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# Toolkit

for requesting International Assistance from the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage

2022 Edition

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# **Toolkit**

for requesting International  
Assistance from the  
2003 Convention for  
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# List of abbreviations

**ICH** Intangible cultural heritage, as defined by the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage. Throughout the text, intangible cultural heritage, living heritage and the acronym ICH are used interchangeably.

**NGO** Non-governmental organization

**ORF** Overall results framework for the 2003 Convention

**UNESCO** United Nations Educational, Scientific and Cultural Organization

# ABOUT THIS TOOLKIT

## What is this toolkit for?

This toolkit has been created as a resource and a companion to guide applicants step by step throughout the process of Request for International Assistance<sup>1</sup>. The user of this guideline will find some background information on ICH safeguarding as well as basic tools to plan a project and draft effective proposals to apply for International Assistance.

## Who is this toolkit for?

This toolkit is intended for all the various stakeholders engaged in the application process for International Assistance. A request involves the State Party which submits the application, the communities, groups and individuals concerned who participate as largely as possible at each stage from the preparation to the implementation of the project, as well as relevant NGOs, experts, etc.

## How to use this toolkit?

We recommend reading this toolkit from the beginning to the end. This will give the reader a complete overview of the International Assistance mechanism, before engaging in a request. This kit can also be used during the process of planning an International Assistance request to address issues at a specific stage. It was intended as a practical and synthetic document, and you may wish to deepen some information. In this case, you are invited to consult the webpage of the Convention for the Safeguarding of the Intangible Cultural Heritage<sup>2</sup> where you will find extensive resources including the basic texts of the Convention, materials developed under the ICH global capacity building programme and thematic brochures as well as interactive platforms on living heritage.

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## In this toolkit, you will find:

### EXAMPLES

from different regions



### Short definitions

for project's design and management



*Helpful questions* when designing a request



Important informations



Tips



Resources for further exploration of the webpage of the 2003 Convention

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<sup>1</sup> The toolkit was revised in October 2022 to reflect the amendments to the Operational Directives made by the ninth session of the General Assembly in July 2022.

<sup>2</sup> <https://ich.unesco.org/>





# CHAPTER I

## INTRODUCING INTANGIBLE CULTURAL HERITAGE KEY CONCEPTS AND ISSUES

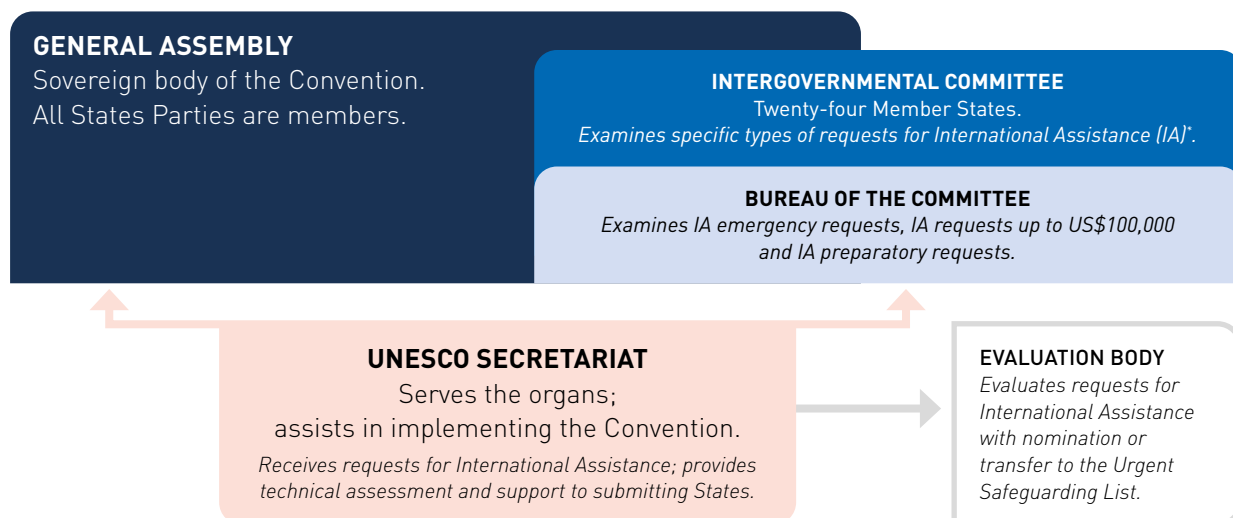
The concepts below are the baselines for ICH safeguarding practices: they provide the general framework you will refer to when planning a project for International Assistance.

**Intangible cultural heritage (ICH) or living heritage** refers to the **knowledge, practices and expressions** that are passed down from generation to generation, in families and communities everywhere around the world. **Living heritage is continuously recreated** in response to an ever-changing environment and includes oral traditions, performing arts, social practices, rituals and festive events, knowledge and practices concerning nature and the universe, and the knowledge and skills related to craftsmanship. Living heritage provides meaning in the everyday lives of communities, groups and individuals, and **a sense of identity, continuity and belonging** that contributes to their well-being. The importance of ICH is not the cultural manifestation itself, but rather the wealth of knowledge and skills that are shared and the meaning it carries for those involved. No 'historical practice' of ICH would be better or 'more authentic' than another. **Living heritage is dynamic and adapts itself to contemporary contexts.**

**The Convention for the Safeguarding of the Intangible Cultural Heritage** (or the 2003 Convention) is an international legal instrument that was adopted by UNESCO's General Conference in 2003 and has been ratified by 180 countries around the globe (October 2022). These are the **States Parties** to the 2003 Convention. By ratifying the Convention, governments commit to **safeguarding the living heritage present in their territories.**


The 2003 Convention has different mechanisms to ensure the safeguarding of living heritage at the national and international levels. These include the List of Intangible Cultural Heritage in Need of Urgent Safeguarding (Urgent Safeguarding List), the Representative List of the Intangible Cultural Heritage of Humanity (Representative List), the Register of Good Safeguarding Practices (Register), and the **International Assistance mechanism.** The Urgent Safeguarding List is composed of ICH that communities and States Parties consider is need of urgent measures to keep it alive. The Representative List showcases the diversity of ICH and raises awareness about its importance. Elements of ICH can be extended, reduced, or transferred between lists (from the Representative List to the Urgent Safeguarding List and vice versa). The Register contains programs, projects and activities that best reflect the principles and objectives of the Convention. The Operational Directives provide guidelines for States Parties to implement the Convention, including procedures for submitting, examining and evaluating International Assistance requests.

### Functions of the Organs of the 2003 Convention in relation to the International Assistance mechanism



\* see page 18 for specific modalities of requests.

**ICH element** refers to a specific expression of ICH which can be a tradition, cultural practice, event, knowledge or skills or a combination of several of these. Examples include a dance, a carnival, or the knowledge and skills that go into pottery making. You might also think of a ritual or a cultural practice that helps communities celebrate important calendar events or helps them prevent and resolve conflict.

 The interactive platform Dive into intangible cultural heritage<sup>3</sup> features ICH elements inscribed on the Lists under the 2003 Convention.

**Communities, groups and individuals** create, maintain and transmit their living heritage. **The Convention places communities at the centre of all its safeguarding activities.** While the Convention consistently speaks about ‘communities, groups and individuals’<sup>4</sup>, in the context of safeguarding ICH they are sometimes referred to as ‘practitioners and bearers’ to identify accurately certain members who play a specific role with regard to an element of ICH. Members of a group or community may self-identify as part of one or several communities. They decide what living heritage is as they know the meaning it carries for them.

**Safeguarding living heritage** means ensuring the **viability, continuity and transmission of ICH** from generation to generation. It refers to taking deliberate actions so that communities can continue practicing and transmitting their ICH in a way that is meaningful to them. Members of these communities have their own safeguarding measures and strategies. However, should this be States, agencies, local authorities, NGOs, schools or other institutions may wish to support communities in identifying with inventories, documenting, researching, protecting, and promoting ICH, and also in helping its transmission through formal and non-formal education. According to the 2003 Convention, safeguarding measures should not, however, be developed or implemented without the widest possible participation of the communities, groups or individuals concerned. **Safeguarding ICH is a dynamic process that allows communities to adapt their practices in response to environmental and social changes.**

**The Ethical principles for safeguarding intangible cultural heritage** have been prepared in the spirit of the 2003 Convention and existing international legal instruments protecting human rights and the rights of indigenous peoples. They are a set of aspirational principles and are widely accepted as constituting good practices for governments, organizations and individuals who directly or indirectly work with living heritage to ensure its viability. These principles provide the various stakeholders engaged in safeguarding projects with an ethical basis and guidance to guarantee the **primacy of communities, transparent collaboration, informed consent, as well as access for the communities to their ICH, and recognition and respect for human rights and cultural diversity.**


**The Overall results framework (ORF) for the 2003 Convention** is a tool to measure the impact of the Convention at different levels on the effective safeguarding of living heritage. It allows States Parties to assess the implementation of the Convention on their territory. This includes the progress made on key issues such as institutional and human capacities, transmission and education, inventorying and research, policies including legal and administrative measures, awareness-raising, the

3 <https://ich.unesco.org/en/dive/>

4 To facilitate the reading of this toolkit, ‘communities, groups and individuals’ are often referred to as ‘communities’.

role of ICH and its safeguarding in society, the engagement of the communities as well as international engagement. Through a set of indicators and assessment factors, the ORF provides **baselines and orientations** for States Parties to **develop safeguarding strategies** and for various stakeholders to help **frame and evaluate safeguarding projects** that promote and guarantee inclusivity and mutual respect, diversity and access to living heritage. The **periodic reporting** of the 2003 Convention and the **International Assistance** mechanism are both monitored through the ORF.

**Sustainable development** lies at the heart of the **2003 Convention**. As ‘development that meets the needs of the present without compromising the ability of future generations to meet their own needs’<sup>5</sup>, it includes economic prosperity, environmental quality and social equity. While the practice and transmission of ICH elements can contribute to enhancing sustainable social and economic development especially at the local level, sustainable development in a community or region can create a favorable environment for safeguarding and enhancing the viability of ICH practices. **Living heritage can, for example, further the achievement of the Sustainable Development Goals by fostering social cohesion and peace building, improving the quality of education, health and well-being, food security or even generating income for communities.** The importance of living heritage as a guarantee of sustainable development is carried out largely through the social functions and cultural meanings that communities assign to their ICH. In this way, the ICH of each community contributes, via the social and cultural role it plays, to its development. Safeguarding a community’s living heritage thus promotes a process of development, which takes into account the identity, values and aspirations of that same community.

 Further explore the **relationships between sustainable development and living heritage** with the interactive platform Dive into living heritage and sustainable development<sup>6</sup>.

## ALGERIA

The ritual and ceremonies of Sebeïba in the oasis of Djinet (Algeria) are practiced annually by two Tuareg communities. They aim at symbolically warding off potential violence between rival communities through simulating fights with music, singing, choreography and ceremonial dress. By safeguarding the living heritage of their ritual and ceremonies, communities foster peace and social cohesion, reducing the likelihood of conflicts and inequality. Participation is open to all adults, men and women without distinction of any kind. Moreover, the festival allows increased activity for artisans producing and repairing musical instruments, jewelry and weapons.

**Gender issues** are closely related to living heritage. The term ‘gender’ means that differences often attributed to women and men’s biological natures are, in fact, the result of their position in a social structure and the expectations placed on them by society in terms of their behavior. ICH expressions carry and transmit values, norms and behaviors related to gender roles and relations in a community. In this way, living heritage is a significant context for shaping gender roles and identities and transmitting them. At the same time, access to and participation in specific expressions of ICH are sometimes also determined by gender. Thus, while gender norms influence ICH, ICH influences gender norms. Understanding the mutual

5 World Commission on Environment and Development (the Brundtland Commission), 1987, *Our Common Future*, Oxford, Oxford University Press.

6 <https://ich.unesco.org/en/dive&display=sdg#tabs>

relationship between gender and living heritage is significant for effective safeguarding in two ways: it can open new avenues to safeguarding and can strengthen steps towards gender equality.



Forms and instructions regarding the international cooperation mechanisms under the 2003 Convention contain references to gender and the Operational Directives make specific reference to gender equality as part of safeguarding ICH and sustainable development at the national level.

As gender relations and the living heritage of a community are constantly evolving within their respective contexts, there can be opportunities to move towards **gender equality** and to overcome gender-based discrimination through the practice of ICH. It is also important to remember that just as living heritage varies from community to community, gender conceptions can be equally diverse. A global universal understanding of gender does not exist. Gender as a concept is closely tied to the core **human rights principles of equality and non-discrimination**. When considering gender equality and ICH, a human rights perspective concentrates not on the differences between gender roles, but on whether they deny the dignity and well-being of those involved. Through a careful gender-based analysis communities can recognize whether their living heritage is discriminatory.

## REPUBLIC OF KOREA

In Jeju Island, a community of women, some aged in their 80s, goes diving 10m under the sea to gather shellfish for a living without the help of oxygen masks. Divers are categorized into three groups according to level of experience. Before a dive, prayers are said to the Jamsugut, goddess of the sea, to ask for safety and an abundant catch. Knowledge is passed down to younger generations in families, schools, local fishery cooperatives which have the area's fishing rights, *haenyeo* (women divers) associations, The Haenyeo School and Haenyeo Museum. The culture of Jeju haenyeo has contributed to the advancement of women's status in the community and promoted environmental sustainability with its eco-friendly methods and community involvement in the management of fishing practices.

**Resilience** refers to the ability of people to recover from traumatic events. For communities, groups and individuals struggling with difficulties, living heritage can become an important source of resilience, helping to overcome social and psychological challenges and strengthen ties. At the same time, ICH throughout the world is affected by conflicts, pandemics and 'natural disasters' inducing serious risks to its transmission and viability. While the safeguarding of living heritage can be directly threatened by forced displacements due to droughts or floods, violence and persecutions, it can effectively support communities facing these situations, providing them with a sense of continuity and belonging in a dramatically changing environment. The **ability of communities to adapt how they practice their living heritage to unexpected contexts** highlights the resilience of ICH and our reliance on it.



States Parties are encouraged to apply for funding to the International Assistance mechanism for projects and programmes aimed at safeguarding living heritage to build resilience and strengthen practices. In all situations, efforts to safeguard or engage ICH should take into account and respect its **dynamic and adaptive nature**.



# CHAPTER II

## THE INTERNATIONAL ASSISTANCE MECHANISM

To provide for international cooperation and assistance, the 2003 Convention has established a 'Fund for the Safeguarding of the Intangible Cultural Heritage' (hereafter ICH Fund) to support safeguarding practices in the States Parties.

# 1. Overview of the International Assistance mechanism

## What is the International Assistance mechanism?

For the purposes of the 2003 Convention, **International Assistance is granted by the Intergovernmental Committee through the ICH Fund, to assist States Parties in their various efforts to safeguarding living heritage** on their territories with the participation of the communities, groups and individuals as well as other stakeholders concerned. This assistance can be financial and/or technical, providing dedicated resources for States Parties to implement a wide range of measures, including specific knowledge on safeguarding ICH in emergencies, awareness-raising, capacity building and training of local experts, or the elaboration of public policies. In this way, it presents an opportunity to enhance the implementation of the 2003 Convention at the national level through projects in line with the **Overall results framework**. It is an essential tool for States Parties to address their paramount needs and fully benefit from what the Convention has to offer to their local communities. Finally, International Assistance is a key mechanism to implement ICH projects supporting sustainable and local development, social cohesion and gender equality, as well as cultural diversity or biodiversity. Thus it contributes to building resilience and peace.

## For what purposes can International Assistance be requested?

International Assistance may be granted for the following purposes<sup>7</sup>:

- the safeguarding of the heritage inscribed on the Urgent Safeguarding List;
- the preparation of community-based inventories aimed at identifying, with a view to safeguarding, the elements of the ICH present in the territory of a State Party;
- awareness-raising activities about the importance and value of living heritage and its safeguarding in society, to promote its recognition and respect;
- the implementation of programmes, projects and activities at the national, subregional and regional levels for safeguarding ICH;
- any other purpose the Intergovernmental Committee may deem necessary, including support to prepare nominations to the Urgent Safeguarding List or proposals to the Register of Good Safeguarding Practices.

### A WIDE RANGE OF SAFEGUARDING MEASURES

In 2019, International Assistance was granted to strengthen national capacities for the community-based inventorying of ICH with a view to its safeguarding in **Djibouti** and to strengthen the capacities of NGOs actives in the field of living heritage in **Mauritania**. In 2018, a programme was elaborated to raise awareness among younger generations and enhance formal transmission of ICH in **Haiti**. In **Mongolia**, International Assistance was granted in 2018 to revive worshipping practices of sacred sites in rural areas in conjunction with the element<sup>8</sup> inscribed in 2017 on the Urgent Safeguarding List.

<sup>7</sup> Articles 20 to 24 of the 2003 Convention define the purposes, the types, and the conditions of International Assistance, as well as the role of the beneficiary States Parties; the Operational Directives (Chapters I.4 and I.14) indicate the procedures regulating assistance requests.

<sup>8</sup> Mongolian traditional practices of worshipping the sacred sites.



Beyond the purposes specifically identified in the Convention, States Parties can request International Assistance to support their **multiple efforts to safeguard intangible cultural heritage according to local contexts and specific needs**. States parties may wish, for example, to promote the integration of ICH in the education system, to strengthen the intergenerational transmission of an element with the community concerned, or to develop ICH-related policy to assist in the implementation of the Convention at the national level.



Inscriptions on the Urgent Safeguarding List, or nominations to this list, help to mobilize International Assistance for stakeholders to carry out appropriate safeguarding measures. Assistance can be granted to elaborate a nomination for inscription on, or transfer to, the Urgent Safeguarding List, support the safeguarding of an element inscribed on this list, as well as to implement a safeguarding plan proposed in a nomination to this list. International Assistance is not limited to the Urgent Safeguarding List, it can be provided for activities at the national level aimed at safeguarding any element of the living heritage present in the territory of a requesting State Party. Please refer to the different modalities of International Assistance.

## **Who can request International Assistance?**

**Any State Party that has ratified the 2003 Convention** may apply for International Assistance to the Intergovernmental Committee. However, requests for support from developing countries are prioritized. The State Party submits the request, elaborated with the participation as large as possible of the communities, groups and individuals concerned.

## **Can a State Party which has been granted International Assistance make a new request?**

**State Parties may apply several times for International Assistance**, for any type of assistance and whether former requests have been approved or not, providing they request assistance for a new project. It is highly recommended that approved previous projects are completed and final reports have been successfully submitted before a new request is made, so that the State Party may benefit from evaluation findings and lessons learnt. Also, when possible, States Parties are called to build on the results of previous projects implemented. This aspect could contribute to enhancing the sustainability of the implementation of individual projects and the safeguarding practices in each territory.

## What forms can International Assistance take?

The Intangible Cultural Heritage Fund under the 2003 Convention provides two main forms of grants.

**Financial assistance:** under this form, the grant is entirely managed by the implementing agency designated by the State Party in the application, with whom UNESCO establishes a contract.

**Service assistance:** under this form, the State Party chooses to prepare, implement, manage, and monitor the project in cooperation with the national or regional UNESCO Field Office. It can take two forms.

- Complete service assistance:

The beneficiary State delegates the full management of the grant to the UNESCO Field Office to implement the project, while the implementation of the project is in cooperation with the State Party.

- Partial service assistance:

The Field Office directly manages a percentage of the budget allocated to implement the activities under its responsibility. The remaining grant is managed by the implementing agency selected by the beneficiary State to implement the activities under its responsibility.



Under the service assistance, the project is jointly implemented by the requesting State and UNESCO. Therefore, it is important to clarify the responsibilities of each party when drafting the project.

## What is the duration of a project proposed for International Assistance?

Assistance from the ICH Fund can cover a maximum period of **up to 36 months**.

## Is it possible to submit a multinational request for International Assistance?

Joint applications from two or more States Parties are possible for projects with a subregional, regional or international scope.

## SAINT KITTS AND NEVIS

Under the partial service assistance, the UNESCO Field Office, or the requesting State (implementing agency), may undertake different responsibilities such as the coordination of project activities, the provision of international expertise, the organization of capacity-building activities (like the selection of participants and their participation in workshops), the appointment of national experts or the management of logistical aspect. Each of them manages the part of the grant allocated to the activities under its responsibility.

### Example of the distribution of roles and activities amongst partners: strengthening inventory preparation capacity for implementing the 2003 Convention for the Safeguarding of Intangible Cultural Heritage in Saint Kitts and Nevis (2018)







#### Community-based inventorying workshops

RESPONSIBLE ENTITY	TASK/ACTIVITY	DESCRIPTION/COMMENTS
Saint Kitts Department of Culture, Nevis Historical Society, Nevis Cultural Development Foundation	Coordination Planning, implementation and follow-up of the activities	Project's focal points (implementing agency and partners) Staff time (in-kind contribution)
Saint Kitts and Nevis implementing agency and partners (see above)	Administrative support Selection of participants	Staff time (in-kind contribution)
UNESCO Kington Cluster Office for the Caribbean	Provision of international expert to conduct 2*5 days workshops on community-based inventorying	UNESCO facilitator (consultancy fees + travel, accommodation, per diem)
Saint Kitts and Nevis implementing agency and partners	Appointment of national experts in inventorying skills training focused on local strategy 2*5 days workshops	Contract 2 national trainers (consultancy fees)
Saint Kitts and Nevis implementing agency and partners	Logistic organization 2*5 days workshops	Rental venue, hospitality
Saint Kitts and Nevis implementing agency and partners	Provision of materials and equipments for workshops	Cameras, audio recorders, computers, external hard drives, archiving software
Saint Kitts and Nevis implementing agency and partners	Monitoring and evaluation (questionnaire and report)	Contract 2 evaluators (consultancy fees)

## 2. The different modalities of International Assistance: how to make a request?

The granting of International Assistance follows **different modalities depending on the nature and the amount of the request**, to adequately meet the specific needs of the States Parties when safeguarding living heritage.

★ Define your needs and find which of the following modalities is adequate. A specific application form corresponds to each of these.

Modality of request	Submission deadline and form	Decision-making body	Timing of examination
 Emergency assistance (no specific amount)	At any time Form ICH-04	Bureau of the Committee	As soon as the file is technically complete
 Assistance up to US\$ 100,000	At any time Form ICH-04	Bureau of the Committee	As soon as the file is technically complete
 Transfer from the Representative List to the Urgent Safeguarding List with International Assistance (no specific amount)	31 January Form ICH-01 RL to USL	Committee (upon recommendation of the Evaluation Body)	November / December of the same year
 Nomination to the Urgent Safeguarding List with International Assistance (no specific amount)	31 March Form ICH-01bis	Committee (upon recommendation of the Evaluation Body)	November / December of the following year
 Preparatory assistance (from US\$ 5.000 to US\$ 10.000) <sup>9</sup>	31 March Form ICH-05	Bureau of the Committee	As soon as the file is technically complete
 Technical assistance	At any time	Letter of the Secretariat to the 2003 Convention	/

<sup>9</sup> see page 20.

## a. Emergency assistance

- ▶ *Do you need emergency International Assistance to support ICH in need of urgent safeguarding?*

**WHAT CONSTITUTES AN EMERGENCY?** A request for International Assistance qualifies as an emergency, when a State Party finds itself unable to overcome on its own any circumstance due to calamity, natural disaster, armed conflict, serious epidemic or any other natural or human event that has severe consequences for the ICH as well as communities, groups and, if applicable, individuals who are the bearers of that heritage. Emergency requests are processed in priority.

States Parties can request **emergency International Assistance** from the ICH Fund to implement urgent safeguarding projects, regardless of the amount applied for. Emergency requests may be submitted to the Bureau of the Committee at any time once the file is completed. If needed, the Bureau of the Committee may meet specially to examine the request.

- 📎 The Operational principles and modalities for safeguarding intangible cultural heritage in emergencies<sup>10</sup> provide guidance to States Parties and other relevant stakeholders, on how best to ensure that living heritage is most effectively engaged and safeguarded in an emergency in line with the principles of the 2003 Convention.

### VANUATU

Emergency assistance supported the safeguarding of indigenous vernacular architecture and building knowledge in Vanuatu (2015) after Cyclone Pam hit the region. Based on the documenting of pre- and post-cyclone conditions of 6 significant nakamals, the traditional meeting places in Vanuatu, the project aimed to compile a set of best safeguarding practices to encourage the revitalization of building skills related to indigenous architecture in the region and ensure the viability of these structures, to be implemented at the village level by the communities and at the national level by the Government.

## b. Assistance up to US\$100,000

The length of the process and the timing for examination will differ in accordance with the purpose of the request.

- ▶ *Do you need International Assistance of up to US\$100,000 to support your project?*

States Parties can submit a request for **International Assistance from the ICH Fund up to US\$100,000** at any time during the year. These requests are examined by the Bureau of the Committee, which meets 3 to 4 times a year.

- ▶ *Do you need assistance greater than US\$100,000 to support your project?*

States Parties can consider dividing a project into phases. They can request assistance up to US\$100,000 for the first phase and then request further assistance for subsequent phases.

<sup>10</sup> <https://ich.unesco.org/en/operational-principles-and-modalities-in-emergencies-01143>

## c. Request for nomination or transfer to the Urgent Safeguarding List with International Assistance

- ▶ *Do you need International Assistance to implement a safeguarding plan proposed in a nomination to the Urgent Safeguarding List?*

An International Assistance request can be submitted simultaneously with nomination to the List of Intangible Cultural Heritage in Need of Urgent Safeguarding. This integrated mechanism permits a submitting State to nominate an element to the Urgent Safeguarding List and at the same time request funding to finance the effective implementation of safeguarding efforts aimed at strengthening the viability of this particular element. Nominations to the List of ICH in Need of Urgent Safeguarding with International Assistance must be submitted before the 31<sup>st</sup> of March. The Intergovernmental Committee examines nominations to the Urgent Safeguarding List with International Assistance request, after the Evaluation Body has given a recommendation on the nomination and the request. This examination takes place during the Committee meeting of the following year of the submission.

- ▶ *Do you need International Assistance in the context of a request to transfer an element from the Representative List to the Urgent Safeguarding List?*

An International Assistance request can be submitted in the context of a request to transfer an element from the Representative List of the Intangible Cultural Heritage of Humanity to the List of Intangible Cultural Heritage in Need of Urgent Safeguarding. This must be received by 31 January. The request will be evaluated by the Evaluation Body and examined and approved by the Committee in the same year.<sup>11</sup>

### NAMIBIA

Aixan/Gana/Ob#ANS TSI //Khasigu, ancestral musical sound knowledge and skills relates to the specific traditional music of the Nama people. It is complemented by dances commonly referred to as 'Nama-stap'. The music provides entertainment during key social occasions and it is also used to educate members of the community, for instance concerning environmental awareness. In the past, the music connected whole communities and villages, but the art currently faces many threats and in recent years only a few elders have practiced the tradition and possessed the related knowledge and skills. In 2020, Aixan/Gana/Ob#ANS TSI //Khasigu has been inscribed on the Urgent Safeguarding List with International Assistance to support a safeguarding project aimed at: promoting the element among youth, community members and nationwide; increasing its transmission through a community non-formal teaching programme; supporting traditional craftsmanship; enhancing inventory and documentation capacities among the community.

## d. Preparatory assistance

States Parties may request Preparatory assistance for the elaboration of:


- nomination files to the Urgent Safeguarding List,
- proposals of programmes, projects and activities that best reflect the principles and objectives of the Convention,
- requests for the transfer of an element from one List to another,
- nomination files on an extended or reduced basis of already inscribed elements.

<sup>11</sup> There is no IA for transfer list from USL to RL

Preparatory assistance is granted to undertake specific activities necessary for the development of the nomination or the proposal that cannot be carried out using the resources of the submitting State. Activities that may be funded through preparatory assistance include:

- The organization of community consultations;
- The preparation of required audio-visual material;
- The provision of translation services; and
- Expert assistance, such as the assessment of projects in the case of proposals for the Register.

No fixed amounts are requested for preparatory assistance, however, it usually ranges from US\$5,000 to US\$10,000. States Parties need to submit requests for **preparatory International Assistance** before the 31<sup>st</sup> of March. Such requests are examined by the Bureau of the Committee. The nomination or the proposal elaborated with the support of preparatory assistance will be submitted by the 31<sup>st</sup> of March of the following year or the year after<sup>12</sup>.

 Preparatory assistance is not granted for nominations to the Representative List.

## LATVIA

Preparatory assistance granted to Latvia supported the elaboration of the nomination of the Suiti cultural space, inscribed on the Urgent Safeguarding List by the Intergovernmental Committee in 2009. The synthesis of pre-Christian traditions and Catholic rituals has created in the Suiti community a unique blend of ICH, including vocal drone singing, dances, wedding traditions, costumes, the Suiti language, local cuisine, and celebrations of the annual cycle. Successfully recovered after the Soviet period, the Suiti cultural space has experienced a gradual renaissance. However, only a few, mostly old people, have a good knowledge of this heritage, hence the urgent need to involve more people in its safeguarding.

## e. Technical assistance

▶ *Do you need technical assistance to prepare a request for International Assistance?*

States Parties planning to request International Assistance may benefit from technical assistance. This type of assistance is granted when a State Party needs the **support of an expert** for the **elaboration of the request** before its submission to the 2003 Convention Secretariat. Technical assistance may be granted for any type of modality. The ICH Fund covers the costs of these services.

States Parties can ask for technical assistance to prepare a request for International Assistance at any time during the year, through an official letter sent to the Secretary of the 2003 Convention explaining the background, objectives, activities and estimated time of the project. The State Party will select one of the three experts proposed by the Secretariat.

<sup>12</sup> They will be examined by the Intergovernmental Committee, upon recommendation of the Evaluation Body.

# 3. Scope, eligibility and selection criteria

## a. Scope

The scope of an International Assistance request can be **local** (subnational), **national**, **regional** (2 countries or more in the same region) or **international** (2 countries or more of which at least one is from a different region). The scope is defined in accordance with the safeguarding objectives of the project to meet the eligibility criteria.

## b. Criteria

Once the project matches one or several of the purposes of the International Assistance mechanism, assistance is granted by the Intergovernmental Committee based on an **overall appreciation of the following selection criteria**.

### A.1. The community, group and individuals concerned participated in the preparation of the request and will be involved in the implementation of the proposed activities, as well as in their evaluation and follow-up as broadly as possible.

Prior to the submission of the request, the community, group and individuals have played an active role in the elaboration of the project proposed for International Assistance, and they will play an active role at each stage of the implementation of the activities.

### A.2. The amount of assistance requested is appropriate.

The budget is clear, transparent and rigorous. The scope and objectives of the project, as well as the activities proposed and timetable, are proportionate to the financial and human resources (available or likely to be mobilized if the assistance was granted).

### A.3. The proposed activities are well-conceived and feasible.

A set of concrete and specific activities are tailored to address well-defined needs, sufficient to contribute to the expected results and help the project achieve its safeguarding objectives. The timeframe, as well as the budget, are adapted for getting this programme of activities implemented.

### A.4. The project may have lasting results.

International cooperation under the 2003 Convention aims for long-term impacts and results that can be sustained over many years, even if International Assistance projects must necessarily be limited to 36 months. The project provides for processes to guarantee the durability of the benefits, including resources for activities and facilities which will continue functioning beyond its implementation.

### A.5. The State Party will share the cost of the activities for which International Assistance is provided, within the limits of its resources.



The contribution of the submitting State is mandatory, but there is no minimum amount or percentage. It includes local or national government allocations. Moreover, this participation can be either financial or in-kind, including the salaries of civil servants involved in the project, or the provision of facilities. In addition, contributions from other partners from public or private sectors are welcome, either financial or in-kind.

**A.6. The assistance may contribute to building up or reinforcing capacities in the field of safeguarding intangible cultural heritage.**

Capacity-building is an important component of any International Assistance request, as it reinforces the foundation for future safeguarding efforts beyond the scope of the approved project. The active participation of the various stakeholders in the implementation of the project is essential for the transfer of knowledge and skills. The project should comprise specific measures to strengthen the capacities of the concerned communities to practice and transmit their living heritage.

**A.7. If the submitting State has previously benefited from a financial International Assistance under the ICH Fund, the activities have been effectively implemented according to the conditions of the related request.**

In addition to these criteria, the evaluation of the request will also consider:

- If the project implies cooperation at the bilateral, regional or international level (depending on its scope);
- If the granting of the assistance may have a multiplier effect on the project by raising awareness and stimulating further financial or technical contributions from other sources, as well as further developments in other contexts or at a larger scale.



For International Assistance with a nomination to the Urgent Safeguarding List or in the context of a request to transfer an element from the Representative List to the Urgent Safeguarding List, the submitting State will provide all of the information necessary to address the respective criteria for the inscription as well as for the request.

## **4. The application process**

### **a. From upstream to submission (emergency assistance, assistance up to US\$100,000 and preparatory assistance)**

1. Before the submission of an International Assistance request, it is recommended to consult the 2003 Convention Secretariat and/or UNESCO Field Office for upstream information and advice about the application process. It is essential that the communities concerned are consulted at this early stage to guarantee their participation in the project design and implementation.

2. Once the file completed the State Party submits the request to the Secretariat, at any time or before the 31<sup>st</sup> of March according to the type of assistance requested (See above 'The different modalities of International Assistance'). The submission is done by sending an email to ICH-Assistance@unesco.org with the following attachments: the adequate signed form, a signed work plan and budget and an official letter from the requesting State Party. It can also be submitted in hard copy to UNESCO - Living Heritage Entity.<sup>13</sup>
3. The Secretariat undertakes an in-depth technical assessment of the request. If necessary, asks the submitting State for missing information and provides advice to help meet the eligibility criteria.
4. Depending on the case, the State Party will have a specific period of time to revise the request. Then, the revised version of the request can be submitted to the Secretariat.
5. The revised International Assistance request is transmitted to the Bureau of the Committee for examination.
6. The Bureau decides to approve, not to approve or refer the International Assistance request.



In case of referral, the Secretariat may under certain circumstances propose to the State Party technical assistance, to analyze how to revise the request and meet the eligibility criteria with a view to a new submission to the Bureau. See above 'The different modalities of International Assistance'.

## **b. From upstream to submission (requests for nomination or transfer to the Urgent Safeguarding List with International Assistance)**

1. Before the submission, it is recommended to consult the 2003 Convention Secretariat and/or UNESCO Field Office. It is essential to consult the communities concerned and to guarantee their participation in the project's design and implementation.
2. Once the file is completed, the State Party submits the request to the Secretariat:
  - before the 31<sup>st</sup> of January (for the assistance in the context of a request to transfer),
  - before the 31<sup>st</sup> of March (for the assistance with nomination).The submission is done by sending an email to ICH-Assistance@unesco.org with the following attachments: the adequate signed form, a signed work plan and budget and an official letter from the requesting State Party. It can also be submitted in hard copy to UNESCO - Living Heritage Entity.
3. The Secretariat checks the technical completeness of the request and, if necessary, it asks the submitting State for missing information.
4. The State Party completes the request and submits a revised version to the Secretariat.
5. The International Assistance request is transmitted for examination by the Evaluation Body.

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<sup>13</sup> Address: 7 Place de Fontenoy, 75007 Paris

6. Upon recommendation of the Evaluation Body, the Intergovernmental Committee decides to approve or not to approve the International Assistance request, or to refer it to the submitting State for additional information.

### **c. From approval to results**

1. Depending on the form of assistance granted (financial or service), UNESCO concludes a contract with the implementing agency selected by the beneficiary State Party, for the amount allocated.
2. The implementation of the project will begin at the earliest after the approval of the request following consultations between the beneficiary State Party and UNESCO, and for a maximum period of up to 36 months.
3. The State Party will monitor the implementation of the project regularly, while at the same time, will submit to UNESCO financial and narrative reports during the execution of the project. This follow-up concerns the activities undertaken and outputs generated, the objectives attained and unexpected results, as well as any problem encountered and corrective actions taken, and the lessons learnt.
4. Once the project is completed, the beneficiary State Party submits to the Committee a final evaluation report on the use of the assistance. This report includes narrative as well as financial descriptions of the project's implementation and results<sup>14</sup>. For preparatory assistance, the report should be submitted once the nomination or proposal is completed. The State Party is encouraged to share widely the results it has achieved and the experience it has gained.



In conformity with article 24.3 of the Convention: "The beneficiary State Party shall submit to the Committee a report on the use made of the assistance provided for the safeguarding of the intangible cultural heritage."

### **What is the role of the 2003 Convention Secretariat in the application process?**

The Secretariat supports submitting States as early as the upstream consultations. It also provides advice before the request's examination and its possible approval by the relevant decision-making body to explain how they should be completed to meet the eligibility criteria. Once the request is approved, UNESCO provides administrative and knowledge management and follow-up support. UNESCO also monitors the implementation of the projects.

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14 article 24.3 of the Convention

## EMERGENCY / UP TO US\$100,000 INTERNATIONAL ASSISTANCE

*From upstream to submission*



### 1 UPSTREAM CONSULTATIONS

(UNESCO  
Secretariat or  
Field Office(s),  
State(s) Party(ies),  
communities,  
partners)



### 2 INTERNATIONAL ASSISTANCE REQUEST SUBMITTED

[any time]



### 3 TECHNICAL ASSESSMENT BY THE SECRETARIAT SENT TO STATE PARTY



### 4 STATE PARTY TO REVISE THE REQUEST

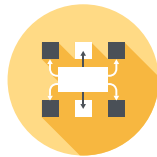


### 5 REVISED INTERNATIONAL ASSISTANCE REQUEST SUBMITTED BY STATE PARTY



### 1 MEETING BY THE BUREAU OF THE COMMITTEE

Decision to approve, not  
to approve or refer the  
request



### 2 IMPLEMENTATION & MONITORING OF THE PROJECT



### 3 CONCLUSION OF THE PROJECT



### 4 REPORT TO THE COMMITTEE

[art. 24.3 of the  
Convention]

## NOMINATION TO THE USL OR TRANSFER TO THE USL WITH INTERNATIONAL ASSISTANCE

*From upstream to submission*



### 1 UPSTREAM CONSULTATIONS

(UNESCO  
Secretariat or  
Field Office(s),  
State(s) Party(ies),  
communities,  
partners)



### 2 INTERNATIONAL ASSISTANCE REQUEST SUBMITTED

(with transfer by  
31 January)  
(with nomination  
by 31 March)



### 3 TECHNICAL COMPLETENESS CHECK BY THE SECRETARIAT SENT TO STATE PARTY



### 4 STATE PARTY TO REVISE THE REQUEST



### 5 REVISED INTERNATIONAL ASSISTANCE REQUEST SUBMITTED BY STATE PARTY



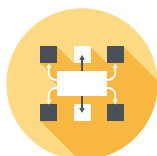
### 1 EVALUATION BODY

Evaluation of  
the request and  
recommendation



### 2 MEETING BY THE COMMITTEE

Decision to  
approve, not to  
approve or refer  
the request



### 3 IMPLEMENTATION & MONITORING OF THE PROJECT



### 4 CONCLUSION OF THE PROJECT



### 5 REPORT TO THE COMMITTEE

(art. 24.3 of the  
Convention)

*From approval to results*

## PREPARATORY INTERNATIONAL ASSISTANCE

*From upstream to submission*



**1**  
**UPSTREAM CONSULTATIONS**  
(UNESCO Secretariat or Field Office(s), State(s) Party(ies), communities, partners)



**2**  
**INTERNATIONAL ASSISTANCE REQUEST SUBMITTED**  
(by 31 March)



**3**  
**TECHNICAL ASSESSMENT BY THE SECRETARIAT SENT TO STATE PARTY**



**4**  
**STATE PARTY TO REVISE THE REQUEST**

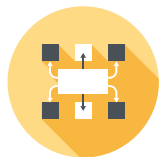


**5**  
**REVISED INTERNATIONAL ASSISTANCE REQUEST SUBMITTED BY STATE PARTY**

*From approval to results*



**1**  
**MEETING BY THE BUREAU OF THE COMMITTEE**  
Decision to approve, not to approve or refer the request



**2**  
**ELABORATION OF THE NOMINATION OR THE PROPOSAL BY STATE PARTY WITH PREPARATORY ASSISTANCE**



**3**  
**NOMINATION OR PROPOSAL SUBMITTED BY STATE PARTY**  
(by 31 March of the following year or the year after)



**4**  
**REPORT TO THE COMMITTEE**  
(art. 24.3 of the Convention)







# CHAPTER III

## FRAMING A PROJECT FOR INTERNATIONAL ASSISTANCE

What steps should you follow to design and manage an effective and sustainable safeguarding project? What are the key points to consider when preparing an International Assistance request? Here you will find some resources and methodological guidance.

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## FIVE STEPS TO FRAME A PROJECT FOR INTERNATIONAL ASSISTANCE



The steps introduced are all interlinked with each other; as you progress in the development of the project, you will likely have to revise the previous ones.

# 1. How to plan an International Assistance project?

## STEP 1 / Who? Framework, communities and stakeholders



**Designate the entity or entities who will implement the project.**



**Helpful questions:**

- ▶ *Which organization, institution or agency is responsible for implementing the project?*
- ▶ *Is there any partner to participating in the project?*
- ▶ *In the case of a service assistance, which UNESCO Field Office should cooperate with the State Party in implementing the project?*
- ▶ *Within the implementing agency, as well as for each partner, who is the focal point for the project?*



It is crucial to ensure a **stable framework** for the project's development and follow-up. Putting together a **project team** detailing the dedicated staff or who will occupy key functions in the project within the implementing agency can be highly facilitating. Depending on the human resources necessary, which will be further defined, this team may include temporary staff hired for the project.

**The implementing agency selected by the submitting State** may be a government body, or any institution competent in the field of the project with proper organizational resources, such as a university, an NGO, or a National Commission for UNESCO. Since it is responsible for carrying out the proposed activities, the request should clearly describe the agency's available human resources and its strategy for managing the project.

**Collaboration with outside partners** can be essential for the success of a safeguarding project and set a solid base for its long-term sustainability. Once the project is drafted, you should carefully define your partners' responsibilities and the human resources they are able to dedicate to the project.



## Identify the communities, groups and individuals concerned, and think about how to ensure their widest participation possible in the project's design and implementation.



### Helpful questions:

- ▶ *If the project concerns a specific element, who participates directly in the practice and/or the transmission of the ICH?*
- ▶ *Are there any individuals or groups who participate in the practice or transmission in a less direct way?*
- ▶ *What are their characteristics?*
- ▶ *Are the roles played in enactment and transmission gender or age-specific?*
- ▶ *If the project does not concern a specific element, who is it aimed at?*
- ▶ *How can the communities, groups and individuals concerned effectively contribute to the elaboration of the project?*
- ▶ *How can they actively participate at every stage?*

To allow for their widest participation possible, **communities** need to be **well defined**. Consider the different roles various actors play in practicing and transmitting their living heritage, to take into account the **diversity** that characterizes any community.



### Beneficiaries and community involvement?

The **beneficiaries** or recipients are all the people targeted to experience the positive changes resulting of a project. Communities are not only beneficiaries but **active participants in the whole process**. Upstream **consultations** of the potential partners are essential to ensure the communities' contribution is as broad as possible in the **elaboration of the project**. This will allow the identification of solutions that emerge from the communities themselves. Indeed, programmes in which communities' aspirations and perspectives have been well integrated in the strategy from the beginning, are more likely to succeed than those designed elsewhere and brought to the community later. **Provide for specific mechanisms for communities to take part at every stage** of the project's implementation, follow-up and evaluation. There is not a single model or method to involve the communities concerned: State Parties are encouraged to suggest creative measures tailored to specific contexts. Indeed, a single community meeting is likely to have less impact than an ongoing programme led by community members. In the request, you should detail the mechanisms that were used in the preparation of the project as well as those that will be used in all the activities.



## Map or list stakeholders and consider how to involve them.



### Helpful questions:

- ▶ *What are the different types of actors intervening in the field of the project at the national, regional and/or local levels (depending on the scope of the project)?*
- ▶ *What do they do?*
- ▶ *Who are the key actors and stakeholders that should be involved to guarantee the success of the project, and how?*

**There are various stakeholders playing different roles in ICH safeguarding**, within the public and the private sectors, in culture but also in other fields such as education, health or agriculture. An overview of the range of actors engaged in the relevant field, at the local, subnational, national or international levels, may be very useful to planning a project. Think of government agencies, National Commissions for UNESCO, cultural organizations (as museums, archives, or cultural centers), centers of expertise, universities and research institutions, educational institutions, community and civil society organizations, NGOs, private sector entities.

★ Partners shall have arrangements with the implementing agency to define their role in the implementation of the project. Besides such partners, and the communities concerned, it is essential to **involve any other key stakeholder**, even institutional, to guarantee the feasibility of the project, and to maximize the effectiveness of the measures planned. You may, for instance, set up an **Steering committee**.

## MOROCCO

### **Revitalization of the female chants of Taroudant**

#### **International Assistance granted in 2017**

**Duration of the project:** 24 months

**Implementing agency:** Association Bhayer Dalya

In the Medina of Taroudant in the High Atlas Mountains, the female chants practiced by women's troupes during social events, convey values that the inhabitants of the region recognize as part of their identity and heritage. These chants, renowned for their harmonies, are accompanied by a variety of instruments and performed to choreographed dances. However, the practice usually transmitted between women and daughters is in decline because modern musical forms have taken the place of the female chants, and lifestyle changes. Thus, the remaining groups of performers have decided to revitalize their heritage. The Moroccan Association Bhayer Dalya was created to support this effort, bringing together women from different social backgrounds who still practice these chants. Besides the groups performing in Taroudant and its wider region, the community includes the artisans making the musical instruments and costumes, academics as well as families and inhabitants who assign great importance to these chants in maintaining cultural ties.

Over three years, Bhayer Dalya interviewed women of Taroudant bearing this knowledge and initiated an inventory describing the viability of the female chants and identifying safeguarding measures. Based on this work, a project was framed for International Assistance including awareness-raising, capacity building, safeguarding and revitalization activities with the widespread participation of the community. It involved, in particular:

- drawing up an inventory of the female chants by young women trained in participatory techniques,
- creating new groups of women trained both in chanting and in transmitting those chants, as well as a federation of troupes,
- purchasing the necessary costumes and musical instruments,
- creating and disseminating audio-visual products about the female chants as well as the revitalization process,
- and organizing a small-scale festival.

The drafting of the request followed an ongoing dialogue between Bhayer Dalya, in its capacity as representative of the community, and the Department for Cultural Heritage of the Ministry of Culture. The women in the association assumed key responsibilities in the project by ensuring the mastery of the revived knowledge and its transmission. They have also identified the characteristics of the costumes and accessories required, and documented the lyrics with the help of researchers.

The project driven by the active members of the community was based on a strong partnership between institutional stakeholders involved in the safeguarding of ICH and civil society at all levels. The Ministry of Culture supported consultation and awareness-raising as well as training workshops, conferences, inventory and documentation. The local authorities provided public spaces for meetings and logistics. Ibn Zohr University contributed to the scientific debates and in defining strategic guidelines for safeguarding the female chants. Other civil society associations took part in awareness-raising events. The key role of the community, as well as the involvement of the various stakeholders, strengthened the capacity of the bearers (inventory, documentation, transmission of the female chants), as well as the capacity of public services and civil society for the safeguarding of living heritage.

 **To learn more about the involvement of the communities in the design, implementation and follow-up of the project, see the full request form<sup>15</sup>.**

15 <https://ich.unesco.org/en/assistances/revitalization-of-the-female-chants-of-taroudant-01307>

## STEP 2 / Why? Background and objectives



### Look into the situation and make a needs assessment.



#### Helpful questions:

- ▶ *What are the actual circumstances?*
- ▶ *Which issues should be addressed?*
- ▶ *If the project concerns a specific element, what is its viability? What are the threats and risks to its safeguarding?*
- ▶ *What have the State Party and the communities already done for its safeguarding?*
- ▶ *Have these previous efforts been effective or not, and why?*
- ▶ *What are the aspirations of the communities concerned?*

Examine the **background**, which includes both **past experience and current context**, and analyze **why a safeguarding project is needed at this time**. Consider the initiatives that have been previously undertaken by the communities and by the submitting State, as well as their results. Identify **specific threats** (not general) to allow for effective and realistic safeguarding measures. For instance, regarding the generic threat of 'globalization', a request could explain that global media dominate and that the community's culture is excluded from local media; as a result, community members develop a sense of cultural marginalization.

In the case of an emergency request, clearly identify the risks and impacts of the emergency situation on local populations and their living heritage.



**Threats and risks** that can affect the viability of the living heritage may be inherent in the ICH element, internal to the community and the present circumstances, or due to external forces beyond the community. They include demographic issues, economic pressure, environmental degradation, cultural globalization, or negative attitudes toward ICH, that result in a weakened practice and transmission.



The interactive platform Dive into intangible cultural heritage<sup>16</sup> features factors threatening the elements inscribed on the Urgent Safeguarding List.

<sup>16</sup> <https://ich.unesco.org/en/dive&display=threat#tabs>



## Define the main objectives and expected results of the project.



### Helpful questions:

- ▶ *What is/are the general purpose(s) of the project?*
- ▶ *Can the current situation improve, within a few years, if the project was successfully implemented?*
- ▶ *Which concrete accomplishments are intended and should be visible during the period of the project?*

Try to focus on **one or two general purposes**, a maximum of **4-5 specific objectives** and a maximum of **6-8 expected results**. Always keep a clear focus on the **overall safeguarding goal of ensuring the viability of the ICH**. These objectives and expected results must be directly derived from the situation analysis, **clearly identified and reachable**, so that they can be translated into practical measures and activities.



**Objectives and results?** The objectives are the medium-term effects of the project, for instance, 'strengthening the viability of the element through increased intergenerational transmission' or 'national safeguarding efforts made more effective through the availability of an inventory'. The expected results are, in the shorter term, the concrete accomplishments of the activities, for instance, 'the number of apprentices that received training', or 'the number of elements, for which inventory information was effectively collected, processed and archived'. In other words, while the objectives are more ambitious and have a longer timeframe, with effects that may require evaluation, the expected results should be achieved during the course of the project, as a direct consequence of it, and they should be readily apparent.

- ★ To ensure the viability of living heritage, a safeguarding project should not seek to restore a 'historical practice' but respect the dynamic and ever-changing nature of ICH.



## Determine the scope of the project in accordance with the safeguarding objectives.



### Helpful questions:

- ▶ *Does the project intend to address safeguarding issues at a local, national, regional or international scale?*
- ▶ *If the request concerns a specific element, what is its range?*

**Setting the appropriate scope** will help justify the **geographical area** in relation to the project's objectives, and provide the framework to establish an adequate timeline and budget to guarantee the **feasibility** of the proposed activities.

**Intangible cultural heritage as a basis for resilience, reconciliation and construction of peace environments in Colombia's post-agreements**

**International Assistance granted in 2018**

**Duration of the project:** 14 months

**Implementing agency:** Ministry of Culture of Colombia / Fundación Universidad del Norte

Following a sixty-year armed conflict, this project building on living heritage as a tool for dialogue took place within the commitments of the 2016 Peace Agreement between the Colombian government and the Revolutionary Armed Forces of Colombia (FARC). It aimed especially to generate the conditions for the reintegration of former combatants into civil life. In this context, ex-combatants in the village of El Conejo, home to the Ponderos ETCR (a temporary shelter for ex-combatants and their families) requested measures to reinvigorate their local culture. Cultural practices and local knowledge, such as certain musical festivals or celebrations of agricultural cycles, had become invisible or even forgotten due to the social and armed conflict. On the other hand, the implementation of the Peace Agreement was threatened in particular because of its rejection by certain categories of population, or the challenge of economic and social reintegration of ex-combatants. A participative methodology was thus designed linking ICH capacity-building strategies and inventorying with the 'Memory and Heritage' approach of the Ministry of Culture of Colombia. This approach directed at safeguarding living heritage and strengthening collective memory to reconstruct the social fabric, diagnose cultural damage and foster symbolic reparation and cultural healing among communities affected by armed conflict.

**General purpose**

Link ICH to the construction of new social agreements between the inhabitants of the Conejo village and the ex-combatants of the FARC, for the promotion of coexistence and resilience, the rooting of communities in the territory and the strengthening of the social fabric within the post-agreement framework and as a contribution to the transition to peace.

**Specific objectives**

1. Strengthen capacities for the social management of the intangible cultural heritage.
2. Conduct a participatory ICH inventory that includes safeguarding measures.
3. Develop an initiative of collective construction of the historical memory of the territory and its ICH.
4. Make visible the narrative forms of the participating community, fostering their capacity for self-representation through audio-visual languages.
5. Encourage the creation of social agreements for coexistence.

**Expected results**

- Preparation and publication of: (i) Participatory inventory of ICH and identification of safeguarding measures; (ii) Process of collective construction of historical memory and ICH.
- Audio-visual records of: (i) ICH inventory; (ii) Historical memory and ICH.
- 4 audio-clips on the regional ICH included in the Memory House of the Ponderos ETCR and in the ecotourism route.
- An artistic and cultural show with the results of the process.
- 40 participants trained in: social management of the ICH; inventory development; historical memory construction; organization and promotion of cultural events.
- 25 people trained in audio-visual production techniques.
- A renewable document of social agreements for coexistence based on the ICH.
- 1 group of heritage guards composed of college students and people interested in safeguarding the ICH of the region.
- 2 inter-sectoral work tables for the circulation of the productions and dissemination of results.

The project was coordinated by the Fundación Universidad del Norte, with support of the Ministry of Culture and in partnership with local authorities. It targeted a group of 40 people: inhabitants of the Conejo village as well as ex-combatants of the Ponderos ETCR from different backgrounds (public sector, entrepreneurs, people interested in cultural management, peasants, artisans, among others), including high school students. The participants were aged 12 to 70 to promote an intergenerational process. They played a key role in the project as local researchers and producers of contents.

 See the full request form.<sup>17</sup>

<sup>17</sup> <https://ich.unesco.org/en/assistances/intangible-cultural-heritage-as-a-basis-for-resilience-reconciliation-and-construction-of-peace-environments-in-colombia-s-post-agreements-01522>



## STEP 3 / How and when? Activities and timeline



**Elaborate a set of activities to address the identified needs and structure these activities around a logical sequence to attain the specific objectives you have defined.**



**Helpful questions:**

- ▶ *What can be done to address the needs, threats and risks that you have identified?*
- ▶ *For each activity, what is the scope? What are the content, length, place, beneficiaries and number of participants, modalities or methodology, etc.?*

Think of **2-3 activities to undertake for each expected result**. They will be carefully **tailored to the situation** analysis, **precise, detailed and focused** to address the safeguarding issues identified and meet adequately the needs identified.

Organize these measures in a **logical presentation**, as part of an overall safeguarding strategy. While diverse and specific, all the activities proposed should aim towards ensuring the viability of the living heritage concerned, whether it is the viability of a single element or more generally of the ICH present in the territory of the submitting State. Demonstrate how each activity (and its expected result) contributes to the next activity in order to achieve the overall objective. For example, it is important to describe how the data collected through the inventories (activity 1) will be used for raising awareness among communities (activity 2).

When introducing **research as a safeguarding measure**, it should be associated with the transmission process and aimed at ensuring the viability of the heritage, not presented as research for its own sake. Likewise, a workshop or a festival should be linked with other activities as part of a safeguarding strategy.



The **activities** refer to the **wide range of concrete measures** designed to achieve the expected results, thus contributing to the overall objectives.



**Anticipate possible negative effects of tourism, decontextualization or commercialization** as a consequence of promoting and safeguarding measures. Activities aimed at intensifying the production of crafts, creating new performance opportunities, increasing the attendance at public events or generating income for tradition-bearers can be part of a safeguarding project, but only insofar as they contribute directly to ensuring the viability of the ICH and remain within the control of the community concerned. Also, it is crucial to safeguard the cultural meaning and social functions so that the element continues to provide a sense of belonging and continuity to the communities concerned.



## Determine who could execute these activities.



### Helpful questions (for each activity):

- ▶ *What are the roles of the implementing agency, and partners?*
- ▶ *What are the roles of the communities and other stakeholders?*
- ▶ *Are specific competencies sought?*

Identify the needs for **key functions** according to the project: advisers, coordinators, field managers, researchers, facilitators, assistants, etc.

For each activity, remember to set up mechanisms for ensuring the widest possible participation of the relevant communities and stakeholders.



## Establish a detailed timeline for the whole project.



### Helpful questions:

- ▶ *What is the period needed to carry out each of the activities?*
- ▶ *In which order and priority should these activities take place?*
- ▶ *Is there any external agenda that could have an impact on the project's timeframe?*

Use the dedicated form to **incorporate all activities**, under the same denomination as in the narrative form, **including monitoring and evaluation** (please see Step 5). Keep in mind that assistance from the ICH Fund can cover a maximum period of up to 36 months.



Be realistic and pragmatic: always **take into consideration local and geographical context**. Many elements although external to the project can have an important impact on its progress. Some can be anticipated when planning the schedule. Think for instance of political agendas including elections, or important seasonal festivals during which the communities will not be available for the project's activities.

**Safeguarding of practices and rare rituals related to sacred sites in Kyrgyzstan: preparation of an inventory and safeguarding measures****International Assistance granted in 2018****Duration of the project:** 24 months**Implementing agency:** Aigine Cultural Research Centre

In Kyrgyzstan, pilgrimages to sacred sites and ritual practices form an integral part of people's cultural identity and heritage, shaping their attitudes to each other and nature. However, they are threatened by rapid urbanization, technological advancements, the marginalization of indigenous belief systems, and the generation gap between elders and youth. Coordinated by the Aigine Cultural Research Centre (CRC), based on the findings from extensive research fieldwork, the project has been designated during three meetings with representatives of the communities: sacred site guardians, traditional practitioners and healers, epic chanters, pilgrims, scholars and ICH experts. Aimed to develop a unified community-based inventory of sacred sites and rare ritual practices in Kyrgyzstan, as well as effective safeguarding measures in the form of a national manual, its key objectives were to:

- identify elements of living heritage related to sacred sites and ensure their continued viability,
- improve public awareness about the importance of ICH,
- increase stakeholders' capacities to safeguard it, and ensure its successful transmission.

To reach these objectives, activities have been structured into three stages.

**Stage I**

1. Establishment of the steering committee and confirmation of the implementation stages.
2. Training workshop for the project team on inventory techniques, regulations of the 2003 Convention and UNESCO reporting requirements.
3. Selection of on-site working groups in the 7 provinces of Kyrgyzstan.
4. Following the selection, the project team will organize and conduct a series of on-site participatory seminars in the 7 provinces. The on-site working groups will be assigned two main tasks: to conduct local research and data collection on rare ritual practices; to work on and update the lists of sacred sites in their region. Participatory on-site seminars will prepare the working groups to implement these tasks as well as for community-based inventorying.
5. The project team will conduct a detailed review and thorough analysis of Aigine CRC's existing data on sacred sites in order to provide on-site groups with necessary information.
6. Based on the seminars conducted in the regions and existing data on sacred sites, Aigine CRC jointly with the National Commission for UNESCO will conduct an inventorying workshop in Bishkek for one and a half days. Group members from all 7 provinces, 14 people in total, will travel to Bishkek and back.
7. On-site working groups will conduct field research and collect data on rare ritual practices and previously not recorded sacred sites in their provinces.
8. Review and analysis, classification, verification and crosschecking of data built on rare ritual practices and updated data on sacred sites collected by the working groups.
9. Research on best safeguarding practices/measures and development of sacred sites around the world. The study of various documents, manuals and any related information on safeguarding sacred sites and related ICH as well as on their bearers/guardians. This research will help to lay the foundation for the Kyrgyz National Manual on Safeguarding and Development of Sacred Sites
10. Monitoring, evaluation, production of interim reports of stage I.

Local groups were formed of two members from each province, either sacred site guardians, traditional practitioners or scholars affiliated with the provincial institutions, having experience in safeguarding ICH. Under the supervision of the project team and the monitoring of the steering committee, they have participated in all activities (identification, research, elaboration of best safeguarding and transmission practices, training and follow-up).

The involvement of local communities as well as stakeholders and institutional partners, including Madaniat (Culture) TV Channel under the Kyrgyz Radio TV state company, has been essential for the inventory to enhance the sacred sites' and pilgrimages' visibility. Activities and workshops enabled communities and stakeholders to reflect on their ICH and strengthened their safeguarding capacities as well as the network of traditional practitioners and guardians. The National Manual on Safeguarding Pilgrimage and Ritual Practices has served as a practical tool for the integration of living heritage in education, to help ensure intergenerational transmission.



To learn more about the stages II and III, see the full request form<sup>18</sup> as well as the project's timetable.

18 <https://ich.unesco.org/en/assistances/safeguarding-of-practices-and-rare-rituals-related-to-sacred-sites-in-kyrgyzstan-preparation-of-an-inventory-and-safeguarding-measures-01423>

## 2. Tips for budgeting, monitoring and evaluation

### STEP 4 / How much? Resources and budget

To frame the **budget**, you need to identify:

- the human, financial, and material resources required to implement the activities
- the financial or in-kind contributions from the submitting State and partners
- the support to request from the ICH Fund to achieve the project.



#### **Helpful questions (for each activity):**

- ▶ *Is someone's time required to make the activity happen?*
- ▶ *Does it need to be remunerated?*
- ▶ *If yes, how many people for how many hours/weeks/months, and at which rate?*
- ▶ *What is required in terms of venue/objects to carry out the activity?*
- ▶ *What about transport, housing or food for those involved?*
- ▶ *What are the costs involved?*
- ▶ *What resources could be provided in-kind?*
- ▶ *Were commitments made for the execution or financing of the activity?*
- ▶ *What are the human and/or material resources of partners and stakeholders mobilized for the activity?*



The major part of the grant should be spent on project activities and not on staff costs.



## Enter each activity in the Excel budget provided.

Use the same denomination as in the narrative form.  
Make sure to include monitoring and evaluation cost.



## For each activity, list all expenses.

Think of costs for staff remunerations, travel (international, domestic, local), accommodation, hospitality, venue, equipment, supplies, translation, audiovisual production, graphic design, printing, any other costs linked to the participation of the communities, etc.

★ If needed, include provisions for reasonable administrative costs, to track expenditures and prepare spreadsheets, monitoring tables and reports.



## For the different types of expenses, detail expenditures lines.

Specify unit cost and the number of units (avoid lump sum amounts as far as possible).

**Submitting States should amply demonstrate their financial or in-kind contributions** within the request, providing full details in the narrative form as well as in the Excel budget. Besides the financial participation, **evaluate and integrate** as in-kind contributions **material inputs** including the provision of venue, equipment or administrative support (offices, phone, internet, stationery).

If appropriate, the identity of other contributors, either financial or in-kind, should be clarified in the additional comments of the Excel budget.

The Excel budget must be **clear, detailed and consistent with the activities and the overview** in the narrative form.

📎 Please refer to the budget template and instructions on the forms webpage<sup>19</sup> for all technical aspects.

<sup>19</sup> <https://ich.unesco.org/en/forms>

## STEP 5 / Monitoring and evaluation

### a. Monitoring

When framing a safeguarding project, it is necessary to think about **i) how it will be monitored** on an ongoing basis during implementation, **ii) which reporting** will be required and **iii) how its success will be evaluated** – keeping in mind that the communities concerned shall play a central part. Follow-up measures allow to assess whether things are developing the way you have planned and make it possible to adjust the plan on time if needed.

**Monitoring and evaluation** are both management tools. **Monitoring** allows for **regular follow-up during the implementation of the project** to assess whether the activities are progressing as expected and take corrective measures if needed. **Evaluation** is conducted **once the project is completed** to assess the **impact of the activities** in the light of the objectives and provide recommendations for future projects.

★ To set up a monitoring committee involving communities and stakeholders may be helpful, especially if there is no steering committee for the project.



**Define indicators and targets to be attained for each of the expected results at specific moments of the implementation.**



*Helpful questions:*

- ▶ *How to measure the progress made?*
- ▶ *What are the project's or the activity's critical steps?*
- ▶ *What information can be considered as a sign of the activity's success?*
- ▶ *What results would demonstrate that the project is proceeding efficiently?*

Fix **specific indicators to measure specific results** under the objectives of the project and its timeline. For instance, to monitor a community-based inventory of the living heritage present on a territory, possible indicators could include: the number of elements identified, the number of community members engaged in the inventory, the participation of other civil society organizations, etc.



**Indicators and targets?** An indicator is a **qualitative or quantitative** means of measuring a result. A target is used to define, in specific and measurable terms, the desired result. The target is therefore associated with an indicator to be attained during a determined period with available resources.



The Overall results framework for the 2003 Convention can be helpful to frame indicators and targets in a monitoring and evaluation strategy. The ORF aims clearly to assess the engagement of communities and stakeholders for safeguarding ICH, as well as the contribution of civil society to the monitoring of ICH safeguarding.



## Determine ways and tools for monitoring.



### Helpful questions:

- ▶ *How to collect the information needed?*
- ▶ *How to involve as widely as possible communities and stakeholders?*
- ▶ *What role will they play in the follow-up activities?*
- ▶ *Who will conduct these monitoring activities?*

**Follow-up mechanisms** can take various forms, including regular reports, meetings to collect feedback on the activities, consultations, field visits. They should be bespoke (not general) to **assess specific developments, with the contribution of the communities**, providing a channel through which their concerns and aspirations can be raised and the implementation of the project improved. **Make sure to involve partners and stakeholders in the monitoring activities.**



A specific effort should be made to evaluate the capacity building workshops.



## Analyze the data collected: if needed, adjust the plan and take corrective measures as soon as possible.



### Helpful questions:

- ▶ *Did the project activities have the impact you were expecting?*
- ▶ *What challenges did you face?*
- ▶ *How can these challenges be overcome to continue the project?*
- ▶ *Does the budget spend at this stage respect the estimated budget?*




International Assistance granting requires, for multi-years projects, a progress report serving as a mid-term evaluation, including challenges and lessons learnt for the continuation of the project, using a specific form.

## b. Evaluation

For all projects, a **final report form** aims to **assess how things worked out, what are the impacts of the project, and what its sustainability**. The **evaluation** should reflect the **communities' assessments of the achievements and results of the project, with contributions from partners and stakeholders**, their testimonies being sought in all reporting. Focus on the impacts that the project had within communities, rather than simply listing activities. For all of the projects, it is recommended to have an external evaluator.

To enhance the sustainability of the projects implemented, the beneficiary States are invited to build further safeguarding programs on the projects' results, taking full advantage of the knowledge, skills and experience acquired. This allows to integrate the projects into existing national frameworks for safeguarding living heritage and strengthen safeguarding practices. For instance, after successfully implementing an inventory of the living heritage on its territory, a State Party may develop ICH policies that take into account the findings of the inventory, or promote the inscription of ICH in the curriculum of educational institutions, based on the inventory.

Usually, at the end of the project, an evaluation will be carried out by UNESCO. Under certain circumstances an evaluation may be carried out during the implementation of the project.

 **Sustainability?** How long will the benefits of the project last? What about long-term impacts? How will the communities and relevant organizations be able to continue the project after the International Assistance ends? How to build upon the short-term outcomes within the project in order to continue safeguarding efforts?

**Strengthened capacities** are of course one very important lasting result, as knowledge transfer needs to be built into every project. **Possible replication of the project** methodology or tools will contribute to sustaining its results over time. Long-term impacts include the influence of the results of the project in **local policies** or its contribution to **dialogue** and **mutual respect** among communities.

Also, it is essential to plan **mechanisms that will continue functioning** after the implementation of the project, including safeguarding measures and follow-up activities with communities and to **identify financial as well as technical contributions** that can be mobilized to sustain the project once the International Assistance ends.



**Promoting intangible cultural heritage education in institutions of higher learning in Uganda****International Assistance granted in 2017****Duration of the project: 36 months****Implementing agency: Cross-Cultural Foundation of Uganda**

With colonialism and the creation of new spaces for learning, many Ugandans, especially the youth, have not had an opportunity to reflect, experience and promote the positive aspects of their cultural heritage, due to the lack of initiatives in formal education programmes. With limited heritage education in academic institutions, there is a capacity gap in terms of skilled personnel that has led to a relatively low priority for safeguarding ICH in policy-making and implementation, despite the diversity of cultural identities and related expressions, knowledge and skills in the country. In line with Uganda's National Cultural Policy, which underscores the importance of living heritage, the project intended to raising-awareness of a core group of management and academic staff from four universities (Gulu, Kampala, Nkozi and Fort Portal), on the relevance of ICH in Uganda's development context. The primary goal was to produce pedagogical materials as well as a higher education course on living heritage and development and to train academic staff in delivering such a course. Beyond this group, the project aimed at a wider community through the organization of a symposium for universities across Uganda to publicize the course outline, annual public lectures in each of the four Universities, and the provision of a resource book. The course and the resource book both integrate the gender dimension of ICH.

Selected for their active collaboration on cultural heritage preservation and promotion initiatives, the representatives of the four universities assumed a lead role in drafting the course outline and contributed to all activities (training materials and the resource book taking into account inscribed and inventoried ICH elements of their vicinities, national symposium and public lectures). Coordinated by the Cross-Cultural Foundation of Uganda (CCFU), in partnership with the Uganda National Commission for UNESCO, the project has been implemented through a steering committee including representatives from academia, student bodies, Ministry of Education, Department of Culture, and National Council for Higher Education. This committee was responsible for policy direction, oversight, periodic monitoring and evaluation of the project in the respective universities and at the national level. A launching meeting ensured familiarity with the project, its objectives and implementation mechanisms among participants. The committee then met every six months to guarantee participatory management, develop detailed planning and budget, and assess the implementation of the project against performance indicators. To foster collective ownership of the project, the meetings took place within the different partner institutions on a rotational basis. An end of project workshop involved representatives of all stakeholders concerned as well as guests from universities abroad. The final report was based on the minutes of the steering committee meetings, reports of national symposium as well as of training and evaluation workshops. An external financial audit on a yearly basis ensured financial accountability and transparency.



For details on the governance of the project as well as its monitoring and evaluation, see the full request form<sup>20</sup>, progress and final reports.



# IN A NUTSHELL:

## keys to a successful International Assistance request

- The request reflects the principles of the 2003 Convention and integrates the **Ethical principles for safeguarding ICH**. Make sure that the project respects the **dynamic and adaptive nature of ICH** and that it promotes **mutual respect** and **sustainable development**, as well as a **human rights-based approach** including **gender equality**.
- A **structured framework** exists to implement and monitor the project (dedicated team, focal points, steering committee, advisory board).  
Specify the roles and resources of each partner.
- **The communities and the stakeholders are well-identified**, taking into account their diversity, and they have been involved in the elaboration of the request. Provide mechanisms to ensure their participation as widely as possible at each stage of the project's implementation, monitoring and evaluation. They should guarantee the **quality of the community's engagement**.
- The project follows a **logical sequence**.
  1. Develop a **comprehensive analysis of the situation and the needs**, including threats and past safeguarding efforts.
  2. Define **well-identified and reachable objectives** immediate (expected results) and long term to address these issues.
  3. Present a **set of concrete activities interlinked with each other** as part of a safeguarding strategy to ensure the viability of ICH.
- **Specific measures address specific contexts, threats and needs**.  
As a general rule, be as **precise** as possible in the whole request (location, community involvement, objectives, activities, monitoring, budget, timeline).
- **All the activities are included in the timeline as well as in the budget**.  
Be exhaustive and detailed.
- The request is **coherent in respect of the scope of the project, its objectives, its timeline, the activities planned, their estimated costs, the human resources available or needed**.
- The project is **sustainable** and will have a **long-term impact**.  
Provide for processes to ensure the durability of the benefits, including capacity-building, follow-up measures and resources for activities and facilities to continue once the International Assistance is completed.

★ **Start small, slowly and realistically**. Calibrate the project to the implementation context. **Try to anticipate challenges**, and plan how to overcome them.



# Resources

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## Basic texts

- Convention for the Safeguarding of the Intangible Cultural Heritage  
<https://ich.unesco.org/en/assistances/promoting-intangible-cultural-heritage-education-in-institutions-of-higher-learning-in-uganda-01310>
  - Operational Directives  
<https://ich.unesco.org/en/directives>
  - Ethical principles for safeguarding intangible cultural heritage  
<https://ich.unesco.org/en/ethics-and-ich-00866>
  - Overall results framework  
<https://ich.unesco.org/en/overall-results-framework-00984>
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## General

- Materials developed by UNESCO under the Convention's global capacity programme  
<https://ich.unesco.org/en/capacity-building%20materials>
  - Kit of the Convention for the Safeguarding of the Intangible Cultural Heritage  
<https://ich.unesco.org/en/kit>
  - Sustainable development toolbox  
<https://ich.unesco.org/en/sustainable-development-toolbox-00987>
  - Teaching and Learning with Living Heritage: a Resource kit for Teachers  
<https://ich.unesco.org/en/resources-for-teachers-01180>
  - Living heritage and indigenous people  
<https://ich.unesco.org/en/indigenous-peoples>
  - Operational principles and modalities for safeguarding intangible cultural heritage in emergencies  
<https://ich.unesco.org/en/operational-principles-and-modalities-in-emergencies-01143>
  - Living heritage in the face of COVID-19  
<https://ich.unesco.org/en/living-heritage-and-the-covid-19-pandemic-01179>
  - Interactive platform Dive into intangible cultural heritage  
<https://ich.unesco.org/en/dive>
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## International Assistance

- Forms page to download the different forms, detailed instructions and *aide-memoire*  
<https://ich.unesco.org/en/forms>
  - Webpage on requesting International Assistance  
<https://ich.unesco.org/en/requesting-assistance-00039>
  - International Assistance granted  
<https://ich.unesco.org/en/project>
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## Additional resources

- Sustainable Development Goals  
<https://sdgs.un.org/goals>







**unesco**

**Living Heritage Entity**

Culture Sector

United Nations Educational, Scientific and Cultural Organization

7, place de Fontenoy, 75007 Paris

+33(0)145682402

E-mail: [ich-assistance@unesco.org](mailto:ich-assistance@unesco.org)

<https://ich.unesco.org>