**Unit 45**

Hand-out 3:

A step-by-STEP GUIDE FOR DEVELOPING SAFEGUARDING PLANS FOR ICH

**INTRODUCTION**

The process of developing plans for ICH safeguarding may differ widely depending on the nature and scope of the ICH in question, the aspirations and motivations of the communities concerned, the threats and risks to the viability of the ICH, and the broader social, political, economic and environmental contexts. Nevertheless, certain common questions have to be discussed during such a process. The step-by-step process suggested below is simply an example and should not be regarded as a set formula or recipe. The steps do not have to be followed in a linear fashion – it may often be helpful to return to issues that were already discussed during a previous step, or to revise a decision previously taken.

### Note for facilitators

The step by step process presented in this hand-out, and the questions that come with it, can be used in both the game version of the workshop, where the participants are playing various roles, and in the non-game version, where participants act in their own capacities. The steps can also be used in real life situations for developing safeguarding plans, but some adaptation may be needed.

The PowerPoint ‘U045-v.1.0-PPT Safeguarding step by step’ can be used to introduce this document. Discussion of the steps could be coupled with the use of the Kilns exercise (see U045-v.1.0-PPT Case study kilns).

Take note of the dynamics within the group discussion on each step. Representatives of the communities and groups concerned should be leading decision-making about identification and safeguarding of their ICH. At the same time, the views of other participants should be heard and considered, in line with the Convention and its Operational Directives and Ethical Principles. Representatives of the communities and groups concerned should be in charge of implementing the safeguarding plan, although other stakeholders may be asked to undertake certain activities.

**THE STEPS**

**Decide what the problem is**

1. **Reach consensus about what ICH to safeguard, and** **the communities, groups and individuals concerned**.[[1]](#footnote-1)
2. **Identify why the communities, groups and individuals concerned want to safeguard the ICH**, and consider the social, economic and environmental context.
3. **Determine the viability of the identified ICH, and how it could be ensured in the future**. Brainstorm about some possible activities that could help to address these threats and risks.

**Plan how to address the problem**

1. **Determine the objective(s)** **for** **and expected results** of a safeguarding plan. Balance the goals of the plan against broader community aspirations and needs.
2. **Determine specific activities** for the safeguarding plan, consider who could undertake them, ensuring that the safeguarding plan as a whole is led by the communities, groups and individuals concerned.
3. **Identify the available resources**, additional resources required and strategies to mobilize these resources for safeguarding.
4. **Draft and refine the plan**
5. **Develop a monitoring and evaluation strategy** for the safeguarding plan, and review periodically.
6. Reach consensus about what ICH to safeguard, and the communities, groups and individuals concerned

**What is the ICH to be safeguarded, and who are the communities, groups and individuals concerned? Or, the other way around: what is the community concerned and what part of its ICH is to be safeguarded?**

The two questions above are strongly interlinked. In some cases, first an endangered tradition is identified, followed by the identification of practitioners, other relevant community members and external stakeholders. In other cases, communities and their specific groups are identified first, and only then their ICH is identified. When talking about safeguarding specific ICH, it may seem very clear at first glance who are the members of the community concerned; however, as the discussion advances it may be necessary to re-evaluate who is part of the communities, groups and individuals concerned, and who is not.

In countries that have well developed inventories for ICH, ICH that is in need of safeguarding might be identified by means of the inventories. One of the factors that determine whether ICH is in need of safeguarding is its viability, which should be discussed in rather more detail in step 3. Inventories that meet the requirement in Article 11 of the Convention might include much of the specific information required for the identification of the ICH to be safeguarded as well as of the communities, groups and individuals concerned.

Having studied the information you have been given concerning the scenario under discussion, reach a consensus in your group on one or more ICH elements that the communities, groups and individuals concerned wish to safeguard.

The following questions may help:

* What is the (range of ) ICH you can identify (refer to name, domain, place, time, who is involved)?
* Does the ICH constitute ICH according to Article 2 of the Convention?
* What are the current modes of transmission of the knowledge, practices and skills related to the ICH? How have they changed over time? Have they changed recently?
* According to the communities, groups and individuals concerned, is the ICH in need of safeguarding? Why?
* Are there traditional practices that limit the access to the ICH identified?
* Does the ICH you are considering have problematic aspects in regard to human rights, gender, legal, environmental or other perspectives?
* If so, could such problematic aspects be dealt with in the framework of a safeguarding activity?
* Is the same ICH (in the opinion of the communities concerned) also practiced by another community, in the same or in another country?
* Are there different views in the community on which ICH (or aspects of it) to select for safeguarding?

In light of the discussion based on the questions above, come to an agreement on which ICH element, or set of related ICH elements, could be the focus of the safeguarding plan that you are going to develop. (Note: this choice will probably need to be refined, or changed as your discussion evolves.)

Then, try to identify the communities concerned and, where relevant, any specific persons or groups that are engaged with the ICH in question.

* Who are the individuals or groups participating directly in the practice and/or the transmission of the identified ICH?
* Are there any individuals or groups who participate in the practice or transmission in a less direct way? What are their characteristics and roles?
* Are the roles played in enactment and transmission gender or age specific? If yes, to what extent?
* Are there persons in the community – or in other communities – who feel uncomfortable with aspects of the selected ICH?
* Who are the other stakeholders, such as government agencies, researchers, centres of expertise, NGOs, and so on?

At the end of this step, you should have a good idea of all individuals or groups related to the ICH element you have identified, the relative size and inclusiveness of their different groups, and the nature of their relationship with the ICH. They can be differentiated from other stakeholders (such as researchers, NGOs, government agencies) who may have an interest in helping to safeguard the ICH.

The choice of the ICH to be safeguarded will probably have evolved during the discussions under step one; this choice should be reviewed, if necessary.

1. **Identify why the communities, groups and individuals concerned want to safeguard their ICH**

**Why do the communities, groups or individuals concerned want to safeguard the selected ICH?**

The following questions might help the discussion:

* What function(s), meaning(s) and value(s)(significance)does the selected ICH have for the community concerned?
* How does it provide them with a sense of identity?
* Does the ICH have different significance for different groups or members of the community, such as different age groups, gender groups or other?
* What specific characteristics of the ICH (as currently practised) give it this significance?
* Which current problems experienced by the communities concerned might be mitigated or solved through safeguarding the selected ICH?
* If practice and transmission of intangible cultural heritage is interrupted, would the well-being or the economic situation of the community concerned suffer? If yes, in which ways?
  + impact on health, safety, well-being, nutrition or income?
  + loss of sense of identity, alienation of youth, or loss of social cohesion?
* Can safeguarding intangible cultural heritage contribute to the sustainable development of the community concerned, or broader society?
* Is there any pressure on communities, groups or individuals from outside (e.g. from authorities, experts) on which ICH to select (or not to select) for safeguarding?

In the step-by-step guide we will use the general term ‘significance’ to encompass the function(s), meaning(s) and value(s)of the ICH to the communities, groups and individuals concerned.[[2]](#footnote-2) The categories of function, value and meaning will often overlap, might embrace diverse (and possibly even contradictory) functions and meanings for different groups within a community. It is not necessary to come to a definitive ‘statement of significance’ for the safeguarding plan (as is done in managing tangible heritage). Exploring the multi-layered significance of specific ICH for people helps to understand why they consider it worth safeguarding as part of their cultural heritage. Participants could mention social, cultural, economic and environmental aspects of significance to communities, groups and individuals concerned. It is not necessary to use technical terms (such as economic, social, aesthetic or historical significance): the terminology of the communities, groups and individuals concerned should be used instead.

Communities, groups and individuals concerned have the power, as stewards of their ICH, to decide what should change and what should be retained over time in practising and transmitting their ICH. They will thus identify what one could call the ‘limits of acceptable change’ in the practice and transmission of their ICH.[[3]](#footnote-3) Identifying what characteristics of their ICH give it sgnificance as cultural heritage can assist communities to reach consensus about what deserves safeguarding attention, and what does not. These characteristics need not remain fixed or unchanging – its significance can change over time, too. Not all characteristics (or indeed aspects of significance) need to be identified, especially if they are not threatened or at risk. At any one point in time, a range of characteristics of the ICH may be identified as important by different groups.

An example of a characteristic that supports the significance of ICH might include the determination of a specific day for a festival that is based on the cycles of the moon and the sun (i.e. a ‘characteristic’ of the ICH in question), because the festival celebrates local mythology based on a celestial calendar (i.e. part of the ‘significance’ of their ICH). In this way, identifying important characteristics of ICH could affect the choice of safeguarding actions. If the local authorities propose setting a day aside as a holiday so that people can attend the festival, it would be important to have some flexibility as to the date each year, to ensure that the determination of the day follows the celestial calendar.

Thinking about what characteristics ‘carry’ significance for communities can help them prioritize safeguarding actions too. In the case of a drum played at the above festival, the community might consider the time of the month or year that the wood for the drum is harvested to be an important characteristic because of the way the festival is linked to the celestial calendar; they might not consider other factors such as the material used for the decoration on the drum to be as important. Thus, if materials that were traditionally used for decorating the drum were no longer available, this might not be considered as much of a threat to the viability of the ICH as the lack of wood that could be sustainably harvested at the correct time of day, month or year.

A situational analysis of the communities and groups and by the communities and groups concerned, as well as the broader social context in which they live, may reveal whether there are any other socio-cultural, economic or environmental issues to consider apart from threats to the viability of the ICH identified. Such considerations will be helpful in determining the objectives and hoped-for results of the safeguarding plan in step 4 below.

# Determine the viability of the identified ICH, and how it could be ensured in the future

Safeguarding, according to article 2.3 of the Convention, means ‘measures aimed at ensuring the viability’ of ICH. Safeguarding measures can be quite specific (e.g. teaching children to perform a certain dance), or more general (e.g. promoting tax policies that support donations to cultural events). In developing a safeguarding plan the focus has to be on how a set of measures can be implemented to ensure the viability of intangible cultural heritage. Viability means the continued practice and transmission as part of the cultural heritage of the communities, groups and individuals concerned. This implies maintaining its multi-layered significance to them, too. Understanding the current state of viability of ICH can help to identify and prioritize safeguarding actions.

Threats to current viability, and risks that may affect future viability, may be inherent in the ICH in question, internal to the community and the present circumstances, or due to external forces beyond the community. They may include threats and risks to maintaining important characteristics of the ICH that have been identified above.

The following questions may be useful:

* Concerning the *practice* of intangible cultural heritage: What is going well? What is not going well? What may get worse if threats or risks are not mitigated?
* Concerning the *transmission* of the selected ICH: What is going well? What is not going well? What may become worse if threats or risks are not mitigated?
* Are the different aspects of significance attached to intangible cultural heritage under threat in some way? How are characteristics of intangible cultural heritage that are linked to its significance under threat or at risk?
* Describe the threats, indicating the underlying factors. Here are some suggestions to consider:
  + changing ways of life, new pastimes, loss of interest among, or diminishing value for, young people;
  + negative attitudes (intolerance, misunderstanding, repression) towards the ICH and/or the communities or groups concerned;
  + living character of intangible cultural heritage affected by staging, ‘freezing’ or over-commercialization;
  + non-availability of specific materials, instruments, spaces or opportunities necessary for the practice of ICH;
  + lack of demand for the products produced through the ICH practice; and
  + migration, political tensions, conflicts, wars or natural disasters.
* What threats and risks will have the most negative effects on the multi-layered significance of the ICH for the communities and groups concerned, and/or on its practice and transmission?

After discussing these questions, your group might reconsider the choice of ICH element and/or the communities, groups and individuals concerned, and its role in society.

Now that you have a clear picture of the ICH to be safeguarded, of the communities concerned, of the viability of the selected ICH element, and of its importance for the communities concerned, it is time to start brainstorming about possible safeguarding activities. Be creative with your ideas and open-minded about the ideas of others. It is not yet the moment to prioritize safeguarding activities, or to mould them all into a plan: first, it is important to get them on paper. Discuss their likely effects (including any unintended negative outcomes and how to mitigate those).

One of the most important aspects of this brainstorming exercise is to ensure that the suggested activities are specifically designed to address the identified threats and risks, or at least some of them. Try to avoid general suggestions that are not tailored to addressing the identified threats and risks.

1. **determine the main objectives for and expected results of a safeguarding plan**

**What are the main objectives and expected results of safeguarding intangible cultural heritage?** **How can these be balanced against broader community aspirations and needs?**

In light of the discussion above, consider what objective(s) a safeguarding plan should achieve and what concrete results should be expected. It is of the utmost importance to understand whether the safeguarding of specific ICH might contribute to positive social, environmental or economic developments within the communities and groups concerned. Broader social aspirations and needs within a local area or country may have to be considered in relation to, and sometimes balanced against, ICH safeguarding aims. Broader social or commercial aspirations (such as economic development through large-scale tourism), for example, are likely to conflict with the needs and wishes of local communities.

Once you have a list of objectives, discuss the measurable and specific results that should be accomplished. A result, in this context, is a concrete and measurable change produced by the implementation of one or more safeguarding activities. In other words, a result does not describe what is to be done, but states how a future situation is expected to be different from the current situation. You should aim to have two to four results per objective.

The following questions may be useful:

* What improvements to the current situation would you like to see over the next few years as results of safeguarding intangible cultural heritage?
* What are the concrete and measurable changes that you want to see happen?
* How are they related to the identified problems, threats or risks?
* Does it seem realistic to attain them within a period of four years (the suggested time frame for a safeguarding plan)?
* Who would take responsibility to make them happen?
* How should benefits from safeguarding intangible cultural heritage be equitably distributed among the communities, groups and individuals concerned?
* How should benefits to these groups be balanced against costs and benefits for the broader society? Are there tensions between these goals, and how should they be resolved in line with the Ethical Principles?

Agree on two to four objectives for your safeguarding plan and for each objective, a manageable number of expected results (two to four). In doing so, think about the following questions:

* Which of the different proposed objectives and results seem best tailored to the actual situation of intangible cultural heritage and the specific threats that have been identified?
* Are your objectives and expected results realistic and not overambitious?
* Is there a consensus among the community members about the identified objectives and results, despite potentially different views related to gender, age, etc. and different positions concerning ongoing or proposed changes (modernisation, changing roles/values, etc.) of the ICH concerned? If not, discuss the reasons and try to reach a consensus.

**Example of defining objectives and results (fictitious)**

| **Main objectives** | **Expected results** |
| --- | --- |
| **MO1**: Revitalize traditional carpet making in Obance district. | **ER1.1**: Increased numbers of practitioners have (and share) the knowledge and skills required for traditional carpet making.  **ER1.2**: Increased numbers of tools for traditional carpet making are made and used.  **ER1.3:** Poverty reduced in Obance district. |

1. **Determine specific activities for the safeguarding plan**

**What safeguarding activities should be included in the plan and in what order should they be implemented?**

In order to identify your final set of safeguarding activities, you may find the following questions helpful (ideally, identify one to three activities per expected result):

* Looking at each of your expected results, what activities need to be undertaken in order to attain them?
* In what order?
* Who could execute and/or coordinate them?
* What would be the period of time needed to carry out the various activities?
* What are the challenges that can be expected?
* What could be done to overcome those challenges?

As you review the range of activities you have identified, be certain that you have thought of ways to involve all those who have roles related to the selected ICH element in the community concerned.

You should also be thinking about what is the most urgent, and what can be implemented later. You will see that often one activity may contribute to achieving more than one of the formulated objectives. If resources are not sufficient to allow you to do everything that is considered necessary, you should have consensus within the group about which activities are to be prioritized.

There is no standard format for presenting a safeguarding plan. Therefore, unless there is a specific format prescribed (e.g. by the donor from whom you are requesting funding), you can use the format and the level of detail of your choice. It might be sufficient to define objectives, activities and results, but in some cases, you may wish to integrate an additional level of ‘actions’. Regardless of the format, the plan should provide all necessary information in a clear and transparent way. Information in the individual sections of the plan should be coherent.

**Example of defining objectives, expected results and corresponding activities (fictitious)**

| **Main objectives** | **Expected results** | **Safeguarding activities** |
| --- | --- | --- |
| **MO1**. Revitalize traditional carpet making in Obance district. | **ER1.1**: Increased numbers of practitioners have (and share) the knowledge and skills required for traditional carpet making.  **ER1.2**: Increased numbers of tools for traditional carpet making are made and used.  **ER1.3:** Poverty reduced in Obance district. | **SA1.1** Apprentices engage with experienced practitioners to document the knowledge and skills required for carpet making.  **SA1.2** Apprentices share the documentation with other practitioners (e.g. online and through local cultural centers), where permission is given to do so.  **SA1.3** Government supports experienced practitioners financially to train a new generation of apprentices.  **SA1.4** NGOs and museums help practitioners restore wooden looms in Obance district and make new looms.  **SA.1.5** Practitioners create an association for traditional carpet making in Obance district to coordinate safeguarding activities. |

1. **Defining resources required and resource mobilization strategies**

**What resources are required to implement the activities? What commitments were obtained or have to be sought? How can resources be mobilized?**

Identify the resources required to undertake the activities. These resources can be human, financial, material and/or institutional.

During the workshop, the purpose of this exercise is not to establish a detailed budget, but to understand how to estimate the cost of individual activities and how to get from the individual costs to the total cost of a safeguarding plan. Therefore, at this stage, do not enter into discussions about prices of individual items and detailed budget planning. Use lump sums and/or rough estimates to establish a very basic budget estimate. In real life, the budget is elaborated in several phases, going from a first rough estimate, which is revised and adapted several times, to a detailed implementation budget linked to an implementation timetable.

When trying to identify resources required and designing resource mobilization strategies, you may find the following questions helpful:

* Is someone’s time required to make the activity happen? Whose time is it and does it need to be remunerated? If yes, how many people for how many hours/weeks/months and at which rate per hour/week/month?
* What is required in terms of venue, objects or instruments to carry out the activity? What about transport, housing or food for those involved? What are the costs involved? Include some details on cost, such as number of units, unit cost and total cost for objects to be purchased or rented, number of days and cost per day for venue to be rented, etc.
* Does the activity require institutional support of any kind? Can it be granted free or does it have a cost? If yes, what is the cost?
* What resources could be donated or provided in kind?

Establish a simple budget estimate table; calculate the total costs for each activity and the grand total for the plan as a whole. If the activities proposed exceed the budget available for the project (if there is one), revise the activity list or the resources allocated (if necessary and/or possible) and brainstorm other ways to obtain in-kind or financial contributions as appropriate.

List all commitments that are needed and that have already been made related to the execution and financing of the selected safeguarding activities by community members, governmental and other institutions, NGOs, private businesses or individuals. These commitments can include financial support from donors, in-kind contribution from community members, volunteer support, income from income-generating activities of the safeguarding project, or sponsorship.

**Example of a simple budget for an activity: Creation of an association for traditional carpet making in Obance district (fictitious)**

|  |  |  |
| --- | --- | --- |
| **Activity** | **Resources needed** | **Cost in USD** |
| **Activity 1.5: Creation of an association for traditional carpet making in Obance district** | | |
| Coordinator | 3 months of work:  3 x 6000 USD | 18,000 |
| Office rental | 3 x 1000 USD | 3,000 |
| Computer equipment | 1 laptop: 1000 USD  1 all-in-one printer 700 USD | 1,700 |
| Disposables | Paper 150 USD  Pens, post-it notes, stapler, hole punch, folders, glue 150 USD | 300 |
| **Total cost of Activity 1.5** |  | **23,000** |

1. **Monitoring and evaluating implementation of the safeguarding plan**

**How can the results and impacts of the safeguarding plan be monitored and evaluated?**

The implementation of safeguarding plans should be monitored at crucial moments to assess whether things are developing the way you have planned. Then it will be possible to adjust the plan (and the budget) on time, or take corrective measures to get it back on track, if required. It is very important to integrate monitoring and evaluation activities in the plan from the very beginning in order to be able to introduce corrective actions in time.

* Determine ways of monitoring and evaluating (regular reports, feedback on activities during meetings, etc.)
* Determine targets or benchmarks that should be attained for each of the expected results at specific moments and integrate those into the plans for monitoring and evaluation.

### involvement of communitIES, groups and individuals concerned and their free, prior and informed consent

NGOs and/or universities sometimes take the initiative to develop safeguarding plans. Then, either these groups or States Parties present the plan to potential donors. In this scenario, it is very important to document the way in which communities, groups and individuals concerned have been involved in the preparation of the plan, while presenting proof of their free, prior and informed consent for the final plan and their commitment to take on the roles outlined in the plan. This has to be clearly demonstrated in each request for funding and sponsors should not agree to support safeguarding projects that are not fully endorsed by the community concerned.

When a safeguarding plan is prepared within the framework of the Convention, it is important to make sure that:

* awareness raising about safeguarding under the Convention is done beforehand within the communities concerned;
* the communities, groups and/or individuals concerned and the ICH to be safeguarded have been identified with their free, prior and informed consent, and not just that of their representatives;
* the representatives of the communities, groups and individuals have the trust of and a clear mandate from the communities;
* community representatives go back to those whom they represent to inform and consult them during the process; and
* customary practices governing access to the ICH concerned (if any) are respected during the preparation of the plan (and in its implementation).

Community involvement and consent in the process of developing a safeguarding plan are not just needed to ensure their commitment to safeguarding a specific ICH element or a range of ICH and the appropriateness of the activities they will implement. They can also help to ensure that the rights or interests of the communities, groups and individuals concerned are protected in the course of the proposed activities. In doing so, it is important to consider the effects of these activities on other communities and on the broader social, political and economic environment.

1. . ‘Communities, groups and individuals concerned’ is used throughout this document to stay consistent with Article 1(b) of the Convention for the Safeguarding of the Intangible Cultural Heritage. [↑](#footnote-ref-1)
2. . In the discussion on significance, we have borrowed some of the ideas used in ‘values-based management’ approaches for tangible heritage. In ICH safeguarding it is imperative to focus on the significance of ICH to the communities, groups and individuals concerned rather than the values identified by external experts. [↑](#footnote-ref-2)
3. . This is a concept widely used in tourism and wilderness area planning, to help identify priorities in conservation management, specifically in determining the carrying capacity of heritage areas. [↑](#footnote-ref-3)