METHODOLOGICAL GUIDE
TECHNICAL ASSISTANCE MISSIONS
Expert Facility to Strengthen the System of Governance for Culture in Developing Countries
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>FOREWORD</th>
<th>2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PART 1: THE UNESCO/EU PROJECT AND RELATED CONCEPT</strong></td>
<td>3</td>
</tr>
<tr>
<td>1. THE PROJECT</td>
<td>3</td>
</tr>
<tr>
<td>1.1 What is the UNESCO/EU project “Expert Facility to Strengthen the System of Governance for Culture in Developing Countries”?</td>
<td>3</td>
</tr>
<tr>
<td>1.2 What are the goals of the UNESCO/EU project?</td>
<td>3</td>
</tr>
<tr>
<td>1.3 Mentoring the beneficiaries</td>
<td>4</td>
</tr>
<tr>
<td>1.3.1 Partnership</td>
<td>4</td>
</tr>
<tr>
<td>1.3.2 Which principles should guide the international experts in their activities?</td>
<td>5</td>
</tr>
<tr>
<td>1.4 Who benefits from the UNESCO/EU project?</td>
<td>5</td>
</tr>
<tr>
<td>1.5 What types of requests can be submitted by the beneficiary countries?</td>
<td>6</td>
</tr>
<tr>
<td>1.6 What is the selection process for technical assistance requests?</td>
<td>6</td>
</tr>
<tr>
<td>1.7 Who implements the project in the field?</td>
<td>6</td>
</tr>
<tr>
<td>1.7.1 The role of international experts</td>
<td>6</td>
</tr>
<tr>
<td>1.7.2 The role of the national team</td>
<td>7</td>
</tr>
<tr>
<td>1.7.3 Cooperation Agreement with the Beneficiary</td>
<td>7</td>
</tr>
<tr>
<td>1.8 What are the expected results?</td>
<td>8</td>
</tr>
<tr>
<td>2. RELATED CONCEPT: THE GOVERNANCE OF CULTURE</td>
<td>9</td>
</tr>
<tr>
<td>2.1 What is the governance of culture?</td>
<td>9</td>
</tr>
<tr>
<td>2.2 Why is the governance of culture important for technical assistance?</td>
<td>10</td>
</tr>
<tr>
<td>2.3 How should this be applied by international experts?</td>
<td>10</td>
</tr>
<tr>
<td><strong>PART 2: IMPLEMENTATION OF THE UNESCO/EU PROJECT</strong></td>
<td>12</td>
</tr>
<tr>
<td>1. TECHNICAL ASSISTANCE ACTIVITIES</td>
<td>12</td>
</tr>
<tr>
<td>1.1 What types of activities are the international experts engaging in?</td>
<td>12</td>
</tr>
<tr>
<td>2. IMPLEMENTATION OF THE TECHNICAL ASSISTANCE PROJECT</td>
<td>13</td>
</tr>
<tr>
<td>2.1 What are the tasks of the international experts during the preparatory phase?</td>
<td>14</td>
</tr>
<tr>
<td>2.2 What are the tasks of the international experts during the mission?</td>
<td>15</td>
</tr>
<tr>
<td>2.3 What are the tasks of the international experts during the synthesis, assessment, evaluation and feedback phase?</td>
<td>16</td>
</tr>
<tr>
<td>2.4 How will the technical assistance be monitored?</td>
<td>17</td>
</tr>
<tr>
<td>3. POTENTIAL OBSTACLES</td>
<td>18</td>
</tr>
<tr>
<td>3.1 What are the potential obstacles?</td>
<td>18</td>
</tr>
<tr>
<td>3.2 What in-mission support for international experts is provided by UNESCO in order to reduce potential obstacles?</td>
<td>18</td>
</tr>
<tr>
<td><strong>ANNEX I</strong></td>
<td>20</td>
</tr>
<tr>
<td>Key concepts for use in technical assistance</td>
<td>20</td>
</tr>
<tr>
<td><strong>ANNEX II</strong></td>
<td>26</td>
</tr>
<tr>
<td>Examples of stakeholders from the culture sector and associated sectors involved in projects dealing with the governance of culture</td>
<td>26</td>
</tr>
<tr>
<td><strong>ANNEX III</strong></td>
<td>27</td>
</tr>
<tr>
<td>List of UNESCO publications</td>
<td>27</td>
</tr>
</tbody>
</table>
FOREWORD

This methodological guide was first elaborated by the UNESCO Section for the Diversity of Cultural Expressions with input from Patricio Jeretic. It has been updated by international experts participating in UNESCO’s Expert Facility during the implementation of the UNESCO/EU project – *Strengthening the System of Governance for Culture in Developing Countries (2010-2015)*. The project, managed by UNESCO, was funded by the European Union in the context of its contribution to the implementation of the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions.

This Guide defines the concepts and methods used during the technical assistance missions undertaken within the context of this joint UNESCO/EU project. In particular, it introduces the partnership model upon which the work of international experts was based and the method used to support the beneficiaries.

This methodology has inspired the 2005 Convention Secretariat’s global capacity development strategy.
PART 1:
The UNESCO/EU project and related concept

1. THE PROJECT

1.1 What is the UNESCO/EU project “Expert Facility to Strengthen the System of Governance for Culture in Developing Countries”?

As a Party to UNESCO’s 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005 Convention), the European Union (EU) is actively contributing to its implementation. In 2010, it supported the launch of a joint UNESCO/EU project (2010-2015) aimed at creating an Expert Facility to strengthen the system of governance for culture in developing countries and to reinforce the role of culture as a vector for sustainable development and poverty reduction. This project is financed through the “Investing in People” programme, “Access to Local Culture, Protection and Promotion of Cultural Diversity” Strand, which has been actively supporting 2005 Convention-related initiatives since 2007.

Through the Expert Facility, technical assistance is provided to beneficiary countries on-demand. This assistance may involve methodological support for the development of a policy, the creation of an administrative environment allowing for the development of programmes and their management, the design of strategies for structuring the cultural industries, developing arts education strategies, discovering new business models for cultural goods and services or defining an approach for the integration of culture in social and economic development policies. Interventions are made in order to build up governance, professional and institutional capacities at the national, regional and local levels through missions undertaken by top international experts in the field of cultural policies and cultural industries.

*International experts* were selected through a call for interest. They act as UNESCO consultants and are required to comply with the set of principles and methods outlined in this guide.

1.2 What are the goals of the UNESCO/EU project?

The goal of technical assistance is to reinforce:

*Political will* – In some countries, including developing countries, culture is not a political concern or priority. Due to various historical, societal, educational or economic factors, there exists a lack of specific knowledge and information on the potential of culture as a factor of development. Inspired by the 2005 Convention, every technical assistance mission will include an information and communication component aimed at policymakers in an endeavour to broaden perceptions. The international experts will identify
the potential stumbling blocks at this level and will put forward convincing arguments in support of the process. The experts will promote, through the media, the idea that culture is a public responsibility and will generate a collective awareness in this regard. Regular reporting on the technical assistance itself will also help to demonstrate the relevance and necessity of this activity.

**Institutional capacity** – The low institutional capacities of a country limit the potential implementation scope of development policies and support programmes for culture. This weakness is marked by a lack of specific skills among staff, insufficient financial and technical resources, cumbersome and ill-adapted administrative and regulatory environments and a low level of professional commitment among employees. Institutional weakness that may jeopardize the success of the project must be taken into account when implementing the mission, and practical steps to overcome them are to be proposed. The international experts will identify the most serious weaknesses, especially those relating to professional skills, and will suggest suitable enhancement measures.

**Education systems** – Several countries require capacity-building, which regularly takes the form of short training courses. Experts shall first question the curricula of established institutions in order to identify gaps and seek solutions to answer the requests, whether regarding artistic or technical training, the management of arts and culture, public administration or entrepreneurship. The aim is to provide sustainable capacity-building that would allow for the overhaul or, where appropriate, the creation of national or international educational institutions, particularly for vocational training.

**Participation of all stakeholders** – The relevance of technical assistance operations and the sustainability of the solutions adopted within the framework of a project depend on due attention being paid to the realities on the ground, in particular to operators’ needs, to the presence of other partners, to the state of organization of artistic sectors, to the cultural goods and services market, etc. The involvement of all stakeholders in the process is very important. Therefore, one of UNESCO’s goals is to ensure the participation of the various components of civil society in the implementation of the projects. In consultation with a national team, the international experts must involve, in the work of the national team, professional and social groups, voluntary organizations, institutions, cultural entrepreneurs and the business community when relevant. The aim will be to ensure a diversity of visions, opinions and needs. Stakeholder identification will rely on an institutional analysis to determine who will be associated with the process.

**Ownership and sustainability** – The proposals, recommendations, documents, working methods and tools developed under the mission will be the outcome of a participatory process and a joint effort by the international, national, regional and local experts, mainly members of the national team. The combination of these efforts will ensure that the adopted solutions are concretized in the medium and long terms.

### 1.3 Mentoring the beneficiaries

#### 1.3.1 Partnership

The technical assistance is offered in the spirit of partnership. Beneficiaries and experts act together to achieve the aims and objectives of the project. They work to formulate pragmatic strategies, to develop appropriate methods and tools for intervention, thus ensuring the creation of an endogenous development dynamic.

The governance of culture is designed as a continuous process, thus a technical assistance mission must facilitate the development of skills in analysis, planning, programming and
management by taking existing practices as the starting point. It is thus essential that missions have a training component, focusing on the transfer of knowledge and know-how.

International experts facilitate and arouse reflexion without offering ready-made solutions. Their task is rather to foster the emergence of sustainable internal processes. Their role is, in particular, to coordinate activities, to provide practical means, to facilitate and support the work flow through concrete interventions more than through a theoretical discourse. That is why they avoid imposing ready-made solutions, measures, strategies or procedures; the “turnkey” formula is not part of the technical assistance’s philosophy.

The agreement between the beneficiary and UNESCO is established according to this participatory approach in which each party agrees to contribute.

1.3.2 Which principles should guide the international experts in their activities?

In all technical assistance activities, international experts will do their utmost to:

› promote transparency and accountability;
› assist in identifying the precise needs, obstacles and weaknesses that may impede effective governance, by observing the situation and by consulting local officials and operators;
› suggest approaches for dealing with existing obstacles, by identifying and analysing available skills and resources;
› propose a complete and coherent intervention strategy to ensure that the conditions required for the effective achievement, ownership and sustainability of results are met, through for example, skills transfer to national and local officials and operators;
› establish a participatory and open approach to ensure that all stakeholders will be consulted and included throughout the project, and help maintain a good working environment;
› identify, collect, process and report on the available facts and data that will inform the project, in particular by identifying, with national and local officials, existing skills and knowledge that can be strengthened;
› raise civil society’s and policy-makers’ awareness about the link between culture and development.

1.4 Who benefits from the UNESCO/EU project?

The beneficiary countries are developing countries that have ratified the 2005 Convention and are beneficiary countries under the EU thematic programme “Investing in People”1.

Missions will be undertaken following requests made by public authorities in beneficiary countries, including:

› National level public authorities from ministries, public institutions and agencies responsible for culture and/or having a direct influence on the governance for culture;
› Regional or local level public authorities if their field of activity has a direct impact on the governance of culture in the country.

1 The list of beneficiary countries can be found at http://en.unesco.org/creativity/capacity-building/programmes/governance-culture
1.5 What types of requests can be submitted by the beneficiary countries?

The purpose of the technical assistance missions is to assist authorities in the planning or implementation of ongoing initiatives/activities related to the governance of culture at national and/or local level(s). These missions are designed on the basis of expressed needs and priorities identified by beneficiary countries through an application procedure. This demand-driven approach aims to ensure ownership of the project and sustainable impact on a local, regional or national level. It can include, among others: methodological support to cultural policy development and/or implementation, training and reinforcement of human resources: cultural decision-makers and/or professionals, operators, cultural institutions’ capacity-building, structuring professional groups, etc.

It may be difficult to fill out an application in a context where defining issues is complicated by the lack of cultural policy and where governance is particularly weak. In these circumstances, the possibility to provide special assistance to an applicant for the submission of its application may be considered.

Selected international experts will accompany public authorities and relevant stakeholders as they work towards the development and implementation of a policy or strategy for the cultural sector. This includes legal, institutional, management, financing and administrative dimensions and addresses the role of culture in educational, social and economic development, particularly through the cultural industries.

1.6 What is the selection process for technical assistance requests?

The evaluation of technical assistance requests is conducted by a Steering Committee of representatives from UNESCO and the EU and is based on the specific eligibility and selection criteria described below2:

» Relevance: To what extent is the proposed request for technical assistance suited to the objectives and principles of the Project and the 2005 Convention?

» Feasibility: Are the goals of the proposed mission realistically attainable within the expected timeframe and with the proposed human and financial resources?

» Effectiveness: To what extent does the request for technical assistance help the beneficiary implement its project and meet the needs and priorities of its country?

» Sustainability: Are measures/policies/impact resulting from the technical assistance likely to continue and grow after the completion of the mission?

1.7 Who implements the project in the field?

1.7.1 The role of international experts

Following approval by the Steering Committee, UNESCO informs the beneficiaries of its decision and proposes a selection of international experts that could best accompany

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2 All applicants receive feedback on the content of their application, making the evaluation process more transparent and constructive.
public authorities throughout the project. The beneficiary identifies their two preferred experts upon evaluation of the respective CVs. The international expert's mandate is divided into three phases: 1) preparatory; 2) presence on the ground or “mission”; 3) synthesis, assessment, evaluation and feedback (see Part 2, Chapter 2).

Each expert is notified of the name of the other expert with whom they will be required to work. Each expert will be responsible for specific tasks depending on the needs of the project and their respective areas of expertise. They will work in close cooperation and develop a common methodological approach. They will also be jointly responsible for monitoring the implementation of the project and for ensuring that all relevant information is shared with the members of the national team of experts. Part 2 of this Guide provides an overview of the main types of activities that international experts may be required to carry.

1.7.2 The role of the national team

At the core of the technical assistance missions will be capacity-building components that aim to systematically transfer competences to public institutions requesting support. Beneficiaries must ensure that the project for which they are receiving assistance involves relevant national counterparts responsible for implementing the project that will ensure its continuity beyond the technical assistance mission.

The beneficiary is requested to designate a national team. This should include officials working in Ministries other than the “lead agency” implementing the project, civil society stakeholders, relevant private sector operators working in the cultural sector, researchers, etc. Their names, biographies and contact information are to be provided to UNESCO and the international experts. Beneficiaries are to appoint a key contact person on the national team to coordinate/communicate with the international experts. In order to expand the skills inventory, beneficiary countries are encouraged to include a young researcher or a young local manager who could gain practical experience.

For details on the composition and role of the national team, beneficiary countries rely on information contained in the Call for applications for technical assistance missions.

1.7.3 Cooperation Agreement with the Beneficiary

Once the international experts are selected and the national team assembled, UNESCO prepares a letter of agreement to be signed by the beneficiary.

The beneficiary enters into a formal agreement with UNESCO that outlines the following information:

- the objective of the mission and the ongoing partnership process in which it occurs;
- the expected results of the mission;
- the period and the maximum duration of the mission;
- a preliminary detailed schedule and workplan approved before the beginning of the mandate by all parties involved;
- the names of selected international experts and their contact information;
- members of the national team, their biographies and their contact information;
- the commitments of UNESCO, of the field office and of the National Commission for UNESCO;
- the commitments of the beneficiaries.
Once the letter of agreement between the beneficiary and UNESCO is signed, the beneficiary will submit a provisional timetable and workplan that will act as a basis for the contract between UNESCO and the international experts.

The beneficiary country agrees to actively participate in the technical mission by:

> assembling a national team to work together with the international experts in order to ensure sustainable results and transfer of knowledge (see Annex II);
> designating two points of contact within the above-mentioned national team: one for relations with UNESCO and another for relations with the expert(s);
> notifying UNESCO of any challenges that may lead to changes in the original work plan or conditions for the successful implementation of the technical assistance;
> providing a communication plan and budget;
> elaborating a fact sheet concerning the aims, objectives and expected results of the technical assistance mission and disseminating it to the national team assigned to the project prior to the mission;
> participating in the process throughout the expert’s mission;
> providing the experts with the necessary logistics to accomplish their mission including work space and related technical requirements as well as the local transportation required for the realization of the mission;
> making all existing information, reports and data relevant to the mission available to the international expert;
> committing to organizing regular meetings (at least three during a visit) for the international experts with all national team members and subsequent meetings and interviews with local stakeholders as required (public officials, professionals, civil society actors);
> promoting the project through relevant platforms;
> ensuring, in every way possible, follow-up and evaluation of the mission to guarantee the achievement of expected results; and
> completing an expert evaluation form and a detailed report no later than 3 months following the completion of the technical assistance mission.

1.8 What are the expected results?

A system of governance that is more efficient, transparent and coherent can only benefit the cultural sector, not only by creating an environment that is more conducive to the development and implementation of cultural policies, to the development of cultural industries and to cultural diversity, but also by attracting more resources, both financial and human, into the sector.

As the governance of culture is a continuous process, the expected results of the technical assistance mission are to facilitate skills development, working methods and practical tools for planning, programming, managing and training, while ensuring that the relevant officials are actively involved.
Ownership of the processes, tools and working methods proposed and developed during the technical assistance missions is another key expected result. Public institutions and agencies which have been provided with technical assistance are best placed to formulate relevant, informed and effective strategies for public action in this sector.

2. RELATED CONCEPT: THE GOVERNANCE OF CULTURE

2.1 What is the governance of culture?3

The concept of governance is multifaceted and establishes principles to guide activities and measures that determine the economic, administrative, institutional, regulatory, legislative and political environment in which the cultural sector and its sub-sectors emerge and develop.

A country’s system of governance for culture cannot only be a matter for the Ministry of Culture but should be the result of interactions between the measures, decisions and activities undertaken at different levels and multiple stakeholders, including international institutions, regional organizations, States and governments, local authorities, public institutions and organizations, non-governmental organizations, professional associations of creators and private sector cultural enterprises (e.g.: SME, banks, creative businesses as social enterprises, business angels). Together, they contribute to framing the environment in which culture and the sectors of cultural activity take place.

The sustainability of the system of governance for culture is dependent on several factors that are political and technical.

- The system of governance is determined to a large extent by political will and by the level of priority given to the cultural sector by the government, public authorities and society in general. Civil society and operators in the cultural field can, through information and communication, help to create a political environment conducive to the development of the cultural sector.

- In technical terms, the quality of the system of governance for culture will depend on the human and financial resources available in the value chain of the institutional arts, cultural industries and education network. More specifically, it will depend on the capacities and skills of the various public institutions and stakeholders formulating relevant and effective action-orientated strategies and implementing prevailing policy priorities. In addition, it will depend on the availability of information and data that can contribute to facilitating informed and transparent governance.

On the whole, the functioning of the system of governance for culture is adversely affected by the low political priority given to culture and by weak institutional capacities in this area. This is one of the main challenges faced by the technical assistance Project.

3. See Annex I for a more detailed overview of the main concepts of the 2005 Convention that are relevant for this technical assistance project.
2.2 Why is the governance of culture important for technical assistance?

Effective governance can be determined by the vision and action of public administrators in the culture sector as well as by their commitment to a system that is transparent (through full access to information), participatory (through the involvement of multiple stakeholders) and informed (through regular data collection and information sharing). This system consists of a network of state and business organizations responsible for promoting the diverse cultural expressions of a society.

The governance of culture will result in the implementation of policies and strategies through which governments achieve both collective goals and provide support to artists, groups and companies. In that sense, governance catalyses endogenous forces in designing and administering measures and programmes in line with needs.

The role of the technical assistance is to sustain this momentum through its contribution in terms of analysis, methodological choices and interventions planning. The international experts will use local experience as a lever for the development of sustainable solutions.

2.3 How should this be applied by international experts?

When experts undertake technical assistance missions to establish the legal, regulatory and/or institutional frameworks necessary to develop the cultural sector of specific countries, the following guidelines are to be taken into consideration. They are derived from the Articles and Operational Guidelines of the 2005 Convention. For more detailed information, see Annex I.

i) Policies and measures aimed at the promotion of a diversity of cultural expressions are to be based on the principles of freedom of expression, equality, openness, balance and sustainability.

ii) Recognizing that the system of governance for culture involves a range of governmental and non-governmental actors, institutional spaces are required to ensure the active participation of a diversity of voices in policy-making processes as well as shared responsibility in policy implementation.

iii) Promoting the diversity of cultural expressions at different stages of the value chain requires an integrated approach to policy-making which includes the participation of various government ministries/departments, for example, education, social affairs, employment, tax, trade and competition, enterprise development, and so on. Interdepartmental working groups could be set up in this regard. This does not imply a shifting of responsibility from one ministry to the next but rather the adoption of a culture-centred approach to joined-up policy development to promote the diversity of cultural expressions. Representatives from non-governmental bodies are to participate in these working groups and in the formulation of integrated policy strategies.

iv) Nurturing and supporting artistic creativity is at the heart of policies to promote a diversity of cultural expressions. Providing opportunities for artistic works to be distributed in the marketplace as well as through public institutions or new channels.

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4. Operational Guidelines are an interpretation and act as a road map for the implementation of the Articles of the 2005 Convention that have been collectively agreed upon by the Parties. The Operational Guidelines can be found at http://en.unesco.org/creativity/convention/about/guidelines.
of networked communication is equally important. Such support can **enable the distribution of artistic works and local cultural productions.**

**v)** *Legal and institutional frameworks* to strengthen the emergence of viable local and regional cultural industry markets, particularly in developing countries, need to go hand in hand with the implementation of **capacity building programmes for cultural entrepreneurs and entreprises.** These programmes must provide them with the knowledge to fully participate in the marketplace including the development of skills in the areas of management, financing, communication, use of technology, etc.

**vi)** Policies and measures should take into account the **specific needs of individuals** (e.g. women) and **social groups** (e.g. persons belonging to minorities and indigenous peoples) and the barriers they face in participating in the different stages of the value chain of cultural production. Attention is to be paid to the provision of support for their works through creative directed measures.

**vii)** An essential component of policy strategies aimed at promoting the diversity of cultural expressions is to ensure **access by the public** to such works. This implies not only enabling citizens’ physical access to institutional and non-institutional spaces, but also providing them with intellectual access. In this regard, policies and programmes should aim to raise awareness of diverse cultural expressions and activities, to provide citizens with the knowledge and skills necessary to understand and/or develop curiosities about diverse cultural expressions, and to overcome linguistic and other cultural barriers.

**viii)** Strategies aimed at promoting the diversity of cultural expressions are directed toward works which originate from within a specific territory as well as those which originate globally. In this context, **multilateral, regional and bilateral treaties** as well as **international cooperation agreements and strategies** combining trade and culture dimensions should focus not only on promoting cultural expressions (goods, services and activities) abroad through export-driven strategies, but also on enabling the distribution of diverse cultural expressions from different world regions within their respective markets through import-driven strategies. In addition, programmes that facilitate the international and/or regional mobility and exchange of artists and cultural operators, particularly from developing countries, are essential.
PART 2: IMPLEMENTATION OF THE UNESCO/EU PROJECT

1. TECHNICAL ASSISTANCE ACTIVITIES

1.1 What types of activities are the international experts engaging in?

The technical assistance should contribute to the creation of an environment that enables the development and implementation of cultural policies and cultural industries in beneficiary countries.

In this regard, international experts may be engaged in a combination of activities and, to the extent possible:

- **Participate in consultation meetings and exchanges on the organisation of technical assistance missions**, sharing professional experience with the beneficiary country on how to identify needs by compiling and sharing relevant information and reports, establishing the working methodology and producing workplans outlining next steps, participating in information and communication activities with members of the national team to promote the project among different stakeholder groups.

- **Build the skills of national and local government employees** by working with them to develop methods and tools for implementing policies, programmes and projects to promote the cultural industries as well as develop the means to manage public action and optimize resources. This can be achieved through the organisation of specific training activities and workshops.

- **Contribute to the drafting of policy documents, strategies, programmes or projects** by working together with local stakeholders and, if necessary, designing a wide array of consultations to construct drafts of policy proposals. The experts will identify and contribute to the creation of conditions conducive to the effective development of policy documents, strategies, programmes and projects, while taking into account the changing patterns of production, consumption and distribution of cultural goods and services, through, among other things, new information and communication technologies.

- **Support the design and implementation of culture for development programmes or projects**, by capitalizing on professional experience and skills to assist in defining project outlines (including aims, impact, required resources, etc.), contextualizing programmes/projects within the sector’s overall development strategy, identifying needs and obstacles and suggesting management, programming, communication, monitoring and evaluation tools.
Strengthen the strategic vision and management of cultural institutions by assisting managers and employees in identifying appropriate institutional development strategies and implementation methods, linking activities to an overall sectoral development strategy, by jointly developing specific programming, management, communication and evaluation tools, and by improving internal and external coordination, communication and information activities.

Assist in the generation of the necessary political will to improve the system of governance in the beneficiary country and raise the profile of culture in the governments’ policy agenda. This may be achieved by helping to develop the necessary advocacy material for demonstrating the importance, role and potential of cultural policies and cultural industries in fostering economic and social development as well as working with national and local officials and managers in identifying the best ways of communicating these messages, for example, through strategic briefings for politicians and policy makers.

Identify and reach out to civil society stakeholders to involve them, in agreement with those responsible for the national team, in all the above activities. International experts may identify “agents of change” in the country who may or may not belong to a specific group but are individuals, local personalities, representatives from the private sector and so forth.

Identify stakeholders in the field of education that could help develop programmes to increase the dissemination of artistic production towards youth (books, movies, music, theater, visual arts, etc.) by building relationships with professionals in the production environment.

Develop a communication strategy with the national team identifying target groups (individuals, groups, etc.), a timetable (before, during and after the technical assistance) and the nature of the documents and materials to be produced and distributed (information, awareness-raising and content). Political support for an optimal implementation of the technical assistance mission can be increased by appropriate and well-targeted information. Ministries and civil society representatives responsible for culture should be informed and their level of awareness raised so that they will know more about the activities and take ownership of them. Therefore, all stakeholders must be involved in order to optimize its impact and sustainability.

Participate in the virtual network for exchange of information among experts established within the framework of the Project.

Provide photos and videos of the technical assistance mission(s) to be published on the 2005 Convention Website.

2. IMPLEMENTATION OF THE TECHNICAL ASSISTANCE PROJECT

The mandate of the international experts is divided into three phases:

Phase 1: Preparatory

Phase 2: Presence on the ground or “mission”

Phase 3: Synthesis, assessment, evaluation and feedback
2.1 What are the tasks of the international experts during the preparatory phase?

The international expert's mandate will begin with a preparatory phase in order to make the most of the time spent in the field. Before departing, the international expert will:

i) **Receive communication from UNESCO** in order to:
   - identify the expert with whom he/she will team up to fulfill the mandate;
   - obtain the technical assistance selection and evaluation information that will serve as background to the mission and help to understand the beneficiary's expectations of the mission;
   - clear up any unanswered questions about the terms of reference;
   - define and coordinate the activities to be undertaken as well as the division of responsibilities.

ii) **Review documents provided by the beneficiary** for example:
   - policy/strategy/plan documents concerning cultural policy and cultural industries;
   - general strategy document for the development of the country's cultural sector;
   - texts on the legislative, regulatory and institutional framework of culture and cultural policies and cultural industries;
   - cultural sector studies or sectoral studies (mapping, qualitative studies, surveys, etc.);
   - reports on cultural support programmes or projects in the country, particularly those relating to cultural policies and cultural industries;
   - available statistics on culture, cultural industries and cultural goods and services;
   - institutional diagnostic that maps who does what;
   - other available documents.

iii) **Introduce him/herself to the beneficiary and the local technical assistance contact person, and engage in an exchange with the contact person (electronically or by telephone)** in order to:
   - share views on the mandate and on the broad outlines of the technical assistance mission, the beneficiary's expectations and conditions for carrying out the mission;
   - confirm with the national expert that the conditions required for launching the field mission can be met;
   - set the date for the first national team meeting;
   - identify the main stakeholders in order to draft a provisional agenda;
   - prepare a work and individual meetings schedule for the first few days, ensuring that the principal intermediaries will be available upon his/her arrival;
   - arrange logistics required for his/her arrival and stay.

iv) **Compile and submit to UNESCO and the beneficiary a preliminary diagnostic report** comprising:
   - an understanding of the mission and the technical assistance to be provided, the challenges, objectives and expected results;
   - an outline of the activities that will be carried out;
   - a provisional schedule for conducting the mission;
   - a list of issues that must be clarified before the mission begins.

The diagnostic report will be drawn up by the expert(s). UNESCO and the beneficiary may make comments and clarify matters. The report will be the basis on which the mission will
begin. The final diagnostic report will be completed, amended and finalized during the expert’s first mission in the field.

2.2 What are the tasks of the international experts during the mission?

Although the operating conditions are enshrined in the letter of agreement, the reality on the ground will rarely mirror the conditions on paper. The international experts must, from the beginning of the mission, be aware of “hidden agendas”, anticipate problems likely to arise with regard to the conditions required for the successful completion of the mission and adapt to the reality of the situation accordingly. Flexibility and adaptability will be major assets in the accomplishment of the mission. For example, when faced with complex political situations, international experts will attempt to turn political questions into technical ones as a means to bypass problems.

The international experts will take action on the following fronts:

i) Initial contact with the main partners in order to outline the mission and understand their expectations of the technical assistance. It is important for the experts to seek an initial interview with the relevant policy-maker(s), in particular the minister of culture, or the relevant authority in the case of regional or local government, in order to measure the strength of political commitment, the level of priority, knowledge and individual attitude towards the technical assistance mission. This initial assessment will give the international experts an idea of the obstacles that may be encountered and the nature and forms of information that must be conveyed to decision-makers, in order to strengthen the political commitment needed to carry out the project;

ii) Contact with additional key officials. The system of governance for culture will need the involvement of other ministries and departments to become operational. In many cases, it will depend on the decisions and action taken by departments and officials not directly linked to culture (Ministries of Economy and Finance, social ministries: youth, women, Ministry of Communications, of Tourism, etc.). The experts should identify relevant counterparts and make contact with them in coordination with the local partner;

iii) First group meeting with national team. This meeting will provide an important opportunity to recall responsibilities and define more precisely the role and forms of interaction between the members of the national team and the experts. From the beginning of the mission, the experts will try to encourage teamwork within the group, capitalize on each member’s skills and experience and ensure an adequate transfer of skills and competences. It will also provide a good opportunity for the experts to determine whether the national team includes relevant stakeholders in accordance with the list provided. This will be a key element to ensure appropriation and continuity of the process;

iv) Identification and assessment of precise needs. On the basis of the first round of consultations and meetings, the experts will validate and refine, if need be, the needs identified upstream and will identify institutional weaknesses;
v) **Identification of the origin of the technical assistance.** To gauge its viability, effective implementation and other matters:

- Who initiated the process?
- Why?
- Which arguments were advanced?
- Is there a sectoral demand for such an initiative?
- What support or resistance is it generating?

vi) **Identification of the human and institutional resources available,** with a view to determining, in particular, the best conditions and modalities to carry out the technical assistance mission;

vii) **Specification of the operational strategy to be followed.** In light of the findings and analysis of the political and institutional environment considered in the initial phase, the experts will revise the operational strategy in order to meet real needs and address institutional weaknesses in the most effective manner possible;

viii) **Drafting and submission of the final diagnostic report** for the implementation of the mission. The diagnostic report will include information collected during the mission’s preparatory phase. It will be submitted to UNESCO and to the beneficiary no later than two weeks after the beginning of the field mission. This report will also be submitted to the national team, which may make additions, observations and suggestions for optimizing the technical assistance. In addition to the information contained in the preliminary report, it will include the following items:

- description of the technical assistance activities to be undertaken;
- planning of the process – phases, schedules and resources;
- list of stakeholders to be consulted and involved in the project;
- description of communication activities.

2.3 **What are the tasks of the international experts during the synthesis, assessment, evaluation and feedback phase?**

In addition to the final diagnostic report that outlines the implementation of the mission, the experts will submit a final report to UNESCO, focusing on the results of the mission, detailing the success and challenges associated with the overall intervention strategy and the draft policy. This final report should be submitted no later than one month following the completion of the technical assistance mission in accordance with the drafting plan provided by UNESCO.

Moreover, during the assessment phase, it will be necessary to report on the mission’s results to all stakeholders and potential users through workshops and briefings and ensure the development of specific communication materials for distribution to the general public. The activities of this last phase will be agreed upon, to the extent possible, at the beginning of the mandate.

In addition, the beneficiary’s detailed report will be sent to the experts prior to its release.
Community of Practice

Not only is communication important within the context of each technical assistant mission, but it is also crucial that international experts can exchange information with one another across projects. In that respect, a Wiki site, accessible to members of the pool of international experts, has been created to facilitate the dissemination of information on each technical assistance mission.

The following documents will be routinely published for each mission:

> mission summary, produced by UNESCO, giving the name of the beneficiary, the objectives of the technical assistance mission, the expected results, the experts in charge of the mission;
> the final diagnostic report;
> the final mission report, after validation by UNESCO;
> the detailed report from the beneficiary, after validation by UNESCO.

2.4 How will the technical assistance be monitored?

No later than three months after the field mission is completed, the beneficiary will submit an evaluation report on the experts (on a form provided by UNESCO) and a detailed report outlining the implementation of the mission, the results achieved, its impact and monitoring (activities completed and planned to ensure project continuity). Six months after the end of the expert’s mission, UNESCO will send a questionnaire to the beneficiary so that he/she can evaluate the implementation of the technical assistance. The questionnaire will include, in particular, a progress appraisal of the technical assistance, drawing on the operational programme proposed by the experts and approved by the national team at the end of the field mission.

UNESCO’s role in monitoring technical assistance

UNESCO will monitor developments throughout the project in order to assess its overall impact.
UNESCO may also decide to have an ex-post evaluation of the technical assistance conducted by an external expert.
3. POTENTIAL OBSTACLES

3.1 What are the potential obstacles?

The experts will try to pinpoint the main problems that inhibit the strengthening of the system of governance for culture, in order to devise, in concert with the national team, substantive measures for tackling these obstacles. In the same vein, they will identify the responsibilities of the various contributors and the potential obstacles that could slow down the implementation of the technical assistance, some of which include:

- modest budgets and programmes that nevertheless require close technical monitoring;
- national (and international) officials responsible for the design and implementation of policies and programmes in the sector who lack knowledge of the sector;
- difficulty in finding the expertise required for effective policy and project implementation;
- failure to capitalize on experience in the sector, owing to a lack of continuity in policy and programme development in the sector;
- lack of information and relevant data for devising policies, strategies and development programmes in the cultural sector.

The experts are likely to face resistance locally and nationally from individual civil servants or officials in departments responsible for culture, civil society, traditional authorities and/or cultural operators. They can attempt to overcome such resistance by identifying stakeholders who have reservations about changes to the system of governance and understanding the reasons for such reservations. This can shed valuable light on past failures or issues related to institutional mistrust that can be addressed more thoroughly. Providing all stakeholders with full and transparent information on the process and its objectives is another way to overcome resistance, especially when coupled with finding ways to consult sceptical parties and means to incorporate their requirements into the process.

Furthermore, low interest in the cultural dimension of development is a consequence of, among other things, the dearth of information available and a lack of informed communication on this subject. High-profile coverage of the activities undertaken during the mission will help to feature culture more prominently in the country's social and political debate. Communication is an integral part of the technical assistance mission process, as it is instrumental to the achievement of the project's overall goals.

3.2 What in-mission support for international experts is provided by UNESCO in order to reduce potential obstacles?

UNESCO and the beneficiary will state as explicitly as possible the terms of reference and conditions under which the international experts will operate. Prior to the mission, the experts will communicate with UNESCO for an exchange of views. If they encounter problems during the mission, for example, the beneficiary would fail to meet the conditions set out in the terms of reference, they shall report the matter to UNESCO, who will approach the contact person on the beneficiary’s side.

UNESCO will also provide all available information and documents requested by each expert, in particular tools and resources developed by UNESCO in the field of culture.

The National Commission for UNESCO will be kept informed of the approval of a project in its country and the head of the national team will send them, on a regular basis, a
progress report on the work undertaken. Upon arrival in the country, the experts will visit the Commission to communicate the objectives of their mission and seek collaboration in their efforts, if appropriate. If relevant, a representative of the Commission will be involved in work meetings, administrative or formal procedures or meetings with the press.

The relevant UNESCO field office will be continuously informed of the work taking place on its territory to implement a project. Depending on the nature of the activities undertaken, the office staff will be invited, by mutual agreement between the experts and the national team, to actively participate in the mission. In the spirit of continuity, and in coordination with the Expert Facility Project’s team, the field office may be involved in the follow-up of the projects.

The experts and the national team will make regular contact to exchange on the conduct of the mission. They will communicate on a regular basis with UNESCO.

The international experts in the pool will be kept informed of the mission’s progress through the Wiki space dedicated to them and through documents issued as planned. The members of the pool will be encouraged to contribute with their expertise and/or advice, if necessary and at the request of the international experts, thus supporting them during the field mission.

**Backstopping and conflict resolution**

Should the beneficiary express dissatisfaction with the international expert’s work, UNESCO will consult him/her in order to clarify matters. If the parties reach a deadlock, UNESCO may decide to dispatch a backstopping mission. This mission is tasked with analysing the problems encountered and suggesting practical solutions that will enable the international expert to continue to work.

Backstopping missions will be dispatched in exceptional cases only, at the beneficiary’s request, and after the situation has been analysed and all other means of breaking the deadlock have been exhausted. UNESCO will decide on the timing, the conditions and the international expert who will carry out the mission.
ANNEX I

KEY CONCEPTS FOR USE IN TECHNICAL ASSISTANCE

1. CULTURAL DIVERSITY – DIVERSITY OF CULTURAL EXPRESSIONS

There is a common misunderstanding that the 2005 Convention is the Convention on Cultural Diversity. It is not.

The Convention on the Protection and Promotion of the Diversity of Cultural Expressions addresses a specific and important part of the larger cultural diversity concept that has been at the centre of UNESCO’s work since its inception and which has evolved over time.

In 1996, the World Commission on Culture and Development first put forward that diversity is not just tied to individual or group cultural differences but can be a source of creativity. Support for new art forms and expressions was therefore determined as an investment in human development. The follow-up Intergovernmental Conference, “The Power of Culture” concluded in its Stockholm Action Plan (1998) that governments, in their efforts to promote diversity, are to recognize that cultural expressions manifested as goods and services have a dual economic and cultural value and therefore should not be treated as other forms of merchandise. The 2001 Universal Declaration on Cultural Diversity called for the promotion of diversity as an ethical imperative, inseparable from human dignity. It reaffirmed that diversity is not only an expression of cultural difference of individuals, groups and societies that could lead to conflict but that it can also be harnessed as a factor in development. In this context, diversity is to be viewed as a capacity for expression, creativity and innovation.

Indeed, the 2005 Convention puts forward that “cultural diversity is made manifest through diverse modes of artistic creation, production, dissemination, distribution and enjoyment, whatever the means and technologies used.” For this reason, and in the context of the technical assistance interventions, diversity refers to a variety of cultural expressions that result from the contemporary creativity of individuals, groups and societies, and that have cultural content. These expressions are transmitted through words (literature), sound (music), images (photos, films) – in any format (printed, audiovisual, digital, etc.), activity (dance, theatre) or object (books, films, sculptures, paintings).

2. CULTURAL POLICIES AND MEASURES

Articles 6 and 7 of the 2005 Convention are the key articles addressing the right of governments to adopt cultural policies and to implement measures aimed at the promotion of the diversity of cultural expressions. These policies and measures are aimed at ensuring artists, cultural professionals and citizens worldwide can create, produce, disseminate and enjoy a diversity of cultural goods, services and activities, including their own.
Article 2 sets out the **guiding principles** upon which such policies and measures are to be developed among which are: respect for human rights and fundamental freedoms; equal dignity and respect for all cultures; international solidarity and cooperation; complementarity of economic and cultural aspects of sustainable development; equitable access to cultural expressions from within their territories and around the world; openness and balance.

Below is an overview of the key elements of each of these articles and a summary of what they collectively imply for the implementation of the 2005 Convention.

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Article 6 is one of the pillars of the 2005 Convention. It confirms the **right** of Parties to develop cultural policy frameworks and adopt measures that promote a dynamic cultural sector. They can do so by providing support at different stages of the cultural cycle or production chain: a) creation, b) production, c) distribution, d) dissemination, e) participation, and f) enjoyment. It also encourages Parties to recognize the importance of:

> a **diversity of actors** involved in the system of governance for culture including public and private institutions, non-governmental organizations making up civil society, artists and cultural professionals;

> **public funding** for the creation, production, distribution and enjoyment of diverse cultural expressions;

> **regulatory frameworks/measures** which will nurture creativity and provide artists and cultural entrepreneurs and other players working in the cultural industries with access to the means of production, dissemination and distribution of their works (including in different languages). They will also provide access for audiences/consumers to diverse cultural expressions through diverse distribution channels;

> **support for diversity in the media**, including public service broadcasting.

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Article 7.1 (b) encourages national policy makers to take into consideration the specific needs of **individuals and social groups** participating as creators, producers, distributors and consumers of cultural expressions when designing their cultural policy strategies and measures. For example, they can introduce targeted measures to provide support for female artists and help them overcome the barriers they may face in having equitable access to the market place or to funding opportunities.

This Article also reminds governments that their policies are not only to be designed to promote cultural expressions produced within their territory but also to **provide access to cultural expressions from all parts of the world for their citizens**. This derives from one of the guiding principles of the Convention (openness) and is supported by Article 12, which calls for greater international cooperation, co-production and the **promotion of civil society partnerships** through new technologies.

In this context, international cultural cooperation policies are considered an important part of cultural policy frameworks promoting the diversity of cultural expressions. Providing on-going structural support for transnational activities and projects can help raise awareness about the diversity of cultural expressions and can help promote exchanges that facilitate dialogue and potentially lead to the production of new cultural expressions.
In summary, Articles 6 and 7 encourage an integrated approach to the development of cultural policies and measures that nurture creativity, facilitate the participation of creators in domestic and international marketplaces where their artistic works/expressions can be recognized and remunerated, and ensure that these expressions are accessible to the public at large. This means that Parties are called upon to implement policies and strategies that support artists and cultural professionals at different stages of the cultural production chain and to work toward creating an environment for the development and growth of viable and independent cultural sectors of activity, in particular micro–, small– and medium– sized enterprises at the local level.

3. CULTURAL INDUSTRIES

The 2005 Convention defines the cultural industries as those that produce and distribute cultural goods, services or activities as conveying cultural expressions irrespective of the commercial value they may have.

These goods and services may be experienced as a one-off event (e.g. at a concert, an art fair, an exhibition) or repeatedly over time (e.g. as a book, a film, a sound recording).

The primary value of cultural goods, services and activities operating within the cultural industries lies in their cultural content. The Convention underscores the dual nature of cultural products, both economic and cultural, and recognizes that the distinctive element that sets these products apart from other commercial products is the cultural value they may carry. In this context, cultural content may be copyright protected in the widest sense or not.

The creators, producers or distributors of cultural content from the point of view of the 2005 Convention may be individual artists, creators, cultural entrepreneurs, micro–, small– or medium– sized companies, or cultural institutions. Their activities may be financed solely through the market or may have received some form of support from public or private sources in the form of, e.g. direct subsidies, indirect regulatory support or international cooperation.

The Convention encourages Parties to strengthen policy, institutional and financial frameworks in support of the emergence of viable and independent cultural industries within their territories that can enable the creation, production, distribution and enjoyment of cultural goods, services and activities.

It also recognizes the contribution of the cultural industries to economic and social development, particularly in developing countries, as a means to contribute to economic growth, poverty reduction and sustainable development (see below).

4. CULTURE AND DEVELOPMENT

Considered as the first international standard–setting instrument that puts culture and development at its core, the 2005 Convention recognizes:

- that culture is an important factor of sustainable development;
- that the cultural aspects of development are as important as its economic components;
- that the Parties need to incorporate culture as a strategic element in national and international development policies as well as in international cooperation frameworks and programmes, taking into account the 2030 Agenda for Sustainable Development.
There are several Articles in the 2005 Convention that directly refer to culture and development, namely, Articles 13, 14, 15 and 16. Below is an overview of each Article and its related Operational Guidelines.

In short, they collectively address the way that culture and development intersect at the policy level (Article 13), on the programme level (Article 14), on the project level (Article 15) and through legal and institutional frameworks of both developed and developing countries (Article 16).

The Operational Guidelines regarding Article 13 on the integration of culture in sustainable development define sustainable development as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs”. They emphasise that the protection and promotion of the diversity of cultural expressions are essential requirements for contemporary social and cultural development (ensuring individual and collective well-being, upholding creativity and the vitality of cultures and institutions) as well as economic development aimed at providing employment opportunities and contributing to poverty reduction.

The Convention’s guidelines stress the need to integrate culture into national policies and plans as well as into international cooperation strategies aimed at achieving human development goals. Such policies and strategies are to be formulated, adopted and implemented in concert with all the relevant public authorities in all sectors (economic, social, environmental, cultural), at all levels of government and to involve the participation of civil society. They are to pursue certain activities that aim to improve quality of life by, for example:

> fostering an appreciation of and curiosity for diverse cultural expressions through education;
> nurturing the creativity of artists and professionals working in the cultural sector as well as the creative abilities of individuals and social groups that are disadvantaged;
> providing access to citizens to participate in and enjoy diverse cultural expressions, also through new technologies and networked communication systems;
> encouraging long-term investments in the infrastructure, institutions and legal frameworks necessary to ensure viable cultural industries;
> building the technical, budgetary and human capacities in cultural institutions at the local level.

When formulating culture and development policies and strategies to implement the 2005 Convention, the Guidelines make a distinction in the activities to be pursued by developed and developing countries. For example:

Developed countries are to:

> provide support for the culture sector in their international development cooperation policies, strategies and financial aid assistance (e.g. ODA);
> introduce training programmes that build capacities among development policy managers regarding issues related to the 2005 Convention, including the ways and means of engaging citizen participation in the governance for culture.

Developing countries are to:

> introduce national development strategies and plans that provide support for culture in general and the cultural industries in particular;
> involve civil society in the elaboration and implementation of these strategies and plans.
Article 14 further specifies ways to **promote international cooperation for development** to support the emergence of independent cultural industries (micro, small and medium) and viable local and regional markets in developing countries. The Operational Guidelines call upon developing countries to identify their priorities, specific needs and interests that can form the basis of an operational action plan to foster international cooperation. They also provide a non-exhaustive list of measures for consideration. Among them are:

> **co-production agreements** that foster partnerships between artists and cultural entrepreneurs from developed and developing countries and provide financing for these new works;
> provide market access through **co-distribution agreements** for the works of artists and cultural entrepreneurs from developing countries;
> **capacity building** in human resource management, marketing and financial skills as well as in the development of regulatory, legal and financial measures to attract investments in local cultural industries and markets;
> support for the elaboration of **export-oriented strategies** and accompanying legal frameworks that ensure remuneration and maximum benefits for artists and cultural entrepreneurs in developing countries;
> **ICT transfer** to facilitate access to new means of production and distribution networks and systems;
> facilitate access of micro–, small– and medium– sized enterprises to **diverse sources of public and private funding**, for example, through subsidies, low-interest or micro-credit loans, guarantee funds, tax benefits, etc.

Article 15 on **collaborative arrangements** encourages the fostering of partnerships between public, private and civil society actors in the cultural industries in developing countries. They are to be based on certain values including: equity, transparency, mutual benefit, responsibility and complementarity. Collaborative arrangements are encouraged to promote a multi-stakeholder participatory approach and to provide support for:

> building the capacities of cultural entrepreneurs through training, mentorship schemes, direct exchange of knowledge and experience;
> reinforcing capacities of public institutions and infrastructures, civil society networks and professional associations and/or cultural enterprises operating at different stages of the value chain;
> creating enabling regulatory and policy environments that encourage the partnering process and address obstacles.
Article 16 on preferential treatment for developing countries aims to establish the appropriate institutional and legal frameworks required to promote the mobility of artists from the Global South as well as the flow of their cultural goods and services. This is to be achieved through the introduction by developed countries of national policies and measures at the appropriate institutional level, as well as of multilateral, regional and bilateral frameworks and mechanisms. Implementation of such frameworks could, for example:

- facilitate the access of cultural goods and services created/produced in developing countries to the global market and international distribution networks;
- support the mobility of artists from developing countries and their entry into developed countries through simplified procedures to obtain visas and lower their cost.

Authorities in developing countries are encouraged to articulate their own needs and priorities regarding preferential treatment by developing appropriate legal frameworks and schemes. Civil society actors are also asked to articulate the difficulties and challenges they face in the implementation of preferential treatment.

The Convention also encourages authorities in developing countries to build dynamic and viable cultural sectors by establishing the necessary enabling environment, understood as the conditions necessary for the emergence and development of viable and independent cultural industries and the continued development of the creative capacities of artists and cultural entrepreneurs in their territory.
ANNEX II
EXAMPLES OF STAKEHOLDERS FROM THE CULTURE SECTOR AND ASSOCIATED SECTORS INVOLVED IN PROJECTS DEALING WITH THE GOVERNANCE OF CULTURE

1. PUBLIC SECTOR
   › Primary institution receiving technical assistance
   › Other ministries and government departments involved in the project
   › Other government agencies and organizations with responsibility for culture
   › Local authorities, decentralized bodies
   › Cultural and training institutions
   › Organizations responsible for the State’s communication

2. CIVIL SOCIETY, ASSOCIATIONS AND PRIVATE OPERATORS
   › Professional associations
   › Non-profit associations and NGOs
   › Foundations
   › Private businesses
   › Cultural businesses
   › Arts organisations
   › Individuals – performing and creative artists, technicians in the cultural sectors, cultural managers, teachers and professionals in the culture industries
   › Bodies and individuals pursuing research in the field of culture

3. INTERNATIONAL OPERATORS
   › International agencies active in cultural sectors (UNESCO, ILO, UNCTAD) or cooperating in joint programmes in these sectors (European Commission, Commonwealth Secretariat, Organisation internationale de la Francophonie)
   › Regional integration organizations
   › Other players engaged in international cooperation: bilateral cooperation, decentralized cooperation, cultural institutions
ANNEX III
LIST OF UNESCO PUBLICATIONS


Operational Guidelines for the implementation of the 2005 Convention
http://en.unesco.org/creativity/convention/about/guidelines

Periodic reports submitted by Parties to the Convention
http://en.unesco.org/creativity/monitoring-reporting/periodic-reports/available-reports

http://unesdoc.unesco.org/images/0014/001495/149502E.pdf#page=2

http://unesdoc.unesco.org/images/0014/001495/149502E.pdf#page=18


http://unesdoc.unesco.org/images/0024/002428/242866e.pdf

THE 2005 CONVENTION ON THE PROTECTION AND PROMOTION OF THE DIVERSITY OF CULTURAL EXPRESSIONS is an international treaty that provides a policy framework for the governance of culture.

This Convention recognizes the distinctive nature of culture as an important contributor to economic and social development and ensures that artists, cultural professionals, practitioners and citizens worldwide can create, produce, disseminate and enjoy a broad range of cultural activities, goods and services, including their own.

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