**Overview and rationale**

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| **Indicator** | **9. Extent to which research and documentation, including scientific, technical and artistic studies, contribute to safeguarding** | |
| **Assessment factors** | This indicator is assessed on the basis of three country-level factors monitored and reported by each State Party: | |
| * 1. Financial and other forms of support foster research, scientific, technical and artistic studies, documentation and archiving, oriented towards safeguarding and carried out in conformity with relevant ethical principles. | Article 13(c)  OD 173, OD 175 |
| * 1. Research is fostered concerning approaches towards, and impacts of, safeguarding ICH in general and specific elements of ICH, whether or not inscribed. | Article 13(c)  OD 162 |
| * 1. Practitioners and bearers of ICH participate in the management, implementation and dissemination of research findings and scientific, technical and artistic studies, all done with their free, prior, sustained and informed consent. | OD 109(a), OD 109(e), OD 153(b)(ii), OD 175  EP 1, EP 7 |
| **Relation with SDGs and other indicators** | **Sustainable Development Goals:** This indicator responds to SDG Target 11.4, ‘Strengthen efforts to protect and safeguard the world’s cultural and natural heritage.’ In a broader sense, research and documentation on ICH and its safeguarding can have an impact on a range of SDGs such as those related to sustainable agriculture (SDG 2), health and well-being (SDG 3), sustainable water-use (SDG 6), biodiversity (SDG 15), or others.  **Relation to other indicators:** This indicator should be considered alongside Indicator 10. The focus here is on the processes of research and documentation and how they should be conducted and supported in keeping with the spirit and purpose of the Convention. Indicator 10 turns the spotlight towards the findings and results of research and documentation and how those results can be utilized both to improve safeguarding and to strengthen policy-making. In focusing on the processes and outcomes of research and documentation, these two indicators complement Indicator 1, which concerns fostering institutions for documentation, and Indicator 24, which concerns international cooperation through sharing of documentation. Indicator 22 also concerns scientific, technical and artistic studies, but there the object of study is not ICH itself but rather ICH safeguarding programmes and measures. | |
| **Rationale for action** | Documentation and research are prominent among the measures that constitute safeguarding, as understood in Article 2.3. States are encouraged to ‘foster scientific, technical and artistic studies, as well as research methodologies, with a view to effective safeguarding’ (Article 13(c)). Specific provisions of the Operational Directives further specify the scope of such research and how it should be carried out, highlighting broad and active participation in the research process by practitioners and bearers, including ensuring their free, prior, sustained and informed consent. Research and documentation of ICH practices and expressions have of course been carried out for centuries in many countries, but the Convention emphasizes that such work should be oriented towards safeguarding. This may also include studies of the effectiveness and impacts of diverse safeguarding strategies and methods. | |
| **Key terms** | * Scientific, technical and artistic studies * Ethical Principles for Safeguarding Intangible Cultural Heritage * Elements of ICH * Inscribed (whether or not inscribed) * Practitioners and bearers * Participation or involvement * Dissemination * Free, prior, sustained and informed consent | |

**Specific guidance on monitoring and periodic reporting**

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| **Benefits of monitoring** | Monitoring can help a State to assess the extent to which its various research and documentation institutions (cf. Indicator 1) are effectively contributing to safeguarding. Monitoring provides a window on the availability of financial resources to support such research and documentation efforts and can highlight where there may be funding gaps. It also ascertains whether the relevant ethical principles are respected during the research and documentation processes, and particularly the principle of free, prior, sustained and informed consent. At the global level, monitoring can point to funding shortfalls in certain countries or regions that could potentially be addressed through international cooperation and assistance. Global monitoring can also identify good practices and innovative strategies that have proven their effectiveness in fostering the widest possible participation of practitioners and bearers in all steps of research and documentation, including the dissemination of their results. |
| **Data sources and collection** | If the State provides funds to support research and documentation activities, records of such funding are likely to be accessible; if there is a consultative body or coordination mechanism in place, it may also have access to information about third-party funding practices. Funding guidelines and research strategies may address the widest possible participation of practitioners and bearers within the processes of research and documentation. If research and documentation result in publications, exhibitions, conferences or other public presentations, such outcomes will usually be available. Research procedures, protocols or policies may specify the necessity for free, prior, sustained and informed consent and may be available for consultation.  **Possible data sources**   * Budgets and reports of Ministry of Culture or other funding sources that support research and documentation * Funding announcements and guidelines from funders * Regulations or protocols governing research practices, especially those concerning human subjects * Bibliographies, publishers’ catalogues, or reviews of published works * Exhibition catalogues, conference agendas or proceedings, or documents describing other public presentations and events * Media coverage of participatory research and documentation programmes and activities |