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

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

**Tenth session**

**Windhoek, Namibia**

**30 November to 4 December 2015**

**Item 15.c of the Provisional Agenda:**

**Follow-up on audits and evaluations**

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| **Summary**  UNESCO’s Internal Oversight Service (IOS) completed in 2013 the evaluation of UNESCO’s standard-setting work of the Culture Sector, Part I of which concerns the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage. The evaluation was complemented by an audit of the working methods of all six cultural conventions.  This document presents the status of the implementation of 24 recommendations of the evaluation (Part A), the follow-up on the four recommendations of the audit report of the working methods of all six culture conventions (Part B) and a draft decision for the Committee’s consideration (Part C).  **Decision required:** paragraph 9 |

1. **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.**
2. 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.](http://unesdoc.unesco.org/images/0022/002230/223095f.pdf)). The purpose of the evaluation was to 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.
3. Preliminary findings were presented to the Executive Board at its 192nd session in 2013 ([document 192 EX/5 Part II](http://unesdoc.unesco.org/images/0022/002224/222446f.pdf)) 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](http://unesdoc.unesco.org/images/0022/002268/226876f.pdf)). 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.
4. Furthermore, the evaluation was presented to the Committee at its eighth session in 2013 ([document ITH/13/8.COM/5.c](http://www.unesco.org/culture/ich/doc/src/ITH-13-8.COM-5.c-FR.doc)). During that session the Committee considered the recommendations of the evaluation and adopted Decision 8.COM 5.c.1.
5. The table below summarises the planned actions with deadline and the status of such actions taken for each of the twenty-four recommendations of the evaluation.

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| **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 Directive has been submitted to the Committee at its ninth session (December 2014) for discussion and its tenth session (December 2015) for endorsement. Revised Operational Directives could be adopted by the General Assembly 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 | | * The gender specific guidance was integrated in October 2015 in the ICH‑01 and ICH-02 nomination forms for the 2017 cycle (**action completed**). | |
| Revise Form ICH-10 on periodic reporting (Reports by States Parties on the implementation of the Convention). | November 2014 | | * ICH-10 form revised in December 2014 (**action completed**). | |
| Include gender paragraph in the draft Operational Directives on sustainable development. | June 2016 | | * The ninth session of the Committee discussed the amendment of the Operational Directives to include ‘gender equality’ in the section concerning ‘Safeguarding Intangible Cultural Heritage and Sustainable Development at national level’. * This amendment is to be discussed at the tenth session ([document ITH/15/10.COM/14.a](http://www.unesco.org/culture/ich/doc/src/ITH-15-10.COM-14.a_EN.docx)); if endorsed, the Committee will recommend that the General Assembly in June 2016 approve it. | |
| **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. | | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** | |
| Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops. | December 2015 | | * 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). * A UNESCO guidance note on providing advisory services for policy development in the field of intangible cultural heritage, made available in June 2015, underlines the role of non-governmental organizations and community involvement. * An independent training material unit on policy and legal development will be available in English by November 2015, integrating the importance of non-governmental organizations and community involvement. | |
| Integrate these aspects in the aide-mémoire for elaborating nomination files and for periodic reports. | October 2015 | | * The February 2015 version of the aide-mémoire mentions in several places the importance of non-governmental organizations and community involvement. * The new version of the aide-mémoire on nominations and periodic reporting shall include a dedicated section on non-governmental organizations and community participation. | |
| **Recommendation 3: Enhance cooperation with sustainable development experts for integrating ICH into non-cultural legislation and policy, and for other work related to ICH and sustainable development.** | | | | |
| **Management Response**: Although the implementation of this recommendation is the direct responsibility of the States Parties, the Secretariat is also integrating and/or strengthening these aspects in its capacity-building (curriculum and training of trainers), and when developing new Operational Directives on Intangible Cultural Heritage and sustainable development. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops. | | Ongoing | | * As regards the integration of intangible cultural heritage into non-cultural legislation and policy, greater cooperation with the sustainable development experts allowed: * the elaboration of a new format for policy and legal support in the capacity-building programme * the elaboration of a dedicated unit (Unit 8) on intangible cultural heritage and sustainable development under the capacity-building material * the elaboration of a UNESCO guidance note on providing advisory services for policy development. * The regional workshop for expert facilitators from Africa (Constantine, Algeria, September 2015) focused on supporting policy development in the field of intangible cultural heritage in Africa and also discussed the difficulties of integrating intangible cultural heritage policy into non‑cultural legislation and policies. |
| Develop new Operational Directives on Safeguarding Intangible Cultural Heritage and Sustainable Development. | | June 2016 | | * Development experts participated in the elaboration of the draft amendment of the Operational Directives on Intangible Cultural Heritage and Sustainable Development; this amendment was submitted to the ninth session of the Committee for debate and to the tenth session for endorsement. (ITH/15/10.COM/14.a); * If endorsed, the Committee will also recommend the General Assembly in June 2016 to approve it. |
| **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.** | | | | |
| **Management Response**: The Secretariat is strengthening its policy and legal advisory services in all current and future capacity-building activities. New training material to be developed, trainers of trainer to be conducted accordingly. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Design and use new curriculum. | | December 2015 | | * A workshop on developing a new format for policy advice in the Convention’s capacity-building programme was held in June 2014 at UNESCO headquarters. * Three papers were drafted on issues and experiences of policy and legal development in the field of intangible cultural heritage. * A UNESCO guidance note providing advisory services for policy development in the field of intangible cultural heritage was produced and made available in June 2015 in English and French. * New training material for workshops with national counterparts on policy development is under preparation. |
| Train trainers. | | Ongoing | | * The issue was addressed during the training of expert facilitators for the Arab states (May 2014); Europe and Central Asia (September 2014); and Asia and the Pacific (January 2015). * A training workshop for expert facilitators for Africa was held on ‘Supporting policy development in the field of intangible cultural heritage in Africa’ (September 2015). |
| Integrate new specialized trainers in policy development in the network of trainers. | | Ongoing | | * Four new trainers specialized in cultural policy development have been integrated in the Convention’s network of expert-facilitators. * Trainers specialized in cultural policy will participate in a multi-year capacity-building project planned in countries from Asia and the Pacific. * Trainers will participate in future policy support activities of the capacity‑building programme. |
| **Recommendation 5: Cooperate with sustainable development experts when supporting State Parties with the integration of ICH into non-cultural legislation and policy, and with other work related to ICH and sustainable development.** | | | | |
| **Management Response**: Sustainable development experts are being integrated in the Intangible Cultural Heritage UNESCO trainers network, in order to complement those experts/trainers less familiar with the broader development issues. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Publish and disseminate brochure ‘Intangible Cultural Heritage and Sustainable Development’(ITH info kit). | | October 2015 | | * A brochure was published in October 2015 and will be used by UNESCO Field Offices, as well as disseminated at the tenth session of the Committee. |
| Revise final reporting template for training to include a question on participating sustainable development experts. | | December 2015 | | * Revision to be completed by the end of December 2015. |
| Guide for field offices to be elaborated. | | December 2015 | | * The Intangible Cultural Heritage Section, having consulted its Field Offices, drafted a guidance note that will be disseminated to them. |
| **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.** | | | | |
| **Management Response**: 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. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Define the methodology and work plan to align with overall theory of change. | | June 2015 | | * The Intangible Cultural Heritage Section consulted IOS, expert facilitators, selected national counterparts and UNESCO Field Offices, who provided consultation on methodology; the work process is defined with a budget estimate (**action completed**). |
| Put in place the mechanism. | | 2016 | | * The mechanism will be put in place in 2016. |
| **Recommendation 7: Review (and adapt if necessary) the content and format of the capacity building strategy to ensure that it responds to the major implementation challenges at the national level.** | | | | |
| **Management Response**: Review meetings are conducted regularly in order to assess the content and format of the capacity-building strategy, in particular to adapt it to the evolving needs at the national level. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Initial adaptations reflected in updated logframe based on IOS evaluation. | | Ongoing | | * The progress and final reporting templates of capacity-building projects were revised with an updated logframe to include information of major implementation challenges at the national level. |
| Review meetings and competence upgrading with facilitators and FOs. | | Ongoing | | * The Secretariat received recommendations for further revisions from Africa, the Arab Region, Asia and the Pacific, Central Asia and Europe. . |
| Draw lessons from a consolidated analysis of all facilitators’ report by region. | | December 2015 | | * A cross-regional analysis of the expert facilitators’ reports will be produced by the end of 2015. |
| Specific activities and financial provisions for policy assessments integrated in capacity building programme. | | Ongoing | | * The budget of new capacity-building projects systematically includes provisions for policy assessments/development. |
| Introduce new units on gender, sustainable development and policy development. | | December 2015 | | * 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. * A new training unit on sustainable development is under preparation. * A training unit on policy development is under preparation. |
| **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.** | | | | |
| **Management Response**: 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. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Stop the publication of leaflet of yearly inscribed elements and publish Brochures only on Urgent Safeguarding List and Best Safeguarding Practices. | | Ongoing | | * Yearly publication on inscribed elements has stopped. * Brochures on USL and BSP are under preparation. |
| USL, IA and RL purpose highlighted in presentations, speeches, media interviews, media kit, etc. | | Ongoing | | * The purpose of USL, IA and RL is highlighted in presentations, speeches, etc. |
| **Recommendation 9: Clarify to State 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 emphasise the purpose and use of the Representative List. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Highlight USL, IA and RL purpose in presentations, speeches, media interviews, media kit, etc. | | Ongoing | | * The purpose of USL, IA and RL is highlighted in presentations, speeches, media interviews, media kit, etc. |
| **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.** | | | | |
| **Management Response**: To be applied by the Committee and its advisory bodies; Secretariat includes this point in training sessions for Evaluation Body. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| 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 | | * The Secretariat prepared the evaluation and presented it as a working document for examination by the Committee at its ninth session ([document  ITH/14/9.COM/13.d](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.d-EN.doc)) (**action completed**). |
| Secretariat to include this point in training sessions for advisory bodies. | | Ongoing | | * The members of the Consultative and Subsidiary Bodies were trained in March 2014 and members of the Evaluation Body trained in April 2015. * New members of the Evaluation Body to be trained in each cycle. |
| **Recommendation 11: Suspend the Subsidiary Body, so that all nominations are evaluated by one common and independent body.** | | | | |
| **Management Response**: Operational Directives adopted for one single Evaluation Body and the new Evaluation Body will start its operations in 2015. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Operational Directives adopted for one single Evaluation Body. | | June 2014 | | * The General Assembly, during its fifth session, decided (Resolution  5.GA 5.1) that ‘the evaluation [of files] shall be accomplished by a consultative body of the Committee established in accordance with Article 8.3 of the Convention, to be known as the "Evaluation Body'" (paragraph 27 of the Operational Directives) (**action completed**). |
| Single Evaluation Body operational. | | October 2015 | | * The first Evaluation Body evaluated all files submitted under the 2015 cycle (**action completed**). |
| **Recommendation 12: Reconsider and complement the Register of Best Safeguarding Practices by developing alternate, lighter ways of sharing safeguarding experiences such as dedicated websites, e-newsletters, online forums, etc. (This recommendation is linked to Recommendation 19.)** | | | | |
| **Management Response**: Different stakeholders, and in particular NGO Forum, have to be consulted on lighter and alternative ways. Best practices can be identified through the analysis of periodic reports. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Consult different stakeholders, and in particular with NGO Forum, on lighter and alternative ways. | | September 2014 | | * NGO Forum representatives were consulted in December 2013, Members of the Consultative Body in September 2014 and category 2 centres in October 2014 (**action completed**). |
| Identify best practices through the analysis of periodic reports. | | Ongoing | | * The syntheses of the 27 and 24 periodic reports submitted for examination by the Committee at its ninth and tenth sessions respectively contain analysis on safeguarding practices. |
| **Recommendation 13: Give priority to International Assistance requests within the ceiling of files to the Convention’s mechanisms** | | | | |
| **Management Response**: Was proposed by the Secretariat to the Committee at its eighth session ([document ITH/13/8.COM/5.c](http://www.unesco.org/culture/ich/doc/src/ITH-13-8.COM-5.c-EN.doc)) but not accepted by the Committee. The Secretariat is nevertheless giving important support to International Assistance request mechanism and follow-up. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| 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 | | * To be discussed during the tenth session of the Committee. |
| Present to the General Assembly amendment of the Operational Directives to increase the ceiling of International Assistance requests that can be approved by the Bureau (currently up to US$25,000). | | June 2016 | | * The General Assembly to approve at its sixth 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 be approved by the Bureau (currently up to US$25,000). |
| **Recommendation 14: Promote International Assistance as a capacity building mechanism for State Parties.** | | | | |
| **Management Response**: The Secretariat is providing 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 for International Assistance elaboration as appropriate and promote other forms than just donations. | | Ongoing | | * Following the Committee’s request, the Secretariat ‘devise[d] a means, to offer technical assistance, through the provision of experts, as described in Article 21 of the Convention, to States Parties wishing to elaborate requests for International Assistance’ (Decision 8.COM 7.c). * Eight countries have already benefited from this mechanism. * The Secretariat will promote the use of international assistance in forms other than just donations, as per Article 21 of the Convention ([document ITH/15/10.COM/8](http://www.unesco.org/culture/ich/doc/src/ITH-15-10.COM-8_EN.docx)). |
| Integrate and track trainings on International Assistance elaboration within CAP projects. | | December 2015 | | * International Assistance was integrated in workshops on the different curriculum areas (safeguarding, nominations, etc.). * New comprehensive training materials on elaborating International Assistance were commissioned and will be available in English by the end of 2015. |
| **Recommendation 15: Strengthen UNESCO’s cooperation with WIPO over traditional knowledge and culture to ensure an ongoing exchange and learning between the two organizations and their Member States, especially in the context of WIPO’s current discussions about a new international standard-setting instrument for the protection of the intellectual property rights of communities** | | | | |
| **Management Response**: To the extent possible considering its human resources, the Secretariat will increase its cooperation with WIPO, in particular in organizing joint events/meetings and in participating in WIPO’s governing bodies meetings as observer. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Strengthen UNESCO’s cooperation with WIPO to ensure ongoing exchange and learning between the two organizations and their Member States concerning traditional knowledge and cultural expression. | | Ongoing | | * To ensure the strengthening of UNESCO’s cooperation with WIPO, the Bureau of the Committee approved funds for this purpose in the spending plan for the use of ITH Funds dedicated to ‘other functions of the Committee’. * The Secretariat of the 2003 Convention participated in an expert meeting convened in June 2014 by the United Nations Special Rapporteur on the subject, ‘the impact of intellectual property regimes on the enjoyment of the right to science and culture’. * The Secretariat collaborated with WIPO in organizing a conference on ‘Intellectual Property, Intangible Cultural Heritage and Traditional Medicine in the context of policies for the safeguarding of the intangible cultural heritage in the countries of South-Eastern Europe’ hosted by the Regional Centre for the Safeguarding of Intangible Cultural Heritage in South-Eastern Europe in Sofia, Bulgaria, in April 2015. * The Secretariat participated in a seminar organized by WIPO in June 2015 on ‘Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore’ to discuss the effective protection of traditional cultural expressions, knowledge and genetic resources, exploring initial ideas for cooperation to create synergies with relevant standard-setting instruments, including the 2003 Convention. |
| **Recommendation 16: Create opportunities for joint thinking, exchange of experiences, cooperation and synergies between UNESCO’s culture conventions of 1972, 2003 and 2005 and establish appropriate mechanisms for this.** | | | | |
| **Management Response**: The Cultural Conventions Liaison Group, comprising the Secretaries of the respective conventions and senior CLT management, is meeting regularly and sharing information. Sub-groups on different topics (periodic reports, international assistance, etc.) are also sharing resources and methodologies. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Participate in the CCLG, comprising the Secretaries of the conventions and senior CLT management. | | Ongoing | | * The Secretariat informed the Committee on progress made during its ninth session ([document ITH/14/9.COM/13.h](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.h-EN.doc) and Decision 9.COM 13.h). |
| Facilitate thinking on synergies between 2003 and 2005 in the field of capacity building. | | Ongoing | | * The Secretariat reported to the Committee on progress achieved during its ninth session ([document ITH/14/9.COM/13.h](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.h-EN.doc) and Decision 9.COM 13.h). * Since the ninth session of the Committee, the Secretariat:   + organized a workshop on ‘How to provide policy advice effectively?’ with the participation of the 2003 and 2005 Convention Secretariats   + adapted the policy advice format of the 2003 Convention’s capacity‑building programme to promote synergy   + organized a workshop for facilitators on providing effective policy support in Africa that included experts from the 2005 Convention. |
| Integrate the services of the CLT/CCS effectively into the work of the Section. | | Ongoing | | * The Common Convention Services Unit (CLT/CCS) supported the organization of the ninth and tenth sessions of the Committee. * An evaluation of the work of CLT/CCS is currently being conducted by IOS. |
| Facilitate meetings between Chairpersons of the six UNESCO culture conventions. | | Ongoing | | * In June 2015, during the 39th session of the World Heritage Committee in Bonn, Germany, the Chairs of the six UNESCO culture conventions met for the first time to discuss ways of working together more effectively. * In their statement, the Chairs emphasized the need for renewed political will to support UNESCO’s culture conventions and encouraged the United Nations to ensure that the protection, safeguarding and understanding of cultural and natural heritage, cultural diversity and creative expression worldwide be recognized as a cross-cutting issue in implementation of the interrelated goals of the Post-2015 Development Agenda. * The statement also recommends that the Chairpersons meet regularly to evaluate progress and form a common vision going forward. |
| **Recommendation 17: Encourage representatives of accredited NGOs to participate in IGC debates prior to voting on agenda items and include the outcomes of the NGO forums (such as the NGO Statements) in the Committee agendas** | | | | |
| **Management Response**: 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. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status)** |
| Integrate NGO Statement in the agenda  Encourage NGOs to prepare their interventions prior to the session. | | Ongoing | | * The NGO statement was integrated in the timetable of the ninth and tenth sessions of the Committee. * The NGO Statement will continue to be integrated in the timetable of the Committee sessions. |
| **Recommendation 18: Revise the accreditation process and criteria for NGOs to ensure that all accredited NGOs have the required experience and capacity to provide advisory services to the Committee** | | | | |
| **Management Response**: The General Assembly at its fifth session in June 2014 rejected the draft Directives prepared by the Secretariat revising the criteria of accreditation to ensure that all accredited NGOs have the required experience and capacity to provide advisory services to the Committee. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| The General Assembly at its fifth session in June 2014 rejected the draft Operational Directives prepared by the Secretariat revising the criteria of accreditation ([document ITH/14/5.GA/5.1](http://www.unesco.org/culture/ich/doc/src/ITH-14-5.GA-5.1-EN.doc)). | |  | | None |
| **Recommendation 19: Encourage a debate on the role of the private sector and of private/public partnerships in safeguarding ICH at all levels (national, regional and international) in order to better define its potential for cooperation and involvement.** | | | | |
| **Management Response**: To be implemented at the Culture Sector level. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Coordinate with the overall Culture sector fund-raising strategy.  Explore options to integrate in CAP activities and consult on potential methodology. | | Ongoing | | * 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. * Additionally, CCS has proposed workflows in respect of private sector resource mobilization to the Conventions Secretaries. * The results have yet to be achieved. |
| **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** | | | | |
| **Management Response**: See action under recommendations 12 and 19 | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| See action under recommendations 12 and 19. | |  | |  |
| **Recommendation 21: Revise the periodic reporting form to include specific questions on policy, legislation and gender, and to ensure that the reports focus on results rather than on activities.** | | | | |
| **Management Response**: The periodic reporting forms have been revised to include specific questions on policy, legislation and gender. Draft Operational Directives have been proposed to ninth session of the Committee and endorsed. The General Assembly at its sixth session (June 2016) to adopt the amended Operational Directives. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Revise Form ICH-10 (Reports by States Parties on the implementation of the Convention)  Propose draft Operational Directives in order to ensure that Periodic Report to include these issues. | | June 2016 | | * The Committee, at its ninth session, discussed and endorsed draft amendments to the Operational Directives on periodic reporting and recommended that the General Assembly approves these amendments at its sixth session (Decision 9.COM 13.a). * The draft amendments to the Operational Directives will submitted for approval to the General Assembly in June 2016. * ICH-10 form (Reports by States Parties on the implementation of the Convention) was revised in December 2014. |
| **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** |
| Organise working group of the Committee to discuss results framework  Mobilize extrabugetary funding for such working group. | | June 2016 | | * 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 (Decision 9.COM 13.e). * The Committee has been asked to approve for the present 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. |
| **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** |
| Encourage States to complement the data gathered on the implementation of the Convention with information provided by relevant non-governmental organizations.  Revise the forms for periodic reporting accordingly. | | December 2014 | | * ICH-10 form revised in December 2014 (**action completed**). |
| **Recommendation 24: Strengthen monitoring and evaluation of the implementation of the Convention at the national level.** | | | | |
| **Management Response**: 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 Aide-Mémoire for Periodic Reports. | | | | |
| **Actions Planned** | | **Expected Date of Implementation** | | **Status** |
| Integrate and/or strengthen these aspects in the capacity-building material and training of trainers workshops.  Integrate these aspects in the aide-mémoire. | | 2016/2017 | | * Training materials to be developed and aide-mémoire updated once the overall results framework for the Convention is available  (see Recommendation 22). |

1. **Part B: Progress report on the follow-up on the four recommendations of the audit report of the working methods of all six culture conventions.**
2. UNESCO’s Internal Oversight Service (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](http://unesdoc.unesco.org/images/0022/002232/223256e.pdf)). As a result, the audit generated four recommendations that essentially seek to streamline and rationalize various statutory processes and achieve cost efficiencies.
3. 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](http://www.unesco.org/culture/ich/doc/src/ITH-13-8.COM-5.c-EN.doc)). 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.
4. During its ninth session the Committee examined two documents responding to Decision 8.COM  5.c.2 and to the recommendations of the audit:
   1. [Document ITH/14/9.COM/13.f](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.f-EN.doc) responding to paragraph eight of Decision 8.COM  5.c.2 and Recommendation 4,
   2. [Document ITH/14/9.COM/13.g](http://www.unesco.org/culture/ich/doc/src/ITH-14-9.COM-13.g-EN_.doc) responding to paragraph eleven of Decision 8.COM  5.c.2 and Recommendation 1(c).
5. The table below presents concrete actions planned or taken and the status for the implementation of the Audit’s recommendations.

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| --- | --- | --- | --- |
| **Recommendation 1: We recommend that the convention secretariats formulate proposals to the Governing Bodies of UNESCO and/or of the Convention(s) to:**   1. Supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents, 2. prioritize the current work load of the convention secretariats to align it with available resources, 3. 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, 4. harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages, and 5. modify the financial rules and regulations if necessary to allow application of cost recovery policy. | | | |
| **Actions Planned** | **Expected Date of Implementation** | **Status** | |
| (a) Remind States regularly of the existence of the Convention’s sub-fund. | Ongoing | * The Committee, at its ninth and tenth sessions, was reminded and encouraged States to contribute as indicated in Decision 9.COM 7 and [document ITH/15/10.COM/9](http://www.unesco.org/culture/ich/doc/src/ITH-15-10.COM-9_EN.docx). | |
| (b) Keep the reduced number of files to a maximum of 50 per cycle. | Ongoing | * The Committee, at its ninth session, decided on 50 files per cycle for 2016 and 2017 (Decision 9.COM 12). * The Secretariat proposes to the Committee to consider 50 files per cycle for 2017 and 2018 at its tenth session. | |
| (c) Reduce Timetable of the sessions of the Committee. | Ongoing | * The Committee, during its ninth session, by Decision 9.COM13.g 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. * The duration of the ninth and tenth sessions of the Committee is 5 days (one day less than the previous session). * No non-governmental organizations accreditation item in the 9.COM session but included for examination in the 10.COM session and once every two years thereafter. * Draft amendments to the Operational Directives on the schedule of non-governmental organizations accreditation will be discussed by the Committee during its tenth session and if endorsed, the Committee will also recommend the General Assembly in June 2016 to approve them. | |
| (d) Remind States that additional languages only offered if extrabudgetary funding secured. | Ongoing | * Arabic and Spanish speaking States were reminded before the ninth and tenth sessions of the Committee that interpretation in additional languages would be offered if extrabudgetary funding could be secured. * Saudi Arabia generously financed Arabic interpretation for the ninth session of the Committee. | |
| (e) The existing financial rules and regulations of the Organization and of the Intangible Cultural Heritage Fund allow the application of the cost recovery policy. |  | * The Committee, during its eight session, took note ‘of the Organization’s cost recovery policy (Administrative Manual, item 5.9); and request[ed] the Secretariat to apply the policy consistently when using the resources of the [Intangible Cultural Heritage] Fund’ (Decision 8.COM 11). * The Secretariat has started applying cost recovery on funds allocated for financial assistance from the Intangible Cultural Heritage Fund (**action completed**). | |
| **Recommendation 2: We recommend that the convention secretariats, where applicable, explore more efficient ways of 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** | |
| (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). | November 2014 | | * The General Assembly, at its fifth session, adopted amendments to the Operational Directives to establish a single Evaluation Body (Resolutions 5.GA 5.1). * The first Evaluation Body was established in November 2014 (Decision 9.COM 11), which evaluated the files for the 2015 cycle (**action completed**). | |
| **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.** | | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** |
| Establish a Culture Conventions Common Service Platform. | July 2014 | | * Common Services Unit established in July 2014 (**action completed).** |
| **Recommendation 4: We recommend that the CLT Sector formulate, in consultation with BSP/CFS, a coordinated fund raising strategy for all conventions secretariats and form a common resource mobilization team.** | | | | |
| **Actions Planned** | **Expected Date of Implementation** | | **Status** |
| The Conventions Common Services Unit will be in charge of developing the coordinated fund raising strategy for all conventions and resources mobilization. | 2016 | | * 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. |

**C. Draft Decision**

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

DRAFT DECISION 10.COM 15.c

The Committee,

1. Having examined document ITH/15/10.COM/15.c,
2. Recalling documents [IOS/EVS/PI/129 REV.](http://unesdoc.unesco.org/images/0022/002230/223095e.pdf) and [IOS/AUD/2013/06](http://unesdoc.unesco.org/images/0022/002232/223256e.pdf), and Decisions 8.COM 5.c.1, 8.COM 5.c.2, 9 COM 13.e, 9 COM 13.f, 9 COM 13.g, and 9 COM 13.h,
3. Acknowledges with satisfaction that the Secretariat has made a good progress in response to the recommendations of the evaluation and audit as well as of its corresponding decisions, and wishes that such effort be continued as planned;
4. Recommends to the General Assembly to approve the amendment of all relevant paragraphs of the Operational Directives to increase from US$25,000 to US$100,000 the requests for international assistance that can be approved by the Bureau of the Committee;
5. Commends China for its generous offer of a voluntary supplementary contribution to the Intangible Cultural Heritage Fund to support the organization of an expert meeting on developing an overall results framework for the Convention,
6. Acknowledges the increasing reliance of the Organization on extrabudgetary contributions and requests the Secretariat to submit the proposed coordinated fund-raising strategy for its consideration;
7. Further requests the Secretariat to report the progress made on the follow-up on the audits and evaluations for examination by the Committee at its eleventh session in 2016.