.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops.	Ongoing	<ul style="list-style-type: none"> <li>• As regards the integration of intangible cultural heritage into non-cultural legislation and policy, greater cooperation with the sustainable development experts allowed: <ul style="list-style-type: none"> <li>– the elaboration of a new format for policy and legal support in the capacity-building programme</li> <li>– the elaboration of a dedicated unit (Unit 8) on intangible cultural heritage and sustainable development under the capacity-building material</li> <li>– the elaboration of a UNESCO guidance note on providing advisory services for policy development.</li> </ul> </li> <li>• 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.</li> </ul>
Develop new Operational Directives on Safeguarding Intangible Cultural Heritage and Sustainable Development.	June 2016	<ul style="list-style-type: none"> <li>• 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. (<a href="#">Decision 10.COM 14.a</a>);</li> <li>• Draft Operational Directives on Safeguarding Intangible Cultural Heritage and Sustainable Development at the national level are submitted for</li> </ul>

		adoption to the present session of the General Assembly in June 2016.
<p><b>Recommendation 4: Support State 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.</b></p>		
<p><b>Management Response:</b> The Secretariat is strengthening its policy and legal advisory services in all current and future capacity-building activities. New training material to be developed, training of trainers to be conducted accordingly.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Design and use new training materials.	February 2016	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Three papers were drafted on issues and experiences of policy and legal development in the field of intangible cultural heritage.</li> <li>• 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.</li> <li>• New training material for workshops with national counterparts on policy development was prepared and made available online in English in February 2016.</li> </ul>
Train trainers.	Ongoing	<ul style="list-style-type: none"> <li>• 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).</li> <li>• A training workshop for expert facilitators for Africa was held on ‘Supporting policy development in the field of intangible cultural heritage in Africa’ (September 2015).</li> </ul>
Integrate new specialized trainers in policy development in the network of trainers.	Ongoing	<ul style="list-style-type: none"> <li>• Four new trainers specialized in cultural policy development have been integrated in the Convention’s network of expert facilitators.</li> <li>• Trainers specialized in cultural policy will participate in a multi-year capacity-building project planned in countries from Asia and the Pacific.</li> <li>• Trainers will participate in future policy support activities of the</li> </ul>

		capacity-building programme.
<p><b>Recommendation 5: Cooperate with sustainable development experts when supporting State Parties with the integration of ICH into non-cultural legislation and policy, and with other work related to ICH and sustainable development.</b></p>		
<p><b>Management Response:</b> Sustainable development experts are being integrated in the Intangible Cultural Heritage UNESCO trainers' network, in order to complement those experts/trainers less familiar with the broader development issues. This should be considered in tandem with actions planned and undertaken in response to recommendation 3.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Publish and disseminate brochure 'Intangible Cultural Heritage and Sustainable Development' (ITH info kit).	October 2015	<ul style="list-style-type: none"> <li>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 (<b>action completed</b>).</li> </ul>
Revise final reporting template for training to include a question on participating sustainable development experts.	2016	<ul style="list-style-type: none"> <li>The template for reporting on training has been revised to include questions on expertise in different areas of sustainable development, and an online reporting tool is currently being developed to reflect these evolutions, and to facilitate data input, export and analysis.</li> </ul>
Guide for field offices to be elaborated.	March 2016	<ul style="list-style-type: none"> <li>The Intangible Cultural Heritage Section, having consulted its Field Offices, drafted a guidance note that has been disseminated to them together with the above-mentioned brochure.</li> </ul>
<p><b>Recommendation 6: Establish, with the full involvement of UNESCO field office and in cooperation with National Commissions, a follow-up mechanism for capacity building activities to gather data about their effectiveness.</b></p>		
<p><b>Management Response:</b> Consultations have to be conducted in order to put in place this follow-up mechanism. The mechanism should be in place on a pilot basis in a selected region by the end of the year.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Define the methodology and work plan to	June 2015	<ul style="list-style-type: none"> <li>The Intangible Cultural Heritage Section consulted IOS, expert</li> </ul>

align with overall theory of change.		facilitators, selected national counterparts and UNESCO Field Offices, who provided consultation on methodology; the work process is defined with a budget estimate ( <b>action completed</b> ).
Put in place the mechanism.	2016	<ul style="list-style-type: none"> <li>The mechanism is currently being put in place.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Initial adaptations reflected in updated logframe based on IOS evaluation.	Ongoing	<ul style="list-style-type: none"> <li>The progress and final reporting templates of capacity-building projects were revised with an updated logframe to include information of major implementation challenges at the national level.</li> </ul>
Review meetings and competence upgrading with expert facilitators and Field Offices.	Ongoing	<ul style="list-style-type: none"> <li>The Secretariat received recommendations for further revisions from Africa, the Arab Region, Asia and the Pacific, Central Asia and Europe.</li> </ul>
Draw lessons from a consolidated analysis of all expert facilitators' report by region.	2016	<ul style="list-style-type: none"> <li>A cross-regional analysis of the expert facilitators' reports is being finalized and will be shared with expert facilitators.</li> </ul>
Specific activities and financial provisions for policy assessments integrated in capacity building programme.	Ongoing	<ul style="list-style-type: none"> <li>The budget of new capacity-building projects systematically includes provisions for policy assessments/development.</li> </ul>
Introduce new units on gender, sustainable development and policy development.	February 2016	<ul style="list-style-type: none"> <li>New training units on gender (Units 48 and 49), as well as an information brochure on the topic in question made available in June 2015.</li> <li>A new training unit on sustainable development has been revised and aligned to the UN 2030 Sustainable Development Agenda and has been</li> </ul>

		<p>made available in February 2016.</p> <ul style="list-style-type: none"> <li>A training unit on policy development (Unit 55) has been prepared and made available in February 2016 (<b>action completed</b>).</li> </ul>
<p><b>Recommendation 8: Promote the USL by re-positioning it as an expression of State Parties' commitment to safeguarding and to the implementation of the Convention, and especially recognise those State Parties that submit nominations to the USL.</b></p>		
<p><b>Management Response:</b> Publication of digital version of USL is intended to put emphasis on its importance. All opportunities in communication, media, and speeches are seized in order to emphasise its importance.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Stop the publication of leaflet of yearly inscribed elements and publish Brochures only on Urgent Safeguarding List and Best Safeguarding Practices.	Ongoing	<ul style="list-style-type: none"> <li>Yearly publication on inscribed elements has stopped.</li> <li>Brochures on USL and BSP for elements and practices inscribed and selected in 2012 and 2013 have been published electronically in 2014. Electronic brochures on USL and BSP for elements and practices inscribed and selected in 2014 and 2015 are under preparation.</li> </ul>
USL, IA and RL purpose highlighted in presentations, speeches, media interviews, media kit, etc.	Ongoing	<ul style="list-style-type: none"> <li>The purpose of USL, IA and RL is highlighted in presentations, speeches, etc.</li> </ul>
<p><b>Recommendation 9: Clarify to State Parties and other stakeholders all misconceptions regarding the purpose and use of the Representative List.</b></p>		
<p><b>Management Response:</b> All opportunities in communication, media, and speeches are seized in order to emphasise the purpose and use of the Representative List.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Highlight USL, IA and RL purpose in presentations, speeches, media interviews,	Ongoing	<ul style="list-style-type: none"> <li>The purpose of USL, IA and RL is highlighted in presentations, speeches, media interviews, media kit, etc.</li> </ul>



media kit, etc.		
<b>Recommendation 10: Ensure that inscription of elements to the Representative List reflect more closely the criteria and procedures specified in Chapter I.2 of the Convention’s Operational Guidelines.</b>		
<b>Management Response:</b> To be applied by the Committee and its Evaluation Body; Secretariat includes this point in training sessions for Evaluation Body.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Prepare evaluation of the implementation of previous decisions of the Committee in connection with the inscription of elements, selection of proposals to the Register of Best Safeguarding Practices, and approval of requests for International Assistance.	December 2014	<ul style="list-style-type: none"> <li>The Secretariat prepared the evaluation and presented it as a working document for examination by the Committee at its ninth session (<a href="#">Document ITH/14/9.COM/13.d</a>) (<b>action completed</b>).</li> </ul>
Secretariat to include this point in training sessions for Evaluation Body.	Ongoing	<ul style="list-style-type: none"> <li>Members of the Evaluation Body trained in April 2015 and March 2016.</li> <li>New members of the Evaluation Body to be trained in each cycle.</li> </ul>
<b>Recommendation 11: Suspend the Subsidiary Body, so that all nominations are evaluated by one common and independent body.</b>		
<b>Management Response:</b> Operational Directives adopted for one single Evaluation Body and the new Evaluation Body started its operations in 2015.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Operational Directives adopted for one single Evaluation Body.	June 2014	<ul style="list-style-type: none"> <li>The General Assembly, during its fifth session, decided (<a href="#">Resolution 5.GA 5.1</a>) 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) (<b>action completed</b>).</li> </ul>
Single Evaluation Body operational.	October 2015	<ul style="list-style-type: none"> <li>The first Evaluation Body evaluated all files under the 2015 cycle (<b>action</b></li> </ul>

		completed).
<b>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.)</b>		
<b>Management Response:</b> Different stakeholders, and in particular NGO Forum, have to be consulted on lighter and alternative ways. Best practices can be identified through the analysis of periodic reports. Given limited financial and human resources, more substantial actions promoting examples of good safeguarding practices could not be initiated.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Consult different stakeholders, and in particular with NGO Forum, on lighter and alternative ways.	September 2014	<ul style="list-style-type: none"> <li>NGO Forum representatives were consulted in December 2013, Members of the Consultative Body in September 2014 and category 2 centres in October 2014 (<b>action completed</b>).</li> </ul>
Identify best practices through the analysis of periodic reports.	Ongoing	<ul style="list-style-type: none"> <li>The syntheses of the 27 and 24 periodic reports submitted for examination by the Committee at its ninth and tenth sessions respectively contain information on safeguarding practices.</li> </ul>
<b>Recommendation 13: Give priority to International Assistance requests within the ceiling of files to the Convention's mechanisms</b>		
<b>Management Response:</b> Was proposed by the Secretariat to the Committee at its eighth session ( <a href="#">Document ITH/13/8.COM/5.c</a> ) but not accepted by the Committee. The Secretariat is nevertheless giving important support to International Assistance request mechanism and follow-up.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Propose 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	<ul style="list-style-type: none"> <li>The proposal to increase the ceiling to US\$100,000 was endorsed by the Committee at its tenth session (<b>action completed</b>).</li> </ul>
Present to the General Assembly amendment of the Operational Directives to increase the ceiling of International Assistance requests	June 2016	<ul style="list-style-type: none"> <li>The General Assembly to approve at its current session in 2016 amendments to the Operational Directives (chapter I.8, I.10, I.14 and I.15) to increase the ceiling of International Assistance requests that can</li> </ul>

that can be approved by the Bureau (currently up to US\$25,000).		be approved by the Bureau to US\$100,000.
<b>Recommendation 14: Promote International Assistance as a capacity building mechanism for State Parties.</b>		
<b>Management Response:</b> The Secretariat is providing important and frequent feedback on International Assistance requests, including technical assistance, integrating this work as a capacity-building exercise.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Provide technical assistance for International Assistance elaboration as appropriate and promote other forms than just donations.	Ongoing	<ul style="list-style-type: none"> <li>• 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’ (<a href="#">Decision 8.COM 7.c</a>).</li> <li>• Eight countries have already benefited from this mechanism.</li> <li>• The Secretariat will promote the use of international assistance in forms other than just donations, as per Article 21 of the Convention (<a href="#">Document ITH/15/10.COM/8</a>).</li> </ul>
Integrate and track trainings on International Assistance elaboration within CAP projects.	December 2016	<ul style="list-style-type: none"> <li>• International Assistance was integrated in workshops on the different curriculum areas (safeguarding, nominations, etc.).</li> <li>• New comprehensive training materials on elaborating International Assistance were commissioned and will be available in English by the end of 2016.</li> </ul>
<b>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</b>		
<b>Management Response:</b> 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 observer.		
<b>Actions Planned</b>	<b>Expected Date of</b>	<b>Status</b>

	<b>Implementation</b>	
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	<ul style="list-style-type: none"> <li>To ensure the strengthening of UNESCO's cooperation with WIPO, the Bureau of the Committee approved funds for this purpose in the spending plan for the use of ITH Funds dedicated to 'other functions of the Committee'.</li> <li>The Secretariat of the 2003 Convention participated in an expert meeting convened in June 2014 by the United Nations Special Rapporteur on the subject 'the impact of intellectual property regimes on the enjoyment of the right to science and culture'.</li> <li>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.</li> <li>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.</li> </ul>
<b>Recommendation 16: Create opportunities for joint thinking, exchange of experiences, cooperation and synergies between UNESCO's culture conventions of 1972, 2003 and 2005 and establish appropriate mechanisms for this.</b>		
<b>Management Response:</b> The Cultural Conventions Liaison Group, comprising the Secretaries of the respective conventions and senior CLT management, is meeting regularly and sharing information. Sub-groups on different topics (periodic reports, international assistance, etc.) are also sharing resources and methodologies.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Participate in the CCLG, comprising the Secretaries of the conventions and senior CLT management.	Ongoing	<ul style="list-style-type: none"> <li>The Secretariat informed the Committee on progress made during its ninth session (<a href="#">Document ITH/14/9.COM/13.h</a> and <a href="#">Decision 9.COM 13.h</a>).</li> </ul>
Facilitate thinking on synergies between 2003	Ongoing	<ul style="list-style-type: none"> <li>The Secretariat reported to the Committee on progress achieved during its</li> </ul>

<p>and 2005 in the field of capacity building.</p>		<p>ninth session (<a href="#">Document ITH/14/9.COM/13.h</a> and <a href="#">Decision 9.COM 13.h</a>).</p> <ul style="list-style-type: none"> <li>• Since the ninth session of the Committee, the Secretariat: <ul style="list-style-type: none"> <li>– organized a workshop on ‘How to provide policy advice effectively?’ with the participation of the 2003 and 2005 Convention Secretariats</li> <li>– adapted the policy advice format of the 2003 Convention’s capacity-building programme to promote synergy</li> <li>– organized a workshop for expert facilitators on providing effective policy support in Africa that included experts from the 2005 Convention.</li> </ul> </li> </ul>
<p>Integrate the services of the CLT/CCS effectively into the work of the Section.</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> <li>• The Common Convention Services Unit (CLT/CCS) supported the organization of the ninth and tenth sessions of the Committee, as well as of the present session of the General Assembly.</li> </ul>
<p>Facilitate meetings between Chairpersons of the six UNESCO culture conventions.</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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 implementation of the interrelated goals of the Post-2015 Development Agenda.</li> <li>• The statement also recommends that the Chairpersons meet regularly to evaluate progress and form a common vision going forward.</li> </ul>
<p><b>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</b></p>		
<p><b>Management Response:</b> NGO Forum report already integrated during in the timetables of the ninth and tenth sessions of the Committee, and NGOs have been given the floor when requested on several items of the agenda.</p>		
<p><b>Actions Planned</b></p>	<p><b>Expected Date of Implementation</b></p>	<p><b>Status</b></p>
<p>Integrate NGO Statement in the agenda Encourage NGOs to prepare their</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> <li>• The NGO statement was integrated in the timetable of the ninth and tenth sessions of the Committee.</li> </ul>

interventions prior to the session.		<ul style="list-style-type: none"> <li>The NGO Statement will continue to be integrated in the timetable of the Committee sessions.</li> </ul>
<b>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</b>		
<b>Management Response:</b> 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.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
The General Assembly at its fifth session in June 2014 rejected the draft Operational Directives prepared by the Secretariat revising the criteria of accreditation ( <a href="#">Document ITH/14/5.GA/5.1</a> ).		None
<b>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.</b>		
<b>Management Response:</b> To be implemented at the Culture Sector level.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Identify specific fund-raising strategies for the 2003 Convention to feed into the overall Culture sector fund-raising strategy. Explore options to integrate in CAP activities and consult on potential methodology. Coordinate with the overall Culture sector fund-raising strategy.	Ongoing	<ul style="list-style-type: none"> <li>The Convention Secretaries and the Conventions Common Services Unit (CLT/CCS) met with members of BSP/CFS to discuss forming a common resource mobilization strategy.</li> <li>Additionally, CCS has proposed workflows in respect of private sector resource mobilization to the Conventions Secretaries.</li> <li>A resource mobilization strategy document has not been conceptualized yet as this has proved to be a challenging undertaking because of the</li> </ul>

		<p>very distinct working practices of the conventions, in particular as the various secretariats need to respond to requests by their respective committees. Additionally, the guidelines and practices are not harmonized between the different conventions.</p> <ul style="list-style-type: none"> <li>• CCS has prepared a table that summarizes the different objectives of each convention in terms of resource mobilization, as well as the potential for each convention to attract funding. This work will be shared with BSP/CFS in order to align orientations with that of UNESCO, as per decisions of the Executive Board.</li> <li>• At the level of the 2003 Convention, the planned development of the overall results framework is foreseen to contribute to the fund-raising strategy.</li> </ul>
<p><b>Recommendation 20: Strengthen informal sharing of interesting and innovative examples on working on the Convention, including about ICH safeguarding, development of policy and legislation, ICH and sustainable development, innovative partnerships and others</b></p>		
<p><b>Management Response:</b> See action under recommendations 12 and 19</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
See action under recommendations 12 and 19.		
<p><b>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.</b></p>		
<p><b>Management Response:</b> The periodic reporting forms have been revised to include specific questions on policy, legislation and gender. Draft Operational Directives have been proposed to ninth session of the Committee and endorsed. The General Assembly at its present session (June 2016) to adopt the amended Operational Directives.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Revise Form ICH-10 (Reports by States Parties on the implementation of the	June 2016	<ul style="list-style-type: none"> <li>• The Committee, at its ninth session, discussed and endorsed draft amendments to the Operational Directives on periodic reporting and</li> </ul>



<p>Convention). Propose draft Operational Directives in order to ensure that Periodic Report include these issues.</p>		<p>recommended that the General Assembly approves these amendments at its present session (<a href="#">Decision 9.COM 13.a</a>).</p> <ul style="list-style-type: none"> <li>• The draft amendments to the Operational Directives are submitted for approval to this session of the General Assembly in June 2016.</li> <li>• ICH-10 form (Reports by States Parties on the implementation of the Convention) was revised in December 2014.</li> </ul>
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**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 results framework; extrabudgetary funding for such a working group should be mobilized.

Actions Planned	Expected Date of Implementation	Status
<p>Organise working group of the Committee to discuss results framework. Mobilize extrabudgetary funding for such working group.</p>	<p>Second half of 2016</p>	<ul style="list-style-type: none"> <li>• At its ninth session, the Committee decided to convene an open-ended intergovernmental working group during the course of 2016 to examine preliminary recommendations of possible directives, subject to the condition that voluntary supplementary contributions are received in due course to the Intangible Cultural Heritage Fund (<a href="#">Decision 9.COM 13.e</a>).</li> <li>• The Committee approved at its tenth session China’s offer to support organization in the second semester of 2016 of an expert meeting on developing an overall results framework for the Convention.</li> <li>• A category VI expert meeting on this issue will be held in China in July 2016.</li> </ul>

**Recommendation 23: Complement the data gathered on the implementation of the Convention through Periodic Reports submitted by State Parties with information provided by NGOs.**

**Management Response:** Periodic reporting form ICH-10 was revised on 15 December 2014. States reporting in 2016 will be able to integrate such contributions.

Actions Planned	Expected Date of Implementation	Status
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<p>Encourage States to complement the data gathered on the implementation of the Convention with information provided by relevant non-governmental organizations.</p> <p>Revise the forms for periodic reporting accordingly.</p>	<p>December 2014</p>	<ul style="list-style-type: none"> <li>• ICH-10 form revised in December 2014 (<b>action completed</b>).</li> </ul>
<p>Propose draft Operational Directives in order to encourage States Parties to involve NGOs in the preparation of Periodic Reports.</p>	<p>June 2016</p>	<ul style="list-style-type: none"> <li>• The draft amendments to the Operational Directives are submitted for approval to the present session of the General Assembly in June 2016.</li> </ul>
<p><b>Recommendation 24: Strengthen monitoring and evaluation of the implementation of the Convention at the national level.</b></p>		
<p><b>Management Response:</b> Although 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 <i>aide-mémoire</i> for Periodic Reports.</p>		
<p><b>Actions Planned</b></p>	<p><b>Expected Date of Implementation</b></p>	<p><b>Status</b></p>
<p>Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops.</p> <p>Integrate these aspects in the <i>aide-mémoire</i>.</p>	<p>2017/2018</p>	<ul style="list-style-type: none"> <li>• Training materials to be developed and <i>aide-mémoire</i> updated once the overall results framework for the Convention is available (see Recommendation 22).</li> </ul>

**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:**

- (a) Supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents,
- (b) prioritize the current work load of the convention secretariats to align it with available resources,
- (c) reduce the frequency, when feasible, duration and agenda of the meetings of State Parties and that of the Intergovernmental Committees and synchronize the meetings of the State Parties to the conventions, when efficiencies can be achieved,
- (d) harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages, and
- (e) modify the financial rules and regulations if necessary to allow application of cost recovery policy.

Actions Planned	Expected Date of Implementation	Status
(a) Remind States regularly of the existence of the Convention's sub-fund.	Ongoing	<ul style="list-style-type: none"> <li>• The Committee, at its ninth and tenth sessions, was reminded and encouraged States to contribute as indicated in <a href="#">Decision 9.COM 7</a> and <a href="#">Decision 10.COM 9</a>.</li> <li>• For the biennium 2014-2015 the Secretariat received voluntary contributions totaling US\$414,875, i.e. less than one fourth of the target of US\$2,200,000 per biennium.</li> </ul>
(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	<ul style="list-style-type: none"> <li>• The Committee, at its ninth session, decided on 50 files per cycle for 2016 and 2017 (<a href="#">Decision 9.COM 12</a>).</li> <li>• The Committee, at its tenth session, decided on 50 files per cycle for 2017 and 2018 (<a href="#">Decision 10.COM 13</a>).</li> <li>• No non-governmental organizations accreditation item in the 9.COM session but examined in the 10.COM session and once every two years thereafter.</li> </ul>

Develop mechanisms and tools to facilitate and streamline support provided by Secretariat to States Parties.	Ongoing	<ul style="list-style-type: none"> <li>On an experimental basis, technical assistance to States Parties wishing to elaborate International Assistance requests was introduced (<a href="#">Decision 8.COM 7.c</a>).</li> </ul>
(c) Reduce timetable of the sessions of the Committee.	Ongoing	<ul style="list-style-type: none"> <li>The Committee, during its ninth session, by <a href="#">Decision 9.COM 13.g</a> encouraged the Secretariat to strengthen its efforts in coordinating 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.</li> <li>The duration of the ninth and tenth sessions of the Committee was 5 days (one day less than the previous session).</li> <li>The planned duration of the present session of the General Assembly is 3 days (one day less than the previous session).</li> <li>Draft amendments to the Operational Directives on the schedule of non-governmental organizations accreditation were endorsed by the Committee at its tenth session in 2015, the Committee recommended the General Assembly to approve them at the present session in June 2016.</li> </ul>
(d) Remind States that additional languages only offered if extrabudgetary funding secured.	Ongoing	<ul style="list-style-type: none"> <li>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.</li> <li>Saudi Arabia generously financed Arabic interpretation for the ninth session of the Committee.</li> </ul>
(e) The existing financial rules and regulations of the Organization and of the Intangible Cultural Heritage Fund allow the application of the cost recovery policy.		<ul style="list-style-type: none"> <li>The Committee, during its eight session, took note 'of the Organization's cost recovery policy (Administrative Manual, item 5.9); and request[ed] the Secretariat to apply the policy consistently when using the resources of the [Intangible Cultural Heritage] Fund' (<a href="#">Decision 8.COM 11</a>).</li> <li>The Secretariat has started applying cost recovery on funds allocated for financial assistance from the Intangible Cultural Heritage Fund (<b>action completed</b>).</li> </ul>

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

Actions Planned	Expected Date of Implementation	Status
<p>(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 State Parties and/or earmarked funds, as suggested in Recommendation 2, would not therefore be needed’ (Decision 8.COM 5.c.2).</p>	<p>November 2014</p>	<ul style="list-style-type: none"> <li>• The General Assembly, at its fifth session, adopted amendments to the Operational Directives to establish a single Evaluation Body (<a href="#">Resolution 5.GA 5.1</a>).</li> <li>• The first Evaluation Body was established in November 2014 (<a href="#">Decision 9.COM 11</a>), which evaluated the files for the 2015 cycle (<b>action completed</b>).</li> </ul>

<p><b>Recommendation 3: We recommend that the CLT Sector should expand its common logistics unit to include additional services that add value and provide cost-effective solutions to support the work of all convention secretariats. The platform can function under the guidance of the Cultural Convention Liaison Group.</b></p>		
<p><b>Actions Planned</b></p>	<p><b>Expected Date of Implementation</b></p>	<p><b>Status</b></p>
<p>Establish a Culture Conventions Common Service Platform.</p>	<p>July 2014</p>	<ul style="list-style-type: none"> <li>• Common Services Unit established in July 2014 (<b><u>action completed</u></b>).</li> </ul>
<p><b>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.</b></p>		
<p><b>Actions Planned</b></p>	<p><b>Expected Date of Implementation</b></p>	<p><b>Status</b></p>
<p>The Conventions Common Services Unit will be in charge of developing the coordinated fund raising strategy for all conventions and resources mobilization.</p>	<p>2016</p>	<ul style="list-style-type: none"> <li>• The Convention Secretaries and the Conventions Common Services Unit (CLT/CCS) met with members of the BSP/CFS to discuss the elaboration of a common resource mobilization strategy. Additionally, CCS has proposed workflows in respect of private sector resource mobilization to the Conventions' Secretaries.</li> <li>• A resource mobilization strategy document has not been conceptualized yet as this has proved to be a challenging undertaking because of the very distinct working practices of the conventions, in particular as the various secretariats need to respond to requests by their respective committees. Additionally, the guidelines and practices are not harmonized between the different conventions.</li> <li>• CCS has prepared a table that summarizes the different objectives of each convention in terms of resource mobilization, as well as the potential for each convention to attract funding. This work will be shared with BSP/CFS in order to align orientations with that of UNESCO, as per decisions of the Executive Board.</li> </ul>





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 Federal Democratic Republic of Ethiopia  
 Ministry of Culture & Tourism  
 Authority for Research & Conservation of  
 Cultural Heritage

ቁጥር  
 Ref.No 01/14.1/089  
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 Date 06 FEB 2017



**H.E.Mr Stanley Mutumba Simataa**  
 President of the General Conference  
 Chairperson of Working Group on governance, procedures  
 and working methods of the governing bodies of UNESCO

Dear Mr President,

With reference to your letters GBS/SCG/16/031 and GBS/SCG/16/054 respectively dated 6 April and 17 October 2016, please find enclosed the questionnaire filled out with the support of the Secretariat of the Convention for the Safeguarding of the Intangible Cultural Heritage as well as the report of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage on its debate held as a follow-up to **38 C/Resolution 101**.

I am pleased to inform you that an item was inscribed on the agenda of the eleventh session of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage (11.COM) which was held from 28 November to 2 December 2016 in Addis Ababa, Ethiopia. You will also find enclosed Decision [11.COM 7](#), Document [ITH/16/11.COM/7](#), as well as Document [ITH/16/11.COM/5](#), Annex I of which presents the implementation status of the twenty-four recommendations of the evaluation and the four recommendations of the audit report on the working methods of all six culture conventions.

Please accept, Mr President, the assurances of my highest consideration.



Regards,  
  
**Yonas Desta**  
 Director General

**Chairperson of the eleventh session** of the  
 Intergovernmental Committee for the Safeguarding of the  
 Intangible Cultural Heritage

**Enc.** Report on the debates of 11.COM concerning the follow-up of 38 C/Resolution 101;  
 Decision 11.COM 7;  
 Document ITH/16/11.COM/7;  
 Document ITH/16/11.COM/5

- cc.**
- Permanent Delegation of Ethiopia to UNESCO, **PARIS**;
  - Office of the Minister,
  - Office of State Minister (Culture),  
**Ministry of Culture & Tourism**



**Report on the debates of the eleventh session of the  
Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage  
concerning the follow-up to 38 C/Resolution 101 (Agenda Item 7)**

At its eleventh session in 2016, the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage examined agenda item 7, *Follow-up to the recommendations of the External Auditor's 'Report on the governance of UNESCO and dependant funds, programmes and entities' (Document 38C/23)*, as requested by the General Conference of UNESCO by its 38 C/Resolution 101.

The working document [ITH/16/11.COM/7](#) was presented by Mr Tim Curtis, the Secretary of the Convention for the Safeguarding of the Intangible Cultural Heritage, to the Committee members. The document contains the background of the agenda item, related former decisions and resolutions of the Committee and the General Assembly, draft Decision 11.COM 7 as well as an annex that summarizes the recommendations that are of direct relevance to the governing organs of the 2003 Convention and the decisions or actions taken. Committee members welcomed the progress made by the governing bodies of this Convention in improving their efficiency and some suggested that best practices should be shared. At the same time, during the debate, there was general agreement among Committee members that some of the recommendations do not seem to reflect the reality of the intergovernmental organizations and that their implementation is sometimes not possible for practical reasons. For example, making annual meetings (Committee) biennial and biennial meetings (General Assembly) quadrennial would result in a serious delay in the development of the Convention and such changes would make it necessary to revise the text of the Convention. Furthermore, Committee members noted that the General Conference only adopted three of those recommendations. Nevertheless, the Committee underlined the importance of continuing efforts to improve its working methods through amendments to the Operational Directives and by trying to keep the discussions more focused and succinct.

Furthermore, Committee Members expressed the need for a broader consultation process. They therefore requested that the Secretariat include this item on the agenda of its twelfth session with a view to presenting it to the seventh session of the General Assembly of States Parties. The draft decision was amended to include these provisions.

The decision was adopted as below:

**DECISION 11.COM 7**

The Committee,

1. Having examined document ITH/16/11.COM/7,
2. Recalling Decisions [8.COM 5.c.1](#), [8.COM 5.c.2](#), [9.COM 13.g](#), [10.COM 15.c](#), and [Resolution 6.GA 11](#),
3. Further recalling the Audit of the Working Methods of Cultural Conventions and the Evaluation of UNESCO's Standard-Setting Work of the Culture Sector undertaken by the IOS,
4. Also recalling 38C/Resolution 101,
5. Takes note of the efforts and steps already undertaken with a view to improve and streamline the working methods of the governing organs of the 2003 Convention in line with the Recommendations by the External Auditor and IOS on this matter;

6. Further takes note of recent situations as regards the recommendations of the External Auditor's report which are of direct relevance to the governing organs of the 2003 Convention;
7. Decides to transmit to the open-ended working group on governance, procedures and working methods of the governing bodies of UNESCO a report on the status of the foreseen or ongoing reforms;
8. Requests the Secretariat to include this item on the agenda of its twelfth session with a view to present it to the seventh session of the General Assembly of States Parties.



United Nations  
Educational, Scientific and  
Cultural Organization



Intangible  
Cultural  
Heritage

**11 COM**

ITH/16/11.COM/7  
Paris, 31 October 2016  
Original: English

**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 7 of the Provisional Agenda:  
Follow-up to the recommendations of the External Auditor's  
'Report on the governance of UNESCO and dependant funds, programmes and entities'  
(Document 38C/23)**

**Summary**

The General Conference of UNESCO at its thirty-eighth session by its 38 C/Resolution 101, invited all intergovernmental programmes, committees and organs of the Conventions to inscribe, in 2016 if feasible, an item on their agenda concerning the follow-up to the recommendations of the External Auditor's 'Report on the governance of UNESCO and dependant funds, programmes and entities' contained in Document 38 C/23. This document presents recent situations as regards the recommendations of the External Auditor's report, which are of direct relevance to the governing organs of the 2003 Convention.

**Decision required:** Paragraph 10

1. At its thirty-seventh session in 2013 the General Conference of UNESCO, by 37C/Resolution 96, requested the External Auditor to conduct an audit of the governance of UNESCO as a follow-up to the recommendations by the United Nations Joint Inspection Unit (JIU) concerning the methods of work of UNESCO's intergovernmental bodies. In this Resolution, the General Conference invited all governing bodies, intergovernmental programmes, committees and organs established by conventions 'to perform a self-assessment covering the overall relevance of their work in relation to their specific terms of reference as well as the efficiency and effectiveness of their meetings, including the impact and utility of experts' time'. Furthermore, the General Conference invited the 'External Auditor to facilitate the self-assessment of governing bodies by delivering a common assessment framework'.
2. In April 2014, the External Auditor sent to the Chairs of all governing bodies of UNESCO including dependant funds, programmes and entities two questionnaires composing the aforementioned self-assessment framework. The Secretariat of the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage ('the 2003 Convention'), copied to the message of the external auditor, forwarded the questionnaires in June 2014 to the Chairperson of the governing organs of the 2003 Convention. Consequently, the Chairpersons of the fifth session of the General Assembly and of the ninth session of the Intergovernmental Committee coordinated the comments from States Parties and members of the Committee respectively. As requested by the External Auditor, the Secretariat had several exchanges with both Chairpersons to address specific factual or technical elements the questionnaires gave rise to and provided the information requested. A working document ([ITH/14/9.COM/8](#)) reporting on this audit was examined by the Committee during its ninth session.
3. The Executive Board at its 197th session in 2015 examined the final audit report on the governance of UNESCO and dependant funds, programmes which included the results of the self-assessment questionnaires and recommended to the General Conference to:
  - a. establish an open-ended working group to further discuss the recommendations of the audit report, and
  - b. requested the Director-General to start the implementation of recommendations 1, 11 and 13 of the External Auditor's report (197 EX/Decision 28 and 44).
4. The General Conference at its thirty-eighth session in 2015 examined the audit report ([document 38 C/23](#)) and the recommendations of the Executive Board. By 38 C/Resolution 101, it reaffirmed the 'need to optimize the governance of intergovernmental programmes, committees and conventions by harnessing the potential for greater synergy, harmonization, efficiency and impact while bearing in mind requirements regarding the quality of the work and the specific mandate, constituency and functioning of individual governing bodies' and adopted the two above-mentioned recommendations of the Executive Board.
5. Pursuant to 38 C/Resolution 101, the mandate<sup>1</sup> of the Working Group<sup>2</sup> is to examine the governance, procedures and working methods of the governing bodies of UNESCO on the basis of the views and proposals received from Member States, the External Auditor's report on the governance of UNESCO, relevant evaluations and audits by the Internal Oversight Service (IOS), as well as previous decisions and resolutions related to governance. The Working Group will submit its recommendations to the Executive Board at its 202nd session in 2017, which will in turn make its recommendations to the General Conference at its thirty-ninth session in the same year.
6. Furthermore, the General Conference, by 38 C/Resolution 101, invited all intergovernmental programmes, committees and organs of the Conventions to inscribe, in 2016 if feasible, an item on their agenda concerning the follow-up to the recommendations of the External Auditor's report contained in [document 38 C/23](#), to improve their governance by concrete measures, and

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<sup>1</sup> For the Mandate of the Working group, see: <http://www.unesco.org/new/en/general-conference-38th/working-group-on-governance/> (last accessed on 14 September 2016).

<sup>2</sup> The Working Group held two meetings, respectively on 17 February and 1 April 2016.

to report on their proposals to the Chairperson of the open-ended working group. This is why the present session of the Intergovernmental Committee of the 2003 Convention is asked to examine this agenda item.

7. Some of the recommendations of the External Auditor contained in [document 38 C/23](#) have already been examined by the Committee and/or the General Assembly of States Parties (i.e. [Decision 8.COM 5.c.1](#), [Decision 8.COM 5.c.2](#), [Decision 9.COM 13.g](#) and [Decision 10.COM15.c](#) of the Committee and [Resolution 5.GA 4.1](#) of the General Assembly), in relation to the question of the governance, and notably of the working methods of the governing organs of the 2003 Convention. This concerns in particular:
  - i) the evaluation of UNESCO's Standard-setting Work of the Culture Sector, Part I: 2003 Convention for the Safeguarding of the Intangible Cultural Heritage completed by UNESCO's IOS completed in 2013, and
  - ii) the audit of the working methods of all six cultural conventions in the field of culture assessing the adequacy and efficiency of the working methods of UNESCO's standard-setting work in the Culture Sector completed by IOS in 2013.
8. The annex to the present document summarizes the recommendations that are of direct relevance to the governing organs of the 2003 Convention and the decisions or actions taken if any.
9. Furthermore, Annex I of the report by the Secretariat on its activities ([document ITH/16/11.COM/5](#)) presents the status of the implementation of the twenty-four recommendations of the evaluation and the four recommendations of the audit report of the working methods of all six culture conventions. It is also to be noted that the recent sixth session of the General Assembly further highlighted the need for increasing the synergies and coherence of specific aspects of its work with other conventions in the field of culture, such as the Rules of Procedures and its conduct of business ([Resolution 6.GA 11](#)).
10. The Committee may wish to adopt the following decision:

#### **DRAFT DECISION 11.COM 7**

The Committee,

1. Having examined document ITH/16/11.COM/7,
2. Recalling [Decision 8.COM 5.c.1](#), [Decision 8.COM 5.c.2](#), [Decision 9.COM 13.g](#), [Decision 10.COM 15.c](#) and [Resolution 6.GA 11](#),
3. Further recalling the Audit of the Working Methods of Cultural Conventions and the Evaluation of UNESCO's Standard-Setting work of the Culture Sector undertaken by the IOS,
4. Takes note of the efforts and steps already undertaken with a view to improve and streamline the working methods of the governing organs of the 2003 Convention in line with the Recommendations by the External Auditor and IOS on this matter;
5. Further takes note of recent situations as regards the recommendations of the External Auditor's report which are of direct relevance to the governing organs of the 2003 Convention;
6. Decides to transmit, as requested, Document ITH/16/11.COM/7 and the relevant decision to the Chairperson of the Open-ended Working Group on the Governance Procedures and Working Methods of the Governing Bodies.

**ANNEX**

**Recommendation No. 3.** The External Auditor recommends that the General Conference:

- (i) delegate the steering and management of the following ten actions to the Bureau of the Executive Board;
- (ii) to that end, provide the Board with the appropriate means to ensure, after obtaining the opinion of each of the governing bodies, consulted as needed and in the most efficient way, the adoption, at the thirty-ninth session of the General Conference, of a guide to best practices applicable to the whole of UNESCO and its dependent funds, programmes and entities:
  - accelerate the shortening of sessions
  - group meetings together
  - make annual meetings biennial, and biennial meetings quadrennial
  - make more use of teleconferences
  - convene essential meetings only and finance them through the regular budget
  - reduce the number of meeting participants
  - shorten agendas by prioritizing and delegating minor decisions
  - increase the delegation of authority to the bureau
  - simplify and improve the dissemination of results
  - encourage best practices

Action	Status
iii) accelerate the shortening of sessions	<ul style="list-style-type: none"> <li>• The duration of the ninth and tenth sessions of the Committee was five days respectively (one day less than the eighth session).</li> <li>• 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).</li> </ul>
iv) group meetings together	<ul style="list-style-type: none"> <li>• The Committee, during its ninth session encouraged the Secretariat to strengthen its efforts in coordinating meetings of States Parties for the different conventions, taking particular care to schedule them as far ahead as possible and with adequate time between them (<a href="#">Decision 9.COM 13.g</a>). This decision responds to a recommendation by IOS resulting from the audit of the working methods of all six cultural conventions, contrary to what is recommended by the External Auditor.</li> </ul>

<p>v) make annual meetings biennial, and biennial meetings quadrennial</p>	<ul style="list-style-type: none"> <li>• Paragraph 2 of Article 4 of the 2003 Convention stipulates that ‘the General Assembly will meet in ordinary session every two years’. Changing the frequency of the meetings of the General Assembly entails revising the text of the 2003 Convention. Article 38 of the Convention establishes how amendments may be adopted and how they enter into force.</li> <li>• Rule 2.1 of the Rules of Procedure of the Committee stipulates that ‘the Committee shall meet at least once a year in ordinary sessions’. The decision to change this Rule lies with members of the Committee. In accordance with Rule 48 of the Rules of Procedure such decision shall be taken by a two-thirds majority.</li> </ul>
<p>vi) make more use of teleconferences</p>	<ul style="list-style-type: none"> <li>• Making use of Rule 12.3 of the Rules of Procedure of the Committee, the Bureau of the Committee holds electronic consultations every year (two in 2014, one in 2015 and two in 2016). Through these electronic consultations the Bureau adopts decisions such as the granting of International Assistance up to US\$100,000, emergency assistance requests irrespective of the amount, adopting its final report to the General Assembly and approving the use of the 20% of the resources of the Intangible Culture Heritage Fund allocated to ‘other functions of the Committee’.</li> </ul>
<p>vii) convene essential meetings only and finance them through the regular budget</p>	<ul style="list-style-type: none"> <li>• Statutory meetings were established by States Parties, either through the adoption of the text of the Convention or the Rules of Procedure of the organs of the Convention and are therefore mandatory.</li> <li>• Statutory meetings are financed by the regular programme. When such meetings are hosted abroad, core costs are financed by the regular programme, while the host country covers the extra costs resulting from holding the meeting outside UNESCO headquarters.</li> </ul>
<p>viii) reduce the number of meeting participants</p>	<ul style="list-style-type: none"> <li>• The Rules of Procedure of the General Assembly and the Committee establish who may participate in these meetings. The decision of revising these rules or reducing the number of representatives at statutory meetings lies with States Parties and members of the Committee.</li> </ul>



<p>ix) shorten agendas by prioritizing and delegating minor decisions</p>	<ul style="list-style-type: none"> <li>• The General Assembly during its fifth 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 (<a href="#">Resolution 6.GA 7</a>).</li> <li>• 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'.</li> <li>• 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, except for those decisions for which a member of the Committee specifically requests to open the floor.</li> </ul>
<p>x) increase the delegation of authority to the bureau</p>	<ul style="list-style-type: none"> <li>• At its sixth session in 2016, the General Assembly approved amendments to the Operational Directives (chapter I.8, I.10, I.14 and I.15) to increase the ceiling of International Assistance requests that can be approved by the Bureau from US\$25,000 to US\$100,000 (<a href="#">Resolution 6.GA 7</a>). The Bureau is also responsible for approving emergency assistance requests irrespective of the amount and approving the use of 20% of the resources of the Intangible Culture Heritage Fund allocated to 'other functions of the Committee'.</li> <li>• On five occasions since 2010, the Committee delegated to its Bureau final decisions on the International Assistance requests when they required revision.</li> </ul>
<p>xi) simplify and improve the dissemination of results</p>	<ul style="list-style-type: none"> <li>• The working and information documents, summary records and decisions of the Committee and resolutions of the General Assembly are disseminated by publishing them online on the website of the Convention.</li> </ul>

<p>xii) encourage best practices</p>	<ul style="list-style-type: none"> <li>• A satisfaction survey is distributed to all participants of the statutory meetings at the end of each session. Even though the return rate is low, the Secretariat analyzes those results and tries to maintain practices praised by participants and improve the ones that were considered unsatisfactory.</li> </ul>
<p><b>Recommendation No. 5.</b> On a provisional trial basis, the External Auditor recommends that the General Conference:</p> <p>(i) decide to elect, from 2016, the same States Parties to the governing bodies of the heritage-related conventions and that the governing bodies thus constituted shall hold their respective sessions in a single joint session, under appropriate legal arrangements;</p> <p>(ii) entrust the Executive Board with organizing the implementation of this arrangement by its autumn 2016 session and provide it with appropriate resources;</p> <p>(iii) request the Secretariat consequently to merge the secretariats of these conventions by 1 September 2016.</p>	
<p style="text-align: center;">Action</p>	<p style="text-align: center;">Status</p>
<p>(i) decide to elect, from 2016, the same States Parties to the governing bodies of the heritage-related conventions and that the governing bodies thus constituted shall hold their respective sessions in a single joint session, under appropriate legal arrangements;</p>	<ul style="list-style-type: none"> <li>• In accordance with Article 5 of the 2003 Convention the Committee is composed of representatives of 24 States Parties elected by the States Parties meeting in General Assembly. Committees of other Conventions have different structures, for example, while the Committee of the 2005 Convention is also composed of 24 representatives of States Parties, the Committees of the 1972, 1970 and 1954 (Second Protocol) Conventions are composed of 21, 18 and 12 representatives of States Parties respectively.</li> <li>• Currently not all States Parties to the 2003 Convention are States Parties to the other culture conventions and vice versa not all States Parties to other conventions are Parties to the 2003 Convention. Therefore, implementing part (i) of recommendation 5 may prove impossible as it entails excluding States that are not Parties to all culture conventions from becoming members of the Committee.</li> <li>• Furthermore implementing these recommendations requires amendments to the text of the Convention as regards Article 38 and Rule 3 of the Rules of Procedure as well as to the corresponding articles in the other culture conventions or/and their Rules of Procedure.</li> </ul>

<b>Recommendation No. 7.</b> The External Auditor recommends:	
Action	Status
<p>(i) drawing up a draft governance code in 2016, under the supervision of the Bureau of the Executive Board, that harmonizes and systematizes the rules of procedure, texts and practices of the governing bodies of all UNESCO universe entities;</p> <p>(ii) ensuring that this document is regularly updated through a repertoire of practice prepared by the Secretariat and submitted for approval to the Executive Board;</p> <p>(iii) adopting the decisions needed to implement this system at the 39th session of the General Conference.</p>	
<p>(i) drawing up a draft governance code in 2016, under the supervision of the Bureau of the Executive Board, that harmonizes and systematizes the rules of procedure, texts and practices of the governing bodies of all UNESCO universe entities;</p>	<ul style="list-style-type: none"> <li>• At its sixth session the General Assembly noted the disparity of the rules of procedure of the different organs of the UNESCO cultural conventions. With the aim to improve coherence in the procedures of the above-mentioned organs in order to bring closer their conduct of business, the General Assembly invited States Parties to communicate to the Secretariat by 30 November 2016 proposals for the modification of its Rules of Procedure. It also requested the Secretariat to prepare a working document reflecting the proposals received and to present it at the seventh session of the General Assembly. (<a href="#">Resolution 6.GA 11</a>). The Secretariat sent a letter to all States Parties of the Convention (15 September 2016) reminding them of this resolution.</li> <li>• The decision to amend the Rules lies with States Parties and members of the Committee. In accordance with Rule 18 of the Rules of Procedure of the General Assembly and Rule 48 of the Rules of Procedure of the Committee such decision shall be taken by a two-thirds majority.</li> </ul>

<p><b>Recommendation No. 8.</b> The External Auditor recommends:</p> <p>(i) examining means of introducing a screening system for individual candidates for the offices of chair and vice-chair of governing bodies, based on robust and transparent criteria of competence;</p> <p>(ii) adopting a resolution to limit the total length of consecutive terms of office (e.g. to four years) for the same delegate in a governing body so that delegates can gain sufficient experience but the bodies can at the same time be periodically renewed;</p> <p>(iii) that Member States candidates for a seat on a governing body undertake to nominate a full member or alternate with sufficient experience in that body's field;</p> <p>(iv) introducing mandatory training for the offices of chair and vice-chair of a governing body, tailored to the experience of the new officers.</p>	
<p>(i) examining means of introducing a screening system for individual candidates for the offices of chair and vice-chair of governing bodies, based on robust and transparent criteria of competence;</p>	<ul style="list-style-type: none"> <li>• Neither the Rules of Procedure of the General Assembly nor those of the Committee foresee any screening system for the Chairperson and Vice-Chairpersons. Implementation of this recommendation will require amendments to the Rules of Procedure of both organs of the Convention.</li> <li>• The decision to amend the Rule lies with States Parties and members of the Committee. In accordance with Rule 18 of the Rules of Procedure of the General Assembly and Rule 48 of the Rules of Procedure of the Committee such decision shall be taken by a two-thirds majority.</li> </ul>
<p>(ii) adopting a resolution to limit the total length of consecutive terms of office (e.g. to four years) for the same delegate in a governing body so that delegates can gain sufficient experience but the bodies can at the same time be periodically renewed;</p>	<ul style="list-style-type: none"> <li>• In accordance with Article 6 of the Convention, States Members of the Committee are elected for a term of four years and may not be elected for two consecutive terms.</li> </ul>
<p>(iii) that Member States candidates for a seat on a governing body undertake to nominate a full member or alternate with sufficient experience in that body's field;</p>	<ul style="list-style-type: none"> <li>• In accordance with Article 6.7 of the Convention 'States Members of the Committee shall choose as their representatives persons who are qualified in the various fields of intangible cultural heritage'.</li> </ul>



United Nations  
Educational, Scientific and  
Cultural Organization



Intangible  
Cultural  
Heritage

**11 COM**

ITH/16/11.COM/5  
Paris, 31 October 2016  
Original: English

**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**

**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](#), the report of the Secretariat to the General Assembly on its activities (Document [ITH/16/6.GA/6](#)), 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](#)), 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](#)). 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.

## **I. Overall strategic assessment**

### **Key achievements**

4. 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](#)). 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.
5. 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).

6. 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.
7. 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.
8. 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](#), 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.
9. 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.
10. 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](#)). 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).



11. 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.
12. 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.
13. 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](#)). 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.
14. 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).
15. 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](#)).

16. 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**

17. 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.
18. 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.
19. 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.
20. 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](#)).
21. 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](#) 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](#)). 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.

22. 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](#)), 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.

## II. Assessment by Performance Indicator

23. 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
24. 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](#)). 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](#)). This structure presents a more specific framework for an important category of extrabudgetary funds: those devoted to assisting the Committee in fulfilling its mission.

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
<ul style="list-style-type: none"> <li>• Decisions providing strategic guidance and/or financial support for the implementation of the Convention taken in a dozen statutory meetings.</li> <li>• 100 safeguarding plans for intangible cultural heritage, including indigenous and endangered languages, developed and/or implemented by Member States.</li> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• 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).</li> <li>• 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.</li> <li>• 44 nominations, 4 BSP, and 4 International Assistance requests processed, each including a safeguarding plan (2017 cycle).</li> <li>• 10 International Assistance requests processed and analysed and 5 recommendations presented to the Bureau and approved (11.COM BUR 1 &amp; 2).</li> <li>• New monitoring interface launched concerning periodic reporting, allowing all stakeholders to review submitted reports, consult the future submission schedules and search by mechanism, status and country.</li> </ul>	High

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
<ul style="list-style-type: none"> <li>• Policies developed or revised in 15 States and human and institutional resources strengthened in 25 States.</li> <li>• 20% of UNESCO-trained female cultural professionals contributing to national-level decision-making processes in the field of culture.</li> </ul>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 45% of UNESCO-trained cultural professionals are female: no data available on their contribution to decision-making; mechanism under development.</li> <li>• Facilitators' network strengthened through the development and dissemination of an audio-visual tutorial on safeguarding plans.</li> <li>• Core curriculum materials updated to reflect the decisions of statutory meetings (20 units; 3 languages).</li> </ul>	Medium

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
<ul style="list-style-type: none"> <li>• 30 reports, of which 20 address gender issues.</li> </ul>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>	Medium

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
<ul style="list-style-type: none"> <li>5 new ratifications, of which 2 from Africa.</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> </ul>	High

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
<ul style="list-style-type: none"> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>Facilitated the accreditation of 24 NGOs by the sixth session of the General Assembly and the renewal of 59 accredited NGOs.</li> <li>A number of category 2 centres contributing to certain aspects of UNESCO's programme for the effective implementation of the 2003 Convention.</li> </ul>	Medium

### III. Duties, structure and composition of the Secretariat

25. 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'.
26. 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](#)) and to the sixth session of the General Assembly (Document [ITH/16/6.GA 6](#)) 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.
27. 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.
28. Moreover, the Conventions Common Services Unit, established in mid-2014 (see Document [ITH/13/9.COM/6](#)), 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.
29. 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.

**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.

<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Revise nomination forms ICH-01 (Urgent Safeguarding List (USL)) and ICH-02 (Representative List).	October 2015	<ul style="list-style-type: none"> <li>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 (<b>action completed</b>).</li> </ul>
Revise Form ICH-10 on periodic reporting (Reports by States Parties on the implementation of the Convention).	December 2014	<ul style="list-style-type: none"> <li>Forms ICH-10 and ICH-11 (Reports on the status of elements inscribed on the USL) were revised in December 2014 (<b>action completed</b>).</li> </ul>
Include gender paragraph in the draft Operational Directives on sustainable development.	June 2016	<ul style="list-style-type: none"> <li>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' (<a href="#">Decision 10.COM 14.a</a>).</li> <li>In 2016, the sixth session of the General Assembly adopted paragraph 181 dedicated to gender equality in chapter VI of the Operational Directives (<a href="#">Resolution 6.GA 7</a>) (<b>action completed</b>).</li> </ul>

**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	<ul style="list-style-type: none"> <li>• 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).</li> <li>• 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.</li> <li>• 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 (<b>action completed</b>).</li> </ul>
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	<ul style="list-style-type: none"> <li>• 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 (<a href="#">Resolution 6.GA.7</a>) (<b>action completed</b>).</li> </ul>
Integrate these aspects into the <i>aide-mémoire</i> for elaborating nomination files and for Periodic Reports.	November 2016	<ul style="list-style-type: none"> <li>• The February 2015 version of the <i>aide-mémoire</i> mentions in several places the importance of non-governmental organizations and community involvement.</li> <li>• Following the adoption of the amendments to the Operational Directives</li> </ul>

		by the General Assembly, the <i>aide-mémoire</i> on periodic reporting is being updated to further emphasize the role of non-governmental organizations.
<b>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.</b>		
<b>Management Response:</b> 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.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops.	Ongoing	<ul style="list-style-type: none"> <li>As regards the integration of intangible cultural heritage into non-cultural legislation and policy, greater cooperation with the sustainable development experts allowed for: <ul style="list-style-type: none"> <li>the elaboration of a new format for policy and legal support in the capacity-building programme;</li> <li>the elaboration of a dedicated unit (Unit 8) on intangible cultural heritage and sustainable development as capacity-building material;</li> <li>the elaboration of a UNESCO guidance note on providing advisory services for policy development.</li> </ul> </li> <li>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.</li> </ul>
Develop new Operational Directives on Safeguarding Intangible Cultural Heritage and Sustainable Development.	June 2016	<ul style="list-style-type: none"> <li>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 (<a href="#">Decision 10.COM 14.a</a>).</li> <li>Operational Directives on safeguarding intangible cultural heritage and</li> </ul>

		sustainable development at the national level were adopted by the General Assembly at its sixth session in June 2016 ( <a href="#">Resolution 6.GA 7</a> ) ( <b>action completed</b> ).
<b>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.</b>		
<b>Management Response:</b> 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.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Design and use new training materials.	February 2016	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Three papers were drafted on issues and experiences concerning policy and legal development in the field of intangible cultural heritage.</li> <li>• 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.</li> <li>• New training material for workshops with national counterparts on policy development was prepared and made available online in English in February 2016 (<b>action completed</b>).</li> </ul>
Train trainers.	Ongoing	<ul style="list-style-type: none"> <li>• 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).</li> <li>• A training workshop for expert facilitators was held on supporting policy development in the field of intangible cultural heritage for Africa (September 2015).</li> </ul>
Integrate new specialized trainers in policy development into the network of trainers.	Ongoing	<ul style="list-style-type: none"> <li>• Four new trainers specialized in cultural policy development have been integrated into the Convention’s network of expert facilitators.</li> <li>• Trainers specialized in cultural policy are participating in a multi-year</li> </ul>

		<p>capacity-building project in countries from Asia and the Pacific.</p> <ul style="list-style-type: none"> <li>Trainers will participate in future policy support activities of the capacity-building programme.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Publish and disseminate the brochure 'Intangible Cultural Heritage and Sustainable Development' (ITH info kit).	October 2015	<ul style="list-style-type: none"> <li>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 (<b>action completed</b>).</li> </ul>
Revise the final reporting template for training to include a question relating to participating sustainable development experts.	2016	<ul style="list-style-type: none"> <li>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.</li> </ul>
Guide for field offices to be elaborated.	March 2016	<ul style="list-style-type: none"> <li>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 (<b>action completed</b>).</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		

Actions Planned	Expected Date of Implementation	Status
Define the methodology and work plan in line with the overall theory of change.	June 2015	<ul style="list-style-type: none"> <li>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 (<b>action completed</b>).</li> </ul>
Put in place the mechanism.	2016	<ul style="list-style-type: none"> <li>The piloting of tracer studies started in early 2016 in a selected number of countries that benefit(ed) from capacity-building activities.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
Actions Planned	Expected Date of Implementation	Status
Initial adaptations reflected in updated logframe based on IOS evaluation.	Ongoing	<ul style="list-style-type: none"> <li>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.</li> </ul>
Review meetings and competence upgrading with expert facilitators and Field Offices.	Ongoing	<ul style="list-style-type: none"> <li>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).</li> </ul>
Draw lessons from a consolidated analysis of all expert facilitators' reports by region.	2016	<ul style="list-style-type: none"> <li>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 (<b>action completed</b>).</li> </ul>



Specific activities and financial provisions for policy assessments integrated into capacity-building programme.	Ongoing	<ul style="list-style-type: none"> <li>The budget of new capacity-building projects systematically includes provisions for policy assessments/development.</li> </ul>
Introduce new units on gender, sustainable development and policy development.	February 2016	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>A training unit on policy development (Unit 55) was prepared and made available in February 2016 (<b>action completed</b>).</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Stop the publication of the leaflet of yearly inscribed elements and publish Brochures only on the USL and Best Safeguarding Practices.	Ongoing	<ul style="list-style-type: none"> <li>The yearly publication on inscribed elements has been stopped.</li> <li>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.</li> </ul>
Highlight the purpose of the USL, IA and RL in presentations, speeches, media interviews, media kits, training activities etc.	Ongoing	<ul style="list-style-type: none"> <li>The purpose of the USL, IA and RL is highlighted in the current version of the relevant training materials, presentations, speeches, etc.</li> </ul>

**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	<ul style="list-style-type: none"> <li>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.</li> </ul>

**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	<ul style="list-style-type: none"> <li>The Secretariat prepared the evaluation and presented it as a working document for examination by the Committee at its ninth session (Document <a href="#">ITH/14/9.COM/13.d</a>) (<b>action completed</b>).</li> </ul>
Secretariat to include this point in training sessions for the Evaluation Body.	Ongoing	<ul style="list-style-type: none"> <li>Members of the Evaluation Body trained in April 2015 and March 2016.</li> <li>New members of the Evaluation Body to be trained in each cycle.</li> </ul>

**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	<ul style="list-style-type: none"> <li>The General Assembly, during its fifth session, decided (<a href="#">Resolution 5.GA 5.1</a>) 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) (<b>action completed</b>).</li> </ul>
Single Evaluation Body operational.	October 2015	<ul style="list-style-type: none"> <li>A single Evaluation Body has evaluated all files since the 2015 cycle (<b>action completed</b>).</li> </ul>

**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	<ul style="list-style-type: none"> <li>NGO Forum representatives were consulted in December 2013; Members of the Consultative Body in September 2014 and category 2 centres in October 2014 (<b>action completed</b>).</li> </ul>
Identify best practices through the analysis of Periodic Reports.	Ongoing	<ul style="list-style-type: none"> <li>The syntheses of the 57 Periodic Reports submitted for examination by the Committee since its ninth session contain information on safeguarding practices.</li> </ul>

**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](#)) 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	<ul style="list-style-type: none"> <li>The proposal to increase the ceiling to US\$100,000 was endorsed by the Committee at its tenth session (<a href="#">Decision 10.COM 15.c</a>) (<b>action completed</b>).</li> </ul>
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	<ul style="list-style-type: none"> <li>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 (<a href="#">Resolution 6.GA 7</a>) (<b>action completed</b>).</li> </ul>

**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	<ul style="list-style-type: none"> <li>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’ (<a href="#">Decision 8.COM 7.c</a>). Nine countries have already benefited from this mechanism.</li> <li>An <i>aide-mémoire</i> for completing a request for International Assistance was developed in English (2015) and French (2016).</li> </ul>

		<ul style="list-style-type: none"> <li>The Secretariat promoted the use of International Assistance in forms other than just donations, as per Article 21 of the Convention (Document <a href="#">ITH/15/10.COM/8</a>). Following the decision of the Committee in 2015 (<a href="#">Decision 10.COM 8</a>), 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.</li> </ul>
Integrate and track trainings on International Assistance elaboration within CAP projects.	2016	<ul style="list-style-type: none"> <li>International Assistance was integrated into workshops on the different curriculum areas (safeguarding, nominations, etc.).</li> <li>New comprehensive training materials on elaborating International Assistance were commissioned and have been developed.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
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	<ul style="list-style-type: none"> <li>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'.</li> <li>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'.</li> <li>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</li> </ul>

		<p>Regional Centre for the Safeguarding of Intangible Cultural Heritage in South-Eastern Europe in Sofia, Bulgaria, in April 2015.</p> <ul style="list-style-type: none"> <li>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.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Participate in the CCLG, comprising the Secretaries of the conventions and senior CLT management.	Ongoing	<ul style="list-style-type: none"> <li>The Secretariat informed the Committee on progress made during its ninth session (Document <a href="#">ITH/14/9.COM/13.h</a> and <a href="#">Decision 9.COM 13.h</a>).</li> </ul>
Facilitate thinking on synergies between 2003 and 2005 in the field of capacity building.	Ongoing	<ul style="list-style-type: none"> <li>The Secretariat reported to the Committee on progress achieved during its ninth session (Document <a href="#">ITH/14/9.COM/13.h</a> and <a href="#">Decision 9.COM 13.h</a>).</li> <li>Since the ninth session of the Committee, the Secretariat: <ul style="list-style-type: none"> <li>organized a workshop on 'How to provide policy advice effectively?' with the participation of the 2003 and 2005 Convention Secretariats;</li> <li>adapted the policy advice format of the 2003 Convention's capacity-building programme to promote synergy;</li> <li>organized a workshop for expert facilitators on providing effective policy support in Africa that included experts from the 2005 Convention.</li> </ul> </li> </ul>

Integrate the services of the CLT/CCS effectively into the work of the Section.	Ongoing	<ul style="list-style-type: none"> <li>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.</li> </ul>
Facilitate meetings between the Chairpersons of the six UNESCO culture conventions.	Ongoing	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		
<p align="center"><b>Actions Planned</b></p>	<p align="center"><b>Expected Date of Implementation</b></p>	<p align="center"><b>Status</b></p>
<p>Integrate the NGO Statement into the agenda.</p> <p>Encourage NGOs to prepare their interventions prior to the session.</p>	Ongoing	<ul style="list-style-type: none"> <li>The NGO statement was integrated into the timetable of the ninth and tenth sessions of the Committee.</li> <li>The NGO Statement will continue to be integrated into the timetable of the Committee sessions.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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.</p>		



Actions Planned	Expected Date of Implementation	Status
<p>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 <a href="#">ITH/14/5.GA/5.1</a>).</p>		None
<p><b>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.</b></p>		
<p><b>Management Response:</b> To be implemented at the Culture Sector level.</p>		
Actions Planned	Expected Date of Implementation	Status
<p>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.</p>	Ongoing	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> <li>• 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.</li> <li>• 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.</li> <li>• To ensure enhanced outreach and partnerships, the Bureau of the</li> </ul>

		<p>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'.</p> <ul style="list-style-type: none"> <li>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.</li> </ul>
<p><b>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.</b></p>		
<p><b>Management Response:</b> See actions under recommendations 12 and 19.</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
See actions under recommendations 12 and 19.		
<p><b>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.</b></p>		
<p><b>Management Response:</b> 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).</p>		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Revise Form ICH-10 (Reports by States Parties on the implementation of the Convention).	December 2014	<ul style="list-style-type: none"> <li>Form ICH-10 (Reports by States Parties on the implementation of the Convention) was revised in December 2014 (<b>action completed</b>).</li> </ul>
Propose draft Operational Directives in order to ensure that the Periodic Report include these issues.	June 2016	<ul style="list-style-type: none"> <li>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 (<a href="#">Decision 9.COM 13.a</a>).</li> <li>Amendments to the Operational Directives were approved by the</li> </ul>

		General Assembly at its sixth session in June 2016 ( <a href="#">Resolution 6.GA 7</a> ) (action completed).
<b>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.</b>		
<b>Management Response:</b> 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.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Organize a working group of the Committee to discuss the results framework. Mobilize extrabudgetary funding for such working group.	2016-2017	<ul style="list-style-type: none"> <li>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 (<a href="#">Decision 9.COM 13.e</a>).</li> <li>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 (<a href="#">Decision 10.COM 9</a>).</li> <li>Pending the mobilization of extrabudgetary funding, an open-ended intergovernmental group will be established in 2017.</li> </ul>
<b>Recommendation 23: Complement the data gathered on the implementation of the Convention through Periodic Reports submitted by States Parties with information provided by NGOs.</b>		
<b>Management Response:</b> 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.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Encourage States to complement the data gathered on the implementation of the Convention with information provided by	December 2014	<ul style="list-style-type: none"> <li>Form ICH-10 revised in December 2014 (action completed).</li> </ul>

relevant non-governmental organizations. Revise the forms for periodic reporting accordingly.		
Propose draft Operational Directives in order to encourage States Parties to involve NGOs in the preparation of Periodic Reports.	June 2016	<ul style="list-style-type: none"> <li>Amendments to the Operational Directives were approved by the General Assembly at its sixth session in June 2016 (<b>action completed</b>).</li> </ul>
<b>Recommendation 24: Strengthen monitoring and evaluation of the implementation of the Convention at the national level.</b>		
<b>Management Response:</b> 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 <i>aide-mémoire</i> for the Periodic Reports.		
<b>Actions Planned</b>	<b>Expected Date of Implementation</b>	<b>Status</b>
Integrate and/or strengthen these aspects into the capacity-building material and training of trainers workshops.  Integrate these aspects into the <i>aide-mémoire</i> .	2017/2018	<ul style="list-style-type: none"> <li>Training materials to be developed and <i>aide-mémoire</i> updated once the overall results framework for the Convention is available (see Recommendation 22).</li> </ul>

**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:**

- (a) 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;
- (b) Prioritize the current workload of the convention secretariats to align it with available resources;
- (c) 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;
- (d) Harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages; and
- (e) Modify the financial rules and regulations, if necessary, to allow application of cost recovery policy.

Actions Planned	Expected Date of Implementation	Status
(a) Remind States regularly of the existence of the Convention’s sub-fund.	Ongoing	<ul style="list-style-type: none"> <li>• 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 <a href="#">Decision 9.COM 7</a> and <a href="#">Decision 10.COM 9</a>.</li> <li>• 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.</li> </ul>
(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	<ul style="list-style-type: none"> <li>• The Committee decided on 50 files per cycle for 2016 and 2017 (<a href="#">Decision 9.COM 12</a>) and for 2017 and 2018 (<a href="#">Decision 10.COM 13</a>).</li> <li>• 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.</li> </ul>

Develop mechanisms and tools to facilitate and streamline support provided by Secretariat to States Parties.	Ongoing	<ul style="list-style-type: none"> <li>On an experimental basis, technical assistance to States Parties wishing to elaborate International Assistance requests was introduced (<a href="#">Decision 8.COM 7.c</a>).</li> </ul>
(c) Reduce the timetable of the sessions of the Committee.	Ongoing	<ul style="list-style-type: none"> <li>The Committee, during its ninth session, by <a href="#">Decision 9.COM 13.g</a> 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.</li> <li>The duration of the ninth and tenth sessions of the Committee was five days respectively (one day less than the eighth session).</li> <li>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).</li> <li>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 (<a href="#">Resolution 6.GA 7</a>).</li> <li>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'.</li> <li>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.</li> </ul>

<p>(d) Remind States that additional languages will only be offered if extrabudgetary funding is secured.</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Saudi Arabia generously financed Arabic interpretation for the ninth session of the Committee.</li> </ul>
<p>(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.</p>		<ul style="list-style-type: none"> <li>• 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' (<a href="#">Decision 8.COM 11</a>).</li> <li>• The Secretariat applies cost recovery on funds allocated for financial assistance from the Intangible Cultural Heritage Fund (<b>action completed</b>).</li> </ul>
<p><b>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.</b></p>		
<p><b>Actions Planned</b></p>	<p><b>Expected Date of Implementation</b></p>	<p><b>Status</b></p>
<p>(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).</p>	<p>November 2014</p>	<ul style="list-style-type: none"> <li>• The General Assembly, at its fifth session, adopted amendments to the Operational Directives to establish a single Evaluation Body (<a href="#">Resolution 5.GA 5.1</a>).</li> <li>• The first Evaluation Body was established in November 2014 (<a href="#">Decision 9.COM 11</a>), which evaluated the files for the 2015 cycle (<b>action completed</b>).</li> </ul>



**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	<ul style="list-style-type: none"> <li>Common Services Unit established in July 2014 (<b><u>action completed</u></b>).</li> </ul>

**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	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> <li>CCS collaborates with ITH in the development of a communications and outreach strategy</li> <li>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.</li> </ul>