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WHC-97/CONF.208/5  
Paris, 28 November 1997  
Original: English

UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION

CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL  
AND NATURAL HERITAGE

WORLD HERITAGE COMMITTEE

Twenty-first session

Naples, Italy

1 - 6 December 1997

**Item 5 of the Provisional Agenda: Report on the work of the Committee's Consultative Body on the overall management and financial review of the administration of the World Heritage Convention**

#### SUMMARY

At its twentieth session the World Heritage Committee requested a Financial Audit of the World Heritage Fund for the year ending 31 December 1996 and a Management Review of the World Heritage Convention. Furthermore, the Committee established a Consultative Body "to take action on the proposal adopted by the Committee, to undertake a review of the way in which the World Heritage Centre has assisted the Committee in implementing the World Heritage Convention".

The document refers to all relevant documents on the above mentioned subject (all of which are made available to the twenty-first session of the World Heritage Committee), and includes three annexes:

- Annex A**      **Report of the Management Review Workshop, 30-31 October 1997**
- Annex B**      **Report of the External Auditor to the Director-General of UNESCO on the Management Review of the World Heritage Convention, November 1997**
- Annex C**      **Comments of the Director-General "Report of the External Auditor to the Director-General of UNESCO on the Management Review of the World Heritage Convention"**

## 1. Introduction

At its twentieth session, the World Heritage Committee unanimously decided that:

“in the framework of the commemoration of the twenty-fifth anniversary, the World Heritage Committee undertakes a review on the way in which the Centre has assisted the Committee in the implementation of the Convention. This review is to consist of two parts: (a) an external audit specifically of the World Heritage Fund (Article 6.3 of the Financial Rules of the Fund) and an evaluation of the format, presentation and content of the financial information and the budgets presented to the Committee covering all the funds used by the Centre and made proposals to improve the financial system; (b) an audit of the management of the World Heritage Centre after five years of functioning so as to see the achievements and ways in which to improve its management structure and system.

This evaluation would be undertaken in 1997 so as to formulate recommendations to the Committee at its next session (twenty-first) and will be carried out by the constitution of a consultative body and the recruitment of an independent management advisory service of international repute, to carry out this evaluation according to the terms of reference elaborated by the consultative body. It will be financed from the World Heritage Fund (funds proposed for the celebration of the twenty-fifth anniversary) and the consultative body would be composed of Committee delegates (Report of the Rapporteur, Twentieth session of the World Heritage Committee, Merida, Mexico, Section XIII.12).”

## 2. Consultative Body

Membership of the Consultative Body is shown in Table 1.

**Table 1: Members of the Consultative Body**

<b>Australia</b>	<b>Japan</b>
<b>Benin</b>	<b>Lebanon</b>
<b>Canada</b>	<b>Malta</b>
<b>France</b>	<b>Mexico</b>
<b>Italy</b>	

As of 28 November 1997, four meetings of the Consultative Body have taken place (see Table 2). At the first meeting, which took place during the twentieth session of the Committee, the purpose of the Consultative Body, and the objectives of a financial audit and management review were defined (see "Management Review of the World Heritage Centre", Section XIII.12 of WHC-96/CONF.201/21)

The fourth meeting of the Consultative Body took the form of a Management Review Workshop and involved the participation of the External Auditors and the staff of the World Heritage Centre.

**Table 2: Consultative Body Meetings, December 1996 to 31 October 1997**

<b>DATE</b>	<b>DOCUMENT</b>
20th session, World Heritage Committee, December 1996	"Management Review of the World Heritage Centre", Section XIII.12 of WHC-96/CONF.201/21
1 - 2 April, 1997	Annex VIII.3 of WHC-97/CONF.208/4A
20 June 1997	Annex VIII.4 of WHC-97/CONF.208/4A
30 - 31 October 1997	<b>Annex A</b> of this document, WHC-97/CONF.208/5

In addition, a progress report by the Consultative Body was discussed at the twenty-first session of the World Heritage Bureau (see Section VII of WHC-97/CONF.208/4A).

### **3. Financial Audit of the World Heritage Fund for 1996 and Management Review of the World Heritage Centre**

#### **(a) Financial Audit of the World Heritage Fund for 1996**

The Financial Audit of the World Heritage Fund for the year ended 31 December 1996 requested by the World Heritage Committee at its twentieth session was undertaken by the Auditor General of Canada and completed in June 1996. The Report of the External Auditor and the written comments of the Director-General of UNESCO on the report were presented to, and discussed by, the Bureau of the World Heritage Committee at its twenty-first session in June 1997 (see Table 3).

**Table 3: Documents relating to the Financial Audit of the World Heritage Fund for 1996**

	<b>DOCUMENT</b>
Report of the External Auditor	Annex VIII.1 of WHC-97/CONF.208/4A
Written comments of the Director-General of UNESCO	Annex VIII.2 of WHC-97/CONF.208/4A
Discussion by the Bureau	Section VII of WHC-97/CONF.208/4A

#### **(b) Management Review of the World Heritage Convention**

The Management Review of the World Heritage Convention requested by the World Heritage Committee at its twentieth session was also undertaken by the Auditor General of Canada, between September and November 1997. The report of the Management Review and the written comments of the Director-General of UNESCO are both included as annexes to this document (see Table 4).

**Table 4: Documents relating to the Management Review of the World Heritage Convention**

	<b>DOCUMENT</b>
Report of the External Auditor to the Director-General of UNESCO on the Management Review of the World Heritage Convention	<b>Annex B</b> of this document, WHC-97/CONF.208/5
Comments of the Director-General	<b>Annex C</b> of this document, WHC-97/CONF.208/5

## **ANNEX A**

**Paris, 31 October 1997**  
**Original: English**

### **CONSULTATIVE BODY ON THE OVERALL MANAGEMENT AND FINANCIAL REVIEW OF THE ADMINISTRATION OF THE WORLD HERITAGE CENTRE**

**Management Review Workshop**  
**UNESCO Headquarters, Paris, Room XVI (Miollis)**

**30-31 October 1997**

Following the Progress Report by the Committee's Consultative Body on the Overall Management and Financial Review of the Administration of the World Heritage Centre presented to the twenty first session of the Bureau, a Management Review Workshop was held on 30-31 October 1997 in Paris.

In attendance were the countries members of the Consultative Body, World Heritage Centre staff, representatives of the Cultural and the Science and the External Auditor. Although they had been invited, no representatives of ICOMOS, ICCROM and IUCN were present. The Australian representative, Ms Sharon Sullivan, served as moderator for the first day.

The Auditor's report on the management of the WHC being unavailable, and the Auditor being legally unauthorized to reveal the content of her report before its presentation to the Director General of UNESCO, the workshop proceeded with the identification of areas of concern, areas for improvement and potential strategies to overcome them. The summary of this constructive discussion is given in Annex I. The Consultative Body members are aware that the results of this short exchange session between the Centre's staff and the Consultative Body members cannot be as exhaustive as the External Auditor's Report.

The second day, the Advisory Body assisted by the appropriate WHC and UNESCO staff, tackled issues of the proper use of the World Heritage logo, fund-raising activities and promotional activities.

The use of the logo:

The WHC presented a document offering alternatives for the revision of the *Operational Guidelines for the Implementation of the Convention* with regard to the use of the emblem. The proposal contained suggestions for a proper process for approval of the use. It was felt that what was needed in fact were guidelines that the WHC could follow and, based on these guidelines, the Director of the Centre could, if it is the wish of the Committee, approve himself the use of the logo.

The Consultative Body then proceeded to give advice on which areas should be covered by the guidelines. For example, the guidelines should cover not only the proper use of the emblem for all media (written, audio-visual and electronics) but also all other potential uses such as events, buildings, publicity, etc.

The Consultative Body invited the Centre to prepare a written proposal for the next Consultative Body meeting. Lebanon and Canada volunteered to provide written suggestions to the Centre.

#### Quality Control:

The quality control of the content of information provided through all forms of media was raised, and the Centre has been invited to make proposals in writing in this regard.

It was strongly agreed by the members of the Consultative Body that quality should be preferred to quantity and that Member countries should retain full control over the content of texts and pictures related to the sites situated on their territories.

#### Fund Raising:

With regard to the fund-raising issues, it was agreed that the "*Internal Guidelines for Private Sector Fund-Raising in Favour of UNESCO*" could be adopted by the Committee as its own guidelines for fund-raising in favour of the World Heritage Fund.

#### Next Meeting:

The Consultative Body will have its next meeting in Naples, Italy, 27 November 1997 during the afternoon.

## WORLD HERITAGE CENTRE

Given limited number of opportunities for interaction with the WH Committee

- increasing workload
- limited funds
- obliged to apply UNESCO internal rules and regulations

Areas of concern	Areas for improvement	Strategies
<ul style="list-style-type: none"> <li>· Confusion about roles and responsibilities for the Centre and Committee</li> <li>· Tension between day-to-day operation by the Centre and twice yearly work by the Bureau/Committee</li> <li>· Limited funds</li> <li>· More promotion needed</li> <li>· Time constraints (e.g. nominations, monitoring)</li> <li>· Requirements for financial reporting (yearly for the Fund and biennially for UNESCO's budget)</li> <li>· Staff imbalance across issues (regional; cultural heritage vs natural heritage; education; monitoring)</li> <li>· Management problems</li> </ul>	<ul style="list-style-type: none"> <li>· Better use of General Assembly of States Parties (not just election of the Committee)</li> <li>· Centre to stir (lead) using more the network</li> <li>· Centre to manage its resources - Committee to give strategic directions</li> <li>· Re-engineer the processes (emphasis on more technical activities)</li> <li>· Involve international assistance</li> <li>· Work for both States Parties and the Centre (for States Parties to implement promotion campaigns and for the Centre to do more work on quality control)</li> <li>· Improve access to expertise (IUCN, ICOMOS)</li> <li>· Rationalize the reporting</li> <li>· Better communication with all WH players</li> <li>· More work on involving local communities</li> <li>· More work on Global Strategy</li> <li>· Promotion needs vision</li> <li>· Support for Centre's activities by the Committee</li> <li>· Information provided to Committee - more brevity and clarity</li> <li>· Less hierarchy - more teamwork</li> <li>· Promote the Convention to countries not yet signatories</li> </ul>	<ul style="list-style-type: none"> <li>· Strategic Plan with clear roles and responsibilities</li> <li>· Revisit the 1992 Strategic Directions, and develop operational plan with indicators to measure success of implementation</li> <li>· Better understanding by the States Parties of the Centre's dual role (accountable to the Director General and the WH Committee)</li> <li>· Better use of the Guidelines</li> <li>· Information management strategy</li> <li>· Make information public (Internet) - seek greater retrieval by users</li> <li>· Better coordination within the Centre</li> <li>· Support for local community project</li> <li>· Enhanced role for IUCN and ICOMOS</li> <li>· Confidence building process between all players</li> </ul>

**REPORT OF THE EXTERNAL AUDITOR  
TO THE DIRECTOR-GENERAL OF UNESCO  
ON THE MANAGEMENT REVIEW OF  
THE WORLD HERITAGE CONVENTION**

**NOVEMBER 1997**



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## Summary

1. At the request of the Director-General of UNESCO and the World Heritage Committee, we undertook a review of the efficiency and effectiveness of management practices for the implementation of the World Heritage Convention. Many of the individuals we talked to - representatives of States Parties, UNESCO staff members and other parties - expressed the view that our recommendations should be seen as providing a blueprint for future direction in the implementation of the Convention rather than a criticism of existing practices.
2. With this in mind, we examined four areas: strategic direction; the processes in place for implementing the Convention; management practices in the World Heritage Centre which serves as the Secretariat of the Convention; and roles and responsibilities within UNESCO for world heritage activities in general.
3. Strategic Direction. In 1992, the World Heritage Committee developed a strategic orientations paper on the occasion of the twentieth anniversary of the Convention. It was an important document that laid out an action plan for the future implementation of the Convention. However, the direction was not sustained and the goals were not fully implemented. It is important that the Committee update and sustain this direction.
4. Implementing the Convention. There is room for improving existing processes for implementing the Convention. The efficiency and effectiveness of the Committee structure and operating procedures require streamlining, particularly in the cycle of meetings. There are continuing gaps and imbalances in the nomination and inscription process, as well as work planning and quality control problems. There is a need to set strategic priorities for the World Heritage Sites in Danger. Reactive monitoring of sites needs better co-ordination and documentation. Management of international assistance needs focus and streamlining.
5. Management of the World Heritage Centre. It is time to clearly define the Centre's role and to concentrate and consolidate its large span of activities. There is an urgent need to streamline the management of information - archival, financial, administrative and personnel - and to maintain reliable and up-to-date data bases. Without such information, the Centre cannot develop adequate operational and work plans, performance measures and procedures for the allocation of resources and activities.
6. Co-operation for world heritage activities within UNESCO. It is important that roles and responsibilities for world heritage activities be more clearly understood and better co-ordinated. There is a need for a more strategic approach for co-operating with international organizations.

## **Background**

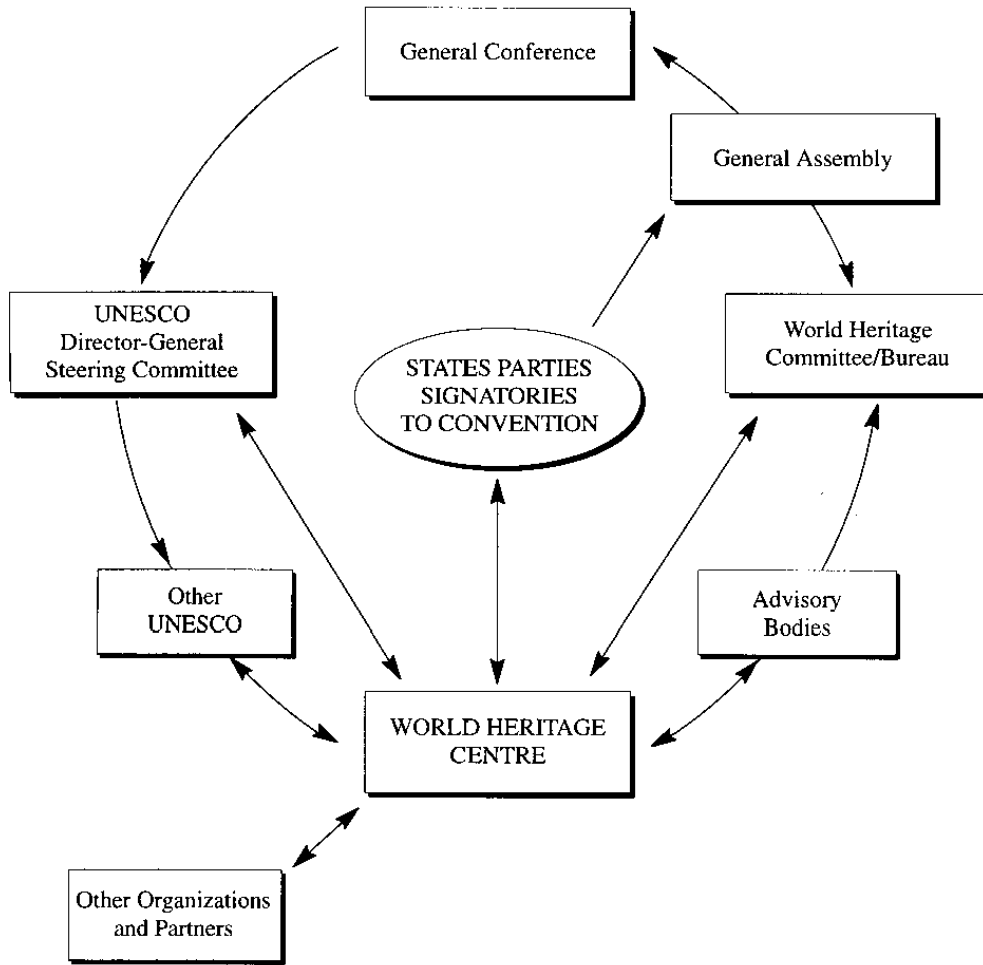
7. In 1972, UNESCO's General Conference adopted an international treaty called the *convention concerning the protection of the world cultural and natural heritage*. Its primary purpose is to define and conserve the world's heritage, by drawing up a list of sites whose outstanding values should be preserved for all humanity and be protected through a close co-operation among nations. Today over 150 nations (States Parties) are members of the Convention and some 500 sites have been designated as World Heritage sites.
8. The World Heritage Committee, an intergovernmental body composed of 21 representatives from the States Parties, has responsibility for all decisions with regard to the implementation of the Convention. For instance, the Committee, which meets once a year, has the final say on whether a site is accepted for inscription on the World Heritage List. It examines reports on the state of conservation on listed sites. It is also responsible for budgetary and financial matters and approving funds for such matters as sites in need of repair, emergency action, technical assistance and training. Seven members of the Committee make up the World Heritage Bureau that meets twice a year to prepare the work of the Committee.
9. The Convention also provides for scientific advice to be provided by three advisory bodies; International Council for Monuments and Sites (ICOMOS); World Conservation Union (IUCN); and Intergovernmental Centre for the Study of the Preservation and Reservation of Cultural Property (ICCROM).
10. The day-to-day management of the Convention is the responsibility of the Convention's Secretariat, UNESCO's World Heritage Centre.
11. Exhibit 1 shows the complex interaction between the main parties in implementing the World Heritage Convention.

## **Terms of Reference**

12. At the request of the Director-General on behalf of the World Heritage Committee, in accordance with Article 12 of UNESCO's Financial Regulations, we were asked to undertake an examination in two stages.

**Exhibit 1: Complex Interaction Among Main Parties in Implementing the World Heritage Convention**

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\*Based on discussions and analysis of the Convention

The first stage was an audit of the 1996 financial statements of the World Heritage Fund, together with a report on financial matters. This was completed in June 1997 and reviewed by the Bureau.

14. The second stage of the work was to carry out a review of the management practices supporting the World Heritage Convention. This report represents the results of that review.

15. The text of the Director-General's request, together with additional questions raised by the Bureau at its June 1997 meeting, is summarized in Appendix I.

## **Scope and Approach**

16. In planning this review, we took into account all the suggestions made by the Director-General and the World Heritage Committee and Bureau, as well as the important comments made by members of the Consultative Body at its meetings in June and October 1997.

17. Our review was carried out in accordance with generally accepted assurance standards in Canada, conforming with international auditing standards and with the common auditing standards adopted by the Panel of External Auditors of the United Nations, the Specialized Agencies and the International Atomic Energy Agency. The review took place in Paris and was carried out in the period September to November 1997.

18. Our report is in four parts: strategic direction, implementation of the Convention, management activities within the World Heritage Centre, and roles and responsibilities within UNESCO for world heritage activities. Each of these sections explains the criteria we used to assess existing practices and procedures.

## **Observations and Recommendations**

### **Strategic Direction**

19. The World Heritage Committee needs to update and sustain the strategic direction. We examined how the document "Strategic Orientations for the Future" adopted by the Committee in 1992 had been implemented and sustained. We looked at the completeness and comprehensiveness of the document, whether responsibilities for the implementation had been assigned, with specific time horizons and systematic reporting, and what follow-up mechanisms were in place to ensure the implementation of the strategic goals.

20. The 1992 strategic direction was an important document that laid out an action plan for the future implementation of the Convention. The World Heritage Committee adopted goals, objectives and recommendations outlined in the document entitled "Strategic Orientations for the Future" on the occasion of the twentieth anniversary of the Convention in 1992. This document was the result of discussions of an expert group, an evaluation report and a study.

**The Committee recognized that the document provided strategic orientations for the future. It also made recommendations directed at all parties responsible for the implementation of the Convention, namely the States Parties, the World Heritage Committee, the advisory bodies and the World Heritage Centre. (See Appendix II for the full text of the goals and objectives.)**

21. The strategic direction has not been sustained and the 1992 goals have not been fully implemented. **While the Committee had taken a keen interest in the process leading up to the development of the 1992 Strategic Orientations, there has been little in the way of systematic follow-up, with the result that many of the document's goals and objectives have not been achieved.**

22. **Although there are some linkages between specific strategic goals and particular agenda items discussed by the Committee, e.g. Progress on Global Strategy, there is little evidence that the Committee adopted a proactive and systematic approach in following up on implementation of the 1992 strategic document, or that such a follow-up was delegated to another party.**

23. **The only systematic effort to review this document was initiated by the Secretariat itself, which at the meeting of the Committee in Merida in 1996 presented a review of the "Strategic Orientations for the Future", a self-assessment performed by the Centre against the goals and objectives of the 1992 document. This self-assessment did not cover or refer to the specific recommendations aimed at the various parties involved in implementing the Convention. The Secretariat asked the Committee to decide whether to proceed with a meeting of an expert group that would thoroughly review the implementation of the Convention and plan strategically for the future. The Committee did not support this proposal:**

The Committee concluded that it did not support neither a thorough review of the implementation of the Convention nor the drafting of a strategic plan for the future as proposed, and did not allocate the funding required for this purpose.

24. **It is an opportune time to reflect and consolidate. Twenty-five years after the Convention and five years after the creation of the World Heritage Centre, the implementation of the Convention warrants another investment in time and resources by the Committee to pause and take stock of past achievements, and to reflect on future orientations.**

25. **This exercise could be done using the 1992 strategic document as a starting point, although several gaps should be addressed. For instance, we noted that:**

- there was no articulation of a long-term vision (e.g. what will be the state of implementation of the Convention in 20 years?);
- the link between some of the objectives and the text of the Convention was not clear (e.g. Provision of support for circulation of exhibits on World Heritage Sites among States Parties to the Convention);
- some of the goals and objectives were not measurable;
- there was no statement of priorities;

- there was no delegation of responsibility for implementation;
- action plans and implementation times were not established, except for the amendment of the Operational Guidelines; and
- no mechanism was provided for follow-up.

26. **In our view, the Committee needs to know whether the Convention is being implemented effectively and to address key questions such as the following:**

- Is the Committee able to give a "report card" on how well the Convention has been implemented to date?
- Is the Committee aware of the important impacts, positive and negative, of the various activities carried out under the Convention?
- Are strategic priorities clearly expressed to allow adjustments in operational programming in the event of increases or decreases in budget?
- Should a more proactive role be adopted with regard to sites that are threatened? If yes, through what kind of action? How should roles and responsibilities in this regard be shared with the Culture and Science Sectors of UNESCO?
- Is the Committee able to ensure that the list of sites is "manageable" and will remain so over the short, medium and long term?

Strategic exercises require leadership and support from the Committee and the Centre.

### ***Recommendation***

27. The Committee should:
- **direct a Strategic Review exercise, fully supported by the Centre, using as a starting point a follow-up on the goals, objectives and recommendations adopted by it at the sixteenth session and contained in the 1992 document entitled "Strategic Orientations for the Future";**
  - **ensure that an updated strategic framework, containing as a minimum a vision, goals, objectives and short-, medium- and long-term action plans, be produced by December 1998 and systematically followed up through an action plan specifying accountable parties, time horizons and reporting mechanisms; and**
  - **adopt the review of the status of the strategic framework as a permanent item on its agenda.**

## Implementing the Convention

### Governing bodies

28. **We were asked to examine what changes could be made to improve the efficiency of the Committee and the Centre in fulfilling their respective roles under the Convention. Our comments on the role of the Centre are contained in the section of the report dealing with management of the activities of the World Heritage Centre.**

29. **The Convention, the Operational Guidelines and the Committee's own Rules of Procedures prescribe the roles and responsibilities of the Committee and the Bureau, their composition, the frequency of meetings and the Secretariat support to be provided by UNESCO.**

30. **The Committee's current structure and operating procedures may require change. During our review, several suggestions were made by Committee members, UNESCO staff and other expert observers for improving the efficiency of the Committee's work. Some of these comments were also discussed at the October 1997 meeting of the Consultative Body.**

31. **These observations and comments are:**

- **The growing number of " non-experts" on the Committee.**  
According to the Convention, representatives must be persons qualified in the field of cultural or natural heritage. The Committee members are increasingly persons without prime expertise in heritage. In 1992, 6 out of the 20 members present were non-experts; in 1996, 9 out of the 20 members were non-experts. Concern was expressed by most of the individuals we interviewed that this trend may adversely influence the nature of the debates and decisions, including examination of the technical issues. Some fear that there is increasing politicalization of the nomination and inscription process.
- **The importance of a balanced and consistent agenda that would ensure that the Committee fulfills its obligations under the Convention.** Observers of Committee meetings have noted great fluctuations over the years on time spent on nomination issues versus strategic issues, budget issues, and detailed micro-management issues. Some of the reasons cited are: the increasing number of the delegates attending the meetings which makes it more difficult to control; the individual leadership styles of the Chairs and their available time to devote to world heritage activities, which affects the Secretariat's ability to manage the agenda; and some Committee members' perception of the lack of timely and adequate support by the Centre in providing secretariat services. The lack of consistent time allocation means that discussion of nominations by the Committee and strategic planning may receive inadequate attention.
- **The infrequent use of sub-committee mechanisms which are permitted under the Convention to facilitate the efficiency of the Committee and Bureau meetings.** Most agenda items are now discussed in plenary, which can be very time-consuming.



Consideration should be given to the process followed by UNESCO's Executive Board as a model. The Board has a finance and administrative committee and a programme (technical) committee.

- **The perceived lack of clarity between the work of the Bureau and the Committee.** Several individuals commented on the blurring of agendas between the two meetings and felt that there could be a clearer delineation between the two work programs.
- **The need to examine the cycle of Bureau and Committee meetings.** Some observers (including members of the advisory bodies) and Centre professionals felt the cycle of meetings was too intense and left a minimum amount of time for other substantive work to be done. Suggestions were made to look at biennial meetings and reporting and to benchmark practices of other similar conventions. For example, the Conference of Parties of the UNESCO-managed Ramsar Convention on the Conservation on Wetlands meets every three years and has a standing committee that meets annually, assisted by a scientific and technical review panel. The Conference of the Parties of the Convention on the Conservation of Migratory Species meets every two to three years, and has also a standing committee and a Scientific Council structured in working groups. Similar set-ups exist for other UNESCO instruments such as its Management of Social Transformation Program, which has an Intergovernmental Council meeting every two years, assisted by a Steering Committee meeting every year. Changing the cycle of meetings or reporting would have to be balanced by the creation of models similar to the one followed by UNESCO's Executive Board.
- **The need for more interaction between Committee members and Centre staff.** The October 1997 workshop convened by the Consultative Body provided for a dialogue between Committee members and Centre staff. Staff viewed the interaction as successful and would like to see these discussions continued on a regular basis. In our view, this would help to alleviate the tensions that currently exist between the Committee and the Centre.
- **Possible savings if venue of meetings is changed.** Although there are advantages to holding Committee meetings outside of Paris, it is costly in terms of staff time and travel. A suggestion was made that Committee meetings could be held every two years in Paris and co-ordinated with the General Assembly of States Parties meeting.

In our view, it would be worthwhile for the Committee to examine these suggestions.

### ***Recommendation***

32. The Committee should examine whether its existing structure and operating procedures are still appropriate for today's environment and make any recommendations for improvement.

**Site listing and inscription**

33. **The following important functions relate to site designation and maintenance:**

- nomination and inscription of sites on the World Heritage List;
- managing the World Heritage in Danger List;
- monitoring and reporting on sites on the lists; and
- providing international assistance.

We expected that each of these functions would be delivered effectively and efficiently, and would comply with the Articles of the Convention. However, there is room for improvement in each of these areas.

34. There are continuing gaps and imbalances in the nomination and inscription process. **There are four steps to having a particular property added to the World Heritage List:**

1. The States Party must adhere to the Convention;
2. The States Party must submit a tentative list, an inventory of sites from which nominations may be made;
3. The States Party must nominate the site; and
4. The Committee must accept the nomination and inscribe the site on the World Heritage List.

35. **Of the 149 States Parties to the Convention in June 1997, less than half, i.e. 72/149, or 48 percent, had submitted in the proper format a tentative list of sites that could be nominated for inclusion on the World Heritage List.**

36. **Some key regions and types of sites are missing or have very little representation on the List as shown in Exhibit 2. There are sites of world renown that are currently missing from the List. Cultural sites, especially from North America and Europe, dominate the List.**

37. **The gaps and imbalances in the World Heritage List were recognized at an expert meeting on the List in 1994. The results were summarized as follows:**

- Europe is over represented in relation to the rest of the world.
- Historic towns and religious buildings are over-represented in relation to other types of properties.
- Christianity is over represented in relation to other religions and beliefs.
- Historical periods are over represented in relation to prehistory and the 20<sup>th</sup> century.

- "Elitist" architecture is over represented in relation to vernacular architecture.
- In more general terms, all living cultures - and especially the "traditional" ones, figure very little on the List.

38. **The distribution of nominations in 1997 is similar to the existing distribution of sites on the World Heritage List as shown in Exhibit 2. If anything, the emphasis on cultural sites from Europe and North America is even greater, with 47 percent of all nominations in 1997 versus 39 percent on the List as of 1996.**

**Exhibit 2: Distribution of Sites and Nominations by Category**

CULTURAL SITES	Number on List in 1996	Percent on List	Number of Nominations in 1997	Percent of Nominations
Africa	17	4%	0	0%
Arab States	49	13%	4	10%
Asia and the Pacific	68	18%	7	17%
Europe and North America	199	52%	27	63%
Latin America and the Caribbean	47	12%	4	10%
<b>Sub total</b>	<b>380</b>	<b>100% (75%)</b>	<b>42</b>	<b>100% (72%)</b>
<b>NATURAL SITES</b>				
Africa	28	26%	2	13%
Arab States	2	2%	0	0%
Asia and the Pacific	26	24%	4	27%
Europe and North America	36	34%	4	26%
Latin America and the Caribbean	15	14%	5	34%
<b>Sub total</b>	<b>107</b>	<b>100% (21%)</b>	<b>15</b>	<b>100% (26%)</b>
<b>MIXED SITES</b>				
Africa	1	5%	1	100%
Arab States	1	5%	0	0%
Asia and the Pacific	10	53%	0	0%
Europe and North America	4	21%	0	0%
Latin America and the Caribbean	3	16%	0	0%
<b>Sub total</b>	<b>19</b>	<b>100% (4%)</b>	<b>1</b>	<b>100% (2%)</b>
<b>TOTAL</b>	<b>506</b>		<b>58</b>	

Notes:

Totals may not add due to rounding. Percentages in parentheses for subtotals represent percentages of the grand total. Source: Presentation to World Heritage Bureau by the Director of the World Heritage Centre, June 1997.

39.

It is not clear where the imbalances are arising in the sequence of events leading to inscription. **Do they arise with the States Parties who choose to join, the preparation of tentative lists, the number of sites nominated, the evaluation by the advisory bodies, or the inscription decision by the Committee? The collection of sites nominated by States Parties in 1997 displays imbalances even before the nomination evaluation and inscription decisions.**

40. **The Global Strategy, an ongoing major initiative started in the 1990s, is intended to identify the gaps in the World Heritage List and the types of sites that are needed to redress the imbalance. It is not clear what impact the Strategy has had on the sites actually nominated. However, since 1995, efforts for implementing the Global Studies in sub-Saharan Africa can be measured: 50 percent of the States Parties have prepared tentative lists for cultural heritage and a calendar for nominations until 2001 has been prepared by a group of African States Parties.**

41. **During the nineties, the emphasis on cultural sites has actually been greater, as shown in Exhibit 3. On a regional basis the relative proportion of sites inscribed by region increased substantially for Europe and North America, from 41 percent pre-1992 to 59 percent post-1992. At the same time the proportion of inscriptions from Africa and the Arab States shrank from a combined proportion of 25 percent pre-1992 compared to 5 percent after 1992. We did not see any analysis of the sources of the imbalance on the World Heritage List.**

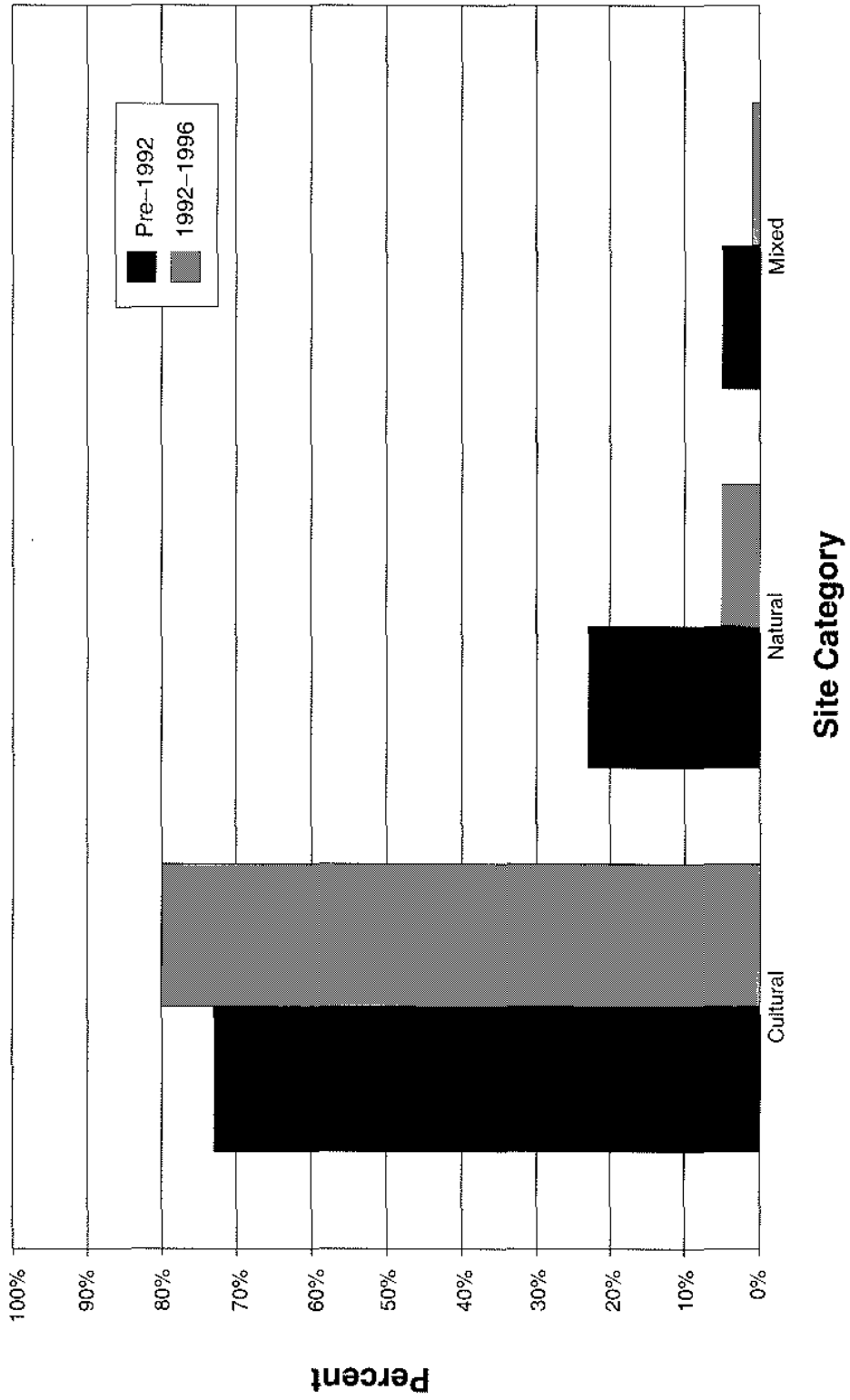
42. **The Draft Programme and Budget for UNESCO (1998-99) cites an expectation, "by the end of 1999, at least 20 States Parties will have drawn up tentative lists and 20 proposals will have been prepared for inclusion of sites originating from regions of the world, or relating to categories of sites, that are at present underrepresented on the List." Such explicit targets can be extremely useful in gauging performance. The implications of this target would be clearer if the target were put in the context of the number of tentative lists or sites that would be required to significantly affect the imbalance.**

#### ***Recommendation***

43. **The Committee should request that the Centre prepare an analysis of the sources of the imbalances in the World Heritage List and the list of sites being nominated, with a view to redress the imbalances in the nomination and inscription process. The analysis should include the effect of UNESCO and Centre interactions with regions and States Parties including missions to particular regions or countries, allocation of preparatory assistance, and allocation of funding for preparation of tentative lists. The Centre should also prepare a set of options that reflect their findings for discussion and decisions by the Committee.**

44. **Overall the nomination process works well, but there are concerns with work planning and quality control. The nomination and evaluation process is one of the main strengths of the Convention. The delegation of nomination evaluations to ICOMOS and IUCN allows for a relatively objective and independent assessment and frees the Committee and Centre from the political pressure that might be brought to bear.**

**Exhibit 3: Percentages of Sites Inscribed**



Source: World Heritage Centre Database

**The evaluation process for the two advisory bodies is similar and includes:**

- assembly of information on the site;
- external review of the nomination;
- field inspection of the site by experts;
- review by a panel of experts;
- preparation of the report to the Bureau; and
- final recommendations to the Committee that incorporate any changes to address issues raised by the Bureau or the States Parties.

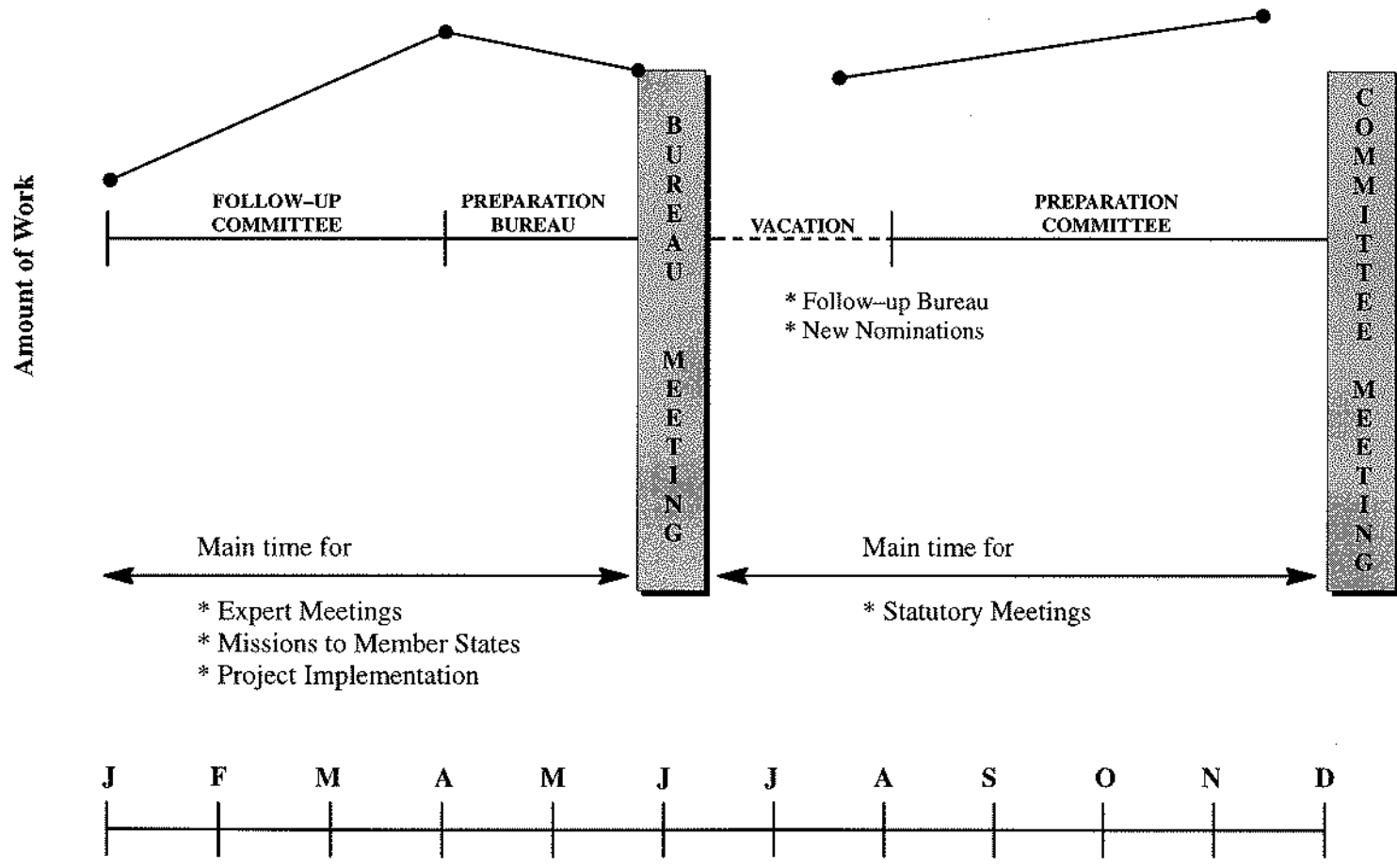
**46. The statutory governing body meetings under the Convention create a heavy load on the staff of the Centre and on the advisory bodies in the nomination evaluation process. The workload for the Centre peaks at certain times of the year rather than being distributed more or less evenly, as shown in Exhibit 4.**

**47. The Operational Guidelines dictate the time frames for both the Centre staff and the advisory bodies. We heard evidence that the workload is increasingly difficult to manage and creates problems for effective use of the available resources. Advisory bodies expressed concern that the nominations that the Centre transfers to the advisory bodies are sometimes late or incomplete. The fact that UNESCO and the Centre operate with reduced staff due to summer holidays contributes to this problem.**

**48. The timing of the site evaluations by the advisory bodies may also prevent an appropriate and timely assessment. For example, there are only a few months for site evaluations of natural sites in the high latitudes of the northern hemisphere because of winter conditions. Problems may arise elsewhere in the work flow. For example, at the meeting on 3 February, 1997, ICOMOS and IUCN signalled that they would have difficulty meeting the deadlines for the June 1997 Bureau meeting.**

**49. The risk with heavy workloads and tight time frames is that the Committee receives inappropriate or delayed information so that it makes a poor decision on listing, monitoring or delisting a site; or committing resources to a particular activity. Ironically, tight time frames may increase the amount of material to be prepared as documents must be corrected and addenda provided because of incomplete information.**

**50. In some cases, the Centre is not aware that nominations will be made and cannot plan accordingly. If the Operational Guidelines were revised to require advance notification of nominations from States Parties, this could allow more effective work planning.**



\* Based on information provided by World Heritage Centre staff.

Exhibit 4: Workload Revolves around Statutory Meetings

### *Recommendations*

51. The Committee should examine options for changing the timing of the nomination process or limiting the number of nominations considered each year.
52. The Committee should consider revising the Operational Guidelines for nominations and evaluations to enforce application of Article 11 paragraph 1 of the Convention requiring that all States Parties submit tentative lists for both cultural and natural heritage; and extend the time frames for nomination evaluations, preparation of evaluation summaries and consultation with States Parties, thereby providing for a "fast track" option in compelling cases. Any revisions should be done in consultation with the advisory bodies.
53. The Centre should consider preparing separate guides for different players and for different activities instead of revising all-inclusive Operational Guidelines. For example, the States Parties could receive a guide outlining the steps of the nomination process, the expectations for nomination submissions, and relevant deadlines. For the advisory bodies, these requirements could be incorporated into the contracts, possibly with a penalty for late submission.
54. Improved quality control of nomination submissions is needed. **Quality is controlled in the nomination process at two key points. First, the nominations from the States Parties are reviewed by the staff at the Centre before being passed to the advisory bodies. However, the level of involvement of Centre professional staff in the review of submissions is inconsistent. In some cases, there were significant gaps in the nomination documentation, such as a lack of a management plan and ill-defined boundaries.**
55. **A recent directive from the Director that requires desk officers to review each nomination file to identify deficiencies should help alleviate this problem. In our view, some missing information could be easily identified by a junior staff member who has experience with nomination files. Other deficiencies may require the expertise of more senior professional staff.**
56. **The second quality control point is when the final nomination evaluations are being prepared by the advisory bodies. The situation in which the advisory bodies have a monopoly on providing certain evaluations may create problems without appropriate safeguards. The current contracts with the advisory bodies put some checks in place by specifying how the evaluations should be carried out. However, specifying the inputs and the process does not necessarily guarantee a high-quality final product.**
57. **A clearer description of which criteria are being used and the specific values at the sites that meet those criteria would make it easier for the Centre and the Committee to evaluate the information used by the advisory bodies and the reasons for the recommendation made. This would also be beneficial in terms of subsequent monitoring.**
58. **In our view, the Committee needs to initiate a process for a periodic independent evaluation of the quality of information provided by the advisory bodies. The result could also be used to assess the proportion of rejections.**

### *Recommendations*

59. The Committee should:



- **amend the Operational Guidelines or the contracts with the advisory bodies to require the nomination evaluations to describe clearly the important values at each site and how they related to the criteria applied to the site; and**
- **periodically and selectively obtain an independent second opinion on nomination evaluations. This second opinion should be rendered by experts who are clearly independent of the original evaluations and should involve a site visit.**

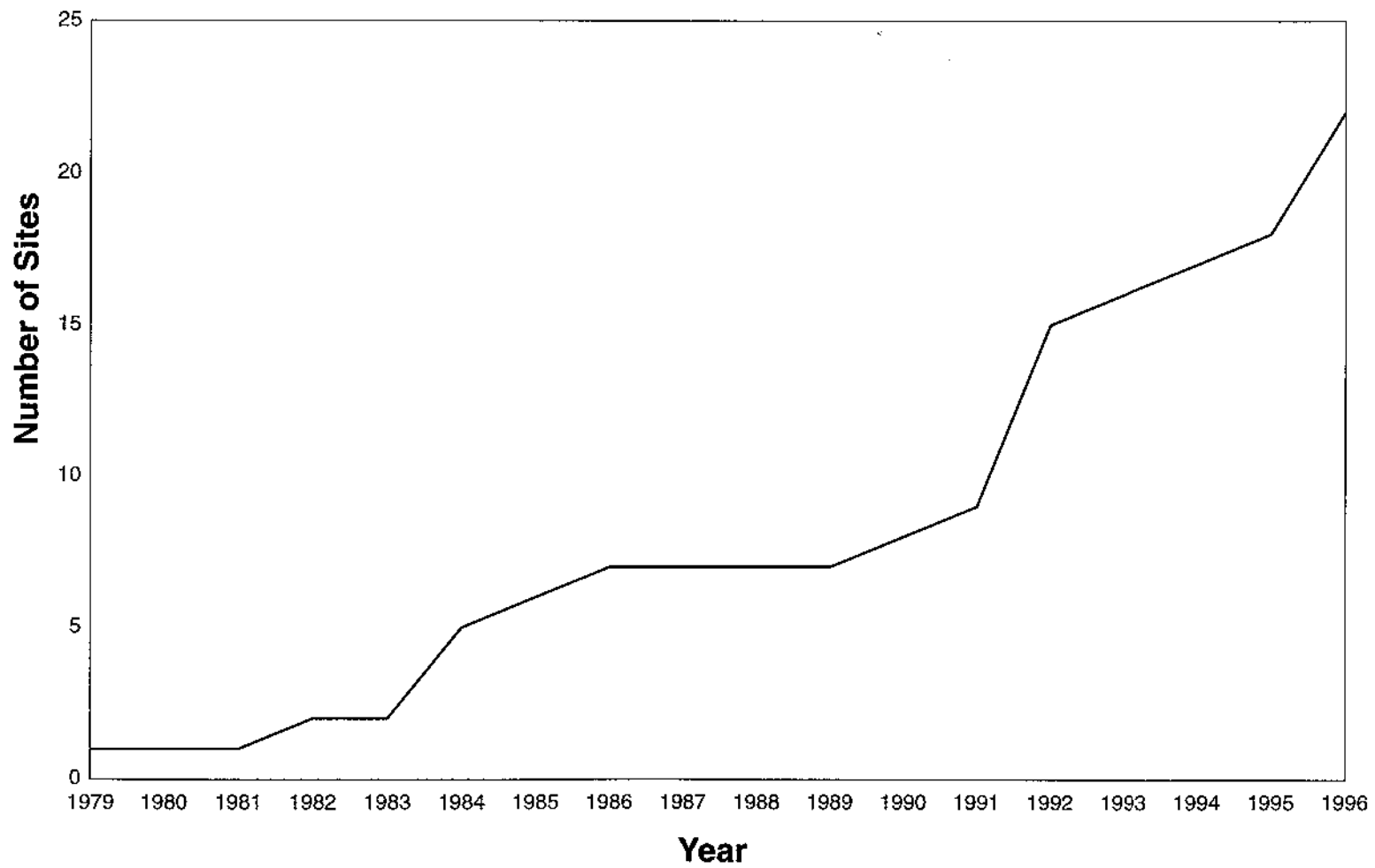
60. The Centre should:

- **ensure that each nomination is checked carefully by a staff member experienced with the contents of nominations and familiar with the current Operational Guidelines. Only if the nomination is complete, should it be forwarded to the advisory bodies. If technical questions arise, the relevant technical staff should be consulted and sign the nomination checklist before sending it on. The advisory bodies could, at their discretion, take incomplete files with information to be filled in later; and**
- **work with the advisory bodies to prepare a proposal to the Committee for other steps to promote high-quality and credible evaluations.**

61. There is a need to set strategic priorities for the World Heritage sites in Danger. **The action of the World Heritage Committee has been effective in several instances in preventing degradation of particular sites. For example, urban development that would have split the Medina of Tunis in 1979 was halted in part through the intervention of the World Heritage Committee. Similarly the proposal to build a bauxite processing plant near Delphi in Greece was altered due to pressure from the Committee. As well, the threat of putting sites on the World Heritage in Danger (WHID) List appears to be effective in some cases in provoking appropriate action by the relevant States Parties.**

62. **One of the key measures of success for the Convention will be removing sites from the List. Of 24 sites that have ever been put on the WHID List, only three have been removed and one of those was subsequently put back on the List. The number of sites on the WHID List has grown steadily (Exhibit 5).**

63. **Over the long term, the success of the Convention will depend on identifying sites that should be on the WHID List but that are not. In the absence of systematic monitoring or even reactive monitoring reports from all sites, it is not known how many sites should be on this list. Thus, the number could potentially be much larger than on the present List. We note that only seven out of the 22 sites currently on the WHID List have been allocated emergency assistance from the Fund.**



Source: World Heritage Centre Database

### *Recommendations*

64. The Committee should:
- **consider the implications of a growing World Heritage in Danger List, especially now that monitoring activity under the Convention steps up; and**
  - **set strategic priorities for action on sites on the List.**
65. The Centre should strengthen co-operation with the Culture and Science sectors of UNESCO:
- **to monitor sites, especially those on the World Heritage in Danger List; and**
  - **to develop joint approaches to provide assistance to those sites.**

### **Monitoring of sites**

66. Management of reactive monitoring of sites needs substantial improvement. **The process for monitoring sites under the Convention is evolving. Monitoring will assume greater importance as an activity under the Convention as the emphasis shifts from nominating sites to tracking the conservation status of sites that are already on the Lists. It is thus important that concerted efforts be taken to improve the existing monitoring process.**

67. **The Operational Guidelines distinguish between reactive monitoring (done in response to a particular request or expression of concern) and systematic monitoring, in which an assessment is prepared on a repeated, consistent and proactive basis. The systematic monitoring approach was not endorsed by the Tenth General Assembly of States Parties. At the Eleventh General Assembly of States Parties and the 29th General Conference of UNESCO it was decided that periodic reporting by the States Parties on the application of the Convention, including the state of conservation of World Heritage properties, should take place under Article 29 of the Convention.**

68. **The status of monitoring activity is not well documented. It was reported that between 1986 and 1996 reports on the state of conservation of 112 cultural, 63 natural and 4 mixed sites were examined by the World Heritage Committee, many of them coming back repeatedly.**

69. **Based on the Committee report from Merida in 1996, 54 reports were submitted to Committee on 31 cultural sites, 22 natural sites, and one mixed site. (The disproportionately large number of natural sites being monitored may reflect a more effective IUCN-centred network than a good job of flagging monitoring needs.) In 1997, 91 site reports have been prepared, 20 of which are for sites listed on the World Heritage in Danger List.**

70. **However, there is no overview summary database of monitoring activity. Also noted elsewhere, there is no central repository for monitoring reports; desk officers maintain their own records, with varying degrees of accuracy and completeness. Such records could be lost in personnel transitions.**

71. **Effective records of monitoring reports (including perhaps keyword databases) could facilitate exchange among regions and site managers with**

**common and systematic problems. It could thereby improve the quality of the conservation plans. Better records could also help answer the question: "Is there a consistent link between the state of conservation reports and international assistance requests?"**

***Recommendation***

72. The Centre should institute consolidated record keeping and reporting for monitoring reports starting as soon as possible, ensuring that they can be matched with nomination files. This information should be supplemented with the reports from previous years as soon as possible, drawing on the files of ICOMOS and IUCN if necessary.

73. The responsibilities for monitoring are not well defined. **As noted above, the monitoring process can be initiated by many sources, including the advisory bodies, members of the public, non-governmental organizations, the Director-General, Centre staff, and States Parties.**

74. **Several players prepare the resulting monitoring reports. Of the monitoring reports prepared in 1997, a minority were prepared by the advisory bodies, a roughly equal number were prepared by Centre staff, and the remainder was contributed by other UNESCO Sectors. Based on the information provided to us, the decision about who carries out a particular monitoring visit is made on a case by case basis.**

75. **Given that the Convention states that the advisory bodies should be used to the maximum extent possible, we considered making a recommendation that the Centre should only manage the monitoring process, but not be directly involved in carrying it out or preparing reports. This would be consistent with the role of a secretariat — which should keep an arms' length relationship with States Parties, and the relative lack of technical expertise of some Centre staff.**

76. **We rejected this recommendation for five reasons:**

1. It provides a counterbalance to a potential conflict-of-interest situation in which the advisory bodies suggest particular monitoring needs and then carry them out.
2. It may be more cost-effective to use Centre staff in some cases, given travel schedules, etc.
3. Centre technical staff possess generalist expertise and relevant background with particular projects that may be appropriate for some kinds of monitoring (but not others).
4. Monitoring activity, especially in politically sensitive areas, may be facilitated by a UNESCO presence, perhaps using Sector staff.
5. Centre staff should have a clear understanding of field conditions and constraints.

77. **There have also been situations where IUCN and ICOMOS independently conducted monitoring missions at the same time as representatives of the Centre. This lack of co-ordination wastes resources. The Memorandum of Understanding signed by the Centre and IUCN should**

help resolve this concern by promoting the level of communication about monitoring activity. We understand that the draft MOUs with ICOMOS and ICCROM have not yet been signed. Based on the information we received, there is also no formal mechanism for co-ordinating monitoring activities with the other UNESCO Sectors who are also monitoring at World Heritage Sites.

78. There is no strategic approach to selecting sites for monitoring. The number of sites monitored in any given year is likely to grow, although the number will vary from year to year. For example, in 1994, ICOMOS was to monitor 18 sites and in 1995, 12 sites. For comparison, between 1989 and 1995, IUCN prepared 96 site reports, an average of 16 per year.

79. UNESCO has identified a performance indicator relevant to monitoring. The Draft Programme and Budget for UNESCO (1998-99) cites an expectation that "...at least 30 reports will be presented annually to the World Heritage Committee on properties requiring particular action." Based on the current numbers, this reflects a modest view of the status quo, rather than a measure of improved performance.

80. Although this type of monitoring is reactive and difficult to plan, this does not preclude taking a more strategic view. We were told that for the natural sites, the expressions of concern that are pursued and put to the Bureau are based on consultation with IUCN and selected on the basis of ad hoc criteria:

- Does it involve a follow up to Committee action?
- Does it involve a follow up to concerns at the time of inscription? or
- What is the "pure seriousness" of the threat?

81. There is clearly a need in the implementation of the Convention for a systematic approach to monitoring. Such international monitoring has been undertaken or planned in other contexts. For example, the Seville Conference on Biosphere Reserves supported a 10-year periodic review of all Biosphere Reserves.

#### *Recommendation*

82. The Committee should request the Centre:

- to prepare an outline of different types of monitoring activity and identify which organization (or combination of organizations) could most effectively carry out the activity. This outline should be prepared in consultation with the advisory bodies and the UNESCO Sectors and agreed to by them.
- to develop a mechanism for co-ordinating actions on an ongoing basis with all parties who carry out monitoring at World Heritage sites.

83. Periodic reporting under Article 29 of the Convention will require substantial attention in the future. The 29th General Conference of UNESCO requested the World Heritage Committee to define the periodicity, form, nature and extent of the periodic reporting on the application of the World

**Heritage Convention and on the state of conservation of World Heritage properties and to examine and respond to these reports. Subsequently, a format will have to be developed for this reporting. Whereas it will be the responsibility of the States Parties to prepare and submit the periodic reports, it will be a major responsibility for the World Heritage Centre to establish procedures and arrangements for the documentation, analysis and presentation of the periodic reports to the World Heritage Committee.**

***Recommendations***

84. The Committee should request the Centre to:
- **prepare in consultation with the Advisory Bodies a format for the periodic reporting by the States Parties for approval by the World Heritage Committee; and**
  - **develop mechanisms for the handling and record-keeping of the periodic reports.**

## **International assistance**

85. Management of international assistance needs focus and streamlining. **International assistance may be provided under the Convention and Operational Guidelines in four forms: preparatory assistance, training, technical assistance and emergency assistance. The money allocated through the Fund for these purposes is a relatively small amount, but may be useful in special situations or as "seed" money.**

86. **The information available on international assistance projects needs to be converted into a well-designed database. A large volume of data and information on the international assistance projects is available within the Centre. This information can be found in past Committee reports, mission reports, other documentation obtained in the implementation of contractual arrangements and in the personal records maintained by some staff members. A computerized data system available, while adequate for reference of past projects, is not designed in a manner as to enable easy analyses of trends and patterns that could be useful for policy and decision making.**

87. **Standardization and streamlining of the available information and data into a computerized format and database that enable quick analyses of trends and patterns is an essential first step. The Committee may wish to direct the Centre to establish a management information system, particularly as part of its responsibilities for the implementation of the Convention under Article 13, paragraph 5: "The Committee shall draw up, keep up to date and publicize a list of property for which international assistance has been granted". While the information needed to establish such a list is available in the Centre, the establishment of such a list that can be regularly and easily updated needs to be given priority consideration.**

### ***Recommendations***

88. The Centre should establish a management information system that will enable easy access and analysis of trends and patterns of international assistance projects.

89. The Committee should take necessary steps in order to fulfill its obligation, as per paragraph 5 of Article 13, to establish, regularly up-date and publicize a List of properties to which it has granted international assistance.

90. The management of international assistance is cumbersome. **The Convention gives the responsibility to the Committee for deciding how Fund money is spent, but the present system outlined in the Operational Guidelines appears to be unnecessarily cumbersome. The Committee, Bureau and Chairperson of the Committee have different approval ceilings for small amounts of money. In our view, this imposes an unnecessary bureaucratic burden, reducing flexibility and timeliness in project approval. The percent allocations to different categories of aid in the Operational Guidelines may also inhibit effective use of the available funds as the allocations are not clearly related to strategic objectives. Mechanisms are needed, of course, to ensure accountability.**

91. **The Committee should consider revising the Operational Guidelines to give flexibility to the Centre to allocate international assistance, while requiring the Centre to provide clearly formulated work plans, updated every**

six months, which specify resource requirements and detailed performance expectations over the next year and which clearly link to an overall strategic plan; a draft prospective look at the next three years, also tied to that strategic plan; a detailed accounting every six months, both in terms of performance and money actually spent, against those work plans; the results of external and independent evaluation of international activities or projects on a periodic basis; and the results of an external and independent evaluation of the Centre every three years.

92. We saw no evidence of an overall strategic vision for the allocation of international assistance. Projects appear to be solicited, proposed and approved on a case-by-case basis without reference to broader objectives or past assistance for similar purposes. Projects should be selected in the framework of meeting conservation priorities at the sites most in need, the appropriate niche for the World Heritage Fund in the context of other Sectors of UNESCO or other donors (we address this issue in the section on Roles and Responsibilities for Heritage Activities within UNESCO and with International Organizations) and of considering where the contribution of the Fund can make the biggest difference.

93. There are also concerns about the quality control of projects. We understand that desk officers are sometimes involved in both the development of project proposals and screening of projects for approval. They talk in terms of "I provided assistance". This situation poses a risk of loss of objectivity.

#### *Recommendations*

94. The Committee should:

- **consider revising the Operational Guidelines to give greater flexibility to the Centre to allocate international assistance, while requiring the Centre to provide proper accountability and performance reports; and**
- **develop strategic priorities among and within categories of international assistance, considering the niche of the World Heritage Fund, the role of Regular Program funds, and the actions of other Sectors within UNESCO and other donors.**

95. The Committee and Centre should jointly develop performance expectations for international assistance provided under the banner of the World Heritage Convention.

96. The Committee should request the Centre to prepare draft revisions of the Operational Guidelines. These revisions should include preparing a separate description for States Parties of the types of international assistance available, procedures for obtaining that assistance, and obligations of that assistance.

97. Centre desk officers should obtain a formal peer review and sign-off by one other desk officer on the technical merits of any particular project they are reviewing before funds are approved internally by the Centre.

98. No evaluation of the effectiveness of the different categories of international assistance has been planned. **We conducted a limited review of some of the classes of international assistance. For example, we wanted to determine whether the Centre or Committee has assessed how effective**



preparatory assistance has been. Based on the information we received, no such assessment has been done or is being done on an ongoing basis.

99. We recognize the challenge of attributing particular results to particular initiatives by a given organization given the multiplicity of actors and factors involved. However, we believe that this should not be an obstacle to conducting a useful evaluation.

100. In a preliminary analysis based on the limited information available to us, we attempted to assess the effectiveness of the preparatory assistance. Roughly 40 percent of the 79 countries that received preparatory assistance did not submit a nomination that could be broadly attributed to that assistance. If account is taken of the fact that some assistance was received too recently (e.g. since 1995) to have an impact on nomination submissions, this percentage drops to roughly 20 percent. Of this roughly half may have resulted in requests for technical assistance, another very different use of preparatory assistance recognized by the Operational Guidelines. One reason for the apparent lack of effectiveness is that so-called preparatory assistance is being provided after the site has been nominated or even inscribed. There is uncertainty about these estimates due to a lack of appropriate records.

101. This preliminary analysis illustrates four points:

1. The information is not readily available to assess the effectiveness of preparatory assistance.
2. A significant proportion of the preparatory assistance does not appear to be achieving its intended goal.
3. The categories of assistance could be refined to allow a more consistent tracking of performance by category.
4. The information could be generated relatively easily from existing or improved records and could be used to assess the effect of preparatory assistance on a periodic basis.

102. With respect to training, we believe the emphasis on site managers is appropriate; however, no assessment of the effectiveness of the programs has been done. This means that the lessons from existing projects are not being learned and transferred. In particular, an evaluation of how the training is translating into improved conservation has not been done. In this evaluation, it will be essential to go beyond anecdotal reports and reports of the number of people trained. Other international aid organizations have grappled with the challenge of evaluating training programs and developed guidelines and methods that could be adapted to this context.

103. Technical assistance provides equipment and other support at World Heritage sites. The value of the assistance could be assessed by identifying changes in the basic requirements for site management:

- Is basic documentation available at the site?
- Is there a conservation and management plan?
- Is there appropriate expertise in the staff at the site?

- Do they have the necessary tools to do their job on a continuing basis?

104. **In the last major category of assistance, the Convention allows for the Committee to respond immediately to "requests based on disasters or natural calamities" by providing emergency assistance from a reserve fund. The Operational Guidelines provide greater clarification and indicate the kinds of emergency assistance that can be provided as well as guidance about the request.**

105. **Based on the information available to us, 46 sites in 32 States have received emergency assistance from the World Heritage Fund. To our knowledge, no assessment has been done of the relevance or effectiveness of this assistance.**

*Recommendation*

106. The Committee should request the Centre to conduct an outside evaluation of the relevance and effectiveness of international assistance provided. This information should provide a baseline for a follow-up evaluation in three years.

## **Management of the World Heritage Centre**

### **Management of activities**

107. The Centre has a motivated group of professional and support staff. **They perform a multiplicity of tasks and broad range of activities that are largely output-oriented. Their activities are: Directly derived from the Convention; Implied by the Convention; Derived from the UNESCO Constitution or Delegated by the Director-General of UNESCO. Activities range from Secretariat functions related to statutory meetings to administration, co-ordination, technical expert advice, information, consultation, project management and operations, presentation of the Convention, information and training/education.**

108. We examined how staff time is allocated among these groups of activities. Although a rough estimate, it provides a basis for a better understanding of the amount of effort devoted to each activity.

109. Appendix III categorizes the types of functions performed and Exhibit 4 highlights the fluctuations of the workload distribution on an annual cycle.

110. Our analysis shows that the Centre's workload revolves around the statutory meetings. **If we include in the preparation and follow-up of statutory meetings the labour intensive administrative processes involved in co-ordinating and administrating the inscription, monitoring and international assistance processes, the percentage of staff time reaches an estimated 60 percent. Most of the workload revolves around the preparation of statutory meetings and the implementation of decisions taken, and little time is left within the annual cycle for other work. Revising the cycle of meetings and of financial and operational planning would leave more time for other substantive work.**

111. It is time to clearly define the Centre's role and to concentrate and consolidate its span of activities and operations. **The Centre has become ambitious in the nature and extent of activities, either as an extension of its traditional Secretariat functions or in response to perceived needs. The Centre has therefore been labelled as a "victim of its own success". The diversity and number of initiatives undertaken is impressive relative to the size of the staff and budget.**

112. The range of initiatives vary from region to region and from cultural to natural heritage. For example, in Latin America there is emphasis on capacity building of training institutions and stimulation of international assistance projects; in some Asian countries there is emphasis on twinning of cities in the context of conservation of historical cities and identifying partners for conservation projects and promotional activity; in some countries of the Arab States there is emphasis on working jointly with the Culture Sector of UNESCO in involving local populations and influencing decision makers in States Parties or UNESCO Member States; in some

**countries of Europe there is support for UNESCO restoration projects and promotional activity often in the context of ceremonial events; and in the natural heritage area, training is emphasized as well as working with site managers in game parks.**

**113. The Centre has also undertaken innovative ways of operating through alternate mechanisms such as regionalization through the possible creation of local or regional “satellite” heritage site offices, delegation of implementation projects to UNESCO field offices, contracting out, forging private and public partnerships and obtaining experts from States Parties. Such mechanisms need to be assessed in terms of their cost-effectiveness and further formalized.**

**114. There are many more substantive areas in which the Centre could be engaged. They include education for and participation by local populations living on sites or in buffer zones, assistance to States Parties for establishing or reforming legal frameworks for heritage site protection, effective use of the Fund as seed money to stimulate important site protection projects funded by major donors, and studying the positive and negative effects of tourism. But engaging in just one of these areas without a clear focus could consume all the Centre resources without any guarantee of making a useful impact.**

**115. Engaging in a multiplicity of tasks may adversely affect the delivery of Secretariat functions linked to statutory meetings. The following issues need to be addressed:**

- The spread of projects and activities is not harnessed by a clearly articulated vision and prioritization.
- The Centre's roles, responsibilities and accountability for World Heritage activities that are not directly linked to statutory meetings are not clearly stated.
- Responsiveness to requests for services or representation by proactive States Parties may create a perception of dispersion and of favouring one country or region over another since little guidance is given by the Committee in this area.
- Insufficient time is spent for “cross-fertilization” within the Centre, and within UNESCO, of lessons learned from new delivery mechanisms in order to share knowledge on what worked or did not work, and to forge potential partnerships and increase co-operation.

**116. The Centre's activities could be concentrated by addressing the following kind of questions:**

- What types of tasks and activities should be carried out by the Centre? What is the nature and extent of each task and activity? What would be the Centre's precise role, responsibility and accountability in relation to the other actors involved?
- What types of tasks and activities should be added, abandoned, contracted out, left to the advisory bodies to perform or for them to contract out, executed by or shared with other units within UNESCO including its field offices, or executed by or shared with outside organizations?

This exercise would involve distinguishing between the various functions. It would also involve knowing the full cost of each activity including staff time, or of alternate delivery modalities that would be available to the Centre.

***Recommendations***

117. The Centre should examine its current span of functions and activities in line with:

- **the Committee's strategic priorities; and**
- **a clarified statement of its roles, responsibilities and accountability relationships for World Heritage activities that are not directly linked to statutory meetings.**

118. The proactive information and educational activities need better quality control and an assessment of impact. **The Centre carries out a large number of promotion, information and publication activities that include: producing a public Internet Web site to multi-media packages, information kits and other printed material, electronic and printed newsletters, a slide pack and travelling exhibition; organizing promotional events; and assisting the UNESCO Publishing Office in its co-editing agreements with publishers in publications such as a quarterly review in three languages and a desk diary; and a large number of self-financing partnerships with the media and publishers on a variety of products such as films, videos, CD-ROMs, encyclopedias, calendars, stamps and coins.**

119. **These activities take place under various arrangements including execution by staff and professional contracts, secondments and partnership agreements. They demand a high level of expertise in a variety of areas ranging from production of publications and audio-visual materials to legal and financial matters related to rights and interests of the various parties involved.**

120. **For three years, the Centre has pursued opportunities to engage in innovative contract arrangements and ventures with partners, and has been innovative in leveraging resources from a variety of outside sources. However, this has caused some problems. The Committee has questioned a lack of transparency in reporting by the Centre; and UNESCO's in-house information, and publishing and fund-raising units would have liked to have had a greater advisory or executing role.**

121. **We agree with the Centre that good presentation and information programs enhance the awareness of the Convention. While the execution by the Secretariat of presentation, information and educational functions are not explicitly included in the World Heritage Convention, the Centre has performed such functions under authority of the Committee and through delegation by the Director-General in accordance with the UNESCO Constitution. The Centre is requesting in its 1998 budget about \$300,000 US out of the Fund for promotion, information and educational activities, which is roughly in line with preparatory assistance and monitoring activities.**

122. **We believe that the current activities would benefit from the introduction of the following three mechanisms:**

- a better quality control system: there are no adequate policies in place within UNESCO or the Centre to control quality of the various products, ensure content validation and protect the rights and interests of UNESCO, the Fund, the States Parties and their site;
- a systematic approach to harmonize the Centre's information activities with those of States Parties: the Convention states the obligation of States Parties to inform the public of the dangers threatening cultural and natural heritage and encourages them to engage in information, promotion and educational activities and the Centre is proposing a 1998 budget of \$100,000 US for a new activity aiming to assist some of them in presentation of the Convention, public information and educational publications in local and national languages; and

- periodic independent evaluations of impact: outside expert evaluation could periodically assess the cost-effectiveness of the information strategies in reaching the target groups.

123. **The Centre is also participating in a Youth Education Program that started as a pilot in 1994 and is now carried out as a UNESCO 1996-2001 “Special Project”, Young People's Participation in World Heritage Preservation and Promotion and is targeting secondary schools. The project is financed through the Fund, the Regular Program for the Centre and the Education Sector, with important co-financing by NORAD and the Rhone-Poulenc Foundation. It is the only project that is formally carried out jointly with another UNESCO sector. We noted that the champion for this project within the Centre had been promoted to another unit of UNESCO and that the project may therefore be running behind schedule.**

124. **We believe that the strategies planned for this project could yield better results if the scope were to be broadened to include not only youth, but also adult populations living on or near World Heritage sites. A dedicated resource for this project within the Centre is necessary to ensure that the project meets its targets. In our opinion, an evaluation of preliminary results would at this stage be useful to further shape the project.**

*Recommendation*

125. The Centre should:

- **develop, under guidance by the Office of Public Information and UNESCO Publishing Office, adequate policies and mechanisms for controlling the quality of information and publication products and protecting the rights and interests of UNESCO, the Fund and the States Parties/Sites as necessary;**
- **ensure that its presentation and information activities are harmonized with the activities undertaken by States Parties in line with their obligations as signatories to the Convention; and**
- **evaluate periodically the cost-effectiveness and impacts of its information and education activities.**

126. Our examination of the Centre's workload components raises the issue of ideal staff mix. **If the Centre is to concentrate on high-level Secretariat functions, the staff should be highly trained in administrative matters with a general background allowing them to become “knowledge based”.**

127. **However, if the Centre is expected to increasingly play an operational role, the Committee will first have to clearly direct the strategic orientations of the initiatives. The next step is to ensure that the appropriate expert resources are made available in the staff base, through contracting, or through alternate delivery systems. Currently, it is not clear what the ideal mix of expertise should be precisely because there is no clear picture of the extent and nature of each activity, and the cost-effectiveness of delivery modalities available.**

*Recommendation*

128. The Centre should strive for an ideal mix of expertise based on a clear definition of the extent and nature of each activity, and the cost-effectiveness of alternate delivery modalities available.

129. Cultural and natural heritage activities need to be better integrated.

**Cultural and natural heritage activities need to be better integrated and greater emphasis on the implementation of Global Strategy studies and activities may enable the Centre to achieve this goal. While a better integration of cultural and natural heritage is encouraged, one needs to keep in mind that there are some areas of cultural and natural heritage expertise which are distinctly different and hence, cannot be integrated.**

*Recommendation*

130. The Centre should achieve a better integration between the cultural and natural heritage functions.

131. Co-ordinated decision making and management needs to be enhanced. **We assessed whether the Centre has a forum for collegial decision-making, co-ordination and sharing of lessons learned on strategies, priorities, budgeting and work planning, and management reporting.**

132. **Staff meetings take place periodically, increasing in frequency according to peak periods. All staff members reported that these meetings were essential and useful in obtaining information on current projects, events and special assignments of superiors, team members and/or colleagues, and briefings are given on selected missions or UNESCO-wide developments.**

133. **Support staff members have not been invited to these meetings on a regular basis and complain about a general lack of information on current projects and developments within the Centre and UNESCO. They appreciate being invited to staff meetings but felt they were not included frequently enough.**

134. **Those meetings are perceived by all staff members as the only instrument to learn about the Centre's current projects. As a consequence, management decisions are often perceived to be taken on a "top-down stovepipe" basis, although this does not preclude professional staff members from having a degree of autonomy. Professional staff are at liberty to propose new initiatives to the Director, and reported that he generally supports new ideas for projects or missions, and that he rarely blocks individual initiatives.**

135. **While the reported style of management may foster individual initiative, it does not encourage collegial decision-making. The Director and all staff members agreed that new ways should be found to strengthen priority setting and work planning.**

*Recommendation*

136. The Centre should develop mechanisms to enhance collegial decision-making, co-ordination and sharing of lessons learned in the following areas:

- **strategies and priorities;**
- **budgeting and work planning;**
- **management of activities; and**
- **reporting on activities and results.**



137. The Centre is providing substantial and increasing logistic support to the Committee, but some key areas need to be streamlined. **Secretariat functions related to statutory meetings and their follow-up are labour-intensive and could be streamlined.** The Centre endeavours to provide a high level of service to the Committee and Bureau to prepare the meetings and ensure follow-up and implementation of decisions. The amount of support required depends on the number of sites being considered for inscription each year, the number of monitoring reports to be considered, and the number of sites on the World Heritage in Danger List.

138. Given that the number of sites on the lists is increasing; the number of monitoring reports prepared each year is growing; the number of requests by States Parties for services is increasing; and the scope of Centre activities is also expanding, the Bureau and Committee members must receive and consider an enormous amount of information in a relatively short period of time.

139. We observed the high volume of documentation prepared by the Centre for decision making for the Committee and Bureau. Preparing voluminous and often duplicative information is time-consuming and confusing to the reader. An effort should be made by the Committee to request higher-level information that would encourage discussion of policy items and stimulate strategic decision-making. For example, presenting low dollar items of \$5,000 for line-by-line discussion by the Bureau or Committee encourages micro-management. There is a need to increase the efficiency of the decision making process and raise the level of debates to policy issues. In this context, the Committee and the Centre could discuss what mechanisms would raise the materiality of agenda items and assist in streamlining the documentation presented.

140. Current organizational arrangements within the Centre do not provide for dedicated support for preparation of documentation for statutory meetings. Streamlining preparation through a dedicated support unit within the Centre could free up valuable staff and Committee time.

141. This unit would be tasked with designing and implementing more efficient mechanisms for preparation and follow-up action. For example, a database for records of decisions could be devised indicating the responsible party for implementing and reporting on specific items, by time frames. This could avoid a last minute rush or duplication of effort. There are several opportunities to reduce the volume of documentation.

#### *Recommendations*

142. The Committee and the Centre need to review the way in which the needs of the Committee are currently fulfilled and how they could be better served.

143. The Centre should consider having dedicated support to streamline preparatory work and follow-up documentation for the statutory meetings.

#### **Operational planning and performance measurement**

144. Operational planning needs to be linked to a review of strategic priorities and reliable supporting information. **Effective operational programming involves planning and prioritizing activities in relation to identified policies and strategic priorities. In an ideal situation, it should provide a basis for decision**

making, for monitoring and evaluating outputs and outcomes, and for administrative, financial and management reporting. We looked at the work plan documentation prepared for decision-making by the World Heritage Committee.

145. **The World Heritage Committee approves the budget of the World Heritage Fund and the Emergency Reserve Fund on a yearly basis. Although the Committee has seen gradual improvements in the presentation of the budget proposals and work plans since the creation of the Centre, it has repeatedly reported concern over the lack of timeliness in transmitting advance documentation and the lack of conciseness, clarity, justification and transparency of the documents presented. The Committee has suggested that the decision-making process would be improved if it was presented with well-documented and clearly argued proposals for its consideration. The General Assembly in 1995 asked the Secretariat to improve the budget presentation for more clarity and transparency. During its 1996 meeting and the 1997 Bureau meeting, the Committee discussed shortcomings in the documentation of the work plans, which led to suggestions and recommendations to the Centre. It wanted plans to:**

- be based on an analysis of past trends and on short-, medium- and long-term programs and plans, clearly relating to the objectives fixed by the Committee (in order to allow objective evaluation of the variations in proposals compared with the previous year);
- be based on the proposed budget submitted for approval, taking into account all possible sources of income;
- include or be accompanied by a proposed expenditures schedule by source of income, and by program, activity and project;
- justify all proposed new activity against strategic priorities of the Committee;
- allow for flexibility of emerging tasks, e.g. under public relations;
- include all activities and projects irrespective of source of funding (not necessarily for approval purposes, but for information purposes as this would assist in judging whether all activity complies with the Convention);
- include overhead costs;
- provide the necessary global overview to facilitate understanding of the proposals. The Committee noted that presenting six different documents on the budget and work plan leads to confusion and a lack of clarity yet does not provide a level of detail sufficient to explain the use of fund foreseen; and
- present correct information that corresponds between various tables or documents and that allows for “transparency”.

146. **We received the preliminary draft budget and work plan for 1998 too late in our review to examine its voluminous documentation in a meaningful**

way. However, we did note a number of improvements in the presentation that address suggestions made by the Committee. The document includes objectives and outcomes expected, but these remain largely output-oriented and activity-based in the absence of an updated strategic plan. We also noted that there are no indications of staff responsibilities or of staff time spent on the proposed activities to allow for full costing, including overhead.

147. We believe that the Centre would be in a better position to present a high-quality planning document to the Committee if the planning cycle were harmonized with the UNESCO biennial planning cycle. The Centre has to now prepare four different sets of planning and reporting documents, according to different cycles and documentation requirements. There is the UNESCO biennium requiring mid-term and biennial planning, the Committee's annual cycle, the Bureau bi-annual cycle, and the nomination 18 month cycle. UNESCO has adopted for all its programs a biennial financial and reporting cycle with which the Centre complies. Efficiencies could be gained in harmonizing the different planning and reporting horizons. The Committee and the Centre would be able to spend more time on policy and strategic issues and the periodic review of staff performance against stated objectives and targets.

148. The implementation of a good operational planning system, however, is conditional on the existence of a strategic plan and sound financial, project and performance information systems. The Centre has yet to obtain updated strategic orientations from the Committee, as observed in the section on strategic direction, and has to further develop quality management information systems.

149. A quality work plan should:

- facilitate the internal decision-making process e.g. on prioritization of activities, allocation or re-allocation of resources including undisbursed or unobligated funds;
- constitute a basis for regular monitoring and follow-up by management;
- increase management and staff commitment to the realization of the work plan; and
- provide the framework for accountability reporting of UNESCO/Centre to the Committee/Bureau.

### *Recommendations*

150. The Committee should consider harmonizing its planning cycle with the UNESCO biennial planning system.

151. In order to improve the monitoring of the implementation of Committee decisions and other activities, the Centre should:

- **formalize the process for preparing and updating work plans;**
- **prepare work plans presenting options with estimates of full cost implications and based on clearly established strategic priorities;**

- **monitor operations through quality management and financial information against approved work plans; and**
- **account to the Committee on a regular basis through a report on its performance against clearly agreed targets, priorities and fully costed plans.**

152. An important part of operational planning is measuring performance and report on results. **Performance measurement and reporting are necessary in order to examine performance, demonstrate value-added, link outcomes achieved to costs incurred, assess whether target groups were reached, make the case for future expenditures and review the strategic and operational directions.**

153. The Secretariat of UNESCO does not require programme sectors or units to report on programme and project performance on a systematic basis. **Performance measurement is needed to assess the impacts of the implementation of the Convention against specific indicators of success. The results of performance measurement should be included in the reports to the General Assembly of States Parties and the Committee.**

154. **Setting clear objectives with clear expectations of outputs and outcomes with matching indicators or criteria may not be easy in some areas of implementing the World Heritage Convention. One reason for this is the multiplicity of actors involved in the implementation making it difficult to identify reasonable expectations of outcomes.**

155. **Improvement may be gradual. In a first phase, improvement is needed to present clear expectations for outputs, but also to start developing outcome expectations and indicators of success in achieving these. In a second phase, a plan should be developed to measure progress towards achieving outcomes for all important activities and projects through regular or periodic reporting, stating priorities and time horizons. Without this type of performance information, governing bodies will not be able to determine whether and to what extent the “program” and related projects and activities achieve their intended objectives.**

156. **After 25 years of implementing the Convention and five years of the creation of a separate unit within UNESCO, performance expectations have to be defined and independently evaluated for activities and projects carried out by the Centre and for other factors which are deemed critical for the success of the "program", such as the importance of “reaching those you are trying to reach”. The Centre could draw on lessons learned from evaluations performed for other Convention-related programs; and from international aid agencies with respect to sustainability of international assistance activities or projects. It could start with easier evaluations to assess for example the effect of preparatory assistance on nomination, or the effect of international assistance on preservation/conservation.**

#### ***Recommendation***

157. The Centre should report systematically on the performance (results) of its activities and projects, and of other factors which are deemed critical for the success of the Convention.

#### **Human Resource Management**

158. The management of personnel of the World Heritage Centre is governed by the Staff Regulations and Staff Rules of UNESCO. **Staff members of the World Heritage Centre and of the Secretariat of UNESCO are subject to the same personnel policies, regulations, procedures and administrative practices. The Bureau of Personnel of the Secretariat of UNESCO is responsible for**

**administering personnel policies approved by the Director-General. In March 1995, however, the Director-General delegated authority to the Director of the Centre for the following personnel responsibilities:**

- the use of staff cost savings to recruit consultants, supernumeraries and fee contractors;
- the authority to determine the duration of contracts with respect to consultancies and supernumerary contracts;
- the administration of established posts; and
- until July 1997, the appointment of staff in the GS category and in the Professional category for the grades P1 to P3, in compliance with the UNESCO administrative procedures.

159. **We examined the staff mix of the World Heritage Centre and the extent to which staffing was done in compliance with the policies and procedures of UNESCO. Since we are carrying out audit work on human resource management within UNESCO, we used the experience and knowledge gained in that audit to better understand the management of personnel at the World Heritage Centre.**

160. **The UNESCO Personnel Manual permits the use of three types of appointments to meet operational needs. The appointments can be indeterminate, fixed-term, i.e. for a two-year period, and renewable depending on operation requirements and satisfactory services of the incumbents. Temporary appointments can also be made for a short period of time.**

161. **Number of staff. As of 12 September 1997, the World Heritage Centre was composed of 25 staff members. Seventeen staff members had a fixed-term appointment and two held indeterminate appointments. Based on Personnel records, one of these staff members, although his name appears on the Centre's staffing table, does not seem to be working for the Centre. The Centre also has six temporary staff members. Five of the six individuals have been providing secretarial services that are required to meet regular operational needs and not a temporary work overload due to exceptional circumstances. Starting from January 1998, these temporary posts are being absorbed. UNESCO's Regular Programme will be converted to established posts.**

162. **Temporary assistance is widely used at the Centre. There are several categories of temporary assistance such as supernumeraries, temporary staff members, consultants, fee contractors, and associate experts. The different kinds of temporary assistance are not interchangeable since different conditions apply depending on the nature and duration of the work, the place of work or conditions of employment in general.**

163. **The UNESCO Manual specifies that the recourse to supernumeraries or temporary staff members is determined by the lack of time of the regular staff to carry out current work due to a temporary work overload resulting from exceptional circumstances. The choice between these two types of temporary assistance depends on the duration of the services needed. In the case of a supernumerary, the duration of each contract must not exceed 90**

days and successive contracts cannot exceed 180 days. With respect to a temporary staff member, each contract must last between six and 12 months, with the possibility to extend up to 24 months.

164. A more appropriate use of supernumeraries is desired. Between January and November 1997, according to the Bureau of Personnel, the World Heritage Centre employed six supernumeraries and, except for two cases, the duration of successive contracts complied with the 180 days time limit and ranged from 12 days to 76 days. In these two cases, the number of days were 188 and 267 days. As of 1 November 1997, one of these supernumeraries was still working at the Centre, carrying out regular staff work.

165. Consultants and fee contractors perform staff work. The services of a consultant or the use of a fee contract can be retained when the Organization has to carry out special work for which the regular staff members do not have the expertise in a speciality not regularly required. A consultant is defined in the UNESCO Manual as a high-level specialist employed by the Organization for a specific short period of time (maximum of six months at Headquarters) with time payment, in order to provide on-the-spot advice. A fee contract is allowed to an individual or an institution having a specialized skill in order to obtain special goods or services specially suited to the Organization in return for a lump sum by a specified deadline. The fee contractor normally is expected to work mainly at his or her place of work or at home.

166. We reviewed consultants and fee contracts who were performing work directly for the Centre's headquarters. Between January and November 1997, based on the information system of the Bureau of Personnel and WHC representatives, the Centre used the services of four consultants. We noted that the services of two of these four consultants exceeded the 180 days time limit. If posts were available, this work would be performed by temporary or fixed-term staff members. The Centre also benefited in 1997 from the services of one special advisor and one consultant and both received a symbolic compensation.

167. In 1997, two fee contracts were awarded to perform regular staff member work. One of the fee contracts does not appear to be the appropriate kind of temporary assistance required given the nature of the services to be provided and the place where the work has to be done.

168. Other temporary assistance. In order to meet its operational requirements, the World Heritage Centre can also use associate experts and take advantage of additional arrangements to benefit from temporary assistance. As of September 1997, the Centre used five associate experts, one Young Professional, six individuals on developmental assignment and two individuals on secondment.

169. We reviewed the agreement of the two individuals on secondment and have concerns about one case. In principle, secondments are at no cost to WHC. In one case however, the individual had a status of "objecteur de conscience" as a "volontaire du service national", but was awarded a fee contract to perform tasks that were already part of the activities foreseen in the framework of the secondment.

170. The review of the staff mix of World Heritage Centre leads us to conclude that the problem of frequent recourse to temporary assistance and that some of the deviations are mainly due to the obligation for UNESCO not

to exceed the staff costs ceiling. This obligation was the consequence of the staff costs deficit incurred in 1994-1995. To avoid the recurrence of such a deficit, the Executive Board requested the Director-General of UNESCO to take all the necessary measures to ensure that no staff costs deficit is incurred in future. As a result, and in order to deliver the services expected from the various stakeholders, the Centre makes use of temporary assistance since much of temporary assistance is not considered to be staff.

171. Our audit report on human resource management of the Secretariat of UNESCO to senior management and governing bodies will provide more details and information on this systemic issue.

172. Post descriptions and classification. The World Heritage Centre applies the classification system adopted by UNESCO. The Bureau of Personnel is responsible for administrating the classification system. A request for reclassification can be considered by the Bureau of Personnel only after a substantial modification in the structure or responsibilities of a unit not foreseen in the Approved Program and where, in consequence, the duties and responsibilities assigned to the incumbent of a post have been significantly changed.

173. There is a need to enforce the UNESCO classification standard in a systematic and consistent manner. We reviewed the post descriptions and classification transactions for 1997 and found the following:

- While there have been frequent changes in the organizational structure of WHC, over the last two years, based on interviews, there were no additional or major changes in terms of level of responsibilities and duties assigned to the Centre as a whole. However, since January 1997, most of the post descriptions have been sent for review to the Bureau of Personnel.
- Three out of 21 established posts have been approved by senior management without a post description being submitted: the post of the Director and the two D-1 posts of the Centre.
- The nature and relevance of the information contained in the post descriptions reviewed was of uneven quality. In some cases, it was difficult to have a clear understanding of the specific responsibilities of the incumbents, given the very sketchy information provided.

### *Recommendation*

174. The Centre should ensure that all posts are described and approved following a rigorous application of the Classification Standard and taking into account the actual responsibilities, duties and qualifications required for the posts necessary to meet the operational needs.

### **Financial Management**

175. The first stage of the review, an audit of the 1996 financial statements of the World Heritage Fund and a report on financial matters, was completed in June 1997. In that report, we commented on the considerable difficulties we encountered in obtaining complete and accurate financial information to support the financial statements. As a result, the audit took much longer than



anticipated and considerable time and effort was spent by the Bureau of the Comptroller and the Centre in pulling the information together. In order to prevent reoccurrences, we made a number of recommendations designed to improve accounting records and the maintenance of financial documentation.

176. Little progress has been made in the implementation of recommendations arising from the financial audit. **The main reason for the situation is that the post of administrative officer in the Centre had not been filled for some time. The position has now been filled and the Director is giving priority to putting the financial records in order. Until this task is complete, the Centre, as well as the Bureau of the Comptroller, will continue to have difficulties in producing accurate financial information on the activities of the World Heritage Fund.**

177. **Certain questions raised by the Consultative Body at its April 1997 meeting, particularly in relation to 1997 financial information, have not been fully addressed. While we have no reason to doubt the legitimacy of any of the financial transactions, the amount of time on our part to obtain the information and follow through the audit trails would not have been cost-effective.**

178. **In our view, the lack of proper internal control and readily available financial information places the Centre in a highly vulnerable situation. In addressing this situation, the Director should continue to seek advice and assistance from UNESCO's Comptroller and Inspector General.**

*Recommendation*

179. The Centre should continue to give priority to improving its financial management situation, together with the assistance of UNESCO's Comptroller and Inspector General.

**Information Management**

180. There is an urgent need to streamline the management of information. **The World Heritage Centre is at the intersection of several major information flows. Documents flow to and from the advisory bodies, to and from the States Parties and primarily to the Committee. In addition, the Centre is a focal point for public information and media requests.**

181. **The staff of the Centre have taken important steps to manage the flow of information and other steps are planned (e.g. installation of an intranet). Nevertheless, there are several moves that could improve their ability to manage information and improve the communication and compilation of project and contract information.**

182. **The core technical documents for the Centre are the nomination files and state of conservation reports. These are essential for the proper functioning of the "corporate memory" and archival function of the Centre. There are several problem areas with the state of records, including the following:**

- Access to the nomination files is not effectively controlled (a project to scan nomination files and store them in electronic format discovered that several nomination files were missing from the Documentation Unit, including eight from 1996).

- Monitoring reports on sites are not stored in the Documentation Unit; it is not known whether the Centre has a complete set of monitoring reports.
- There is no central repository for nomination form checklists and correspondence related to nominations.
- Mission reports on sites are not systematically stored in the Documentation Unit.

183. **We view these problems as a serious management issue, especially in light of the relatively high staff turnover in the Centre, the continuing increase in the number of sites, and the likely increase in monitoring activity. Proper maintenance of archives is an obligation of the Secretariat derived from the Convention.**

184. **A recent evaluation of the Documentation Unit identified several problem areas. Some of these areas (e.g. scanning core files) have been addressed. Others, including the physical location of the Documentation Unit, have not yet been acted on.**

185. **In August 1997, the staff of the Documentation Unit undertook an exercise to identify their goals and relevant tasks to achieve those goals. They documented obstacles to achieving these goals and possible solutions. Action should be taken in all of these areas.**

186. **The day to day movement of information must be complemented by effective document storage and record keeping. The Centre does not maintain a computerized management information system on its various projects and activities. The existing record keeping system is UNESCO-wide and country-based, and is not adapted to the needs of the Centre where a multiplicity of functions, activities and projects are carried out. The filing system is not centrally controlled and professional staff members keep their own records according to their individual preferences or those of their support staff. These practices lead to inefficient office management. For example:**

- No common system is in place for easy maintenance, retrieval, sharing and collating of information on the various Secretariat and operational functions.
- Transfer of files to new staff members is not systematic with ensuing loss of corporate memory.
- New professional and support staff members waste time and effort devising their own individual systems.
- Support staff complained of the time and paper burden involved in having to maintain multiple filing systems and in chasing wrongly filed or missing documentation.
- Varying practices lead to some trivial documents being kept in multiple files while other important ones may go missing .

187. **Much activity takes place in response to requests. Requests are usually for information, consultation or input, and originate from a variety of**

sources, including the Cabinet of the Director-General, experts, delegations, interested groups and the general public. We were however unable to quantify staff time spent on such requests, or analysis of source and type of request.

188. The Centre provides information to a variety of target groups through Internet and other media. A better database indicating the number, type and source of request as well as staff time spent on responding would assist in further streamlining what seems a time-consuming activity. It would also allow the Centre to assess whether it has targeted the right groups, whether it is reaching the groups it is supposed to reach, and what cost-effective response mechanisms and technology should be put in place accordingly.

189. Staff have put forward a number of ideas such as an automatic telephone answering device for often asked questions, a more streamlined channelling of correspondence, a better-organized documentation unit, and a better prioritization of target groups to be reached. A first step could be to collect basic data on source and type of request through a simple electronic logbook.

190. Streamlining responses to requests would enhance the important investment the Centre has made and further intends to make in information through Internet and in information through multimedia.

191. The staff of the Centre are increasingly using technology available at UNESCO. Further efficiencies could be gained by ensuring that all staff members use voice-mail and electronic mail to maximum capacity. UNESCO was in the process of installing a shared network system.

192. All professional and most support staff members have computers and most have received basic training offered by UNESCO. Except in the case of the Director, no laptop computers were made available to professional or support staff members, despite the frequent travel schedule of professional staff members and their labor-intensive Secretariat responsibilities during statutory meetings at UNESCO Headquarters and away from Paris. The Centre has been successful in identifying resources to purchase promotion and media-related equipment and it would be efficient to purchase a minimum number of notebook computers.

### *Recommendations*

193. The Centre should:

- carefully review the recommendations from the Documentation Unit to strengthen the corporate memory and improve document management procedures, and implement all the steps that are feasible as soon as possible;
- adapt the central filing system to take into account the UNESCO-wide requirements and the operational needs of the Centre. This should involve co-ordination among professional and support staff members to select the best of their individual systems;
- maintain a database on the number, type and source of requests received as well as staff time spent on responding to them in order to streamline this activity through effective support mechanisms; and

- **ensure maximum use of up-to-date technology such as voice-mail and electronic mail.**

## **Co-operation within UNESCO and with International Organizations**

### **Roles and responsibilities within UNESCO**

194. Roles and responsibilities for world heritage within UNESCO are not clear or well co-ordinated. **In carrying out its activities, the Centre is expected to co-ordinate its work with other units in UNESCO, notably the Science and Culture Sectors, which deal with heritage matters, and to decentralize activities to UNESCO field offices. As well, there is an expectation that the Centre can rely on those units within UNESCO that deal with publication, promotion/information and fund-raising activities.**

195. The co-ordination between the Centre and the rest of UNESCO on world heritage matters needs to be organized and well channelled. **When the Centre was established, it was anticipated that world heritage activities would be co-ordinated within UNESCO through a Steering Committee to be chaired by the Director-General or, in his absence, by the ADG, Culture, and to comprise the Director of the Centre and representatives from other sectors, offices and units. The Committee has met only two or three times over the past five years and some members we met questioned the meetings' usefulness.**

196. As a result, co-ordination and co-operation occurs on an individual, case-by-case basis rather than at an institutional level. **Despite difficulties of institutional level co-ordination and co-operation, several instances of collaborative actions between the Centre and the Science and Culture Sectors were noted; the project on World Heritage and Youth implemented jointly by Education Sector and the Centre is worthy of special mention.**

197. **The weakness of institutional level co-ordination arrangements between the Centre and other Sectors and units may be resulting in missed opportunities to develop and pursue a coherent vision in the area of cultural and natural heritage; this could be achieved through sharing information on operational activities and of implementation policies, practices and expertise. Opportunities are also lost to collaborate on important areas such as assisting States Parties in site management and legal reform, educating local populations in participative processes, training and networking of site managers and strengthening the links with the various UNESCO and other heritage-related Conventions and related instruments, including the 1954 Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict, the 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, the draft International Instrument for the Protection of the Underwater Cultural Heritage, the 1971 Ramsar Convention on the Conservation on Wetlands of International Importance Especially as Waterfowl Habitat, and some inter-governmental programs such as Man and Biosphere.**

198. **The expertise available in the Centre and in other Sectors and Units in UNESCO can frequently be used in a complementary manner. Joining efforts in a formalized way would reduce the inefficient use of financial and human**

resources and the isolated launchings of conservation projects and activities with overlapping or similar goals and objectives. The lack of clear guidelines for co-operation and resource sharing between UNESCO International Campaigns dealing with World Heritage Sites and the Centre's projects for the same sites, the inconsistent approach to accessing donor support, the use of outside experts when in-house expertise was available, and problems with quality control over publications and film rights are clear cases illustrating missed opportunities to generate far greater benefits. It may also be opportune for UNESCO to examine strengthening the structural linkages between the various heritage related Conventions for example through the use of the existing Centre Secretariat.

199. When the Steering Committee last met in April 1997, it made a number of useful recommendations for a clear delineation of the duties of the Centre with respect to the divisions of Cultural Heritage and Ecological Sciences. The aim was to avoid overlap, to devise common strategies and modalities for such areas as accessing partnerships with national and local organizations and donors, and to include representatives of the Education and Human Sciences Sectors in future meetings.

200. While the Centre's responsibility concerning its Secretariat functions derived from the Convention are clear, the role of the Centre for some other activities in relation to the other units of UNESCO is not clear. These other roles and responsibilities for world heritage activities need clarification, particularly with respect to the Science and Culture Sectors.

#### *Recommendations*

201. The Director-General should:

- **strengthen the existing processes for co-ordinating world heritage activities within UNESCO to ensure that these activities are administered in the most efficient way.**
  
- **clarify the responsibilities of the Centre for world heritage activities within UNESCO.**

#### **Co-operation with other international organizations**

202. The need for a more strategic approach to co-operation with international organizations. **Several other international organizations are active in areas that overlap with the activities under the Convention. Such areas can relate to policy making, development of guidelines or implementation of projects related to conservation, preservation or monitoring of world heritage sites. For example, the minutes of the meeting earlier in the year between ICCROM and the Centre stated "It was noted that a set of urban guidelines is being planned within this programme at the same time as the World Heritage Centre for the World Bank. Members recommended uniting efforts in order to avoid duplication and adopting the solution of joint authorship."**

203. UNESCO has reaffirmed its objective and priority to seek active collaboration with other multilateral donors in all its programs. **The Convention and the 1992 Strategic Orientations place an emphasis on seeking ways to increase the financial resources of the Fund. One recommendation was that the Fund should invest more systematically in projects which could attract**

**funding, rather than in small, isolated projects. Initiating or stimulating large scale projects requires time and effort.**

204. **The Committee had not systematically followed up on this strategic objective and has not been actively involved in providing direction to the Centre with respect to interaction with international organizations having similar objectives. As a result, the Centre may have lost opportunities to join efforts with other organizations on heritage activities and to increase the resources of the Fund.**

205. **The Committee should address the following questions:**

- In what priority areas should the Committee seek active collaboration with international organizations? And to what effect?
- What should be the “niche” or area of specialization of the Centre with respect to collaborative efforts?
- Through what mechanisms can the resources of the Fund be increased through such collaboration? For example, what policies should be in place to maximize the use of the Fund through provision of “seed money” towards large scale projects executed by major international donors?

206. The need to strengthen linkages with other heritage-related Conventions and instruments implemented outside UNESCO. **Other cultural and environmental legal instruments are related to the Convention Concerning the Protection of World Cultural and Natural Heritage Convention some of which are implemented by other international or national organizations. For example, the 1995 Rome Unidroit Convention on Stolen or Illegally Exported Cultural Objects, the 1973 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the 1979 Convention on the Conservation of Migratory Species of Wild Animals (CMS), and the 1992 Convention on Biological Diversity.**

207. **While the Centre has recognized the need to collaborate more closely with the organizations and secretariats of these legal instruments, it could more clearly identify the purposes of, opportunities for and approaches to closer co-operation.**

***Recommendation***

208. The Committee should, as part of the strategic planning exercise, request the Centre to prepare a plan that systematically identifies international organizations that are involved in world heritage activities, and the opportunities and approaches to co-operation.

## **Way Forward**

**209. Implementation of recommendations in this report will require strong commitment from the Committee, the Centre and other sectors and offices in UNESCO. Deadlines and time frames for their implementation will have to be established and closely monitored.**

**210. In our view, the three most important priorities are the updating of the Convention's strategic framework, the clarification of the Centre's and UNESCO's roles and responsibilities for world heritage activities and the establishment of adequate management information systems within the Centre.**

## **Acknowledgement**

**211. We would like to acknowledge the excellent co-operation received in helping us to carry out our work from the Committee members, the Advisory Bodies, UNESCO staff members and in particular, the Director of the World Heritage Centre.**

L. Denis Desautels, FCA  
Auditor General of Canada  
and  
External Auditor of UNESCO

Ottawa, Canada  
November 1997



## **APPENDIX I: Terms of Reference for the Management Review**

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Following is an excerpt of a letter from Federico Mayor, Director-General of UNESCO, to Denis Desautels, Auditor General of Canada, dated 27 February 1997.

The overall objectives of the management review, which could be conducted at a later stage in the year, would be to review the efficiency and effectiveness of management practices in achieving outcomes, and to examine the degree to which programs and budgetary procedures are designed to meet the Committee's needs. In preparing this second report and bringing forth recommendations for improvement, you might examine, among other matters, the following items that have been suggested by the World Heritage Committee:

- operational policies, criteria and frameworks for decision making
- strategic and work planning
- workload and division of work
- human resource capacity (skill sets, staff/contractor mix)
- technological infrastructure and equipment the quality and timeliness of advice to the Committee
- internal and external communications strategies [and]
- accounting procedures related to other sources of income.

Following is an excerpt from Annex V of the minutes of the Bureau meeting in June 1997.

The financial audit has provided valuable initial information to aid the management review. The consultative group recalls the initial outline agreed upon at Merida (page 92 of the 20th session of the World Heritage Committee report), as well as the progress reports related to the April 1-2 and June 1997 20th meetings (documents WHF-97/conf.204/5 and WHF-97/conf.204/5Add.), and adds the following for the further guidance of the auditors.

The overall questions to which the group would like to have clear and useful answers and advice at the end of the review are:

1. What are the primary aims of the Committee in implementing the Convention, in enhancing World Heritage identification, conservation and preservation?
2. To what extent does the Centre assist the Committee in fulfilling its mission?

3. What are the key difficulties for the Centre in assisting the Committee?
4. What are the changes - structural, operational, attitudinal - which can be made to substantially improve the efficiency of the Committee and the Centre in their respective roles?
5. What are the priorities for these changes?
6. What is the suggested timetable for their implementation?

There are a number of particular concerns at this stage identified which the consultative group believes should be resolved. These include sponsorship guidelines, use of the emblem and staffing levels and qualifications. There are a number of documents and sources of information which will be useful. These include:

- The financial audit results
- The strategic plan of 1992, prepared on the 20th anniversary of the Convention
- The organizational chart of the World Heritage Centre
- "Internal Guidelines for Private Sector Fund-Raising in Favour of UNESCO"

The preliminary information on the above mentioned issues will have to be available for the workshop and distributed beforehand.

The workshop will be held at UNESCO's headquarters in Paris on the following date: October 31 - November 1, 1997.

The consultative group, whether they attend the workshop or other meetings or not, would appreciate to be circulated with regular progress reports at the following suggested dates: Third week of September and third week of October, 1997.

A draft final report of the management review, is suggested to be sent to the members of the consultative group on the second week of November, 1997. The report will also be presented to the Director-General of UNESCO for comments to the 21st session of the World Heritage Committee which will meet in Naples.

Comments will be compiled and it is suggested that a final report will be presented to the consultative group meeting at Naples on November 26, 1997, prior to the extraordinary session of the Bureau meeting.

## **APPENDIX II: 1992 Strategic Goals and Objectives Established by the World Heritage Committee**

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From a report to the sixteenth session of the World Heritage Committee (Santa Fe, 7-14 December, 1992) (WHC-92/CONF.002/12):

### **Strategic Goals and Objectives**

#### 1. Goal

- Promote completion of the identification of the world heritage

#### Objectives

- Complete the global study and appropriate thematic studies
- Assist, where necessary, in identification of sites and preparation of nominations

#### 2. Goal

- Ensure the continued representativity and credibility of the World Heritage List

#### Objectives

- Maintain objective and consistent review and evaluation procedures
- Refine and update criteria for evaluation of natural/cultural heritage nominations
- Promote consideration for inscription from all geo/cultural regions of the world
- Consider situation of sites no longer qualifying for listing

#### 3. Goal

- Promote the adequate protection and management of the World Heritage Sites

#### Objectives

- Take specific steps to assist in strengthening site protection and management
- Take appropriate actions to address threats and damage to sites

#### 4. Goal

- Pursue more systematic monitoring of World Heritage Sites

#### Objectives

- Define elements and procedures for monitoring
- Cooperate with States Parties and competent authorities on regular monitoring work

5. Goal

- Increase public awareness, involvement and support

Objectives

- Provide support to site presentation and interpretation
- Implement a professionally designed marketing strategy
- Attract donations and public support, including through demonstration of accountability in World Heritage Fund management
- Reinforce the image of a World Heritage Site network by introducing standards in the design and content of site programs and general information materials
- Compile and regularly distribute reports highlighting the success stories of the Convention
- Encourage appropriate co-operation with local populations in promoting and protecting World Heritage Sites
- Provide support for circulation of exhibits on World Heritage Sites among States Parties to the Convention

### **APPENDIX III: Workload Allocation within the Centre**

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#### **Grouping I: Secretariat functions for Statutory and other Meetings (60% of staff time).**

Committee and Bureau meetings may involve 55% of staff time allocation with 5% allocated to all regular statutory and other meetings combined.

The Centre prepares and follows up on the statutory meetings and other meetings for the various intergovernmental meetings, i.e. seven meetings in a two-year period excluding the biennial General Conference, the four annual meetings of the Executive Board and other meetings as requested by the intergovernmental bodies. The main tasks are:

- preparation of the agenda for regular and other meetings and of related documentation as per agenda items (15%);
- preparation of the reports of the meetings (5%);
- preparation of other reports as directed by the Committee (5%);
- correspondence, collation and transmittal of necessary documentation (5%); and
- implementation of decisions of the intergovernmental bodies (30%).

These tasks include carrying out labour-intensive administrative and technical activities such as:

- co-ordination of the inscription processes and associated lists;
- co-ordination of the international assistance processes;
- co-ordination of the monitoring and conservation processes;
- co-ordination of the emergency assistance process;
- preparation of budget and work plan and related Secretariat reporting;
- revisions to the Operational Guidelines as directed by the Committee ; and
- liaison and consultation with States Parties and Advisory Bodies on all technical aspects related to the preparation of meetings of governing bodies and to the implementation of their decisions.

**Grouping II: Functions derived from the Convention are estimated at 10% and include the following activities:**

- liaison with the Committee/ Bureau and States Parties or UNESCO Member States (e.g. delegation, politicians, government officials and site managers) upon their request or as directed by the Committee for purposes such as information, consultation, advice, assistance on all Convention-related matters sometimes involving missions to States Parties;
- co-ordination upon direction from the Committee on meetings with expert groups necessary for drawing up the lists;
- co-ordination upon direction from the Committee on studies and research necessary for drawing up the lists;
- archival and documentation function including storage and maintenance of Convention-related documents and updating of the various lists as required by the Convention;
- consultation, co-operation and liaison (directed by the Committee) with other UNESCO units including regional offices and with international and national organizations having similar objectives to the Convention; and
- administering the Fund.

**Grouping III: Functions implied by the Convention or the UNESCO Constitution are estimated at 30% and include the following activities:**

- liaison with States Parties or UNESCO Member States (not directed by the Committee but self-initiated and may involve missions);
- information to and consultation with expert groups, site managers, institutions, general public (not directed by the Committee);
- execution of tasks as requested by the Director-General of UNESCO; these include stimulation, formulation and/or execution of operational, monitoring and training projects (often directly resulting from or linked to missions to States Parties or UNESCO Members States): the tasks involve a wide array of activities with varying objectives and order of magnitude to respond to perceived needs and are usually based on individual initiatives, contacts and professional background of staff members;
- promotion of/information on/education on the Convention: management of, co-ordination/administration of or participation in a wide array of activities under arrangements varying from execution by staff to contracting out and entering into different partnership agreements (may involve missions, some of which by invitation);
- consultation, co-operation and liaison with other UNESCO units including regional offices and with national or international organizations; activities are not directed by the Committee but are self-initiated and may involve missions; and
- administering the Regular Program and Extra-Budgetary funding.

**COMMENTS OF THE DIRECTOR-GENERAL  
"REPORT OF THE EXTERNAL AUDITOR TO THE DIRECTOR-GENERAL OF  
UNESCO ON THE MANAGEMENT REVIEW OF THE  
WORLD HERITAGE CONVENTION"**

**Preamble**

I have carefully read the above Report and taken note of the 35 recommendations put forward by the External Auditor. I wish to thank the Auditor General of Canada for their considered work and advice.

Most of the recommendations proposed are rather general. Hence, in their current form it is very difficult to see how they can be considered for immediate application with a view to further improving the efficient functioning of the World Heritage Committee and the World Heritage Centre. This is perhaps due to the extremely limited time which was set aside for the Review (approximately 3 months).

In my view, in addition to those issues raised in the Report, the most important need is to enhance the conservation of World Heritage sites through a closer and decentralised monitoring of the state of conservation of the World Heritage sites.

I have tried to respond to each of the recommendations in as positive and constructive a manner as possible. I am also interested in knowing the Committee's views, both on the Report and its recommendations. In particular I now wish to see a detailed set of priorities established and a timetable of implementation agreed upon. Finally, I wish to assure the members of the World Heritage Committee that I am at their service to implement those concrete recommendations which they may identify as pertinent, and whose implementation is feasible.

**28 November 1997**

<p style="text-align: center;"><i>Report Recommendations (Paragraph numbers indicated)</i></p>	<p style="text-align: center;"><i>Responses</i></p>
<p><b>Strategic Direction</b></p> <p>27. The Committee should :</p> <ul style="list-style-type: none"> <li>• direct a Strategic Review exercise, fully supported by the Centre, using as a starting point a follow-up on the goals, objectives and recommendations adopted by its at the sixteenth session and contained in the 1992 document entitled "Strategic Orientations for the Future" ;</li> <li>• ensure that an updated strategic framework, containing as a minimum a vision, goals, objectives and short-, medium- and long- term action plans, be produced by December 1998 and systematically followed up through an action plan specifying accountable parties, time horizons and reporting mechanisms ; and</li> <li>• adopt the review of the status of the strategic framework as a permanent item on its agenda.</li> </ul>	<p>The conduct of the systematic strategic review is an important first step because the implementation of nearly all the other recommendations of the Management Review Report will depend on the outcome of such a review.</p>
<p><b>Implementing the Convention</b></p> <p>32. The Committee should examine whether its existing structure and operating procedures are still appropriate for today's environment and make any recommendations for improvement.</p>	<p>I fully agree; it is important that the Committee minimises redundancy in the work agenda of the Bureau and the Committee and ensures that the work of the Committee involves, to a much greater extent than at present, renowned experts in both fields: conservation of cultural and the conservation of natural heritage.</p>
<p><b>Site Listing and inscription</b></p> <p>43. The Committee should request that the Centre prepare an analysis of the sources of the imbalances in the World Heritage List and the list of sites being nominated, with a view to redress the imbalances in the nomination and inscription process. The analysis should include the effect of UNESCO and Centre interactions with regions and States Parties including missions to particular regions or countries, allocation of preparatory assistance, and allocation of funding for preparation of tentative lists. The Centre</p>	<p>There have been some past efforts to undertake a partial analysis; for example, as part of the meeting of natural and cultural heritage experts which was held in Parc de la Vanoise in March 1996.</p>

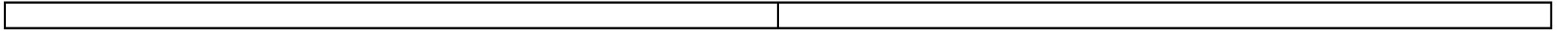


should also prepare a set of options that reflect their findings for discussion and decisions by the Committee.	
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<p>51. The Committee should examine options for changing the timing of the nomination process or limiting the number of nominations considered each year.</p>	<p>I do not agree with this recommendation. In my view, what is important is that the Committee uses its authority and capacity to judge the merit of each site nominated according to its quality.</p>
<p>52. the Committee should consider revising the Operational Guidelines for nominations and evaluations to enforce application of Article 11 paragraph 1 of the Convention requiring that all States Parties submit tentative lists for both cultural and natural heritage ; and extend the time-frames for nomination evaluations, preparation of evaluation summaries and consultation with States Parties, thereby providing for a "fast track" option in compelling cases. Any revisions should be done in consultation with the advisory bodies.</p>	<p>Submission of tentative lists must be made an obligatory requirement for natural sites as well. The recommendations of the Global Strategy, approved by the Committee at its eighteenth session (1994) identifies regions and categories of properties which are under-represented and could provide a basis for determining the compelling cases. Advisory Bodies, in particular ICOMOS, should be requested to take into full consideration the recommendations of the Global Strategy, and bring more rigour in the evaluation of nominations of categories of properties which are already well represented on the List.</p>
<p>53. The Centre should consider preparing separate guides for different players and for different activities instead of revising all-inclusive Operational Guidelines. For example, the States Parties could receive a guide outlining the steps of the nomination process, the expectations for nomination submissions, and relevant deadlines. For the advisory bodies, these requirements could be incorporated into the contracts, possibly with a penalty for late submission.</p>	<p>The Committee should assess the advantages and disadvantages of preparing separate guidelines as proposed, and instruct the Centre of its decision for implementation of this recommendation.</p>
<p>59. The Committee should :</p> <ul style="list-style-type: none"> <li>• amend the Operational Guidelines or the contracts with the advisory bodies to require the nomination evaluations to describe clearly the important values at each site and how they related to the criteria applied to the site ; and</li> <li>• periodically and selectively obtain an independent second opinion on nomination evaluations. This second opinion should be rendered by experts who are clearly independent of the original evaluations and should involve a site visit.</li> </ul>	<p>This requirement is already clearly well-established in the present Operational Guidelines (see Paragraph 63).</p> <p>I am of the opinion that the full responsibility for independent evaluations has to lie with the advisory bodies. In making its decisions, the Committee has to express its views on the quality of these evaluations.</p>

<p>60. The Centre should :</p> <ul style="list-style-type: none"> <li>ensure that each nomination is checked carefully by a staff member experienced with the contents of nominations and familiar with the current Operational Guidelines. Only if the nomination is complete, should it be forwarded to the advisory bodies. If technical questions arise, the relevant technical staff should be consulted and sign the nomination checklist before sending it on. The advisory bodies could, at their discretion, take incomplete files with information to be filled in later ; and</li> <li>work with the advisory bodies to prepare a proposal to the Committee for other steps to promote high-quality and credible evaluations.</li> </ul>	<p>The Centre will further improve its method for checking the completeness of the nomination files. The Advisory bodies will be asked to provide a detailed list of the information necessary for considering a nomination ready for evaluation by them.</p> <p>The Director of the Centre will raise this matter at the Centre's next meeting with the Advisory Bodies.</p>
<p>64. The Committee should :</p> <ul style="list-style-type: none"> <li>consider the implications of a growing World Heritage in Danger List, especially now that monitoring activity under the Convention steps up ; and</li> <li>set strategic priorities for action on sites on the List.</li> </ul>	<p>The World Heritage in Danger List is indeed a tool for improving the conservation of threatened properties. Its potential for protection and conservation of World Heritage properties however, has not been fully exploited. The Committee should ensure that the implementation of this recommendation too is linked to the overall strategic review as recommended in paragraph 27.</p>
<p>65. The Centre should strengthen co-operation with the Culture and Science-sectors of UNESCO :</p> <ul style="list-style-type: none"> <li>to monitor sites, especially those on the World Heritage in Danger List, and</li> <li>to develop joint approaches to provide assistance to those sites.</li> </ul>	<p>I shall set up a Task Force involving professionals from the Centre and the Science Sector to develop joint approaches for monitoring and international assistance to those natural heritage sites which are also Biosphere Reserves as well. In the case of cultural properties the Centre and the Cultural Sector will develop an information exchange system to notify one another before undertaking activities so that the activities could be better co-ordinated .</p>
<p style="text-align: center;"><b>Monitoring of sites</b></p> <p>72. The Centre should institute consolidated record keeping and reporting for monitoring reports starting as soon as possible, ensuring that they can be matched with nomination files. This information should be supplemented with the reports from previous years as soon as possible, drawing on the files of ICOMOS and IUCN if necessary.</p>	<p>The Centre will institute appropriate systems for record keeping and reporting on monitoring in full consultation with its partners, both inside and outside of UNESCO.</p>

<p>82. The Committee should request the Centre :</p> <ul style="list-style-type: none"> <li>to prepare an outline of different types of monitoring activity and identify which organization (or combination of organizations) could most effectively carry out the activity. This outline should be prepared in consultation with the advisory bodies and the UNESCO Sectors and agreed to by them.</li> <li>to develop a mechanism for co-ordinating actions on an on-going basis with all parties who carry out monitoring at World Heritage sites.</li> </ul>	<p>The Committee should instruct the Centre to undertake work necessary to implement these proposals which in my view are important to accomplish.</p>
<p>84. The Committee should request the Centre :</p> <ul style="list-style-type: none"> <li>to prepare in consultation with the Advisory Bodies a format for the periodic reporting by the States Parties for approval by the World Heritage Committee ; and</li> <li>to develop mechanisms for the handling and record-keeping of the periodic reports.</li> </ul>	<p>I attribute great importance to this recommendation. The Centre is ready to implement the Committee's decisions on this matter.</p>
<p style="text-align: center;"><b>International assistance</b></p> <p>88. The Centre should establish a management information system that will enable easy access and analysis of trends and patterns of international assistance projects.</p>	<p>The Centre will improve its information management capabilities.</p>
<p>89. The Committee should take necessary steps in order to fulfill its obligation, as per paragraph 5 of Article 13, to establish, regularly up-date and publicize a List of properties to which it has granted international assistance.</p>	<p>The Centre will improve its information management capabilities, particularly with regard to enabling the Committee to regularly publish an updated list of properties to which the Committee has granted international assistance.</p>
<p>94. The Committee should :</p> <ul style="list-style-type: none"> <li>consider revising the Operational Guidelines to give greater flexibility to the Centre to allocate international assistance, while requiring the Centre to provide proper accountability and performance reports ; and</li> <li>develop strategic priorities among and within categories of international assistance, considering the niche of the World Heritage Fund, the role of Regular Program funds, and the actions of other Sectors within UNESCO and other donors.</li> </ul>	<p>A very welcome recommendation. It will have significant beneficial impacts on nearly all aspects of the implementation of the Convention, particularly with regard to bettering the current implementation rates for funds set aside for international assistance projects.</p> <p>This must constitute an important component of the overall strategic review recommended in paragraph 27.</p>



<p>95. The Committee and the Centre should jointly develop performance expectations for international assistance provided under the banner of the World Heritage Convention.</p>	<p>I shall instruct the Centre to take necessary action to follow up on this matter.</p>
<p>96. The Committee should request the Centre to prepare draft revisions of the Operational Guidelines. These revisions should include preparing a separate description for States Parties of the types of international assistance available, procedures for obtaining that assistance, and obligations of that assistance.</p>	<p>In the preparation of the draft revisions of the Operational Guidelines, the decisions of the Committee with regard to the recommendations in paragraphs 93 and 94 will have to be taken into account. A small brochure on the World Heritage Fund was produced during the early 1990s and the Committee may consider updating that brochure to reflect all the proposed changes to the Operational Guidelines.</p>
<p>97. Centre desk officers should obtain a formal peer review and sign-off by one other desk officer on the technical merits of any particular project they are reviewing before funds are approved internally by the Centre.</p>	<p>The establishment of a Task Force between the Centre and the Science Sector and an information exchange system between the Centre and the Cultural Sector will provide an in-house peer review mechanisms.</p>
<p>106. The Committee should request the Director-General to conduct an outside evaluation of the relevance and effectiveness of international assistance provided. This information should provide a baseline for a follow-up evaluation in three years.</p>	<p>An evaluation will be undertaken by the Central Evaluation Unit of UNESCO and/or outside organisations.</p>
<p><b><u>Management of the World Heritage Centre</u></b></p> <p><b>Management of activities</b></p> <p>117. The Centre should examine its current span of functions and activities in line with :</p> <ul style="list-style-type: none"> <li>• the Committee's strategic priorities ; and</li> <li>• a clarified statement of its roles, responsibilities and accountability relationships for World Heritage activities that are not directly linked to statutory meetings.</li> </ul>	<p>Upon the completion of the strategic review as recommended in paragraph 27, and once the Committee has set strategic priorities for the Convention's future work, I intend to update the terms of reference of the Centre's work in consultation with concerned Sectors and units.</p>

<p>125. The Centre should :</p> <ul style="list-style-type: none"> <li>• develop, under guidance by the Office of Public Information and UNESCO Publishing Office, adequate policies and mechanisms for controlling the quality of information and publication products and protecting the rights and interests of UNESCO, the Fund and the States Parties/sites as necessary ;</li> <li>• ensure that its presentation and information activities are harmonised with the activities undertaken by States Parties in line with their obligations as signatories to the Convention ; and</li> <li>• evaluate periodically the cost-effectiveness and impacts of its information and education activities.</li> </ul>	<p>An ad-hoc working group has been constituted by the Centre with other Sectors and units in UNESCO, notably OPI and UNESCO Publishing Office to address these concerns. It will develop policies and mechanisms to control the quality of information and publication products. The Centre will notify information and publication activities in advance to the States Parties as well as to the relevant UNESCO Sectors.</p>
<p>128. The Centre should strive for an ideal mix of expertise based on a clear definition of the extent and nature of each activity, and the cost-effectiveness of alternate delivery modalities available.</p>	<p>The precise listing of activities for which the Centre is responsible for will have to be derived from the strategic review recommended in paragraph 27 and will enable the identification of the ideal mix of expertise.</p>
<p>130. The Centre should achieve a better integration between the cultural and natural heritage functions.</p>	<p>There are certain functions common to natural and cultural heritage which can be integrated. But certain areas of expertise related to cultural and natural heritage conservation are distinct and must remain separate.</p>
<p>136. The Centre should develop mechanisms to enhance collegial decision-making, co-ordination and sharing of lessons learned in the following areas :</p> <ul style="list-style-type: none"> <li>• strategies and priorities ;</li> <li>• budgeting and work planning ;</li> <li>• management of activities ; and</li> <li>• reporting on activities and results.</li> </ul>	<p>The Director of the Centre will improve sharing of lessons with regard to all four areas. In-house decision making system will also be improved with establishment of a Task Force with the Science Sector and an information exchange system with the Cultural Sector.</p>
<p>142. The Committee and the Centre need to review the way in which the needs of the Committee are currently fulfilled and how they could better served.</p>	<p>If the Committee lists its needs in accordance with its priorities, then the Centre will organise its work in order to better meet those priorities.</p>

<p>143. The Centre should consider having dedicated support to streamline preparatory work and follow-up documentation for the statutory meetings.</p>	<p>I believe it is better that all members of the Staff are associated with the statutory meetings so that they are fully aware of the working procedures and agenda of the Bureau and the Committee.</p>
<p><b>Operational planning and performance measurement</b></p> <p>150. The Committee should consider harmonising its planning cycle with the UNESCO biennial planning system.</p>	<p>If requested by the Committee, the Centre will provide a paper outlining a possible biennial planning cycle to the next session of the Committee.</p>
<p>151. In order to improve the monitoring of the implementation of Committee decisions and other activities, the Centre should :</p> <ul style="list-style-type: none"> <li>• formalise the process for preparing and updating work plans ;</li> <li>• prepare work plans presenting options with estimates of full cost implications and based on clearly established strategic priorities ;</li> <li>• monitor operations through quality management and financial information against approved work plans ; and</li> <li>• account to the Committee on a regular basis through a report on its performance against clearly targets, priorities and fully costed plans.</li> </ul>	<p>The Centre will further improve its performance in all four aspects.</p>
<p>157. The Centre should report systematically on the performance (results) of its activities and projects, and of other factors which are deemed critical for the success of the Convention.</p>	<p>Special attention will be given to providing performance-focused reports to the Committee on all activities undertaken, and in particular those dealing with monitoring, international assistance and promotion.</p>
<p><b><u>Human Resource Management</u></b></p> <p><b>Staffing of the World Heritage Centre</b></p> <p>174. The Centre should ensure that all posts are described and approved following a rigorous application of the Classification Standard and taking into account the actual responsibilities, duties and qualifications required for the posts necessary to meet the operational needs.</p>	<p>This recommendation will be rigorously followed.</p>



<p><b>Financial management</b></p> <p>179. The Centre should continue to give priority to improving its financial management situation, together with the assistance of UNESCO's Comptroller and Inspector General.</p>	<p>Internal control through the Comptroller's Office will be strengthened.</p>
<p><b>Management of Information</b></p> <p>193. The Centre should :</p> <ul style="list-style-type: none"> <li>• carefully review the recommendations from the Documentation Unit to strengthen the corporate memory and improve document management procedures, and implement all the steps that are feasible as soon as possible ;</li> <li>• adapt the central filing system to take into account the UNESCO wide requirements and the operational needs of the Centre. This should involve co-ordination among professional and support staff members to select the best of their individual systems ;</li> <li>• maintain a database on the number, type and source of requests received as well as staff time spent on responding to them in order to streamline this activity through effective support mechanisms ; and</li> <li>• ensure maximum use of up-to-date technology such as voice-mail and electronic mail.</li> </ul>	<p>The Centre will control access to nomination files and will systematically file monitoring and mission reports as well as check lists and correspondence related to nominations of properties.</p>
<p><b><u>Co-operation within UNESCO and with International Organizations</u></b></p> <p><b>Role and responsibilities within UNESCO</b></p> <p>201. The Director-General should :</p> <ul style="list-style-type: none"> <li>• strengthen the existing processes for co-ordinating world heritage activities within UNESCO to ensure that these activities are administered in the most efficient way.</li> <li>• clarify the responsibilities of the Centre for world heritage activities within UNESCO.</li> </ul>	<p>The Steering Committee will be re-invigorated as a policy organ to assist the Centre's in its work to co-ordinate the implementation of the World Heritage Convention within and outside of UNESCO and in accordance with the decisions of the Committee. The establishment of a Task Force with the Science Sector and an information exchange system with the Cultural Sector will complement the work of the Steering Committee at the operational level.</p>

**Co-operation with other international organizations involved with cultural or natural world heritage activities or related instruments**

208. The Committee should, as part of the strategic planning exercise, request the Centre to prepare a plan that systematically identifies international organisations that are involved in world heritage activities, and the opportunities and approaches to co-operation.

If requested by the Committee, the Centre will prepare such a plan.

With regard to the implementation of the recommendations, I request the Committee to:

- set priorities and time schedules for implementation;
- decide whether review, analyses and studies recommended are to be carried out by the Centre in co-operation with UNESCO based units or by external organisations; and
- estimate and provide the necessary financial resources for implementing the recommendations where necessary