Monitoring Indicators for Periodic Reporting exercise
Learning objectives

At the end of the session, trainees:

✓ Will have a clear view about the foreseen use of Monitoring Indicators for Periodic Reporting to improve follow-up on progress made by States Parties in the implementation of the World Heritage Convention

✓ Will be able to recognize the underlying logic and the Analytical Framework of Periodic Reporting Monitoring Indicators

✓ Will be able to relate Monitoring Indicators to the process of management planning and to the monitoring system of the World Heritage properties
Module outline

I. Aim of the Analytical Framework for Periodic Reporting

II. Six thematic areas of the Analytical Framework for Periodic Reporting
   i. State of Conservation of World Heritage properties
   ii. Management
   iii. Governance
   iv. Synergies
   v. Sustainable development
   vi. Capacity development

III. Monitoring at the World Heritage property level
   i. Monitoring and evaluation at the property level
   ii. Monitoring and reporting at the property level
   iii. Selection of key indicators
I. Aim of the Monitoring Indicators for Periodic Reporting

Overall objectives of Periodic Reporting exercise

1. To provide an assessment of the application of the World Heritage Convention by the State Party

2. To provide an assessment as to whether the World Heritage values of the properties inscribed on the World Heritage List are being maintained over time

3. To provide up-dated information about the World Heritage properties to record the changing circumstances and state of conservation of the properties

4. To provide a mechanism for regional co-operation and exchange of information and experiences between States Parties concerning the implementation of the Convention and World Heritage conservation
I. Aim of the Monitoring Indicators for Periodic Reporting

Aim of Periodic Reporting Monitoring Indicators

Monitoring Indicators are used to **gauge the level of effective observance by State Parties** to the *Convention* and of the 1972 Recommendation.

The *World Heritage Committee* has agreed on the following topics for Monitoring Indicators:

- State of conservation
- Management effectiveness
- Adequacy of the legal framework and governance mechanisms
- Adequacy of resources
- Contribution to sustainable development
- Implementation of World Heritage Committee policies
- Capacity development

Monitoring Indicators cover the **key elements of the implementation of the World Heritage Convention**

They are set up in order to:

- Reinforce the results reporting framework
- Improve **follow-up on progress** made by States Parties in the implementation of the World Heritage Convention
- Provide the Committee with an effective overview of results for decision-making
I. Aim of the Monitoring Indicators for Periodic Reporting

Monitoring and evaluation: clarification of the term ‘indicator’

Monitoring Indicators are used as analytical tools:

- **to evaluate:**
  - the application of the *World Heritage Convention* by the State Party
  - whether the World Heritage values of the properties inscribed on the World Heritage List are being maintained over time
  - and this by recording changing circumstances and state of conservation of the properties

- **to facilitate the exchange of information and experiences** between States Parties concerning the implementation of the *World Heritage Convention* and World Heritage conservation

An indicator is:

- a **variable** (its value changes) with characteristics of quality, quantity and time
- used to **measures** (objective calculation of value) directly or indirectly:
  - key elements (inputs, processes, outputs, outcomes)
  - changes in a situation, that have been induced by an activity or a set of activities
  - the progress made in addressing it
I. Aim of the Monitoring Indicators for Periodic Reporting

Clarification: indicators as measuring variables

Indicators provide measures of:

- **Outputs**
  - E.g.: results

- **Process**
  - E.g.: planning and monitoring

- **Inputs**
  - E.g.: physical and legal resources

- **Outcome**
  - E.g.: short-term and medium-term effects

- **Impact**
  - E.g.: long-term or indirect effects
I. Aim of the Monitoring Indicators for Periodic Reporting

Underlying logic model

Indicators provide measures of:

Inputs
- Human resources
- Financial resources for property management
- Legal frameworks
- Other cultural and biodiversity related conventions, and other normative instruments

Process
- Management plan and systems
- Management coordination
  - Monitoring
  - Awareness building
  - Stakeholder engagement
  - Education

Outputs
- Management response
- Cooperation mechanisms
- Integrated management plans

Outcome
- Integrity
- Authenticity
- Management effectiveness
- State of conservation of World Heritage properties maintained and improved over time

Impact
- Environmental sustainability
- Inclusive socio-economic development
- Inclusive economic development
- Peace and security

Periodic Reporting – Monitoring Indicators
I. Aim of the Monitoring Indicators for Periodic Reporting
Clarification: monitoring and evaluation process

- Review of the **management plan** (or documented management system), as a key factor in the management effectiveness of World Heritage properties
- Analytical efforts to answer specific questions about **performance of activities**
- Provides **lessons learned** and recommendations for improvement
- **Collection of information** to track whether actual results are being achieved as planned and identify **bottle-necks and red flags**
- Implementation is in the form of actions such as **executing plans** to respond to threats, increasing local participation or strengthening financial management
- This phase involves the **construction of the results**
II. Six thematic areas of the Analytical Framework for Periodic Reporting

**Capacity development**
- Indicators to measure the existence, effectiveness of and participation in capacity building strategies and programmes

**State of Conservation of World Heritage properties**
- Indicators to assess temporal patterns in the status and trends of the OUV and factors affecting the property, the integrity and authenticity of the site

**Sustainable development**
- Indicators to measure whether the application of the Convention is contributing to environmental sustainability, inclusive social development, and inclusive economic development, as well as the fostering of peace and security

**Management**
- Indicators to measure the effectiveness of site management, the adequacy of financial and human resources and budget

**Synergies**
- Indicators to measure the existence of synergies with other cultural and biodiversity related conventions and normative instruments

**Governance**
- Indicators to measure the adequacy of the legal framework for heritage protection, the nature and level of involvement of key stakeholders (transparency of processes), action plan(s) to promote heritage, legislation for heritage protection
II. Six thematic areas of the Analytical Framework for Periodic Reporting

Clarification: Evaluating management effectiveness

Relationship of tools in the toolkit to the WCPA Management Effectiveness Framework (page 79)

Managing Natural World Heritage, UNESCO (2012)
II. Six thematic areas of the Analytical Framework for Periodic Reporting

Clarification: Applying the *Enhancing our Heritage Toolkit* to Cultural World Heritage sites

**Similarities between cultural heritage planning and the WCPA Framework (page 90)**

II. Six thematic areas of the Analytical Framework for Periodic Reporting

The underlying conceptual framework for Periodic Reporting Monitoring Indicators

- **Sustainable development**
  - How the world heritage management and preservation contributes to *environmental sustainability*, *inclusive social development*, and *inclusive economic development*, as well as the fostering of *peace* and *security*

- **Legal framework and national policy**
  - Adequacy of the *legal framework* for heritage protection
  - Involvement of *key stakeholders*
  - *Policies for heritage protection*, in accordance with other UNESCO Recommendation, strategies and policy documents

- **Factors affecting the property**
  - Factors that are currently affecting or have *strong potential to affect the property*, both positively and negatively

- **Management response**
  - How the reviewing process of the management system includes the development of *responses to the different challenges* recorded by the monitoring system, in order to maintain the OUV of the property
  - The capacity to respond depends on the available resources (i.e. staff time, budget, knowledge, etc.)
II. Six thematic areas of the Analytical Framework for Periodic Reporting
Clarification: Management responsiveness

“(Page 60): “The following considerations help to explain why a heritage management system needs to be responsive if it is to be effective:

- **Embracing diversity**: Each heritage management system will be, to some extent, unique because of being shaped by the specific needs of the heritage in its care, the cultural context and wider social, economic and environmental factors. In the case of World Heritage see the Operational Guidelines (Para 110, Part 3.3. of Managing Cultural Heritage).

- **Clarity and coordination**: A management system is cyclical, evaluating its process and achievements so as to adjust its ongoing activities and to inform the next cycle. Interacting with other management systems or their components, it provides a coordinated and effective management outcome with regard to the values of the heritage and, in the case of World Heritage, the OUV.

- **Risk preparedness**: A management system needs to be sufficiently flexible to deal with unforeseeable events, such as natural disasters or fluctuations in the financial or human resources available to it.

- **A participatory approach**: A shared understanding of the property and its significance by all stakeholders and their involvement in management processes can radically change how the functions of a management system are discharged. It makes heritage processes more responsive and delivers outputs and outcomes that are better aligned with the actual needs of the property and its stakeholders. It also promotes a constructive role for heritage to contribute to society and to sustainable development (see Part 2.3.).

- **The role of heritage in sustainable development**: Establishing an active role for heritage in sustainable development delivers numerous reciprocal benefits, enabling the management system to balance different and competing needs more effectively, and to locate new forms of support which are likely to reinforce the heritage values (see Part 2.3.).”
Periodic Reporting Objectives:
② To provide an assessment as to whether the World Heritage OUV of the properties inscribed on the World Heritage List are being maintained over time

Periodic Reporting Objective:
③ To provide updated information about the World Heritage properties to record the changing circumstances and state of conservation of properties
II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme I: State of Conservation of World Heritage properties

Status OUV
Number of properties considering that OUV has been maintained

Trend OUV
Compare percentage of properties (of total) considering that OUV has been maintained in current cycle vs previous cycle

Trend factors
Number of current negative (positive) factors vs previous cycle number of current negative (positive) factors + correlation between current and previous cycle current negative factors

Integrity
Number of properties considering that integrity is intact

Authenticity
Number of properties considering that authenticity has been preserved

SOC of World Heritage properties maintained and improved over time
II. Six thematic areas of the Analytical Framework for Periodic Reporting
Monitoring Indicators, theme II: Management

<table>
<thead>
<tr>
<th>Financial resources</th>
<th>Human resources</th>
<th>Management systems/plans</th>
<th>Management coordination</th>
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</table>

**Periodic Reporting Objectives**

1. To provide updated information about the World Heritage properties to record the **changing circumstances** and **state of conservation** of properties.

2. To provide an assessment as to whether the World Heritage **OUV** of the properties inscribed on the World Heritage List are **being maintained over time**.

3. To provide updated information about the World Heritage properties to record the **changing circumstances** and **state of conservation** of properties.

4. To provide a **mechanism for regional co-operation and exchange of information and experiences** between States Parties concerning the implementation of the Convention and World Heritage conservation.
II. Six thematic areas of the Analytical Framework for Periodic Reporting
Monitoring Indicators, theme II: Management

**Financial resources**
- Percentage of State Parties that consider the available budget for World Heritage to be adequate to meet the current conservation, protection and presentation needs

**Human resources**
- Percentage of State Parties that consider available human resources as adequate to meet the current needs of cultural and/or natural heritage conservation, protection and presentation

**Management systems/plans**
- Number of properties with a management plan or appropriate management system
- Number of properties where management system is being fully implemented and monitored
- Number of properties where management system/plan is adequate to maintain site’s OUV
## II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme II: Management

<table>
<thead>
<tr>
<th>Management coordination</th>
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<tbody>
<tr>
<td>• Number of properties where there is adequate coordination between all bodies/levels involved in the management of the property</td>
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<table>
<thead>
<tr>
<th>Monitoring</th>
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<tr>
<td>• Number of properties with a formal programme of monitoring</td>
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<td>• Number of properties where indicators have been i) defined, and ii) in use</td>
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<table>
<thead>
<tr>
<th>Management impact</th>
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<tbody>
<tr>
<td>• Number of properties where management activities (as a factor) are having a positive current impact</td>
</tr>
<tr>
<td>• Number of properties where management activities (as a factor) are having a i) negative current impact, and ii) negative potential impact</td>
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<table>
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<tr>
<th>Management response</th>
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<tr>
<td>• Number of properties where actions are being taken to address priority management needs identified in the Periodic Reporting questionnaire</td>
</tr>
</tbody>
</table>
II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme III: Governance

Periodic Reporting Objectives

① To provide an assessment of the application of the World Heritage Convention by the State Party

② To provide an assessment as to whether the World Heritage OUV of the properties inscribed on the World Heritage List are being maintained over time

③ To provide updated information about the World Heritage properties to record the changing circumstances and state of conservation of properties

④ To provide a mechanism for regional co-operation and exchange of information and experiences between States Parties concerning the implementation of the Convention and World Heritage conservation

Improved adequacy of the legal framework for heritage protection
II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme III: Governance

- **Legal framework identification**
  - Number of State Parties considering that the legal framework is adequate for the identification of the State Party's cultural and/or natural heritage

- **Legal framework conservation**
  - Number of States Parties considering that the legal framework is adequate for the conservation and protection of the State Party's cultural and/or natural heritage

- **Cooperation mechanisms**
  - Number of States Parties where effective cooperation mechanisms between stakeholders are established

- **Roles and responsibilities**
  - Number of properties where roles and responsibilities are clearly defined in the management system

- **Improved adequacy of the legal framework for heritage protection**
II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme IV: Synergies

- Of the States Parties that have ratified/joined MEAs, UNESCO conventions and programmes, the percentage that maintain communication between World Heritage Focal Points, and focal points of other programmes/conventions (results displayed by programme/convention)

- Number of World Heritage properties with multiple designations: the percentage where there is communication on a regular basis; the percentage which have an integrated management plan;

- Number of State Parties using the provisions of the 2011 Recommendation on the Historic Urban Landscape to set policies or strategies for the protection of their cultural and natural heritage

- Number of State Parties using the Strategy for Reducing Risks from Disasters at World Heritage Properties to set national policies or strategies for the protection of their cultural and natural heritage

- Number of State Parties using the Policy Document on the Impacts of Climate Change on World Heritage Properties to set national policies or strategies for the protection of their cultural and natural heritage

Periodic Reporting Objectives

1 4
II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme V: Sustainable development

- Number of properties where the management system/plan for the World Heritage property includes a strategy with an action plan, to manage visitors, tourism activity and its derived economic, socio-cultural and environmental impacts

- Number of properties where the benefits of tourism are shared with local communities

- Number of State Parties considering that inscription of properties on the World Heritage List contributes to achieving the objectives of the World Heritage Sustainable Development Policy and the 2030 Agenda for Sustainable Development

- Number of State Parties that effectively integrate the conservation and protection of cultural and natural heritage as a strategic element in national sustainable development policies and strategies
II. Six thematic areas of the Analytical Framework for Periodic Reporting
Monitoring Indicators, theme V: Sustainable development

- Percentage of **total annual public expenditure** on the identification, conservation, protection and presentation of cultural/natural heritage

- Percentage of total annual public expenditure spent on the **identification, conservation, protection and presentation** of cultural/natural heritage is allocated from **national/federal, provincial/regional and local levels**

- Number of State Parties where an explicit **gender balanced contribution and participation** has been considered in the **entire process** (tentative lists, nominations, inscriptions)

- Number of properties with a **management system comprising a formalised framework for women's participation**

- Number of properties with **education and awareness programmes targeting women**

**Goal 11.4:** Strengthen efforts to protect and safeguard the world’s cultural and natural heritage

**Gender balance/equity**

**Periodic Reporting Objectives**

1 2 3
II. Six thematic areas of the Analytical Framework for Periodic Reporting Monitoring Indicators, theme VI: Capacity development

- Number of properties having **site-specific capacity building plans** or programmes that develop local expertise and that contribute to the transfer of skills for the conservation and management of the World Heritage property

- Number of States parties having a **national capacity building strategy** for World Heritage conservation, protection, presentation and management

- Number of State Parties having an **implemented national strategy for capacity development**

- Top 5 capacity building needs identified by State Parties for conservation, protection and presentation of cultural heritage
III. Monitoring at the property level
Clarification: Layers of Monitoring Indicators

Periodic Reporting: Result reporting framework

- Monitoring Indicators set in the Periodic Reporting analytical framework, measured after the completion of a Periodic Reporting Cycle (6 years), to gauge the level of effective observance by State Parties to the Convention and of the 1972 Recommendation
- Monitoring for Periodic Reporting presented to the World Heritage Committee

Property level

- Monitoring to assess the state of conservation & interpretation of the site in a given year and measure change over time, aimed to provide detailed data to the site managers so that they can improve the protection, interpretation and management of the site
- Monitoring for reporting, evaluation and planning
III. Monitoring at the World Heritage property level
Monitoring, evaluating and reporting at the property level

Evaluating at the property level

- **Monitoring and evaluation** are increasingly viewed as critical components of protected area management

- The major applications of the assessment of management effectiveness are:
  - **Adaptive management** – to improve performance within protected areas
  - **Accountability** – to assist reporting by site managers
  - **Improved project planning** – to review approaches and apply lessons learned

Reporting at the property level

- Effective monitoring and reporting aligned directly to World Heritage values and key management issues

- Selecting a ‘key’ set of indicators relating to the primary World Heritage values and which reflect significant or strategic aspects of the World Heritage property
### III. Monitoring at the World Heritage property level

**Selection of key indicators**

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<th>World Heritage attribute 1</th>
<th>Factor 1</th>
<th>Factor 2</th>
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<tbody>
<tr>
<td>Risk assessment</td>
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<tr>
<td>World Heritage attribute</td>
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</table>

- **Priority and scale of the issue**
- **Vulnerability factors**
- **Potential impacts**
- **Management response planning**
- **Monitoring and evaluation system**