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**UNITED NATIONS EDUCATIONAL, SCIENTIFIC
AND CULTURAL ORGANIZATION**

**CONVENTION CONCERNING THE PROTECTION OF
THE WORLD CULTURAL AND NATURAL HERITAGE**

WORLD HERITAGE COMMITTEE

Thirty-sixth session

**Saint Petersburg, Russian Federation
24 June – 6 July 2012**

**Item 5 of the Provisional Agenda: Reports of the World Heritage Centre and
the Advisory Bodies**

**5A: Report of the World Heritage Centre on its activities and the
implementation of the World Heritage Committee's Decisions**

**INF.5A.3: Progress Report on the implementation of the recommendations
by the External Auditor on the 2009 audit of the World Heritage Centre**

SUMMARY

Further to Decision **35 COM 5C** adopted by the World Heritage Committee at its 35th session (UNESCO, 2011), the World Heritage Centre pursued the implementation of the recommendations and prepared this information document to provide an update on the 2009 audit of the World Heritage Centre by the External Auditor.

I. BACKGROUND

1. In December 2009, the External Auditor conducted an audit of the UNESCO World Heritage Centre (WHC) focusing mainly on “the organization of the Centre, its financial and human resources, its financial situation and the execution of its missions to implement the *World Heritage Convention* from 2007 to 2009”.
2. The audit report was presented to the World Heritage Committee at its 34th session (Brasilia, 2010) in Document *WHC-10/34.COM/5G*. As a result, the World Heritage Committee took the Decision **34 COM 5G** and requested the World Heritage Centre to implement all recommendations made by the External Auditor.
3. Subsequently, the World Heritage Centre presented at the 35th session of the World Heritage Committee (UNESCO, 2011) a report on the progress achieved in the implementation of the recommendations of the External Auditor in Document *WHC-11/35.COM/5C*. This document provided information on the status of the 15 recommendations of which nine recommendations were already “implemented”, meaning that the measures have been taken to fully respond to the recommendation of the External Auditor.
4. Among the six other recommendations, which were “in the process of being implemented”, the World Heritage Committee in its Decision **35 COM 5C** particularly requested the World Heritage Centre, in collaboration with the UNESCO Internal Oversight Service (IOS), to prepare an audit plan on the Centre for the consideration of the 18th General Assembly of States Parties to the *Convention* in October 2011.
5. Accordingly IOS presented *Document WHC-11/18.GA/9* at the 18th session of the General Assembly of States Parties, which took note in its Resolution **18 GA 9** of the IOS Audit Plan for the World Heritage Centre for 2012.
6. IOS is conducting a risk-based audit of the World Heritage Centre. This includes (i) assessing internal controls and validating through audit testing the control self-assessment performed by the Centre, (ii) taking stock prior studies, audits and evaluations as well as the implementation of all recommendations made since 2007 and (iii) reviewing the financial model of the Centre including source and use of funds. The audit is currently being finalized by IOS.
7. In the present document, the World Heritage Centre reports on the implementation of the recommendations of the External Auditor in accordance with Decision **35 COM 5C** of the World Heritage Committee.

II. REPORT ON PROGRESS ACHIEVED IN THE IMPLEMENTATION OF THE RECOMMENDATIONS OF THE EXTERNAL AUDITOR AS AT 30.04.2012

#	Recommendation	Proposed actions	Timetable	Expected results
1	Maintain a reasonable balance between the permanent financial and human resources and external/temporary ones, which have allowed the Centre to expand its activities over the last ten years.	The recommendation is implemented through the planning of the needs of the World Heritage Centre and in particular reported in the document on the budget provided to the World Heritage Committee. The balance between the workload and the resources available is maintained thanks to the reflection carried out by the World Heritage Centre, which is shared with the World Heritage Committee, notably during the Working Group on the budget. It is true that the resources are insufficient - be it human or financial resources, and this is why the World Heritage Committee, in its Decision 35 COM 15B Part II § 10, noted "that the resources of the World Heritage Fund have not kept pace with the increasing workload under the <i>Convention</i>." The workload is indeed increasing, but it is also varying and specific due to the nature of the areas of activities. This is why the World Heritage Centre has to depend on the mobilization and use of extrabudgetary resources to respond to specific needs by using specific expertise. This is even more the case given the current situation of the Organization. Obviously a good management is accompanied by a constant review of the resources and this follow-up is also undertaken by the World Heritage Committee.	Recommendation implemented	A better balancing of the workload and the financial and human resources available.

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2	Consolidate and streamline cooperation with other United Nations institutions and programmes around a small number of themes.	The World Heritage Centre has strengthened its cooperation with other United Nations agencies, in particular for Historic Urban Landscape, Biodiversity, etc. To illustrate these examples: UN-Habitat, UNEP, and UNDP have contributed to the drafting of the new UNESCO recommendation on the Historic Urban Landscape. Moreover, the <i>World Heritage Convention</i> being one of the six Conventions relating to biodiversity, the World Heritage Centre participates actively in the Liaison Group for Biodiversity and has notably prepared the common statement presented by the CITES Secretary General at the High-Level Segment of COP 10.	Recommendation implemented	Cooperation strengthened within the United Nations system around themes such as Historic Urban Landscape, Biodiversity, etc.
3	Carry out audits on the organization, activities or finances of the Centre according to an established timetable.	IOS presented its Audit Plan for the World Heritage Centre for 2012 at the 18th session of the General Assembly of States Parties to the <i>Convention</i> (Document <i>WHC-11/18.GA/9</i>) as requested by the World Heritage Committee in its Decision 35 COM 5C . The periodicity of audits being under the responsibility of the Governing Bodies (World Heritage Committee, General Assembly of States Parties to the <i>Convention</i> , Executive Board and General Conference of UNESCO) the General Assembly of States Parties in its Resolution 18 GA 9 took “note of the IOS Audit Plan for the World Heritage Centre for 2012”, which allows to consider this recommendation as closed.	Recommendation implemented	Audit plan presented to the General Assembly of States Parties to the <i>Convention</i> .
4	Ensure transparency in the recruitment process.	The World Heritage Centre follows UNESCO regulations and procedures as regards recruitment. Indeed, the vacant posts, which have been filled in 2010/2011 for the World Heritage Centre, have been selected respecting the announcement procedure and competition of candidatures in a fair, open, transparent manner and in accordance with the criteria of efficiency, competence, integrity and adequacy as regards the post requirements.	Recommendation implemented	UNESCO regulations and procedures concerning recruitment enforced.

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5	Engage in reflection so as to develop a clear, long-term and shared vision (WHC-ADG/CLT-HRM-BB-IO) of the human resources and core skills needed to implement the World Heritage safeguarding strategy as well as the funding sources to mobilize.	The strategic part of this recommendation has been covered within the evaluation of the Partnerships for Conservation Initiative (PACT). Moreover, as requested by the Committee in Decision 35 COM 5A § 8, the new strategy for the PACT Initiative, aiming at mobilizing additional resources, is now presented in Document <i>WHC-12/36.COM/5A.2</i> for the Committee's consideration. The part related to staffing, recruitment and training has been implemented by the World Heritage Centre through the planning of its needs via C/5 preparation, SISTER, PerfoWeb and other monitoring processes, including the Document on the budget presented to the World Heritage Committee. A webpage on the World Heritage Centre Intranet has been developed for staff training and capacity building. The recommendation is implemented on these two parts.	Recommendation implemented	A better balancing of the workload and the financial and human resources available.
6	Seek more balanced distribution of the staff in the "Professional" category.	In conformity with UNESCO Staff Regulations, the recruitment of the World Heritage Centre's staff is performed on "as wide a geographical basis as possible", respecting the "highest standards of efficiency, competence and integrity". In addition, vacancy notices for professional posts are henceforth posted on the World Heritage Centre site, linked to the UNESCO site to broaden dissemination. Finally, in conformity with Staff Regulations, the final decision to appoint of professionals lays with the Director-General.	Recommendation implemented	UNESCO regulations and procedures concerning recruitment enforced. Vacancy notices for professional posts posted on the World Heritage Centre site.
7	Ensure that the World Heritage Centre introduces a results-based management approach in its programming documents (C/4 and C/5) fully consistent with the methodology used by the Organization.	The World Heritage Centre is an integral part of the UNESCO Programme and Budget. In this respect, it is obliged to apply the results-based management (RBM). The different components of the RBM (expected results, performance and reference indicators) are formalised in the SISTER tool. To improve the quality of the information provided, the World Heritage Centre encourages its staff to follow training programmes proposed by the Bureau of Strategic Planning (BSP). The World Heritage Centre's staff members have participated in training workshops or courses in respect of results-based management.	Recommendation implemented	Results-based management applied in programming documents.

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8	Centralise all calls for funds in the Bureau of the Comptroller.	Consultations were held between the World Heritage Centre and the Bureau of Financial Management (BFM) in this respect. As a result, letters for calls for funds are prepared by the World Heritage Centre, verified and signed by BFM before being sent to the States Parties, as was the case for the 2011 and 2012 letters.	Recommendation implemented	Calls for funds centralised with the Bureau of Financial Management of UNESCO.
9	Provide better information combined if necessary with training for project managers in the project management under FABS.	In order to further structure extrabudgetary projects, the World Heritage Centre has created the WBS (Work Breakdown Structure) Elements to facilitate reporting on these projects. New projects managed by the World Heritage Centre contain these elements.	Recommendation implemented	Project managers better informed due to WBS Elements.
10	Establish, in cooperation with the Bureau of the Budget and the Bureau of the Comptroller, consolidated financial information on the three funding sources, in accordance with a framework provided by the Committee and using a nomenclature (by function and nature) compatible with the Organization's financial and budgetary system. With regard to extrabudgetary funds, prepare a multi-year management chart that shows, year after year, new obligations, funds collected and the amount of outstanding funds. Provide this information each year to the Committee.	Numerous consultations have been held between the World Heritage Centre and BFM, which lead to the presentation of the consolidated financial statement on all three funding sources of the World Heritage Centre to the 34th session of the Committee (Document <i>WHC-10/34.COM/16</i>). In its Decision 34 COM 16 (Brasilia, 2010), the World Heritage Committee, taking note of Recommendation 10 of the report of the External Auditor, "notes with satisfaction that for the first time the Secretariat has, in collaboration with UNESCO Central Services, submitted consolidated financial information on all three funding sources." Since 2010 the work on the consolidated financial information on all three funding sources has been pursued together with BFM.	Recommendation implemented	Consolidated financial information from the three funding sources certified by BFM.

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11	Make the necessary arrangements to make it possible to calculate, in consultation with the Bureau of the Budget, if necessary, carrying out a small scale trial, the overall cost of implementation of projects, with a view to integrating all the direct and indirect costs of a project.	The World Heritage Centre applies the policy in force within the Organization relating to the calculation of total costs for projects (cost-recovery policy). It should be noted that in order to minimize complications of reallocation of indirect costs, it has been decided to adopt an approach aiming at directly imputing the quasi-totality of costs to the projects. In this way, the impact of remaining indirect costs relating to the projects will not be significant.	Recommendation implemented	Cost-recovery policy applied.
12	Further this analysis through the audit requested by the General Assembly of States Parties at its 17th session.	The independent evaluation of the implementation of the Global Strategy and the Partnerships for Conservation Initiative decided by the General Assembly was carried out from December 2010 to March 2011 and enabled to further discuss this analysis. The Final report on the independent evaluation by the UNESCO External Auditor was presented to the 35th session of the World Heritage Committee and in Working Document <i>WHC-11/18.GA/8</i> and Information Document <i>WHC-11/18.GA/INF.8</i> to the 18th session of the General Assembly of States Parties. As a result, 25 recommendations were made for the Global Strategy and 9 for PACT. Some of the recommendations have already been implemented and others are in progress. In this respect an Open-Ended Working Group has been established by Resolution 18 GA 8 of the 18th session of the General Assembly of States Parties. Its first meeting (15-16 May 2012) aims to discuss the follow-up to the above-mentioned independent evaluation. This Working Group has in particular reviewed the priorities of the implementation of the recommendations and its report will be presented at the 36th session of the World Heritage Committee in June-July 2012.	Recommendation implemented	Analysis on overseeing the financial resources of the World Heritage Centre conducted.
13	In the forthcoming evaluation of the <i>reinforced monitoring mechanism</i> , clearly define the modalities for disseminating and discussing the more frequent reports, which are the point of this procedure.	The evaluation of the Reinforced Monitoring Mechanism has been presented to the World Heritage Committee at its 35th session (UNESCO, 2011) in Document <i>WHC-11/35.COM/7.2</i> . The World Heritage Committee in its Decision 35 COM 7.2 § 8 requested “the World Heritage Centre and the Advisory Bodies to report on actions taken under the Reinforced Monitoring Mechanism, in the context of the State of Conservation reports”. Thus these reports are included under Agenda Item 7A.	Recommendation implemented	Under the Reinforced Monitoring Mechanism, modalities clearly defined for disseminating and discussing the more frequent reports.

#	Recommendation	Proposed actions	Timetable	Expected results
14	Seek to draw up with actors concerned documents setting out good practices to be observed with regard to activities planned within the World Heritage sites, their buffer zone or the ecosystem in which they lie.	The World Heritage Committee in its Decision 35 COM 12D § 7 requested “the World Heritage Centre, with the support of the Advisory Bodies, (...) to explore ways of recognising and rewarding best practice through a one-off initiative at the closing event of the 40th anniversary of the <i>World Heritage Convention</i> (November 2012, Japan).” As a follow-up to this decision, in December 2011 the World Heritage Centre invited States Parties to participate in this initiative by proposing World Heritage properties in their country that they regard as an example of successful and sustainable management. Best practices were considered those that are tried, tested and applied in different situations and in a wider context. A selection committee, composed of experts proposed by the regional groups, representatives of the Advisory Bodies and the World Heritage Centre, will examine the submissions and select those entries that best demonstrate successful and sustainable management. A representative of each of the selected World Heritage properties will be invited to attend the closing event of the 40th anniversary in Kyoto, Japan, and will be presented with a certificate of recognition. The selected best practices will be shared through the <i>World Heritage Convention</i> website and widely promoted through World Heritage Centre communication materials. The World Heritage Series set out good practices “with regard to activities planned within the World Heritage sites” in consultation with the actors concerned. In the past three years the World Heritage Centre published and disseminated monographs on a number of priority themes such as Buffer Zones (N.25), Cultural Landscapes (N.26), Historic Cities (N.27), Marine Sites (N.28); Human evolution-related properties (N.29), Forests (N.30), etc., as it is the case for the World Heritage review (tourism, water, indigenous people, only in the latest issues). Two published World Heritage Resource Manuals “Preparing World Heritage Nominations” and “Managing Disaster Risks for World Heritage” contain considerable materials that refer to good practices, in relation to the topic of the Manual.	Recommendation implemented	Recognition and reward of best practice through the one-off initiative implemented.

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		<i>(Continuation and end of the proposed action relating to Recommendation 14)</i> A publication showcasing good practices in the management of World Heritage properties with specific regard to their contribution to sustainable development is being developed by the World Heritage Centre. The publication, which will include some twenty case-studies from all regions of the world, is expected to be released at the 40th anniversary closing event in Kyoto, Japan in November 2012.		
15	Systematically include a reference to tourism in the management plan to be attached to the nominations for inscription on the World Heritage List. Require site managers to gather and present annually information on the number of visitors to the sites and on the resources derived from them. Supplement to this effect the <i>Operational Guidelines</i> for implementing the World Heritage Convention.	The World Heritage Committee has requested the World Heritage Centre “to organise a new and inclusive programme on World Heritage and Sustainable Development” and “outline the objectives and approach for the implementation of this programme” for its 35th session in 2011 (Decision 34 COM 5F.2, Brasilia 2010). The programme development process has been led by a Steering Group comprised of States Parties, Advisory Bodies and UNWTO. An Expert Meeting was held in Switzerland in October 2011. A consultation by all States Parties took place February-March 2012. The World Heritage Centre will present the Programme to the World Heritage Committee for adoption at its 36th session in June 2012. See Document <i>WHC-12/36.COM/5E</i>.	Recommendation implemented	New inclusive programme on World Heritage and sustainable tourism developed and adopted by the World Heritage Committee.