

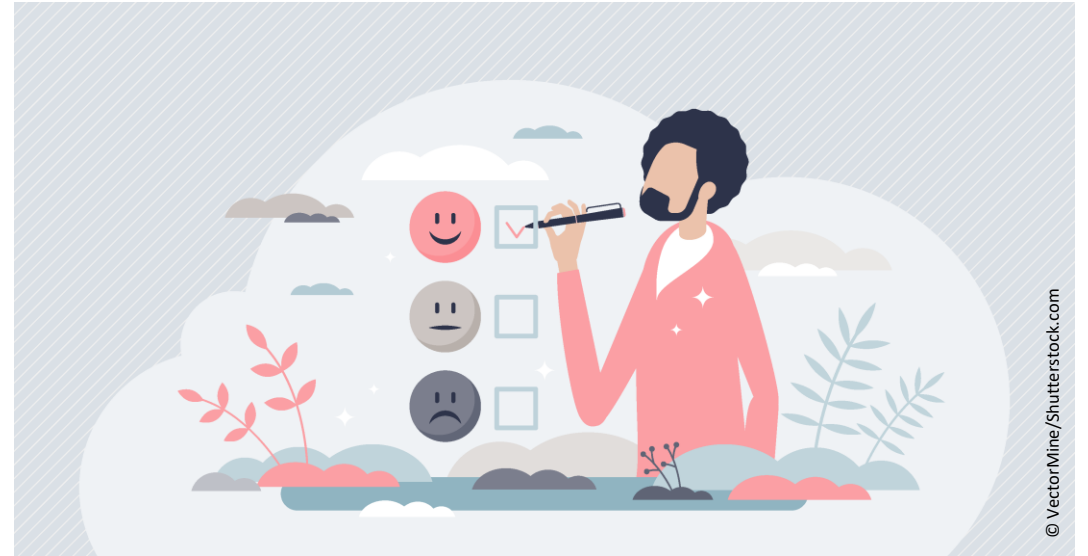
# Monitoring Indicators for Periodic Reporting



# 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**



## 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

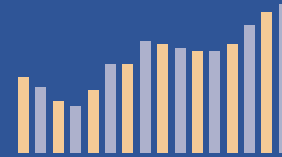
## Overall objectives of Periodic Reporting exercise



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

## Monitoring Indicators



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# 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

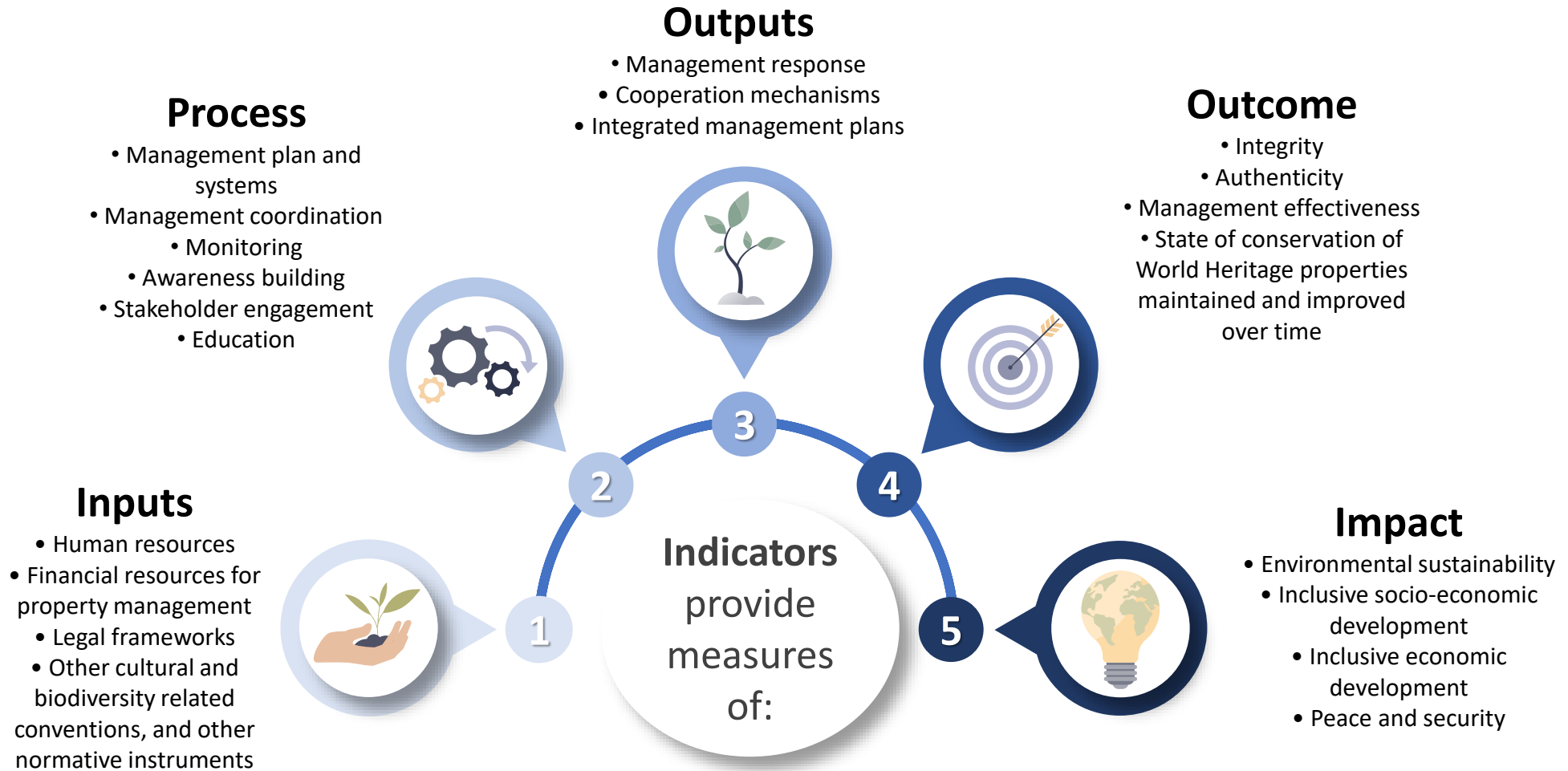
### An indicator is:

- 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



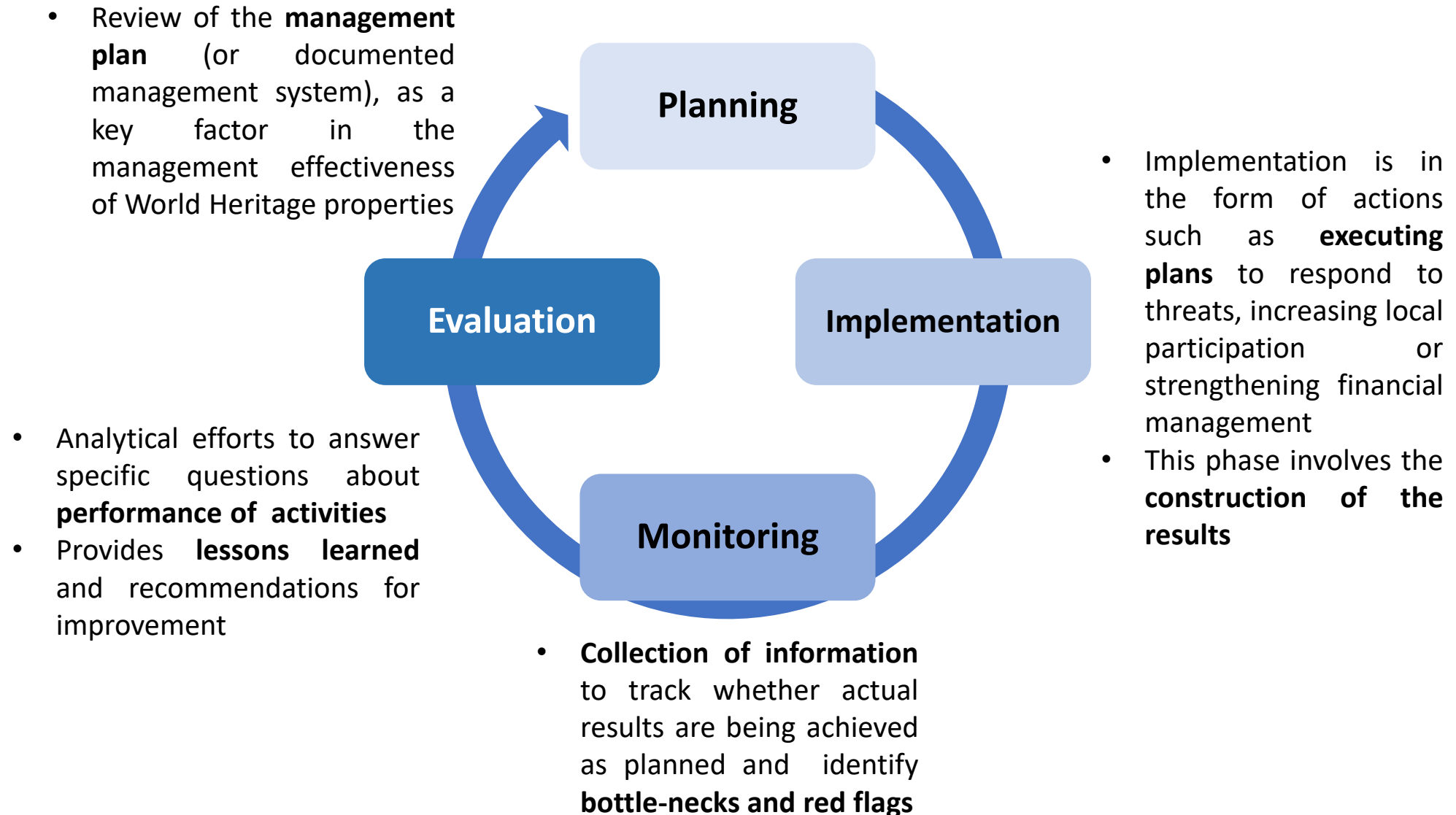
# I. Aim of the Monitoring Indicators for Periodic Reporting

## Underlying logic model



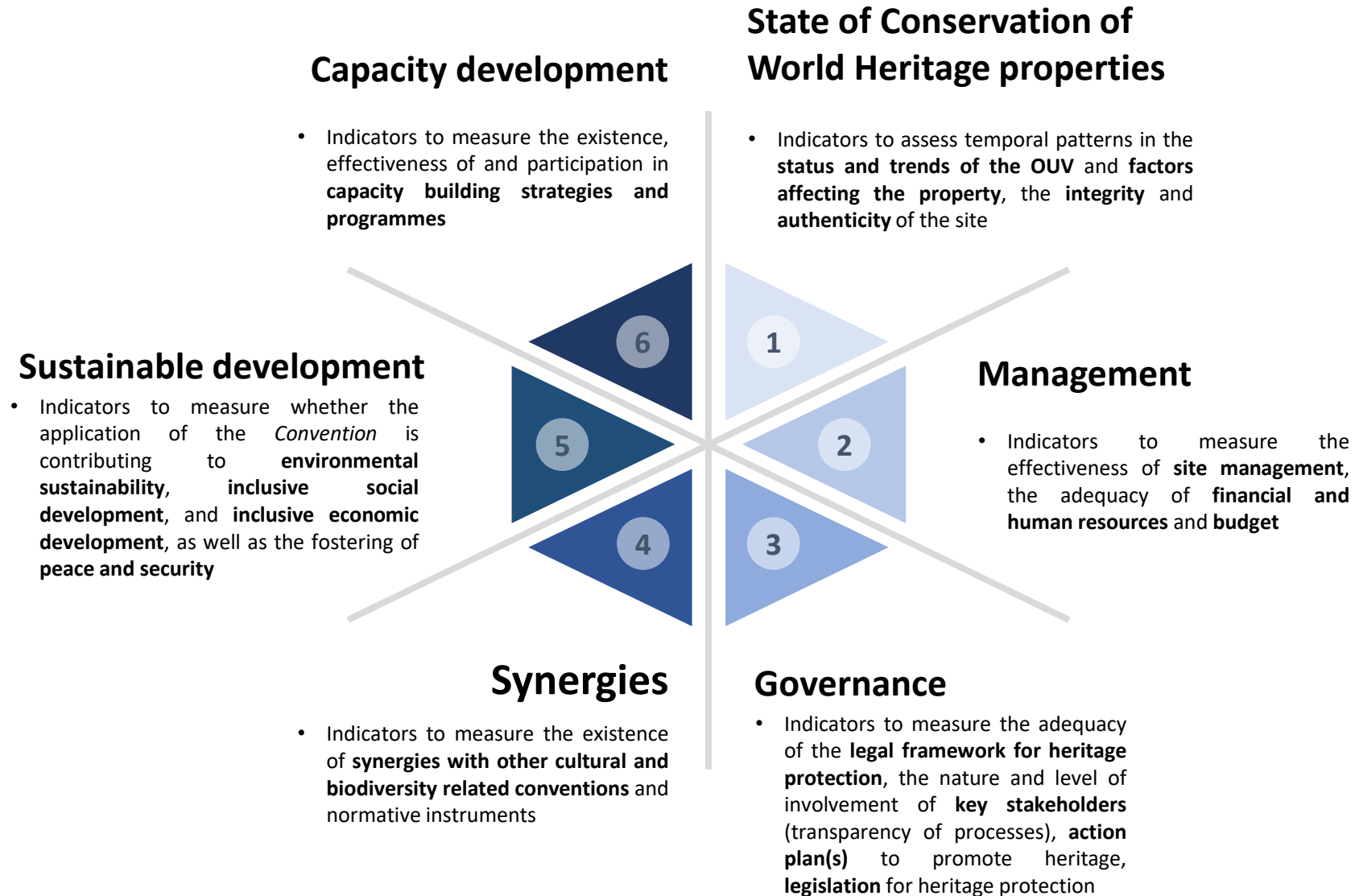
# I. Aim of the Monitoring Indicators for Periodic Reporting

## Clarification: monitoring and evaluation process





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

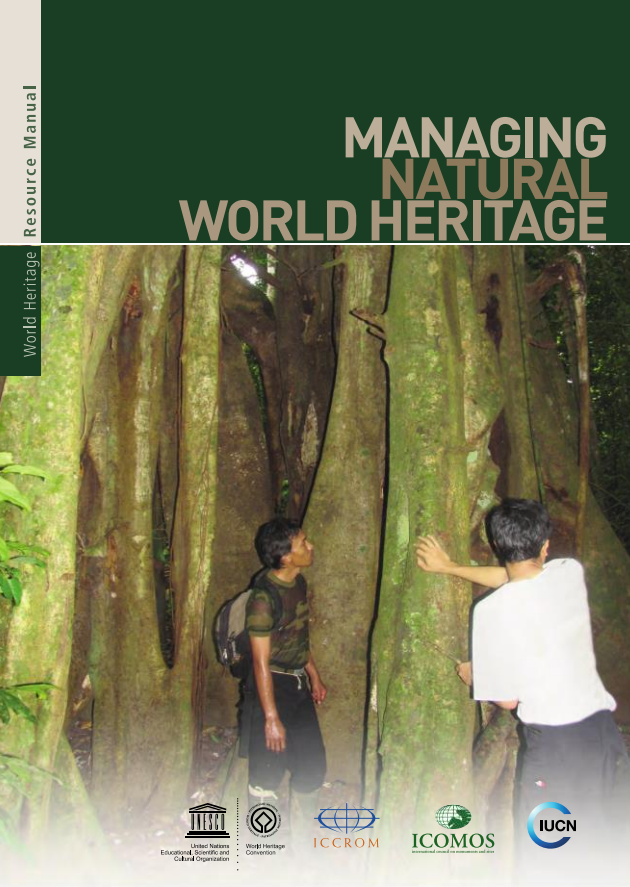


# II. Six thematic areas of the Analytical Framework for Periodic Reporting

Clarification: Evaluating management effectiveness



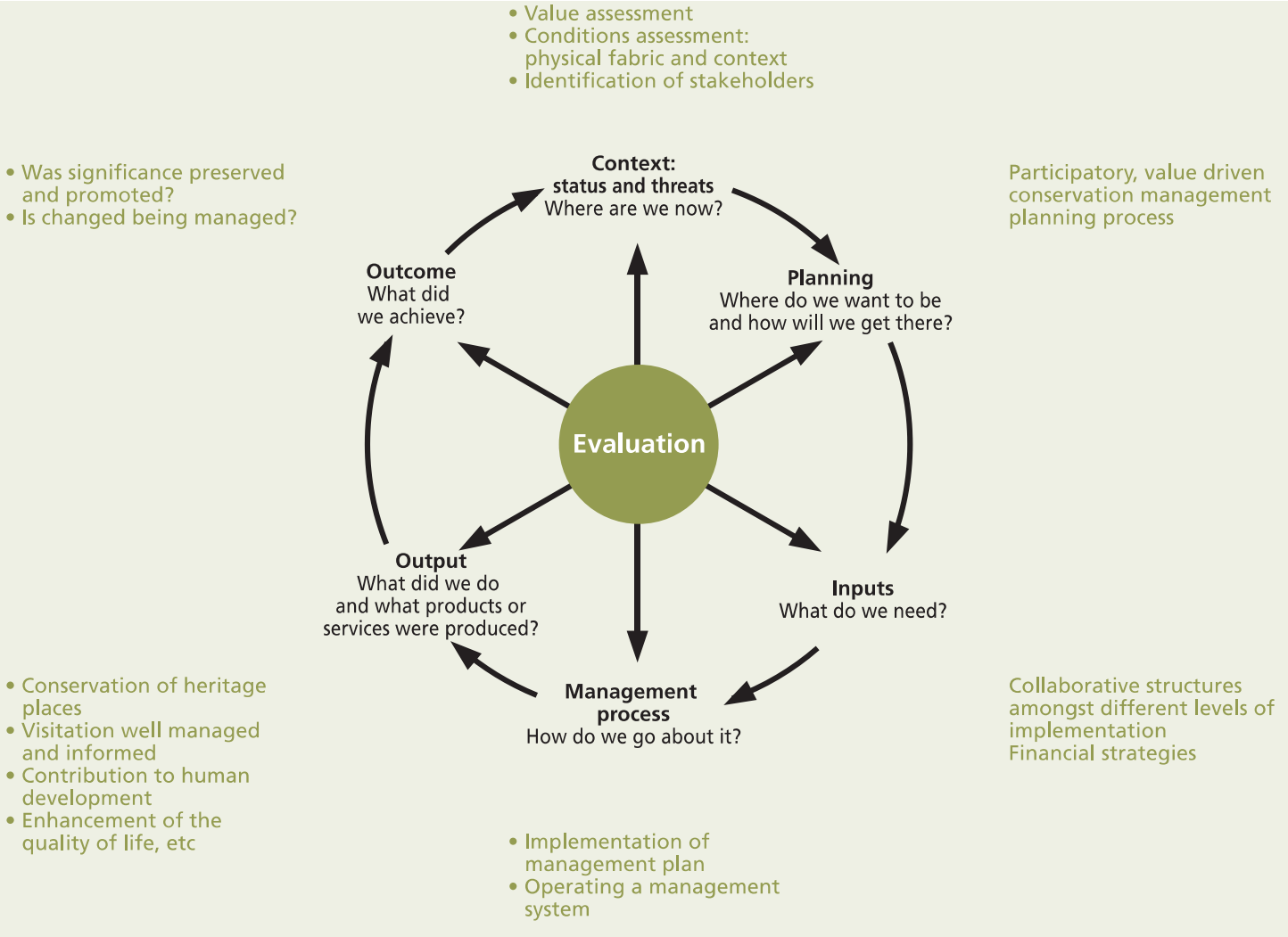
Relationship of tools in the toolkit to the WCPA Management Effectiveness Framework (page 79)



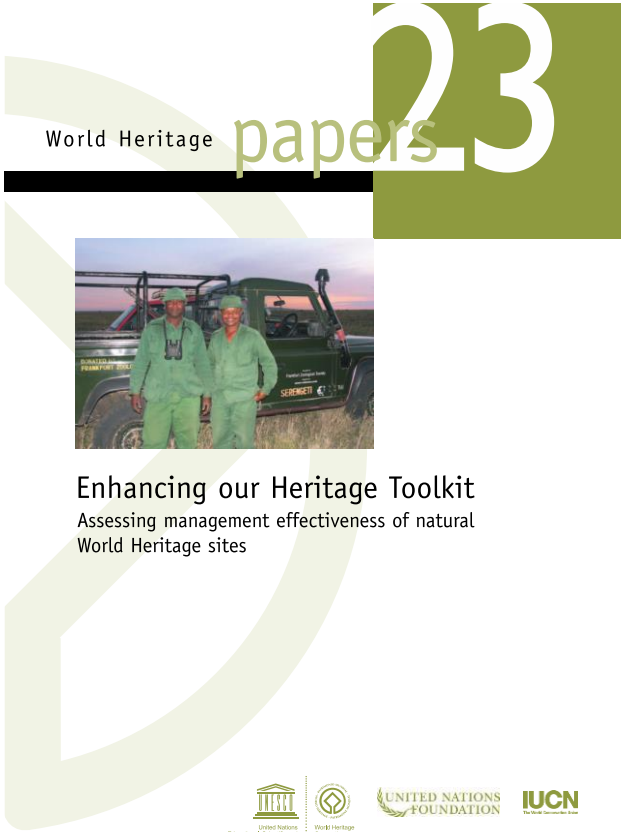
*Managing Natural World Heritage*, UNESCO (2012)

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

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



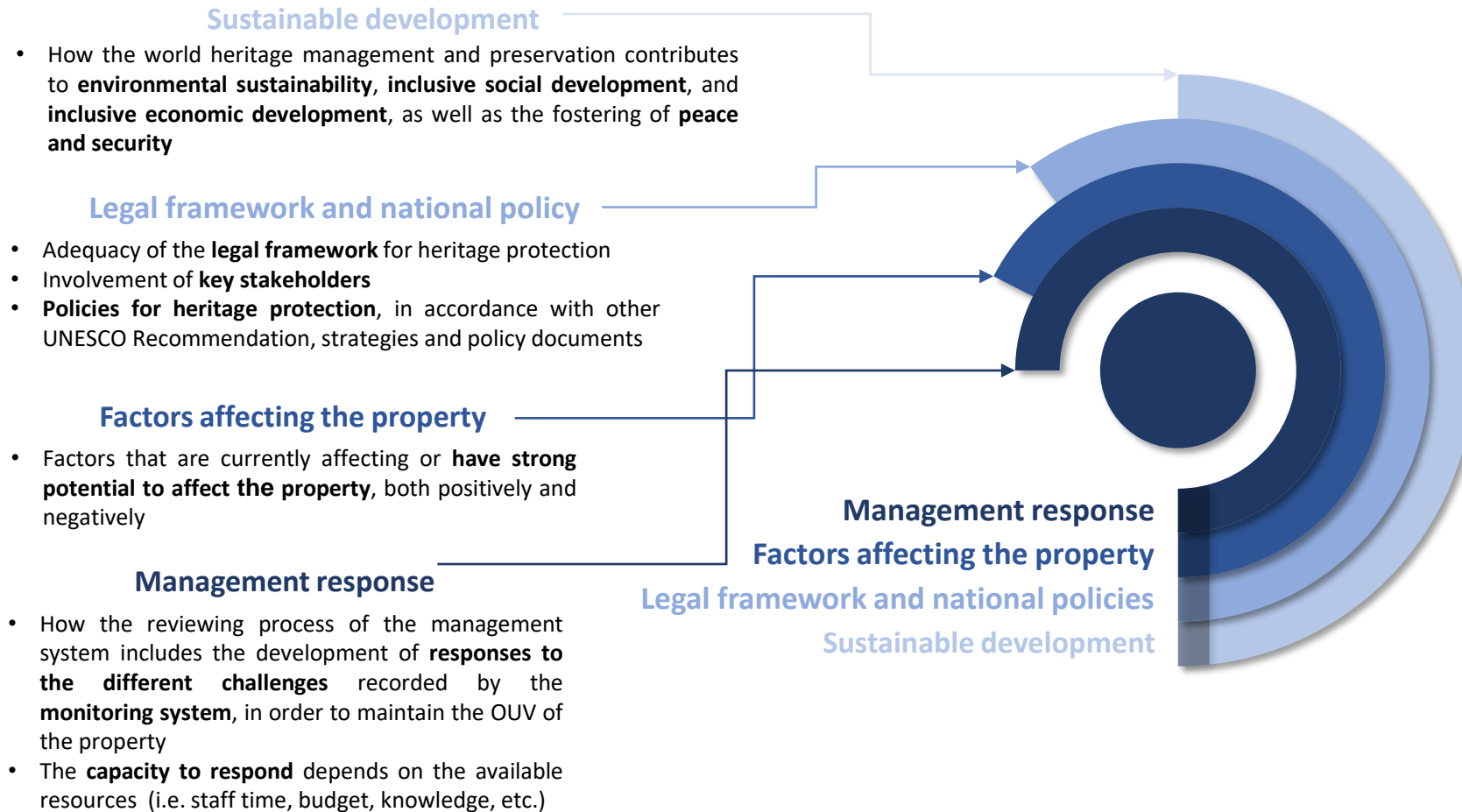
Similarities between cultural heritage planning and the WCPA Framework (page 90)



[Enhancing our Heritage Toolkit: Assessing management effectiveness of natural World Heritage sites](#) UNESCO (2012)

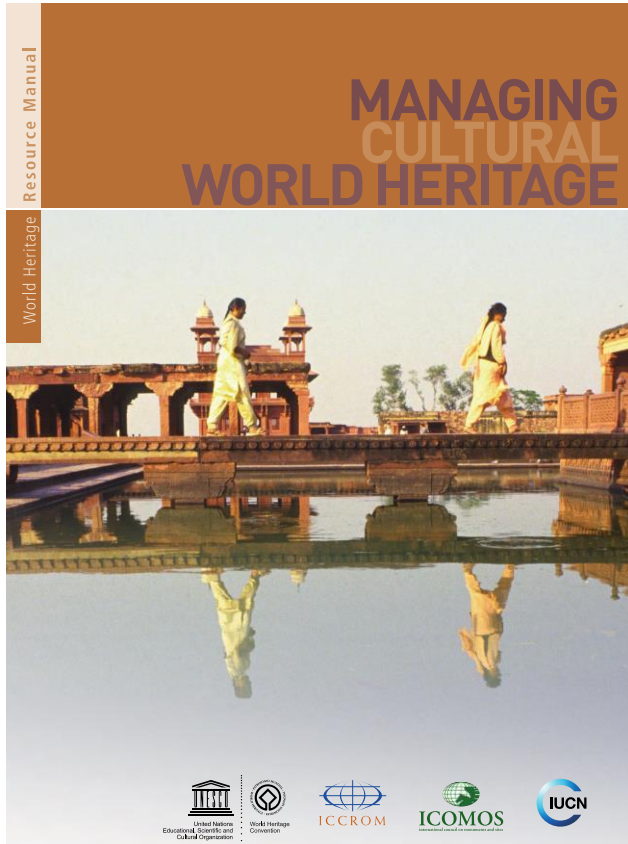
## II. Six thematic areas of the Analytical Framework for Periodic Reporting

### The underlying conceptual framework for Periodic Reporting Monitoring Indicators



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

### Clarification: Management responsiveness



*Managing Cultural World Heritage*, UNESCO (2013)

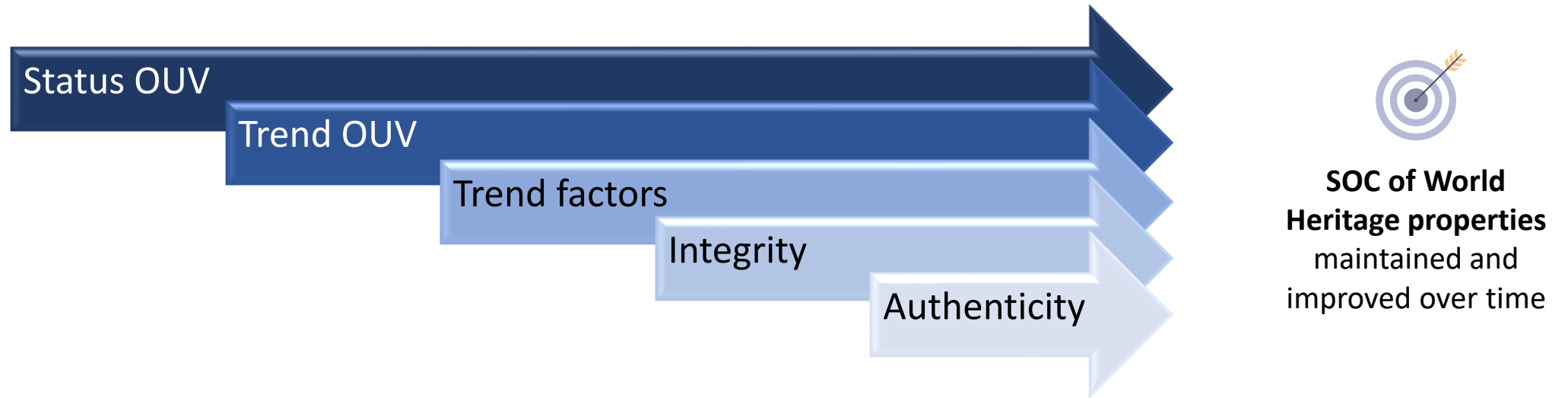
“

(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.).”

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

### Monitoring Indicators, theme I: State of Conservation of World Heritage properties



#### 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**

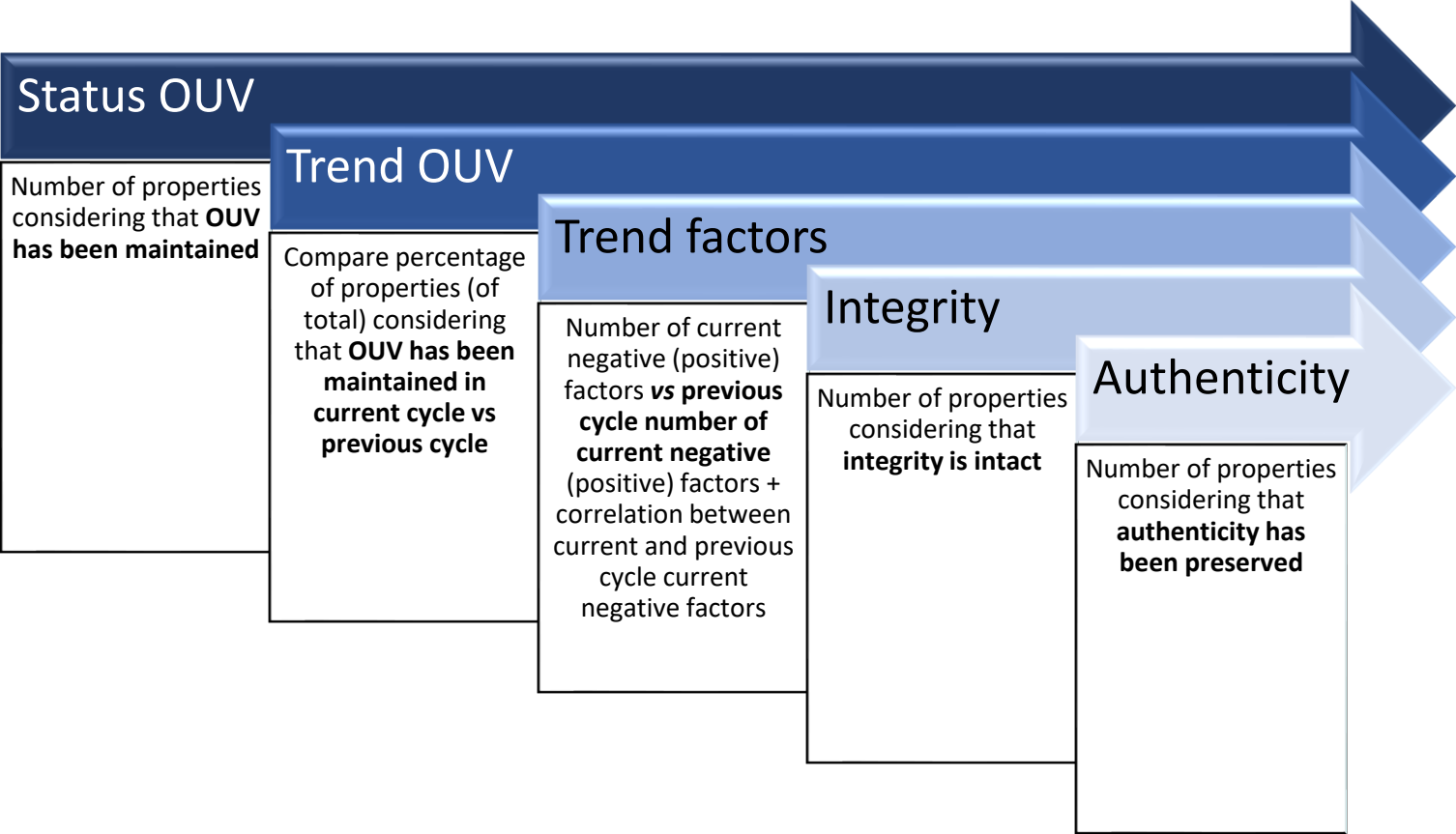
#### Periodic Reporting Objective:

- 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



**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



### 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**
- 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



Improved  
management  
effectiveness

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

### Monitoring Indicators, theme II: Management

#### Management coordination

- Number of properties where there is **adequate coordination between all bodies/levels** involved in the management of the property

#### Monitoring

- Number of properties with a **formal programme of monitoring**
- Number of properties where **indicators have been i) defined, and ii) in use**

#### Management impact

- Number of properties where **management activities** (as a factor) are **having a positive current impact**
- Number of properties where **management activities** (as a factor) are **having a i) negative current impact, and ii) negative potential impact**

#### Management response

- Number of properties where **actions are being taken to address priority management needs** identified in the Periodic Reporting questionnaire

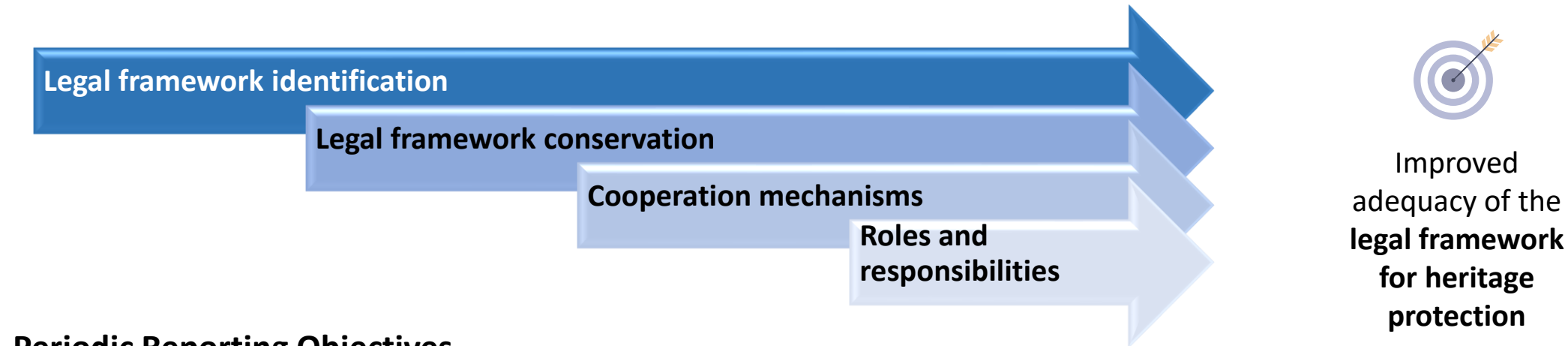


Improved  
management  
effectiveness



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

### Monitoring Indicators, theme III: Governance

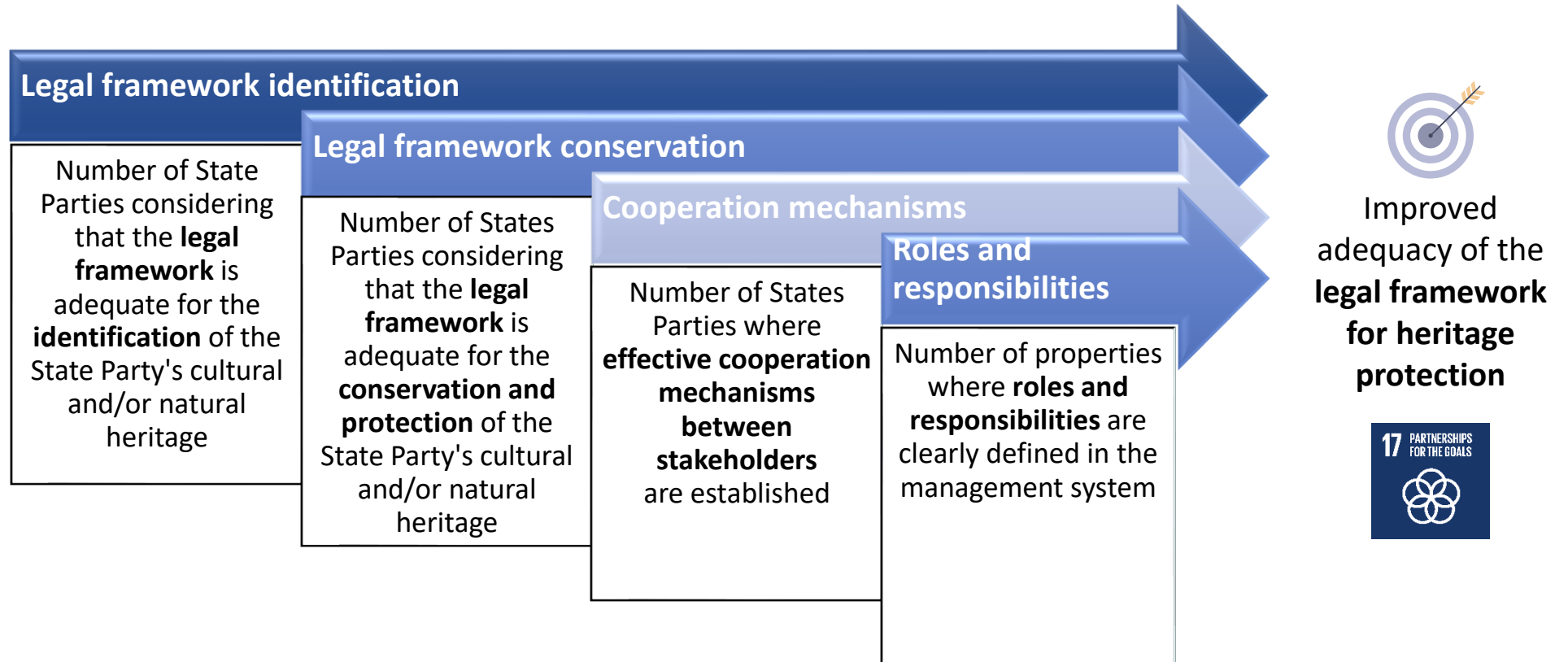


### Periodic Reporting Objectives

- 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

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

### Monitoring Indicators, theme III: Governance



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

### Monitoring Indicators, theme IV: Synergies

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- 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)

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- 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;

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- 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

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- 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

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- 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



Strengthen  
synergies and  
cooperation



Periodic Reporting  
Objectives



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## 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**



**Sustainable tourism  
and benefits to local  
communities**

Effective contribution  
to the **2030 Agenda**



**Periodic Reporting  
Objectives**



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

### Monitoring Indicators, theme V: Sustainable development

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

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- 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**

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

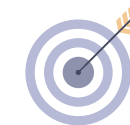
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- Number of properties with a **management system comprising a formalised framework for women's participation**

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

#### Periodic Reporting Objectives



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



**Gender  
balance/equity**



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

### Monitoring Indicators, theme VI: Capacity development

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- 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

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

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

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- **Top 5 capacity building needs identified by State Parties** for conservation, protection and presentation of cultural heritage



#### Capacity building



#### Periodic Reporting Objectives

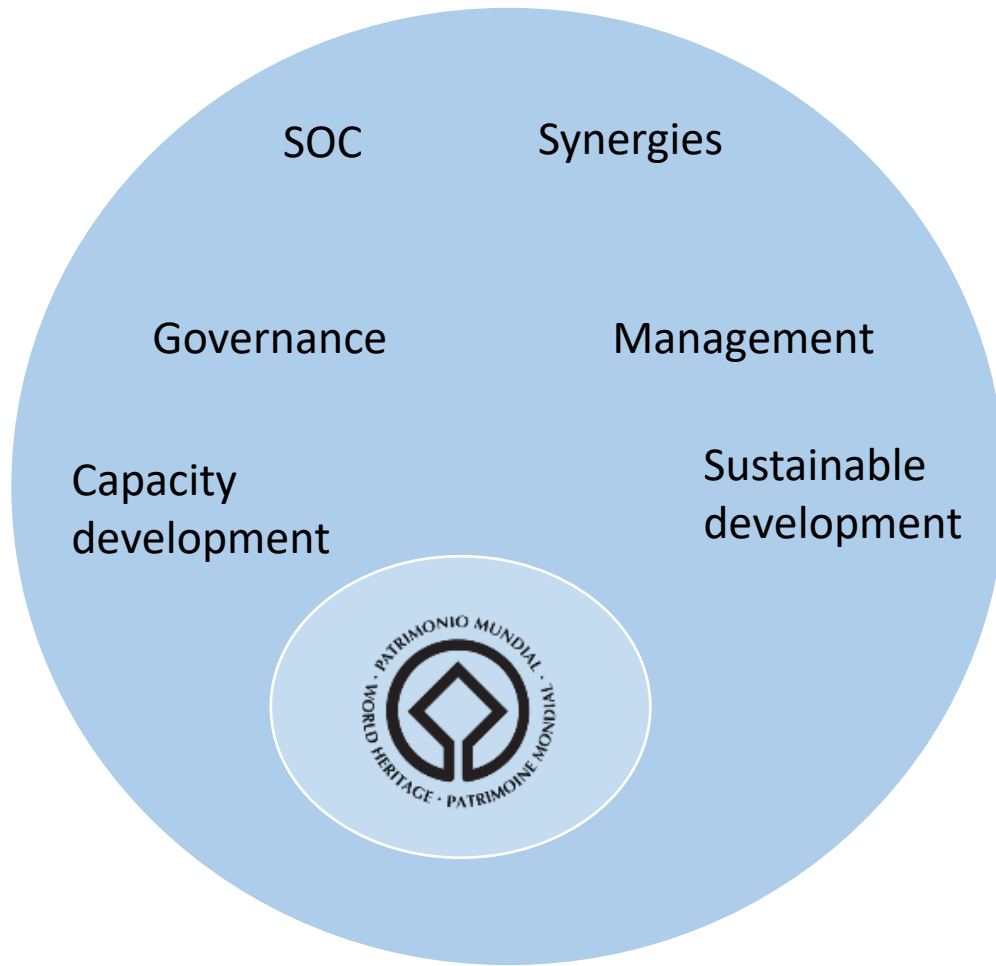


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### III. Monitoring at the property level

#### 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

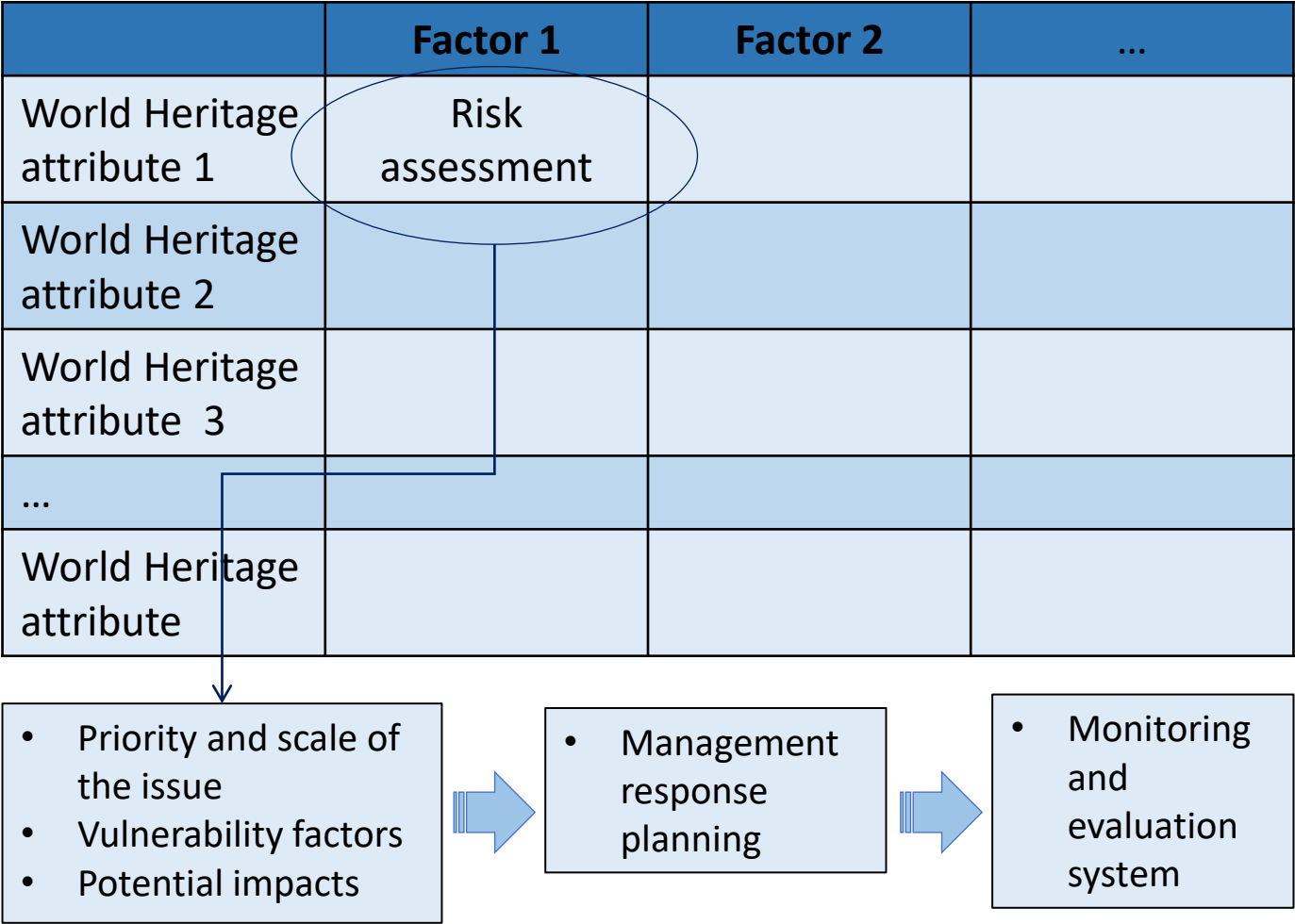
##### Reporting at the property level

- 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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