**Unit 45**

Hand-out 3:

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

**INTRODUCTION**

The seven analytical steps that are presented in this hand-out, and the questions that come with them, can be used in both the game version of the workshop, where the players are putting themselves into the role of community members, 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.

The process of developing plans for ICH safeguarding may differ widely depending on the scope of the ICH in question, the domain, the communities concerned, the threats and risks to its viability, and the broader social, political and environmental contexts. Nevertheless, there are some common questions to ask during such a process. This step-by-step guide suggests following a series of seven consecutive steps to develop a safeguarding plan. They should be regarded as a guideline rather than as a fixed formula. These steps are not only navigable in one direction – it may be helpful to return to issues that were already discussed during a previous step, or to revise a decision previously taken.

**THE STEPS**

1. Identifying and defining the ICH to be safeguarded and the communities, groups and individuals concerned.[[1]](#footnote-1)
2. Identifying the social function(s) and value of the selected ICH for the communities, groups and individuals concerned.
3. Identifying risks and threats to the selected ICH, and proposing adequate safeguarding activities.
4. Defining main objectives and expected results for the safeguarding plan.
5. Determining activities for the safeguarding plan.
6. Defining resources required and resource mobilization strategies.
7. Monitoring and evaluating implementation of the safeguarding plan.
8. **Identifying the ICH to be safeguarded 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. 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 community.

Sometimes, for example, one might identify a primary and a secondary community through their relation to one or more elements of ICH. In some cases, first an endangered tradition is identified, followed by practitioners, other tradition bearers and external people. In other cases, communities and their specific groups are identified first, and only then their ICH is identified.

In countries that have well developed inventories for ICH, elements that are in need of safeguarding might be identified by means of the inventories. Inventories that meet the requirement in Article 11 of the Convention might include much of the specific information required for the identification of the elements to be safeguarded as well as of the communities, groups and individuals concerned.

In your group you will discuss how to approach this chicken-and-egg question of communities and ICH for the chosen scenario. Below are some questions that may be helpful, though not necessarily in the order in which they are presented here.

Having studied the information you have been given concerning the scenario under discussion, identify one or possibly more elements of ICH that need safeguarding. The following questions may help:

* What is/are the element(s) (refer to name, domain, place, time, who is involved)?
* Does the element 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 community 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 within 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 element to select for safeguarding?

In light of the answers received, agree as a group which element or set of 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.)

Brainstorm now 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?

At some point during step one you may want to proceed to a situational analysis of the community concerned and ask if, besides the concern for safeguarding their ICH, they are experiencing any other socio-cultural, economic or environmental issues. It is of the utmost importance to understand whether the safeguarding of specific ICH might contribute to positive developments within the communities concerned, be they social, environmental or economic.

At the end of this step, you should have a good idea of all stakeholders related to the ICH you have identified, the relative size and inclusiveness of their different groups, and the nature of their relationship with 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. **Identifying the social functions and value of the selected ICH for the communities, groups and individuals concerned**

**Why do the communities, groups or individuals concerned want to safeguard the selected ICH? What are the functions and what is the value of that ICH for the communities, groups and individuals concerned?**

* What values and functions – including social, cultural and economic – does the selected ICH have for the community concerned?
* Does it provide them with a sense of identity? If yes, how?
* Does the heritage carry different meanings for different groups or members of the community, such as different age groups, gender groups or other?
* Which current problems experienced by the communities concerned might be mitigated or solved through safeguarding the selected ICH element?
* Can safeguarding the selected ICH element contribute to the sustainable development of the community/region concerned?
* Is there any pressure on communities, groups or individuals from outside (e.g. authorities, experts) on which ICH element to select (or not to select) for safeguarding?

1. **Identifying risks and threats, and proposing adequate safeguarding activities**

**What threats and risks may affect the viability of the selected ICH element(s)? What safeguarding activities could address these problems?**

Discussing the current state of enactment and transmission of an ICH element, as experienced by the tradition bearers, and current threats and potential risks to its viability could help to determine the viability of the selected ICH and identify possible safeguarding actions.

Now turn to the identification of current threats to and risks for the selected element’s continued enactment and/or transmission. These threats and risks may be inherent in the element, internal to the community and the present circumstances, or due to external forces beyond the community.

* Concerning the *enactment* of the selected element(s): What functions well? What does not function well? What may get worse if threats or risks are not mitigated?
* Concerning the *transmission* of the selected element(s): What functions well? What does not function well? What may become worse if threats or risks are not mitigated?
* Are the values attached to the selected ICH affected by the threats (or is the loss of these values for the community concerned part of the threat)?
* Describe the threats, indicating the underlying factors. Here are some suggestions to consider:
  + changing ways of life, new pastimes, loss of interest among / diminishing value for young people;
  + negative attitudes (intolerance, misunderstanding, repression) towards the ICH and/or the community concerned, expressed by the authorities, the general public, other communities or even groups within the community itself;
  + living character of the ICH affected by staging, ‘freezing’ or over-commercialization;
  + non-availability of specific materials, instruments, spaces or opportunities necessary for the practice of the ICH;
  + lack of demand for the products produced through the ICH practice; and
  + migration, political tensions, conflicts, wars or natural disasters.
* If practice and transmission of the selected ICH element are interrupted, would the economic situation and the well-being 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?
* Where are the most severe risks, and therefore the greatest need to find solutions?

After discussing these questions, you might reconsider the choice of ICH and/or the communities, groups and individuals concerned made in step one and step two.

Finally, now that you have a clear picture of the ICH to be safeguarded, of the communities concerned, of the selected ICH element’s viability, 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 brainstorm and get them on paper. You will select among them in step five.

1. **DefinING the main objectives and expected results for the safeguarding plan**

**What are the main objectives and expected results of safeguarding the selected ICH element(s)?**

In light of the current problems, threats, risks and possible activities identified, discuss (with community participation) what objective(s) a safeguarding plan should achieve and what concrete results should be expected.

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 the selected ICH element(s)?
* 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?

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 the element 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 (fictive)**

| **Main objectives** | **Expected results** |
| --- | --- |
| **MO1**: Revitalize traditional carpet making in Obance district. | **ER1.1**: Revitalize and transmit knowledge and skills required for traditional carpet making.  **ER1.2**: Restore use of instruments needed for traditional carpet making. |

1. **determining activities for the safeguarding plan**

**Which of the proposed 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 defined, be certain that you have thought of ways to involve all those who have roles related to the selected 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.

As you will see in the scenarios later on, 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 (fictive)**

| **Main objectives** | **Expected results** | **Safeguarding activities** |
| --- | --- | --- |
| **MO1**. Revitalize traditional carpet making in Obance district. | **ER1.1**: Revitalize and transmit knowledge and skills required for traditional carpet making.  **ER1.2**: Restore use of instruments needed for traditional carpet making. | **SA1.1** Document the knowledge and skills required for carpet making.  **SA1.2** Make the documentation available to practitioners online and through local cultural centers.  **SA1.3** Train a new generation in the knowledge and skills required.  **SA1.4** Restore wooden looms in Obance district.  **SA.1.5** Create an association for traditional carpet making in Obance district. |

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 define 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?
* Identify those resources that 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 sponsoring.

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

|  |  |  |
| --- | --- | --- |
| **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 150USD | 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.

* Define ways of monitoring and evaluating (regular reports, feedback on activities during meetings, etc.)
* Define 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 within the communities concerned beforehand;
* 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), if so required by the communities concerned.

Community involvement and consent in the process of developing a safeguarding plan is not just needed to ensure their commitment to safeguarding a specific element or set of elements and the appropriateness of the activities they will implement. It 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 also 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)