

EVALUATION OF THE AFRICAN WORLD HERITAGE FUND  
**REPORT**

FINAL REPORT

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prepared by

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for

**UNESCO**

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## List of Acronyms

Africa 2009	Refers to the twelve-year Programme by ICCROM and partner organizations established in 1998 for training and technical advice for immovable heritage in Africa
AECID	Agencia Española de Cooperación Internacional para el Desarrollo (Spanish Agency for International Development Cooperation)
AB	Advisory Body to the World Heritage Convention
Agreement	Refers to the Agreement between the Government of South Africa and UNESCO establishing the Fund as a Category 2 Centre on 27 January 2010
ARC-WH	Arab Regional Centre for World Heritage
AU	African Union
AWHF	African World Heritage Fund
CHDA	Centre for Heritage Development in Africa
C2C	Category 2 Centres and Institutes under the auspices of UNESCO
DG	Director-General
DAC	Department of Arts and Culture, Government of South Africa
DBSA	Development Bank of South Africa
EF	Endowment Fund
EPA	Ecole du Patrimoine Africain
GoSA	Government of South Africa
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property
ICOMOS	International Council on Monuments and Sites
Implementation Programme	Refers to the Implementation Programme of the Second Periodic Report in Africa funded by Royal Norwegian Ministry of Foreign Affairs and jointly implemented by UNESCO, AWHF, ICCROM and others
IUCN	International Union for Conservation of Nature
MLA	Main Line of Action
MoU	Memorandum of Understanding
M&E	Monitoring and Evaluation
NatCom	National Commission for UNESCO
NWHF	Nordic World Heritage Foundation
OUV	Outstanding Universal Value
PS	Permanent Secretary
SA	South Africa
SAWHCC	South African World Heritage Convention Committee
UEMOA	West African Economic Monetary Union
UNESCO	United Nations Educational, Scientific and Cultural Organization
WHC	World Heritage Centre
WHITR-AP	World Heritage Institute of Training and Research for Asia and the Pacific

## Executive summary

### Background and objectives

This independent external evaluation of the African World Heritage Fund ('the Fund') was carried out from April to June 2015, in order to advise the Executive Board of UNESCO in its decision on the potential renewal of the 2010 *Agreement between UNESCO and the Government of South Africa referring to the operation of the African World Heritage Fund under the Auspices of UNESCO (Category 2)*.

The Fund was created in 2006 to assist African States Parties with the implementation of the 1972 World Heritage Convention, and became a UNESCO Category 2 Centre in 2010. During the period under evaluation, the Fund entered a phase of increased programme implementation, and widening of scope, with an element of further consolidating its institutional capacity. This specific phase in its development has been taken into consideration during the evaluation process.

### Summary of observations

The evaluation has found that the Fund is fulfilling its objectives and functions, as set out in the Agreement between UNESCO and the Government of South Africa and is implementing its activities in conformity with the Agreement.

The Fund has a very large terrain to cover, in region with relatively low capacities and many needs in its field. At the same time, it has to fulfil its duties with limited resources and while facing a number of organizational and financial challenges. A number of aspects of the Fund's performance depend on the contributions of its partners, mainly the State Parties, UNESCO and the African Union, some of which have been lagging behind. Despite this, the Fund has made remarkable progress during the period under evaluation and its achievements are appreciated by a wide range of partners, donors and beneficiaries.

There is great potential to take the Fund to the next level in the coming years, to further grow and strengthen its capacities for becoming an even more experienced and effective partner for the protection and conservation of heritage in Africa.

### Programme and Activity Performance

- **The Fund's performance on programmes and activities** is widely acknowledged for making an important contribution towards advancing the World Heritage agenda in Africa. However, its activities are not equally relevant and effective in reaching different sub-regions and groups of beneficiaries, including women and communities;
- **The Fund is implementing its programme** according to the agreed modalities. On the one hand it executes directly, on the other hand through grants and partner institutions. Combining trainings and field projects has yielded very positive results. Capacity building, however, remains focused on training of individuals, while institutional and organizational capacity building, and the use of multiplier approaches to reach wider audiences, is limited;
- **The Fund's activities in raising awareness** of the benefits of the World Heritage Convention in Africa remain limited, especially at this crucial time when criticism is rising due to challenges with conservation and development issues;
- **The Fund's outreach** is good. Potential to improve lies in the use of additional types of content and media, and in reaching audiences that are currently disconnected.

### *Organizational Capacity*

- **The Fund's governance and management** structure is sound;
- **The Board** is set up in a representative manner executing its functions as per the Agreement with a high level of commitment from its members. While there is room for improvement on the side of the Board's support in fundraising and political networking, recently recruited observers from the private sector have proven to be a great added value, increasing the Board's capacity in these fields. The system of Patrons is conducive to the Fund, but lack a strategy or work-plan to increase their positive impact on the organization;
- **The Fund's management** is very well respected, individual staff capacities are high, and motivation is excellent. A lot is achieved by a small team. However, considering the scope of the Fund's work, human resources are too limited. Good internal management practices have been developed with scope to be institutionalized. Succession planning is needed to ensure sustainability;
- **Growing internal administrative capacity** at the Fund has helped to improve financial and administrative processes, outsourced to the Development Bank of Southern Africa (DBSA) which are generally lengthy and cumbersome, and have at times hampered programme implementation. All audits have been clean throughout the period of this evaluation;
- **The Fund's financial basis** is a key challenge and jeopardizing the sustainability of operations. While the Endowment Fund has not even got close to its initial goal, the Government of South Africa and the African States Parties have also not contributed as expected (and agreed). Despite this, the Fund has performed extremely well in mobilising the resources required for its operations and programme.

### *Coordination and Interaction*

- **Communication and interaction between the Fund and UNESCO** is complex. While coordination at an operational level is excellent, shortcomings were highlighted on both sides with respect to institutionalized consultation, especially on strategy development and programming. With regards to cooperating with UNESCO Field Offices, the potential benefits for both sides are not sufficiently realized. The cooperation with the Advisory Bodies can generally be considered a lost opportunity, with the exception of its good but far too limited collaboration with IUCN. With regards to seeking cooperation with other Category 2 Centres, the Fund should to be lauded for its proactive role;
- The relations between the Fund and its **main beneficiaries, the African States Parties**, are generally excellent. An imbalance exists however with view to equal involvement of ministries responsible for culture and nature;
- The State Parties and UNESCO do not sufficiently use the Fund's unique intermediary position to inform and mediate between African issues and World Heritage Convention.

### *Enabling Environment*

- **UNESCO and the Government of South Africa**, the main partners enabling the Fund's operations, have been forthcoming, while a number of challenges remain;
- **The Government of South Africa** has put a number of measures in place to assist the Fund's operations. While support is generally considered good, serious challenges are complicating the functioning and work of the Fund. These include ambiguities with regards to the financial commitment, lack of follow-up on pledged funding support, the relevance and effectiveness of administrative processes and the host ministry;

- **The legal status of the Fund** as National Trust and Public Benefit Organization is too limiting and does not allow for it to fulfil its regional mandate. A large number of practical issues arise, which may even impact its institutional continuity and long-term sustainability;
- **UNESCO's contribution to the Fund** was generally considered too limited. While the benefits of being an organization under auspices of UNESCO were clearly appreciated at an operational level, interviewees at political levels were less convinced of the value;
- **UNESCO's Member States**, which contributed significantly to the Fund's creation, could be more forthcoming as to their continued support for the Fund's operations;
- **The relations with the African Union** are excellent. The partnership with the AU holds a lot of potential for the future of the Fund, with room to be more strategic and active both at political and operational levels. Harnessing the potential of sub-regional institutions such as ECOWAS could be one of several possibilities to strengthen the cooperation.

**As a final remark:** While most recommendations of the 2010 evaluation have been implemented and led to the performance noted in this evaluation, a number of recommendations of the present evaluation were already expressed in the last evaluation. These are in particular linked to the formalization of relations and the institutionalization of processes, i.e. in relation to the Board's contributions, the Advisory Bodies, the host agreement, and clarification of roles of the World Heritage Centre and the Fund.

## Summary of recommendations

### *General recommendations*

The evaluation considers the African World Heritage Fund's activities to be in conformity with the *Agreement between UNESCO and the Government of South Africa*. During the period under evaluation the Fund has significantly contributed to achieving the relevant strategic goals of UNESCO.

**In line with the *Integrated Comprehensive Strategy for Institutes and Centres under the Auspices of UNESCO*, the evaluation recommends for the *Agreement* to be renewed for a period of six years.**

In renewing the agreement, the following Specific Recommendations may be taken into account.

### *Proposed amendments to the Agreement*

The Agreement shall be amended in line with the model agreement adopted by the General Conference of UNESCO at its 37<sup>th</sup> session, while taking into account the following recommendations.

- **Regarding the Fund's mission statement (Art. VII.1):** To consider including revisions that address raising awareness about the benefits of the World Heritage Convention with African States Parties, including the benefits to both the World Heritage properties and their local communities;
- **Regarding the Fund's objectives (Art. VII.2):**
  - To consider drafting broader and more generic objectives, that remain in line with the findings of the *Second Cycle of Periodic Reporting* and this evaluation;
  - To ensure that the objectives are SMART (specific, measurable, achievable, realistic, and timely), and develop an appropriate monitoring framework;
- **Regarding the Fund's Functions (Art. VII.2):** To consider a number of revisions that remain in line with the insights of the *Second Cycle of Periodic Reporting*, other recent considerations on the challenges of heritage sites protection, conservation and management, and the results of this

evaluation. Ensure that the functions are realistic and keep in mind the Fund's added-value and its assessed and potential strengths and weaknesses in terms of financial, human, and organizational capacities. In particular, to consider the following amendments:

- To encourage the Fund's partners, i.e. African States Parties, UNESCO WHC and Field Offices, ABs, other C2Cs, and a variety of specialized organizations to jointly strategize, set objectives and determine respective roles and responsibilities;
- For the Fund to build on its role as a hub for safeguarding heritage in Africa with and through its partners, and jointly ensure coverage of all types of heritage relevant in Africa, including natural and cultural, urban and rural, above or under water, ancient or recent;
- For the Fund to consider adapting implementation modalities and complement existing approaches by more innovative methodologies to be more strategic and partnership-oriented, and make the best use of resources and the added-value of the Fund;
- For the Fund to focus on training-of-trainers, organizational and institutional capacity building, with an emphasis on multipliers, and thus broaden the beneficiaries to include civil society, economic partners, and communities; and to harness the benefits of partnerships with training institutions to explore the value of accreditation, and commercially viable training approaches;
- For the Fund to conduct regional thematic studies to assist States Parties in preparing inventories of heritage at a national level; and to continue supporting the preparation of Tentative Lists and Nominations;
- For the Fund to test and promote linkages among UNESCO's culture conventions for African beneficiaries;
- To encourage the strengthening of the Fund's legal, policy, and institutional frameworks, including their implementation;
- For the Fund to raise awareness and strengthen capacities for improved cooperation at site level among government, private sector, and communities, including defining innovative solutions for joint management, integration of traditional management systems, and benefit sharing with a view to involve communities and alleviate local poverty;
- **Consider further expanding** the members and observers to the Board and Patrons in order to strategically open new fields for political and financial support;
- **Revise the contributions of UNESCO and of the Government of South Africa** to ensure they are realistic and achievable, and further emphasise the important role of the UNESCO Member States and the AU for ensuring the sustainability and impact of the Fund;
- **Ensure the Agreement is realistic and balanced** with view to responsibilities and cost for all partners.

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## 1 Introduction

### 1.1 Context

In January 2016, the Agreement between UNESCO and the Government of South Africa (GoSA) referring to the creation and operation of the African World Heritage Fund (hereafter 'the Fund') under the auspices of UNESCO, established in January 2010, will come to an end. This evaluation was requested in line with the guidelines for review provided in the Integrated Comprehensive Strategy for Institutes and Centres under the Auspices of UNESCO (37C/Recommendation 93), in order to inform the Sector Review Committee's recommendation to the Director General of UNESCO, as to whether UNESCO wishes to renew the Agreement.

Category 2 Centres and Institutes (C2Cs) form an important part of UNESCO's network and aim to be a partnership model to further the Organization's mandate. They are envisaged to contribute to the achievement of UNESCO's strategic programme objectives, (inter-)sectoral programme priorities and themes, and the attainment of results of the biennial Programme and Budget (C/5). C2Cs also help the Organization achieve programme objectives for which sectoral expertise or resources are not sufficient.

The African World Heritage Fund was created in 2006 as an organization with a Pan-African scope through a joint initiative by the African Union (AU), the Africa Group of Member States of UNESCO, and UNESCO. Based on an evaluation conducted in 2008, the establishment of the Fund as a UNESCO Category 2 Centre was approved at the 35<sup>th</sup> session of the UNESCO General Conference (35C/Resolution56), leading to the Agreement between UNESCO and the GoSA, signed on 27 January 2010.

### 1.2 Scope and objectives

This independent evaluation was conducted in April-June 2015 by Nicole Bolomey, Loserian Sangale, and Elke Selter. A visit to South Africa was conducted between 20 and 25 April. After a period of consultation, the final document was submitted to UNESCO in June 2015, in order to be presented at the Executive Board.

According to the Terms of Reference, which are based on the *Integrated Comprehensive Strategy for Institutes and Centres under the Auspices of UNESCO*, the main objective of this evaluation is

- **To assess the Fund's performance with respect to its objectives and functions, as specified in the Agreement between UNESCO and the Host Government, and its contribution to UNESCO's strategic programme objectives, priorities and themes.**

The findings of the evaluation are envisaged to inform the UNESCO Sector Review Committee's recommendation to the Director-General as to

- **Whether the Agreement between UNESCO and the FUND should be renewed, and in what way. Based on this recommendation, the Director-General will advise the Executive Board for its decision.**

### 1.3 Expected results

As per the Terms of Reference, the evaluation gives a

- **General recommendation**, whether renewal of the Fund's status as a C2C is warranted and would conform to the *Integrated Comprehensive Strategy*;

- **Specific recommendations**, to the Fund for improving the effectiveness of its operations; to UNESCO for improving the effectiveness of its coordination and interaction with the Fund; and for possible amendments to the *Agreement*, in the event it is to be renewed.

The specific recommendations are complemented by results of the evaluation concerning other relevant stakeholders to the Fund, notably the GoSA, the States Parties to the World Heritage Convention, and the AU.

## 1.4 Methodology, scope, and limitations

This evaluation is based on the desk study of relevant documents, a five-day visit to South Africa, live and telephonic interviews. A list of suggested interviewees was shared by UNESCO and the Fund, and complemented by the evaluation team (see Annex).

The methodology of this evaluation was developed based on experiences in Africa, UNESCO's guidelines for the evaluation for C2Cs, and the resources made available. It allowed for reasonable appraisal of general performance on conformity, relevance, and efficiency of the Fund, within the given timeframe.

The assessment of effectiveness was limited by a lack of specific objectives set out in the Agreement<sup>1</sup>, implying they are not expected to be fully achieved within this five-year period. Also, objectives focusing on 'assisting' States Parties with for example nominations are difficult to measure as the results are not in the hands of the Fund but of the States Parties or the World Heritage Committee. Indicators, against which effectiveness would be evaluated have not been developed or are far too general. The evaluation, therefore, relies on programmatic evaluations (i.e. *Implementation Programme, Africa Nature* or the Fund's mid-term evaluation on activities from 2011–13) and stakeholder feedback.

Finally, the objectives outlined in the Agreement have been combined with the objectives of the *Action Plan for World Heritage in the Africa Region (2012–2017)* of the *Second Cycle of Periodic Reporting in the Africa Region (2011)*, based on which many recent activities of the Fund have been developed. As a result, as requested by UNESCO, the evaluation team also considered these objectives when assessing effectiveness.

Because of the scope of work and timeframe, the meaningfulness of this evaluation, while eloquent at output level, is limited at outcome or impact levels. Would UNESCO and its partners wish to better understand the impact and sustainability of the Fund's activities, including the needs and capacities of African States Parties on nomination, conservation and management of World Heritage properties, as well as the role of World Heritage in the context of Africa's development challenges, a more detailed activity and site-based evaluation would be required.

## 1.5 Structure of the report

The Report is subdivided into four parts: The Fund's performance, which includes all references to its programme and activities, their conformity, relevance, efficiency, and effectiveness (chapter 2); the Fund's organizational capacity, which includes among other the quality of coordination, communication and relation with its partners, the management capacities and the mobilization of funds (chapter 3); the quality of communication and interaction between UNESCO and the Fund, including also the interactions with States Parties (chapter 4); and the fulfillment of contractual obligations, describing the context created by UNESCO and the GoSA, in which the Fund exists and operates (chapter 5). Each part includes findings on achievements and challenges, a brief conclusion and recommendations.

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<sup>1</sup> see 2.5 of this report

	Terms of Reference	Chapter where this is discussed
a)	Conformity of programmes and activities	2.3 (based on 2.1 and 2.2)
b)	Relevance of programmes and activities	2.4 (based on 2.1 and 2.2)
c)	Fulfilment of the contractual obligations	5 (in particular 5.3 for UNESCO and 5.4 for GoSA)
d)	Effectiveness of programmes and activities	2.5 (based on 2.1 and 2.2); see also 2.4 for Relevance, 2.6 for Efficiency, and 2.7 for Impact and Sustainability
e)	Quality of coordination and interaction with UNESCO	4.1
f)	Quality of relations with African States Parties to the World Heritage Convention	4.2
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## 2 Programme and activity performance

### 2.1 Framework of performance evaluation

As per the Agreement between UNESCO and the GoSA, against which this evaluation was conducted, the **Mission** of the Fund is to *strengthen implementation of the 1972 World Heritage Convention in African State Parties, by strengthening application of the decisions and recommendations of the World Heritage Committee for the benefit of World Heritage sites in the African region.* (Agreement: Art. VII.1)

The main **Objective** of the Fund is to *assist the State Parties to: Prepare and update their National Inventories; prepare and update their Tentative Lists; prepare and update their Nomination Dossiers; compile integrated management plans for the proper management and conservation of World Heritage Sites located in the territory of the relevant African State Party; and ensure that to African State Parties comply with their obligations under the 1972 World Heritage Convention.* (Agreement: Art.VII.2)

In support of these objectives, the main **functions** of the Fund are to assist the African States Parties to:

- *Undertake an inventory of cultural and natural heritage of Africa and develop broader understanding of African heritage in all its facets (tangible and intangible) by 2015;*
- *Increase and strengthen human resources capability and the capacity of training institutions for the protection, conservation and management of cultural and natural heritage by 2015;*
- *Strengthen legal, policy and institutional frameworks for effective and efficient heritage conservation in general, and in particular the implementation of World Heritage Convention on the continent;*
- *Ensure that cultural and natural heritage contribute to sustainable development and poverty eradication;*
- *Improve the nomination and management of cultural and natural heritage sites;*
- *Strengthen heritage protection, conservation and management in conflict, post- conflict and natural disaster situations.* (Agreement: Art.VII.2)

The **modality of implementing** these functions includes both *technical and financial assistance to African States Parties*, as well as *financial support for regional activities* in support of the World Heritage Convention.

This will be done in collaboration with strategic partners as defined in paragraphs 26 to 28 of the feasibility study. (Art.VII.1 and 2)

As mentioned, the evaluation also considered the five objectives of the *Action Plan for World Heritage in the Africa Region (2012–2017)*, which was elaborated by African States Parties as part of the Second Cycle of Periodic Reporting in the Africa Region, and summarizes the main challenges for World Heritage in Africa and the needs of the African States Parties up to 2011. These are:

- *Objective 1: Improve the representation of African heritage sites on the World Heritage List through the preparation of successful nomination dossiers.*
- *Objective 2: Improve the state of conservation at World Heritage properties, by effective risk management, increased community involvement and direct economic benefits to local communities.*
- *Objective 3: Effectively manage existing properties by recognizing, documenting and formalizing traditional management systems and fully incorporating them into existing management mechanisms.*
- *Objective 4: Develop and implement strategies to enable States Parties to effectively address the challenge of balancing heritage conservation and development needs.*
- *Objective 5: Establish, and implement, necessary mechanisms for heritage conservation, protection and management in pre-conflict, conflict and post-conflict situation.*

## 2.2 Progress and Achievements

### 2.2.1 Programming

The Fund's *Strategic Plan 2011–2015* was developed based on the above mentioned relevant guiding documents, including the *First Cycle of Periodic Reporting in the Africa Region (2002)*, and aimed 'to consolidate its institutional capacity; to contribute to making the World Heritage list more credible, representative and balanced; and to contribute to sustainable management and conservation of World Heritage properties in Africa'. These were broken down into seven strategic objectives, making direct reference to the Periodic Reporting (2002), but being otherwise congruent with the functions set out in the Agreement. Aspects relating to communities, the link between culture and nature, the awareness of other culture conventions, as well as the promotion of international solidarity, gender equity and a prioritization of States Parties with one or less World Heritage properties were not part of the objectives, but were highlighted in the Fund's vision, mission, and guiding principles.

Since 2012, the annual programmes of the Fund have been adapted to the *Second Cycle of Periodic Reporting in the Africa Region* and its related joint programmes, such as the *Implementation Programme of the Second Periodic Report in Africa* and the *Africa Nature Programme*. This led to an emphasis on disaster risk preparedness and management as well as entrepreneurship and business development for local communities, but also to activities relating to development challenges (in particular mining), traditional management systems, and heritage in conflict. These were at the detriment of activities related to inventorying heritage in Africa, the capacity building of other training institutions, and more upstream activities.

### 2.2.2 Modes of implementation

The Fund implements its activities through three main modalities. First there are activities where the Fund is a partner to an organization like UNESCO/WHC, NWHF, or IUCN. For other activities the Fund takes the lead, implementation directly and relying on partners (i.e. the Advisory Bodies and national organizations) only for

partial aspects. Finally, there are activities where EPA and CHDA, the key regional implementing partners, are the main implementing partner. A special cooperation with IUCN consists of the Fund contributing a small amount for an IUCN officer working from Senegal for the implementation of small projects and advisory activities in the field of nature.

Some argued wrongly that the Fund was originally set up as a financing institution, and thus should implement through partners only. As highlighted by the Fund's management, direct implementation is often a pertinent modality to achieve its objectives where qualified partners are lacking.

The Fund's programme had three types of interventions: Trainings, research/studies, and a small-grants programme. While training was the predominant activity, studies were frequently underpinning thematic approaches; academic research was relatively limited.

### **2.2.3 Representation of African Heritage Sites on the World Heritage List**

#### **Inventorizing heritage in Africa**

The Fund decided, due to restricted funds, to limit its assistance to States Parties on inventorizing to the sharing of information during tentative listing workshops. In addition, the Fund conducted two studies on 'possible priorities for the World Heritage List' together with ICOMOS, IUCN and other partners. The studies focused on cultural and natural heritage and were published as leaflets in 2012. They are valuable in their specific areas of focus, giving an indication of typologies and sites in Africa that are potentially of Outstanding Universal Value.

#### **Tentative Listing**

Particularly in the early years, the Fund focused on workshops for tentative listing. Following a situation analysis on tentative listing in Africa prepared in 2009, it held two workshops (7 since 2008) with 45 (117) participants from 15 (44) States Parties. With 45 African States Parties to the Convention, this is almost full coverage. Twelve African States Parties submitted tentative lists since 2011, of which three were first-time submissions.

#### **Nominations**

Two series of nomination trainings were held each for Anglophone and Francophone countries since 2011 with a total of 58 participants from 14 Francophone, 17 Anglophone and 1 Lusophone States Parties. These were followed by two expert workshops in 2014. One workshop was organized for Arabic speakers in 2011. The workshops consisted of a 3-weeks course, followed by 6 months of mentoring for the preparation of the nomination dossier, concluded with a 2-week course to finalize the dossier. This methodology was praised by participants and experts alike.

During the same period, 14 African sites were listed, and a further 13 dossiers were submitted to WHC by April 2014. According to information provided by the Fund, 15 dossiers are currently under preparation.

#### **Awareness raising**

States Parties in Africa have in past years become increasingly critical of World Heritage. There are perceptions of it being top down, 'colonial' or dominated by paradigms that are not conducive to African circumstances or interfering with national development priorities. The right to development is perceived to be conflicting with heritage safeguarding, while benefits of the protection of World Heritage properties are hardly visible. No evidence is available or shared with States Parties on aspects of job creation, opportunities for youth and women's empowerment, and poverty alleviation for example. It is a key function in the Agreement, and the Fund is very well placed, to raise awareness and to provide the States Parties with

evidence on the benefits of heritage protection. Considering the urgency and importance of the aspects above, current activities of the Fund are too limited to have a potential regional impact.

#### **2.2.4 Sustainable management and conservation of heritage sites**

##### **Disaster risk preparedness and management**

Four workshops of 1-2 weeks were held in 2012–2014 as part of *Africa Nature* and the *Implementation Programme*: Two for Anglophone countries, and one each for Francophone and Lusophone countries. Three of the four were followed by a field project of three weeks. All workshops focused on site managers, conservators, and professionals and had an average of 18 participants from 8 – 16 States Parties. The training methodology was positively evaluated, combining an invitation for participants to prepare by bringing in their own case studies, imparting knowledge by a variety of excellent trainers (from ICCROM, WHC, EPA, CHDA, and other institutions), applying the knowledge in field projects, and resulting in tangible disaster risk plans for the presented case studies. A total of 94 participants, mostly professionals, were skilled in these trainings and thus a network of professionals across the continent was formed.

##### **Entrepreneurship**

As part of the *Implementation Programme*, two workshops and one field project were conducted in 2014–2015 for Francophone countries and for Anglophone Southern Africa. This was a first experience dealing with a new set of stakeholders and partners from the private sector, civil society and the community, and many lessons were learned in particular with regards to the selection of participants, training and partner institutions, which will help to adapt the programme in the future. At all trainings there were 18–25 participants from an average of eight countries.

##### **Sustainable tourism**

The Fund participated in various UNESCO activities and contributed to three initiation workshops in Zambia, South Africa and Malawi, in early 2015. These national or cross-border workshops (i.e. Zimbabwe / Zambia and South Africa / Lesotho), developed by the UNESCO World Heritage Sustainable Tourism Programme, involved a wide variety of stakeholders, including business, communities, site managers, and civil society.

##### **Traditional Management Systems**

A study on was conducted in 2014, based on number of case studies in the region. It will be published in 2015.

##### **Heritage and sustainable development**

The initiative on heritage and sustainable development as part of the World Heritage Convention's 40<sup>th</sup> anniversary focused on the impact of mining in and around World Heritage properties in Africa. The project ran for seven months and included a situational analysis that provides an assessment of the relations between World Heritage and extractive industries in Africa. An expert workshop was held in May 2012 (South Africa), where issues as well as best practices were discussed. The initiative culminated in a high-level conference on 'Living with World Heritage in Africa' (2012), which resulted in an impressive list of recommendations, ranging from extractive industries to involving communities, sustainable tourism and traditional management. The activity also resulted in a small publication on *World Heritage and Impacts of Development in Africa*, also focusing on extractive industries.

In late 2014, the Fund, in cooperation with the UNESCO Rabat Office and WHC, organized a two-day seminar in Morocco on World Heritage Experiences in Africa. Experts from 21 countries presented case studies. The results of the workshop have not yet been published.

### Other thematic activities

These included a workshop on Rock Art in Angola (2011), support to a seminar on authenticity held on Robben Island, South Africa (2014) and a site-related expert workshop on buffer zones in Maloti Drakensberg, South Africa (2014). The scope of these activities was very limited and the experiences at national level were not up-scaled to benefit the region as a whole.

### 2.2.5 Other Objectives and Functions

#### Legal, policy and institutional frameworks

One of the Fund's goals is to ensure that African States Parties comply with their obligations under the 1972 World Heritage Convention. While all activities listed above may contribute to this, no specific activities were undertaken in this important area. Policy and legal aspects are sometimes integrated within other activities, especially when cooperating with the AU and UNESCO, building on the complementarity of the organizational mandates.

#### Acting in pre-conflict, conflict and post-conflict situations

This objective has developed from the *Periodic Reporting* exercise. As conflicts are on-going in many parts of Africa, and the targeting of heritage in conflict has drastically risen, awareness for the impact on heritage sites has increased. The Fund has conducted very limited activities in this field, and only included some elements as part of the disaster risk management workshops. Grants were given to several site-related workshops focusing on conflict, and emergency measures in Mali were also supported.

Working in conflict situations and responding to emergency needs, requires very specific expertise and operating modalities. Some organizations are currently specializing in this field. The Fund should carefully consider whether it has the capacity and is the right organization to address issues of in pre-conflict, conflict and post-conflict situations.

### 2.2.6 Small Grants programme

The Fund's grants programme is successful but has limited outreach.

The grants programme is a small-scale means to support local initiatives. The grants programme is presented on the website and through emails. It is well known amongst heritage professionals in Africa, but not beyond. Although advertised to support disaster risk management, post-conflict activities, or emergency situations, it mainly provided grants for nomination projects, conservation and seminars.

#### Recommendations

- Assess the wider landscape of small grant schemes in Africa to be more strategic in filling funding gaps;
- Advertise the grant programme more widely in order to reach more potential applicants.

### 2.2.7 Gaps identified

Gaps identified related to the Fund's objectives and functions as set out in the Agreement, include the inventorying heritage in Africa, increase and strengthening of training institutions in the region, raising awareness of the benefits of the World Heritage Convention in Africa, and assistance related to legislation, policy and governance, as well as the challenges in mainstreaming and implementing the UNESCO culture conventions at a national level. Finally, activities relating to intangible heritage or underwater heritage, and linking up the different UNESCO culture conventions for the benefit of heritage safeguarding in Africa are also absent, which is a missed opportunity to develop a more coherent approach to heritage.

## 2.3 Conformity

The programmes and activities of the Fund are in conformity with the Functions as set out in the Agreement. Programmes and activities are conducted through agreed modalities.

## 2.4 Relevance

The work of the Fund is considered relevant to strengthening the implementation of the 1972 World Heritage Convention in Africa. The relevance of the nomination and tentative list trainings, an area at the core of the Fund's activities, is beyond doubt. The contribution to improving heritage inventorying was however limited. Considering the wide scope of the Fund's work on conservation and management of heritage sites shown in the previous chapter, the relevance of thematic areas varies.

The Fund's activities are not equally relevant and effective in reaching different groups of beneficiaries, in particular with view to the geographical and linguistic distribution, gender balance, and the integration of communities.

A triangulation of information on beneficiaries, partners, development challenges, and heritage typologies given below should allow the Fund to better define its niche as well as areas for fostering stronger partnerships. Some areas may for example be at the core of what the Fund should do 'in house', while others may benefit from outsourcing to better resourced or more experienced partners with field presence. The questions to be answered are: Where are the core competencies of the Fund, where can it add most value; and where does it best play a role of coordination and exchange, ensuring other organizations contribute to UNESCO's mandate?

### 2.4.1 Beneficiaries

The Fund has mainly been focusing on site managers and mid-level government officials. Continuous reflection, including the 2010 evaluation and the *Second Cycle of the Periodic Reporting*, highlighted that other stakeholders, i.e. decision makers, the private sector, and most importantly the communities living in and around the World Heritage properties, must also be addressed. Recent programmes such as those on risk and entrepreneurship are targeting communities, civil society and local businesses. While still limited, these are a step in the right direction.

Concerning geographic and language distribution, the Fund is working most easily in Southern and Eastern Africa. Central and Northern Africa seem less well served for a number of reasons, including language – the Fund and its staff being primarily Anglophone – and sometimes also donor preferences. West African states manage to attract activities of the Fund, despite the linguistic challenges, while Central and Northern Africa seem underserved. The general perception in non-Anglophone countries is that the Fund does not equally understand their particular challenges and cultural contexts. They claim that programmes developed for Southern or Anglophone countries need more adaptation than just translation, in order to be relevant. While the situation has gradually improved, and the Fund is actively pursuing an increase in activities in underserved sub-regions, further efforts are required. There are also reflections on improved presence at a sub-regional level, i.e. also through desks or offices at sub-regional economic organizations, or through partner organizations and better cooperation with UNESCO Field Offices.

### 2.4.2 Thematic focus areas in sustainable conservation and management

The Fund's thematic focus areas are guided by the *Implementation Programme* and thus based on the Periodic Reporting's thorough analysis of the situation of heritage in Africa. It therefore represents a relevant thematic selection.

The evaluation found great value in the emphasis placed on the sustainability of safeguarding heritage sites, including disaster risk preparedness as part of overall conservation and site management planning. The recent study on recognizing, documenting and formalizing traditional management systems is timely, and so are the activities related to entrepreneurship. All of these show a shift towards local stakeholders, which is highly opportune.

A wide range of development challenges relevant to the State Parties were not touched upon, such as for example the increasing ‘footprints’ of the fast growing local populations, urbanization, infrastructure development, land-grabbing, and issues related to conservation versus pastoralism. Also, not all relevant typologies of World Heritage properties in Africa, i.e. urban heritage, cultural landscapes, or challenges of trans-boundary properties, were considered.

Finally, no activities were focusing on the core challenge of having effective conservation and management plans for African World Heritage sites; and none were directly geared at reducing the number of properties on the List of World Heritage in Danger. Although all above activities do contribute to these needs, the capacity of State Parties to manage and protect sites and the required frameworks for conservation and management plans to safeguard the World Heritage properties should not be forgotten as key priorities.

### **2.4.3 Culture versus nature**

The Fund is focusing primarily on cultural heritage. Many expressed this to be very valid, given that only few other organizations are working in this field. Regarding natural heritage the Fund has, aside from the involvement of interns, no in-house capacities and conducts its programmes through IUCN. While all agreed that this model is beneficial to both organizations, it was also highlighted that at least one staff at the Fund should be competent in natural heritage. Diverging views were expressed as to an increasing involvement of the Fund in natural heritage. On the one hand it was suggested that the Fund should become an organization with the capacity to coordinate, in close cooperation with IUCN and UNESCO, major World Heritage nature programmes in Africa. On the other hand caution was expressed considering the large number of highly qualified nature conservation organizations already present and the lack of added value that the Fund could offer. All agreed that an exploration of strategic partnerships with specialized organizations, and a coordinating role would be best for the Fund and the position it could take in safeguarding natural World Heritage properties in Africa.

### **2.4.4 Crosscutting aspects**

The integration of crosscutting aspects of UNESCO’s strategic objectives and priorities is less well addressed. Gender equality is integrated (i.e. aiming at 40% female participants), but could be mainstreamed in a more relevant manner, for example by including gender training, looking at the gender aspect of site management, etc. The same applies for Youth. While it seems to be a priority in the selection of participants and promotion of internship programmes, it is not highlighted through other aspects of the Fund’s work, i.e. outreach, publications, etc. The Fund’s programme also connects to some UNESCO flagship initiatives, such as the Slave Route project, where it has been promoting an African serial nomination. Links with the World Heritage Education Programme, including World Heritage in Young Hands and World Heritage Volunteer activities, could be strengthened.

### **2.4.5 The role of partners and networks**

One of the obligations of the Fund is to implement in partnership with and through partners, while also enhancing their capacities. The list of implementing partners mentioned in the Annual Reports is very long, including many national (state and non-state) organizations, national museums, universities, and site

managers, but also ICCROM and ICOMOS. However, most seem 'one-off' partnerships while longer-term institutional partnerships are very few (i.e. EPA, CHDA<sup>2</sup>, and IUCN in particular). Even reputed organizations mentioned in previous evaluations, such as the College of African Wildlife Management (MWEKA, Tanzania), the Garoua wildlife college (Cameroun), or different Colleges of Wildlife in South Africa did not become sustainable partners.

The Fund has an excellent network in the heritage sector in Africa and globally. However, its networks in relevant related sectors, like nature, urban development, disaster risk, poverty alleviation, communities, entrepreneurship and economic development, are not equally strong. In addition, the wide variety of multilateral organizations, UN, World Bank, development partners and NGOs represent a great untapped resource for cooperation.

Category 2 Centres are resources to foster regional collaboration and networking. This has been one of the great success stories of the Fund, and a continuation of the efforts of the *Africa 2009* programme. The workshops of the Fund have greatly contributed to linking up professionals across the continent and beyond

#### Recommendations

- Tailor programmes to make them more effective and relevant to different beneficiaries, regional and thematic needs;
- Determine methodologies and partnerships that allow for a greater linguistic, geographic, gender and age balance;
- Explore 'who does what' in Africa, considering core competencies and added values of all potential partners in fields relevant to the Fund's mandate;
- Determining the Fund's added-value and refocus the work accordingly
- Develop a strategy to increase the role of implementing partners; complete a mapping of potential partners; reassess the value added and thematic focus of the Fund;
- Maintain and increase awareness raising role to foster the understanding of the benefits of the 1972 Convention in African States Parties; and develop adequate tools to do so;

## 2.5 Effectiveness

The Fund is generally considered to be effective. Establishing a baseline and introducing sound indicators will help to support this by evidence.

At a very general level, the number of professionals in Africa working in the field of cultural and natural heritage is steadily increasing. Networks are growing, which is a great basis for self-learning, exchange of experiences, and peer-level advice. The capacity of these professionals in relation to the training provided by the Fund is difficult to measure within the scope of this evaluation, and so is their ability to use their increased knowledge and skills in their workplace.

The methods of the trainings on conservation and management, linking theoretical workshops and field projects, have been effective and should be applied to a wider variety of workshops. Challenges with regard to the continuity of participation in this two-tier approach should be addressed. Activities such as the programme on extractive industries are commendable, especially because of their extended duration of

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<sup>2</sup> CHDA is currently facing serious funding issues, which may lead to ceasing its operations after its current contractual arrangement with Fund is completed.

seven months and the variety of approaches combining studies, expert workshops, and high-level conferences. To ensure tangible impact, there is a need for State Parties to follow up and guarantee continuity.

Community and private sector oriented activities, such as the entrepreneurship training, are new to the Fund and initially recorded a low output. However with growing partnerships, experience and expertise these grassroots activities may eventually contribute to local economic development, poverty eradication, benefit sharing and joint management in African World Heritage sites.

With regards to the representation of African Heritage Sites on the World Heritage List, effectiveness was limited. Activities regarding inventorying at regional level were minimal, and did not motivate nor support State Parties in addressing their national inventories. Although the perception of the nomination trainings at the Fund and State Parties was very positive, the Africa region still has not presented more than 3 to 4 dossiers on average per year since 2011/12, and only one or two of the dossiers had the quality required to be submitted to the ABs for evaluation.

Looking at underlying causes, it became apparent that the selection by the States Parties of the officers to be trained, and of the sites for which a nomination dossier should be developed, were often political and did not reflect true potential. The Fund's advice to States Parties was often ignored and several nominations prepared under the programme were not of the quality required, or lacked any potential outstanding universal value. Considering the very high cost of the training, considering also that the knowledge imparted is highly specific and hardly transferrable to other sectors, this is really a missed opportunity for the States Parties.

#### Recommendations

- Develop a comprehensive and robust planning, monitoring and evaluation framework for operational activities;
- Ensure that States Parties provide adequate follow-up to capacity building activities for management and conservation training through subsequent adoption of desired practices;
- For the continuation of the nomination training programme, develop a thorough pre-screening, and maintain the privilege to reject applications that do not comply with the required criteria. Involve directors of national departments in the trainings to ensure that the trainees would be able to use the lessons learned in the preparation of their dossiers;
- Pursue the mapping of heritage in Africa and increase understanding of heritage and capacitate State Parties in mapping at national level to underpin the goal of attaining a more balanced World Heritage List.

## 2.6 Efficiency

The efficiency of the Fund's activities, in terms of value-for-money, is good. However, there is scope to increase efficiency, especially where wider audiences should be reached.

The Fund serves an entire continent that is also logistically very expensive to work in. At the same time its target audiences have very varied access to stable telecommunication networks and digital devices. Teleconferencing, online teaching, web platforms, etc., while excellent means to reach some, cannot yet be used to generally replace traditional methods of workshops and travel. Furthermore, the Fund operates in a cultural context, where personal contact is highly valued and an indispensable basis for reaching common goals. In this regard, the Fund has made good use of its funds and created sound value for money; i.e. the cost per workshop and participant is considered reasonable.

The reach of the Fund's work is limited. While dealing with the small number of heritage professionals in Africa, this is acceptable. However, where communities, local traders, lower-level government officers, and many more need to be reached, current methods are not effective or efficient. The evaluation found that the Fund applies very traditional means of implementation, and that more creativity could result in better value-for-money. It has, for example, not explored the commercial aspects of capacity building, which may, if programmes are well developed, yield direct income from core activities. Cooperation with universities may be another means to raise efficiency, as it will bank on existing funding schemes. The Fund is also hardly using any training of trainers, and contemporary and more innovative means of communication, adapted to the various stakeholder groups. Without aiming at replacing the current modalities, the use of ICTs (i.e. radio) and new communication techniques would not only allow for reducing costs but also for widening audiences, for a more continued capacity building approach, and for stronger networking and follow up. The use of media and ICTs could also lead to better knowledge management so that best practices and training methods can be replicated at a national level by States Parties.

A specific question was raised with regards to the efficiency of the nomination trainings. The lack of pre-screening of participants mentioned above, lowered the efficiency of this programme and needs to be addressed if this programme is to be continued.

#### Recommendations

- For wider reach, revise implementation methods; consider the use of new methodologies including training-of-trainers, capacity building of training institutions, the use of media tools, and consider the benefits from accreditation and entering commercial capacity building;

## 2.7 Impact and long-term sustainability

The impact and long-term sustainability of the Fund's capacity building efforts is yet to be established. However, indications are that both need strengthening: On one hand through more focus on organizational and institutional capacity building; on the other through by offering individuals value beyond the mere learning in a workshop;

There is no evidence whether African States Parties, today, comply more or less with the World Heritage Convention than they did five years ago. It is clear, however, that African properties face a significant number of challenges due to various internal and external factors, and that States Parties struggle to balance the conservation requirements with other development demands. This has often resulted in a disillusionment of African States Parties with the Convention, which may need to be better addressed by revisiting the Fund's scope, increasing the focus on the understanding of its benefits, for people and states, of World Heritage.

### 3 Organizational capacity

#### 3.1 Framework of capacity evaluation

UNESCO prescribes very little with view to the organizational capacity of C2Cs. Important elements mentioned in the 2013 *Integrated Comprehensive Strategy for cooperation with institutes and centres under the auspices of UNESCO (Category 2)*<sup>3</sup> for C2C are the governing body, the reciprocal attendance of relevant meetings, the financial obligations of the member states, and the visibility the C2C has to grant UNESCO. At programme management level the *Culture Sector Strategy for C2Cs*, based on the *Comprehensive Strategy*, is more detailed.

Next to the programmatic goals already covered in previous chapters, it highlights the role of C2Cs in fostering regional cooperation and networking, annual coordination meetings by WHC, reporting mechanisms, and the commitment of C2Cs to work according to result-based management principles. The document outlines the Culture Sector's pledge improve consultation and information sharing and more systematic involvement of UNESCO Field Offices.

#### 3.2 Board and Patrons

The Board of the Fund is an excellent example of how a Board should be organized and function. It executes its functions as a governing body and decision maker as defined in UNESCO's *Integrated Comprehensive Strategy for Category 2 Centres*. Members show great commitment, and the strategic widening of membership to include representatives of the private sector has shown very useful. Its role in strengthening the Fund, in particular through fundraising, is however not sufficiently strategic and engaging.

Having Patrons is an excellent way to gain support for the Fund. However, number, type and duties of Patrons are not sufficiently strategic to reach the full potential of this system.

The Board of Trustees is the governing body and decision-making authority of the Fund. It has grown to include eight voting members, three professional members, and several observers. The Director-General of the Department for Arts and Culture, GoSA, acts as the Chairman of the Board, while the Ambassador of South Africa to UNESCO and the Director of the South African Department of Environment are ex-officio members. The Board has three committees (i.e. Finance and Audit, Fundraising, and Technical, namely on natural heritage), whose relevance, recognition and impact are growing. The Board meets twice a year: A first meeting in June is hosted by GoSA to ensure the attendance of the Auditor General; in December the Board is hosted by one of the States Parties, which creates an opportunity to raise awareness for the Fund in locations across Africa.



Source: African World Heritage Fund

<sup>3</sup> 37C/Resolution 93 of 2013

The Board's costs have been a matter of discussion. In the early years, mission costs for Board meetings were borne by the participants. This is no longer the case. Only South Africa and the AU still cover their own costs, a commendable practice, which other States Parties and UNESCO should consider. The Board makes special efforts to lower its costs by getting competitive quotes for flights and allowing only economy class tickets, notwithstanding the distance. The DSA rate is fixed at 90 USD/day. Observers such as ICOMOS and ICCROM, are required to bear their own costs, and tend not to join the meetings due to the financial burden. As their attendance is important, the Fund should consider bearing their cost.

Findings on the constitution of the Board are overall positive. A balanced geographical (i.e. North, Southern, East, West, Central Africa), political (South Africa, AU and UNESCO), and professional (finance, legal and natural heritage) representation contribute to its capacity in building trust and gaining political support from African States Parties. The observers are valuable assets. The level of maturity of the Board is high and findings show that many Board members are active, motivated and excellent at bringing valuable political, professional and technical skills to the table. The management and organization of the Board meetings was lauded and the Secretariat praised for its timely and high quality preparations and follow-up.

The evaluation also found some challenges. Many felt that the involvement of some Board members could be higher, especially with regards to gaining political support, initiating partnerships, and raising funds. A suggestion to prepare written guidelines for Board members, particularly with regards to their contribution to fundraising, was already part of the last evaluation.

The Fund currently has three Patrons, Dr. Christina Cameron, Canada; Mr. Koichiro Matsuura, Japan; and Mr Phuthuma Nhleko, South Africa. All have contributed in their own exceptional manner to the creation and working of the Fund. Their contribution over time, however, may have varied, and is not linked to any strategic concept.

An excellent recent example was the active involvement of Mr. Phuthuma Nhleko, South African Patron from the private sector, who hosted, in collaboration with the AU and the Department of Arts and Culture, a fundraising breakfast for business leaders in May 2015 at the DBSA. During this event, ZAR 750,000 (about USD 63,400) was raised for the programme implementation.

#### Recommendations

- Strategically select additional Board members and Patrons as a means to widen high-level networks, access additional spheres, and cover different types of potential support;
- Develop a strategy for Board and Patrons to increase support, in particular for fundraising and networking.

### 3.3 The Fund's Secretariat

The Fund's Secretariat is working professionally and efficiently as a team and there is a wide consensus that despite the small team, the Fund's work is impressive. Considering the Fund's large scope, its human resource base is however too limited. In addition, financial, legal and operational challenges, as well as a lack of succession planning, threaten the continuity and sustainability of staff resources.

The arrangement with the DBSA has greatly supported the Fund's development, including by providing strict rules and sound processes resulting in clean audits. In the light of the Fund's growing maturity and some challenges related to the efficiency of services provided, this arrangement may no longer be the best solution for the Fund's administration.

In the period of this evaluation, the Fund has greatly enhanced mechanisms of consultation, accountability and reporting. Cooperation with donors, in particular with regards to communication, donor visibility, and transparency, can still be improved.

### 3.3.1 Structure and Human Resources



Source: Verbal explanation by AWHF staff

The Secretariat of the Fund is divided into three departments: Programmes, Fundraising and Communications, and Administration, which is a logic division.

The Secretariat currently consists of eight, including six staff and two interns / consultants. This is comparable to the situation at the time of the 2010 evaluation. As already criticized in 2010, there is no operations officer or head of administration. The programme officer culture covers this task next to his programme-related duties. Also, the Director has no assistant but is supported by the Admin Assistant. The Director closely involves the Head of Programmes in

political and strategic aspects of the work. There is however no succession planning; a necessary concern for the sustainability of the Fund raised by the States Parties and Board members interviewed.

Salaries and fees are mainly covered through programme funding from donor and States Parties contributions. While recent agreements with Namibia, Lesotho, Angola and Ivory Coast on operational funding for 2013–2016 have greatly improved staffing stability, the Fund remains highly dependent upon programme funding. An added value is staff secondments and provision of interns by governments and donors. Unexplored staffing options may include the engagement of PhD students, and university or government staff on sabbatical.

Considering the small team, there is a reasonable balance with regards to nationality and gender distribution, although questions were raised as to the gender balance in senior management. English is spoken by all officers, while only a small number is conversant in French. No staff members speak Portuguese or Arabic. The evaluation wishes to highlight the important for an organization like the Fund, having a regional and global mandate, to maintain the diversity of staff balancing regional, cultural, gender, and language backgrounds.

Expertise in cultural heritage is predominant, while expertise for natural heritage is currently missing. Cultural heritage backgrounds tend to be in archaeology, architecture and heritage management, while backgrounds of sociology, spatial planning, economy, or other relevant fields, are missing. There is a high level of competence and commitment among the staff, which partially makes up for the missing fields of competence.

Human Resources management is officially dealt with by the DBSA. Challenges of this outsourcing arrangement lie in the importance that the Bank, given its size and different focus, is able to give to the day-to-day as well as strategic Human Resources questions arising at the Fund. Considering the importance of HR to ensure good internal relations, work satisfaction, and the performance of the team, this arrangement was not considered conducive.

The Fund enables staff to attend short trainings and conferences for professional development to foster their professional growth.

### 3.3.2 Process and programme management

The Director of the Fund delegates responsibilities to the different sections as appropriate. The three sections exchange, share and collaborate well in delivering the programme. The Fund has adopted result-based management approach and reports to WHC in timely and precise manner.

The evaluation found that the Fund has an active self-reflection process, including monthly meetings, quarterly, 6-monthly and annual reviews, as well as frequent reporting and project evaluations, resulting in constant improvements in the work of the Fund.

Monitoring and Evaluation system could be improved. Monitoring for the Annual Report so far focused on a results-level, using qualitative data (such as the number of participants or geographical and thematic distribution of activities) to express achievements, which is not enough. Furthermore, the Fund at times is measuring its achievements against results to which it only contributes in a limited way. The evaluation therefore acknowledges the Fund's decision for 2015-2016, rather than developing new programmes, to focus on follow-up of past programmes, impact and sustainability.

### **3.3.3 Finance and administration**

All audits during the period of this evaluation have confirmed the financial statements to be presented fairly, and the financial position of the Fund, its financial performance and its cash flow to be in accordance with International Financial Reporting Standards – meaning they were clear.

All financial and administrative procedures are part of the management services offered by the DBSA. The cooperation with the DBSA has offered a strict framework of administrative rules and procedures, and has compelled the Fund to work to high standards of procurement, accountability and transparency. In the past years, there were however two instances where administrative assistants at the Fund were allegedly caught in wrongdoing. The Evaluation was assured that appropriate actions were taken (one is still in court) and processes improved.

The administrative support by the DBSA is often rigid and slow, which leads to long delays for procedures such as procurement, contracts, payments, or preparation of certified financial reports. The cooperation with the DBSA is also considered very costly (for example, for every contract administered by DBSA USD 1,500 are charged to the Fund).

Both the Fund and DBSA are considering reviewing the current arrangements. DBSA, as part of its recent restructuring and downsizing offered to continue its services until 2018, when it wishes to review the situation. The Fund has recently hired a finance officer, which is a positive step towards greater autonomy.

Over the years, the Fund has grown its capacity to deal with big and small donor funding. Early issues mentioned by donors, such as consultation, transparency, communication, limited donor visibility, and insufficient detail of reporting, were partially related to the Funds inexperience, lack of capacity, and the administrative processes at the DBSA. Some were also related to a lack of clarity on the part of the donors. All donors interviewed highlighted that wherever challenges arose, these were discussed and improvements made, for example by creating separate project accounts, improving consultation and communication, and agreeing on reporting standards. Past and present donors reported to have been satisfied with the results, as well as with the accountability of the Fund. For some bilateral donors, the Fund qualifies for funds allocated under the heading of multilateral organization, which is a clear indication for the appreciation and trust of the donor.

#### Recommendations

- Creatively explore staffing opportunities and consolidate operational funding;
- Consider modalities for managing the operations independently from the DBSA by the end of the current arrangement in 2018; develop the Fund's own capacity in administration, human resources management and finance;
- Institutionalize sound management and operational processes, and introduce an improved monitoring and evaluation framework to ensure continuity, transparency and visibility of the Fund's impact;

- Systematically give credit and visibility to donors and partners, as a basis for developing more sustainable partnerships.

### 3.4 Visibility and outreach

The Fund has excellent communication and outreach activities, but there is scope for reaching broader audiences by using different types of media and content. Partners, in particular UNESCO, are not acknowledged well enough; in particular through the use of the joint logo and the mention of "Under the auspices of UNESCO."

The Fund is known for its high quality and timely outreach, in particular through quarterly and annual reports and publications, and a regularly updated website, which makes its documents accessible in digital format. The Fund entertains a Facebook page and a Twitter account, which aim to reach a younger segment of the population. The Fund has a *Communication and Brand Strategy*, which is currently under revision. However, the communication and outreach efforts are rather conservative, reaching only literate people and those with access to Internet, which is a very small audience in Africa, consisting of mainly government officers and professionals.

There is scope for targeting much wider audiences including communities, and youth through audio-visual media like television, radio, theatre and film, as well as mobile phones. Just one of many avenues could be UNESCO's very successful community radio programme, which is also reaching many World Heritage properties. As communication is costly and time intensive, opportunities for using communication channels of partners, including UNESCO Field Offices, could increase outreach at limited additional cost.

Communication at the Fund is part of the duty of the Fundraising officer. However, the expertise needed is substantially different from fundraising, and it is only when consultants and interns are available, that the Fund's outreach is moved to a next level. This is not sufficient if the Fund wishes to pursue its wider mandate and increase its outreach across the continent.

A major cost factor is related to the need to produce materials in different languages. The Fund is working hard to increase a language balance and equally cover all regions in Africa. A contract has recently been signed with an English-French translator, which will take a burden off the French speaking programme staff, who often acted as translators. Due to a lack of resources, publications in Portuguese are limited, but the fund is actively promoting cooperation with its sister organization, the Lucio Costa Centre in Brazil in order to increase its work for Lusophone countries. Outreach to North African States Parties in Arabic has been less successful. Different versions of Arabic used in different countries complicate translations. For example, a recent publication translated into Arabic in Egypt had to be recalled due to the dissatisfaction of other Arab-speaking countries. It also seems that these countries prefer connecting to Anglophone and Francophone countries respectively, and thus not being addressed through activities in Arabic language.

The Fund has been criticised not to give its partners appropriate representation in its outreach materials. The Fund, like all Category 2 Centres, is allowed to use UNESCO's name and logo in accordance with the conditions and procedures established by UNESCO<sup>4</sup> and should contribute to UNESCO's visibility in the field through high-quality work. However, the joint logo of WHC and the Fund, created by UNESCO, is hardly used and the mention of "Under the auspices of UNESCO" is often missing. This should be addressed and considered an integral part of building sustainable partnerships.

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<sup>4</sup> UNESCO is implementing a global communications plan covering all C2Cs, which includes measures to ensure a visual identity and a common branding for C2Cs conforming to UNESCO policies.

#### Recommendations

- Strengthen communication, increase outreach, and widen scope by cooperating with partners and using media pertinent to African realities;
- Acknowledge partners, use the joint WHC/Fund logo, and ensure the mention of "Under the auspices of UNESCO."

### 3.5 Mobilization of funds

The Fund performed very well in mobilising the resources required for its work, including by mobilising funding from sources outside of the State Parties. However, the burden of this intensive duty was not equally shared among Board members, Patrons and the Secretariat. The fundraising strategy, a valuable tool, has scope to more creatively explore the use of internal and external resources and modalities for fundraising.

The Fund was created based on the idea that it would nourish its operations and activities from three main sources: The interest of an Endowment Fund (EF), direct contributions from States Parties, and funds raised from third parties (inter-governmental organizations, international non-governmental organizations). The 2006 Deed of Trust mentions that the Fund *will mainly be sourced through a combination of subscriptions from the African State Parties; Donor funding from various multilateral organizations and returns on the investment of the Fund's funds through an appointed Investment Manager.*

This was not achieved. The EF, the first pillar, was never sufficiently filled, interest rates plummeted, and the Fund was never able to benefit substantially from its returns. The State Party contributions as the second pillar were mostly irregular and, although increasing over the period of this evaluation, stayed below expectations. Multilateral donors were generous, but this type of funding is generally time-bound and, if not replaced in the long run by other sources, rather unsustainable. Recent efforts to mobilize the private sector were successful.

#### Endowment Fund

The EF was set up with an initial target of USD 100 million. Although generous initial contributions were made, the economic downturn of 2008 and the limited contributions to the EF soon showed that this goal would be illusionary. In the Fundraising Strategy for 2013–2014, the target was set at USD 15 million by end 2015, which once more, will not be achieved.

Filling the EF remains a key challenge. On the one hand, States Parties do not contribute as generously as expected; on the other hand, pledges are only partially followed up on. Efforts have shown success, i.e. when organizing side events during AU meetings or regional conferences. Regional leaders on such occasions have made pledges, effectively increasing their own visibility and that of the Fund.

In 2012, the Fund managed to convince several African Party States to sign MoUs for annual contributions for the EF as well as operational or programme funding over 3 to 5 years. This was an excellent move to increase the stability of the Fund. Other pledges, however, have not or only partially been paid. Donors and private sector partners are less likely to pay into the EF, since pooled funding is not giving them visibility.

The Board carries the responsibility for the Fund's finances. With an aim for minimum risk and maximum interest rate, it invested an initial amount of ZAR 15 million (about USD 2 million) through the DBSA with Standard Bank in 2009. Reports of 2013 indicate that the total average percentage performance growth for the preceding 3.5 years was 30.68% with the annual average growth being 8.76%. By 6 November 2014 the EF was at ZAR 55,167,656. However, for the EF to achieve the expected results, an investment policy to guide ethically motivated economic choices for investment, while also considering the volatile investment climate,

and exchange rate challenges is needed. Steps towards such a policy were started in 2010, and recommendations seem to be tabled for consideration at the upcoming June 2015 Board meeting.

### Programme funds

To complement the EF, the Fund has made great efforts to raise additional programme funds. In this sense, the Secretariat - with the support of the Board - has done very well. As a result, the Fund has not used up any of the EF's interests, thereby allowing it to continue to grow. The Fund's programme funding is raised from inter-governmental, bilateral and private funding sources. The UNESCO label has been an asset in mobilising funds due to the credibility and trust associated with the Organization.

It is important to note that the lack of a complete EF has pushed the Fund to raise additional resources and thereby spend a lot of time on fundraising. While these efforts have been successful, they are not sustainable and take valuable time and resources away from programme implementation.

### Running costs

As per the Agreement, the operational costs of the Fund are meant to be covered by the GoSA. However, the contributions have never fully covered the running cost, which is why the Fund had to raise additional funds to cover its operational costs. The MoUs signed in 2013 with Namibia, Lesotho, Angola and Ivory Coast helped greatly in addressing the gap, in particular to pay for salaries of close to one third of the staff.

### Sustainability of the Fund

A major challenge for the financial sustainability is the dependency of the Fund on donor funding, for periods often no longer than three or four years.

As highlighted above, the key responsible for the Fund are the African States Parties, in particular its host, the GoSA. Unless these stakeholders see the benefit of the Fund and decide to give it their full support, the financial situation of the Fund will remain volatile.

As an additional, potentially growing resource, the Fund has recognised the private sector as an important source of funding. It has in recent years successfully attracted people from the private sector as members of the Board and Patrons resulting in a growing support from this side.

### Recommendations

- Consolidate excellent resource mobilization with a view to better harness the services of the Board and Patrons;
- Regularly adapt and revise the Fundraising Strategy to reflect new and creative solutions;
- Continue efforts to fill Endowment Fund and finalize investment policy; and increase fundraising with the private sector;
- African States Parties, including the GoSA, should live up to their contractual obligations and pledges in order to secure the Fund's sustainability.

## 4 Coordination and interaction

### 4.1 Coordination and interaction with UNESCO

While the coordination and interaction at operational level is excellent, the Fund and UNESCO both highlighted shortcomings with respect to institutionalized consultation, exchange and reporting, namely on strategy development and joint programming, fundraising, and the distribution of small grants. The great potential benefits for the Fund and the UNESCO Field Offices to cooperate are not sufficiently realized, from

both sides. The coordination and cooperation between the Fund and the Advisory Bodies varies greatly and can, with the exception in IUCN, generally be considered a lost opportunity, while the Fund has been proactive in seeking cooperation with other C2Cs.

#### **4.1.1 Framework of evaluation**

The *Integrated Comprehensive Strategy* defines the relationship between UNESCO and the C2Cs. UNESCO has one focal point for issues pertaining to C2Cs, located in the Bureau of Strategic Planning. His/her role is the overall monitoring of the implementation of the *Integrated Comprehensive Strategy*, including the overall coordination of the reporting and communication to Member States and providing backstopping to Programme Sectors.

The Programme Sectors, in this case the Culture Sector represented by the World Heritage Centre, are the primary counterpart of the C2C, with the participation of the Director of the WHC as a member of the Fund's Board of Trustees, and the designation of a Liaison Officer at the WHC's Africa Unit with a deputy Liaison Officer at a UNESCO Field Office in Africa (Harare). The WHC shall regularly update its strategies to identify areas for joint implementation and areas where greater synergies could be promoted. It shall also promote the process of mutual consultation to share work plans.

Directors of all C2Cs are required to submit to UNESCO a biennial report with information on the contribution of the activities to UNESCO's strategic programme objectives, global and sector priorities as well as to sectoral expected results, performed within the scope of the agreement.

#### **4.1.2 UNESCO HQ and the World Heritage Centre**

The evaluation found critical views as to the quality of coordination and interaction between UNESCO and the Fund.

At an operational level, the interaction was qualified by both the Fund and UNESCO as mostly excellent, which is to a great extent owed to the dedication and professionalism of individuals in both organizations. Commendable efforts are being made at WHC to share contacts and opportunities. Exchanges on programmes, on-going or under development, opportunities for funding or cooperation, awareness of activities of other UNESCO Sectors or offices, etc. is exchanged daily or weekly, upon initiation by both parties, depending on their needs.

There are very good examples of joint activities between WHC and the Fund, such as the cooperation on the *Implementation Programme, Africa Nature*, the *Sustainable Tourism Programme* and more recently programmes on entrepreneurship, risk management and traditional management practices. The AU Heads of State luncheon in January 2014 is an excellent illustration of joint fundraising, as are proposals submitted to the various Funds-in-Trusts at UNESCO, or the recent initiative to harness US funding for the Fund. This is indeed an excellent opportunity, since the USA is currently barred by law from contributing directly to UNESCO.

Challenges were expressed by both the Fund and WHC with regards to the absence of joint strategic planning and programming, and the coordination of the various small grants schemes of both organizations. In earlier years, meetings were held annually, but over the last two years, these were missing, mainly due to funding shortages. Since then, the Steering Committee of the *Implementation Programme*, which involves all actors contributing to the *Periodic Reporting Action Plan 2012–2017* and takes place during the World Heritage Committee session, is the only meeting relating to the Fund's programming. Both sides deplored the situation and highlighted that this led to misunderstandings in how the organizations perceive each other, including the quality of mutual support and recognition.

The *Integrated Comprehensive Strategy* only outlines that for '*promoting a process of mutual consultation, category 2 entities shall be invited to share their work plans and other relevant material with UNESCO's programme sectors – as programme sectors will undertake to share their work plans and other information*

*material with their relevant category 2 partners.* However, there is a need to clarify role and responsibilities, institutionalize processes and develop robust mechanisms for consultation, joint strategy development and programming, fundraising and grant distribution, including joint strategic discussions and a follow-up to the annual decisions of the World Heritage Committee.

Despite increasing efforts, some operational connections between the Fund and UNESCO are still weak, i.e. with the Africa Department, other culture conventions or the Man and Biosphere programme.

#### 4.1.3 UNESCO Field Offices

According to the 1972 Convention, UNESCO Field Offices have no part in the statutory World Heritage processes. As per the C5 biannual programme (MLA1), however, they implement programmes supporting member states in improving the protection and conservation of heritage sites, including World Heritage. Increased decentralization within UNESCO and decreasing human and financial resources at WHC has strengthened the role of Field Offices in supporting the implementation of the World Heritage Convention. No policy or mechanisms exist, however, to foster exchange of information, mutual support and cooperation between Field Offices and the Fund, although the WHC makes active efforts to keep both parties informed or involved in all activities.

The evaluation found that the relationship between the Fund and the UNESCO Field Offices varies greatly. As an exception, the Harare office whose culture programme specialist is the deputy Liaison Officer for the Fund, works with the Fund on a regular basis. Cooperation with others is on an ad-hoc basis, or there is no contact at all. Frequently, they may involve each other last minute in activities or trainings, or completely forget informing each other.

This is a great missed opportunity for both sides. Although the Fund, by way of its mandate, has a direct relationship with the African States Parties, the Field Offices, through their direct presence in some, and regional function in other countries, are able to maintain much more diverse relations including with various relevant Ministries at all levels, development partners, and civil society. As part of the UN system, linked through joint development frameworks or even the 'Delivering as One' system, the Field Offices also have access to resources that could benefit the Fund.

#### 4.1.4 Advisory Bodies to the World Heritage Convention

The three Advisory Bodies (ABs) to the World Heritage Convention - ICOMOS, IUCN and ICCROM - have to a varying degree been involved in the Fund's work, but all three relationships were qualified as missed opportunities. Direct exchange at strategic level is limited, if at all, to one meeting per year during the World Heritage Committee session. Invitations to Board meetings are often not taken up by the ABs due to financial or human resources capacity constraints.

**IUCN** is implementing some limited but excellent activities on natural heritage for the Fund through its regional programme officer in Dakar. The Fund contributes USD 20,000 (app. one third for his fee and two thirds for activities) annually to support this work. Ideally, the relationship should be intensified and connected to a nature officer at the Fund. A new intern soon to be seconded to the Fund by GoSA may help grow cooperation and promote a next phase of the Africa Nature programme, however the relationship has much greater potential and a new strategic approach should be discussed (see also 2.4 Relevance).

**ICCROM**, being an institution for training and capacity building, has been supporting the Fund since its outset through mutual dialogue, and is actively contributing through its experts to the Fund's workshops. However, much more should be done for these organizations to exchange, strategize jointly, benefit from each other's activities, and cooperate where possible.

**ICOMOS** has very limited exchanges with the Fund, and is mostly cooperating through individual experts. The annual meeting the Fund organizes during the World Heritage Committee session is highly welcomed to interact. ICOMOS in its roles as AB evaluates all nominations and state of conservation reports. It highly

values the work of the Fund in these fields, and would be interested in increasing exchange on methodology and effectiveness of related trainings in order to jointly increase the quality of nomination dossiers and the conservation of sites.

#### 4.1.5 Category 2 Centres and Institutions

The Category 2 Centres and Institutions with a mandate to support the implementation of the World Heritage Convention are of various types and structure. Some focus on funding, others on implementing capacity building; some focus on national, others on geographic or language regions; some focus on nature, others on culture, etc.

The mechanism for exchange and cooperation offered by UNESCO consists of one very useful annual meeting and information shared on UNESCO's website. Being an excellent basis many felt that this may be supplemented by additional ways of regular exchanges and standing platforms on activities, challenges, publications, and other.

The Fund and the C2C **ARC-WH in Bahrain** have an overlapping mandate for Arab speaking countries in Africa, mainly because Northern African countries are considered part of the Africa region by the AU, and therefore are included in the Fund's mandate, while for UNESCO they fall under the Arab States region covered by ARC-WH. They have started exchanging information and even had joint activities; however cooperation is growing slowly. Both organizations expressed their interest and intention to develop a MoU to increase and institutionalize future exchange and cooperation.

The **Nordic World Heritage Foundation**, which recently withdrew from the UNESCO C2C status, has been instrumental in building the Fund. It has since the outset shared substantial financial and technical resources and has been at the Fund's side whenever needed. With the NWHF transforming, there is a fear that a gap may open up, which is difficult to be filled by others.

The Fund has had positive exchanges with **WHITR-AP in China** and both organizations see scope in developing joint activities, namely in view of China's very active economic involvement in Africa.

Direct cooperation with the **Lucio Costa Centre in Brazil** for Lusophone countries of Africa have taken place several times, but were hampered by the low capacities of the Brazilian institution.

Although there is a fast growing role of C2Cs in implementing UNESCO's World Heritage mandate, these organizations, it has been highlighted, while using their own funds and resources and doing often excellent work, have very limited visibility at the Committee Sessions.

#### Recommendations

- Continue excellent exchange at a programme level; strengthen and institutionalize mechanisms for joint strategy development and programming, fundraising, and small grant provision, between the Fund, WHC, and the UNESCO Field Offices. Ensure at least one joint strategic meeting per year;
- UNESCO and the Fund shall ensure that they live up to their commitments, roles and responsibilities, as outlined in the Agreement, the C2C Strategy and the Culture Sector Strategy; i.e. strengthen UNESCO's contribution to the Fund, in particular by increasing its efforts at the Board level and by creating strategic linkages between the organizations;
- UNESCO WHC, Field Offices, the Fund (and other partners like the ARC-WH) shall jointly strategize for a sound division of labour, avoiding overlaps, and focusing on the respective added value of each organization;
- Ensure more effective and mutually beneficial cooperation between the Fund and the ABs, starting with their presence at the Board meetings, and an invitation of the Fund to relevant meetings in Rome, Gland and Paris.

## 4.2 Relations with African States Parties<sup>5</sup>

The relations between the Fund and its main beneficiaries, the African States Parties, are generally excellent. An imbalance exists however with view to equal involvement of ministries responsible for culture and nature.

The State Parties are not sufficiently aware of the potential benefits the Fund could have for them, in particular in its unique position to inform and mediate between African issues and World Heritage Convention.

The States Parties are the beneficiaries to the Fund. The relationships are generally positive, but vary from State to State in frequency and intensity.

States Parties relate to the Fund through their representation at UNESCO in Paris, and their Ministry of Culture. Only rarely Ministries responsible for natural heritage are directly in contact with the Fund. This is an impediment, where communication at national level between the culture and nature ministries does not work well. No system of focal points relating to the Fund has been put in place.

Despite good communication the evaluation found that awareness of the benefits of the Fund seems not well enough established among the States Parties' relevant Ministries and National Commissions. States Parties are also not enough engaged in communicating their own challenges to the Fund, in order for the Fund to tailor its programmes to their needs.

As the Funds has direct access to and a sound understanding of UNESCO, ABs, the AU, States Parties, and a wide range of other stakeholders, it is able to support the States Parties in their World Heritage communications and activities, and at times can play a mediating or unifying role.

### Recommendations

- Increase awareness of African States Parties of the benefits of the Fund and incite them to invest more. It is only through the States Parties contributions that the Fund exists and can do its work;
- To develop a more effective coordination system with African State parties, in particular by strengthening its connections with ministerial focal points.

## 5 Enabling Environment

### 5.1 The role of the African Union

The relations with the AU are excellent and the partnership with the AU holds a lot of potential for the future of the Fund. Yet there is a room for it to be more strategic and active both at political as well as at operational level.

The African Union (AU) has been a co-founder and instrumental supporter of the Fund. It is represented on its Board through the AU Commissioner for Social Affairs. In a decision by the AU's Conference of Ministers of Culture in 2006, the Member States gave the AU a mandate to cooperate with the Fund and made the presentation of the Annual Report a standing item on the agenda of the biennial Conference of Ministers of Culture. When matters arise, the Fund can also be invited to speak at other meetings, including the meeting of Heads of State.

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<sup>5</sup> See also 5.2

The AU cooperates with the Fund through its Culture Division, which is part of the Department of Social Affairs. Relations are excellent, exchanges regular. As the Division is limited in terms of staff and funding and not very active at an operational level, the AU greatly appreciates the existence and work of the Fund as a complementary organization.

The main support by the AU has been in promoting the Fund through fundraising events. Most recently, the Fund has also been invited to participate in consultations on *Agenda 2063*, the new AU strategy to optimize Africa's resources.

The main challenge resides in approaching the AU at political and diplomatic level, as neither the Director nor the Chairman of the Board have the required status and only the ambassadors on the Board are able to make this link.

Many also expressed the wish for the relationship to be more active and operational. There were suggestions to complement the cooperation with the AU by working more closely with sub-regional organizations such as ECOWAS, or the Indian Ocean Commission.

#### Recommendations

- Strategize, intensify, and institutionalize the cooperation with the AU;
- Ensure the Director of the Fund has access to all levels at the AU.

## 5.2 The role of UNESCO Member States, Africa Group

The Africa Group of UNESCO's Member States has been active in supporting the Fund, but not sufficiently forthcoming in fulfilling the State Parties' financial and other obligations. There was also lack of backing to the Government of South Africa in fulfilling its obligations to the Fund. The approach of the Africa Group in supporting the Fund is not sufficiently systematic and institutionalized.

As mentioned above, the African Member States of UNESCO, who are, with a few exceptions, also States Parties to the World Heritage Convention, are the main beneficiaries and stakeholders to the Fund. Considering that the GoSA, on behalf of the African States, has agreed to support the Fund in the ways describe below, the States are equally responsible to support South Africa in fulfilling its obligations.

Within UNESCO, the African States Parties to the World Heritage Convention are coming together through their Ambassadors / Permanent Delegates to UNESCO as the informal, but very active 'Africa Group'. The Group has played a key role in initiating and forming the Fund, and provides a very useful diplomatic platform with which the Fund can work. The Fund is supporting the Africa Group in its World Heritage activities, namely through preparatory meetings before the World Heritage Committee session. The Group has also been active in raising financial support for the Fund from the individual States Parties. The existence of the Africa Group is an asset for advancing the World Heritage agenda in Africa, and the way in which the Fund has been using the group for bringing regional voices together and for fundraising is building on the strengths of a group at a diplomatic level.

Finally, financial contributions are not sufficiently regular and institutionalized, which weakens the Fund and its sustainability. The *Integrated Comprehensive Strategy* highlights that: *'If a C2C ceases to receive financial support from sponsoring Member State(s) or any other funding source, the Director-General shall invite sponsoring Member State(s) to explore other funding possibilities within the period of six months. Should there be no result, the Director-General may propose to the Executive Board to terminate the agreement signed and cancel the designation as category 2 entity'*. This highlights the importance of a C2C receiving sufficient funding to cover its operating costs in order to be able to carry out its agreed functions.

According to the same *Integrated Comprehensive Strategy*, the Member States of UNESCO shall meet the costs of UNESCO staff participation in a governing body C2Cs, as appropriate.

#### Recommendations

- Raise awareness amongst African States Parties on their obligations under the Agreement;
- Review the financial contributions of States Parties to the Fund and consider institutionalizing their contributions.

### 5.3 Fulfilment of Contractual Obligations by the Government of South Africa

The GoSA has been instrumental in initiating and promoting the Fund. It has given excellent and diverse forms of support and put a number of measures in place to assist its operations. However, a number of issues have not been resolved, which continue to complicate the functioning and work of the Fund. These include ambiguities with view to the financial commitments by the GoSA, lack of follow-up on pledged funding support, the relevance and effectiveness of administrative processes and the host ministry, and a large number of practical issues arising for the Fund's legal status.

The legal status of the Fund is too limiting and does not allow fully fulfilling its regional mandate. This may impact the Fund's continuity and long-term sustainability. The challenges related to the legal status of the can only be resolved by the GoSA.

Being physically hosted by the DBSA has been seen as a guarantee for the Fund to be recognized and perceived as being Pan-African, which would not be the case if it were housed in the premises of national entity.

#### Obligations

According to the Agreement, the GoSA on behalf of other African States consented (Art. XV) to provide the *necessary resources needed for the administration and proper functioning of the Fund*. This included the *provision of appropriate office space, equipment and facilities and the necessary administrative staff for the effective performance of its functions*.

It also included support in *mobilizing resources to ensure that the Endowment Fund is set up and contributions to programme activities such as information dissemination and sharing, capacity-building activities, research programmes, publications and logistical support*.

The Agreement further states (Art. XVI) that the Government of South Africa shall *authorize the entry, free of visa charges, the sojourn on its territory and the exit of any person invited by the Fund to attend the sessions of the Board and its Committees and for any other official purpose. The goods, assets and income of the Fund shall be exempt from all direct taxes. Furthermore, the Fund shall be exempted from the payment of any fees or taxes with respect to equipment, supplies and material imported or exported for its official use*.

#### Financial and other contributions

The AHWF Secretariat is housed at the Development Bank of Southern Africa (DBSA). The DBSA also provides administrative and financial services, including all aspects related to human resources and legal matters, for which the Fund pays a management fee. Up to 2014, the rent was paid separately, while today the rent is included in the management fee. Operational costs further include running costs and, since 2014, the provision of a finance officer at the Fund who is to facilitate the contact with the DBSA. The salary of an assistant administrative officer and the Programme Specialist holding a part-time duty as Administrative Officer are covered by other resources.

**The exact extent of what should be covered by the contribution of the GoSA is not clear.**

The current understanding at the Fund is that the operational costs include only rent, the management fee and the Finance Officer, but excludes other administrative staff. However, looking at the wording of the Agreement, administrative salaries could very well be considered the obligation of the GoSA.

The below table shows, that although the GoSA made a growing contribution every year, it **never covered the full operational cost of the Fund**. If administrative salaries are added to the above table, the deficit would grow by an annual amount of app. ZAR 840,000 (app. USD 70,000).

**Table 2: Operational costs and contribution by GoSA in ZAR**

*	DBSA Mng fee	Running cost incl. rent	Finance Assistant	Total Operational Cost	Contribution DAC (SA)	Contribution MoE (SA)	Deficit	in kind contribution
2010	616,327	261,236	-	877,563	-		877,563	
2011	649,724	496,421	-	1,146,145	500'000		646,145	
2012	491,031	796,953	-	1,287,984	600'000		687,984	
2013	733,488	922,144	-	1,655,632	700'000		955,632	1 intern for Nature
2014	754,661	960,358	575,095	2,290,114	1'250'000		1,040,114	
	DBSA Mng fee incl. rent	Running cost						
2015	1,170,842	375,080	575,095	2,121,017	1,250.000	500,000	371,017	1 intern for Nature

\*The table is not translated into USD, as exchange rates between ZAR and USD were heavily fluctuating from 2011 – 2015. While on 1 April 2010 1m ZAR was equivalent to app. USD 136,000, the same amount on 1 April 2015 was worth only app. USD 82,000.

The evaluation was assured that challenges are not related to a lack of political support. They were rather linked to number of legal and administrative hurdles hampering full implementation of the Agreement. One key challenge seems to be that the GoSA financial contribution is split among the Ministry for International Affairs, the Ministry for Environment, and the Ministry for Cultural Affairs through the Department for Arts and Culture (DAC). Each should allocate a negotiated amount in its 5-year budget, but contributions have been made on an ad-hoc basis instead. This lack of institutionalization made it difficult to allocate annual funds, with increased challenges when Ministers and senior administrators changed or Ministries were restructured. To confront such challenges, the Ministry of Environment has in 2014 taken the initiative to sign an MoU with the Fund, ensuring a longer-term perspective of support. The MoU also facilitates internal allocation of a work-plan and budget, and demonstrates an example that solutions can be found.

GoSA had in 2006 pledged ZAR 20 million<sup>6</sup> to the Endowment Fund, out of which ZAR 14million have been paid. The remaining ZAR 6 million, pledged in 2006 by the Ministry for Education for the National Commission, are still pending. Unfortunately, since the Ministry split into two in 2009, none feels responsible for the pledge. The matter, neglected over the past years, needs to be raised by DAC at higher levels to find a solution.

In 2014 the President of South Africa pledged an additional ZAR 10million<sup>7</sup> to the Endowment Fund. DAC confirmed that the amount has been identified, and payment is impending.

<sup>6</sup> ZAR 20 million in 2006 was worth app. USD 3,2 million; in 2015 it only amounts to app. USD 1,6 million

<sup>7</sup> In 2015 this amounts to app. USD 820,000

In addition to above, the GoSA has once paid for an intern placed at the Fund. It also hosts one Board meeting per year and pays for its own participation in the second Board meeting.

### Support in mobilizing resources

The GoSA has been very active in supporting fundraising efforts with other States Parties and the private sector. Excellent recent examples include the South African ambassador to the AU and Chair of its Committee for Culture, who in 2014 co-organized a very successful breakfast meeting for Heads of States in Addis Ababa, and South Africa's Ambassador to UNESCO hosting a similar event in her residence in Paris. A fundraising breakfast for business leaders on 06 May 2015 was organized at the DBSA. In this event, ZAR 750,000 (app. USD 63,400) were raised for programme implementation. The GoSA has been active in supporting many operational activities, including the hosting of the workshops and trainings, but also the Fund's support to safeguarding Mali's cultural heritage following the crisis that began in 2012.

### Institutional Setup and Host Ministry

Roles and responsibilities within the GoSA regarding World Heritage, while clear, are complex. The nodal agent for the Fund, due to a personal initiative of the Minister at the time of foundation, is the Permanent Secretary of the Department of Arts and Culture (DAC). The nodal agent for World Heritage is the Ministry of Environment. Additional roles are played by the Ministry of International Affairs, to which the South African Ambassadors to UNESCO and to the AU report and by the South African National Commission to UNESCO, which has recently moved to the Ministry of Basic Education.

The evaluation found that, while the Department of Arts and Culture has successfully championed the establishment of the Fund, its mandate limits its capacity to help the Fund in effectively addressing the many challenges it faces to realize its potential. Given the strong mandate of the Ministry for Environment for World Heritage or the international focus of the Ministry for International Affairs, the selection of the host ministry should be reassessed.

### Legal Status of the Fund; Facilitation of Operations

The Fund was established under South African Law in 2006 as a Trust and Public Benefit Organization (PBO), and the GoSA through the Deed of Trust agreed to host the Fund on behalf of the African States Parties. In 2010, the Government of South Africa agreed *to take, in the course of the years 2009 and 2010, any measures that may be required for the transformation of the African World Heritage Fund into a centre under the auspices of UNESCO in accordance with the terms of this Agreement*. As the Fund had been set up with a Category 2 Centre designation in mind, no changes were felt necessary at the time. Findings reveal serious concerns over the limitations the current legal form poses, tying it to local conditions while hampering the effective execution of its regional mandate.

The following challenges are partially related to this legal status, and partially to other factors impacting on the Fund smooth operations. These include (but may not be limited to):

- National organizations in South Africa are subject to a contingent for international staff not exceeding 20%. For an organization of regional scope this is counter productive. It should at all times be able to hire any percentage of staff from outside of South Africa.
- Staff are paying tax and are generally not benefitting from any privileges and immunities, like international staff normally does. Salaries, benefits, and working conditions, although better than general working conditions in South Africa, are not competitive at regional level. This is an impediment to attracting qualified international staff. No current international staff has brought his/her family to South Africa, which is related to the cost of international schools, the insecurity of tenure and the generally high living cost in South Africa.

- Although during the first three years of the establishment of the Fund, permits for staff and interns were granted in a speedy and non-bureaucratic manner, the situation has changed with staff now required to apply for permits from abroad and processes taking up to six months. The GoSA mentioned that a dialogue with the Department of Home Affairs had been initiated, and suggested that the Fund prepare an agreement with the Ministry of Home Affairs, institutionalizing the processes needed. Other international organizations, such as the DBSA, are already benefitting from such agreements.
- Discussions with the acting Director-General of the DAC showed that there might be an interest in benchmarking working conditions of the Fund against government conditions. While benchmarking generally is a commendable effort, it is important to understand the potential framework of this. In order to not further 'localise' the working conditions of the Secretariat, making it more difficult to attract competent international staff, benchmarking efforts should consider international organisations that are working in South Africa, such as the DBSA or NEPAD.
- Visas for visitors attending activities of the Fund should be free of charge. Although this was not observed and constituted a major obstacle in previous years, it has recently been confirmed that this would be made possible.

The question persists if the Fund should remain a Trust, or if it should be re-established as an international organization. Examples exist and include the DBSA and NEPAD, both organizations under South African law, benefitting from an international status. Such adjustment would resolve a number of issues highlighted above.

#### Recommendations

- Reassess the Fund's legal status as a national entity; obtain legal and economic advice on changing to being an international organization, and act accordingly to resolve the existing challenges;
- Agree on the extent of administrative and operational cost to be covered by the GoSA;
- Take all necessary measures for the timely and full provision of financial and in-kind support as agreed, including pending contributions to the Endowment Fund;
- Evaluate the most pertinent way for GoSA to host the Fund. This may include a change of Host Ministry, as well as the creation of an institutional framework (i.e. contractual agreements with roles and responsibilities, appropriate work-planning and budgeting);
- Conduct costs and benefits analysis of being hosted by the DBSA versus being self-sufficient and independent.

## 5.4 Fulfilment of Contractual Obligations by UNESCO

While a lot of efforts are being made at a technical level, UNESCO has for a number of reasons not been able to sufficiently contribute to the Fund. Due to the ongoing limited financial situation of the Organisation it was, for example, unable to send a Secondment or experts to the Fund.

### Obligations

Obligations of UNESCO involve *provision of technical contributions and advisory services for the Fund to rapidly set up effective and efficient operations; provision of assistance of UNESCO experts in the specialized fields of the Fund; and secondment of staff on a temporary basis.* (Art. XIV)

### Secondment of staff

Due to limited human and financial resources within UNESCO, no staff has been seconded or experts funded by UNESCO to the Fund since 2011.

### Provision of technical contributions and advisory services

UNESCO, in particular the WHC, has been assisting the Fund at a technical level by sharing its networks, conducting joint project development and joint fundraising. Contributions from some Field Offices are excellent, but relations with most remain very limited.

For the medium-term period 2014-2021, UNESCO confirmed Priority Africa as one of two Global Priorities. However, the benefit from this priority for the Fund is not directly visible, neither is a substantive input by the Africa Department.

The Organization was also criticized for not being present at Board meetings and perceived as only being useful for its brand-value. There was a general perception that UNESCO's contribution to and recognition of the Fund was not sufficient.

Some resources at UNESCO, while available, are underutilized by the Fund, i.e. the UNESCO's Institute for Statistics in Montreal, or programmes such as Man and Biosphere.

### A word about Category 2 status

Questions were raised about the added value of the Category 2 status for the Fund. Many expressed the need for UNESCO, to be more strategic in utilizing the C2Cs in general. The separation between the mandates and the division of labour of UNESCO and the C2Cs should be revisited, complementarity fostered, and the growing contributions of the C2Cs to UNESCO's work better integrated.

It was also mentioned, that C2Cs with an official mandate for World Heritage have no official role at the World Heritage Committee. The Fund, like other invited institutions, holds side events and various meetings during the annual sessions of the Committee, benefitting from the presence of all relevant States Parties and other stakeholders, but is not provided an official platform to speak. The annual report is presented to the plenary session through the ABs. This, so it was highlighted, might be counterproductive, as the ABs have a very different role to play in the World Heritage system, and are at times even in a tense relation with African States Parties.

The evaluation found a widespread view that the Fund, together with other C2Cs, should be given an opportunity to gain more visibility for their work on the implementation of the 1972 Convention, and to increase awareness for challenges in Africa.

### Recommendations

- Increase support to the Fund, in particular through a presence at Board meetings, through increased exchange and cooperation with Field Offices.

## 6 Annexes

### 6.1 Terms of Reference for the Evaluation

In line with the *Integrated Comprehensive Strategy* and consistent with UNESCO's reporting mechanisms, the following parameters have been considered:

- a) Whether the activities effectively pursued by the Fund are in conformity with its functions as set out in the Agreement signed between UNESCO and the Government of South Africa;
- b) The relevance of the Fund's programmes and activities to achieving UNESCO's strategic programme objectives and sectoral or intersectoral programme priorities and themes, as defined in the Organization's Medium-Term Strategy (C/4), and to attaining programme results at the Main Lines of Action (MLA) level, as defined in the Organization's Approved Programme and Budget (C/5).
- c) The fulfilment of the contractual obligations as set out in the Agreement signed between the UNESCO and the Government of South Africa;
- d) The effectiveness of the Fund's programmes and activities to achieving its stated objectives, as defined in the Agreement;
- e) The quality of coordination and interaction with UNESCO, both at Headquarters and in the Field, with regards to planning and implementation of programmes, as well as with other thematically-related Category 2 Institutes or Centres, with regards to planning and implementation of programmes;
- f) The quality of relations with African States Parties to the World Heritage Convention, including their focal points, government agencies and UNESCO National Commissions, and with public/private partners and donors;
- g) The nature and quality of organizational arrangements, including management, governance and accountability mechanisms;
- h) The human and financial resource base and the quality of mechanisms and capacities, as well as context-specific opportunities and risks for ensuring sustainable institutional capacity and viability;
- i) The process of mobilizing extrabudgetary resources and to what extent such extrabudgetary funding is aligned to the strategic programme objectives of UNESCO.

### 6.2 Sources of Information

#### 6.2.1 List of Interviewees

The interviewees were selected from all relevant stakeholder groups, based on suggestions by the WHC and the Fund, with an attempt to balance representation of African sub-regions (East, South, Central, West, North Africa) and language groups (Anglophone, Francophone, Lusophone, Arab speaking); relevant ministries of the GoSA; African Union; UNESCO, in particular the WHC, the Africa Department, and the African Field Offices; AHWF staff and Board members; selected African States Parties, including departmental and diplomatic focal points, site managers, technical counterparts, and UNESCO National Commissions; World Heritage Advisory Bodies; other relevant Category 2 Centres and Institutes; donors and development partners; technical partners, private consultants and experts involved with World Heritage in Africa.

The list below only includes successfully held interviews. Many more attempt were made, i.e. to reach National Commissions, donors, partner organizations, States Parties, and staff of UNESCO.

	<b>Name</b>	<b>Category</b>	<b>Position</b>
<b>UNESCO</b>			
1	Edmond Moukala	WHC	Chief Africa Unit, World Heritage Centre
2	Karalyn Monteil	WHC	Assistant Programme Specialist, World Heritage Centre and WHC focal point for AWHF
3	Susanne Kari	WHC	Natural Heritage Specialist
4	Marie Noel Tournoux	WHC	Convention France UNESCO
5	Alessandro Balsamo	WHC	Programme Specialist Culture, Nominations
6	Damir Dijakovic	Harare Regional Office	Senior Programme Specialist Culture and deputy AWHF focal point
7	Yvette Kaboza	Harare Regional Office	Programme Specialist Culture
8	Mohamed Ould Khattar	Rabat Regional Office	Programme Specialist Culture
9	Lazare Eloundou	Bamako Office, former WHC Africa Unit	Director
10	Marc Patry	Nairobi Regional Office	Senior Programme Specialist
11	Alonso Cano, Guiomar	Dakar Regional Office	Programme Specialist Culture
12	Nibona, Adele	Abuja Regional Office	Programme Specialist Culture
13	Peter Debrine	World Heritage Tourism Programme	Programme Specialist
14	Giovanni Boccardi	Executive Office, Culture	Chief of PCPD activities
15	Firmin Matoko	Africa Department	Director
<b>Advisory Bodies / Experts</b>			
16	Regina Durighello	ICOMOS	Director ICOMOS WH Programme
17	Mr. Tim Badman	IUCN	Director, World Heritage Programme
18	M. Geoffroy MAUVAIS	IUCN	Coordinator for African Programme on Conservation
19	Youssouph DIEDHIOU	IUCN, Africa (Senegal)	Chargé de Programme Patrimoine Mondial, Programme Afrique Centrale et de l'Ouest / Programme Aires Protégées / IUCN SENEGAL
20	Georges Abungo	Professor	University of Mauritius
21	Mr. Joe King	ICCROM	Director, Sites Unit
<b>AWHF</b>			
22	Dr. Webber Ndoro	AWHF	Executive Director
23	Mr. Jacob Nyangila	AWHF	Programme Specialist, Culture
24	Mr. Souayibou Varissou	AWHF	Head of Programmes
25	Ms. Pamela MacQuilkan	AWHF	Programme officer
26	Thembisa Mvubu	AWHF	Finance Officer
27	Clarisse Ntumba Kongolo	AWHF	Assistant Admin Officer
28	Yannick von Winkel	AWHF	Intern, Communications
29	Ms. Vanessa du Plessis	AWHF	Fundraising and Communication Officer
<b>Board members</b>			

30	Mr. Rapulane Mogototoane	Advisor to the Board	Thebe Investment
31	Ms. Angela Martins	African Union	Department of Social Affairs
<b>States Parties, Governments</b>			
32	Ms. Thembi Malao	GoSA	Department of Arts and Culture
33	Ms. Thumeka Ntloko	GoSA	Department of Environmental Affairs
34	Mr. Marthinus van Schalkwyk	GoSA	Director, Department of International Relations and Cooperation
35	Mr. Jack Vuyo	GoSA	Acting DG Arts and Culture
36	Mr. Kagosi Mwamulowe	Zambia	National Heritage Conservation Commission, Zambia
37	Mr. Lassana Cisse	Mali	National Director of Cultural Heritage
38	Georges Muamba	DRC	ICNN, DRC
39	Muhammad Juma Muhammad	Zanzibar, Tanzania	DoURP, Government of Zanzibar
40	Mr. Thierry Nzamba Nzamba	Gabon	Director General of Culture
<b>National Commissions</b>			
41	Mr Carlton Mukwevho	NatCom South Africa	Secretary-General
<b>Donors / DPs</b>			
42	Anne-Lise Langoy	Royal Norwegian Ministry of Foreign Affairs	
43	Carlos Maldonado Valcárcel	Dirección de Relaciones Culturales y Científicas,	Agencia Española de Cooperación Internacional para el Desarrollo (AECID)
45	Tijs D'Hoest	Flanders Department of Foreign Affairs; Secretary general for Flemish Commission for UNESCO	Policy Officer
46	Mr. Ole Eriksen	Nordic World Heritage Foundation	Deputy Director
<b>Category 2 Centres</b>			
47	Hong Li	WHITRAP, China	Programme Specialist
48	Khalifa al Khalifa	ARC-WH, Arab Regional Centre for World Heritage, Bahrain	Assistant Director
<b>Private sector, consultants, researchers</b>			
49	Guy Debonnet	Independent consultant	WHC

## 6.2.2 Main documents consulted

### AWHF Public Documents

- AWHF Published Strategy 2011 – 20125
- Evaluation of the African World Heritage Fund 2008 -2010
- Report on AWHF Strategic Plan Midterm Review 2013
- Records of Decisions of the 5<sup>th</sup> - 16<sup>th</sup> Board Meeting
- AWHF Annual Reports 2010, 2011, 2012, and 2013
- Draft AWHF Annual Report 2014
- Audit Report 2010, 2011, 2012, and 2013

- Quarterly Reviews
- Various activity reports
- Agency Agreement between DBSA and AWHF (2014)
- MoA with regards to transfer payments between Department of Arts and Culture, SA, and the AWHF (2014)
- Agreement between AWHF and the Government of South Africa – Department of Environmental Affairs (DEA) referring to the annual financial contribution (2014)

#### UNESCO documents

- 1972 World Heritage Convention
- Operational Guidelines for the Implementation of the World Heritage Convention (2013)
- Programme document for the implementation of the Africa Nature Programme from 2014 – 2017 (2013)
- UNESCO 34C4 Medium Term Strategy 2008 -2013
- UNESCO 35C3 Establishment of Category 2 Centres Under the Auspices of UNESCO
- UNESCO 36C5 Approved Programme Budget
- UNESCO 37C4 Medium Term Strategy 2014 – 2021
- UNESCO 37C5 Approved Programme Budget 2014 – 2017
- UNESCO Executive Board Decision 182 EX/20 Part VI
- African Position Paper 2005
- Africa 2009 final report
- Final Agreement: original signed by DG 27Jan10 African World Heritage Fund
- World Heritage in Africa Region: Main Results of Second Cycle Periodic Reporting 2011)
- Mid-term review of Implementation Programme of Second Periodic Reporting
- Status of Implementation of The Action Plan for World Heritage in the Africa Region (2012 – 2017)
- Integrated Comprehensive Strategy for Category 2 Instituted and Centres under the Auspices of UNESCO )37 C/Resolution 93 (Nov 2013) and its Revision (37 C/18 Part I) (2013)
- Culture Sector Strategy for Category 2 Institutes and Centres
- 4<sup>th</sup> annual coordination meeting of the UNESCO World Heritage – related Category 2 Institutes and Centres, Shanghai China, 2014
- Decisions adopted by the World Heritage Committee at its 38<sup>th</sup> session (Doha 2014)
- Notes on informal meetings of Category 2 Centres
- Global Strategy for a representative, balanced and credible World Heritage List
- Progress Report on Global Training Strategy (including category 2 centres)
- Evaluation of UNESCO – Flanders Cooperation in the field of heritage. Draft Report 2014