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

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

**Seventh session**

**UNESCO Headquarters, Room II**

**4 to 6 June 2018**

**Item 9 of the Provisional Agenda:**

**Draft overall results framework**

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| **Summary**At its eighth session, the Committee decided to develop an overall results framework for the Convention. The preparation took place through a preliminary expert meeting that was held in Beijing, China, from 7 to 9 September 2016, and through an open-ended intergovernmental working group which was convened in Chengdu, China, from 11 to 13 June 2017. At its twelfth session, the Committee examined the draft overall results framework and recommended that the General Assembly approve it. The present document provides such a framework in its annex and presents an overview of its content, its implications for States Parties and possible ways of rolling it out.**Decision required:** paragraph 19 |

#### Introduction

1. In its 2013 evaluation of the standard-setting work of UNESCO’s Culture Sector[[1]](#footnote-1), UNESCO’s Internal Oversight Service (IOS) noted that the Committee’s task of monitoring the implementation of the Convention – one of its functions as set out in Article 7 of the Convention – was impeded by the lack of an overall results framework agreed upon by its States Parties. As the IOS noted, ‘capturing and reporting on results (outputs and outcomes) is only possible if it is clear what results are to be achieved. This is not the case right now. […] Drawing conclusions about the progress made with regard to the implementation of the Convention is difficult in the absence of objectives, indicators and benchmarks’. After a debate at its eighth session, the Committee therefore decided to ‘develop an overall results framework for the Convention including clear objectives, time-frames, indicators and benchmarks’ ([Decision 8.COM 5.c.1](https://ich.unesco.org/en/Decisions/8.COM/5.c.1)).
2. Recognizing ‘the necessity for an inclusive process of consultation and discussion in the development of such a framework’, the Committee decided to convene an intergovernmental working group to that end, on the condition that adequate extrabudgetary resources be mobilized ([Decision 9.COM 13.e](https://ich.unesco.org/en/Decisions/9.COM/13.e)). As a preliminary step, the National Commission of the People’s Republic of China for UNESCO offered to support a smaller meeting of experts that could develop a preliminary framework, to be submitted to a subsequent intergovernmental working group. From 7 to 9 September 2016 in Beijing, China, UNESCO organized a category VI meeting; that is, a meeting of a non-representative character of experts appointed by the Director-General serving in their private capacity. The meeting brought together twenty-one experts from different UNESCO Member States and Associate Members, working in governmental and non-governmental institutions, in communities or practitioner groups. The report of the expert meeting can be found in document [ITH/16/11.COM/14](https://ich.unesco.org/doc/src/ITH-16-11.COM-14-EN.docx).
3. At its eleventh session, the Committee expressed its satisfaction with the outcomes of the expert meeting, taking particular note of the results map that the experts had produced ([Decision 11.COM 14](https://ich.unesco.org/en/Decisions/11.COM/14)). The Committee welcomed an expression of interest from China to host the open-ended intergovernmental working group, as it had called for during its ninth session. That meeting, made possible thanks to the generous contribution of the Centre for Safeguarding Intangible Cultural Heritage in Chengdu, took place from 11 to 13 June 2017. The report of the working group figures as Annex 1 to document [ITH/17/12.COM/9](https://ich.unesco.org/doc/src/ITH-17-12.COM-9-EN.docx), and its summary records are available in document [ITH/17/12.COM/INF.9](https://ich.unesco.org/doc/src/ITH-17-12.COM-INF.9-EN.docx).
4. The working group built its work upon the high-level results map that had been put forward by the 2016 expert group and unanimously and enthusiastically approved a draft overall results framework which was then transmitted to the Committee for examination. In turn, the Committee examined it at its twelfth session from 4 to 9 December 2017 in Jeju Island, Republic of Korea (document [ITH/17/12.COM/9](https://ich.unesco.org/doc/src/ITH-17-12.COM-9-EN.docx)), expressed satisfaction with the outcomes of the working group and recommended that the General Assembly approve the draft overall results framework as included in the Annex to the present document.
5. The Committee also requested that the Secretariat convene an information meeting on the overall results framework ([Decision 12.COM 9](https://ich.unesco.org/en/Decisions/12.COM/9)). At the time of writing this document, the meeting was supposed to be held on 20 April 2018 and was intended to allow States to become more familiar with the framework and its content, and to better understand its practical implications for them as well as the possible future steps for its implementation, which are also presented at the current session of the General Assembly.

#### Draft overall results framework

1. The draft overall results framework identifies long-term, mid-term and short-term outcomes as well as eight thematic areas under which a set of twenty-six core indicators were identified together with an associated set of eighty-six assessment factors, intended to allow for the effective measurement of the outputs, outcomes and impacts of the 2003 Convention.
2. The twenty-six indicators represent an agreed consensus about what information can be considered as a sign of success or progress in the implementation of the Convention. For each core indicator, the draft framework presents two or more assessment factors against which that indicator will be assessed; these generally refer to the situation within a single State Party and variously include outcomes or outputs. Each State monitors and reports on the existence (or absence) of these factors within its territory. Because each indicator has two or more associated factors against which it will be assessed, it is possible to report that within a given State Party, an indicator is satisfied fully or partially. In most cases, these factors and their terminology are drawn directly from the various provisions of the Convention and its Operational Directives, in which States Parties are obliged or encouraged to ensure that specific conditions are met, either through their own actions or by facilitating the actions of others.[[2]](#footnote-2)
3. It should be noted that the core indicators are generally formulated in terms of ‘Extent to which [a given situation exists or change has been achieved]’. It is not accidental that they do not say ‘Extent to which the State(s) Party(ies) have [done X or implemented Y]’, since often a large number of actors contribute to the results. The attainment of expected results in fact depends on the collaboration and engagement of a wide range of actors, particularly the ‘communities, groups and, where appropriate, individuals that create, maintain and transmit [intangible cultural] heritage’ (Article 15). It is essential that the assessment factors thus include both those initiatives that arise within the communities or groups themselves and those interventions that come from outside communities or groups (including those that originate with the State).
4. Because the overall results framework is intended to be used both at the international and national levels, when the core indicators refer to ‘Extent to which…’, this needs to be understood in two ways, varying with the context. For monitoring and evaluation at the global level, ‘Extent to which…’ will usually be quantified as the proportion or percentage of States Parties in which the given situation exists or change has been achieved, and to what degree. When the same indicator is used by a State Party for its own monitoring and evaluation at the country level, ‘Extent to which…’ refers to the degree to which that given situation exists or change has been achieved within the territory of that State.
5. The draft set of core indicators and assessment factors are closely focussed on the kinds of information that States Parties would regularly provide in their periodic reports on the implementation of the Convention at the national level, as required by the Convention in its Article 29 and Article 12 (see also Chapter V of the Operational Directives). The usefulness of the overall results framework depends directly on the periodic reporting process, keeping in mind that the results framework should not impose new reporting obligations on States Parties. This does not mean that there cannot be synergies with other reporting mechanisms such as those for the Sustainable Development Goals of Agenda 2030, or that other complementary sources of information cannot also be invaluable in assessing the impact of the Convention. However, it is assumed that the principal source of information for the overall results framework will be the periodic reports, and that those reports will provide sufficient information to determine whether each of the core indicators is achieved (with the exception of indicators 23 and 26, which will have to be monitored at the global level, drawing upon information already being gathered by the Secretariat).

#### Guidance notes, baselines and targets

1. The documents examined by the open-ended working group and the Committee included two sample guidance notes (see Annex 3 of document [ITH/17/12.COM/9](https://ich.unesco.org/doc/src/ITH-17-12.COM-9-EN.docx)). For the overall results framework to be implemented effectively, it is important that all those involved in monitoring, reporting and evaluation share a consensus about the scope of each indicator and a common understanding of how to measure the degree to which it has been attained. As recommended by the working group, and if the General Assembly so agrees, the Secretariat will continue to prepare similar guidance notes for all twenty-six core indicators, reflecting the perspectives and helpful suggestions raised during the working group’s debates.
2. Additional work will also remain to be done to define the baselines and targets for each core indicator. UNESCO’s *Guiding Principles* explain that the baselineprovides the starting point or status of the performance indicator at the beginning of a programme or project that acts as a reference point against which the progress or achievements in terms of the results can be assessed.[[3]](#footnote-3) It continues: ‘the targetis a measure associated to a performance indicator to be attained during a specific period with available resources’.[[4]](#footnote-4) In the case of the overall results framework for the Convention, baselines and targets will need to be established at both the global and the country levels. For instance, a target at the global level might call for a given indicator, within a predetermined time period, to be fully satisfied in X% of States Parties, partially satisfied in Y% of States Parties, and not satisfied in Z% of States Parties. In a subsequent period, for instance, the target would be revised to call for an increase in the fully satisfied percentage, and a drop in the not satisfied percentage. At the country level, based on its own priorities, resources and capacities, a State Party itself might set a target to fully satisfy the indicator within a given time period, or its target might be to satisfy the indicator to a certain degree or not at all.
3. This will necessarily involve two parallel processes, inasmuch as the global targets would be established through an international consultative process, while the country-level targets would be established by each State Party according to its own situation, capacities and priorities. The same applies to baselines, which will have to be determined both for global-level and country-level results. To serve effectively, both the targets and the baselines need to be realistic, based on actual experience, and in the case of targets, attainable. Targets should not be so easy that they will always be met, but neither should they be so ambitious that achievements will always fall short. In order to establish realistic targets, it is first necessary – to the greatest extent possible – to establish reliable baselines. In the case of certain indicators, a retrospective analysis of existing periodic reports may be sufficient to define a credible baseline, but in many cases the existing reports will not provide enough dependable comparative data to permit a baseline to be defined initially. At the country level, by contrast, it may be easier for a State Party to develop a baseline based on its own knowledge of the circumstances within that country. Over time, the actual achievements in one period can serve as reliable baselines for the next period, but it should be expected that the process of determining baselines will be imperfect at first and improve over successive cycles.
4. The working group and the Committee agreed with the Secretariat’s suggestion that it was prudent to approach the problem of baselines and targets at a later stage, once States Parties had reached a general agreement on the draft framework as annexed to this document. This is all the more true since the baselines and targets will be revised regularly, with each monitoring cycle, while the results map and indicators will most likely change less over time. For country-level baselines and targets, each State Party would determine its own schedule for defining them; this exercise can be part of the periodic reporting one, and will therefore depend on its schedule, which will probably change if the General Assembly so agrees (document [ITH/18/7.GA/10](https://ich.unesco.org/doc/src/ITH-18-7.GA-10-EN.docx)).

#### Results-based reporting and rolling out the overall results framework

1. The 2013 IOS recommendation to ‘Develop an overall results framework for the Convention […] including clear objectives, time‐frames, indicators and benchmarks’ was one of several recommendations aimed at improving the reporting, monitoring and evaluation of the Convention. Another of its recommendations was to improve periodic reporting by having it focus on results – something that could not easily be achieved in the absence of an agreed results framework for the Convention. In its report, the working group recommended that the Committee ‘Consider how best to implement the results framework and integrate it into the ongoing processes of reporting, monitoring and evaluation of the Convention at the global level and within each of its States Parties, particularly as regards the Convention’s periodic reporting system’ (see Annex 1 of document [ITH/17/12.COM/9](https://ich.unesco.org/doc/src/ITH-17-12.COM-9-EN.docx)). It seemed clear to the Committee that the adoption of an overall results framework called for a reflection on how the periodic reporting process could become not simply an administrative reporting obligation but rather a learning opportunity for States Parties to take stock periodically of their own achievements and challenges and to define or redefine their national priorities for safeguarding intangible cultural heritage. Increasing the usefulness of periodic reporting to States Parties themselves was also seen as an answer, at least in part, to the low submission rate for those reports. As the reports focus increasingly on results, the process of preparing them can progressively benefit the various actors involved in implementing the Convention by promoting dialogue and participation, and the submission rate can be expected to rise.
2. Some possible improvements to the periodic reporting system were already addressed by the Committee at its twelfth session (see document [ITH/17/12.COM/10](https://ich.unesco.org/doc/src/ITH-17-12.COM-10-EN.docx) as well as Decision [12.COM 10](https://ich.unesco.org/en/Decisions/12.COM/10)) and are a subject of debate by the General Assembly during its present session (document [ITH/18/7.GA/10](https://ich.unesco.org/doc/src/ITH-18-7.GA-10-EN.docx)). Apart from the proposed changes to the reporting schedule, the Secretariat has already begun considering possible revisions to the ICH-10 periodic reporting format, to better align it with the overall results framework and ensure that the information solicited in the form contributes as directly and adequately as possible to the framework. This process of orienting Form ICH-10 towards results-based reporting will also aim to keep in the forefront how the reporting process itself can be made as useful as possible to States Parties and other actors.
3. A recurrent theme throughout the debates of the working group and the Committee was the need to prepare properly for the implementation of the results framework and to accompany its introduction with informational and capacity-building activities so that States Parties and other actors concerned, in particular communities, groups and individuals, can implement it effectively. The Convention’s global capacity-building programme was held up as the model for such activities, and it was emphasized that a similar approach should be adopted for strengthening capacities to implement the overall results framework. In addition to the guidance notes mentioned above, other informational materials will need to be developed so that the Convention’s diverse actors can understand what the framework is and how they can be involved in monitoring, reporting and evaluation. A series of regional workshops to introduce the overall results framework and the revised results-oriented ICH-10 periodic reporting form could be complemented by more intensive working sessions – at a sub-regional or national level – to better understand how to define country-level baselines and targets and to include this information in their respective reports. In that context, one of the main advantages of moving the reporting cycle to a regional rather than ratification-based calendar was the opportunities it could offer for more efficient capacity building, including peer-to-peer and neighbour-to-neighbour technical assistance.
4. The General Assembly is asked to adopt the overall results framework annexed below but also to initiate steps for its implementation, as recommended by the Committee ([Decision 12.COM 9](https://ich.unesco.org/en/Decisions/12.COM/9)). Taking into account the importance of the overall results framework for results-based reporting, the General Assembly may therefore request that the Secretariat revise Form ICH-10 for periodic reporting and continue the transition towards a reform of the periodic reporting mechanism. Subsequent to the Assembly’s adoption of the results framework, the Secretariat could also start defining provisional targets and – where possible – baselines for its implementation at the global level. The General Assembly might also wish to request that the Secretariat identify possible informational and capacity-building activities to support States Parties in their use of the overall results framework and revised periodic reporting form.
5. The General Assembly may wish to adopt the following resolution:

DRAFT RESOLUTION 7.GA 9

The General Assembly,

1. Having examined document ITH/18/7.GA/9 and its annex,
2. Thanking the People’s Republic of China for having generously hosted and co-funded the expert meeting in September 2016 as well as the open-ended intergovernmental working group in June 2017, both crucial for developing an overall results framework,
3. Approves the overall results framework for the 2003 Convention, as annexed to this resolution;
4. Takes note that the overall results framework will call for the revision of the ICH-10 Periodic Reporting form and requests that the Secretariat revise the form accordingly;
5. Encourages the Secretariat to continue preparing guidance notes and other informational materials to support States Parties and other actors in their implementation of the overall results framework, including their establishment of targets and baselines at the country level;
6. Further encourages the Secretariat to develop provisional targets and, where possible, baselines for the implementation of the overall results framework at the global level;
7. Invites the Secretariat to develop a capacity-building approach with the necessary materials for periodic reporting, which will be aligned to the overall results framework and, subject to the availability of extrabudgetary funds, to plan and implement capacity-building activities to support States Parties and other actors, in the context of the existing global capacity-building programme, in their implementation of the overall results framework as well as in their periodic reporting exercise;
8. Further invites States Parties to provide voluntary supplementary contributions to the Intangible Cultural Heritage Fund to support the implementation of such capacity-building activities.

**ANNEX**

**Draft Overall Results Framework**

**Table 1: High level framework with brief indicators**

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| --- | --- |
| **Impacts** | Intangible cultural heritage is safeguarded by communities, groups and individuals who exercise active and ongoing stewardship over it, thereby contributing to sustainable development for human well-being, dignity and creativity in peaceful and inclusive societies. |
| **Long-term Outcomes** | Continued practice and transmission of intangible cultural heritage ensured. | Diversity of intangible cultural heritage respected. | Recognition and awareness of the importance of intangible cultural heritage and its safeguarding ensured. | Engagement and international cooperation for safeguarding enhanced among all stakeholders at all levels. |
| **Mid-term Outcomes** | Effective relationships built among a diversity of communities, groups and individuals and other stakeholders for safeguarding intangible cultural heritage.Dynamic development and implementation of safeguarding measures or plans for specific elements of intangible cultural heritage led by a diversity of communities, groups and individuals. |
| **Short-term Outcomes** | Improved capacities to support the safeguarding of intangible cultural heritage in general.Improved capacities to implement safeguarding measures or plans for specific elements of intangible cultural heritage. |
| **Thematic Areas** | Institutional and human capacities  | Transmission and education  | Inventorying and research | Policies as well as legal and administrative measures | Role of intangible cultural heritage and its safeguarding in society | Awareness raising | Engagement of communities, groups and individuals as well as other stakeholders | International engagement |
| **Core Indicators (brief)** | 1. Competent bodies support practice and transmission
2. Programmes support strengthening human capacities for safeguarding
3. Training is operated by or addressed to communities and those working in the fields of culture and heritage
 | 1. Education, both formal and non-formal, strengthens transmission and promotes respect
2. ICH integrated into primary and secondary education
3. Post-secondary education supports safeguarding and study of ICH
 | 1. Inventories reflect the diversity of ICH and contribute to its safeguarding
2. Inventorying process is inclusive, respects diversity, and supports safeguarding by communities and groups
3. Research and documentation contribute to safeguarding
4. Research findings are accessible and utilized
 | 1. Cultural policies and legal and administrative measures reflect diversity of ICH and are implemented
2. Education policies and legal and administrative measures reflect diversity of ICH and are implemented
3. Policies and legal and administrative measures in fields other than culture and education reflect diversity of ICH and are implemented
4. Policies and legal and administrative measures respect customary rights, practices and expressions
 | 1. Importance of ICH in society widely recognized
2. Inclusive plans and programmes recognize the importance of safeguarding ICH and foster self-respect and mutual respect
 | 1. Communities, groups and individuals participate widely in awareness raising
2. Media are involved in awareness raising
3. Public information measures raise awareness
4. Ethical principles respected when raising awareness
 | 1. Engagement for safeguarding ICH enhanced among stakeholders
2. Civil society contributes to monitoring safeguarding
 | 1. Committee involves NGOs, public and private bodies, private persons[[5]](#footnote-5)
2. States Parties cooperate for safeguarding
3. States Parties engage in international networking and institutional cooperation
4. ICH Fund supports safeguarding and international engagement[[6]](#footnote-6)
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**Table 2: Core indicators and assessment factors, arranged by thematic areas**

| **Thematic Areas** | **Core Indicators** | **Assessment According to the Following** |  | **Citations[[7]](#footnote-7)** |
| --- | --- | --- | --- | --- |
| **Institutional and human capacities** | 1. Extent to which competent bodies and institutions and consultative mechanisms support the continued practice and transmission of ICH
 | * 1. One or more competent bodies for ICH safeguarding have been designated or established.
 |  | Article 13(b)OD 154(a) |
| * 1. Competent bodies exist for safeguarding specific elements of ICH, whether or not inscribed.[[8]](#footnote-8)
 |  | Article 13(b)OD 158(a), OD 162(d) |
| * 1. Broad and inclusive[[9]](#footnote-9) involvement in ICH safeguarding and management, particularly by the communities, groups and individuals concerned, is fostered through consultative bodies or other coordination mechanisms
 |  | OD 80 |
| * 1. Institutions, organizations and/or initiatives for ICH documentation are fostered, and their materials are utilized to support continued practice and transmission of ICH.
 |  | Article 13(d)(iii) |
| * 1. Cultural centres, centres of expertise, research institutions, museums, archives, libraries, etc., contribute to ICH safeguarding and management.
 |  | OD 79, OD 109 |
| 1. Extent to which programmes support the strengthening of human capacities to promote safeguarding and management of ICH
 | * 1. Tertiary education institutions offer curricula and degrees in ICH safeguarding and management, on an inclusive basis.
 |  | Article 14(a)(iii)OD 107(k) |
| * 1. Governmental institutions, centres and other bodies provide training in ICH safeguarding and management, on an inclusive basis.
 |  |  |
| * 1. Community-based or NGO-based initiatives provide training in ICH safeguarding and management, on an inclusive basis.
 |  |  |
| 1. Extent to which training is operated by or addressed to communities, groups and individuals, as well as to those working in the fields of culture and heritage
 | * 1. Training programmes, including those operated by communities themselves, provide capacity building in ICH addressed on an inclusive basis to communities, groups and individuals.
 |  | Article 14(a)(ii)OD 82, OD 153(b), OD 155(b) |
| * 1. Training programmes provide capacity building in ICH addressed on an inclusive basis to those working in the fields of culture and heritage.
 |  | Article 14(a)(iii)OD 153(b) |
| **Transmission and education** | 1. Extent to which both formal and non-formal education strengthen the transmission of ICH and promote respect for ICH
 | * 1. Practitioners and bearers[[10]](#footnote-10) are involved inclusively in the design and development of ICH education programmes and/or in actively presenting and transmitting their heritage.
 |  | OD 107(e) |
| * 1. Modes and methods of transmitting ICH that are recognized by communities, groups and individuals are learned and/or strengthened, and included in educational programmes, both formal and non-formal.
 |  | Article 14(a)(i); Article 14(a)(ii)OD 180(a)(iii) |
| * 1. Educational programmes and/or extra-curricular activities concerning ICH and strengthening its transmission, undertaken by communities, groups, NGOs or heritage institutions, are available and supported.
 |  | OD 109 |
| * 1. Teacher training programmes and programmes for training providers of non-formal education include approaches to integrating ICH and its safeguarding into education.
 |  |  |
| 1. Extent to which ICH and its safeguarding are integrated into primary and secondary education, included in the content of relevant disciplines, and used to strengthen teaching and learning about and with ICH and respect for one’s own and others’ ICH
 | * 1. ICH, in its diversity, is included in the content of relevant disciplines, as a contribution in its own right and/or as a means of explaining or demonstrating other subjects.
 |  | Article 14(a)(i)OD 107, OD 180(a)(ii) |
| * 1. School students learn to respect and reflect on the ICH of their own community or group as well as the ICH of others through educational programmes and curricula.
 |  | Article 14(a)(i)OD 105, OD 180(a)(i)EP 11 |
| * 1. The diversity of learners’ ICH is reflected through mother tongue or multilingual education and/or the inclusion of ‘local content’ within the educational curriculum.
 |  | OD 107 |
| * 1. Educational programmes teach about the protection of natural and cultural spaces and places of memory whose existence is necessary for expressing ICH.
 |  | Article 14(c)OD 155(e), OD 180(d)EP 5 |
| 1. Extent to which post-secondary education supports the practice and transmission of ICH as well as study of its social, cultural and other dimensions
 | * 1. Post-secondary education institutions offer curricula and degrees (in fields such as music, arts, crafts, technical and vocational education and training, etc.) that strengthen the practice and transmission of ICH.
 |  |  |
| * 1. Post-secondary education institutions offer curricula and degrees for the study of ICH and its social, cultural and other dimensions.
 |  |  |
| **Inventorying and research** | 1. Extent to which inventories reflect the diversity of ICH and contribute to safeguarding
 | * 1. One or more inventorying systems oriented towards safeguarding and reflecting the diversity of ICH have been established or revised since ratification.
 |  | Articles 11 and 12OD 1, OD 2 |
| * 1. Specialized inventories and/or inventories of various scopes reflect diversity and contribute to safeguarding.
 |  |  |
| * 1. Existing inventory or inventories have been updated during the reporting period, in particular to reflect the current viability of elements included.
 |  | Article 12OD 1, OD 2 |
| * 1. Access to ICH inventories is facilitated, while respecting customary practices governing access to specific aspects of ICH, and they are utilized to strengthen safeguarding.
 |  | Article 13(d)(ii)OD 85 |
| 1. Extent to which the inventorying process is inclusive, respects the diversity of ICH and its practitioners, and supports safeguarding by communities, groups and individuals concerned
 | * 1. Communities, groups and relevant NGOs participate inclusively in inventorying which informs and strengthens their safeguarding efforts.
 |  | Article 11OD 1, OD 2EP 1, EP 6, EP 8, EP 10 |
| * 1. Inventorying process respects the diversity of ICH and its practitioners, including the practices and expressions of all sectors of society, all genders and all regions.
 |  |  |
| 1. Extent to which research and documentation, including scientific, technical and artistic studies, contribute to safeguarding
 | * 1. Financial and other forms of support foster research, scientific, technical and artistic studies, documentation and archiving, oriented towards safeguarding and carried out in conformity with relevant ethical principles.
 |  | OD 173, OD 175 |
| * 1. Research is fostered concerning approaches towards, and impacts of, safeguarding ICH in general and specific elements of ICH, whether or not inscribed.
 |  | OD 162 |
| * 1. Practitioners and bearers of ICH participate in the management, implementation and dissemination of research findings and scientific, technical and artistic studies, all done with their free, prior, sustained and informed consent.
 |  | OD 109(a), OD 109(e), OD 153(b)(ii), OD 175EP 1, EP 7 |
| 1. Extent to which research findings and documentation are accessible and are utilized to strengthen policy-making and improve safeguarding
 | * 1. Documentation and research findings are accessible to communities, groups and individuals, while respecting customary practices governing access to specific aspects of ICH.
 |  | Article 13(d)(ii)OD 85, OD 101(c), OD 153(b)(iii)EP 5 |
| * 1. The results of research, documentation, and scientific, technical and artistic studies on ICH are utilized to strengthen policy-making across sectors.
 |  | OD 153(b)(ii) |
| * 1. The results of research, documentation, and scientific, technical and artistic studies on ICH are utilized to improve safeguarding.
 |  |  |
| **Policies as well as legal and administrative measures** | 1. Extent to which policies as well as legal and administrative measures in the field of culture reflect the diversity of ICH and the importance of its safeguarding and are implemented
 | * 1. Cultural policies and/or legal and administrative measures integrating ICH and its safeguarding, and reflecting its diversity, have been established or revised and are being implemented.
 |  | Article 13(a)OD 153(b)(i), OD 171(d) |
| * 1. National or sub-national strategies and/or action plans for ICH safeguarding are established or revised and are being implemented, including safeguarding plans for specific elements, whether or not inscribed.
 |  | OD 1, OD 2 |
| * 1. Public financial and/or technical support for the safeguarding of ICH elements, whether or not inscribed, is provided on an equitable basis, in relation to the overall support for culture and heritage at large, while bearing in mind the priority for those identified as in need of urgent safeguarding.
 |  |  |
| * 1. Cultural policies and/or legal and administrative measures integrating ICH and its safeguarding are informed by the active participation of communities, groups and individuals.
 |  |  |
| 1. Extent to which policies as well as legal and administrative measures in the field of education reflect the diversity of ICH and the importance of its safeguarding and are implemented
 | * 1. Policies and/or legal and administrative measures for education are established or revised and implemented to ensure recognition of, respect for and enhancement of intangible cultural heritage.
 |  | Article 14(a)(ii) |
| * 1. Policies and/or legal and administrative measures for education are established or revised and implemented to strengthen transmission and practice of ICH.
 |  | Article 14(a)(ii) |
| * 1. Policies and/or legal and administrative measures promote mother tongue instruction and multilingual education.
 |  | Article 14(a)(ii)OD 107 |
| 1. Extent to which policies as well as legal and administrative measures in fields other than culture and education reflect the diversity of ICH and the importance of its safeguarding and are implemented
 | * 1. The Ethical Principles for Safeguarding Intangible Cultural Heritage are respected in development plans, policies and programmes.
 |  | OD 171(c)EP |
| * 1. Policies and/or legal and administrative measures for inclusive social development[[11]](#footnote-11) and environmental sustainability are established or revised to consider ICH and its safeguarding.
 |  | OD 171(d), OD 178, OD 179, OD 181, OD 182, OD 188-190, OD 191 |
| * 1. Policies and/or legal and administrative measures to respond to situations of natural disaster or armed conflict are established or revised to include the ICH affected and to recognize its importance for the resilience of the affected populations.
 |  |  |
| * 1. Policies and/or legal and administrative measures for inclusive economic development are established or revised to consider ICH and its safeguarding.[[12]](#footnote-12)
 |  | OD 171(d), OD 183-186 |
| * 1. Favourable financial or fiscal measures or incentives are established or revised to facilitate and/or encourage practice and transmission of ICH and increase availability of natural and other resources required for its practice.
 |  | OD 78, OD 186(b) |
| 1. Extent to which policies as well as legal and administrative measures respect customary rights, practices and expressions, particularly as regards the practice and transmission of ICH
 | * 1. Forms of legal protection, such as intellectual property rights and privacy rights, are provided to ICH practitioners, bearers and their communities when their ICH is exploited by others for commercial or other purposes.
 |  | OD 104, OD 173 |
| * 1. The importance of customary rights of communities and groups to land, sea and forest ecosystems necessary for the practice and transmission of ICH is recognized in policies and/or legal and administrative measures.
 |  | OD 178(c) |
| * 1. Policies and/or legal and administrative measures recognize expressions, practices and representations of intangible cultural heritage that contribute to dispute prevention and peaceful conflict resolution.
 |  | OD 194, OD 195 |
| **Role of intangible cultural heritage and its safeguarding in society** | 1. Extent to which the importance of ICH and its safeguarding in society is recognized, both by the communities, groups and individuals concerned and by society at large
 | * 1. Communities, groups and individuals use their ICH for their well-being, including in the context of sustainable development programmes.
 |  |  |
| * 1. Communities, groups and individuals use their ICH for dialogue promoting mutual respect, conflict resolution and peace-building.
 |  |  |
| * 1. Development interventions recognize the importance of ICH in society as a source of identity and continuity, and as a source of knowledge and skills, and strengthen its role as a resource to enable sustainable development.
 |  | OD 170, OD 173 |
| 1. Extent to which the importance of safeguarding ICH is recognized through inclusive plans and programmes that foster self-respect and mutual respect
 | * 1. ICH safeguarding plans and programmes are inclusive of all sectors and strata of society, including but not limited to:
* indigenous peoples;
* groups with different ethnic identities;
* migrants, immigrants and refugees;
* people of different ages;
* people of different genders;
* persons with disabilities;
* members of vulnerable groups.
 |  | OD 100, OD 102, OD 174, OD 194EP 1, EP 2, EP 4, EP 9, EP 10 |
| * 1. Self-respect and mutual respect are fostered among communities, groups and individuals through safeguarding plans and programmes for ICH in general and/or for specific elements of ICH, whether or not inscribed.
 |  | Article 1, Article 2, Article 14(a)OD 100, OD 107, OD 155 |
| **Awareness raising** | 1. Extent to which communities, groups and individuals participate widely in raising awareness about the importance of ICH and its safeguarding
 | * 1. Awareness-raising actions reflect the inclusive and widest possible participation of communities, groups and individuals concerned.
 |  | OD 101 |
| * 1. The free, prior, sustained and informed consent of communities, groups and individuals concerned is secured for conducting awareness-raising activities concerning specific elements of their intangible cultural heritage.
 |  | OD 101 |
| * 1. The rights of communities, groups and individuals and their moral and material interests are duly protected when raising awareness about their ICH.
 |  | OD 101(b), OD 101(d), OD 104, OD 171EP 7 |
| * 1. Youth are actively engaged in awareness-raising activities, including collecting and disseminating information about the intangible cultural heritage of their communities or groups.
 |  | Article 14(a)(i)OD 107(f) |
| * 1. Communities, groups and individuals use information and communication technologies and all forms of media, in particular new media, for raising awareness of the importance of ICH and its safeguarding.
 |  |  |
| 1. Extent to which media are involved in raising awareness about the importance of ICH and its safeguarding and in promoting understanding and mutual respect
 | * 1. Media coverage raises awareness of the importance of ICH and its safeguarding and promotes mutual respect among communities, groups and individuals.
 |  | OD 111, OD 112, OD 113 |
| * 1. Specific cooperation activities or programmes concerning ICH are established and implemented between various ICH stakeholders and media organizations, including capacity-building activities.
 |  |  |
| * 1. Media programming on ICH is inclusive, utilizes the languages of the communities and groups concerned, and/or addresses different target groups.
 |  | OD 112, OD 113 |
| * 1. Media coverage of intangible cultural heritage and its safeguarding is in line with the concepts and terminology of the Convention.
 |  |  |
| 1. Extent to which public information measures raise awareness about the importance of ICH and its safeguarding and promote understanding and mutual respect
 | * 1. Practitioners and bearers of ICH are acknowledged publicly, on an inclusive basis, through policies and programmes.
 |  | OD 105(d) |
| * 1. Public events concerning ICH, its importance and safeguarding, and the Convention, are organized for communities, groups and individuals, the general public, researchers, the media and other stakeholders.
 |  | OD 105(b) |
| * 1. Programmes for promotion and dissemination of good safeguarding practices are fostered and supported.
 |  | OD 106 |
| * 1. Public information on ICH promotes mutual respect and appreciation within and between communities and groups.
 |  |  |
| 1. Extent to which programmes raising awareness of ICH respect the relevant ethical principles
 | * 1. The Ethical Principles for Safeguarding Intangible Cultural Heritage are respected in awareness-raising activities.
 |  | EP |
| * 1. Ethical principles, particularly as embodied in relevant professional codes or standards, are respected in awareness-raising activities.
 |  | OD 103 |
| **Engagement of communities, groups and individuals as well as other stakeholders** | 1. Extent to which engagement for safeguarding ICH is enhanced among stakeholders
 | * 1. Communities, groups and individuals participate, on an inclusive basis and to the widest possible extent, in the safeguarding of ICH in general and of specific elements of ICH, whether or not inscribed.
 |  | Article 15OD 1, OD 2, OD 7, OD 79,OD 101(b), OD 171(a)EP 1, EP 2, EP 9 |
| * 1. NGOs and other civil society actors participate in the safeguarding of ICH in general, and of specific elements of ICH, whether or not inscribed.
 |  | OD 90,OD 108,OD 157(e), OD 158(b), OD 162(d), OD 163(b) |
| * 1. Private sector entities participate in the safeguarding of ICH, and of specific elements of ICH, whether or not inscribed, respecting the Ethical Principles for Safeguarding ICH.
 |  | OD 187 |
| 1. Extent to which civil society contributes to monitoring of ICH safeguarding
 | * 1. An enabling environment exists for communities, groups and individuals concerned to monitor and undertake scientific, technical and artistic studies on ICH safeguarding programmes and measures.
 |  |  |
| * 1. An enabling environment exists for NGOs, and other civil society bodies to monitor and undertake scientific, technical and artistic studies on ICH safeguarding programmes and measures.
 |  | OD 83, OD 151, OD 153(b)(ii) |
| * 1. An enabling environment exists for scholars, experts, research institutions and centres of expertise to monitor and undertake scientific, technical and artistic studies on ICH safeguarding programmes and measures.
 |  |  |
| **International engagement** | 1. Number and geographic distribution of NGOs, public and private bodies, and private persons involved by the Committee in an advisory or consultative capacity[[13]](#footnote-13)
 | * 1. Number of NGOs accredited to provide advisory services, their geographic distribution and their representation of different domains.
 |  | Article 9OD 93 |
| * 1. Percentage of accredited NGOs that participate in the sessions and working groups of the Convention’s governing bodies, and their geographic distribution.
 |  |  |
| * 1. Number of occasions and activities in which accredited NGOs are involved by the Committee for consultative purposes, beyond the evaluation mechanisms.
 |  | Article 8 |
| 1. Percentage of States Parties actively engaged with other States Parties in cooperation for safeguarding
 | * 1. Bilateral, multilateral, regional or international cooperation is undertaken to implement safeguarding measures for ICH in general
 |  | Article 19OD 86 |
| * 1. Bilateral, multilateral, regional or international cooperation is undertaken to implement safeguarding measures for specific elements of ICH, in particular those in danger, those present in the territories of more than one State, and cross-border elements.
 |  |  |
| * 1. Information and experience about ICH and its safeguarding, including good safeguarding practices, is exchanged with other States Parties.
 |  | Article 19OD 156, OD 193 |
| * 1. Documentation concerning an element of ICH present on the territory of another State Party is shared with it.
 |  | Article 19OD 87 |
| 1. Percentage of States Parties actively engaged in international networking and institutional cooperation
 | * 1. State Party engages, as host or beneficiary, in the activities of category 2 centres for ICH.
 |  | OD 88 |
| * 1. International networking is fostered among communities, groups and individuals, NGOs, experts, centres of expertise and research institutes, active in the field of ICH.
 |  | OD 86 |
| * 1. State Party participates in the ICH-related activities of international and regional bodies other than UNESCO.
 |  |  |
| 1. ICH Fund effectively supports safeguarding and international engagement[[14]](#footnote-14)
 | * 1. States Parties seek financial or technical assistance from the ICH Fund and implement safeguarding programmes resulting from such assistance.
 |  | Article 19, Article 21 |
| * 1. States Parties or other entities provide voluntary supplementary contributions to the ICH Fund, for general or specific purposes, in particular the global capacity-building programme.
 |  | Article 25.5, Article 27ODs 68-71 |
| * 1. The ICH Fund is utilized to support costs of participation in the meetings of the governing bodies of the Convention by a wide range of stakeholders, including ICH experts and accredited NGOs from developing countries, public and private bodies, as well as members of communities and groups, invited to those meetings to act in an advisory capacity.
 |  | Article 8, Article 9OD 67 |

1. . ‘Evaluation of UNESCO’s Standard‐setting Work of the Culture Sector: Part I – 2003 Convention for the Safeguarding of the Intangible Cultural Heritage’, available in [English](http://unesdoc.unesco.org/images/0022/002230/223095e.pdf)|[French](http://unesdoc.unesco.org/images/0022/002230/223095f.pdf)|[Spanish](http://unesdoc.unesco.org/images/0022/002230/223095s.pdf)|[Arabic](http://unesdoc.unesco.org/images/0022/002230/223095a.pdf). [↑](#footnote-ref-1)
2. . In the Annex, Table 2, a column includes selected citations to relevant provisions of the Convention, the Operational Directives, or the Ethical Principles for Safeguarding Intangible Cultural Heritage, for reference during the General Assembly’s debates. It is proposed that this column not be adopted formally as part of the results framework; however, the citations would be integrated into the respective guidance notes. [↑](#footnote-ref-2)
3. . *Results-Based Programming, Management, Monitoring and Reporting (RBM) approach as applied at UNESCO: Guiding Principles* (Document BSP/RBM/2008/1.REV.6), p. 26. <http://unesdoc.unesco.org/images/0017/001775/177568E.pdf>. [↑](#footnote-ref-3)
4. . Ibid., p. 26. [↑](#footnote-ref-4)
5. . This indicator is monitored and reported only at the global level. [↑](#footnote-ref-5)
6. . This indicator is monitored and reported only at the global level. [↑](#footnote-ref-6)
7. . This column presents a partial list of some relevant provisions of the Convention, Operational Directives, and Ethical Principles. It is proposed that this column not be adopted formally as a part of the results framework; however, the citations would be integrated into the respective guidance notes. [↑](#footnote-ref-7)
8. . References to ‘whether or not inscribed’ should be understood to mean ‘inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding or the Representative List of the Intangible Cultural Heritage of Humanity’. [↑](#footnote-ref-8)
9. . References to ‘inclusive’, ‘inclusively’ or ‘on an inclusive basis’ should be understood to mean ‘inclusive of all sectors and strata of society, including indigenous peoples, migrants, immigrants and refugees, people of different ages and genders, persons with disabilities and members of vulnerable groups’ (cf. Operational Directives 174 and 194). When these actions and outcomes are reported, States Parties will be encouraged to provide disaggregated data or to explain how such inclusiveness is ensured. [↑](#footnote-ref-9)
10. . Although the Convention consistently utilizes the expression, ‘communities, groups and individuals’, several assessment factors, like some Operational Directives, choose to refer to ‘practitioners and bearers’ to better identify certain of their members who play a specific role with regards to their ICH. [↑](#footnote-ref-10)
11. . In conformity with Chapter VI of the Operational Directives, ‘inclusive social development’ comprises food security, health care, gender equality, access to clean and safe water and sustainable water use; quality education is included within indicator 12. [↑](#footnote-ref-11)
12. . In conformity with Chapter VI of the Operational Directives, ‘inclusive economic development’ comprises income generation and sustainable livelihoods, productive employment and decent work, and impact of tourism on the safeguarding of ICH and vice versa. [↑](#footnote-ref-12)
13. . This indicator is monitored and reported only at the global level. [↑](#footnote-ref-13)
14. . This indicator is monitored and reported only at the global level. [↑](#footnote-ref-14)