CONCEPT NOTE

2017 GLOBAL REPORT

ON THE 2005 CONVENTION ON THE PROTECTION AND PROMOTION OF
THE DIVERSITY OF CULTURAL EXPRESSIONS

Background

The UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005) is an international standard-setting instrument that provides a framework for the governance of culture. The most recent UNESCO Convention in the field of culture and ratified by 144 Parties as of June 2016, it encourages governments to introduce policies for culture within a global context and to commit to protecting and promoting the diversity of cultural expressions.

In accordance with the Convention, these policies are to be based on fundamental principles of freedom of expression, gender equality, openness and balance, the complementary economic and cultural aspects of sustainable development and on international solidarity and cooperation.

While there are few obligations which bind Parties to its implementation in the absence of legally-binding enforcement mechanisms that hold governments accountable to their commitments, the Convention has provisions to monitor compliance, through the systematic collection every four years of information and data, statistics and best practices on policies and measures adopted by Parties. Quadrennial Periodic Reports are key to determining how the fundamental principles and concepts of the Convention are translated into policies and measures by all Parties, how they have developed over time and how they have (or have not) successfully addressed the realities faced by creators and producers of cultural expressions.

In effect, Parties have reported on a number of challenges: lack of relevant data and information required for evidence-based and transparent policy-making; limited capacity to assess and monitor the impact of policies and measures for the diversity of cultural expressions; insufficient networking between governments and civil society.

These challenges can only be met by raising the level and quality of knowledge available. With such an improved knowledge base, governmental and civil society actors will be able to work together to develop policies and strategies that promote the diversity of cultural expressions more effectively.

It is for this reason that the Conference of Parties, that oversees the implementation of the Convention, requested the Secretariat, at its fifth ordinary session in June 2015, to prepare a global biennial report on the implementation of the Convention, "on the basis of the quadrennial

periodic reports and other sources". While the Secretariat was bound to produce every year a summarized analytical review of periodic reports submitted by Parties, this decision allowed for the preparation of a much broader and ambitious analysis of trends and challenges.

Indeed, the ultimate purpose of such a report is to strengthen the evidence base for policy making and for the elaboration of informed, transparent and participatory systems of cultural governance.

Overall purpose

The biennial Global Report (GR) series is conceived as a tool to monitor the implementation of the 2005 Convention and to facilitate information sharing and knowledge production related to the main challenges of the implementation process.

The first two reports (2015, 2017) are part of a broader project entitled *Enhancing fundamental freedoms through the promotion of the diversity of cultural expressions*, funded by the Swedish International Development Cooperation Agency (SIDA). In addition to the biennial reports, the project involves training activities on policy monitoring and data collection in 12 developing countries.

The biennial reports are not designed to compare or to rank (nor to name or shame), but rather to identify the principal advances made and to explore the difficulties and challenges faced by Parties and other relevant policy actors, as well as the weaknesses of these actors. The reports are designed to provide examples of innovative policies and measures, and monitor progress based on a series of indicators and means of verification introduced in the 2015 Global Report.

The GR series joins other monitoring reports prepared by UNESCO such as World Trends in Freedom of Expression and Media Development, and provides Parties with tools to promote the guiding principles of the Convention and raise its visibility nationally and globally.

Finally, the 2017 edition must also provide evidence for the implementation of the 17 new United Nations Sustainable Development Goals (SDGs) and targets, adopted in September 2015. While the SDGs do not expressly mention the Convention, they are fully relevant to its goals and guiding principles.

Specific objectives

The 2015 edition, *Re|Shaping Cultural Policies*[1] explored the policy impact of the Convention over the 2005-2015 period and proposed a monitoring framework to assess the further implementation of the 2005 Convention.

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[1] Available at https://en.unesco.org/creativity/monitoring-reporting/publications/global-report-2015-reshaping-cultural-policies

Work on the 2017 edition has already begun, barely one year since analysis for the 2015 edition was carried out. This has some important implications. While it is obvious that this second report cannot simply duplicate the contents of the first, it is possible that the new data and insights culled from additional quadrennial reports received in 2016-17 (it is now confirmed that approx. 60 periodic reports will be submitted by December 2016) may not significantly differ from the conclusions drawn in 2015. Moreover, since the 2015 edition provided an exhaustive overview to the key Articles of the Convention, thus fulfilling an important pedagogical function, it is important that the second edition offer some degree of 'added value' and novelty for those who know the Convention already and/or have absorbed the lessons of the 2015 GR.

For these two reasons, the 2017 report needs to strike out in several new directions. It must report on efforts made to start implementing the 33 core indicators and related means of verification introduced in the 2015 edition. It will need to assess the impact of freshly reported policies and measures, as well as the difficulties encountered in their implementation. *In addition, it ought to contain analytical reflections on recent and emerging trends and developments in the cultural field that need to be brought to the attention of Parties with a view towards broadening as well as deepening their approaches to the implementation of the Convention.*

The main objectives of the 2017 report will therefore be to:

- Update data and information;

- Begin testing the viability of the indicators identified in the 2015 report, as a means to monitor the impact of the Convention;

- Assess areas of change and progress, as well as recent and emerging trends in the cultural field that should be incorporated into the processes of implementing the Convention;

- Help Parties and other national stakeholders understand the Convention and translate its provisions into action.

Hence authors must seek to:

- integrate new data and information contained in quadrennial periodic reports submitted by Parties to the Convention in 2016-2017, as well as from other non-official and academic sources, into a unified analytical review;

- review the application of indicators and means of verification introduced in the monitoring framework;

- showcase examples of innovative measures and policies for the promotion of the diversity of cultural expressions as well as good practices;

- identify key difficulties encountered in the protection and promotion of the diversity of cultural expressions;

- explore new trends and developments related to the diversity of cultural expressions that have a bearing on the implementation of the Convention;

- formulate policy recommendations accordingly.

Sources of information

The 2017 GR shall be informed by two sources:

- **Quadrennial periodic reports (QPR)**: Parties to the 2005 Convention are required to submit, every four years, a QPR on the implementation of the Convention[2]. They are key to determining how the principles and concepts of the Convention are translated into policies and measures, how they have developed over time and how they have (or have not) successfully addressed the realities faced by creators and producers of cultural expressions. First QPRs were submitted in 2012. The 2015 GR analyzed the QPRs submitted between 2012 and 2015 (71 QPRs). The 2017 edition will work on QPRs submitted between January 2016 and 30 April 2017. (See **Annex 3**, Update QPR status).

  All new QPRs submitted will be made available on the Convention's website only **after** the next session of the Intergovernmental Committee (12-15 December 2016). However, they will be informally made accessible on a common dropbox for all authors before and after the Vienna meeting.

- **Other sources of information**: information from all other pertinent sources, be they academic, or from cultural institutions, civil society organizations or private corporations will be used.

Working with the 2005 Convention Monitoring framework

The Monitoring Framework (see **Annex 1**) introduced in the 2015 edition is based on the 2005 Convention and related Operational Guidelines, as well as on principles and themes identified in the periodic reporting framework (2015 edition). The Monitoring Framework intends to measure progress (or lack thereof) and monitor the existence and functioning of policies and measures implementing the Convention.

Each thematic chapter will link to the fundamental principles and objectives of the 2005 Convention and the relevant implementation goals and indicators. This Monitoring Framework shall therefore guide and frame the research and analysis undertaken by the data teams and authors.

The Framework is structured around four implementation Goals, 10 areas for monitoring and 33 core indicators. The 33 core indicators are complemented for each monitoring area by a series of proposed means of verification (based upon quantitative and qualitative data that need to be collected) that will make it possible to monitor areas of change or progress (see pages 36-41 of the 2015 Global Report). The key indicators for each policy field refer to the legislative base as well as to specific policies and measures adopted by Parties.

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[2] See https://en.unesco.org/creativity/monitoring-reporting/periodic-reports

Bearing in mind the prevailing lack of cultural statistics and quantitative data (statistical annexes in QPRs are optional; many countries not have proper statistical infrastructures; some areas of monitoring, such as artistic freedom or gender equality, may not be covered by statistical surveys), the Monitoring Framework has established baselines whenever possible. It combines quantitative and qualitative indicators, which are robust yet sufficiently flexible to permit their use in situations where limited data are available.

In helping to monitor and evaluate the policy impact of the 2005 Convention, the indicators should address the following overarching questions:

1. Has the Convention induced or inspired *policy change* at the country level, in the form of new or amendments to current policy provisions and measures?
2. How *effectively* are these policies and measures being implemented?
3. Have these policies and measures led directly or indirectly to *improvements in policy making* for the diversity of cultural expressions?
4. Have these policies and measures created better outcomes in terms of *human development*?

Policy Recommendations

Each chapter will include separate proposals for policy orientations/recommendations and next steps, in relation specifically to:

- the key findings of the chapter
- the implementation of the indicators

The concluding chapter may also propose more general recommendations addressed to the international community at large.

Audience of the GR

The target audiences of the GR are the main stakeholders and partners of the 2005 Convention. They include: government officials, civil society organizations, specialized institutions, experts, culture and development practitioners, UN agencies, as well as all those engaged in the creation and promotion of the diversity of cultural expressions - artists and professionals from the culture sector at large.

Data collection and visualization

A team of experts specialized in data collection/analysis and visualization (scatterplots, histograms, figures, tables, maps, charts and statistics) will be working in regular dialogue and cooperation with authors of the chapters. Using the relevant core indicators and means of verification outlined in the Framework, the data teams will source collect and analyze data and information from relevant sources of information (QPRs and other), updating findings from the 2015 Global Report where relevant.

The data to be collected will serve to identify general trends for the 2005-2017 period. Beyond the QPRs, they shall be based on any other recognized national, regional or international sources from national statistic and governmental agencies, academic and cultural institutions, civil society organizations or private corporations as well as other intergovernmental and/or international organizations. This includes, along with official national data sources, documents, news media and social media, reports from international organizations, experts and scholarly and academic analyses, etc.

The GR is intended to address all Parties to the Convention (144). However, data (whether from Periodic Reports or other official and non-official sources) may not be available for all Parties and it may not be possible to collect/analyse data in a systematised manner for each Party to the Convention. It is therefore expected that data collected shall primarily aim at determining general trends at national/regional/international levels, while highlighting best practices and innovative examples from all regions of the world. Specifically, the benchmark years for statistical data and analysis shall be for the years 2005, 2010 and 2015, in order to determine policy changes, impact and trends since the adoption of the Convention.

It should be noted that UIS (UNESCO Institute for Statistics) will release on 16 September 2016 its global survey (60 countries replied) on Cultural Employment. This study will provide disaggregated data by levels of education, gender, domains of intervention, age group, type of employment (full time/part time, first/secondary employment, employee/self-employed) that can be used by authors across all chapters.

A separate call will be made for the production of infographics.

Coordination

As with the 2015 GR, UNESCO will be in charge of preparing and publishing the 2017 edition.

Each chapter will be authored by an individual author. Due credit and recognition will be given to the data teams (See **Annex 2** for list of contributors).

An editorial board will be established, composed of Danielle Cliche, Chief of the 2005 Convention Secretariat; Yudhishthir Raj Isar (Institute for Culture and Society, University of Western Sydney/The American University of Paris), Principal Editor; all the chapter authors, as well as Mikael Schultz (Senior Advisor, Ministry of Culture and Democracy, Sweden).

Executive coordination will be ensured by the UNESCO Secretariat, namely Danielle Cliche and her team, composed of Anthony Krause (project coordinator), Lindsay Cotton (production coordinator) and Samira Zinini (administration).

The editorial board will hold a first meeting on 21-23 September 2016 in Vienna, Austria, to discuss the structure of the 2017 edition and the new monitoring framework to be used, as well as to set expectations regarding the content of the respective chapters. This discussion is intended to help the authors and data teams harmonize their frames of reference and establish

a common methodology. A second meeting will be organized in February/March 2017 (date and venue tbc).

The typescript will undergo a rigorous revision and validation process by the editorial board members, the Principal Editor and the UNESCO Secretariat team. The final version will be translated into French. It will be published online and will also be printed (2000 copies).

The 2017 edition will be released prior to the tenth session of the Intergovernmental Committee of the Convention (December 2017).

Contractual arrangements

Individual authors and data suppliers will be remunerated by UNESCO, as per the contracts negotiated with them. Articles will be signed by the authors.

The GR series includes the following standard disclaimer: "The authors are responsible for the choice and presentation of the facts contained in this report and for the opinions therein, which are not necessarily those of UNESCO and do not commit the Organization".

Purpose of the first editorial board meeting

The first editorial board meeting, held in Vienna, Austria, will serve to discuss and establish an effective working process – approaches, methodologies, workflows – among authors, data teams, the principal editor and UNESCO.

Discussions will be organized around the draft table of contents, reviewing collectively each of the chapters. In this process, three key issues will need to be addressed:

- the author's vision for the chapter
- the data team's proposals for data collection
- the indicators to be monitored

A detailed agenda will be prepared separately.

The meeting will also include a public launching ceremony of the 2015 edition of the Global Report, *Re|Shaping Cultural Policies* and of the German language Executive Summary.

Timelines

The proposed timeline for submission of articles is the following:

- Outline to Principal Editor/UNESCO (3 to 5 pages): **30 October 2016**
- 1st draft: to Principal Editor/UNESCO **15 April 2017**
- Final draft to Principal Editor/UNESCO: **30 June 2017**

Articles

Articles commissioned will be 20-25 "standard pages" as defined by UNESCO (a standard page, typed double-spaced contains 320 words) and will include best practices, case studies, key recommendations (key findings + implementation of indicators).

Each article will also include 1 or 2 longer "messages" by recognized personalities on the topic addressed. Authors will be asked to make recommendations in that regard.

Articles must be submitted in English.

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Foreword

The Foreword will be signed by the Director-General of UNESCO.

Acknowledgements

Executive Summary

The Executive Summary will provide a condensed version of the Global Report, with a focus on key findings, policy implications, and recommendations. It will be written in a manner that would permit its use as a stand-alone document. Thus, decision-makers will be able to read the Executive Summary as a policy brief and use it as a roadmap with respect to monitoring and evaluating the impact of the Convention' implementation.

Introduction

The introductory chapter will place the second edition in the context of UNESCO's global monitoring mandate, of the 2005 Convention and of the Sida-funded project *Enhancing fundamental freedoms through the promotion of the diversity of cultural expressions.* It will describe the purpose of the project, highlight the linkages between implementing the Convention and promoting fundamental freedoms, and assess the process of implementing the Convention's monitoring framework.

Cultural Policies

This chapter will examine the cultural policies and measures Parties have adopted to support the creation, production, distribution and access to diverse cultural goods and services. This chapter will also discuss how Parties nurture cultural creativity, the different forms of support (direct or indirect) they provide and the various strategies they use. It will reflect on how the Convention has or has not influenced the way cultural policies are designed (e.g. more integrated approaches, through multi-stakeholder dialogue, etc.) and provide perspectives for future consideration.

3 core indicators to monitor:

1) National cultural policies to support creation, production, distribution and access to diverse cultural goods and services are a) established, b) evaluated and c) functioning
2) Multiple government agencies participate in policy making to promote the creation, production, distribution and access to diverse cultural goods and services
3) Parties actively support informed policy making processes

Corresponding Convention Articles: 5, 6, 7

Public Service Broadcasting and Media Diversity

This chapter will assess the development of media diversity/media pluralism within the framework of the 2005 Convention's overall objectives and basic principles, such as freedom of thought, freedom of information and expression and its corollary, press freedom. It will analyse measures taken in the field of independent production, public service media and audiovisual-connected policy as well as regulatory measures to support the production of high-quality media content.

The analysis will identify trends in the types of measures reported on by Parties including in particular those that address the digitization of content and media convergence. With the rise of digital networks and online platforms, the analysis will also identify new types of media actors of relevance to the implementation of the Convention such as citizen journalists and amateur film producers.

3 core indicators to monitor:

1) Legislative base to support media freedom and diversity is a) established, b) evaluated and c) functioning
2) Goals of public service media are a) legally defined and b) guaranteed

3) Public service media policies and measures to serve the needs of all groups in society are a) established, b) evaluated and c) functioning

Corresponding Convention Article: 6

Digital technologies

This chapter will explore the impact of new information and communication technologies on the diversity of cultural expressions. It will identify the opportunities provided by new technologies as well as the challenges and threats they create. It will present a wide range of measures to promote the diversity of cultural expressions in the context of the digital environment.

It will also explore major emerging issues such as the appearance of new giants in cultural markets, the rapid progress of big data and social media, or the increasing dynamism of the 'digital south'.

3 core indicators to monitor:

1) Legislative base for universal access to the Internet is a) established, b) evaluated and c) functioning
2) Policies and measures to encourage digital creativity and promote civil society participation in the digital environment are a) established, b) evaluated and c) functioning
3) Policies and measures to support dynamic and diverse digital cultural industry markets are a) established, b) evaluated and c) functioning

Partnering with civil society

This chapter will examine the types of strategies and measures taken by Parties to involve civil society in their policy making in favour of the diversity of cultural expressions. It will assess the quantum of resources Parties are providing to ensure civil society's involvement and the nature and impact of the activities carried out by civil society to promote the objectives of and implementation of the Convention.

The chapter will also explore the key factors that boost or hinder civil society engagement, and highlight the main challenges encountered in this respect, citing solutions that have been applied successfully or proposing others. The author will consult a variety of civil society actors and independent sources, including "shadow reports".

3 core indicators to monitor:

1) Legislative and financial base to support civil society is a) established and b) covers a wide range of civil society organizations
2) Civil society participates in the design and implementation of policies to promote the creation, production, distribution and access to a diversity of cultural goods and services
3) Civil society is actively involved in the ratification and promotion of the Convention at the country and international level

Corresponding Convention Article: 11

Mobility of artists and cultural professionals

This chapter will examine the various measures taken by developed countries to facilitate the mobility of artists and cultural practitioners from the global South. It will consider the economic aspect of such mobility, as well as its role in ensuring access to culture, addressing barriers to artistic freedom (i.e., freedom of movement) in the process. This chapter will also discuss how the Convention can be used more effectively in overcoming growing security, economic and political constraints.

3 core indicators to monitor:

1) Legislative base to ensure freedom of movement for nationals and foreigners is a) established, b) evaluated and c) functioning
2) Policies and measures to support the mobility of artists and cultural professionals from the global South are a) established, b) evaluated and c) functioning
3) Non-governmental initiatives that facilitate the mobility of artists and cultural professionals from the global South

Corresponding Convention Articles: 12, 14, 16

Flow of cultural goods and services

This chapter will review the policies and measures taken by developed and developing countries to facilitate an open and balanced flow of cultural expressions around the world. It will also compile and critically examine the latest data on international flows of cultural goods and services.

3 core indicators to monitor:

1) Legislative base for flows of cultural goods and services is a) established, b) evaluated and c) functioning
2) Policies and measures to support international flows of cultural goods are a) established, b) evaluated and c) functioning
3) Policies and measures to support international flows of cultural services are a) established, b) evaluated and b) functioning

Corresponding Convention Articles: 12, 14, 16

Treaties and Agreements

Article 21 of the 2005 Convention, "International consultation and coordination", requires Parties to promote the objectives and principles of the Convention in international fora. The purpose of this chapter is to review the initiatives Parties have taken to fulfill this obligation in the various international and regional fora including WTO, WIPO and other organizations, but also in bilateral and multilateral culture/trade negotiations and agreements. The author will discuss the outputs (references to the Convention in the texts) and analyze their outcomes and policy impact.

3 core indicators to monitor:

1) Parties promote the objectives and principles of the Convention in other international and regional forums
2) International and regional treaties and agreements a) refer to Convention and b) are evaluated
3) Policies and measures to implement international and regional treaties and agreements that refer to the Convention are a) established and b) evaluated

Corresponding Convention Article: 21

Culture and sustainable development

This chapter will demonstrate how the Convention provides a framework for culture and development, distinguishing between measures that focus on integrating culture as a strategic element in sustainable development policies and development cooperation programmes at the national and international levels.

The chapter will examine the latest trends related to integrating culture into overall national development planning, i.e., strategies, policies and action plans. It will then focus on the various outcomes (economic, social, environmental) that Parties have targeted when integrating culture into development plans.

Finally, this chapter will examine the ways in which countries integrate culture in international development assistance frameworks, and facilitate international cooperation for sustainable development, in the context of the UN 2030 Agenda.

3 core indicators to monitor at national level:

1) National sustainable development policies and plans that integrate culture are a) established, b) evaluated and c) functioning
2) Policies and measures to support regional equity in the distribution of cultural resources are a) established, b) evaluated and c) functioning
3) Policies and measures to support equity in access to cultural resources by vulnerable groups in the community are a) established, b) evaluated and c) functioning

3 core indicators to monitor at international level:

1) International sustainable development programmes that integrate culture are a) established, b) evaluated and c) functioning
2) Technical assistance programmes aimed at strengthening human and institutional capacities in the cultural and creative industries in developing countries are a) established, b) evaluated and c) functioning
3) Financial assistance to support creativity in developing countries is a) established, b) evaluated and c) functioning

Corresponding Convention Article: 13

Gender Equality

This chapter will examine the policies and measures taken to recognize and support women as creators, producers and consumers of diverse cultural expressions, and as citizens participating in cultural life. In this light, the chapter will discuss the barriers faced by women and raise the specific issues related to artistic freedom, access to cultural industry markets and participation in cultural life.

3 core indicators to monitor:

1) Existence of legislative framework guaranteeing gender equality in the cultural arena
2) Existence of policies and measures recognizing and supporting women as creators and producers of cultural goods and services
3) Existence of policies and measures recognizing and promoting women's access to cultural activities, goods and services and their participation in cultural life

Convention reference: Article 7

Artistic Freedom

This chapter will demonstrate the links between the 2005 Convention and the promotion of freedom of artistic expression and summarize the principal challenges it faces. It will analyze the impact of various measures taken to implement the UNESCO Recommendation on the Status of the Artist including issues on freedom of artistic expression and movement. It will also consider the implications of artistic freedom and living/working conditions of the artist on the diversity of cultural expressions amongst and within countries. Various barriers to artistic freedom will be evoked and policy measures addressing them outlined and illustrated.

The chapter will highlight the different types of challenges that exist and the steps that could be taken by civil society, governments and the international community to address them.

3 core indicators to monitor:

1) Legislative base for freedom of expression is a) guaranteed by law and b) respected in practice
2) Policies and measures that promote and protect artistic freedom are a) established, b) evaluated and c) functioning
3) Policies and measures that recognize and promote the social and economic rights of artists are a) established, b) evaluated and c) functioning

Corresponding Convention Articles: 2, 6, 7 and 16

Conclusion

The concluding chapter will assess global progress towards achieving the goals identified in the Monitoring Framework, and summarize the key messages of the 2017 Global Report. It will formulate a selected number of global policy recommendations and foresee next steps for the global community to address as they continue to promote the diversity of cultural expressions and fundamental freedoms.

Annexes:

- Annex 1: Indicator Framework of the 2005 Convention (with indicators and means of verification)
- Annex 2: list of contributors
- Annex 3: QPR status