

# 8

## Overall Results Framework for the Convention for the Safeguarding of the Intangible Cultural Heritage

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Approved by the General Assembly of the States Parties to the Convention at its seventh session (UNESCO Headquarters, Paris, 4 to 6 June 2018), the overall results framework is the final outcome of a consultative process that originated in a recommendation by UNESCO's Internal Oversight Service, as part of its 2013 evaluation of the standard-setting work of UNESCO's Culture Sector. This process included a category VI expert meeting in Beijing, China, from 7 to 9 September 2016. During this meeting, a high-level results map was developed, which was then endorsed by the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage at its eleventh session in 2016. The process continued with an open-ended intergovernmental working group organized from 11 to 13 June 2017 in Chengdu, China. The working group drafted the framework itself, which was in turn endorsed by the Committee at its twelfth session in December 2017, about six months before its final approval by the above-mentioned session of the General Assembly.

The overall results framework was prepared as a tool to measure the impact of the 2003 Convention at various levels through clearly identified objectives, indicators and benchmarks, as well as by means of a results-oriented monitoring system. The framework is composed of two tables: the first one includes the high-level framework, where the impacts, expected outcomes and eight thematic areas are identified and a set of twenty-six core indicators have been established; the second table presents the core indicators and an associated set of eighty-six assessment factors arranged by thematic areas. Guidance notes for all twenty-six indicators on the overall results framework were developed to support States Parties and other actors in their implementation of the framework.

At the same time, the periodic reporting system on the implementation of the 2003 Convention has been reformed with the aim of enhancing its quality and pertinence as a monitoring tool, and its performance and efficiency as a reporting system. The periodic reporting form ICH-10 was revised and aligned with the overall results framework to allow the collection of information on relevant core indicators of the framework. During the reporting exercise, States Parties have the possibility to establish targets and baselines at the country level. The above-mentioned guidance notes, which are made available also through the website of the 2003 Convention, have been integrated as a part of the online periodic reporting form ICH-10.

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

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.	
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
Core Indicators (brief)	<div>1. Competent bodies support practice and transmission</div> <div>2. Programmes support strengthening human capacities for safeguarding</div> <div>3. Training is operated by or addressed to communities and those working in the fields of culture and heritage</div>	<div>4. Education, both formal and non-formal, strengthens transmission and promotes respect</div> <div>5. ICH integrated into primary and secondary education</div> <div>6. Post-secondary education supports safeguarding and study of ICH</div>	<div>7. Inventories reflect the diversity of ICH and contribute to its safeguarding</div> <div>8. Inventorying process is inclusive, respects diversity, and supports safeguarding by communities and groups</div> <div>9. Research and documentation contribute to safeguarding</div> <div>10. Research findings are accessible and utilized</div>	<div>11. Cultural policies and legal and administrative measures reflect diversity of ICH and are implemented</div> <div>12. Education policies and legal and administrative measures reflect diversity of ICH and are implemented</div> <div>13. Policies and legal and administrative measures in fields other than culture and education reflect diversity of ICH and are implemented</div> <div>14. Policies and legal and administrative measures respect customary rights, practices and expressions</div>

	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.		
	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
	15. Importance of ICH in society widely recognized 16. Inclusive plans and programmes recognize the importance of safeguarding ICH and foster self-respect and mutual respect	17. Communities, groups and individuals participate widely in awareness raising 18. Media are involved in awareness raising 19. Public information measures raise awareness 20. Ethical principles respected when raising awareness	21. Engagement for safeguarding ICH enhanced among stakeholders 22. Civil society contributes to monitoring safeguarding	23. Committee involves NGOs, public and private bodies, private persons <sup>1</sup> 24. States Parties cooperate for safeguarding 25. States Parties engage in international networking and institutional cooperation 26. ICH Fund supports safeguarding and international engagement <sup>2</sup>

1. This indicator is monitored and reported only at the global level.

2. This indicator is monitored and reported only at the global level.

**Table 2: Core indicators and assessment factors, arranged by thematic areas**

Thematic Areas	Core Indicators	Assessment According to the Following
Institutional and human capacities	1. Extent to which competent bodies and institutions and consultative mechanisms support the continued practice and transmission of ICH	1.1 One or more competent bodies for ICH safeguarding have been designated or established.
		1.2 Competent bodies exist for safeguarding specific elements of ICH, whether or not inscribed. <sup>3</sup>
		1.3 Broad and inclusive <sup>4</sup> involvement in ICH safeguarding and management, particularly by the communities, groups and individuals concerned, is fostered through consultative bodies or other coordination mechanisms.
		1.4 Institutions, organizations and/or initiatives for ICH documentation are fostered, and their materials are utilized to support continued practice and transmission of ICH.
		1.5 Cultural centres, centres of expertise, research institutions, museums, archives, libraries, etc., contribute to ICH safeguarding and management.
	2. Extent to which programmes support the strengthening of human capacities to promote safeguarding and management of ICH	2.1 Tertiary education institutions offer curricula and degrees in ICH safeguarding and management, on an inclusive basis.
		2.2 Governmental institutions, centres and other bodies provide training in ICH safeguarding and management, on an inclusive basis.
		2.3 Community-based or NGO-based initiatives provide training in ICH safeguarding and management, on an inclusive basis.
	3. 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	3.1 Training programmes, including those operated by communities themselves, provide capacity building in ICH addressed on an inclusive basis to communities, groups and individuals.
		3.2 Training programmes provide capacity building in ICH addressed on an inclusive basis to those working in the fields of culture and heritage.

3. 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'.

4. 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.

Thematic Areas	Core Indicators	Assessment According to the Following
Transmission and education	4. Extent to which both formal and non-formal education strengthen the transmission of ICH and promote respect for ICH	4.1 Practitioners and bearers <sup>5</sup> are involved inclusively in the design and development of ICH education programmes and/or in actively presenting and transmitting their heritage.
		4.2 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.
		4.3 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.
		4.4 Teacher training programmes and programmes for training providers of non-formal education include approaches to integrating ICH and its safeguarding into education.
	5. 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	5.1 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.
		5.2 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.
		5.3 The diversity of learners' ICH is reflected through mother tongue or multilingual education and/or the inclusion of 'local content' within the educational curriculum.
		5.4 Educational programmes teach about the protection of natural and cultural spaces and places of memory whose existence is necessary for expressing ICH.
	6. Extent to which post-secondary education supports the practice and transmission of ICH as well as study of its social, cultural and other dimensions	6.1 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.
		6.2 Post-secondary education institutions offer curricula and degrees for the study of ICH and its social, cultural and other dimensions.

5. 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.

Thematic Areas	Core Indicators	Assessment According to the Following
Inventorying and research	7. Extent to which inventories reflect the diversity of ICH and contribute to safeguarding	7.1 One or more inventorying systems oriented towards safeguarding and reflecting the diversity of ICH have been established or revised since ratification.
		7.2 Specialized inventories and/or inventories of various scopes reflect diversity and contribute to safeguarding.
		7.3 Existing inventory or inventories have been updated during the reporting period, in particular to reflect the current viability of elements included.
		7.4 Access to ICH inventories is facilitated, while respecting customary practices governing access to specific aspects of ICH, and they are utilized to strengthen safeguarding.
	8. 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	8.1 Communities, groups and relevant NGOs participate inclusively in inventorying which informs and strengthens their safeguarding efforts.
		8.2 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.
	9. Extent to which research and documentation, including scientific, technical and artistic studies, contribute to safeguarding	9.1 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.
		9.2 Research is fostered concerning approaches towards, and impacts of, safeguarding ICH in general and specific elements of ICH, whether or not inscribed.
		9.3 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.

Thematic Areas	Core Indicators	Assessment According to the Following
	10. Extent to which research findings and documentation are accessible and are utilized to strengthen policy-making and improve safeguarding	10.1 Documentation and research findings are accessible to communities, groups and individuals, while respecting customary practices governing access to specific aspects of ICH.
		10.2 The results of research, documentation, and scientific, technical and artistic studies on ICH are utilized to strengthen policy-making across sectors.
		10.3 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	11. 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	11.1 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.
		11.2 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.
		11.3 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.
		11.4 Cultural policies and/or legal and administrative measures integrating ICH and its safeguarding are informed by the active participation of communities, groups and individuals.
	12. 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	12.1 Policies and/or legal and administrative measures for education are established or revised and implemented to ensure recognition of, respect for and enhancement of ICH.
		12.2 Policies and/or legal and administrative measures for education are established or revised and implemented to strengthen transmission and practice of ICH.
		12.3 Policies and/or legal and administrative measures promote mother tongue instruction and multilingual education.



Thematic Areas	Core Indicators	Assessment According to the Following
	13. 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	<p>13.1 The Ethical Principles for Safeguarding Intangible Cultural Heritage are respected in development plans, policies and programmes.</p> <p>13.2 Policies and/or legal and administrative measures for inclusive social development<sup>6</sup> and environmental sustainability are established or revised to consider ICH and its safeguarding.</p> <p>13.3 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.</p> <p>13.4 Policies and/or legal and administrative measures for inclusive economic development<sup>7</sup> are established or revised to consider ICH and its safeguarding.</p> <p>13.5 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.</p>
	14. 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	<p>14.1 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.</p> <p>14.2 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.</p> <p>14.3 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.</p>

6. 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.

7. 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.

Thematic Areas	Core Indicators	Assessment According to the Following
<b>Role of intangible cultural heritage and its safeguarding in society</b>	15. 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	15.1 Communities, groups and individuals use their ICH for their well-being, including in the context of sustainable development programmes.
		15.2 Communities, groups and individuals use their ICH for dialogue promoting mutual respect, conflict resolution and peace-building.
		15.3 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.
	16. Extent to which the importance of safeguarding ICH is recognized through inclusive plans and programmes that foster self-respect and mutual respect	16.1 ICH safeguarding plans and programmes are inclusive of all sectors and strata of society, including but not limited to: <ul style="list-style-type: none"> <li>• indigenous peoples;</li> <li>• groups with different ethnic identities;</li> <li>• migrants, immigrants and refugees;</li> <li>• people of different ages;</li> <li>• people of different genders;</li> <li>• persons with disabilities;</li> <li>• members of vulnerable groups.</li> </ul>
		16.2 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.

Thematic Areas	Core Indicators	Assessment According to the Following
Awareness raising	17. Extent to which communities, groups and individuals participate widely in raising awareness about the importance of ICH and its safeguarding	17.1 Awareness-raising actions reflect the inclusive and widest possible participation of communities, groups and individuals concerned.
		17.2 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 ICH.
		17.3 The rights of communities, groups and individuals and their moral and material interests are duly protected when raising awareness about their ICH.
		17.4 Youth are actively engaged in awareness-raising activities, including collecting and disseminating information about the ICH of their communities or groups.
		17.5 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.
	18. Extent to which media are involved in raising awareness about the importance of ICH and its safeguarding and in promoting understanding and mutual respect	18.1 Media coverage raises awareness of the importance of ICH and its safeguarding and promotes mutual respect among communities, groups and individuals.
		18.2 Specific cooperation activities or programmes concerning ICH are established and implemented between various ICH stakeholders and media organizations, including capacity-building activities.
		18.3 Media programming on ICH is inclusive, utilizes the languages of the communities and groups concerned, and/or addresses different target groups.
		18.4 Media coverage of ICH and its safeguarding is in line with the concepts and terminology of the Convention.

Thematic Areas	Core Indicators	Assessment According to the Following
	19. Extent to which public information measures raise awareness about the importance of ICH and its safeguarding and promote understanding and mutual respect	19.1 Practitioners and bearers of ICH are acknowledged publicly, on an inclusive basis, through policies and programmes.
		19.2 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.
		19.3 Programmes for promotion and dissemination of good safeguarding practices are fostered and supported.
		19.4 Public information on ICH promotes mutual respect and appreciation within and between communities and groups.
	20. Extent to which programmes raising awareness of ICH respect the relevant ethical principles	20.1 The Ethical Principles for Safeguarding Intangible Cultural Heritage are respected in awareness-raising activities.
		20.2 Ethical principles, particularly as embodied in relevant professional codes or standards, are respected in awareness-raising activities.
Engagement of communities, groups and individuals as well as other stakeholders	21. Extent to which engagement for safeguarding ICH is enhanced among stakeholders	21.1 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.
		21.2 NGOs and other civil society actors participate in the safeguarding of ICH in general, and of specific elements of ICH, whether or not inscribed.
		21.3 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.

Thematic Areas	Core Indicators	Assessment According to the Following
	22. Extent to which civil society contributes to monitoring of ICH safeguarding	<p>22.1 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.</p> <p>22.2 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.</p> <p>22.3 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.</p>
International engagement	23. Number and geographic distribution of NGOs, public and private bodies, and private persons involved by the Committee in an advisory or consultative capacity <sup>8</sup>	23.1 Number of NGOs accredited to provide advisory services, their geographic distribution and their representation of different domains.
		23.2 Percentage of accredited NGOs that participate in the sessions and working groups of the Convention's governing bodies, and their geographic distribution.
		23.3 Number of occasions and activities in which accredited NGOs are involved by the Committee for consultative purposes, beyond the evaluation mechanisms.
	24. Percentage of States Parties actively engaged with other States Parties in cooperation for safeguarding	24.1 Bilateral, multilateral, regional or international cooperation is undertaken to implement safeguarding measures for ICH in general.
		24.2 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.
		24.3 Information and experience about ICH and its safeguarding, including good safeguarding practices, is exchanged with other States Parties.
		24.4 Documentation concerning an element of ICH present on the territory of another State Party is shared with it.

8. This indicator is monitored and reported only at the global level.

Thematic Areas	Core Indicators	Assessment According to the Following
	25. Percentage of States Parties actively engaged in international networking and institutional cooperation	25.1 State Party engages, as host or beneficiary, in the activities of category 2 centres for ICH.
		25.2 International networking is fostered among communities, groups and individuals, NGOs, experts, centres of expertise and research institutes, active in the field of ICH.
		25.3 State Party participates in the ICH-related activities of international and regional bodies other than UNESCO.
	26. ICH Fund effectively supports safeguarding and international engagement <sup>9</sup>	26.1 States Parties seek financial or technical assistance from the ICH Fund and implement safeguarding programmes resulting from such assistance.
		26.2 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.
		26.3 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.

9. This indicator is monitored and reported only at the global level.

