



United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

# World Heritage

# 38 COM

**WHC-14/38.COM/5F**

Paris, 16 May 2014

Original: English

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

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

**WORLD HERITAGE COMMITTEE**

**Thirty-eight session**

**Doha, Qatar  
15 – 25 June 2014**

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

**5F. Follow-up to the Audit of the Working Methods of Cultural Conventions and to the Evaluation of UNESCO's Standard-Setting work of the Culture Sector**

## **SUMMARY**

By its Resolution **19 GA 8**, the General Assembly of States Parties at its 19<sup>th</sup> session took note of the recommendations of the Audit of the Working Methods of Cultural Conventions carried out by the Internal Oversight Service (IOS) of UNESCO (Document WHC-13/19.GA/INF.8A). The General Assembly examined some of these recommendations and requested the World Heritage Committee to consider the remaining recommendations at its 38th session in 2014 and present concrete measures for the implementation of the audit's recommendations.

This document presents (Part I) the status of the implementation of recommendations of the audit and proposals for consideration by the World Heritage Committee.

Furthermore, the Internal Oversight Service (IOS) recently completed the evaluation of UNESCO's standard-setting work of the Culture Sector, including the 1972 World Heritage Convention. Therefore, this document also presents (Part II) the recommendations of the Evaluation report of the 1972 Convention and offers possible responses for the Committee's consideration.

**Draft Decisions: 38 COM 5F.1 and 38 COM 5F.2 , see Part III**

## **Part I. Follow-up to the Audit of the Working Methods of the Cultural Conventions**

### **I. Background**

The Internal Oversight Service (IOS) of UNESCO conducted an Audit of the working methods of the six conventions in the field of culture, in order to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work. The IOS report, 'Audit of the Working Methods of Cultural Conventions' (Document WHC-13/19.GA/INF.8A), including the recommendations, is contained in Annex I of this document. The recommendations of the Audit essentially seek to streamline and rationalize various statutory processes and achieve cost efficiency.

A summary of the IOS report was presented to the Executive Board at its 192nd session. It was also presented to the General Assembly of States Parties to the World Heritage Convention at its 19th session in November 2013. The General Assembly considered the recommendations of the audit and adopted Resolution **19 GA 8** (Annex II). While the General Assembly was able to take a decision to implement recommendations 1 (a) and 1 (e), it requested the World Heritage Committee to consider the remaining recommendations of the Audit at its 38th session in 2014 and present concrete measures for the implementation of the Audit's recommendations.

### **II. Recommendations of the Audit**

Some of these recommendations have already been implemented by the Secretariat, but others will have to be considered and decided upon by the World Heritage Committee. Accordingly, this document presents a progress report on action already taken and some proposals for the consideration of the Committee.

***Recommendation 1: Convention secretariats to formulate proposals to the Governing Bodies of UNESCO and/or of the Convention(s) to:***

*a) Supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents.*

At its 19th session, the General Assembly of States Parties to the World Heritage Convention decided (Resolution 19 GA 8) with regard to recommendation 1(a) to establish a sub-account within the World Heritage Fund, to be funded from Voluntary Contributions and to be used exclusively for enhancing the human capacities of the Secretariat. Accordingly, the sub-account has been created and a circular letter has been sent to all States Parties to consider making voluntary contributions for this purpose. The World Heritage Committee may also wish to reiterate the request to all States Parties to make voluntary contributions to this sub-account (see also Document WHC-14/38.COM/12).

*b) Prioritize the current work load of the convention secretariats to align it with available resources.*

The World Heritage Committee may wish to consider this recommendation while taking decisions on the different agenda items. Accordingly for the agenda items for this session, the Secretariat and Advisory Bodies have indicated decisions for which funding is not available. While decisions for which funding is available can be implemented, those without available funding will have to wait until the required resources can be mobilized.

*c) Reduce the frequency, when feasible, duration and agenda of the meetings of State Parties and that of the Intergovernmental Committees and synchronize the meetings of the State Parties to the conventions, when efficiencies can be achieved.*

Over the past years the duration of the World Heritage Committee sessions has varied from 9 to 13 days (9 in 2008; 9 in 2009; 10 in 2010; 11 in 2011; 13 in 2012; 11 in 2013; 11 in 2014) depending mainly on the items on the agenda as requested by Members of the Committee.

For the 38th session although the duration is shown as 11 days, it should be noted that there will not be any session in the morning of Friday 20th June and we hope to end the working session by lunch time on 25th June. We will also be greatly limiting the time of presentations of working documents by the Secretariat and the Advisory Bodies to fit this reduced time availability.

The Committee may wish to consider if the agenda of future sessions could be further rationalized, with a view to reduce the duration of each session.

As the General Assembly of States Parties to the World Heritage Convention is required to meet during the General Conference of UNESCO, it is very difficult to synchronize it with meetings of the States Parties to the other Culture Conventions.

*d) Harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages.*

The working languages of the World Heritage Committee are limited to English and French by Rule 44.1 of the Rules of Procedure. The working documents are prepared in only these two languages. When interpretation is requested by Committee members in the other UN languages (usually Spanish, Russian and Arabic), it is arranged at their own cost. The working languages for the General Assembly of States Parties are all the six UN languages and both the working documents and interpretation services are provided in all these languages.

*e) Modify the financial rules and regulations if necessary to allow application of cost recovery policy.*

With regard to this recommendation, and as mentioned in the action taken against Recommendation 1 (a) above, the General Assembly of States Parties through its Resolution **19 GA 8** created a sub-account to the World Heritage Fund. The General Assembly further decided to apply the UNESCO cost recovery policy for the staff time spent in managing the World Heritage Fund, but only within the limit of the funds made available under this newly created sub-account.

***Recommendation 2:*** *Convention secretariats, where applicable, to explore more efficient ways of the obtaining advisory services and consider potential chargeback mechanisms to the nominating State Parties and/or earmarked fund and formulate proposals to the respective Governing Bodies for possible economies and financial sustainability in the advisory service fees.*

The Committee has invited the Advisory Bodies to continue to focus on more efficient ways of working, keeping administrative costs to a minimum and identifying opportunities to make savings (see Decision 37 COM 15.I Part II, paragraph 17). Moreover, the advisory missions of the Advisory Bodies are funded by the respective States Parties who request such missions, or from other sources.

***Recommendation 3:*** *CLT Sector should expand its common logistics unit to include additional services that add value and provide cost-effective solutions to support the work of all convention secretariats. The platform can function under the guidance of the Cultural Convention Liaison Group.*

As a part of the restructuring of the Culture Sector, a Convention Common Services (CCS) Unit has been approved comprising two teams, one dealing with Communication, Outreach and Partnership (COP) matters across all the Conventions, and the other with the Logistics (LOG) of preparing for and managing the meetings of the Governing Bodies of all the Conventions. At the time of preparing this document, a DG Ivory Note was under preparation announcing the new structure of the Culture Sector.

**Recommendation 4:** *CLT Sector to formulate, in consultation with BSP/CFS, a coordinated fund raising strategy for all conventions secretariats and form a common resource mobilization team.*

As mentioned above, a common resource mobilization team is part of the COP team within the CCS Unit. This team is also charged with developing a common fund-raising strategy for all the Conventions.

## **Part II. Follow-up to the Evaluation report of UNESCO's Standard-Setting work of the Culture Sector: 1972 Convention**

### **I. Background**

In line with its biennial plan for 2012-2013, UNESCO's Internal Oversight Service (IOS) recently completed the evaluation of UNESCO's standard-setting work of the Culture Sector. Part III of this evaluation concerns the Convention of 1972 on the Protection of the World Cultural and Natural Heritage (see IOS/EVS/PI/132 REV.2 available at the following address: <http://www.unesco.org/ios>)<sup>1</sup>. ). The evaluation was presented to the Executive Board, at its 194<sup>th</sup> session, within the Annual Report of IOS (Document 194 EX/22 available at the following address: <http://www.unesco.org/new/en/executive-board/current-documents/>).

The purpose of IOS evaluation of UNESCO's standard-setting work of the Culture Sector is to generate findings and recommendations regarding its relevance and effectiveness, with a focus on its impact on legislation, policies, and strategies of States Parties to UNESCO's culture conventions. Annex III to Document 194 EX/22 includes the preliminary cross-cutting findings and conclusions related to the standard-setting work of the Culture Sector.

The evaluation report on the Convention of 1972 was carried out by Prof. Francesco Francioni, European University Institute, with the assistance of Christine Bakker, European University Institute and Federico Lenzerini, University of Siena.

### **II. Recommendations of the evaluation report**

The evaluation contains four recommendations presented below, together with comments on the possible follow-up:

**Recommendation 1:** Strengthen the existing results reporting framework, which includes the Periodic Reports, through the development of indicators and benchmarks to improve follow up on progress made by State Parties with the implementation of both the Convention of 1972 and the 1972 Recommendation (concerning the Protection, at National Level, of the Cultural and Natural Heritage).

---

<sup>1</sup> Available in English on IOS webpage, French translation in process by IOS.

- a) As mentioned in the evaluation report itself (paragraph 158), “some indicators are already implied in the existing periodic reporting questionnaires and the periodic reports. They include framework legislation for heritage protection, action plans to promote heritage, education and training of experts. More could be added, including budget analysis to determine the amount of resources devoted to heritage conservation and impact of heritage law and policy on international economic relations of State Parties, especially in the field of trade and foreign direct investments.”
- b) This recommendation could be addressed in the framework of the reflection period regarding the implementation modalities of the Periodic reporting exercise, to be launched after the end of the second cycle of Periodic reporting in 2015.
- c) The reflection should aim to adapt the Periodic reporting framework to the current challenges of a fast increasing list of WH properties and diminishing resources of the Secretariat, while at the same time allowing to find suitable modalities of strengthening the current system of indicators in order to gauge the level of effective observance by State Parties to the Convention. This should also allow to better integrate the monitoring of the 1972 Recommendation, within the same reporting framework, thus ensuring greater efficiency.

**Recommendation 2:** State Parties to evaluate the impact that international investment projects in the territory of State Parties may have on sites inscribed on the World Heritage List and on cultural and natural heritage in general, which is relevant for the purpose of the application of the 1972 UNESCO Recommendation.

- a) With regard to World Heritage properties, paragraph 172 of the Operational Guidelines invites States Parties to the Convention to inform the Committee, “through the Secretariat, of their intention to undertake or to authorize in an area protected under the Convention major restorations or new constructions which may affect the Outstanding Universal Value of the property [...] so that the Committee may assist in seeking appropriate solutions to ensure that the Outstanding Universal Value of the property is fully preserved.” This provision does not make a distinction between national development projects or international investment projects and may thus be said to ensure compliance with the Recommendation 2, with regard to WH properties.
- b) Nonetheless, in order to fully comply with Recommendation 2, the Committee may wish to consider adopting a decision which invites States Parties to pay special attention to evaluating the impact of international investment projects on heritage in general, and to World Heritage sites, in particular.

**Recommendation 3:** Reflect and discuss about how to deal with situations of persistent divergence of State Parties views about the meaning of certain provisions of the Convention and about the scope of obligations arising thereunder.

- a) As the reports points out, the World Heritage Convention does not contain any provision for the settlement of disputes arising from its interpretation or application, while currently, with the Convention having developed into a much more complex and fine-tuned set of duties and rights related to the protection and conservation of world heritage, it is unavoidable that an increasing number of cases are brought before the Committee where diverging views are put forward by the different stakeholders.

- b) A possible solution proposed by the evaluation report “would be to defer the solution of legal disputes arising under the World Heritage Convention to a technical-legal group of independent experts, selected in consultation with the Advisory Bodies, and competent to provide authoritative opinions on the meaning of specific provisions of the Convention and rules of the Operational Guidelines, and to fully analyze the motives and implications of the diverging view existing over such provisions and rules” (paragraph 161 of the report).
- c) The World Heritage Centre consulted the Legal Adviser concerning the modalities of implementation of the above solution proposed by the Report. LA advised that:
- If the suggestion is that the Committee delegate to a group of independent experts decisions regarding the meaning of specific provisions of the Convention and rules of the Operational Guidelines, and to fully analyse the motives and implications of the diverging view existing over such provisions and rules”, this would require an amendment of the Convention because it would entail a delegation of decisions to entities not foreseen in the Convention.
  - If, on the other hand, the purpose of this recommendation was to maintain the decision-making authority of the Committee and to allow the Committee to consult independent experts, nothing in the Convention or in the Rules of Procedure of the Committee prohibits such a mechanism.
  - Rule 20 of the Rules of Procedure of the Committee foresees that “the Committee may create such consultative bodies as it deems necessary for the performance of its functions” and that “the composition and terms of reference (including mandate and duration of office) of such consultative bodies shall be defined by the Committee at the time of their creation”. Rule 20 does not require that these consultative bodies be composed of Members of the Committee or States non members to the Committee. It is up to the Committee to define their composition.
  - These consultative bodies could be composed of experts who are invited to attend the meetings of the Committee pursuant to Article 8.3 of the Convention (Rule 6 of the Rules of Procedure of the Committee) and Article 10.2 of the Convention (Rule 7 of the Rules of Procedure). These articles foresee the possibility for representatives of intergovernmental organizations and non-governmental organizations as well as public or private organizations or individuals of participating in sessions of the Committee for advisory and consultative purposes.
  - These groups of experts established by the Committee could meet during or in between sessions of the Committee.
- d) It will be therefore up to the Committee to address this recommendation and to examine:
- possible modalities of implementation of the solution above proposed by the Evaluation report, taking into account the clarifications provided by LA;
  - Other possible options for complying with this recommendation, e.g. seeking *ad hoc* advice in such situation, as cases arise.

- e) It is to be noted that the establishment of a group of experts, as a consultative body of permanent nature, would entail significant budgetary implications, for the services provided by such a body and in terms of the costs of such meetings. It would also entail an additional increase of the workload of the Secretariat.

**Recommendation 4:** Reflect and discuss about how to promote the systemic integration between the Convention of 1972 and the other UNESCO regimes in view of achieving mutual supportiveness between the different treaty systems of heritage protection.

- a) As far as the work of the Conventions Secretariats is concerned, as mentioned in Part 1, under Recommendation 3, as a part of the restructuring of the Culture Sector, a Convention Common Services (CCS) Unit has been proposed comprising two teams, one dealing with Communication, Outreach and Partnership (COP) matters across all the Conventions, and the other with the Logistics (LOG) of preparing for and managing the meetings of the Governing Bodies of all the Conventions.
- b) A process of harmonizing the working methods of the conventions has been under way for the last couple of years, through the Cultural conventions liaison group CCLG (see also Document 38 COM 5A).
- c) The Committee may wish to take note of the above as work in progress of the Secretariat towards complying with Recommendation 4 (as well as Recommendation 3 of the Audit on the working methods).
- d) Provided that the Recommendation 4 addresses both the Secretariat and the States Parties to the Convention, the Committee may wish to consider adopting a decision encouraging States Parties to apply a more systemic approach towards “enhancing coherence in the development of the legal tools that are necessary to make such protection effective in the national law and policies of Member States” (paragraph 162 of the report).

Furthermore, the UNESCO Executive Board at its 194th session adopted Decision 194 EX/22, of which paragraph 6 invites the Director-General to facilitate the development of action plans addressing the evaluation recommendations and organize a working group of States Parties to address those recommendations of relevance across the Conventions. The decision also requests the Director-General to continue her efforts to ensure that all IOS recommendations are properly implemented within a reasonable time frame, in consultation with the competent governing bodies as necessary, and without prejudice to the conclusions of the working group. The Committee may wish to consider this matter as well.

### **Part III. DRAFT DECISIONS**

#### **Draft Decision: 38 COM 5F.1**

*The World Heritage Committee,*

1. *Having examined Document WHC-14/38.COM/5F and its Annexes,*
2. *Welcomes the findings of the audit and the recommendations offered therein,*
3. *Takes note that the General Assembly of States Parties decided to establish a sub-account under the World Heritage Fund with regard to recommendation 1(a), to be*

funded from Voluntary Contributions and to be used exclusively for enhancing the human capacities of the Secretariat, and with regard to recommendation 1(e) to apply the cost recovery policy for the staff time spent in managing the World Heritage Fund within the limit of the funds made available under the sub-account; recalls the invitation of the General Assembly to States Parties to provide voluntary supplementary contributions to the sub-account in the amount of at least US\$1,000,000 per year in total;

4. Takes further note that the established practice of the Convention with regard to translation and interpretation of statutory meetings – specifically, that costs of interpretation in languages other than English and French for Committee sessions are borne by extrabudgetary contributions – satisfies Recommendation 1(d);
5. Also welcomes the establishment by the Culture Sector of a Conventions Common Services Unit that aims to support the work of all convention secretariats, as suggested in Recommendation 3, and expects that it will add value and provide cost-effective solutions to the challenges facing the Conventions;
6. Acknowledges the necessity to prioritize the workload of the Secretariat to align it with available resources (Recommendation 1 (b)), while recalling that the Organization is confronting an unprecedented financial situation that demands creative solutions;
7. Considers that the annual frequency of sessions of the Committee is appropriate, welcomes the suggestion in Recommendation 1 (c) to reduce the duration and agenda of the sessions;
8. Takes note of the suggestion to synchronize the meetings of the States Parties to the different Conventions (Recommendation 1 (c)), but considers that this would not be an advantage to States Parties in view of the duration and location of the sessions.

### **Draft Decision: 38 COM 5F.2**

The World Heritage Committee,

1. Having examined Document WHC-14/38.COM/5F as well as the “Evaluation of UNESCO’s Standard-setting work of the Culture Sector: Part III – 1972 Convention,
2. Noting that the present evaluation constitutes the first such evaluation of the impact and effectiveness of the World Heritage Convention of 1972,
3. Welcomes the findings of the evaluation and the recommendations offered therein;
4. Takes note that the current periodic mechanism already includes a number of indicators and considers that Recommendation 1, with regard both to the World Heritage Convention of 1972 and the Recommendation concerning the Protection, at National Level, of the Cultural and Natural Heritage, should be addressed in the framework of the reflection period regarding the implementation modalities of the Periodic reporting exercise, to be launched after the end of the second cycle of Periodic reporting in 2015, thus building on existing mechanisms, avoiding overlap of reporting mechanisms and ensuring greater efficiency;
5. Also takes note, with regard to Recommendation 2, that the Operational Guidelines include a provision (paragraph 172) aiming to prevent negative impact of development projects on the Outstanding Universal Value of the World Heritage Properties, through a recommendation to States Parties to inform the World Heritage



Committee about such projects, and that no distinction between national and international investment projects is made;

6. Calls upon States Parties, with a view to fully satisfy Recommendation 2, to introduce or reinforce existing mechanisms for evaluation of the impact of investment projects, both national and international, on cultural and natural heritage in general, and on World Heritage properties, in particular, and recommends that in this regard they make sustained use of all tools and guidance already developed by WHC and the Advisory Bodies;
7. Further takes note of Recommendation 3 and decides to seek technical and legal advice regarding resolution of legal disputes pertaining to the meaning of certain provisions of the Convention and about the scope of obligations arising thereunder, on an ad hoc basis, as cases arise;
8. Recognizes that the proposals contained in Recommendation 4 are already being addressed by the Secretariat of the Convention of 1972 and the other cultural conventions secretariats, through the creation of Common Conventions Services Unit and that a process of harmonizing the working methods of the conventions is under way, through the Cultural Conventions Liaison Group CCLG and takes note that this is work in progress by the Secretariat towards complying with Recommendation 4;
9. Urges the States Parties to the Convention, in view of complying with Recommendation 4, to enhance coherence in the development of the legal tools that are necessary to make protection of heritage under the relevant UNESCO Standard-setting instruments, effective in their national laws and policies and requests the Secretariat to provide support and assistance to States Parties in this regard, where requested and appropriate;
10. Further takes note of Decision 194 EX/22 (paragraph 6) by the Executive Board of UNESCO concerning actions to be taken towards implementation of the recommendations of the evaluation of UNESCO's Standard-setting work of the Culture Sector.

## ANNEX I



United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

Organización  
de las Naciones Unidas  
para la Educación,  
la Ciencia y la Cultura

Организация  
Объединенных Наций по  
вопросам образования,  
науки и культуры

منظمة الأمم المتحدة  
للتربية والعلم والثقافة

联合国教育、  
科学及文化组织

# World Heritage

# 19 GA

**WHC-13/19.GA/INF.8A**

**Paris, 14 October 2013**

**Original: English/French**

## UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION

### NINETEENTH SESSION OF THE GENERAL ASSEMBLY OF STATES PARTIES TO THE CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE

Paris, UNESCO Headquarters  
19-21 November 2013

**Item 8 of the Provisional Agenda: Determination of the amount of the contributions to the World Heritage Fund in accordance with the provisions of Article 16 of the *World Heritage Convention***

**INF.8A:** Audit of the Working Methods of Cultural Conventions

#### SUMMARY

This document contains the Audit of the Working Methods of Cultural Conventions prepared by the Internal Oversight Service of UNESCO.

This document should be read in conjunction with **Document WHC-13/19.GA/8.**



United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

Organización  
de las Naciones Unidas  
para la Educación,  
la Ciencia y la Cultura

Организация  
Объединенных Наций по  
вопросам образования,  
науки и культуры

منظمة الأمم المتحدة  
للتربية والعلم والثقافة

联合国教育、  
科学及文化组织

## Internal Oversight Service Audit Section

IOS/AUD/2013/06

Original: English

# Audit of the Working Methods of Cultural Conventions

*September 2013*

### **Auditors:**

Hir Purkait  
Slavka Douet  
Nicola Tabacchi

# EXECUTIVE SUMMARY

## Key Results

IOS conducted an audit of the working methods of the six conventions in the field of culture to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work in the Culture Sector. The audit found that the current situation is unsustainable as support from the regular programme budget decreases and the workload of the convention secretariats increases. There is thus a need to review the amount of secretariat work that can be executed and cost-saving measures should be considered. Potential measures include reducing the frequency, duration and agenda of the meetings of governing bodies, synchronizing the meetings of the general assemblies, temporarily suspending fresh nominations, and using more sponsors for meeting expenses, including for translation and interpretation. The audit also found that there is an opportunity for a common platform across the culture conventions for support services given the synergies and nature of functions. Finally, alternative funding structures, such as those employed by other United Nations multilateral environment agencies, should be considered.

## Background

1. Promoting Standard-setting instruments is one of the five established functions of UNESCO. In the field of culture, UNESCO promotes cultural Conventions and Protocols as detailed below.



2005 Convention on Protection and Promotion of the Diversity of Cultural Expressions



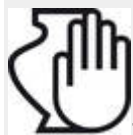
2003 Convention on Safeguarding of the Intangible Cultural Heritage



2001 Convention on Protection of the Underwater Cultural Heritage



1972 Convention Protection of the World Cultural and Natural Heritage

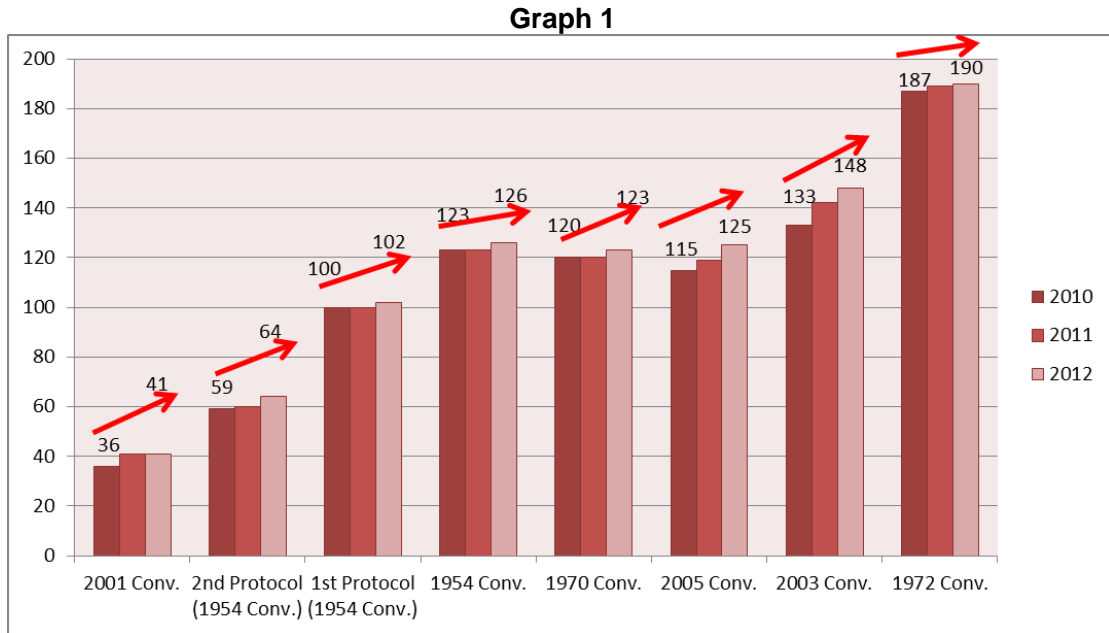


1970 Convention on Fighting Against the Illicit Trafficking of Cultural Property

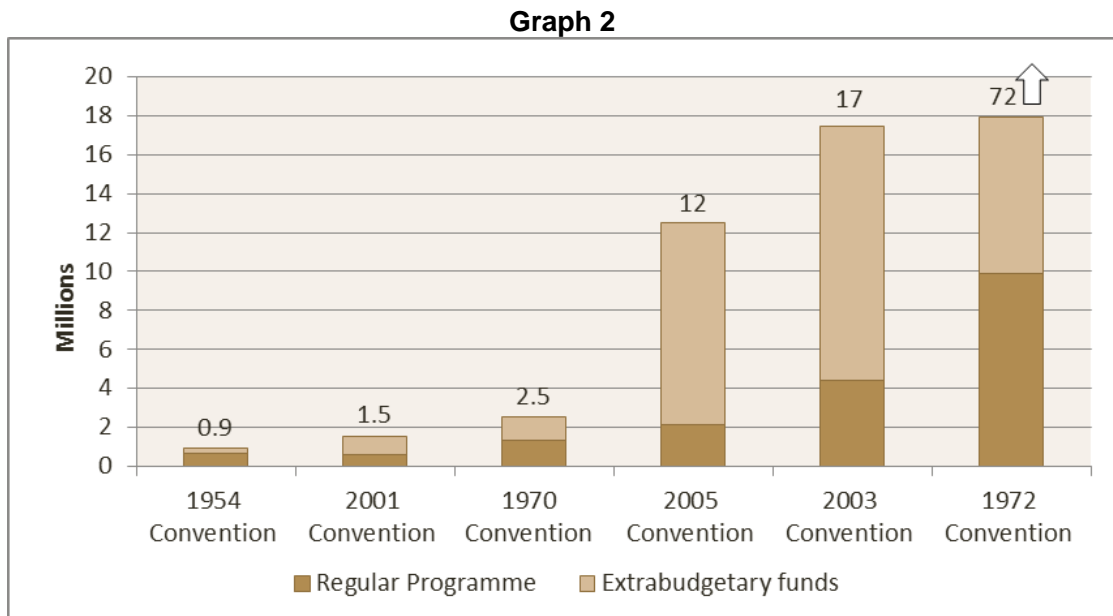


1954 Convention on Protection of Cultural Property in the Event of Armed Conflict (1<sup>st</sup> Protocol and 2<sup>nd</sup> Protocol)

2. Implementation and support to these conventions forms a significant part of the UNESCO Culture Sector activities. In recent years, the total budgets of the six active conventions and protocols comprised about 80 per cent of the overall Culture Sector budget.
3. The importance of these conventions can be seen from the increasing ratification of (State) Parties as shown in the graph below.



4. There are generally three funding modalities to support the activities under these conventions. 1) UNESCO Regular Programme support by way of activity funding and staff resources, 2) Dedicated funds for convention based on either assessed or voluntary contributions from the Member States, and 3) Other extra-budgetary funding. The total budgets for the biennium 2012-13, by convention are shown in the graph below.



Source: FABS data July 2013. 33,9 Million USD is managed by the World Heritage Centre and 38.8 Million USD is delegated to UNESCO field offices.

5. Working methods of the governing bodies and broad functions of the secretariats are guided by the convention text as well as operational directives and rules of procedures adopted by the Governing Bodies of each convention.
6. Governance arrangements of these conventions are defined in the convention texts, and specific duties of each constituency are in the Operational Guidelines/Directives. The Conference/Assembly of State Parties is the highest decision making body and meets periodically, generally once in two years.
7. Four of the conventions are supported by intergovernmental committees, which meet annually or more frequently and are empowered to take decisions as per the convention texts and operational guidelines of the conventions. The sizes of these committees vary from 18 to 24 members, elected from the six UNESCO regional electoral groups for the election of Members of the Executive Board (except in case of the Second Protocol of the 1954 Convention). In addition, some conventions have subsidiary bodies/consultative bodies to support the work of the committee.
8. As mentioned in the texts of these conventions, UNESCO provides secretariats for the conventions. The roles of the secretariats, as defined in the convention text and in the operational directives are essentially twofold, i.e. a) to help organize the meetings of the Governing Bodies (i.e. Conference/Assembly of State Parties and Intergovernmental Committees) and b) to implement their decisions and recommendations as well as to perform any other function entrusted to them.
9. A Cultural Convention Liaison Group (CCLG) comprising of the heads of the convention secretariat has been established to increase coordination among conventions. The Group first met in January 2012.

### **Scope, objective and methodology**

10. IOS conducted an audit of the working methods of the six conventions in the field of culture, in order to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work. The audit was performed in accordance with the *International Standards for the Professional Practice of Internal Auditing*.
11. The scope of the review included working methods of the convention secretariats, the funding arrangements and the meetings of the governing bodies. For the purpose of this audit, all six active conventions were reviewed.
12. The methodology of the audit included data and information gathering through a review of convention texts, operational guidelines, rules of procedures as well as prior studies and reviews and interviews with the staff of the convention secretariats. In addition, the audit reviewed funding and governance structure in a number of similar UN conventions hosted outside UNESCO for benchmarking purposes.

### **Achievements:**

- Member States assign high priorities to the convention related activities. During the prioritization exercise by the Executive Board (the 5<sup>th</sup> Special Session), the expected results relating to all six conventions received Medium- High (B-A) priority (meaning a budget priority between 40-100 per cent) with special mention for resource support to the 1970 Convention.
- In recent years, efforts have been made to increase coordination among various convention secretariats. A Cultural Convention Liaison Group (CCLG) comprising the heads of the convention secretariats has been established. This group has high

potential to foster coordination and efficiencies among the convention secretariats. To achieve this potential, the group would need clear roles and accountabilities.

### **Challenges and Opportunities:**

- Increasing workload with decreasing funding is unsustainable. Over the years, work of the convention secretariats has increased due to an increase in the number of: a) (State) Parties to the conventions; b) statutory meetings and their bodies; c) decisions and recommendations to be implemented by the secretariat; d) nominations to the conventions' mechanisms; e) international or any other category of assistance requests, f) design and implementation fundraising campaigns and communication strategies and g) processing and analysis of periodic reports. In addition, there are increasing demands from Parties for capacity building and technical assistance in the implementation of the Conventions at country level as well as for the production, management and distribution of knowledge in line with UNESCO's overall objectives to act as a clearing house and laboratory of ideas. These activities have been determined as priority by the governing bodies, in particular for the development of policies and action plans, gathering qualitative and quantitative evidence, content development distributed through knowledge sharing platforms, thematic debates on key articles of the Conventions. However, the total funding for the activities and staff resources are on decline. The decline is likely to be aggravated in the coming biennium due to overall budgetary cuts in UNESCO. There is a need to prioritise the activities of the convention secretariats and explore other funding models.
- Governing Bodies meetings should be more efficient and cost effective by reducing the frequency of meetings to align with the forthcoming quadrennial programming cycle of UNESCO, by limiting the meeting durations, by synchronizing the meetings of General Assemblies of the conventions, possibly just after the UNESCO General Conference meetings and by harmonising the translation and interpretation requirements across the convention meetings. The Executive Board in its 191<sup>st</sup> session recommended that the General Conference, at its 37th session, request the governing bodies of all intergovernmental and other bodies to address the efficiency and effectiveness of their meetings and formulate governance reform and cost-saving measures as appropriate.
- There is a need to review the cost structure of the advisory services (E.g. process requests for nomination and international assistance, impart trainings and undertake monitoring activities) provided by these statutory bodies to find more cost effective ways. Conventions follow different working methods for processing of nominations and International Assistance requests. Advisory services obtained from the three statutory bodies constitute a large part of the 1972 Convention budget.
- Support services such as IT and Web design & maintenance, communication and meeting logistics are fragmented across the convention secretariats and a common platform for such services would be more efficient.
- A coordinated fund raising strategy with common resource mobilization team would be more effective for raising extrabudgetary resources and will also provide an opportunity for common branding of UNESCO cultural conventions.



### **Table of recommendations**

**Recommendation 1:** We recommend that the convention secretariats formulate proposals to the Governing Bodies of UNESCO and/or of the Convention(s) to:

a) Supplement the current funding structure with General Trust funds formed out of contributions from the Contracting (State) Parties on compulsory or voluntary basis to cover the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents, b) prioritize the current work load of the convention secretariats to align it with available resources, c) reduce the frequency, when feasible, duration and agenda of the meetings of State Parties and that of the Intergovernmental Committees and synchronize the meetings of the State Parties to the conventions, when efficiencies can be achieved, d) harmonize the translation and interpretation requirements across the convention meetings and seek extrabudgetary funding for additional languages, and e) modify the financial rules and regulations if necessary to allow application of cost recovery policy.

**Recommendation 2:** We recommend that the convention secretariats, where applicable, explore more efficient ways of the obtaining advisory services and consider potential chargeback mechanisms to the nominating State Parties and/or earmarked fund and formulate proposals to the respective Governing Bodies for possible economies and financial sustainability in the advisory service fees.

**Recommendation 3:** We recommend that the CLT Sector should expand its common logistics unit to include additional services that add value and provide cost-effective solutions to support the work of all convention secretariats. The platform can function under the guidance of the Cultural Convention Liaison Group.

**Recommendation 4:** We recommend that the CLT Sector formulate, in consultation with BSP/CFS, a coordinated fund raising strategy for all conventions secretariats and form a common resource mobilization team.

## ANNEX II

### 8. Determination of the amount of the contributions to the World Heritage Fund in accordance with the provisions of Article 16 of the *World Heritage Convention*

#### Resolution: 19 GA 8

The General Assembly,

1. Having examined Documents WHC-13/19.GA/8, WHC-13/19.GA/INF.8 and WHC-13/19.GA/INF.8.A,
2. Recalling Article 16 paragraph 1 of the *World Heritage Convention* on the determination, in the form of a uniform percentage, of the amount of the contributions to be paid to the World Heritage Fund by States Parties,
3. Decides to set at 1% the percentage for the calculation of the amount of the contributions to be paid to the World Heritage Fund by States Parties for the financial period 2014-2015;
4. Notes the status of compulsory and voluntary contributions to the World Heritage Fund as presented in Document WHC-13/19.GA/INF.8;
5. Requests the Director-General of UNESCO to include, in the letter requesting payment of the assessed compulsory and voluntary contributions to the World Heritage Fund to States Parties an additional paragraph requesting States Parties for supplementary voluntary contributions, and to report back to the 20th session of the General Assembly in this regard;
6. Reiterates the plea of the World Heritage Committee to States Parties to the *Convention* to pay their annual contributions by **31 January** wherever possible in order to facilitate the timely implementation of the activities financed by the World Heritage Fund;
7. Takes note of the options proposed for allocating unrestricted supplementary voluntary contributions to the World Heritage Fund and, in order to help towards the sustainability of the World Heritage Fund, recommends to States Parties willing to make these contributions to apply one of the following options:
  - Option 1: Increasing the standard percentage used in the calculation of the contributions to the World Heritage Fund from 1% to 2%,
  - Option 3.1: Increasing the contributions by a flat rate of US\$3,300 per property inscribed,
  - Option 3.2: Increasing the contributions by an additional 4% of the current assessed contribution per property inscribed,

- Option 3.3: Increasing the contributions by an additional amount per property inscribed, according to a percentage increasing with the number of properties inscribed,
  - Option 3.4: Increasing the contributions by an additional amount per property inscribed, according to a percentage decreasing with the number of properties inscribed,
  - Option 4: Increasing the contributions on the basis of the number of tourists arrivals at World Heritage Sites,
  - Option 5: Contributing per activity;
8. Also notes the recommendations of the Audit of the Working Methods of Cultural Conventions carried out by the Internal Oversight Service (IOS) of UNESCO and also decides with regard to recommendation 1(a) to establish a sub-account within the World Heritage Fund, to be funded from Voluntary Contributions and to be used exclusively for enhancing the human capacities of the Secretariat, and with regard to recommendation 1(e) apply the cost recovery policy for the staff time spent in managing the World Heritage Fund within the limit of the funds made available under the sub-account;
  9. Invites States Parties to provide voluntary supplementary contributions to the sub-account in the amount of at least US\$ 1,000,000 per year, in total;
  10. Requests the World Heritage Committee to consider the remaining recommendations of the Audit at its 38th session in 2014 and present concrete measures for the implementation of the audit's recommendations.