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Final Report

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EVALUATION OF THE WORLD HERITAGE CAPACITY-BUILDING STRATEGY FINAL REPORT

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List of Abbreviations

AB	Advisory Body	IUCN	International Union for the Conservation of Nature and Natural Resources
AFR	Africa	LAC	Latin America and the Caribbean
APC	Asia and the Pacific	LATAM	Latin America
ARAB	Arab States	NGO	Non-governmental organisation
ARC-WH	Arab Regional Centre for World Heritage	OECD	Organisation for Economic Co-operation and Development
ATHAR	Antiquities Trafficking and Heritage Anthropology Research	PAST	Préservation du patrimoine et appui au secteur touristique
AWHF	African World Heritage Fund	PI	Performance Indicator
CB	Capacity-Building	PNC	People Nature Culture
C2C	Category 2 Centre	SDG	Sustainable Development Goals
CAWHFI	Central Africa World Heritage Forest Initiative	SIDS	Small Island Developing States
CBSAP-AP	Capacity-Building Strategy and Associated Programmes for Asia and the Pacific	SMART	smart, measurable, achievable, realistic, time-bound
CCPB	Programme de renforcement des capacités dans les Caraïbes	SoC	State of Conservation
CER	Cultural Emergency Response	SP	States Party
COM	Committee	ST	Sustainable Tourism
COMPACT	Community Management of Protected Areas for Conservation	TOR	Terms of Reference
EoH	Enhancing our Heritage	UNDP	United Nations Development Programme
EPA	Ecole du Patrimoine Africain	UNESCO	United Nations Educational Scientific and Cultural Organization
EQ	Evaluation Question	UNITWIN	University Twinning and Networking Programme
ER	Expected Result	US	United States
EU	European Union	WH	World Heritage
GCF	Green Climate Fund	WHC	World Heritage Centre
GEF	Global Environment Facility	WHCBS	World Heritage Capacity-Building Strategy
HIA	Heritage Impact Assessment	WHF	World Heritage Fund
HUL	Historic Urban Landscape	WHITRAP	World Heritage Institute of Training and Research for the Asia and the Pacific Region
IA	Impact Assessment	WHL	World Heritage Leadership
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property	WHLP	World Heritage Leadership Programme
ICOMOS	International Council on Monuments and Sites	YHA	Youth Heritage Africa
IICAH	International Conference on Arts & Humanities in Hawaii		

EXECUTIVE SUMMARY

Introduction

The World Heritage Capacity-Building Strategy (WHCBS) (2011) (Decision 35 COM/9B) strived to provide an effective framework for developing actions and programmes to strengthen the capacity of practitioners, institutions, communities, and networks responsible for the conservation and management of World Heritage. The WHCBS was not designed as a typical results-based strategy, but as an open framework for actors to implement activities within their mandate and, for the first time, to reach out to a wider target audience. The International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) and the World Heritage Centre (WHC) are the main responsible bodies for coordinating and monitoring the implementation of the strategy.

Terms of reference (TOR) for the evaluation

The World Heritage Committee requested the WHC and ICCROM to submit an independent, external and results-based evaluation of the World Heritage Capacity-Building Strategy (WHCBS) for examination. The purpose of the evaluation is to provide recommendations for the elaboration of a new WHCBS. In summary, WHC and ICCROM are the commissioning bodies and are responsible for the evaluation, while the International Council on Monuments and Sites (ICOMOS) and the International Union for Conservation of Nature IUCN being the consultative bodies for it.

The TOR established six evaluation questions (EQ):

- EQ 1: Are the activities pursued as part of the WHCBS in conformity with its defined scope?
- EQ 2: Were the expressed goals of the strategy achieved in the period 2011–2021?
- EQ 3: What is the relevance of the WHCBS for the achievement of the World Heritage Committee's Strategic Objectives ('5 Cs') and UNESCO's intersectoral priorities and themes?
- EQ 4: What is the relevance of the WHCBS's contribution to relevant strategic frameworks and vision statements?

- EQ 5: What is the quality of coordination and interaction between key stakeholders for capacity-building?
- EQ 6: To what degree has the WHCBS fulfilled its mission statement?

Methodology and limitations of the evaluation

In line with the terms of reference, the purpose of the evaluation is to assess the WHCBS in order to formulate recommendations for a new strategy for World Heritage Capacity-Building. The evaluators' approach was to draw lessons from past experiences for a future capacity-building strategy. It did not aspire to provide a complete representation of all capacity-building activities of the Convention over the last 10 years.

The evaluation approach considered data and information from sources with evident cause-and-effect link with the strategy. These data sources followed the structure of the TOR and of the progress report on the implementation of the World Heritage Capacity-Building Strategy and the activities of the Category 2 Centres under the auspices of UNESCO related to World Heritage submitted to the World Heritage Committee under Item 6 of the agenda of its sessions. It must be noted that activities presented under Item 6 represent the sub-group of capacity-building initiatives with an evident and proven link to the WHCBS. Additionally, interviews were conducted. Where appropriate, the evaluators underpinned findings with data derived from other sources (e.g., reports, websites, publications). The evaluators use the examples exclusively for illustrative purposes. The information given as examples does not allow any conclusions to be drawn about completeness, representativeness, or performance.

The recommendations have been drafted by the external evaluators in accordance with their perception and conclusion on findings. The views and opinions of the authors expressed do not necessarily state or reflect those of the client or any other stakeholder consulted and are to be treated confidentially and may not be disclosed to third parties. The information presented in the report reflects the data that was available to the evaluators in accordance with the TOR. No warranty is given as to the accuracy and completeness of this document and liability for omissions or errors in its contents is disclaimed.

Deliverables, consultations, and report structure

During the assignment, two reports were submitted (Inception Note submitted on 2nd of September 2022, the Draft Evaluation Report V 1.0. on 25th of November 2022, the Draft Evaluation Report V 2.0. submitted on 8th of February 2023 and the Final Evaluation Report submitted on 5th of June 2023).

Following the kick-off meeting held on 23rd of May 2022, six follow-up meetings were held with the WHC (and partly with other stakeholders such as ICCROM) and 23 stakeholder interviews were conducted. The findings were presented and discussed to a wider audience at an Evaluation Reference Group Meeting on 30th of March 2023. The final evaluation report was submitted on 5th of June 2023.

The evaluation report is structured as follows:

Chapter 1 provides background information about the assignment and the methodology. Chapter 2 presents the findings of the evaluation. The evaluation team structured the chapters according to the evaluation questions as defined in the TORs and corresponding to the sub-questions, respectively the means of verification (indicators) developed in the evaluation matrix (see Annex 5_8). Chapter 3 contains the recommendations. These are structured according to a clear roadmap logic.

Evaluation results

EQ 1: Are the activities pursued as part of the WHCBS in conformity with its defined scope?

The reported activities cover a wide range of topics, many of these in line with the recommended actions of the WHCBS. During the past 10 years, a large network of capacity-building (CB) actors across all UNESCO regions emerged (see Figure 7 highlighting only the actors mentioned in Item 6 Reporting). This network implemented a large – and heterogeneous – amount of different capacity-building activities with a huge, yet informal network, of capacity providers. Most interventions were reported in connection to ‘*Credibility and balance of the World Heritage List*’ as well as ‘*Conservation of World Heritage Site*’ (please refer to Chapter 1_2 for data underlying this finding).

In the period from 2010 to 2021, there was virtually no funding available for implementing the WHCBS at the WHC and the Advisory Body (AB) levels. The World Heritage Leadership Programme (WHL), implemented by IUCN and ICCROM and funded mainly by the Norwegian and Swiss governments, is the only longer-term initiative that explicitly refers to the implementation of the WHCBS. The WHL is also one of the key outcomes of the WHCBS.

EQ 2: Were the expressed goals of the strategy achieved in the period 2011–2021?

Assessing achievements of goals and intermediary results was only partially feasible due to the structure of the WHCBS. The goals are a reiteration of the Convention’s 5 Cs. These goals depend largely on enabling conditions outside the control of stakeholders implementing the WHCBS and were therefore not achievable in the scope of the strategy itself (Chapter 2_3). Some of the 50+ recommended actions represent intermediary results towards achieving the Convention’s 5 Cs. For some of them, the evaluators could detect patterns of activities that can be interpreted as progress made.

In terms of supporting nominations related to underrepresented countries or categories, innovative and structured capacity-building processes have been established (e.g., mentoring). Guidelines for improved conservation management have been developed, translated, and broadly disseminated. Concepts to promote paradigm shifts such as integrating communities, bringing nature and culture together, and integrating World Heritage sites with surrounding landscapes were tested. Capacity needs assessments at national and site level were included in the 3rd Cycle Periodic Reporting. Many initiatives have been conducted to raise awareness of the contribution of World Heritage sites to the sustainable development goals (SDGs). In other important areas, such as addressing stakeholders outside the conservation sector or including World Heritage in university curricula, the perceived patterns were weaker.

As far as the goal of ‘*capacity-building to enhance the system*’ is concerned, the most important progress was made in testing innovative and structured processes for capacity-building of organisations and system change. Several flagship initiatives established action cycles from awareness raising to understanding concepts, engaging stakeholders in

adopting solutions to site-specific challenges, testing the solutions and incorporating them into planning and policy frameworks at local and national levels. Other flagship initiatives facilitated communities of practice, networks, and collaboration on priority issues through a strategically planned set of interventions linked to targeted communication and knowledge products. There were flagship interventions that brought together sites with similar needs into joint projects to attract substantial external funding.

The World Heritage Leadership Programme has been the key catalyst in aligning and orienting State Parties and other actors consistently around policy goals and themes relevant to site managers and State Parties. A major achievement in this regard has been the elaboration and translation of a guideline series for practitioners and the implementation of corresponding courses. The *'Guidance and Toolkit for Impact Assessments'* and respective capacity-building initiatives were frequently mentioned in our interviews. We consider this as the major flagship good practice of the WHCBS.

Several interviews, underpinned by data from the State of Conservation (SOC) Reports and Periodic Reporting, confirm that the challenges for the management of World Heritage sites increasingly lie outside the conservation sector. It is of strategic importance that the WHLP and some other flagship initiatives have addressed relevant decision makers from sectors that negatively impact on the conservation of World Heritage sites or have advocated for policy changes (Chapter 2_3). Apart from these examples, the evaluators observed rather gaps in addressing stakeholders outside the conservation sectors.

Unfortunately, the visibility, leveraging and upscaling of, the above listed achievements (and potentially many more that the evaluators could not identify) were drastically inhibited by the lack of financial, human and material resources at the WHC level (Chapter 2_6).

EQ 3: What is the relevance of the WHCBS for the achievement of the World Heritage Committee's Strategic Objectives ('5 Cs') and UNESCO's intersectoral priorities and themes?

The goals of the WHCBS reflect the 5 Cs of the Convention respectively the Strategic Action Plan for the Implementation of the World Heritage

Convention 2012–2022. The evaluators therefore assume that 100 % of the activities for which a clear link to the WHCBS could be established also contribute to the WHC's Strategic Objectives.

As to UNESCO's intersectoral priorities, some linkages can be made retrospectively through the evaluation. However, the intention to create such connectivity was not visibly incorporated in the WHCBS 2011. Nor was it documented that such connectivity was intentionally pursued. The potential of the WHCBS to catalyse system change by providing learning cases and relevant information to policy and decision makers has not yet been realised.

The following examples illustrate the potential to establish World Heritage as a game changer for achieving the SDGs. The World Heritage Capacity-Building Strategy has emphasised support to nomination and conservation of World Heritage sites (Chapter 2_3_1) and thereby contributed to increasing the number of nominations and members to the Convention (Chapter 2_3_2) especially in Africa. The World Heritage Capacity-Building Strategy triggered flagship initiatives on improved management of sites facing challenges related to development, disaster, and climate change (see flagship initiatives, Chapter 2_3_3). By developing guidelines and tools for these themes, standards and norms were provided to decision makers and managers at national and site level (Chapters 2_2_3 and 2_3_2). The stakeholder assessment (see Figure 7 and Annex 5_4) shows the variety and diversity of partnerships and collaborations that contribute to capacity-building related to World Heritage and indirectly to sustainable management of SDGs related to land, water and oceans, urban development, peace and conflict resolution as well as establishing partnerships and collaboration.

EQ 4: What is the relevance of the WHCBS's contribution to relevant strategic frameworks and vision statements?

As opposed to the previous evaluation question, EQ 4 assesses the extent to which capacity-building has been mainstreamed into the Convention's priorities, policies, norms, and standards.

Reportedly, capacity-building has been mainstreamed into key operational documents for the management of the Convention. Capacity-building as a concept has been successfully integrated into the Operational

Guidelines. Additionally, capacity-building has been incorporated into key policies and strategies as cross-cutting topic (i.e., Kyoto Vision, Fuzhou Declaration, and the Policy on Sustainable Development).

The 3rd Cycle Periodic Reporting provides a detailed framework and specific section for assessing capacity needs at national and site levels. Once completed, the results will include capacity-building needs of World Heritage Sites and States Parties in the respective regions. They therefore constitute a legitimised bottom-up capacity needs assessment and illustrate the formal integration of capacity-building into statutory processes.

EQ 5: What is the quality of coordination and interaction between key stakeholders for capacity-building with regard to the planning and implementation of capacity-building activities?

ICCROM and the World Heritage Centre coordinated the implementation of the WHCBS as good as possible within their given resources. Due to several reasons, insufficient resources for the necessary institutional set-up to effectively coordinate capacity-building activities across and between global, regional, national and site levels were available. Appropriate functions and structures at the global level were not established. Consequently, the potential created through flagship initiatives could not yet be leveraged to improve organisational performance and enabling conditions for World Heritage.

The WHCBS did not yet contain a concept nor a Theory of Change to orient stakeholders on how to implement and link the different types of capacity-building. Due to a lack of planning for the institutional set-up and processes, the costs for implementing the WHCBS still remain unknown, leading to absence of evidence for fundraising. Simultaneously, the World Heritage Centre and Advisory Bodies suffered severe budget cuts, due to generally decreasing availability of financial resources (Chapter 2_2 and 2_6).

This (unknown) funding gap constitutes a barrier for raising funds and allocating resources effectively, which in turn inhibits establishing essential key processes. These processes include but are not limited to: clear and shared governance of the WHCBS, broad translation and dissemination of key documents, an effective and adequately resourced

information management, effective communication and stakeholder engagement, for managing the institutional dynamics of capacity-building, targeted delivery of initiatives, and scaling-up of successfully tested approaches as well as ensuring adequate support systems for budgeting, financial management and monitoring.

Notwithstanding, important pockets of well-coordinated capacity-building initiatives have emerged at global, regional, and national levels. These represent a huge potential for effective delivery of capacity-building during the next WHCBS, if strategically linked together:

- Integration of key aspects of capacity-building into the Operational Guidelines and the Periodic Reporting represent important enabling conditions for system wide coordination of capacity-building activities.
- The WHLP was highly effective and instrumental in taking up leadership and coordination in the scope of its programme. A major success has been the collaboration with the WHC for publishing tested guidelines on key aspects of World Heritage Management on the website of the World Heritage Convention and the increased cooperation with Category 2 Centres (C2C) as regional CB providers.
- Several effective initiatives to improve the skills of individuals and the performance of national organisations for a variety of themes (Chapter 2_3).
- Key stakeholders (World Heritage Centre, Advisory Bodies, Category 2 Centres) acquired funding from a variety of sources respectively integrated capacity-building interventions into other budget lines preventing a clear tracking of progress or funding.
- Regionally active Category 2 Centres have clearly defined annual work plans based on the action plans derived from Periodic Reporting. They deliver capacity-building activities in accordance with a well-managed project cycle. They are important nodes for networks at regional and national levels and acting as key providers for capacity-building.
- In 3rd Cycle Periodic Reporting exercise, about 50 % of the States Parties stated that they have national capacity-building plans for World Heritage sites in place. Furthermore, the 3rd Periodic

Reporting Cycle includes a dedicated section on Capacity-Building including baseline indicators as well as on capacity needs and priority themes.

- From the interviews, it is clear that Focal Points are important relays for the Convention and hence for capacity-building. Focal Points represent the connection between the global level, national policy level and the local site level. They have a practical understanding about how respective policy, legal and managerial setting impacts on the management of Heritage Sites and what needs changing to improve enabling conditions for World Heritage. They have the potential to establish networks, platforms and identify change agents across all sectors relevant for the conservation of sites.

EQ 6: To what degree has the WHCBS fulfilled its mission statement?

The mission of the WHCBS implicitly incorporated three intermediary results: ...*'Informing the policies and decisions by the World Heritage Committee in the area of capacity-building; Orienting States Parties and other actors in the World Heritage System in planning, implementing, and monitoring capacity-building policies and programmes; Constituting a reference for the wider cooperation to support capacity-building activities for heritage conservation in general.'*

In relation to *policies and decisions by the World Heritage Committee*, evaluators found evidence that the process of linking policy decisions with targeted capacity-building interventions to support its implementation has become more systematic. Furthermore, *integration of capacity-building into statutory documents of the Convention improved enabling conditions and legitimacy for capacity-building* at the level of the Convention. The WHCBS had a clear impact on the *frequency of Committee decisions related to capacity-building* and mainstreaming capacity-building into challenges for managing World Heritage Sites (e.g., thematic area of managing climate change, environmental impact, and infrastructure developments as well as risks for World Heritage sites).

Concerning the *orientation of States Parties and other actors in the World Heritage System*, the observable achievement is restricted to some flagship initiatives. In the evaluators' perception, surfacing, advocating,

outreaching, testing, adapting, and disseminating good practice was drastically inhibited by the lack of financial, human and material resources at the WHC level (Chapter 2_6). The WHLP partially compensated these limitations by being a key catalyst in aligning States Parties and other actors consistently around selected policy goals and themes and by delivering well targeted capacity-building activities to enable implementation of these policies and themes (Chapter 2_3).

Concerning the reference for the wider cooperation to support capacity-building activities, limitations caused through lack of a Theory of Change, resources and coordination have already been described (Chapter 2_6).

Conclusions

More than 50 % of the assessment indicators are rated as good or better (see Chapter 2_1; Table 1; colour code green and yellow). Almost 50 % of the assessment indicators were rated unsatisfactory.

Reasons for good and very good areas constitute strength for further enhancing effectiveness of capacity-building with the new WHCBS. This potential must be maintained and even amplified. Good and very good areas are: Integrating the paradigm shifts espoused in the old WHCBS into statutory processes and policies, the WHLP establishing structured approaches for outreach and targeted delivery of activities, engaging with Category 2 Centres and examples of streamlining WHCBS into UNESCO's programmes, respectively some high-level impact initiatives (even if these are more indirectly linked to the WHCBS, but are nice demonstrations of change).

Reasons for unsatisfactory rating constitute barriers for the new WHCBS, which must be removed to enhance effectiveness of its implementation. Key barriers identified include: a lacking concept for capacity-building or Theory of Change; targets beyond the control of the implementing entities; lack of achievable milestones and indicators; lack of budgeting, coordination and reporting at the global level, as well as a lack of structured processes for the implementation of the WHCBS.

Based on these key findings, the new WHCBS must at least contain the following elements:

- a Theory of Change with achievable results that are under the control of those entities responsible for implementation,

- responsibilities for implementing the strategy that are coherent with institutional mandates at global, regional, and national levels,
- a concept to jointly understand CB in the context of the Convention
- a stakeholder distinction and understanding of providers, change agents and target groups,
- a portfolio of flagship initiatives to work on jointly agreed priorities,
- a network of strategically selected CB providers and change agents
- and sufficient financial and human resources to finance consistent coordination and management.

Recommendations

The following recommendations were established based on the evaluation results and conclusions. Detailed description and justification for the recommendations is provided in Chapter 4 of the main report.

Process for the elaboration of the new WHCBS: It is recommended to establish a global task force led by the World Heritage Centre with ICCROM as the lead advisor and to establish regional working groups led by regional Units of the WHC to identify priority themes and needs based on the 3rd Periodic Reporting Cycle as well as regional stakeholder validation.

Justification: The new Strategy should harness the following key potentials achieved through the WHCBS: Committed stakeholder networks, capacity related outcomes of the 3rd Cycle Periodic Reporting and a thematic programme with dedicated finance for capacity-building (i.e., the WHLP). Bringing these three elements together (established networks, available funding and information collected through a bottom-up process) will allow a relatively swift identification of priorities and needs without overlapping and redundant processes.

Concept and understanding of capacity-building in the context of the Convention: It is recommended to define capacity-building as the ability to manage and coordinate an 'evidence-based policy cycle'. Whereby stakeholders engage in an evidence-based process to identify solutions for jointly perceived challenges, test the solutions, and transfer them into shared policies, norms and standards.

Justification: The concept builds on the mission statement of the WHCBS, international good practice and practical evidence of

successfully applied practice by the WHLP (and potentially other stakeholders).

Theory of Change: It is recommended to establish enhanced coordination and management at the level of the WHC to leverage existing and future flagship initiatives for capacity-building at individual, organisational and system levels.

Justification: Consistent and coherent management and coordination of the institutional dynamics was the missing link negatively impacting on effectively leveraging the many positive capacity-building activities. It also constituted a barrier to ensure sufficient and coordinated financing of implementing the WHCBS. Investing into the coordination and management is therefore a game-changer towards enhanced organisational performance and enabling conditions for World Heritage and its contribution to the SDGs (see Figure 1).

Target groups: It is recommended to define multipliers, change agents, decision makers, influential bodies and networks as direct target groups for a new WHCBS. The indirect target groups shall be practitioners, administrations, and communities at the level of States Parties and sites.

Justification: As global organisations the World Heritage Centre and the Advisory Bodies have limited options reaching out to individual and organisational target groups at local and national levels. By 'partnering' with change agents with a strong outreach to national and site levels, additional opportunities would be created. Furthermore, by concretely identifying stakeholders and their roles, intention, content and delivery of capacity-building activities become identifiable.

Vision: It is recommended that the vision of a new WHCBS should focus on 'change agents using World Heritage as learning sites for policy solutions addressing jointly experienced challenges in achieving the SDGs.'

Justification: The vision shall demonstrate how capacity-building can contribute to advocating World Heritage as value addition for sustainable development. Thereby, connectivity of World Heritage to UNESCO's strategic objectives as well as strategic objectives of strategically important conventions and development partners is enhanced.

Mission: It is recommended that the new WHCBS directly contributes to the 5 Cs, e.g., by *‘Promoting the development of effective Capacity-Building measures for the understanding and implementation of the World Heritage Convention and related instruments.’*

Justification: It is internationally recognised good practice that a strategy requires goals that are under control and achievable for the implementing entity to plan for appropriate resourcing and to monitor whether the strategy will lead to the expected results.

Expected results: In line with the espoused Theory of Change (ToC), vision and mission for a new WHCBS, it is recommended to include the following key results:

1. *Guidance for implementing policy priorities is available for practitioners and States Parties.*
2. *Effective coordination established for testing and continuous improvement of guidelines, norms and standards.*
3. *Content, products, and providers made available to target groups in line with needs and policy priorities.*

Justification: The recommended results constitute critical milestones to achieve the recommended purpose of the WHCBS. The results are entirely under the control of the Committee, the States Parties, the WHC and the Advisory Bodies). The level of achievement (i.e., how many policies, themes, knowledge products etc.) can be determined depending on the financial and human resources available. This level of achievement is objectively verifiable. In this way, the expected progress in the realisation of the WHCBS can be mapped and tracked.

Costs and financing: *It is recommended to elaborate a dedicated budget with estimated costs for the implementation of the WHCBS. This shall be used to demonstrate the funding gap for raising long-term core funding through the World Heritage Fund and UNESCO’s budgets, medium-term funding through programme and project-based funding as well as short term funding for strategic interventions.*

Justification: As demonstrated by the evaluation results, lack of understanding and transparent documentation of capacity-building costs led to a lack of coordinated funding. This has hampered the coordination and alignment of CB interventions. Experience has shown that funding

partners are willing to fund tangible and visible outputs of capacity-building interventions, but less so the coordination structures needed to develop them. Therefore, dedicated core funding is required. Without such funding for capacity-building the institutional dynamics cannot be managed appropriately, and targeted capacity delivery will not be feasible.

Collaboration with programmes and projects: *It is recommended to develop a portfolio of strategic projects and programmes at global, regional, and national levels contributing to the implementation of the WHCBS.*

Justification: Strategic collaboration with programmes and projects enables leverage of available financial resources, alignment with policies and needs, enhanced outreach for the WHCBS, strengthened communities of practice, promotion of connectivity to international initiatives and enhanced advocacy for priority themes. Such benefits, if properly documented and communicated, become convincing arguments to funding partners.

Collaboration with C2C and other capacity-building providers: *It is recommended to strengthen the mandate of C2C (or other key CB-partners) with strong networks in each of the UNESCO regions as strategic partners (i.e., change agents) for the implementation of the WHCBS.*

Justification: The stakeholder assessment in the scope of the evaluation demonstrated that certain C2C have developed into important network nodes for their regions and even beyond. Their experience, outreach, financial and human capacities are a valuable resource.

Planning, monitoring and reporting: *It is recommended to use the 3rd Cycle of Periodic Reporting as a valuable information source on capacity needs, priority themes and baselines while ensuring that essential elements for project cycle management are established.*

Justification: The Periodic Reporting Cycle is a legitimate management process for planning and implementing the Convention. It effectively links the global with the site level. Integrating the WHCBS ensures the identification of capacity needs, the filtering of priority issues and the targeted delivery of capacity interventions (and has the potential to provide data for evaluation during the 4th Cycle Periodic Reporting). Achieving this also requires the use of best practices for planning, monitoring and reporting on progress.

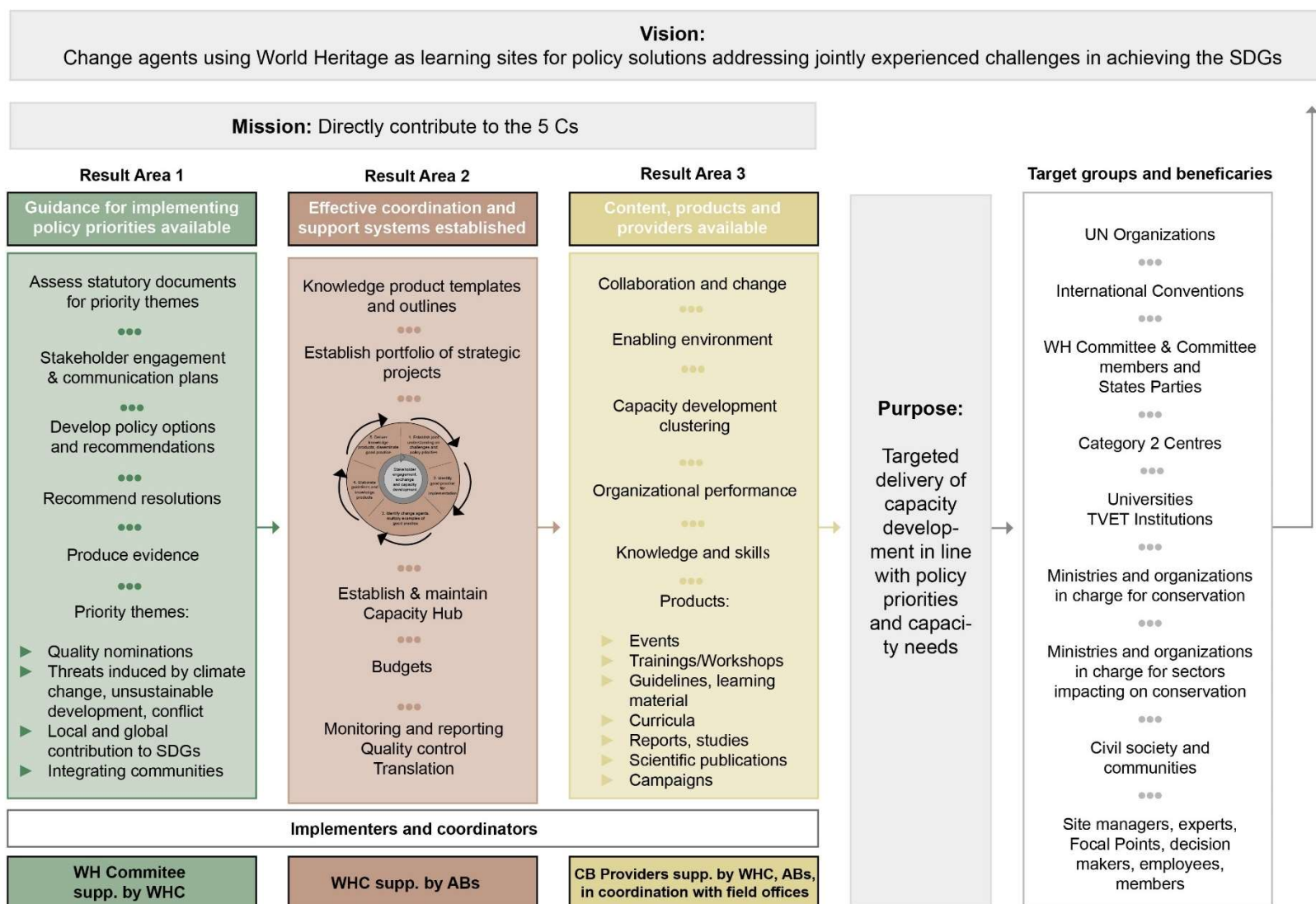


Figure 1: Summarising the recommendations in a draft Theory of Change
For detailed information see Chapter 4_3.

1 THE ASSIGNMENT

According to Decision 44 COM 6, Para 11, the World Heritage Committee requested the World Heritage Centre and ICCROM to submit an independent evaluation of the World Heritage Capacity-Building Strategy (WHCBS) for examination at its next session. To follow this request, UNESCO and ICCROM assigned E.C.O. Institute of Ecology to carry out an independent results-based evaluation of the WHCBS.

Background and context of the WHCBS

The World Heritage Committee adopted the World Heritage Capacity-Building Strategy at its 35th session (Paris, 2011) (Decision 35 COM 9B) following the UNESCO Global Training Strategy (2001-2009) (WHC-01/INF.208/24). The Strategy was developed by ICCROM and IUCN in collaboration with ICOMOS, the World Heritage Centre (WHC), and other capacity-building partners such as the UNESCO Category 2 Centres (C2C) in various regions of the world to address the main challenges related to the management of World Heritage Sites.

ICCROM together with the WHC are the main responsible bodies for coordinating and monitoring the implementation of the Strategy.

The purpose of the WHCBS is **to provide an effective framework for developing actions and programmes to strengthen the capacities of practitioners, institutions, communities, and networks, in charge of the conservation and management of WH.**

The WHCBS was not designed as a typical strategy and coordination instrument but rather as an open framework for different actors to actively implement the activities within their mandates to address, for the first time, a broader target audience.

The WHCBS intended to promote two major paradigm shifts (WHCBS, p. 3 and 4):

- **From training to capacity-building:** Stepping beyond conventional training to a broader capacity-building approach.
- **Connecting Culture and Nature:** Moving away from separate treatment of natural and cultural heritage stakeholders towards increased cooperation and joint efforts under the umbrella of WH.

The WHCBS covers the key elements of a strategic document in a concise and comprehensible way. It includes 10 goals and 52 associated recommended actions, a clear mission statement, target audiences for capacity-building and corresponding principal learning areas.

A detailed description of the WHCBS and its context can be found in Annex 5_3 and in the Inception Report.

1_1 Background and purpose of the evaluation

In the understanding of the evaluation team and in accordance with the TOR and the kick-off meeting, the evaluation is an independent external assessment of the UNESCO World Heritage Capacity-Building Strategy.

WHC and ICCROM are the commissioning bodies and are responsible for the evaluation, while ICOMOS and IUCN are the consultative bodies for it. This evaluation aims to assess the relevance and outcomes of the WHCBS to contribute to the better implementation of the World Heritage Convention and the World Heritage Committee's Strategic Objectives (5 Cs).

According to the TOR, the evaluation includes six tasks comprising the main evaluation questions:

- EQ 1: Are the activities pursued as part of the WHCBS in conformity with its defined scope?
- EQ 2: Were the expressed goals of the strategy achieved in the period 2011–2021?
- EQ 3: What is the relevance of the WHCBS for the achievement of the World Heritage Committee's Strategic Objectives ('5 Cs') and UNESCO's intersectoral priorities and themes?
- EQ 4: What is the relevance of the WHCBS's contribution to relevant strategic frameworks and vision statements?
- EQ 5: What is the quality of coordination and interaction between key stakeholders for capacity-building?
- EQ 6: To what degree has the WHCBS fulfilled its mission statement?

The results of this evaluation will be shared with the World Heritage Committee, the States Parties to the Convention, and all capacity-building stakeholders. They will serve as a basis for the revision of the WHCBS, to be presented to the WHC at its 46th session.

The purpose of the evaluation was further elaborated during the kick-off meeting on 23rd of May 2022 with UNESCO WHC, ICCROM and further key stakeholders. Based on a joint understanding, the evaluation team focuses on the relevance of actions ('have we done the right things'). Furthermore, the evaluation team conducts the evaluation in accordance with the following expectations:

- The evaluation should provide meaningful and evidence-based information.
- The evaluation should put emphasis on relevant patterns across the system, rather than on the full range of activities and try to assess them with existing evidence through a developed set of proxy indicators.
- The evaluation should critically select the programme activities, the potential for change and identify options for improvements.

1_2 *Evaluation of the methodology and the approach*

The detailed evaluation approach and methodology including the main data sources and interview partners were agreed on in consultation with the client during the kick-off meeting and presented in the Inception Report.

The evaluation was conducted in six steps: (1) Drafting the Theory of Change that is implicitly embedded in the WHCBS's vision and mission statement and formulating an evaluation matrix with proxy indicators and means of verification (see Annex 5_8). This was followed by interviews with selected key stakeholders in charge of CB as identified together with the WHC (2). This served to gain insight into the implementation of the WHCBS and to identify flagship initiatives. In parallel, the team carried out a (3) (semi-)quantitative analysis of implemented CB activities within the frame of the WHCBS and of main actors based on the Annual Progress Reports (Item 6) complemented by a review of Item 5A and 5B and documents as identified in the Inception Report. The results were summarised in the draft evaluation report (V 1.0), revised after receiving feedback from UNESCO and ABs (V 2.0) (4), and discussed in a validation workshop with the Evaluation Reference Group (5). After consideration of the feedback received, the team submitted the final evaluation report

(6), which will also be presented during the next World Heritage Committee Meeting.

Draft Theory of Change

The purpose of the WHCBS was to provide an open framework for developing actions and programmes to strengthen the capacities of practitioners, institutions, communities, and networks. In addition to not being conceived as a results-based framework, the 10 goals and 52 recommended actions as espoused in the WHCBS represent a mix of long-term goals, objectives, deliverables (outputs) and results (outcomes, in accordance with the official OECD definition). The WHCBS contains a list of 10 goals and 50+ recommended actions. There are neither intermediary results nor a Theory of Change describing which barriers shall be addressed through the WHCBS. Thus, the evaluation team regrouped the individual elements to fit into a consistent draft Theory of Change including five long-term goals in line with the 5 Cs. This enables a clear analysis and interpretation of the data collected as well as a better evaluation to which extent the goals have been reached. (see Figure 2 and Figure 17 in Annex 5_3).

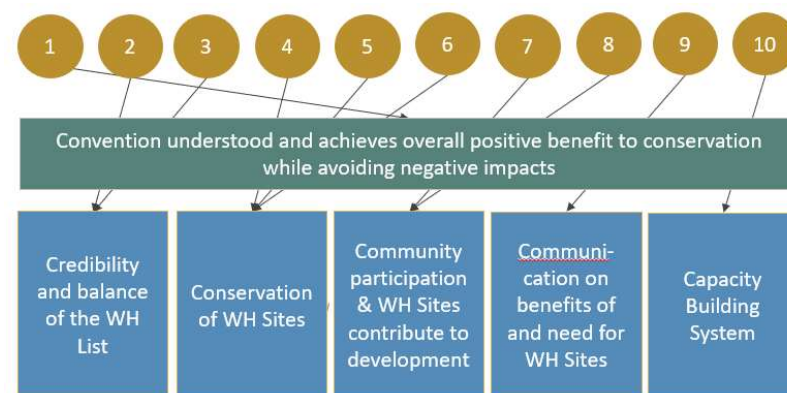


Figure 2: Rearranging the 10 goals of the WHCBS and their contribution to the 5 Cs

Data collection and analysis

Document review

The team carried out a document review of CB related documents and plans (see Annex 5_2). (Semi-)quantitative analyses of implemented CB activities within the frame of the WHCBS are based on the Annual Progress Reports (Item 6), and CB related activities as reported by the World Heritage Centre (Item 5A, Annex 3A), the Advisory Bodies (Item 5B) and public budget information of the period 2011 to 2021. Some analyses included the analysis of information as derived from the World Heritage List Statistics¹. As this is the only formally reported link between the WHCBS and CB activities, the team used the Item 6 Reports as the basis for the evaluation, as outlined in the offer and the Inception Report.

To gain an understanding of the extent of the integration of CB related elements into policies, Committee decisions, guidelines and planning documents and to support the interpretation, key word counts were carried out next to a qualitative assessment of the contents.

A full list of the documents reviewed or consulted for this evaluation can be found in Annex 5_2.

Stakeholder mapping

In order to evaluate the indicative engagement of individual actors and to identify key actors for the implementation of the WHCBS, the team prepared a stakeholder map based on the number of appearances and connections as described in Item 6 Reporting. The analysis differentiates between UNESCO regions, scope of work and number of appearances of the actors. A high-resolution map can be found in Annex 5_4.

Key stakeholder interviews

The team carried out 23 semi-structured interviews based on an interview guideline. Each interview partner received a list of guiding questions along with the meeting link prior to the interview.

The selection of interview partners was carried out in close coordination

with the client considering the representation of different levels (global-regional-national), geographic representation of UNESCO regions and representation of stakeholder groups as mentioned by the WHCBS. The full list of interview partners is provided in Annex 5_1.

Remark: Four interviews could not be carried out as planned because contacts could not be mobilised (either no response, internet connectivity gaps or no (time) availability) (1 C2C, 2 SIDS, 1 APC region).

Assessment of results of evaluation questions

The results of the evaluation questions are assessed in terms of 'level of achievement' along the proxy indicators formulated in the evaluation matrix (see Annex 5_8). These indicators serve to provide a sound basis for the assessment of the evaluation questions.

The level of achievement of each progress indicator was assessed along three categories based on information identified during the evaluation in a qualitative manner: fully achieved; partially achieved; hardly achieved.

Limitations of the evaluation

A differentiation between CB actions directly contributing to the WHCBS and continuous CB activities to support and maintain statutory processes is not feasible. This is due to limited attribution in available reports and an extremely large number of CB activities within the frame of the implementation of the Convention. Thus, the evaluation team referred to Item 6 reports as main data source. These reports include activities that were deliberately attributed to the WHCBS. The reporting on the progress of the WHCBS via Item 6 'Follow-up to the World Heritage Capacity-Building Strategy and Progress report on the World Heritage-related category 2 Centres' represents a subjective excerpt of activities as reported under Items 5A (particularly Annex 3A) and 5B. However, the narrative reporting style does not allow for a consistent quantification of the number of activities or an attribution to a specific action. We assume that Item 6 contains an excerpt of main activities. The criteria based on which the

¹ <https://whc.unesco.org/en/list/stat>

presented subset of activities was chosen remains unclear.

The evaluation team emphasises that Item 6 Reporting, which also depends on external factors and individual reporting styles, still does not provide a complete overview of the CB activities implemented, due to the open nature of the WHCBS encouraging a decentralised way of providing CB. However, it is the only available formal reporting on the WHCBS.

The evaluation is thus based on activities as presented in these reports supplemented by information gained through the interviews and the document review. The evaluation team is aware that this does not necessarily reflect the full extent of CB activities of the past 10 years, but it still allows to gain an overview of prioritised fields of action. From an evaluator's perspective, the underlying assumption is that activities not attributed to the WHCBS cannot be considered as direct outcomes of the WHCBS, even if they contributed to it (which was the case for almost all of them).

To deal with this uncertainty, the evaluation team cross-checked the

information provided under Item 6 with information collected during interviews, with information reported under Item 5A and 5B as well as provided in other documents reviewed (see Annex 5_2).

Duration and implementation of the evaluation

The evaluation was carried out between August 2022 and February 2023. After a kick-off held on 23rd of May 2022, the evaluation process started in August 2022. The inception note including the specification of the methodology was submitted on 2nd of September 2022 (revised version 15th of September 2022). On 25th of November 2022, the team submitted the draft evaluation report (V 1.0) for internal feedback followed by the submission of the revised draft evaluation report (V 2.0) on 8th of February 2023 as basis for the evaluation reference group meeting (30th of March 2023). The final evaluation report including feedback of the evaluation reference group was submitted on 5th of June 2023 together with a video recording of a presentation of the final results to be used for the 45th World Heritage Committee Meeting (see Annex 5_7).

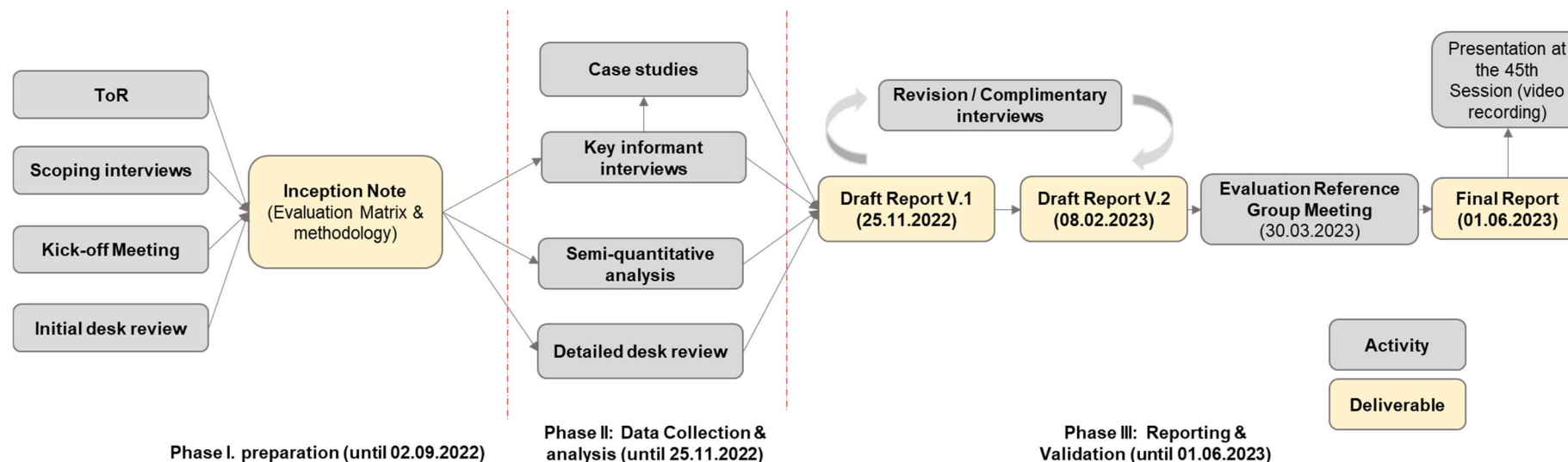


Figure 3: Process of the evaluation of the WHCBS
Author's draft

2 FINDINGS OF EVALUATION QUESTIONS

2.1 Overview of evaluation results

M 21 very good 80 % of evaluation parameters are good; good: 50 % of evaluation parameters are good or better; satisfactory: less than 50 % of evaluation parameters are good.

The overall rating of the evaluation is satisfactory. More than 50 % of the assessment indicators are rated as good or better (colour code green and yellow, Table 1). Almost 50 % of the assessment indicators were rated unsatisfactory.

Reasons for unsatisfactory rating constitute barriers for the new WHCBS, which must be removed to enhance effectiveness of its implementation.

Key barriers identified are a lacking concept for capacity-building and no Theory of Change; targets beyond the control of the implementing entities; lack of achievable milestones and indicators; lack of budgeting, coordination and reporting as well as a lack of structured processes for the implementation of the WHCBS. This deficiency to some extent devaluates the widely available excellent actions (see also Chapters 2_3_2 and 2_3_3) as they remain unseen and unreported. Reasons for good and very good areas constitute strength for further enhancing effectiveness of capacity-building with the new WHCBS. This potential must be maintained and even amplified. Good and very good areas are mostly linked to integrating concepts of the WHCBS into statutory processes and policies, the WHLP, engaging with Category 2 Centres and examples of streamlining WHCBS into UNESCO's programmes, respectively some high-level impact initiatives (although these may more indirectly be linked with the WHCBS but are nice demonstrations of change).

Evaluation Question	Measure/Indicator	Summary of findings
EQ 1: Are the activities pursued as part of the WHCBS in conformity with its defined scope?	M1. Proxy: Amount of budget made available for implementation of activities in the scope of WHCBS	Amount of budget for implementing the Capacity-Building Strategy has been very low; performance expected, and human and financial resources required unknown, partially compensated by the WHLP
	M2. Number of activities reported to the WH Committee on Item 6 as being implemented versus estimated total number of activities reported	No delineation of activities linked to World Heritage Capacity-Building Strategy possible as compared to capacity-building interventions e.g., supporting statutory processes in line with the Action Strategy for implementing the Convention
	M3. Description of interactions and interventions	Interview partners and reports (5A, 6) contain activity-based reporting; description of interactions and long-term pursuit of strategies limited to some examples in 5 A
	M4. % of activities reported under Item 6 with a clear indication to which result / goal they are intended to contribute to	No indication of corresponding result areas in Item 6 reporting.
	M5. % of activities reported with a link to the WHCBS	Annual reports of Category 2 Centres link 100 % of activities to a result area of the Capacity-Building Strategy; but their main basis of planning are Periodic Reports and resulting action plans
	M6: Number and name of flagship programmes, regional strategies and formal collaborations/networks established as a consequence of discussions on the WHCBS	A direct cause-effect link with the Capacity-Building Strategy was mentioned in some interviews.
	M7: Assessing activities whether they have been happening prior to WHCBS or started after its approval	As per trend assessment of WHC Item 6 reports and interviews the major share of CB interventions was dedicated to nomination and conservation of World Heritage Sites; a minor share of interventions was dedicated to paradigm shifts and new themes
EQ 2: Were the expressed goals of the strategy achieved in the period 2011–2021?	M8: Ratio of natural vs cultural sites (number); trend for traditionally underrepresented regions; changes of countries being the top five concerning number of heritage sites; number of Heritage Sites on the danger list;	No change in the balance of sites, increasing nominations from underrepresented regions and from new States Parties; number of Heritage Sites on the danger list has increased.
	M9. Descriptive presentation of key results as per the Results Matrix for each region	Non-existent; only mechanic linking of activities resulting from Periodic Reporting to results areas of the Capacity-Building Strategy; also Reports 5A and 5B do not contain descriptive presentation of results linked to the Capacity-Building Strategy

	M10. Descriptive presentation of case studies and how they contribute to the Theory of Change	No Theory of Change and description of barriers to be addressed by the Capacity-Building Strategy; only description of general challenges to managing Heritage Sites
EQ 3: What is the relevance of the WHCBS for the achievement of the World Heritage Committee's Strategic Objectives ('5 Cs') and UNESCO's inter-sectoral priorities and themes?	M11. Existence of Monitoring Plan or similar	There is no monitoring plan for the WHCBS. But as its goals correspond to the 5 Cs and as there is a monitoring plan for the Strategic Action Plan for the implementation of the World Heritage Convention 2012 -2022, incorporating the 5 Cs, the WHCBS contributed to achieving the strategic objectives of the WH Committee
	M12. Existence of coordinated information scheme and dedicated budget lines for capacity-building	Neither a coordinated information scheme (e.g., stakeholder engagement planning, communication strategy) nor a dedicated budget lines do exist
	M13. Examples of streamlined Heritage related aspects into UNESCO's programmes	Heritage plays a strategic role in UNESCO's statement on strategic objectives (Mid Term Strategy 2014 - 2021 and has a dedicated performance indicator
	M14. Number of CB-related recommendations / resolutions taken after 2011	Number of capacity related resolutions clearly increased after 2011. However, very few resolutions directly referred to the Capacity-Building Strategy
	M15. Funding made available by UNESCO for WH Sites	Indicator cancelled
EQ 4: What is the relevance of the WHCBS's contribution to relevant strategic frameworks and vision statements?	M16. Relevant documents elaborated or adjusted after 2011 in line with WHCBS	Three out of seven documents assessed make a direct reference to the WHCBS
	M17. Low degree: document refers to the WHCBS; Medium degree: document highlights result areas of the WHCBS and elaborates on the implementation aspects; High degree: document contains a plan defining interventions required to progress towards result areas of the WHCBS, incl. leadership to steer and adjust as well as financing for implementation	Two key documents explicitly mention the WHCBS and make explicit reference to the implementation of specific aspects of it: Operational Guidelines and Periodic Reporting. Especially the latter will become very instrumental for needs assessment and monitoring of WHCBS related aspects
	M18. High degree: All provisions have been followed; medium: key provisions have been followed; low: some provisions have been followed	The provisions of the Periodic Reporting Cycle have been followed; Provisions of Operational Guidelines have been at least partially followed but existing monitoring does not allow to assess this in further detail (e.g., budgets and funds at national level)
EQ 5: What is the quality of coordination and interaction between key stakeholders for capacity-building?	M19. Identified success factors or stakeholders that have engaged based on a formal agreement; global, regional and national level; determine to which degree such arrangements are the business-as-usual case or examples of good practice	Except for the World Heritage Leadership Programme, we could not identify stakeholder engagements with formal agreements specifically referring to the Capacity-Building Strategy. The World Heritage Leadership Programme however is a major intervention implementing the strategy
	M20. identified structured processes for the WHCBS document and programmatic / implementation planning documents triggered by it.	Coordination was done as good as feasible by WHC and ICCROM amongst many other tasks; without additional resources and without implementation/planning documents, overlaps observed and no coherent information and communication approach
EQ 6: To what degree has the WHCBS fulfilled its mission statement?	very good: 80 % of evaluation parameters assessed as good or better; good 50 % of evaluation parameters assessed as good or better; satisfactory: less than 50 % of evaluation parameters assessed as good or better	Despite the lacking coordination, implementation approach and planning frameworks the WHCBS did inform decisions of the Committee and oriented States Parties and other actors. However, to constitute a reference for a wider conservation community the Strategy lacked focus and linkage to concrete, needs driven themes; was not visible enough and lacked connection to international networks as well as stakeholders at national levels influencing sectors that are relevant for Heritage conservation

Table 1: Synthetic rating of fulfilment of the evaluation questions along evaluation parameters
Rating: Green = Very good; yellow= good/satisfactory; red= unsatisfactory

2_2 EQ 1: Activities pursued as part of the WHCBS in conformity with its defined scope

In the period from 2010 to 2021, a wide range of stakeholders at all levels implemented a huge amount of CB activities across a wide range of themes despite extremely limited direct funding. In addition, there is evidence, that the wide range of disconnected activities indeed have changed processes, perceptions and the way of implementing CB. Particularly for ABs and regionally active Category 2 Centres the WHCBS was important to gain a new understanding of capacity-building and related target groups.

It was not possible to evaluate whether the activities fulfilled their purpose in conformity with the scope of the WHCBS. It remains unclear whether these activities were implemented because of the WHCBS or would have happened anyway.

The WHCBS does not prioritise individual goals and does not provide a clear focus as it was intended to offer broad inspiration (Interview I-2, I-5, I-6, I-8). Thus, activities concentrated on specific aspects rather than addressing a strategic objective.

The World Heritage Leadership Programme implemented by IUCN and ICCROM with funding from the Government of Norway and Switzerland is the only initiative explicitly implementing the WHCBS in a structured manner. Thus, it is considered one of the key outcomes of the WHCBS.

2_2_1 Budget available for implementing the WHCBS

M1. Proxy: Amount of budget made available for implementation of activities in the scope of WHCBS

Virtually no budget has been made available for implementing the WHCBS and there is no estimation of costs or budgeted action planning attached to the Strategy. Moreover, related budget cuts due to the withdrawal of the US and Israel were at the expense of the (already previously limited) CB budget. Consequently, there is no coherent picture of the funding gap for a resource mobilisation plan or fundraising strategy (as expected under Recommended Action 10.8 of the WHCBS). Related

committee decisions regarding Item 6 repeatedly called for financial commitments of SP for the implementation of the Strategy without further specification.

There is no coherent financial monitoring system for the implementation of the WHCBS in place. The budgeting at UNESCO does not allow to track CB-related expenses as – if thematic CB – it is considered a cross-cutting topic under different budget lines and covers mainly staffing costs and ongoing operational expenses (Interview I-4).

Advisory Bodies, C2C, the WH Centre and other CB-stakeholders implemented a wide range of different CB activities with extra-budgetary or own funding which cannot be tracked back within the scope of the assignment as it is not linked to UNESCO's financial monitoring and reporting structures.

The implementation of the WHCBS is not linked with an earmarked budget line (Interview I-4). Figure 4 below shows the budget dedicated for capacity-building in general (excluding CB activities incorporated in the expected results of other MLA) at the World Heritage Centre with a visible cut after withdrawal of the US and Israel in the early 2010s.

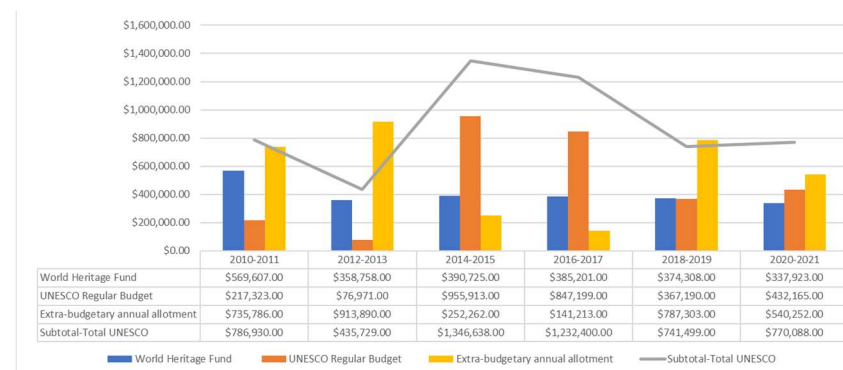


Figure 4: Analysis of budget lines for CB between 2010 and 2021
Source: WHC/12/44.COM/14; WHC/14/44.COM/14; WHC/16/44.COM/14; WHC/18/44.COM/14; WHC/21/44.COM/14; budget line as presented in Table 1: General Overview of Programme, 2.3. (CB Activities)

Until 2011, there was a small budget line from the World Heritage Fund for IUCN earmarked for CB (approx. 25.000-30.000 USD) which was cut

to zero or decided to be the least-hurting budget line to cut. For ICOMOS, there was never any budget related to CB available. For ICCROM, with an explicit mandate to carry out CB and coordinate the WHCBS, funding (from official UNESCO budgets) declined steadily.

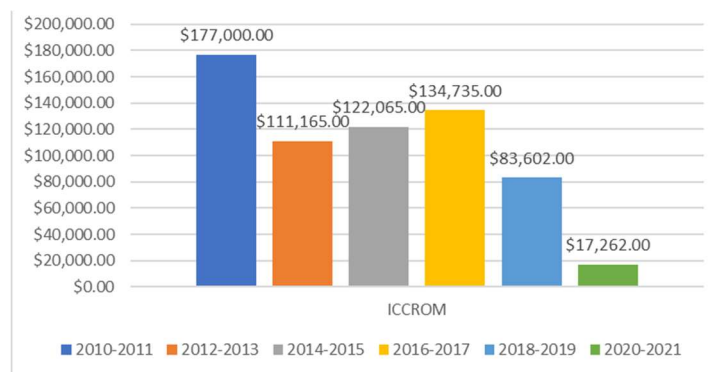


Figure 5: Development of ICCROM CB Budget lines between 2010 and 2021 in USD (biennial budget)

Source: Attachment 2 (Summary of the Programme and Budget related to the Advisory Bodies) of Item on budget the WHC Meetings

With regards to extra-budgetary CB activities and projects implemented by C2Cs, by SP, by ABs or other stakeholders, there is no possibility to identify the budget made available for the implementation of the WHCBS as there is no (financial) reporting mechanism available (Interview I-4).

It must be stated that there was never a funding gap defined for the implementation of the Capacity-Building Strategy, respectively a cost estimation exercise undertaken (Interview I-2, I-4, I-6). Amongst others, this is probably due to a weak delineation between the results to be achieved through the Capacity-Building Strategy and those through other strategies (e.g., the Action Plan for the implementation of the Convention, 2011). Also, performance indicators and associated tasks, as well as human resources needed for implementing the strategy were not defined. Consequently, fundraising for extra-budgetary funding was mostly activity based and focusing on comparatively small and isolated activities.

2_2_2 Activities being implemented under the WHCBS

M2. Number of activities reported to the WHC on Item 6 as being implemented versus estimated total number of activities reported

M4. % of activities reported under Item 6 with a clear indication to which result / goal they are intended to contribute to

M7 Assessing activities whether they have been happening prior to WHCBS or started after its approval

Between 2012 and 2021 wide range of CB-related activities was reported either under Item 6 (approximately 380), under Item 5A (Annex 1, 3A) (approximately 241 activities) as well as through C2C annual activity reports. This does not include CB-related activities reported under expected results in other MLAs (as they are not deliberately reported as CB activities) nor CB activities as implemented in various programmes (e.g., under the Marine Programme or the SIDS Programme) unless mentioned in Item 6 or 5A reporting. Despite the large number of activities across all themes and regions, these are mostly not linked to the expected results of the WHCBS. Given the broad scope and general nature of the WHCBS based on the 5 Cs, an estimated 100 % of the activities listed in Item 6 report can be considered to be in the scope of the proposed list of recommended actions and contribute directly or indirectly to one of the goal areas of the WHCBS.

Whereas in the initial years (2012 and 2013) activities within Item 6 were linked to recommended actions of the WHCBS, the reports after 2013 do not show such links. The narrative reporting style does not allow for a consistent quantification of the number of activities or an attribution to a specific recommended action. C2C Annual Reports attributed their activities to recommended actions or goals of the WHCBS, but this was not fully reflected in Item 6 Reporting.

Item 6 reporting thus provides only an indication of priority areas. A differentiation between CB actions implemented to contribute to the WHCBS Strategy and general CB activities as a regular task of all institutions and bodies involved in working for the implementation of the Convention, is not possible.

The presentation of activities is descriptive and frequently their status cannot be deduced due to unspecific wording. Follow-ups of individual

actions are not consistently described in Item 6 reporting. Thus, the status of reported actions often remains unclear (e.g., whether the action was implemented, planned, envisaged, reported etc.) and vague in language (Examples: 'being developed, working to develop / has developed a proposal to put in place/ shall contribute'). Double counting and duplications cannot be excluded.

Due to lacking indicators and baseline information (even though included in the WHCBS as recommended action 10.9), none of the Item 6 Reports allows to draw conclusions regarding progress towards the espoused goals and is rather representing an extensive list of reported CB-activities. In addition, the reporting style and structure varied over time (e.g., including an explicit section on SIDS from 2016 onwards, clear link to WHCBS goals until 2013).

The evaluation team tried to identify embedded actions and assumed linkages based on its personal understanding. Whereas this analysis is subjective, it provides an aggregated overview of prioritised fields of activity regarding the implementation of the Strategy. Other CB activities, which are abundant but were not reported under Item 6 were included.

Table 2 shows that the largest number of activities refers to Goal 1 (Statutory processes and balanced list) and Goal 2 (Improvement of Management), whereas less activities were reported for Goal 3 (Participation of communities), Goal 4 (Awareness raising) and Goal 5 (CB-system).

This could be linked to the fact that Goals 1 and 2 include regular CB activities within the frame of supporting statutory processes (e.g., workshops on nomination or tentative listing, workshops on specific management topics) whereas Goals 3 and 4 are less tangible making it challenging to identify concrete actions to report on. Consistent efforts were reported to enhance the CB system strongly referring to networking activities between ABs and the Centre (e.g., coordination meetings) or among C2Cs (Annual coordination meeting until 2019; Interviews I-11, I-12, I-13, I-14). Key recommended actions such as the set-up of a clear coordination or the development of progress indicators was not implemented or could not be implemented due to a lack of resources (Interview I-2, I-5, I-6, I-7).

Goals (aggregated, see figure 10)	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	Total	5 Cs
1 Improved understanding of the World Heritage Convention Statutory Processes and balanced list	27	5	7	13	20	15	12	15	18	21	1	154	Credibility
2 Improve the management of existing heritage sites	3	3	5	17	19	18	5	13	13	16	9	121	Conservation
3 Participation of communities in world heritage and associated local economic development	0	0	0	4	4	5	7	4	10	6	0	40	Communities
4 Awareness raising for the importance of World Heritage and its link with sustainable development	0	0	0	0	0	0	0	0	0	1	0	1	Communication
5 Enhance the Capacity-Building System	4	3	3	13	8	7	5	7	5	8	0	63	Capacity-Building

Table 2: Number of actions reported under Item 6

Activities reported in narrative style including summaries per region (and SIDS from 2016 onwards)

Source: own analysis based on Item 6 reporting; Assignment to goals based on expert assessment and interpretation

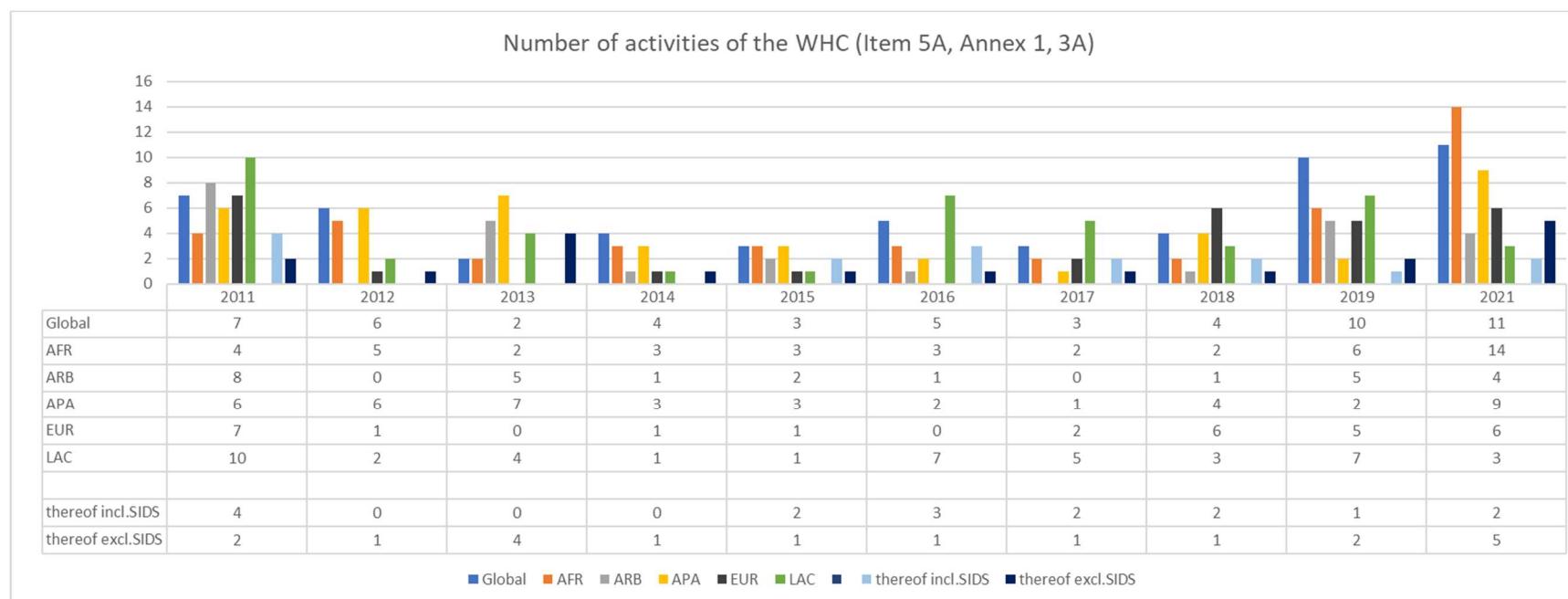


Figure 6: Number of reported CB activities of the World Heritage Centre (Item 5A Annex 1, 3A)

Remark: Indicating only the number of activities without clear links to the goals or actions as mentioned in the WHCBS; including SIDS: reported activity includes one or more SIDS; exclusively SIDS: reported activity targets one or more SIDS

Overall, the reported activities covered a wide range of topics, many of these in line with the recommended actions of the WHCBS such as:

- Creation of communication, training tools, guidance documents and other knowledge products
- General awareness raising and communication
- Development of management tools for conservation
- Translation of knowledge materials
- Implementation of training courses and workshops (particularly on practical management, nomination or monitoring)
- Coordination and exchange meetings
- Provision of advisory services
- Establishment of partnerships

It seems that most activities are not systematically linked (except for the WHLP) and mostly implemented via traditional modes of delivery (trainings or workshops as reported main mode of delivery). Activities were mostly targeting individual experts, site managers or focal points whereas institutions were less intensively addressed. The activities of universities and UNESCO Chairs are not reflected in the reporting. Considering the diversity of different goals, target groups and actions, a higher diversity of intervention approaches would be needed but seems to be mostly missing relying mostly on trainings, workshops and events.

The heterogeneity of individual actions and goals in combination without concrete targets and a missing differentiation between training activities as part of the regular business (e.g., nomination training) and activities clearly linked to the progress of the WHCBS prevent a unambiguous assessment of the direct outcomes.

2_2_3 Stakeholder groups addressed

M3 Description of interactions and interventions

The WHCBS seeks to address the following groups by stating expectations concerning their changed performance:

- **Practitioners** will be able to better protect and manage WH.
- **Institutions** will be capable of providing support for effective conservation and management through favourable legislation and policies, establishing a more effective administrative setup and providing financial and human resources for heritage protection.
- **Communities and networks** will be aware of the importance of heritage and support its conservation.

During the past 10 years, a large network of CB actors across all UNESCO regions emerged (see Figure 7 indicating only the actors mentioned in Item 6 Reporting). This network implemented a large – and heterogeneous – amount of different capacity-building activities providing a yet informal network of CB providers and stakeholders within the wide scope of the WHCBS (in terms of goals, activities, target groups and CB providers). The stakeholder map highlights those stakeholders who have taken the broad framework offered by the WHCBS to become active such as several C2C which further developed their role and importance within this network. The WHC and the ABs at global level played a pivotal role in interacting with all institutions involved (Figure 7).

Since Item 6 reporting is strongly activity based and provides a subjective selection of activities, an in-depth quantitative assessment which target groups were finally reached was not possible within the scope of the evaluation. It must be kept in mind that the stakeholders identified have implemented hundreds of individual CB activities, but these are widely disconnected as no comprehensive monitoring system is in place.

In-depth interviews revealed that each actor per se implements CB within its own scope of work but does not necessarily link it with the WHCBS. Many of these followed innovative approaches, showed (local) successes or local/regional structured approaches and have increased the capacities at all levels (see also Annex 5_6 and Chapter 2_3_3).

The stakeholder map and Item 6 reporting (cross-referenced by reports on Item 5A and 5B) only allow for a very limited analysis of the target groups addressed. However, it can be assumed that the capacities of those institutions mentioned were enhanced in terms of offering and implementing CB. The WHCBS defined three main target audiences (practitioners, institutions, communities) and defined principal learning areas).

Practitioners (site managers)

Principle learning areas according to WHCBS: Implementation of the Convention, Conservation and management, technical and scientific studies, conservation processes at site level, resource utilisation

Since the adoption of the WHL, practitioners have reportedly increasingly become a key target group for capacity-building. This is well illustrated by the success of the Site Manager Forum at the annual World Heritage Committee Meeting (and subsequently organised (sub)regional fora such as the African Site Managers Network (Interview I-13), by various activities within the WHL Programme (e.g., PNC Courses) (Interview I-5, I-6) and the wide range of activities of C2C, which mostly consider site managers and conservation practitioners as key target audiences (Interviews I-11, I-12, I-14). There are also documented efforts to improve the exchange between site managers at national level via frequent meetings (e.g., Annual meeting of (cultural) site managers in China (Interview I-22)) or via the establishment of national agencies (e.g., Centro nacional de sitios patrimonio mundial in Chile, Interview I-15).

The emerging large number of world heritage related capacity-building activities and training offers at regional or national level (e.g., practical conservation courses offered by C2Cs) improves the accessibility to trainings. However, due to a lack of common standards and many CB providers, the individual quality and total number of reached persons remains unclear. Site managers as main recipients of CB are apparently addressed but are rarely referred to in the formal reporting.

The evaluation team found that practitioners were increasingly targeted and reached at all levels. Site managers – and increasingly also actors of other sectors - seem to be considered by many CB-providing institutions as key audience in line with the aspirations of the WHCBS.

Institutions (incl. SP, NGOs, WH Committee, ABs)

Principle learning areas according to WHCBS: Legislative issues, institutional frameworks, financial and human issues, knowledge

Institutional capacity-building as espoused by the CB particularly encompassed traditional training activities related to statutory processes (such as nomination and tentative listing workshops) for States Parties.

An increasing collaboration between the different Advisory Bodies could be observed (e.g., WHL Programme implemented by ICCROM and IUCN in collaboration with the WH Centre or the Connecting Practice Project implemented by ICOMOS and IUCN) (Interviews I-5, I-6, I-9, I-10). Similarly, increasing cooperation between C2C, the WH Centre and the Advisory bodies (Interviews I-6, I-11, I-12, I-13, I-14) and between C2C and national actors (Interviews I-15, I-17, I-21, I-22) were observed.

Amongst the most prominent examples having taken off in recent years is CB in the field of Heritage Impact Assessment (Interviews I-6, I-11, I-12). Next to a revised manual for HIA ('Guidance and Toolkit for Impact Assessments', 2022), related high-quality CB activities have reached all audiences (from site managers to SP, communities to other sectors).

No specific activities to build capacity of the WH Committee were mentioned or have emerged during the analysis whereas the need for providing CB to the WH Committee members (e.g., through onboarding processes) was repeatedly mentioned (Interviews I-16, I-20, I-22).

With regards to CB for SP, a differentiation between 'regular' CB (e.g., nomination or tentative listing workshops) and the added value which can be considered as direct result of the WHCBS is hardly feasible. The CB activities of the ABs have reportedly improved the mutual understanding between ABs and ongoing cooperation between the ABs beyond statutory processes. This also includes an improved joint understanding of terms and concepts as well as emerging common manuals and guidelines (e.g., IA Manual, revised EoH Toolkit). Given the important role of ABs, this is considered a major improvement of the past 10 years.

Communities and networks

Principle learning areas according to WHCBS: Reciprocal benefits, sustainable development, stewardship, communication and interpretation

Even though the WHCBS included communities and networks as main audience, there is very limited evidence for implementation at global level. These target audiences are mostly reached by local or national CB institutions which not necessarily report individual activities at global level (Interview I-18). However, interviews revealed that a major shift has occurred strongly widening the target audiences particularly at national and local level targeting communities involved in WH management (e.g., for the management and conservation of the WH Site 'Andean Road System - Qhapaq Ñan (Interview I-15) or for involving communities in disaster risk management in Kenya (Interview I-19)).

Category 2 Centres play a pivotal role in establishing CB activities including communities. The WH+ST Programme of WHITRAP achieved to reach out to community stakeholder in the field of sustainable tourism on specific pilot sites in China (Interview I-11). AWHF established deliberate programmes about youth and entrepreneurship (Interview I-13). The implementation of the HUL Recommendation also requires the deliberate involvement of communities building their capacities for integrated development of urban WH Sites. This also includes a well-maintained overview and easy-access resources at the UNESCO Website². In addition, there seem to be widespread initiatives at project level (e.g., training of 'Climate Marshals' as emergency responders in Kenya (Interview I-19) or several intensive community involvement projects in Ethiopia (Interview I-18). The role of communities is widely acknowledged at a formal level demonstrated through stronger consideration in the latest version of the Operational Guidelines (2021) (see also Chapter 2_5) and can be considered a major success. However, the extent of the change remains less visible as related initiatives often occur at national or local level only (Interview I-18, I-14, I-15).

² <https://whc.unesco.org/en/hul#resources>

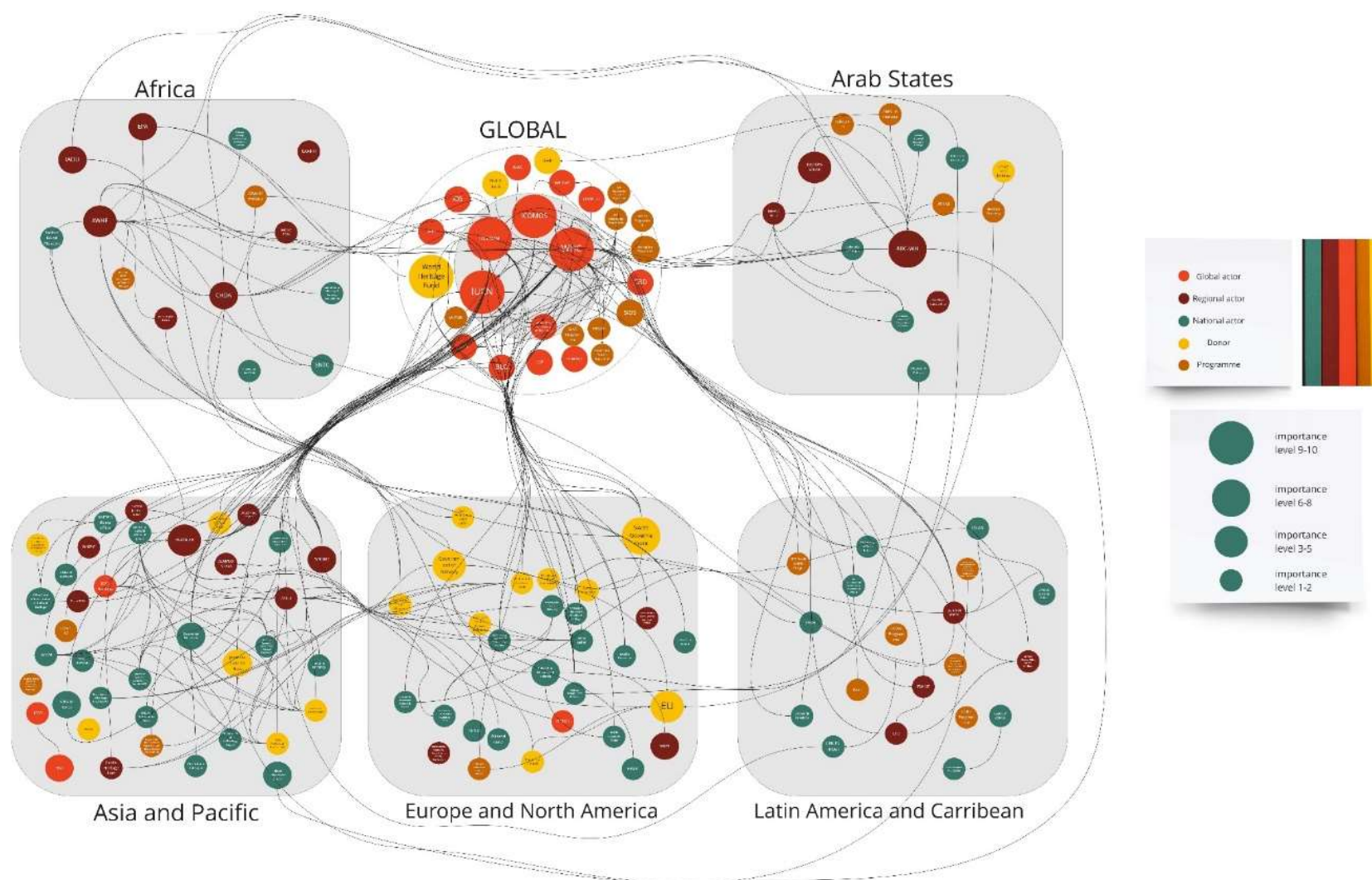


Figure 7: Overview of main actors based on Item 6 Reporting driving the implementation of the WHCBS and their relations
Stakeholder analysis based on Item 6 reporting (Author's draft); high resolution figure in Annex 5_4

2_3 EQ 2: Achievement of expressed goals of the strategy in the period 2011–2021

The following chapter assesses the main goals of the WHCBS following the Consultant's understanding of the underlying Theory of Change (see Annex 5_3) and the rearranged goals a presented in Chapter 1_2.

2_3_1 Assessment of long-term goals

M8: Ratio of natural vs cultural sites (number); trend for traditionally underrepresented regions; changes of countries being the top five concerning number of heritage sites; number of Heritage Sites on the danger list;

On the long term, the WHCBS and its result areas seek to contribute to the Global Strategy for a Representative, Balanced and Credible World Heritage List. The Evaluation team thus analysed changes between 2011 and 2022 of two proxy indicators (number and type of properties and number of endangered sites).

The Global Strategy's focus on the World Heritage List has had an impact on the number of World Heritage properties but not necessarily on under-represented categories or on improving the conservation or promoting international cooperation which are key elements of the World Heritage Convention.

The number of WH properties increased by 224 sites (2011-2022) and 11 SP successfully included their first WH property on the list. However, there has been no significant change in the status, ratio or representation of the list. The number of WH sites in danger even increased. Changes in the list can hardly be directly attributed to the WHCBS as there are many different influencing factors (i.e., access to resources, political priorities) even though some can be directly attributed to specific CB activities (e.g., nomination training of EPA in francophone Africa).

An analysis of the ratio between cultural, natural, and mixed sites between 2011 and 2022 shows a slightly decreased share of natural sites (decrease from 20.2 % to 18.9 % of all inscribed properties) (Figure 8).

The total number of properties increased from 930 in 2011 to 1154 in 2022 (+ 24 %) with strongest increase in Asia-Pacific region (+29 %) and Arab States (+21 %). 14 new African properties were inscribed (+17 %), which can be attributed to targeted activities such as the 'World Heritage Nomination Support Programme' coordinated by AWHF in cooperation with EPA, CHDA and the WHC (Interviews I-13, I-21). However, the majority of sites remains to be located in Europe-North America (545) and Asia-Pacific (277) (World Heritage Statistics 2022).

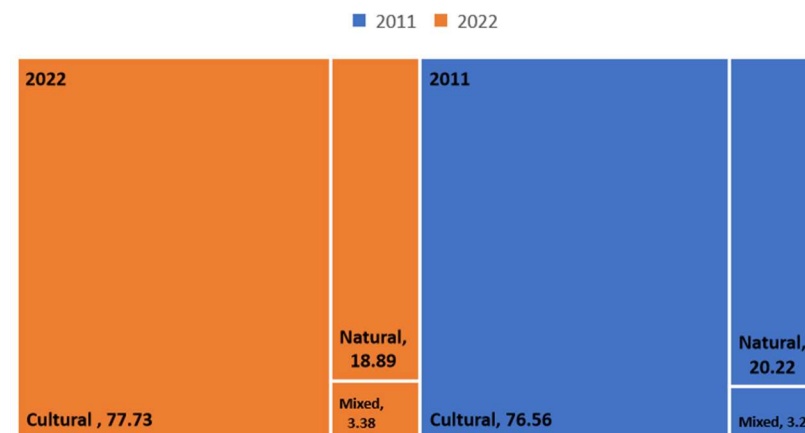


Figure 8: Ratio between types of properties 2011 and 2022
Source: World Heritage Statistics (<https://whc.unesco.org/en/list/stat>)

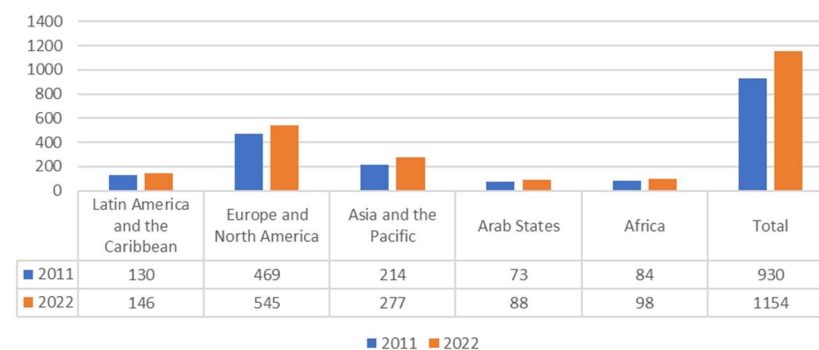


Figure 9: Changes in absolute numbers of properties 2011 and 2022
Source: World Heritage Statistics (<https://whc.unesco.org/en/list/stat>)

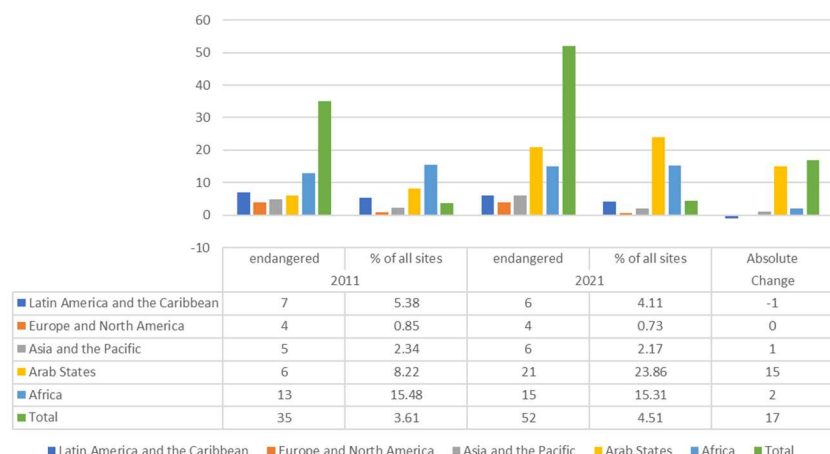


Figure 10: World Heritage in Danger: Changes between 2011 and 2022 per region

Source: World Heritage Statistics (<https://whc.unesco.org/en/list/stat>) (own analysis)

Within 10 years the number of properties in danger increased from 35 to 52 (3.6 % to 4.5 % of all sites) with a sharp increase in the Arab States due to geopolitical instability. Due to the complex political processes determining the Endangered Sites list, only limited conclusions can be drawn regarding an increase or decrease of immediate threats (Interview I-16).

During the past 10 years, 11 States Parties had successfully nominated their first property (LAC: 1 (Jamaica); AFR: 4 (Angola, Chad, Congo, Eritrea); ARAB 2 (Qatar, Palestine), APC 4 (Fiji, Micronesia, Palau, Singapore). This well reflects the efforts to promote the Convention in the SIDS States and Africa (World Heritage Statistics 2022).

Having a site for each country, this is a priority of AWHF, it is also in our strategic plan. This is not coming from UNESCO but from the African Union, the ministers of culture of Africa. (Interview I-13)

2_3_2 Assessment of Results

M9. Descriptive presentation of key results as per WHCBS results matrix for each region

The results cannot be described for each region due to the fragmented reporting of activities (see Chapter 2_2). We therefore base description of results on the interviews, which were qualitative and not representative. Where available, we have used 3rd Cycle Periodic Reporting outcomes and reported CB activities to triangulate and complement results related to the WHCBS.

Enhance credibility and balance of the World Heritage List

A large share of reported activities focused on building capacities for preparing nominations and updating Tentative Lists (particularly for underrepresented regions such as SIDS, Africa, or Arab States) via trainings and workshops for States Parties (Recommended Action 2.2.) (Interviews I-12, I-13, I-17, I-21). This also included mentoring processes in Africa (Recommended Action 2.5.; Interviews I-13, I-20, I-21). It was emphasised that follow-up strategies or mentoring approaches are key for achieving results (Interview I-20, I-21). Item 6 reports furthermore indicate a wide translation and dissemination of resource manuals supporting States Parties to prepare nominations (e.g., in Spanish, Russian, Polish, German, Chinese and Arabic) (Recommended Action 2.1.).

Next to CB activities of the World Heritage Centre, particularly leading Category 2 Centres (outside Europe/North America such as AWHF, ARC-WH, WHITR-AP, CLC, IRPMZ) provide curricula and processes to support representatives of SP in the preparation of nomination dossiers and updating of tentative lists. Especially ARC-WH and AWHF (in cooperation with EPA) stated to mentor participants with a targeted approach and accompany nomination processes (Interviews I-12, I-13, I-17, I-21). This goes hand in hand with strengthened networks (e.g., formal collaboration between C2Cs (e.g., ARC-WH and the AWHF) and between C2Cs and the WHC and Advisory Bodies). For example, ARC-WH has carried out 95 CB activities addressing 1680 participants for 10 years. World Heritage Centre Manuals and Advisory Bodies thematic studies were the main knowledge products utilised for nominations. Workshops

and interactive learning have been mainly used for other themes.

ARC-WH has additionally focused on themes connected to paradigm shifts, such as linking nature and culture or integrating tourism into site management. ARC-WH specifically collaborated with IUCN to implement the NATURE programme, targeting nature specialists, and identifying natural focal points in the countries of the region (Recommended Action 3.5, Interview I-12).

Apart from these anecdotal examples derived from interviews, the WHC and the ABs carried out a large number of workshops and trainings for updating tentative lists and nomination processes as their regular task.

Improve the conservation of existing sites

CB activities for the improvement of conservation of WH Sites are a key task of the WHC and all ABs mainly delivered via trainings and workshops. These activities are mostly not reported under Item 6 but under Item 5A and 5B. The evaluation team assumes that these activities are definitely supporting better management contributing to the WHCBS but cannot necessarily be attributed to it.

Amongst the key results are clearly the trainings, curricula and guidelines on

The NATURE initiative was a very important programme. With the Centre and IUCN, it supported nominations in the Arab region. It was important to target nature specialists in the region. It went for 4 years, there are 3 important publications, several workshops, in Sudan, Jordania, Yemen were held, also addressing mixed sites. It led to a number of initiatives with concrete impact on the ground. In Sudan, we had one site with nomination and inscription, also in Mauritania. (Interview I-12)

'ARAB Region: The main change I have witnessed, is the shift from nature and culture coming together. Now we have one programme combining both. This is a very important step, also representation of both within the wider framework of the convention. Now having both linked, is the main visible part.' (Interview I-12)

disaster risk management and Heritage Impact Assessment (Interviews I-5, I-6, I-9, I-11, I-12, I-17, I-19, I-22). A major achievement in this regard has been the elaboration and translation of a guideline series for practitioners and the implementation of corresponding courses by the World Heritage Leadership Programme Phase I.³ These guidelines address a tremendous need expressed by site managers, Focal Points, and other stakeholders in charge for conservation. The elaboration and/or translation of guidance documents (e.g., the wide translation of 'Managing Natural World Heritage' (in Spanish, Russian, Portuguese, Arabic, Chinese), of 'Managing Cultural World Heritage' (in Spanish, French, Portuguese, Arabic, Chinese and Polish) and 'Managing Disaster Risks for World Heritage' (in Spanish, Portuguese, German, Arabic and Chinese) and the overall availability of guidance documents assist States Parties and practitioners in managing heritage (Recommended Action 3.1.). However, outreach towards other sectors seems to be limited and was expressed as a shortcoming / future need (Interviews I-6, I-11, I-16, I-19, I-22).

The WHCBS strived to promote the development of national CB strategies (Recommended Action 3.2.). According to available information, this did not materialise (Interview I-8). However, through the deliberate inclusion of CB in the 3rd Cycle Periodic Reporting major progress was made and forms a basis for targeted CB at national level in future. For example, the 3rd Periodic Report of the Arab Region, management of site receives a higher priority than nomination process. The report has assessed key priorities for future capacity-building needs per target group (government officials, site managers, NGOs, and capacity-building institutions). In this context, it is very important that ARC-WH states that they are now more open for other target groups. *'Students, professionals working independently in the countries, coming from different fields, so that we do not train the same people over and over again. Then these people start losing interest. It was fine to identify sites, for this it was fine. Now we also ask them to see how qualified they are, we want to improve the selection method to achieve better quality and representation when conducting a workshop. This has improved. (Interview I-12).'*

³ Huber, M., Zollner, D., Pecher, S., Wolf, L. (2020): Mid-term Programme Evaluation: World Heritage Leadership. Final Evaluation Report

The WHCBS deliberately extended the target audience to address stakeholders of other sectors (e.g., tourism, construction) (Recommended Action 3.7). An anecdotal increase in such trainings could be observed in the reported activities confirmed by several interviews for tourism (Interviews I-11, I-12, I-13, I-18) and the construction sector (Interview I-11). However, interviews indicated that this mostly happens at local level and (apart from the HIA-trainings) in a fragmented way. Apparently, it seems to be challenging to motivate other sectors to participate in heritage related trainings (Interview I-16).

The HUL approach is especially promoted in the Arab and Asia-Pacific Region. However, it did not become clear whether this is due to the WHCBS or due to other strategic interventions as the HUL Recommendation was adopted as well in 2011.

The WHCBS has the bold ambition to promote innovative approaches for learning, leadership, and societal change. However, the larger share of interventions stayed in the realm of training. This emanates from the interviews conducted (Interview I-11, I-16) and is confirmed by the 3rd Periodic Reporting (Arab States) stating a need for management approaches to solve complex challenges (also emphasised by Interview I-11, I-14, I-16, I-18). Such approaches require interactive and empirical learning (Interview I-12). In that respect, the Site Manager Forum, pilot projects and impact assessment are key approaches. They bring practitioners from various sectors and levels together in one geographical site around one specific theme for which commonly accepted solutions are required.

Good practice: Impact Assessment Course on the Philippines:

WHITRAP as regional CB provider implemented a national Impact Assessment Training Course on the Philippines involving several sectors (e.g., tourism, construction etc.).

The training goes back to a Philippine participant of a regional training course. Back in the home country, it seemed also relevant at national level as there was a SOC-related decision for implementing a HIA. Subsequently, a national course was arranged and implemented. This shall further serve to embed HIA in national legislation (Interview I-11).

This example shows an ideal process: Based on the revised HIA Guidance, IC-CROM together with WHITRAP implemented a regional workshop, which subsequently led to a national workshop implemented by WHITRAP.

Participation of communities

The WHCBS strived to build capacities to further integrate communities in WH management as well as to promote benefits for communities through integrated development. Targeted research on benefits and best practice (Recommended Action 7.1.) and related capacity-building (Recommended Action 7.2.) was carried out widely mostly implemented by C2Cs (e.g., regarding tourism in the Arab States (Interviews I-12, I-17) and in Asia (Interview I-11)) or at (trans)national level (e.g., Ethiopia, Interview I-18 (tourism); Kenya Interview I-19 (DRM); Andean countries/ Qhapaq Ñan, Interview I-15 (involvement in conservation and management). In Africa, AWHF with its programmes takes an active part in involving youth and promote WH-related entrepreneurship (Interview I-13).

Whereas the WHCBS foresees an important role for UNESCO Chairs for providing related research, in practice the work of UNESCO Chairs rather invisible and uncoordinated and was likely not fully exploited (Interview I-12). No consistent reporting on UNESCO Chair activities could be found. A need for providing practical solutions to be implemented (Interview I-19), establishing exchange platforms (Interview I-18) and for guidance in additional languages (Interview I-14, I-15) was reported.

Nonetheless, the establishment of new WH-related UNESCO Chairs (e.g., in Germany, Austria, Switzerland, Turkey, Costa Rica, or Botswana) and new C2Cs (e.g., in India) enlarged the network of WH-related research institutions and CB-providers (Recommended Action 7.5.).

In the Arab States (Interviews I-12, I-17), Africa (Interview I-13, I-20) and LAC region (Interviews I-14, I-15), the perception of properties is continuously shifting towards an integrated view. There is an interesting trend of linking World Heritage Sites with the UNESCO MaB approach to be able to manage the landscape surrounding properties and to integrate conservation with sustainable local development. According to the 3rd Cycle Periodic Reporting (Arab States), three out of 33 MaB sites in the Arab Region are also Heritage Sites. Thus, 4 SP plan to integrate properties into MaB Reserves. About 50 % of SPs in the Arab region stated to have a strategy in place for community integration and communities participate in nominations and tentative listing (3rd Cycle Periodic Reporting Arab States). Integrating properties to improve people's livelihoods is recommended. In Lebanon, the maintenance of traditional agricultural

practice shaping the landscape (e.g., terraces) while securing people's livelihoods would be crucial to conserve cultural properties in their traditional landscapes (Interview I-17).

In the Asia-Pacific Region several pilot projects are implemented in close collaboration with local administrations on integrating sustainable tourism and heritage management (WH+ST Pilot Programme, Interview I-11, see Chapter 2_3_3). In addition, the interviews particularly at national or local level indicate that there is a very dynamic development (e.g., Chile: Interview I-15, Mexico: Interview I-14, Kenya: Interview I-19 or Ethiopia: Interview I-18). At the same time, other WHC programmes (e.g., SIDS, Marine Programme) or projects related to HUL deliberately include communities. Whereas it cannot be clearly attributed to the WHCBS, this development promotes and acknowledges a more people-centred and place-based approach.

The enabling environment to involve and address communities as observed in all UNESCO regions has significantly improved during the past 10 years underpinned by a number of policy documents (e.g., Sustainable Development Policy, Fuzhou Declaration), by the increased implementation of the HUL Recommendation and targeted WH Programmes (e.g., WH+ST Programme resulting in pilot projects and available CB tools for site managers coordinated by the WH Centre⁴). This is further strengthened by the widespread inclusion of communities in the Operational Guidelines (see Chapter 2_5 and Annex 5_5_1) and promoted by new guidance (WH Paper 31⁵ (2012 on community development and WH Paper 40⁶ (2014) on community engagement).

Finally, the WHCBS strived to strengthen networks of properties at national and regional scales to enhance capacities of the properties in the field of integrated development. Whereas these were hardly reported on in formal reporting (i.e., Item 6 or 5A/5B) reportedly such networks emerged (e.g., Qhapaq Ñan in the LAC region, see also Chapter 2_3_3),

the European Beech Forest Network (serial site: Ancient and Primeval Beech Forests of the Carpathians and Other Regions of Europe). Simultaneously, networks for exchange amongst site managers emerged in Africa (African Site Managers Network) (Interview I-3, I-13), Asia (HERITAP-network) (Interview I-11) or China (annual meeting of site managers; Interview I-22). However, most networks seem to remain located in the 'world heritage realm' involving communities or other sectors to a very limited extent. The need to establish regional networks or stakeholder platforms was emphasised in several interviews (e.g., Interview I-14, I-18, I-19).

Awareness raising for the importance of World Heritage and its link with sustainable development

The WHCBS seeks to support the raising of awareness regarding WH and its benefits through tools to better present WH (Recommended Action 9.1.) and include WH into education programmes (Recommended Actions 9.2.). However, the goal and related actions remain rather vague regarding which aspects should be emphasised. Awareness raising and education is a cross-cutting task and has not been deliberately reported on. An increasing number of related declarations and policies has emerged in the past 10 years promoting the key goals of the WHCBS (e.g., Sustainable Development Policy, 2016 or the Ngorongoro Declaration on Safeguarding African World Heritage as a Driver of Sustainable Development, 2016) as well as the organisation of several events and fora at all levels (e.g., Youth Forums, African Site Managers Network, IUCN and ICOMOS coordinated Culture-Nature Journey).

A stakeholder engagement plan and communication plan for the WHCBS does not yet exist. Thus, the evaluation team could only collect anecdotal examples. The World Heritage Leadership Programme, Phase I in close collaboration with ICCROM and IUCN prepared publications (printed and

⁴ <https://whc.unesco.org/en/activities/856/>

⁵ Albert, M.-T. et al. (Eds.), 2012. *Community development through world heritage*, World Heritage papers. UNESCO World Heritage Centre, Paris.

⁶ Brown, J., Hay-Edie, T., 2014. *Engaging local communities in stewardship of world heritage: a methodology based on the COMPACT experience*. United Nations Educational, Scientific and Cultural Organization, Paris, France.

website) on the importance of World Heritage for sustainable development, as an instrument for peace and social cohesion as well as a learning site for nature-based solutions and ecosystem services. The UNESCO Marine Programme published material about the importance of marine heritage sites for climate change mitigation and adaptation. The World Heritage Magazine published issues dedicated to people protecting Heritage, to Climate Change and African Heritage and sustainable development (non-exhaustive list). While these materials certainly may contribute to increase awareness about World Heritage and its importance as well as about the espoused paradigm shifts of the WHCBS, it is unclear to the evaluators to which extent their publishing has been impacted by the WHCBS.

Regarding the inclusion of World Heritage as a component of educational/school curricula (Recommended Action 9.2.), the World Heritage Education Programme⁷ with its huge network of schools, Youth Forums and volunteers plays a pivotal role but was neither mentioned in connection with the WHCBS or capacity-building in Progress Reports nor during the interviews. Most updates on the website of the WH Education Programme refer to activities prior to the WHCBS or in the early phase of it. It was rather mentioned in the interviews, that curriculum development, integration of WH into school and university education as well as into lifelong learning efforts need to be much stronger emphasised to build awareness and capacities (also in other sectors) on the long term (Interview I-12). This requires an integrated approach from school-age to senior expert level and much closer cooperation between the UNESCO Chair and C2C networks, education institutions and the World Heritage Education Programme (Interview I-12).

A solid basis at academic level seems to be already available with a very dynamic (and dispersed) increase of academic curricula and programmes related to WH (e.g., in China: Interview I-22, Arab Region: Interview I-12). However, no comprehensive overview is available hampering future coordinated efforts.

Other than this, in the interviews conducted and documents reviewed we

could not identify important results linked to awareness raising as espoused in the WHCBS. This corresponds with our findings that the number of activities reported in the Item 6 report on these goals has been quite low (Chapter 2_2).

Enhance the Capacity-Building System

The WHCBS identifies 11 recommended actions to enhance the capacity-building system and to coordinate the implementation of the WHCBS. This includes a clear governance and coordination structure, fundraising, information management and dissemination as well as regional strategy development and the set-up of indicators to enable monitoring and reporting. Given the reported lack of resources at all levels (see also Chapter 2_2_1) in combination with the intention of the WHCBS to have an open framework and a multitude of actors, this is a critical element for the success of the Strategy. Whereas progress has been reported on all goals, the nature of the WHCBS hardly allows for a systematic coordination resulting in a multitude of (often disconnected) activities and in a rather activity-based reporting. Throughout the interviews, the lack of resources for coordination (Interviews I-2, I-3, I-6, I-7) and resulting lack of coordination (Interviews I1, I-2, I-6, I-7, I-12) was identified as key gap.

At the global level, the World Heritage Leadership Programme Phase I has tremendously contributed to strengthen the capacity-building for World Heritage in a systematic manner. The WHLP has established a governance structure between IUCN, ICCROM and the funding partner (the Government of Norway) and is closely coordinating with the World Heritage Centre, ICOMOS, Regional Category 2 Centres, Focal Points and Site Managers. Moreover, the WHLP has successfully promoted the Site Manager Forum. At the level of the World Heritage Centre and the Convention, a governance dedicated to the WHCBS was not clearly established so far (Chapter 2_6). However, the partnership established between the WHC and the AWHF seems to be quite effective in promoting impact-oriented interventions (Chapter 2_7).

The WHLP has been the most structured/systematic and only

⁷ <https://whc.unesco.org/en/wheducation/>

programme for the implementation of the WHCBS. It can be considered a major achievement of the WHCBS (Interview I-5, I-6) referring in its objectives specifically to the implementation of the WHCBS. A large share of its activities is linked to the strategy (Chapter 2_3_3). At the level of the WHC and Advisory Bodies, funding from UNESCO and the WHF has decreased (Chapter 2_2). So far we could not yet identify a structured costing and budgeting approach for fundraising for WHCBS by the WHC (see Chapters 2_2 and 2_6).

Indicators and planning frameworks to implement the WHCBS have been established for the WHLP at programme level, but not for the WHCBS for which the Committee did not adopt indicators and targets (Recommended Action 10.9). This is a gap that negatively affected co-ordination and alignment for implementing the WHCBS (Chapter 2_6).

Likewise, there is an information management for dissemination of guidelines, announcement of courses and dissemination of information material by the WHLP, the WHC, ICCROM as well as IUCN and ICOMOS (and probably in line with stakeholder engagement and communication plans). However, there is not yet a coordinated and unified system in place. Though, in recent years the respective websites are becoming increasingly integrated. E.g., the WHLP is now presented at the website of the WHC (and not as initially at a separate website) and the endorsed training material and guidelines are published by the WHC⁸. Particularly driven by the COVID crisis and the WHLP, new learning environments (Recommended Action 10.6) have widely taken root across the system.

A regionally more balanced network of C2C (Recommended Action 10.4) has not been fully achieved. Even though Africa (AWHF), Arab region (ARC-WH), Asia-Pacific Region (WII and WHITRAP) and the LAC Region (CLC and IRPMZ) have highly committed, regionally active C2Cs, the Norwegian World Heritage Fund in the Europe – North America Region was not extended. Thus, this region, together with SIDS have no regionally active C2C.

At the regional level, the integration of the WHCBS into regional action

planning (Recommended Action 10.7) has been managed differently. While Latin America and the Caribbean and Asia-Pacific have elaborated and implemented Regional Capacity-Building Action Plans, other regions integrated the planning for capacity-building into their Action Plans resulting from Periodic Reporting Cycles. For example, in the Arab Region, the Capacity-Building Strategy has been integrated in the Draft Action Plan for the Arab Region (2021–2027) (see also Table 11 in Annex 5_5_3). Several interviewees indicated that a) the availability of the WHCBS in English and French only (Interviews I-14, I-15), and b) the strategic and diffuse nature of the WHCBS hampered the full consideration and integration of the WHCBS in respective planning whereas Periodic Reporting provides more concrete orientation (Interviews I-12, I-22). The EPA in Africa and the AWHF clearly stated that the WHCBS was instrumental in providing the needed mandate to conduct Heritage related capacity-building in their (sub-)regions (Interviews I-13, I-21).

2_3_3 *Flagship interventions*

M6 / M10: flagship programmes and collaboration agreements established due to WHCBS; Case studies and how they contribute to the Theory of Change;

The evaluation team tried to identify outstanding flagship initiatives during the interviews and the document review (non-exhaustive list). A flagship intervention has been defined as **‘a structured and systematic grouping of capacity-building activities, which are replicable, have the potential for upscaling and haven proved to be a game changer’**. The following flagship interventions were quoted in the interviews or/and identified through evaluated documents (for a full list see Annex 5_6).

World Heritage Leadership Programme (global & all regions)

Next to a large range of – often high quality – individual activities, projects and initiatives, the World Heritage Leadership Programme Phase I implemented by ICCROM and IUCN can be considered THE flagship initiative of the WHCBS not only taking up almost half of the recommended

⁸ <https://whc.unesco.org/en/capacity-building/>

actions in a systematic way but also having had a reported impact at all levels (Table 3Table 3).⁹

Game changing aspects: Innovative capacity-building courses, collaboration with all ABs, the WH Centre and C2C; integration of nature and culture; updating of manuals with intersectoral collaboration and related trainings; revision of EoH Toolkit and Impact Assessment Guidance, strengthening the role and visibility of site managers.

	Ac-tions	Addressed by WHL	% of all actions
1 Improved understanding of the World Heritage Convention Statutory Processes and balanced list	21	8	38
2 Improve the management of existing heritage sites	15	9	60
3 Participation of communities in world heritage and associated local economic development	9	6	67
4 Awareness raising for the importance of World Heritage and its link with sustainable development	2	1	50
5 Enhance the Capacity-Building System	11	4	36
Total	58	28	48

Table 3: Flagship intervention: WHL Programme addressing 48 % of all recommended actions of the WHCBS and all main goals

Connecting practice (global)

Connecting practice is a joint programme of ICOMOS and IUCN started in 2013 with the goal of learning and developing new approaches to world heritage outside of statutory mandates of the AB. While recognising the importance of the interconnection between natural and cultural values of highly significant heritage landscapes and seascapes a more effective, creative and inclusive way to maintain them should be achieved.

Game changing aspects: Intense cooperation between ABs beyond statutory work for better mutual understanding; joint improvement of statutory processes (i.e., evaluation) based on practical reflection.

Site Manager Forum at the World Heritage Committee Meetings (global)

Since 2016, the Site Manager Forum takes place during the annual Committee Meeting. Even though it is mainly a networking opportunity for site managers, it reinforced capacity-building. For this forum, site managers are invited to the WH Committee Meeting. Next to a global exchange opportunity amongst practitioners, it is also an instrument for additional visible recognition of site managers. Due to its success and the fact that only limited site managers can participate, regional or national site manager fora are emerging (e.g., African Site Managers Network, Annual meeting of Chinese WH site managers).

Game changing aspects: providing visibility to site managers; platform for exchange of practitioners dealing with everyday management; event to bridge the gap between the Convention and practical implementation.

Tab'e'a I-III (regional/ Arab States)

The Tab'e'a project on Nature and World Heritage in the Arab States provided an assessment of (natural) World Heritage implemented by ARC-WH in close collaboration with IUCN. It can be considered a systemic initiative to address the gap of natural WH sites in the Arab States. It also served as a platform to organise trainings on sustainable management of natural heritage, held by ARC-WH in collaboration with IUCN.

Game changing aspects: Addressing a gap in close collaboration between an AB and a C2C on a regional scale; identification of Nature Focal Points in all Arab States even for countries which have no natural WH Site yet.

⁹ Huber, M., Zollner, D., Pecher, S., Wolf, L. (2020): Mid-term Programme Evaluation: World Heritage Leadership. Final Evaluation Report. E.C.O. Institute of Ecology, Klagenfurt.

WH+ST pilot programme (national / China)

Even though not mentioned under Item 6, WHITRAP implemented the pilot programme within the frame of the Sustainable Tourism Programme with the aim to develop sustainable tourism at local level. For two case studies, in depth interaction with the stakeholders on site (particularly local government and site managers) and broad capacity-building at local level across different sectors contributed to develop a local sustainable tourism perspective.

Game changing aspects: Site-based capacity-building including several sectors; follow-up support for implementation; targeting a wide range of audiences in a customised manner, involving of universities.

Capacity-Building Strategy and Associated Programmes for Asia and the Pacific (regional CB Strategy / Asia)

WHITRAP led the elaboration of a comprehensive and very detailed regional capacity-building strategy as requested by the WHCBS. The Strategy does not only incorporate the results of the 2nd cycle periodic reporting but also included a participatory approach including the ABs, the WH Centre, States Parties, CB Service Providers and site managers. It also includes a detailed action plan with concrete activities, responsibilities, and funding sources.

Game changing aspects: Excellent approach for the elaboration of a regionalised action plan; inclusion of service providers and site managers (via survey).

AWHF C2C: Standardised action-oriented CB-Programmes

AWHF implements five different standardised CB programmes (Tentative Listing, Nomination, management & planning, entrepreneurship, and youth). The participants (two per site or country) start with an introductory session followed by an action-oriented training with concrete outputs (e.g., nomination dossier, roadmap for next steps, updated tentative list, business plan). After participation there is a follow-up mentoring to support implementation which can be supported by AWHF grants. All programmes are transnational or regional. As enduring cooperation with universities proved to be difficult, the programmes are mostly implemented by external consultants (Interview I-13).

Remark: A similar model is also followed by the Ecole Patrimoine Africaine (EPA) in Benin (partly in cooperation with AWHF).

Game changing aspects: Action-oriented training with concrete outputs, entrepreneurship programme as contribution to sustainable development, development of youth formats; follow-up mentoring and linking with (small) grant opportunities.

Culture Nature Journey (ICOMOS / IUCN)

In order to further strengthen the espoused paradigm shift of bringing nature and culture together, IUCN and ICOMOS developed the 'Culture-Nature/ Nature-Culture Journey' as a side event during the ICOMOS GA and the IUCN World Conservation Congress. During the IUCN WCC in Hawai'i (2016), it was implemented for the first time. It aims to promote the integration and interconnectedness of natural and cultural aspects of heritage and increase related awareness amongst professionals.

Game changing aspects: Regular event explicitly addressing the integration of nature and culture promoting holistic views of conserving and managing heritage amongst key professionals.

Serial site management for CB: Qhapaq Ñan (regional / LAC)

The management of the serial property of Qhapaq Ñan (Andean Road System) stretching over six South American countries is coordinated by a biannually changing coordinating country. Within the coordinating function and related meetings, there is an excellent opportunity for professional exchange regarding the conservation of the site and the involvement of indigenous communities, who have traditional knowledge on conserving the old Inka roads. A similar governance approach is also implemented successfully for the serial property Ancient and Primeval Beech Forests of the Carpathians and Other Regions of Europe (18 European countries).

Game changing aspects: Formalised/regular thematic experience exchange to enhance capacities for management at a horizontal level; involvement of communities in conservation; model for regional exchange;

National coordination: Centro nacional de sitios patrimonio mundial (national/ Chile)

In the past ten years, the heritage sector has been strengthened in Chile illustrated by the creation of a Ministry of Culture and, in 2016, by the related establishment of the 'Centro Nacional de Sitios Patrimonio Mundial', an independent government agency, which has permanently employed one experienced heritage expert for each of the 6 Chilean WH properties to support site managers. This centre does not only improve the access to (inter)national expert knowledge for practical site management, but also creates an opportunity for a professional exchange between the different WH sites in a formalised manner.

Game changing aspects: Institutionalised way of ensuring knowledge exchange and capacity-building at a horizontal level (between WH sites) and vertical level (WH site – national level – international level).

Sustainable development and community involvement around Heritage

In the Asia and Pacific region, the project focusing on 'Sustainable Development and Community Involvement Initiatives for the Implementation of the World Heritage Convention', financed by the Republic of Korea Funds-in-Trust, contributes to revitalising income-generating crafts in local communities through activities related to World Heritage conservation. Three World Heritage properties – one in Bangladesh and two in Pakistan - were selected for these pilot activities (WHC/17/41.COM/5A p.7).

The World Heritage Centre, together with the UNESCO Regional Office in Dakar (Senegal), initiated in 2020 a project in the Sahel, funded by the Netherlands Funds-in-Trust. Focusing on World Heritage sites, notably in the urban context, the objective is to promote traditional building cultures, respond to the changing needs of local communities in terms of housing and involve them in the conservation and enhancement of heritage. Entrepreneurship is an important component that contributes to job creation and the reduction of emigration in the region.

Long-standing cooperation with the UNDP GEF Small Grants Programme on the joint Community Management of Protected Areas for Conservation (COMPACT) initiative continues with grant-making

programme for communities; currently underway in Maloti-Drakensberg Park (Lesotho/South Africa) and Okavango Delta (Botswana) World Heritage properties and supported by the UNESCO/Flanders and the Netherlands Funds-in-Trusts cooperation (WHC/18/42.COM/5A).

Game changing aspects: Integration of sustainable development, communities, job creation and World Heritage.

Heritage and climate change

In August 2016, the third triennial World Heritage marine managers conference took place in the Galapagos Islands (Ecuador), organised by the Marine programme of the Centre. It aimed to build capacity on climate adaptation strategies and market-based approaches to encourage sustainable fisheries, and further strengthen the sharing of management solutions and best practices among 49 marine World Heritage sites (WHC/17/41.COM/5A p.4)

Game changing aspects: Integration of climate change adaptation and mitigation with heritage management; heritage as nature-based solution and learning site leading to a major programme (see also Chapter 2_7).

2_4 EQ 3: Relevance of the WHCBS for the achievement of '5 Cs' and intersectoral priorities and themes

2_4_1 Contribution to WH Committee's Strategic Objectives

M11 Existence of monitoring plan or similar

M 12 Existence of coordinated information scheme

The WHCBS aspires to contribute to 10 long-term changes in societies and policies of respective States Parties and regions (i.e., the 10 goals). We have re-arranged the 10 goals to demonstrate that they all contribute to the 5 Cs (see Chapter 1_2 and Figure 17 in Annex 5_3).

Neither the Capacity-Building Strategy nor the 5 Cs are specific in the progress they aim to achieve within a given time scope. They do not contain SMART indicators. Additionally, reporting and coordination on activities has been fragmented. Monitoring of capacity-building activities did take place but was disjunct from the Capacity-Building Strategy (see also

Chapters 2_2 and 2_6). Therefore, progress made towards achievement cannot be directly tracked and described.

In addition, communication and information are exclusively aligned to the statutory process reporting and oriented by the Strategic Action Plan for the Implementation of the World Heritage Convention 2012 -2022 at global level as well as the Periodic Reporting and resulting action plans at regional level. These reports have specific sections on capacity-building but reporting in these sections is not linked to the WHCBS.

Because of the close alignment, rather overlapping of goals between the 5 Cs and the WHCBS, we assume that all activities contributed to both. The WHC 5A and 5B reports account for activities conducted by the WHC and the ABs in line with the Action Plan for the implementation of the World Heritage Convention, referring to the 5 C. They account for many capacities building related interventions, without reference to the WHCBS, and some of these activities appear under Annex 1 3A (of Item 5A reports). It seems as if under 3A 'capacity' only those interventions are reported that can't be linked to any other theme, objective, or project / programme whereas CB activities related to conservation or nomination are cross-cutting items reported in other sections. This dispersed multitude of information makes it impossible to systematically ex-post attribute individual actions to the WHCBS (beyond anecdotal examples).

2_4_2 Contribution to UNESCO's intersectoral priorities and themes

M 13: Streamlined heritage related aspects into UNESCO's Programmes

M 14: Number of capacity related recommendations / resolutions taken after 2011, (see also EQ 6, chapter 2_7)

Intersectoral priorities and themes 2014–2021 relevant to heritage

Heritage protection is included as one of the nine strategic objectives in the UNESCO Mid-Term Strategy 2014–2021 with the following understanding: '*Heritage, understood in its entirety – natural and cultural,*

tangible and intangible – constitutes assets inherited from the past that we wish to transmit to future generations because of their social value and the way in which they embody identity and belonging. These assets shall be used for promoting social stability peacebuilding, recovery from crisis situations, and development strategies.'

The strategic objective is incorporated under Programme IV, Culture with a dedicated budget line. The use of funds under this budget line shall contribute to Expected Result ER 1: *Tangible heritage identified, protected, monitored and sustainably managed by Member States, in particular through the effective implementation of the 1972 Convention.*

The Expected Result has six Performance Indicators (PI):¹⁰

- PI 1 Governing bodies of the 1972 Convention supported through the effective organisation of statutory meetings
- PI 2 Number of World Heritage properties where capacity of staff is enhanced, including in collaboration with category 2 institutes and centres
- PI 3 Number of States Parties which develop new or revised Tentative Lists and percentage of nomination dossiers conforming to prescribed requirements.
- PI 4 Number of World Heritage properties which contribute to sustainable development
- PI 5 Number of stakeholders contributing to conservation, thematic priorities and awareness-raising
- PI 6 Number of World Heritage properties where the balanced contribution of women and men to conservation is demonstrated

The results related to the WHCBS (see Chapter 2_3_2) have generally contributed to PI 2, 3, 4, 5 and 6 underpinning the close alignment of the WHCBS with the PIs. Whereas this report outlines qualitative links, a quantitative contribution could not be extracted based on available information.

¹⁰ <https://whc.unesco.org/archive/2016/whc16-40com-5A-en.pdf>

Link with Capacity-Building Strategy

The World Heritage Capacity-Building Strategy has emphasised support to nomination and conservation of World Heritage sites (Chapter 2_2) and thereby contributed to increasing the number of nominations and members to the Convention (Chapter 2_3). Special focus of this support has been on Africa.

The World Heritage Capacity-Building Strategy has provided the mandate for enhanced collaboration of stakeholders with the purpose to enhance World Heritage Capacity-Building. This triggered important initiatives at global and regional levels. Some of these initiatives particularly focused on sustainable and improved management of sites facing challenges related to development, disaster, and climate change (see flagship initiatives, Chapter 2_3_3). By developing guidelines and tools for these themes, standards and norms were provided to decision makers and managers at national and site level (Chapters 2_2 and 2_3). This is part of UNESCO's core functions and a direct contribution to UNESCO's Mid-Term Strategy 2014–2021.

Was there an added value of the Capacity-Building Strategy?

The strategic priorities of the UNESCO Programme have been clearly observed, particularly regarding the Priority Africa. However, our assumption is that an important share of activities reported by the World Heritage Centre and Advisory Bodies take place in support of UNESCO's programmatic priorities and the Convention's statutory processes. We could not find evidence that the WHCBS has had influence on UNESCO's programmes and projects outside the World Heritage realm. This doesn't mean that such influence hasn't been there, it means that the information about it is either missing, not visible enough or was not captured by existing reporting. It also means that the WHCBS's results expectations have had too much overlap with general strategic objectives aligning the UNESCO family.

We assume, that many of these activities would also have taken place

without the World Heritage Capacity-Building Strategy.¹¹ This assumption emerged because: (i) activities are reported in line with the above-mentioned Performance Indicators but without reference to respective results areas of the World Heritage Capacity-Building Strategy; (ii) Sometimes patterns of alignment and focus are emerging but they are blurred by the flood of activities reported (Chapter 2_2); (iii) budget for capacity-building is scattered across various programmes and projects at global, regional and potentially national level (Chapter 2_2) and (iv) there is weak although increasing coordination for implementing the World Heritage Capacity-Building Strategy at the level of the Convention (Chapter 2_6).

SIDS

Being recognised as a special case for development by the UN Conference on Environment and Development in Rio de Janeiro 1992, SIDS countries are a group of prioritised countries due to their special development context and vulnerability. Thus, SIDS are also a cross-cutting priority for UNESCO as acknowledged by the UNESCO Medium-Term Strategy 2014-2021 (37 C/4) underpinned by the SIDS Programme of the World Heritage Centre. The UNESCO SIDS Action Plan 2016¹² explicitly includes an objective related to capacity-building (Obj. 2: *Enhance the capacities of SIDS to safeguard their cultural and natural heritage, including marine and underwater cultural heritage*) with actions related to identifying potential heritage sites (A 2.1.), enhancing cooperation in the management and conservation of World Heritage (A 2.2.) and implementing the HUL Recommendation. Thus, the SIDS Action Plan contributes to the implementation of the WHCBS. However, out of the numerous actions, none are reported under Item 6 before 2016, when a specific section on CB in the context of SIDS was included to highlight activities particularly in the field of involvement of local communities, disaster risk preparedness, HIA and sustainable development. Larger projects are only mentioned for the particularly active Caribbean region (e.g., PAST in Haiti, Viñales Project in Cuba). Item 5A similarly rather indirectly

¹¹ For example: WHC/16/40.COM/5A p.6, *Reports of the World Heritage Centre and the Advisory Bodies*

¹² UNESCO 2016. *Small Island Developing States – UNESCO's Action Plan*. UNESCO, Paris. 32pp.

mentions CB-related activities in SIDS (1-5 activities per year).

Even though reporting the linkage between the SIDS and the progress on the WHCBS has improved particularly after 2016, there is only a limited documented emphasis on SIDS. Given the priority topics of CB activities, this emphasises the relevance of the WHCBS for the main challenges of SIDS.

2_5 EQ 4: WHCBS contribution to relevant strategic frameworks

M16 Relevant strategic, policy, statutory documents elaborated or adjusted after 2011 in line with the WHCBS

The following documents have been adjusted in line and by explicitly stating a reference with the WHCBS (for details refer to sections below):

- Operational Guidelines for the Implementation of the World Heritage Convention
- Periodic Reporting and Action Planning (3rd cycle)

M17 Degree to which the document relates to the WHCBS (low degree – document refers to capacity-building or the WHCBS; medium degree – document highlights specific aspects or implementation aspects; high degree – document contains an implementation plan referring to aspects of the WHCBS)

The analysis of relevant strategic frameworks shows that three out of seven documents assessed explicitly refer to the WHCBS. Two out of the three refer to implementation aspects of the WHCBS (highlighted in green, the other document in yellow). The inclusion of a section on Capacity-Building for the 3rd cycle periodic reporting and the extensive adaptation of the Operational Guidelines are major contributions that can be partly or fully attributed to the WHCBS. Furthermore, the WHCBS is enshrined in the 5 Cs and the currently valid Strategic Action Plan for the Implementation of the World Heritage Convention 2012 -2022 (adopted in 2011). Both documents explicitly refer to capacity-building, whereby the 5 Cs put emphasis on assistance to States Parties for nominations and the Strategic Action Plan on awareness creation in the wider public to foster understanding of World Heritage.

The other four documents integrate concepts that are also shared by the WHCBS and that are espoused by the policy documents of UNESCO and/or the WHC. Particularly the Kyoto Vision, the Fuzhou Declaration and the Policy on Sustainable Development emphasise the integrated approach to heritage conservation, the redefinition of target audiences and importance of thematic key areas which are in line with the underlying vision of the WHCBS. Particularly, the community integration and wider audiences as defined in the WHCBS have increasingly been acknowledged in strategic frameworks. However, the role and focus of CB in the strategic framework remain vague and is treated mainly as cross-cutting topic without further specification.

Document/Policy	Year	Key word count		Type of reference to WHCBS
		CB	WHCBS	
Global Strategy for a Representative, Balanced and Credible World Heritage List	2004	6	0	Not mentioned but indirect reference regarding thematic priorities
Strategic Action Plan for the Implementation of the World Heritage Convention 2012-2022	2011	8	1	Direct reference as framework document; indirect reference
Kyoto Vision	2012	1	0	Not mentioned but indirect reference; definition of target groups and key thematic areas
Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention	2015	3	0	Not mentioned but indirect reference; definition of thematic priorities and target groups; importance of integrated, people-centred approach
Fuzhou Declaration	2021	2	0	Not mentioned; indirect reference; definition of target groups and thematic areas
Working & guidance documents				
Periodic Reporting Form 3 rd Cycle		*	*	Direct reference related to implementation and use
Operational Guidelines for the Implementation		42	9	Direct reference related to implementation and use

of the World Heritage Convention				
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Table 4: Assessment of strategies in relation to the WHCBS

Fuzhou Declaration

The Declaration adopted in 2021 emphasises the need for increased global cooperation on different dimensions of sustainable development and highlights current threats and challenges such as COVID-19, development pressures and natural and man-made disasters. It recalls the importance of the HUL Recommendation and calls for action to manage the related threats. It also calls for enhancing synergies between the different Convention for a more holistic approach and new management and governance approaches for balancing conservation and development. For this, it states the need for increased cooperation with other sectors.

Even though it only makes some side notes on capacity-building (e.g., regarding youth as a key target group), this Declaration very well reflects both the idea of the WCHBS by seeking to involve stakeholders from other sectors and to strive for a more holistic management of WH Sites explicitly including the dimensions of sustainability.

Global Strategy for a Representative, Balanced and Credible World Heritage List

Adopted in 2004, the Strategy was adopted well before the WHCBS. The Strategy emphasises the need for additional technical and administrative capacity to achieve a more balanced list. The call for the development and implementation of capacity-building programmes at (sub-)regional level for SP explicitly focuses on tentative listing and nomination. However, already in 2004, there was an explicit request for CB to be 'strategic, comprehensive and institutionalised'.

Whereas the WHCBS included an explicit goal regarding the achievement of a more balanced list and Item 6 reporting indicates numerous activities related to nominations and tentative listings, it widely failed to achieve to be 'strategic, comprehensive and institutionalised'. However, in the course of the implementation of the WHCBS numerous actors and institutions such as EPA or C2C came into play.

Strategic Action Plan for the Implementation of the World Heritage Convention 2012–2022

The Strategic Action Plan as adopted in 2011 sets the World Heritage Goals for the period 2012–2022. It considers capacity-building of all actors as a key element for a credible World Heritage System without further specification. It explicitly includes the engagement with communities.

The WHCBS is mentioned as a framework strategy to be used for developing the Strategic Action Plan. Goal 1 (Priority 1.4.; related outcome 1.4.: Capacity needs of communities and agencies to address conservation are met, including those identified through Periodic Reporting) focuses on meeting capacity needs of relevant communities and agencies. This is the only concrete reference to capacity-building which is usually treated as a cross-cutting topic and general task of without further specification. This is also reflected in the biennial budgets of the Centre which mostly treats CB as cross-cutting without specific earmarking.

Kyoto Vision

The Vision adopted in 2012 stresses the importance of local communities to manage and conserve World Heritage and considers their involvement as essential for equitable sharing of benefits and counteracting increasing threats. It underpins the people-centred approach as essential element of success and demands the integration of sustainable development into the management of World Heritage. The document identifies 'institutions and policy makers to heritage, practitioners, communities and networks' as key target group for CB.

The vision reinforces the people-centred approach and a related need to widen the audiences to be addressed by CB. It considers CB relevant not only for statutory processes but also for empowerment to harness benefits and for developing innovative local solutions.

Whereas only including indirect links to the WHCBS, it embraces its espoused paradigm shifts by targeting wider audiences, requiring solution-based capacity-building and by emphasising the role of communities.

Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention

The Policy acknowledges the importance of the integration of sustainable development perspective into WH management and emphasises positive contributions of WH to sustainable development. It considers World Heritage as a global leader and standard setter for best practice to promote innovative models of sustainable development. It recognises World Heritage Sites as socio-ecological systems requiring new models of governance and management to ensure full participation and the inclusion of sustainable development. It also acknowledges the need to build capacities among practitioners, institutions, communities, and networks, across a wide interdisciplinary and inter-sectorial spectrum (Item 11). It emphasises the need for standards, guidance and operational mechanisms for indigenous peoples and local community involvement in World Heritage processes (Item 25) and the need for corresponding awareness raising. Item 27 explicitly addresses the need to develop educational and capacity-building programmes based on innovation and local entrepreneurship to promote sustainable economic benefits for local communities. The document includes an explicit call for action for *"developing innovative responses to share experience, good practice and knowledge related to communities in support of WH and sustainable development, including capacity-building at all levels"*.

Acknowledging the importance of integrating a sustainable development perspective into WH management, the reference towards new governance and management models to ensure participation indirectly refers to a wider target group and a need to focus CB on areas not directly related to WH (e.g., local entrepreneurship) indicate an increased understanding of World Heritage as espoused in the WHCBS.

3rd Cycle Periodic Reporting and Action Planning

In 2015, the periodic reporting form was revised including a full section on Capacity-Building inspired by the WHCBS leading to an inclusion of CB aspects into formal reporting processes and subsequently into regional action planning. Through this integration, separate regional CB strategies as originally foreseen in the WHCBS may become obsolete avoiding duplication.

Considering the objective of enhancing the CB system and the inclusion of regional CB-needs, this is a major achievement. Section 9 of the Periodic Reporting form (Q 9.1.-9.4.) now includes CB as element of formal reporting and action planning processes. The corresponding sections in the related action plans include actions and indicators (Example: Periodic Report 3rd Cycle Arab States) (from a SP point of view).

Operational Guidelines

The operational guidelines include several direct links to the WHCBS and seem to have triggered or at least supported multiple modifications integrating the espoused paradigm shifts and goals of the WHCBS across several sections. An analysis of changes in the operational guidelines 2008 and 2021 document the widespread integration of the proposed paradigm shifts (For a detailed analysis see Annex 5_5_1).

Key words	OPG 2021	OPG 2008
Capacity-building	42	6
capacity	49	8
training	31	49
community	17	17
communities	32	13
gender	12	0
equality	5	1
indigenous	35	0
human rights	2	0
cooperation	28	3
diversity	41	25
cultural diversity	6	2
respect	31	21
common	14	8
involvement	11	9
values	49	38
inclusive	10	1
equitable	6	2

Table 5: Integration of proposed paradigm shifts into the Operational Guidelines
Source: Operational Guidelines 2008 and 2021; key word count; detailed analysis in Annex 5_5_1;

2_6 EQ 5: Quality of coordination

This EQ refers to the question of the quality of coordination and interaction between key stakeholders for capacity-building with regard to the planning and implementation of capacity-building activities.

2_6_1 Strategic management and coordination of the at the global and regional level

M 20 Identified structured processes and planning documents for the implementation of the WHCBS

M19 Identified success factors and stakeholders engaging based on a formal agreement

The Capacity-Building Strategy specifies a **'clear and shared governance of the Capacity-Building Strategy coordinated by ICCROM in partnership with IUCN, ICOMOS and the World Heritage Centre'** as an expectation. In fact, 'a governance structure' includes far more than coordination as it also refers to other important processes, such as steering, policy making, strategic and operational management. The corresponding operational tools and processes were foreseen in the WHCBS (Recommended Action 10.9., 10.10., 10.11). This includes but is not limited to budgets and work plans, human resource planning, monitoring plan, stakeholder engagement plan and communication plan.

These operational tools and processes were not developed specifically to manage , except for integrating capacity-building as specific sections into the 3rd Periodic Reporting. At the regional level other, processes and tools have been employed for coordinating capacity-building activities.

Roles and responsibilities for steering, coordinating, and implementing were mixed at all levels. World Heritage related capacity-building interventions are coordinated and implemented by the World Heritage Centre, UNESCO Field Offices, IUCN, ICCROM as well as various Category 2 Centres and UNESCO programmes but no institution clearly has

assumed leadership to establish the 'clear and shared governance'.

Regarding coordination with the Centre:

I noticed that there is a lot of overlap, an absence of coordination. We work with one SP on a training, then the same SP asks the Centre or ICCROM for the same training. I feel there is a lot of overlap. We are now trying to mainstream, also with ICCROM for HIA e.g., If they ask for HIA, we go to ICCROM. If ICCROM does something in the region, we also coordinate to avoid this overlap. I think everybody doing duplication is a bit of a waste of resources. There are other bodies like WB or GIZ. They also coordinate. It is good to have diversity, but you need to coordinate it. (Interview I-12)

ICCROM and the World Heritage Centre coordinated the implementation of the WHCBS as good as possible within their given resources. ICCROM elaborated a detailed "Internal Review of the WHCBS" (2021) at own costs providing valuable information. But as required resources were not made available and because of general budget cuts, the necessary institutional set-up to effectively coordinate capacity-building activities across and between global, regional, national and site levels was never established (Chapter 2_2). The implementation of the WHCBS has been coordinated mainly in line with the existing statutory processes of the World Heritage Convention. The integration of key aspects into the Operational Guidelines and the Periodic Reporting are key achievements. The coordination has been best in result areas linked to regular statutory processes (e.g., balanced and credible list; nominations). Tasks to implement the WHCBS have been managed as parts of and intermingled with other positions and functions. For example, the coordination of the WHCBS has been attributed to either Heads of (regional) Units or the Director of the World Heritage Centre, alongside with many other responsibilities.

Here is an apparent lack of well-established workflows and clear responsibilities on who shall steer, manage, execute, monitor, and implement the WHCBS, respectively who needs to be responsible, accountable, consulted, or informed. The combination of a rather open, decentralised network strategy with a lack of clear coordinating workflows led to a largely self-organised and fragmented process. Each region and actor

involved in WH-related CB took a slightly different approach. This has resulted in a variety of planning and reporting formats at regional level and challenges to align these with the goals and actions of the WHCBS at the level of the Convention (i.e., WHC, ABs, Committee).

Coordination at regional level and between regions happens in different ways and disjunct from the strategy. It has so far not been explicitly guided by the global level in line with the Capacity-Building Strategy. There are however opportunities and (semi-formal) elements that could be strengthened in the future. For example:

- There is an existing close collaboration between Advisory Bodies, leading Category 2 Centres, and the World Heritage Centre. Representatives of these bodies sit in various functions at the boards of Category two Centres and the World Heritage Centre establishes agreements with Category 2 Centres.
- There are annual meetings of Category 2 Centres even if suspended during COVID-19 and due to a lack of coordination.
- The World Heritage Leadership Programme has established several working relationships between Category 2 Centres, National Focal Points and Site Managers.

Planning for financial and human resources

The strategy has delegated these tasks to Advisory Bodies, Category 2 Centres, capacity-building providers and the States Parties. Committee decisions related to Item 6 frequently called for raising additional resources for the implementation of the Strategy.

At the level of the World Heritage Centre and Advisory Bodies, very limited amounts of funding have been made available for the implementation of the WHCBS. Key stakeholders (World Heritage Centre, Advisory Bodies, Category 2 Centres) acquired funding from a variety of sources, respectively integrated capacity-building interventions into other budget lines preventing a clear tracking of progress or funding.

The WHCBS did not yet contain a concept nor a Theory of Change to orient stakeholders on how to implement and link the three types of capacity-building. A planning and costing process to specify resources needed for implementing the Capacity-Building Strategy did not take place. Hence the funding gap and the gap in human resources remained

unknown and could thus not be addressed.

This constitutes a major barrier for raising funds and allocating resources effectively, which in turn inhibits establishing essential key processes. Such processes concern but are not limited to: A clear and shared governance of the WHCBS, broad translation and dissemination of key documents, an effective and adequately resourced information management, effective communication and stakeholder engagement, for managing the institutional dynamics of capacity-building, targeted delivery of initiatives, and scaling-up of successfully tested approaches as well as ensuring adequate support systems for budgeting, financial management and monitoring.

Planning for the implementation of the WHCBS

The WHCBS defines expectations concerning long-term and medium-term objectives and results formulated like policy guidelines. The strategic planning process to transform these policy guidelines into traceable targets has been delegated towards the regions and States Parties by stating the expectation, that regional and national action plans shall be developed (Recommended Action 10.7). However, neither clear responsibilities were defined to guide this strategic process nor a clear concept or Theory of Change to orient stakeholders how to implement the WHCBS was available. It must be also stated that capacity-building is a long-term objective that takes years to take root (e.g., before WHLP gained momentum) and before achieving impacts on the ground. This underpins the importance of a clear long-term strategy and enduring co-ordination.

Capacity-building as such is a cross-cutting activity of all stakeholders involved, of most projects and programmes within the WH realm and also key element of regular statutory processes. Due to the missing strategic process, CB-related interventions in support of reaching the WHCBS goals are hard to grasp.

Thus, planning processes for capacity-building have been observed across all levels, often embedded into regular planning processes of the institutions rather implicitly including WHCBS related actions rather than deliberately addressing them (with the exception of the World Heritage Leadership Programme).

The gap in strategic planning and funding has been partially compensated by integrating the implementation of the strategy into statutory workflows (e.g., capacity-building as element of the 3rd Cycle Periodic Reporting and action planning), by individual commitment of ABs, C2Cs and other stakeholders and especially by the programme implementation of the WHLP. All stakeholders have managed to implement capacity-building interventions and have had exchange but have also negatively impacted on the quality of coordination, strategic coherence and alignment especially for change processes (e.g., introducing new approaches, themes etc.) at regional and national levels.

2_6_2 Operational management to deliver capacity-building

In our perception there are numerous ongoing capacity related interventions, but these are disjunct from the Capacity-building Strategy, and it is impossible to trace their intended or unintended contribution to it. It seems to the evaluators that, due to the lack of coordination, similar themes have been frequently offered simultaneously by several stakeholders (Interviews I-12, I-20).

At global level, the most important initiative is the World Heritage Leadership Programme Phase 1 (2016-2022) with a total budget of approximately 2.5 Mio USD contributing to implementing systematic capacity-building activities, and coordinating key capacity-building stakeholders, also on a long(er) term perspective with an approved Phase II. A major success has been the collaboration with the WHC for publishing tested guidelines on key aspects of World Heritage Management on the website of the World Heritage Convention, the increased cooperation with C2C as regional CB providers and the successful addressing of site managers (see Chapter 2_2_3). The WHLP has been essential to manage key change processes required for the expected results of the WHCBS and to foster global, regional and national coordination on themes pertinent to managing World Heritage.

There are also other programmes that have included important capacity-building components (see Chapter 2_2_4). We could not trace any workflows or management processes that allow to establish a link between these programmes and the Capacity-building Strategy. However, interviews indicated that the WHCBS has catalysed emergence of concepts and interventions (Interviews I-2, I-5, I-6, I-7, I-21).

Implementation at regional level

All UNESCO regions either have developed (sub)regional capacity-building strategies either as stand-alone strategies (e.g., Capacity-building Strategy and Associated Programmes for Asia and the Pacific 2014) or as element of regional action plans (as a result of periodic reporting). Regional networks started to emerge for exchange at a more informal level (e.g., HERITAP Network in Asia, African Site Managers Network).

Particularly, Category 2 Centres, especially those playing a leading role in their regions, emerged as important node for networks at regional and national levels and as providers of capacity-building activities. They mostly have well defined annual work plans derived from periodic reporting with specified annual targets. These targets were marked in accordance with their coherence with targets of the WHCBS. All leading C2Cs as being under the auspices of UNESCO are basically free to develop and have limited reporting obligations (beyond those as defined in the agreements). Even though the C2Cs play a pivotal role for the implementation of the WHCBS, their formal agreements make no reference to it.

Implementation at national level

It remains unknown to the evaluators how States Parties plan for capacity-building in relation to managing heritage. From the evaluation of documents (i.e., Periodic Reporting) about 50 % of States Parties participating stated that they have national capacity-building plans for World Heritage sites. However, in the interviews we could not identify patterns demonstrating linkage between national strategies and interventions. On the contrary, the interviews demonstrated that main target groups at national level for capacity-building interventions were Focal Points and Site Managers. Relevant organisations were rarely targeted for capacity-building interventions. Additionally, focal points interviewed described a severe lack of resources for management of protected sites (nature and culture) in general but also revealed a wealth of CB-activities in line with the WHCBS goals. However, these widely remain unreported and unseen beyond the local or national level. There is anecdotal evidence for emerging informal networks at national level (e.g., in China or Chile).

National Focal Points emerged as (potential) important relays for the Convention and hence for capacity-building . Focal Points represent the connection between the global level, national policy level and the local

site level. They have a practical understanding about how respective policy, legal and managerial setting impacts on the management of Heritage Sites and what needs changing to improve enabling conditions for World Heritage. They have the potential to establish networks, platforms and identify change agents across all sectors relevant for the conservation of sites but so far Focal Points' responsibilities are mainly linked to the process of periodic reporting (as per the Operational Guidelines) and nomination processes.

Notwithstanding the observed limitations and gaps, the evaluation also found evidence for important pockets of well-coordinated capacity-building initiatives that have emerged at regional and national levels. They are a huge potential for effective delivery of capacity-building during the next WHCBS, if strategically linked together.

2_6_3 Monitoring, Reporting and communication

Partly due to the above-mentioned framework conditions, there is no coherent reporting allowing to track progress made towards achieving the goals of the Capacity-building Strategy, identifying future priorities and justifying financial and human resources required.

The main instrument for reporting progress is the Report on Item 6 *'Follow-up to the World Heritage Capacity-building strategy and Progress report on the World Heritage-related category 2 centres'*. This annual report is prepared by ICCROM and the World Heritage Secretariat in the best possible manner. As strategic coherence of interventions has been lacking, no strategically coherent reporting has been feasible. In essence, selected interventions from reports 5A and 3B and the reports of C2C are summarised under Item 6. As baseline or target values, no clear indicators or expected results have been defined, the systematic identification of relevant activities as proxy for monitoring and reporting progress of implementation was not feasible (see also ICCROM Internal Review Report 2021). In addition, the self-organised process of implementation of capacity-building, the large number of different funding sources and nature of capacity-building as cross-cutting element of almost all projects, initiatives or programmes prevented ICCROM and WHC from gaining a comprehensive overview.

This posing a huge challenge for ICCROM and the WHC to report on the progress resulting in inconsistent progress reporting based on a

subjective selection of CB activities, mostly derived from reports on Item 5A and 5B. Some stakeholders indicated that this selection and filtering of information was not transparent (Interview I-13, I-15) not fully reflecting the scope of activities. This also well underpins the limits of activity-based reporting due to the absence of concrete progress indicators and a limited coordination and monitoring process.

However, progress in governance of the Capacity-building Strategy has been made and should be used in future as stepping-stone for enhanced coordination, strategy implementation and management of interventions:

- Linking the activity reporting of the Category 2 Centres to the goals and actions in the WHCBS was a promising first step. The annual coordination meetings of C2C (held until 2019) represent already a format that could be used for stronger coordination. However, the working programmes of the Category 2 Centres mostly refer to the Action Plans emerging from Periodic Reporting and not from a planning for Capacity-building Strategy.
- Therefore, a very good move has been the integration of needs assessment for capacity-building in regions into the questionnaire for the 3rd Periodic Reporting Cycle. As the reports are directly emanating from States Parties and Site Managers, the needs identified have a true and strong legitimacy.
- The World Heritage Leadership Programme is presented on the website of the World Heritage Centre.
- Endorsed guidelines and knowledge products are accessible at the website of the World Heritage Centre in different languages.

2_7 EQ 6: Fulfilment of mission statement

The mission of the WHCBS is: *'to provide a framework which favors the development of effective actions and programmes to strengthen or develop capacities of practitioners, institutions, communities and networks for the conservation and management of World Heritage by:*

- Informing the policies and decisions by the World Heritage Committee in the area of capacity-building,
- orienting States Parties and other actors in the World Heritage

System in planning, implementing, and monitoring capacity-building policies and programmes and

- constituting a reference for the wider cooperation to support capacity-building activities for heritage conservation in general ‘

Informing the policies and decisions by the World Heritage committee in capacity-building

M 14 Number of capacity related recommendations / resolutions taken after 2011

The integration of Capacity-building into statutory documents of the Convention is a major achievement with a huge impact potential to strengthen capacity-building at national and site level.

The paradigm shift and principles of the Capacity-building Strategy have been consistently interwoven into the Operational Guidelines since 2008, which in our understanding is a major impact at the level of the Convention. Changes were particularly made to integrate communities into nomination processes and management of Heritage Sites, integrate Heritage Sites into their surrounding landscapes and their sustainable development as well as requesting States Parties to enhance their Capacity-building efforts as well as to use tools for climate change and risk management (see details in Chapter 2_5, on operational guidelines)

3rd Cycle Periodic Reporting deals with CB as a separate section. As demonstrated by the 3rd Cycle Report for the Arab States and Africa, questions included are helpful to orient States Parties as they clearly compare progress between the last and the present Reporting Cycle in capacity-building. This will support States Parties in orienting resources for capacity-building towards needs driven priority thematic areas.

The WHCBS had a clear impact on the frequency of decisions related to capacity-building as well as themes dealing with paradigm shifts and challenges related to managing World Heritage Sites at the level of the

Committee.¹³ (see Figure 11). Strongest impact can be observed in the thematic area of managing climate change, environmental impact, and infrastructure developments as well as risks for World Heritage Sites.

However, on the other hand the effectiveness of Committee decisions is hampered by the fact decisions pertaining to approving and funding capacity-building action have apparently decreased in frequency. This may be connected to lack of funds for such interventions, respectively the ineffective use of the scarce existing resources.

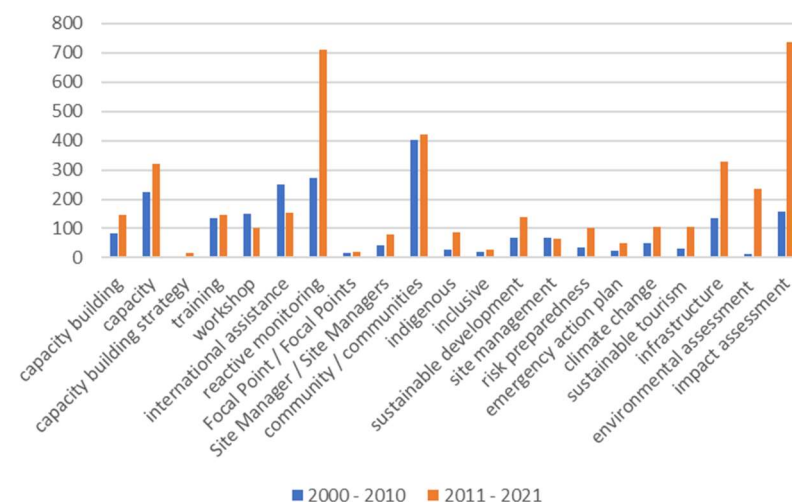


Figure 11: Changes in frequency of occurrence of terms in Committee Decisions: Period 2000–2010 compared to 2011–2021

Orienting States Parties and other actors

The World Heritage Leadership Programme has been the key catalyst in aligning and orienting States Parties and other actors consistently

¹³ Search function ‘Capacity-Building’ by year (UNESCO WH Committee Decisions and Resolutions)

around policy goals and themes relevant to Site Managers, States Parties. A major achievement in this regard has been the elaboration and translation of a guideline series for practitioners and the implementation of corresponding courses.¹⁴ The '*Guidance and Toolkit for Impact Assessments (2022)*' and respective capacity-building initiatives were frequently mentioned in our interviews as outstanding. Related CB activities have already been implemented for several years accompanying the final compilation of the Guidance and are in high demand by a wide range of stakeholders (Huber et al. 2020¹⁵). We reckon this as the major flagship good practice of the Capacity-building Strategy.

Another impact in our perception is the increased number of nominations for sites and States Parties that have been underrepresented so far. The Ecole du Patrimoine Africain has established a structured approach to inform African States Parties about nomination processes and procedures, train and accompany the nomination process. Thereby, seven nominations could be placed successfully during the past decade.

Despite these positive and guiding examples, we must emphasise that yet there are no signs for impact achieved on the ground, i.e., at the level of States Parties (policies, strategies, budget) and sites (successful management). There may be anecdotal examples, which could not be identified during the interviews. However, the statistics of the Convention clearly show that the State of Conservation of properties is deteriorating,

Changing practice in linking new policies and CB

In relation to policy documents, a shift in practice seems to have occurred systematically linking Committee and GA policies with requests to the Centre to provide related guiding documents and follow-up CB activities to support implementation (e.g., the Policy on Sustainable Development and the Policy on Climate Change). This process of linking policy decisions with CB has become more systematic. (Interview I-3)

the list is still unbalanced (and may always be) and the amount of funding seems to have a decreasing trend (which may be taken as a warning sign for eroding credibility of the list) (Chapters 2_2 and 2_4). In this context, we see an obvious potential for strong improvement in providing orientation and enhanced coordination (Chapter 2_6).

Catalyst for the development of wider cooperation

There is a wide engagement at global and regional levels as well as by national institutions for capacity-building related to World Heritage (see Chapter 2_2 and Figure 7). However, much of this engagement is directly initiated by regional action planning processes following the Periodic Reporting Cycle. Another stream of activity is initiated by Committee decisions and implemented and reported by the World Heritage Centre and Advisory Bodies. Generally, we observe that the catalyst potential of the Capacity-building Strategy could not fully unfold due to lack of coordination and policy guidance on priorities (see Chapter 2_6).

Nevertheless, we identified encouraging flagship examples demonstrating the unfolding power of coordinated approaches and partnerships around focused themes and specific geographic intervention sites. If consistently monitored, reported on and used as show cases for raising awareness as well as developing management approaches, these examples have the potential to inspire change agents at global, regional, national and site levels. They also provide the networks and cooperation mechanisms allowing individuals to identify resources and allies in addressing institutional change.

For example, during the last decade the partnership between the African World Heritage Fund and the World Heritage Centre evolved into various programmes financed by a range of development partners (Figure 12). Interventions focus on pertinent needs that were identified by stakeholders from within the Region. These include but are not limited to capacity-building for nominations, the implementation of the roadmap of the strategy for developing the desired state of conservation for the removal of a

¹⁴ <https://whc.unesco.org/en/resourcemanuals/>

¹⁵ Huber, M., Zollner, D., Pecher, S., Wolf, L. (2020): *Mid-term Programme Evaluation: World Heritage Leadership. Final Evaluation Report.*

property from the danger list in the Africa Region (2021–2025) and the Africa World Heritage Forest Initiative.

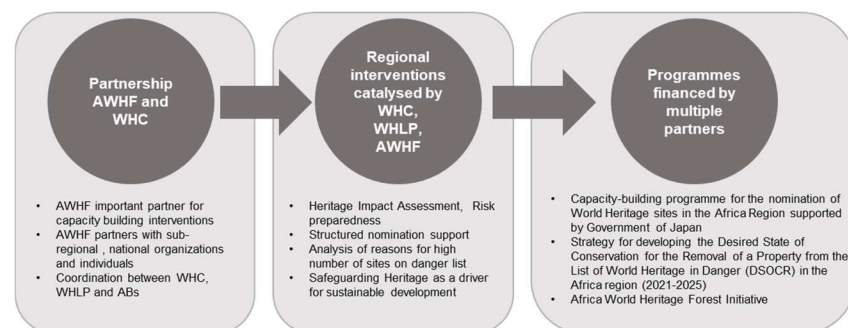


Figure 12: Example for a coordinated approach: AWHF and WHC
Author's draft

Another example is the World Heritage Marine Programme that maintains a functioning network of 49 managers across 37 countries (Figure 13). Capacity-building initiatives focus on needs driven themes and management approaches (e.g., climate change, building resilience and enhancing legal protection). Research, scientific evidence, and implementation of interventions at pilot sites are continuously jointly assessed, adapted and repeated in other sites. Recently, a 9 million USD public-private consortium has been launched to build and embed comprehensive resilience strategies into the management of five pilot WH sites.

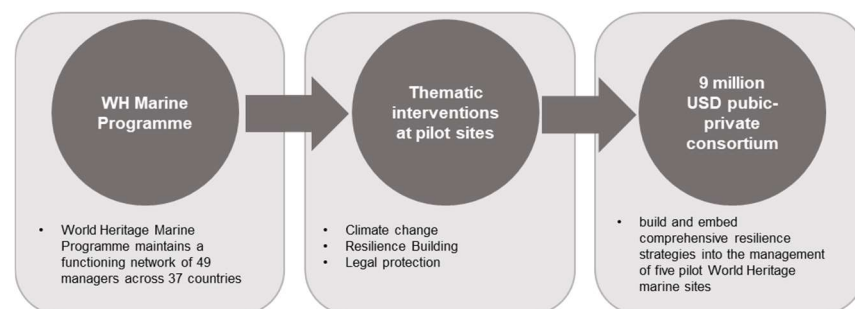


Figure 13: Example for a coordinated approach: World Heritage Marine Programme
Author's draft

3 KEY FINDINGS AND CONCLUSION

The following are key findings drawn during the assessment. The conclusions and recommendations reflect the external opinion of the evaluators.

EQ 1: Achievement of goals

The goals set in the WHCBS were beyond the control of the implementing entities and unachievable through the actions described in the strategy. The Goals of the WHCBS were amalgamated with goals of the Convention, i.e., the 5 Cs. These goals are long-term visions to which several policies and strategies of the WHC must contribute. The strategy does not specify how capacity-building will contribute to goal achievement and which other conditions must be in place to enable such achievement (i.e., Theory of Change with enabling conditions).

EQ 2: Conformity of pursued activities and defined scope

Capacity-building as a concept was mainstreamed into statutory processes and documents. The alignment between policy priorities and capacity needs for the management of World Heritage was lacking.

The WHCBS contains a list of recommended key activities, which are guiding the understanding about CB. The WHCBS has inspired a broad variety of actors to engage in World Heritage related capacity-building. It has created a wealth of committed networks and organisations to continue capacity-building for enhanced World Heritage.

However, due to the lack of a Theory of Change, it is hard to communicate and raise awareness about the importance of these activities and networks. Furthermore, funds for capacity-building were raised from a multitude of sources, often in an opportunity driven manner. This resulted in a multitude of activities, but due to the lack of an overarching planning framework many capacity-building interventions could not be mapped in line with the WHCBS.

EQ 3: Relevance of WHCBS in contributing to strategic objectives

It can be assumed that capacity action implemented was relevant to the

5 Cs of the World Heritage Convention. Heritage plays a strategic role in UNESCO's strategic objectives (Mid Term Strategy 2014–2021). At the level of the World Heritage Convention, the number of capacity related resolutions clearly increased since 2011. The goals espoused in the WHCBS correspond to the 5 Cs of the World Heritage Convention. The Strategic Action Plan for the Implementation of the World Heritage Convention 2012 -2022 contains a capacity related outcome. The Periodic Reporting Cycle 3 has a dedicated section on capacity-building. Category 2 Centres linked their action planning to the target areas of the WHCBS.

Except for good practice examples, only limited evidence of such contributions could be established. This is due to a lack of dedicated management and coordination, lack of planning, lack of monitoring of the WHCBS.

EQ 4: Relevance of WHCBS's contribution to strategic frameworks

Relevant contributions were made to the Operational Guidelines and the Periodic Reporting. The Operational Guidelines incorporate and elaborate on capacity-building as an essential element in managing World Heritage. The Periodic Reporting has incorporated a section dedicated to capacity-building. Both offers huge potential to further strengthen capacity-building in the statutory processes of the Convention.

Relevance of capacity-building interventions at the level of organisations, States Parties and sites can be demonstrated for flagship projects that were identified in the scope of this evaluation. World Heritage Centre, Advisory Bodies, Category 2 Centres, Regional Offices, thematic programmes, and projects as well as national institutions implement capacity-building with resources raised through own initiatives. Many of these initiatives yield valuable experience. Surfacing this experience and incorporate it into learning material, guidelines and standards is a challenge due to lack of structured processes.

EQ 5: Quality of coordination

Roles and responsibilities of WHC, ICCROM and Advisory Bodies as well as Category 2 Centres in implementing the WHCBS were not sufficiently specified. A functional plan for implementing the strategy at the

global level was lacking. Dedicated resources (human, financial, material) for managing the implementation of the WHCBS were not available at the World Heritage Centre. Barriers leading to this situation were amongst others the lack of a Theory of Change and expected results demonstrating the importance of the WHCBS as well as a lack of planning and budgeting demonstrating financial and human resources needs.

The corresponding tasks were integrated with other functions and implemented by staff assuming already other responsibilities. The World Heritage Leadership Programme has partially buffered these gaps, but it has not been integrated into the WHC's management and coordination processes. The coordination was therefore disrupted. It did not provide sufficient guidance to effectively align the many stakeholders engaged in capacity-building.

EQ 6: Degree of mission fulfilment

The mission statement of the old WHCBS was: To inform policies and decisions by the World Heritage Committee concerning capacity-building; orienting States Parties and other actors; constituting a reference for a wider conservation community.

The Capacity-building Strategy had a clear impact on the frequency of decisions related to capacity-building as well as themes dealing with the paradigm shifts and challenges related to managing World Heritage Sites (Chapter 2_7). Strongest policy impact can be observed in the thematic area of managing climate change, environmental impact, and infrastructure developments as well as risks for World Heritage Sites.

On the other hand, capacity-building interventions delivered under the old WHCBS have mostly targeted individual knowledge and skills in understanding and implementing the Convention. The potential to leverage organisational and system change created by mainstreaming capacity-building into policies and guidelines has therefore not yet been utilised.

The World Heritage Leadership Programme has been a catalysing example on orienting actors consistently around relevant themes. We reckon this as the major flagship good practice of the Capacity-building Strategy.

Conclusions

An achievable Strategy must contain a Theory of Change with achievable results that are under the control of those entities in charge for implementation.

The Convention and its organs (i.e., World Heritage Centre, States Parties, Advisory Bodies) do represent an enormous network of stakeholders with the potential to create advocacy and deliver strategic messages to decision makers. This potential should be linked through a strategic and consistent process with the management of World Heritage sites. Thereby, evidence from practitioners can be used to inform decision makers.

A Strategy must have a dedicated budget indicating the costs and the funding gap for its implementation. Thereby, expectations on possible achievements become manageable and planning can be adjusted to available funding.

Coordinating functions and structures to manage the institutional dynamics of capacity-building and to ensure consistent linkage with priority themes are prerequisites for strategy implementation.

A joint understanding on types of capacities, audience targeted, tools applied, and timing is needed to ensure a good fit between thematic priorities, needs and delivery of capacity-building interventions.

Simultaneously there is a lack of connectivity between World Heritage and contributing to SDGs at national and site levels. Furthermore, concepts to cope with challenges induced by climate change, conflict, community development and infrastructure are required.

4 RECOMMENDATIONS

The recommendations have been formulated based on the key findings and conclusions. They reflect the external view of the evaluators. The recommendations are drafted with the intention to convey a general idea to the reader and to guide upcoming resolutions and work for the development of the new Capacity-building Strategy. The recommendations are not intended to be a draft (in parts or whole) of the new Capacity-Building Strategy neither to be a draft for resolutions or decisions. Both will have to be developed by the stakeholders concerned based on the findings and recommendations as presented in this report.

4_1 Process for the development of the new WHCBS

It is recommended to establish a global task force led by the World Heritage Centre with ICCROM as the lead advisor and to establish regional working groups led by regional Units of the WH Centre to identify priority themes and needs based on the 3rd Periodic Reporting Cycle as well as regional stakeholder validation.

The global task force shall elaborate the main outline of the WHCBS including context, the Theory of Change, vision, mission, and purpose, expected results, organisational implementation, costs and financing as well as monitoring. The global task force shall at least include ICCROM, ICOMOS, IUCN, representatives of official UNESCO WH Centre Programmes (e.g., Marine Programme, Sustainable Tourism Programme), one representative per UNESCO Regional Unit in charge of or experienced with capacity-building and at least one key change agents per UNESCO Region (e.g., C2C, UNESCO Regional Offices, representatives of programmes and projects).

Regional priorities, main objectives, and actions as well as main target audiences shall be derived from a detailed discussion of the results of the 3rd Cycle Periodic Reporting and Action Planning. In general, each task force shall:

- Define a related baseline situation and a desired state in 5-10 years (what to be achieved) and
- deduct main CB priorities and activities, related key stakeholder

groups and existing or missing tools in relation to the guiding topics of the Strategy.

For this purpose, five regional task forces, led by a representative of the UNESCO Regional Unit shall be established. Regional task forces shall also include a diversity of representatives for relevant thematic areas and stakeholder groups as well as representatives of key Category 2 Centres and relevant UNESCO Chairs or/and universities.

It is recommended to have at least three meetings of the global task force (1st meeting: Overall framing and ToC, 2nd meeting: Globally relevant targets and activities; 3rd meeting: 'Indicators, monitoring, reporting, and resources' based on results of the second meeting and regional meetings). The regional task forces should meet at least twice: 1) to determine main priorities and activities based on the a) overall framing of the global task force and the periodic reporting results and 2) to review the final draft strategy and discuss quantifiable results, work on 'pledgeable' activities and to discuss pathways of implementation.

The results of the task forces shall enable ICCROM and the World Heritage Centre to deduce priority areas reflecting global and regional needs and define quantifiable results and expected achievements of the WHCBS (more details see following sections).

The draft WHCBS should be disseminated and validated by a broad stakeholder engagement process, be endorsed by the Committee, and adopted by Resolution of the General Assembly. The WHCBS shall be translated as fast as possible into the key languages of the UNESCO and be actively disseminated in accordance with a stakeholder engagement and communication plan.

Justification

The new Strategy should harness the following key potentials achieved through the old WHCBS: Committed stakeholder networks, capacity related outcomes of the 3rd Periodic Reporting Cycle and a thematic programme with dedicated finance for capacity-building (i.e., the WHLP). Bringing these three elements together (established networks, available funding and information collected through a bottom-up process) will allow a relatively swift identification of priorities and needs without overlapping and redundant processes.

4_2 Clear understanding of capacity-building

It is recommended to define capacity-building as the ability to manage and coordinate an 'evidence-based policy cycle'. Whereby stakeholders engage in an evidence-based process to identify solutions for jointly perceived challenges, test the solutions, and transfer them into shared policies, norms and standards.

In an evidence-based policy cycle, stakeholders at all levels are enabled to: Engage in establishing a joint understanding on challenges and policy priorities, norms and standards; identify concepts and approaches on how these policies could be put into practice; test good practices and exchange on experiences made; use this information to inform the development of knowledge products on implementing policies and standards (e.g., guidelines, handbooks). Particularly in risk facing environments, applicable to an increasing number of WH Sites, capacity-building is a pre-requisite to develop resilience.¹⁶ Broad stakeholder buy-in is required to achieve an integration between policy and practice and thus system-wide transformation. They are needed to identify existing successful approaches, test these approaches in various contexts and exchange about the experience of testing. These experiences could be used for awareness raising and be developed into learning material and guidelines through the WHC and the ABs. They could be used to advocate for required policy changes with relevant decision makers. Thereby, enabling conditions for enhanced contribution of World Heritage to achieving SDGs and overcoming global challenges could be improved, and resilience of World Heritage conservation could be strengthened.

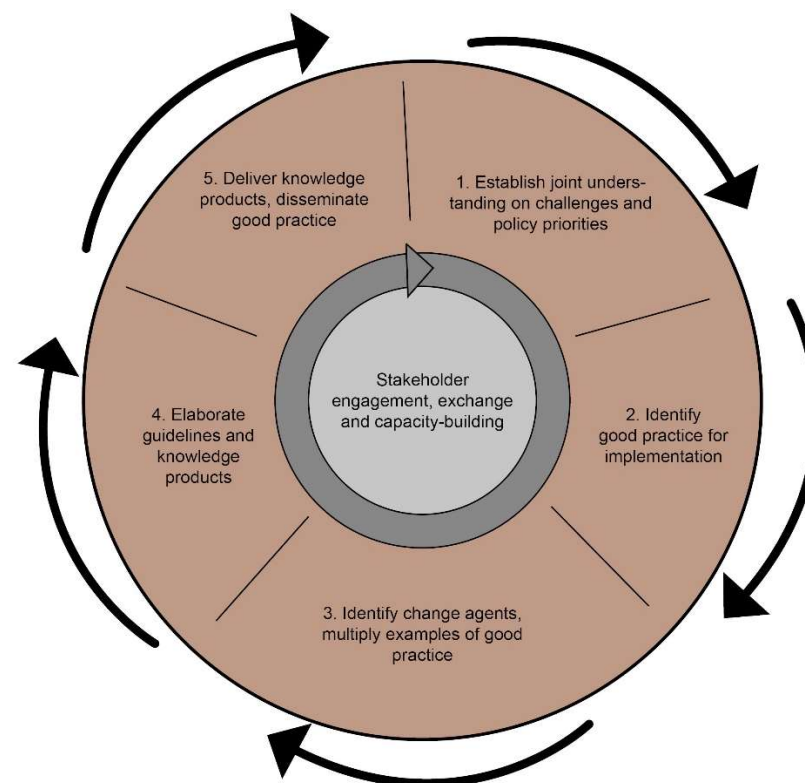


Figure 14: Model for evidence-based policy cycle
Source: Author's draft

¹⁶ defined as the ability (i.e., employable capacity) of individuals, households, communities, cities, institutions, systems and societies to prevent, resist, absorb, adapt, respond and recover positively, efficiently and effectively when faced with a wide range of risks, while maintaining an acceptable level of functioning, and as a basis for increasing long-term prospects for sustainable development, peace and security, human rights and well-being for all.

Justification

The concept is already enshrined in the current WHCB Strategy. It builds on UNDG's definition of capacity-building (see footnote), demonstrating a close linkage between capacity-building and system wide transformation towards achieving the SDGs and building resilient societies. The concept builds on good practice observed in the scope of the World Heritage Leadership Programme for the development of the 'Guidance and Toolkit for Impact Assessments in a World Heritage Context' to implement the related obligations of the Operational Guidelines (para 110 and para 118bis) and the Policy for the integration of a Sustainable Development Perspective into the processes of the World Heritage Convention (2015; Decision 39COM 5D).

4_3 Theory of Change

It is recommended to establish enhanced coordination and management at the level of the WHC as a game-changer to leverage existing and future flagship initiatives for capacity-building at individual, organisational and system levels.

A broad but coordinated and purpose driven engagement of stakeholders at site, national and global level will contribute to enhanced understanding of joint capacity needs. Well managed networks will provide outreach and influential leverage to inform decision and policy makers. Strengthened coordination and support systems will enable delivery of capacity-building at the right moment, to the right target groups with strategically selected contents and delivery modes. The recommended Theory of Change is visualised in the following figure. Details are described in the following sections.

Justification

Addressing individuals, organisations, and the enabling environment (i.e., the system) in a well-coordinated and targeted manner will be a game changer in achieving the evidence-based policy cycle.

During the implementation of the last World Heritage Capacity-building Strategy, coordination and management of capacity-building was done in a fragmented and ad-hoc manner. This was mainly due to a lack of financial and human resources. Consequently, the existing potential for capacity-building, i.e., a broad variety of knowledge products, networks and initiatives, was used ineffectively because a joint focus on pertinent themes was lacking.

Furthermore, the evaluation demonstrated that many stakeholders experience similar challenges and expressed needs for enhancing their ability to cope with them. This concerns for example threats derived from climate change, conflict, unsustainable development as well as the integration of communities with World Heritage Sites. Stakeholders indicated an urgent and important need for tested concepts, guidelines, policies, knowledge, and skills as well as financial and human resources to cope with these specific challenges.

Moreover, it was mentioned several times that decision makers and stakeholders outside the conservation sector will have to become engaged in overcoming such challenges. In addition, in many interviews' stakeholders expressed the need to better demonstrate the linkage between World Heritage Sites and the SDGs. It is concluded that there is a need for transformational capacity-building.

Investing into the coordination and management of capacity-building responding to broadly perceived needs in a well-coordinated and focused manner, will contribute to establishing a community of practice aligned around commonly shared concerns and thereby engage stakeholders in the evidence-based policy cycle with transformational potential.

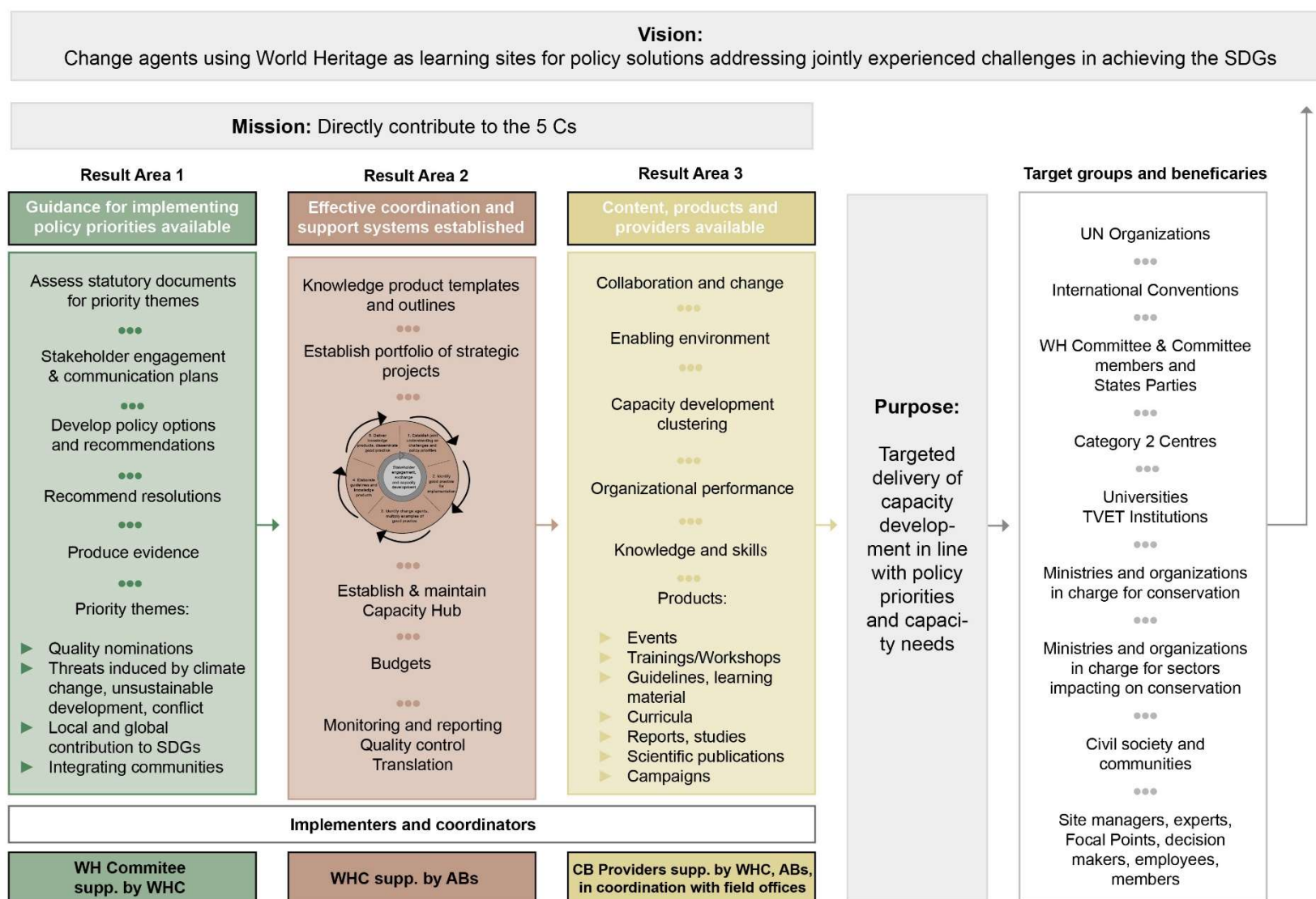


Figure 15: Recommendation for key elements, results, stakeholder groups and target groups for a new WHCBS and a draft Theory of Change Based on the model as used by *UNECA Capacity-building Strategy 2015* as good practice example

4_4 *Target groups for capacity-building*

It is recommended to define multipliers, change agents, decision makers, influential bodies and networks as direct target groups for a new WHCBS. The indirect target groups shall be practitioners, administrations and communities at the level of States Parties and sites.

We recommend establishing a 'Capacity-building of Change Agents' approach. For example, direct training of stakeholders from site-levels or member states (i.e., Focal Points, Site Managers) shall only be directly implemented by the World Heritage Centre or Advisory Body for the purpose of developing or testing approaches, guidelines and learning material. Once learning material has been endorsed, we recommend to train change agents delivering the knowledge on behalf of the World Heritage Centre or the Advisory Bodies. Likewise, instead of outreaching through own staff, the World Heritage Centre, thematic programmes, or Advisory Bodies could use trusted organisation to implement outreach and advocacy. It is clear, that respective standards and norms will have to be created for these multipliers to ensure that capacity-building is delivered in line with decided priority themes, policies, norms and standards of the Convention.

Justification

Supporting 'change agents' is an approach which we recommend amplifying. As global organisations the World Heritage Centre and the Advisory Bodies have limited options reaching out to individual and organisational target groups at local and national levels. By 'partnering' with change agents with a strong outreach to national and site levels, additional opportunities would be created such as (but not limited to): Local adaptation of delivery modes and learning materials, access to additional funding sources, enhanced integration with local and national

stakeholders.

4_5 *Vision*

It is recommended that the vision of a new WHCBS should focus on 'change agents using World Heritage as learning sites for policy solutions addressing jointly experienced challenges in achieving the SDGs.'

The recommended vision links World Heritage to frameworks outside the conservation sector and to specific outcomes of UNESCO's medium-term strategy 2022–2029 such as to: Promote lifelong learning (outcome 1); to enhance knowledge for climate action, biodiversity, water and ocean management, and disaster risk reduction (outcome 3); to enhance the protection and promotion of the diversity of heritage and cultural expression (outcome 5). Furthermore, the vision is in line with UNESCO's role serving as a laboratory of ideas, generating innovative proposals, being a standard setter and catalyst for international cooperation as well as to be Capacity-builder through providing advice for policy development and implementation, and developing institutional and human capacities.¹⁷

This shall directly and indirectly contribute to establishing Partnerships for achieving the SDGs (SDG 17) as well as to promote life-long learning for all (SDG 4). Furthermore, by linking capacity-building to well selected priority policies, norms and standards the potential of cultural and natural World Heritage to contribute to achieving Sustainable Cities and Communities (SDG 11), Climate Action (SDG 13), sustainably managed Life on Land (SDG 15), Peace, Justice and Strong Institutions (SDG 16) can be demonstrated. Referring to these SDGs, it supports States Parties to mainstream World Heritage into the relevant policies and frameworks in their respective countries.

¹⁷ UNESCO Medium Term Strategy 2022-2029

Justification

Stakeholders in the interviews for the evaluation emphasised that World Heritage shall demonstrate its contribution to achieving the SDGs and find solutions how to integrate and achieve sustainable development. We understand this as a shared vision on how World Heritage shall be perceived in the future. However, this vision implies a systems' change in perceiving World Heritage and hence should become the overarching idea to which capacity-building shall contribute to.

4_6 Mission

It is recommended that the new WHCBS directly contributes to the 5 Cs (e.g.) by 'Promoting the development of effective Capacity-building measures for the understanding and implementation of the World Heritage Convention and related instruments.'

While the mission describes the long-term goals to which the strategy shall contribute, the purpose details the targets that are under control of the implementing entities.

Concerning the long-term goals, capacity-building is essential to achieve improved understanding of the Statutory Processes of the Convention, to improve the management of existing WH Sites and to enhance participation and integration of communities in managing World Heritage for the promotion of local economic development. If these long-term goals will be achieved, the World Heritage List will be credible, i.e., the 5 Cs will have been achieved. Achieving the 5 Cs depends on many aspects and enabling conditions beyond the control of stakeholders for an individual strategy.

In contrast to this, achieving a well-coordinated and managed delivery of capacity-building as well as a close alignment with policy priorities and capacity needs is achievable and under control by the stakeholders

¹⁸ i.e., providing the right content with the right tools to the right stakeholders in the right moment of time or in other words: ensuring a good fit between policy, norms and standards with crucial content for key stakeholders

implementing the WHCBS (see also figure on the Theory of Change).

Justification

For an effective implementation of the WHCBS it is crucial to determine a mission that is achievable and under the control of stakeholders engaging in implementing it. This has been expressed in stakeholder interviews and it has been demonstrated by the lack of orientation experienced during the last WHCBS. Furthermore, it is internationally recognised good practice that a strategy requires goals that are under control and achievable for the implementing entity to plan for appropriate resourcing and to monitor whether the strategy will lead to the expected results.

4_7 Expected Results

In line with the espoused theory of change, vision and mission for a new WHCBS, it is recommended to include the following key results:

- 1. Guidance for implementing policy priorities is available for practitioners and State Parties.**
- 2. Effective¹⁸ coordination established for testing and continuous improvement of guidelines, norms and standards.**
- 3. Content, products and providers made available to target groups in line with needs and policy priorities.**

Details ad Result 1

The new WHCBS shall facilitate identification of a limited set of priority themes that will become the capacity-building focus for the next five to ten years.

Without such limitation and priority setting it will become difficult to focus

RECOMMENDATIONS

and align a broad variety of stakeholder groups. Priorities should be regularly reviewed.

Evidence on the relevance and detailed capacity needs for these themes at national and site level shall be derived from 3rd Cycle Periodic Reporting and stakeholder validation. Furthermore, available specific policies and norms shall be considered as a valuable guidance for priorities (see for example box). Where such policies and norms have already been established policy guidance has been given and can be further developed into good practice.

- Draft updated policy document on the impacts of climate change on World Heritage properties (2021)
- Policy guidelines defining the relationship between World Heritage and Sustainable Tourism (2010)
- Strategy for Reducing Risks from Disasters at World Heritage properties (2007) that guide a number of policies
- Recommendation on the Historic Urban Landscape, including a glossary of definitions (2011)
- Policy for the integration of a sustainable development perspective into the processes of the World Heritage Convention (2015)
- Analysis of the Global Strategy for a Representative, Balanced and Credible World Heritage List (1994-2020),

Details ad Result 2

A dedicated 'Capacity-building Hub' and support systems shall be established with additional financial and human resources at the World Heritage Centre.

The set-up is called 'hub' to ensure that it will not become a 'capacity-building silo' but a structure mandated to work across units, themes and layers of capacity-building.

The key function of the Capacity-building Hub shall be to ensure alignment of priority themes with targeted delivery of capacity-building at all layers (individual, organisational and system) in other words: To

establish and manage the evidence-based policy cycle across all layers of capacity-building (individual, organisational and system) as well as across all regions and relevant themes. Key tasks include (but are not limited to): Long-term coordination to ensure the management of the evidence-based policy cycle and its integration with targeted knowledge delivery; endorsement of capacity-building products, establishing and maintaining partnerships and networks; mainstreaming World Heritage related capacity-building into relevant programmes, projects, strategies outside the World Heritage sector; coordinate the development and delivery of knowledge products and services, establish and manage thematic task teams, ensure coherence of knowledge products and services with policies, norms and standards of the Convention. Of specific concern shall be the collaboration with likeminded funding partners for the establishment of programmes and projects that address relevant capacity related needs.

The Capacity-building Hub shall be headed by a senior management person entirely dedicated to this task and reporting to the Director of the World Heritage Centre. It shall be composed of additional staff members closely collaborating with World Heritage Centre's Regional Units. This would enable cross-regional collaboration. Members of the Capacity-building Hub would closely collaborate with Focal persons for contents, products, and providers (see below). The Capacity-building Hub shall be advised by ICCROM as the lead advising organisation supported by IUCN and ICCOMOS for nature and culture related themes.

Additional human and financial resources shall be made available to establish support systems for effective capacity-building support, respectively integrate into existing support systems. Key functions include (but are not limited to): Human resources and experts management, ensuring onboarding of new staff and Committee members, ensuring translation, ensuring budget for capacity-building, maintaining a technical and financial monitoring system, ensuring communication and reporting, ensuring logistics of events.

Details ad Result 3

Priorities for capacity-building shall be clustered by the Capacity Development Hub into categories to allow for 'packaging' of interventions into projects. The management of a cluster shall be headed by a Focal

person appointed by the World Heritage Capacity-building Hub.

Clustering could be done either by type of capacity-building, target group and associated delivery modes or by thematic area. Clustering is expected to allow for 'packaging' of capacity-building interventions into projects. By demonstrating the contribution these projects can make to achieving the mission and vision of the theory of change the attractiveness for potential funding partners may rise. Furthermore, clustering allows for enhanced transparency on resource requirements to deliver the package, such as developing the material, training the trainers, or ensuring logistics. Such transparency would facilitate project development and the identification of appropriate capacity providers.

The management of each cluster shall be headed by a focal person appointed for that specific purpose by the Capacity-Building Hub and accountable to one of the Capacity-Building Hub staff members. Main responsibility of the Focal person shall be to develop and manage the business line for the respective capacity-building cluster from prototyping to delivery and promotion. Ideally the focal person should be a permanent staff member seconded or additionally hired by the World Heritage Centre, the Advisory Bodies or a relevant organisation outside the Convention with which a formal collaboration agreement has been established (e.g., Category 2 Centre). Second best option would be to appoint a focal point financed through a programme that has financial resources available for at least four years to appropriate delivery partners and efficient workflow organisation for delivery of capacity-building interventions.

Justification for the results

The recommended results constitute critical milestones to achieve the recommended purpose of the WHCBS. The results are entirely under the control of the Committee, the States Parties, the WHC and the Advisory Bodies). Their degree of achievement (i.e., how many policies, themes, knowledge products etc.) can be outlined in line with available financial and human resources. Thereby the expected progress towards achieving the WHCBS can be mapped and tracked.

4_8 Costs and financing

It is recommended to elaborate a dedicated budget with estimated costs for the implementation of the WHCBS. This shall be used to demonstrate the level of funding gap for raising long-term core funding through WHF and UNESCO's budgets, medium-term funding through programme and project-based funding as well as short term funding for strategic interventions.

The WHC needs to ensure that new WHCBS has sufficient funding for the implementation of each of the above-mentioned results. The Capacity-Building Hub with support from the relevant support units shall establish a process to elaborate a rolling three-year budget for the costs and the financing of implementing the WHCBS. Such budget will automatically demonstrate the level of funding gap, which is essential for fundraising and realistic planning adjustments. Three categories of costs will incur, requiring different financing:

- Long term costs for core functions to manage the institutional dynamics of capacity-building,
- short term costs to finance e.g., specific knowledge products and their delivery, strategic initiatives, high impact communication campaigns and events etc. and
- medium term costs to finance interventions packaged by theme or region or target group.

Correspondingly three categories of funds will have to be raised:

- Long-term core funding through WHF and UNESCO's core budgets,
- short term funding e.g., provided through member states and individual institutions and
- medium-term financing e.g., through specific programmes and projects.

Justification

It is important to note that most tasks implemented by the World Heritage Centre have capacity-building elements. However, if the WH Committee decides to establish a Capacity-building Strategy with a dedicated

purpose and targets, its successful implementation will depend on a dedicated coordination and management. This requires dedicated financial resources. As demonstrated by the evaluation results, lack of understanding and transparent documentation of the costs of capacity-building resulted in a lack of coordinated funding. Instead, fragmented financial resources were raised through a multitude of initiators, each implementing capacity-building to their best possible knowledge. This led to many ongoing initiatives with relatively small impact and linkage to policy priorities and capacity needs. Furthermore, the lack of financial and human resources has hampered coordination and alignment of capacity-building activities. Without dedicated core funding for capacity-building, the institutional dynamics cannot be managed appropriately, and targeted capacity delivery is not feasible. Experience has shown that funding partners are willing to finance tangible and visible outputs of capacity-building interventions, but less so coordinating structures needed to develop them.

4_9 Collaboration with programmes and projects

It is recommended to develop a portfolio of strategic projects and programmes at global, regional, and national level contributing to the implementation of the WHCBS.

Flagship programmes and projects identified during the evaluation shall be assessed for their potential to become the nucleus of this portfolio of strategic programmes and projects. Ideally strategic programmes address thematic areas that demonstrate linkage to SDGs and that are attractive to potential funding partners (e.g., Green Climate Fund, Global Environmental Fund, international NGOs, development funds of multilateral funding organisations).

Furthermore, the identification of UN Organisations with likeminded approaches to address global challenges could become an important driver for capacity-building if they were willing to incorporate World Heritage sites into their programmes (e.g., UN Habitat and UNCDF finance sustainable urban development, UNCCD, UNFCCC and CBD funding initiatives to enhance sustainable land management, biodiversity protection and climate protection).

Justification

Many programmes and projects implemented by the World Heritage Centre and by other UN Entities directly and indirectly contribute to World Heritage related capacity-building. Collaboration with such programmes and projects would enable better leverage of available financial resources, alignment with policies and needs, enhanced outreach for the WHCBS, strengthened communities of practice, promotion of connectivity to international initiatives and enhanced advocacy for priority themes. Such benefits, if properly documented and communicated, become convincing arguments to funding partners.

4_10 Collaboration with Category 2 Centres

It is recommended to strengthen the mandate of Category 2 Centres (or other key CB-partners) with strong networks in each of the UNESCO regions as strategic partners (i.e., change agents) for the implementation of the WHCBS.

Category 2 Centres proved to be key deliverers of capacity-building activities in regions and sub-regions. Some of the Category 2 Centres are particularly active, well connected have a huge outreach and the ability to raise considerable funding for heritage related capacity-building interventions. There is a huge potential for enhanced coordination and targeting with policy priorities and capacity-building needs by e.g., integrating specific Category 2 Centres as partners for delivery of capacity-building. Additionally, budgets of Category 2 Centres are de-facto an important funding source for the implementation of educational activities in the regions and sub-regions.

Justification

The stakeholder assessment in the scope of the evaluation demonstrated that certain Category 2 Centres have developed into important network nodes for their regions and even beyond. Furthermore, these Category 2 Centres also have 'specialised' into certain themes and/or delivery modes. Their experience and outreach are valuable resources that should be strategically used for implementing the new WHCBS.

4_11 Planning, monitoring, and reporting for capacity-building

It is recommended to use the 3rd Cycle Periodic Reporting as a valuable information source on capacity needs, priority themes and baselines while ensuring that essential elements for project cycle management are established.

The 3rd Cycle Periodic Reporting and resulting Action Plans contain specific sections on Capacity-building with useful information to guide the revision of the WHCBS (see also recommendation on process for the development of the new WHCBS). For example, the reports contain areas of specific conservation challenges, needs for capacity-building at individual and organisational levels as well as requirements for advice on policy and regulatory frameworks. Furthermore, they contain a set of questions that can be used to establish baselines on specific capacity related themes and to monitor and evaluate indicators in follow-up Periodic Reporting Cycles.

Notwithstanding the above, the available information will have to be screened, prioritised, and synchronised with the strategic objectives of the new WHCBS. This shall then be used as input to establish a dedicated planning matrix for managing the implementation of the WHCBS at global and regional levels.

For each result of the WHCBS, a baseline, target and expected timeline shall be determined. Key activities or milestones necessary to achieve each result shall be listed in accordance with the expected timeline needed for their achievement. Responsibilities for managing, coordinating, implementing the milestones should be drafted. Based on the above, the costs for implementing the strategy shall be estimated.

We recommend an output-based monitoring, whereby progress of deliverables (i.e., milestones) is tracked towards achieving results. Thereby

qualitative results can be linked with quantitative outputs.¹⁹ To allow for aggregation of indicators, it will be crucial to agree on a limited set of the same output indicators across global, regional and national levels. To enable cost efficient monitoring and based on experience and good practice the recommendation is to have no more than three output indicators per result.

A monitoring plan shall be established consisting at least of the following elements: Result, milestone, progress indicator, means of verification demonstrating progress and organisation / person in charge for monitoring and reporting.

Concerning the reporting it is a good practice to integrate capacity-building as a specific section into Periodic Reporting as well as reporting on action plans. Additionally, a stakeholder engagement and communication plan are helpful to facilitate strategic reporting on specific aspects of progress made to decision makers and funding partners.

Justification

The Periodic Reporting Cycle is the management process for planning and implementation of the Convention as it effectively links the global with the site level. Integrating the WHCBS with this process will ensure ownership, alignment of stakeholders and the effective use of available resources. In order to achieve this, application of good practice for planning, monitoring, and reporting on progress made shall be applied.

¹⁹ For example: # of plans available and implemented would become a means of verification for effective coordination; # of guidelines, policies and strategies approved a measure for guidance provided.

5 ANNEX

5.1 List of interview partners

Institution	Unit	Person	Interview date
Global level			
World Heritage Centre	Director	I-1 Lazare Eloundou	05.10.2022
	Former CB Focal Point, Head of Asia-Pacific Unit	I-2 Feng Jing	07.10.2022
	Former Focal Point at the WHC for the WHLP	I-3 Richard Veillon	04.10.2022
	Administration and Financing Officer UNESCO	I-4 Christian Tanon	31.10.2022
IUCN	World Heritage Programme	I-5 Tim Badman	26.08.2022
ICCROM	Programme Manager World Heritage Leadership	I-6 Eugene Jo	07.09.2022; 31.10.2022
	Senior Director	I-7 Joseph King	07.09.2022
	Special Advisor to the DG	I-8 Gamini Wijesuriya	22.08.2022
ICOMOS	Director: Evaluation Unit	I-9 Gwenaëlle Bourdin	28.09.2022
	Director: Advisory and monitoring Unit	I-10 Regina Durighello	28.09.2022
Regional level (C2C)			
Category 2 Centre	WHITR-AP	I-11 Lu Wie / Marie-Noël Tournoux	20.09.2022
	ARC-WH	I-12 Heba Aziz (group interview)	06.10.2022
	AWHF	I-13 S. Varissou	05.10.2022
	Reg. World Heritage Institute Zacatecas	I-14 Carlos Augusto	01.12.2022
	Centro Lucio Costa	Altair Ribeiro	Rescheduled 2 times, staff change
National level (UNESCO Regions)			
Latin America and Caribbean	NFP Haiti, Dep. Director (ISPAN); SIDS	Elsoit Colas	Rescheduled 3 times, no internet c
	National Focal Point Chile, Ministry of Culture, Chile	I-15 Claudia Prado	23.11.2022
Europe and North America region	NFP Norway and former Deputy Director of the Nordic World Heritage Foundation	I-16 Ole Eriksen	31.10.2022
Arab States	Head of Northern Lebanon Cultural sites General Directorate for Antiquities (DGA), Ministry of Culture	I-17 Samar Karam	07.11.2022
Africa	College of Natural Sciences, Addis Ababa University, Ethiopia	I-18 Mulugeta Feseha (PhD)	30.11.2022
	Site manager of Fort Jesus, Mombasa, Kenya	I-19 Fatma Twahir	09.12.2022
	Heritage Management and Environmental Expert, Regional Director, National Heritage Conservation Commission (Zambia)	I-20 Mr Kagosi Mwamulowe,	21.12.2022
	Director Ecole du Patrimoine Africain (EPA)	I-21 Franck Komlan Ogou	31.10.2022
Asia-Pacific Region	Deputy Director and Associate Researcher, World Cultural Heritage Centre of China, Chinese Academy of Cultural Heritage	I-22 Yan Haiming	10.01.2023
	NFP Micronesia; SIDS; FSM NatCom,	Augustine Kohler	No response
	Deputy Director of the Trang An Landscape Complex (Vietnam)	Pham Sinh Khanh	No response

Table 6: List of interview partners / stakeholders consulted

Remark: 4 interviews could not be conducted due to different reasons.

5_2 List of reviewed key documents

Type of document	Year	Link
UNESCO WH Statutory documents		
Operational Guidelines for the Implementation of the World Heritage Convention (WHC.21/01)	2021	https://whc.unesco.org/en/guidelines/
Operational Guidelines for the Implementation of the World Heritage Convention (WHC.08/01)	2008	
Convention Concerning the Protection of the World Cultural and Natural Heritage	1972	https://whc.unesco.org/en/conventiontext/
UNESCO Strategies		
UNESCO Medium-Term Strategy 2022-2029 (41 C/4)	2022	https://unesdoc.unesco.org/ark:/48223/pf0000378083
Strategy for Category 2 Institutes and Centres under the Auspices of UNESCO (40 C/79; Item 5.35)	2019	https://unesdoc.unesco.org/ark:/48223/pf0000373390
Comprehensive Partnership Strategy (207 EX 11, Item 11)	2019	https://unesdoc.unesco.org/ark:/48223/pf0000370506
UNESCO Medium-Term Strategy 2014-2021 (37 C/4)	2014	https://unesdoc.unesco.org/ark:/48223/pf0000227860
World Heritage Capacity-building Strategy	2011	https://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf
Strategic Action Plan for the Implementation of the World Heritage Convention 2012 -2022 (WHC-11/18.GA/11)	2011	https://whc.unesco.org/archive/2011/whc11-18ga-11-en.pdf
Global Strategy for a representative, balanced and credible World heritage List	2004	https://www.ecolex.org/details/decision/global-strategy-for-a-representative-balanced-and-credible-world-heritage-list-dcb583f1-5551-4d9c-bd66-be0e56828255/
UNESCO Global Training Strategy	2001	https://whc.unesco.org/en/documents/1064
UNESCO Declarations		
Fuzhou Declaration (44 COM 18)	2021	https://whc.unesco.org/document/188530
Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention	2015	https://whc.unesco.org/document/139146
Kyoto Vision	2012	https://whc.unesco.org/document/123339
Budapest Declaration on World Heritage (CONF 202 9)	2002	https://whc.unesco.org/en/decisions/1217/
UNESCO WH Committee Meeting Documents (35COM - 43COM)		
Item 5A: Report of the World Heritage Centre on its activities and the implementation of the World Heritage Committee's decisions	2011-2019	https://whc.unesco.org/en/sessions/
Item 5B: Report of the Advisory Bodies	2011-2019	
Item 6: Follow-up to the World Heritage Capacity-building strategy and Progress report on the World Heritage-related category 2 centres	2011-2019	

Item 10 (A/B): Progress report on the Second/Third cycle of Periodic Reporting	2011-2019		
Item 14: Report on the execution of the budget for the biennium 20XX-20XX, budget proposal of the World Heritage Fund for the biennium 20XX-20 XX and follow-up to Decision XX COM 14	2011-2019		
Item 18: Decisions adopted during the XX session of the World Heritage Committee	2011-2019		
UNESCO Resolutions			
Draft Resolutions 2010-2011 Vol.1. (35 C/5 Rev.)	2009	https://unesdoc.unesco.org/	
Draft Resolutions 2012-2013 Vol.1. (36 C/5)	2011		
Draft Resolutions 2014-2017 Vol.1. (37 C/5)	2013		
Draft Resolutions 2018-2021 Vol.1. (39 C/5V)	2017		
UNESCO Budget			
UNESCO Approved Budget and Programme 2014-2017 (37 C/5)	2014	https://www.unesco.org/en/budget-strategy	
UNESCO Approved Budget and Programme 2016-2017 (38 C/5)	2016		
UNESCO Approved Budget and Programme 2018-2019 (39 C/5)	2018	https://unesdoc.unesco.org/ark:/48223/pf0000261648	
UNESCO Approved Budget and Programme 2020-2021 (40 C/5)	2020	https://unesdoc.unesco.org/ark:/48223/pf0000373473_chi?posInSet=1&queryId=14c34283-b86b-4983-9cec-0131d8cc63db	
Periodic Reporting and Action Plans - Third Cycle (2018-2024)		Region	
Report on the results of the Third Cycle of the Periodic Reporting exercise in the Arab States (WHC/21/44.COM/10A)	2021	ARB	https://whc.unesco.org/en/arabstates/
Draft Action Plan (2021-2027) for the Arab States Region (WHC/21/44.COM/10A, p.96)	2021	ARB	https://whc.unesco.org/en/arabstates/
Report on the results of the Third Cycle of Periodic Reporting exercise in Africa (WHC/21/44.COM/10B)	2021	AFR	https://whc.unesco.org/archive/2021/whc21-44com-10B-en.pdf
Asia and the Pacific (completed / not yet available)		APA	-
Europe and North America (not yet completed / available)		EUR	-
Latin America and the Caribbean (not yet completed / available)		LAC	
Periodic Reporting and Action Plans - Second Cycle (2008-2015)			
Final Report on the Results of the Second Cycle of the Periodic Reporting Exercise for the Europe Region and Action Plan (WHC-15/39.COM/10A)	2015	EUR	https://whc.unesco.org/archive/2015/whc15-39COM-10A-en.pdf
Action Plan for Europe (Helsinki Action Plan) (2nd cycle reporting)	2015	EUR	https://whc.unesco.org/en/eur-na
Action Plan for North America (2nd cycle reporting) (WHC-15/39.COM/10A)	2015	EUR	
10A: Final Report on the results of the second cycle of the Periodic Reporting Exercise for Latin American and the Caribbean (WHC-13/37.COM/10A)	2013	LAC	https://whc.unesco.org/archive/2013/whc13-37com-10A-en.pdf
Action plan for World Heritage in Mexico and Central America (2018-2023) (PAMAC)	2018	LAC	https://whc.unesco.org/en/lac-actionplan-2014-2024/#PAMAC
Action plan for World Heritage in South America (2015-2020) (PAAS)	2015	LAC	https://whc.unesco.org/en/lac-actionplan-2014-2024/

Action plan for World Heritage in the Caribbean (2015-2019) (PAC)	2014	LAC	
LAC Regional Action Plan (PARALC 2014-2024) (WHC-14/38.COM/10B)	2014	LAC	
Final report on the results of the second cycle of the Periodic Reporting exercise for Asia and the Pacific (WHC-12/36.COM/10A)	2012	APA	https://whc.unesco.org/archive/2012/whc12-36com-10A-en.pdf
Pacific World Heritage Action Plan 2010-2015	2010	APA	https://whc.unesco.org/en/activities/682/
Suwon Action Plan		APA	
Report on the Second Cycle of Periodic Reporting in the Africa region (WHC-11/35.COM/10A)	2011	AFR	https://whc.unesco.org/en/africa/
Action Plan 2012–2017 for the Africa Region (WHC-12/36.COM/ INF.10D)	2012	AFR	https://whc.unesco.org/en/decisions/4847
Report on the Second Cycle of Periodic Reporting in the Arab States (WHC-10/34.COM/10A)	2010	ARB	https://whc.unesco.org/archive/2010/whc10-34com-10Ae.pdf
INF10C. Regional Programme for Arab States (WHC-11/35.COM/INF.10C)	2011	ARB	https://whc.unesco.org/archive/2011/whc11-35com-inf10Ce.pdf#page=7
Further Action Plans			
Capacity-building Strategy and Associated Programmes for Asia and the Pacific	2014	APA	http://www.whitr-ap.org/themes/73/userfiles/download/2014/4/17/h1biqoirbpgucvt.pdf
(Progress) reports			
Annual Reports of WH-related C2C	2013-2019		https://whc.unesco.org/en/category2centres/
(Evaluation) reports			
Mid-Term Programme Evaluation: World Heritage Leadership - Final Evaluation Report	2020		https://www.iucn.org/sites/default/files/2022-05/world-heritage-leadership-mid-term-evaluation-2020.pdf
World Heritage Capacity-building Strategy: Internal Review Report (IC-CROM)	2021		
Evaluation of the Global Strategy for a representative, balanced and credible World Heritage List (1994-2004) (WHC-04/28.COM13)	2004		https://whc.unesco.org/en/documents/5276
Manuals and CB materials			
Managing natural world heritage	2012	https://whc.unesco.org/en/resourcemanuals/	
Guidance and toolkit for impact assessments	2022		
Managing cultural world heritage	2013		
Preparing world heritage nominations	2011		
Managing disaster risks for World Heritage	2010		

Table 7: Overview of key documents reviewed and considered in the evaluation

5_3 The WHCBS: Overview, context, and underlying Theory of Change

Understanding, managing and conserving World Heritage Properties requires up-to-date knowledge and well-honed skills. Capacity-building is therefore one of the five strategic objectives of the World Heritage Committee and is at the core of the sustainable implementation of the Convention. In line with this strategic objective, the World Heritage Centre has created a number of tools and activities that foster people-centred change by focusing on groups of individuals to improve approaches to manage cultural and natural heritage. Respective activities have been reflected in UNESCO's workplans since 2011. This allowed to enhance international support for capacity-building targeted towards integrity, credibility, and sustainability of World Heritage Properties.

Capacity-building and the Convention

Capacity-building is deeply enshrined in the World Heritage Convention and its Operational Guidelines. Article 5 of the Convention requests States Parties to the Convention *'to foster the establishment or development of national or regional centres for training in the protection, conservation, and presentation of the cultural and natural heritage and to encourage scientific research in this field.'*

The Operational Guidelines 2022 include reference to the current strategic objectives of the World Heritage Committee (also called the '5 Cs'). They incorporate the theme 'Capacity-building' under the heading *'Encourage Support for the World Heritage Convention'*. This shall contribute to enhance CB and research, raise general public awareness and understanding, enhance the function of World Heritage in the life of communities and increase equitable, inclusive and effective participation of communities in the protection of heritage.

The Operational Guidelines also state that *'The Committee seeks to develop capacity-building within the States Parties in conformity with its Strategic Objectives and the World Heritage Capacity-building Strategy adopted by the Committee'* (Article 212). The Operational Guidelines elaborate on the need for national capacity-building strategies and regional co-operation as well as research. Additionally, Article 213 explicitly elaborates on the World Heritage Capacity-building Strategy and states

amongst others: *'The primary goal of the Capacity-building Strategy is to ensure that necessary skills are developed by a wide range of actors for better implementation of the Convention'*.

Governance to ensure Capacity-Building

The Operational Guidelines state that the Committee will ensure: Annual review of relevant capacity-building issues, assess capacity-building needs, review annual reports on capacity-building initiatives and make recommendations for further capacity-building initiatives. To avoid overlaps, the Committee will ensure links to other initiatives such as the Global Strategy for a Representative, Balanced and Credible World Heritage List and Periodic Reporting. Concerning the latter, the Operational Guidelines prescribe the format for the Periodic Reporting questionnaire and state: *Chapter 9 aims to gather information on capacity-building in heritage conservation, protection, presentation and management, in line with World Heritage Capacity-building Strategy* (2011).

The World Heritage Capacity-building Strategy

The World Heritage Committee adopted the World Heritage Capacity-building Strategy at its 35th session (Paris, 2011) (Decision 35 COM 9B) following the UNESCO Global Training Strategy (2001-2009) (WHC-01/INF.208/24). The Strategy was developed by ICCROM and IUCN in collaboration with ICOMOS, the World Heritage Centre, and other capacity-building partners such as the UNESCO Category 2 Centres (C2C) in various regions of the world to address the main challenges related to the management of World Heritage Sites.

Main objectives

The WHCBS was crafted with the vision that:

- **Practitioners** will be able to better protect and manage World Heritage.
- **Institutions** will be capable of providing support for effective conservation and management through favourable legislation and policies, establishing a more effective administrative setup and providing financial and human resources for heritage protection.
- **Communities and networks** will be aware of the importance of

heritage and support its conservation.

The purpose of the Strategy (Mission) is to provide a framework for developing effective actions and programmes to strengthen and develop capacities of practitioners, institutions, communities and networks for the conservation and management of World Heritage by: informing the policies and decisions by the World Heritage Committee in the area of capacity-building; orienting States Parties and other actors in the World Heritage system in planning, implementing and monitoring capacity-building policies and programmes; constituting a reference for the wider conservation community and acting as a catalyst for the development of wider cooperation to support capacity-building activities for heritage conservation in general. The WHCBS explicitly intended to support and promote two major paradigm shifts (WHCBS, p. 3 and 4):

- **From training to capacity-building:** Stepping beyond conventional training and to embrace a broader capacity-building approach.
- **Connecting Culture and Nature:** Changing from treating natural and cultural heritage actors separately towards increased co-operation and joint efforts under the umbrella of World Heritage.

Main implementing actors and target audiences

The WHCBS addresses a network of institutions at global, regional national and local level to promote and implement the strategy via policy, strategy, programmatic and project decisions and implement concrete (pilot) capacity-building activities.

The WHCBS refers to a wide range of stakeholders both for the implementation of the Strategy and/or as explicit target audiences. All recommended actions are linked to 'potential implementation partners' and to main target audiences. Whereas the World Heritage Centre, the Advisory Bodies and Category 2 Centres are explicitly referred to, the other stakeholders are described in general terms.

ICCROM together with the World Heritage Centre are considered the main responsible bodies for coordinating and monitoring the implementation of the Strategy.

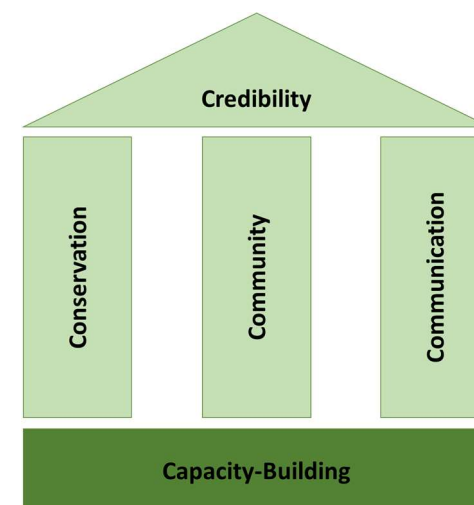


Figure 16: Evaluator's understanding of links between UNESCO's 5 Cs
Underlying Theory of Change

Goals

The WHCBS is organised according to the 5 Cs representing the established strategic directions of the World Heritage Convention. The WHCBS does not specify what it intends to achieve as a contribution towards attaining the 5 Cs. However, the WHCBS has taken the State of Conservation Reports (SoC) as a baseline to deduce themes and needs for capacity-building. In its situation analysis, it concludes: **...factors hindering effective management of World Heritage properties come more and more from beyond the confines of the sites...and the heritage manager in place, however good, has limited capacity to forge change...while training of individual professionals is an important component for improving the situation, it is not enough. There is also the need to strengthen institutions in relation to legislation, governance, and the manipulation of resources.**

Based on this situation analysis, we deduce that the WHCBS specifically strives to promote solutions to the following key challenge: **Increasing number and intensity of threats to heritage sites that are originating from outside the conservation sector.** Additionally, the WHCBS would

like to contribute to the strategic directions of the 5 Cs: ***Credible and balanced list, improved conservation of sites, community integration, communication on benefits and capacity-building***.

With credibility being the ultimate result, the WHCBS implicitly seeks to build capacities for 'Conservation', 'Communities' and 'Communication' which shall lead to a credible and balanced list. Thus, CB is the fundamental medium to enhance the credibility of the Convention (Figure 17).

Expected Results

The purpose of the Strategy (Mission) is to provide a framework for ***developing effective actions and programmes*** to strengthen and develop capacities. Within this framework, the WHCBS does not explicitly state the expected results. The WHCBS contains a list of 10 'goals' and 52 action items. These 'goals' and 'action items' are a mix of objectives, deliverables (outputs) and results (outcomes, in accordance with the official OECD definition). To be able to assess whether goals and results have been achieved, we rearranged and aggregated the list (Figure 17Figure 17).

Enhance credibility and balance of the World Heritage List

- Resource manuals, guidance documents and courses developed for preparation of good quality nomination dossiers
- Mentoring process / systematic support for identification and nomination of sites to underrepresented States Parties
- Prioritised thematic studies and other tools created to assist in the identification of appropriate, prioritised tentative lists
- Responsive advice process and strengthened networks established for States Parties (Advisory Bodies, UNESCO regional offices, Category 2 Centres and other partners)
- Identify Nature Focal Points as a key under-recognised audience

Improve the conservation of existing heritage sites.

- Guidance documents to assist States to strengthen capacities in e.g., legal frameworks and their application, advocacy towards non-conservation sectors, funding and human resources
- National strategies for heritage related capacity strengthening are established, skills shortages identified
- Management and conservation tools developed for use at

national level: Impact assessment, disaster risk management, management effectiveness, systematic approach to research conservation needs, budgeting

- Training provided to key stakeholders of sectors responsible for pressures and threats on WH Sites (e.g., tourism, construction)
- Networks to support funding, skills improvement and expertise established at site, regional and global level

Participation of communities in World Heritage and associated local economic development.

- Research and communication on benefits and best practice for integration of World Heritage with sustainable development, e.g., sustainable tourism, nature based solutions to climate change, local economic development
- Research, development of tools and training approaches for community engagement and participation including outreach, information on World Heritage in many languages etc.
- Networks of World Heritage properties are created at national and transboundary level (and thematic)

Awareness raising for the importance of World Heritage and its link with sustainable development

- Tools for strengthening the capacity of States Parties and Site managers and associated guidance to present World Heritage
- Inclusion of the UNESCO programme as a component of educational/school curricula

Enhance the Capacity-building System

- Governance of the WHCBS established and implemented
- Clear set of indicators developed and applied for annual monitoring and reporting regarding the achievements of goals against an established set of indicators
- Regional Capacity-building Strategies implemented
- Information management structure established for dissemination of training and information material
- Fundraising is planned and carried out
- Increased funding for CB available from the WHF, extrabudgetary funding by States Parties, and new external partners

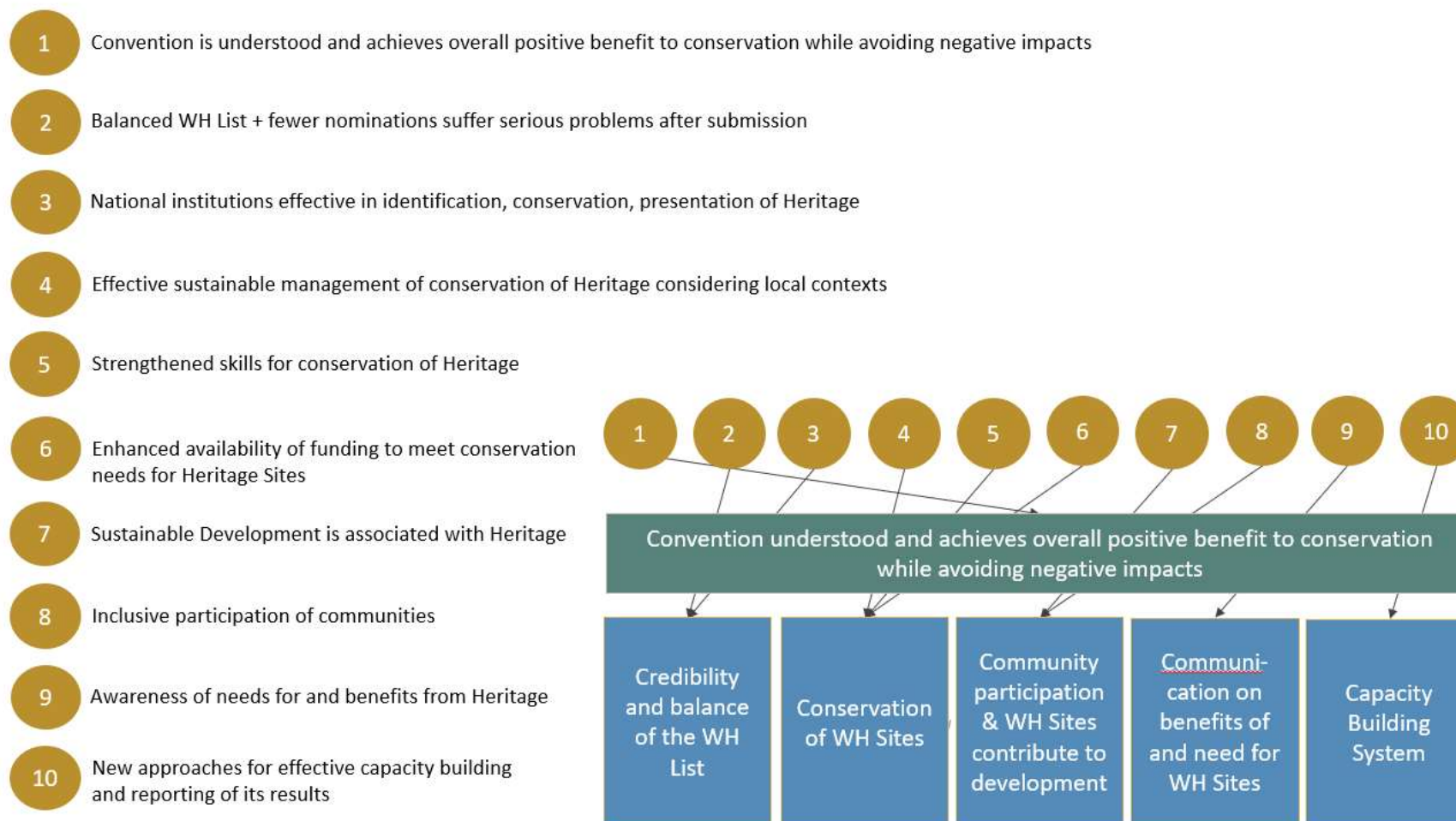


Figure 17: Rearranging the 10 goals of the Capacity-building Strategy and their contribution to the 5 Cs
Author's draft

5_4 Stakeholder Network of the WHCBS

In order to give a better idea and overview of the complex stakeholder network in the context of the WHCBS, a stakeholder map was designed, using the online whiteboard tool Miro.

Mapping of the UNESCO WHCBS stakeholder network

In order to approach the question, whose capacities were developed, the Evaluation team started with the stakeholders and actors and their connections based on the activities as reported under Item 6.

This provides an overview of those actors that either have increased their own capacities or have provided capacity-building for further actors such as SP or site managers. The evaluation team assumes that all actors mentioned have also increased their own capacities by either developing and implementing CB activities or by ongoing interactions within this UNESCO network for capacity-building.

The stakeholder map is a result of the item 6 report analysis and is a representation of all the links and connections that were developed between the different stakeholders at the various levels.

The different colours of the bubbles represent the scope of work of the corresponding CB stakeholder and indicates donors as mentioned in the Item 6 reporting:

- Orange = global level
- Red = regional level
- Green = national level
- Yellow = donor

The size of the bubbles represents the importance of the actors, based on the number of mentions in item 6 reports from 2011 to 2021.

Remark: This map represents the documented relations as per Item 6 reporting and does not necessarily reflect the intensity of day-to-day communication or level of exchange. It represents only the connections as reported under Item 6.

Results and interpretation

The stakeholder map clearly indicates that the World Heritage Centre and the Advisory Bodies a) interacted intensively with all regions, b) were involved in most reported CB activities and c) are the main network links between the UNESCO regions (Figure 18).

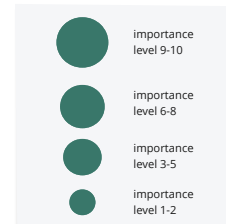
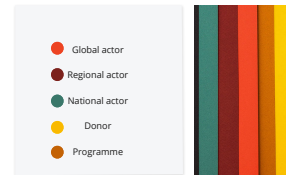
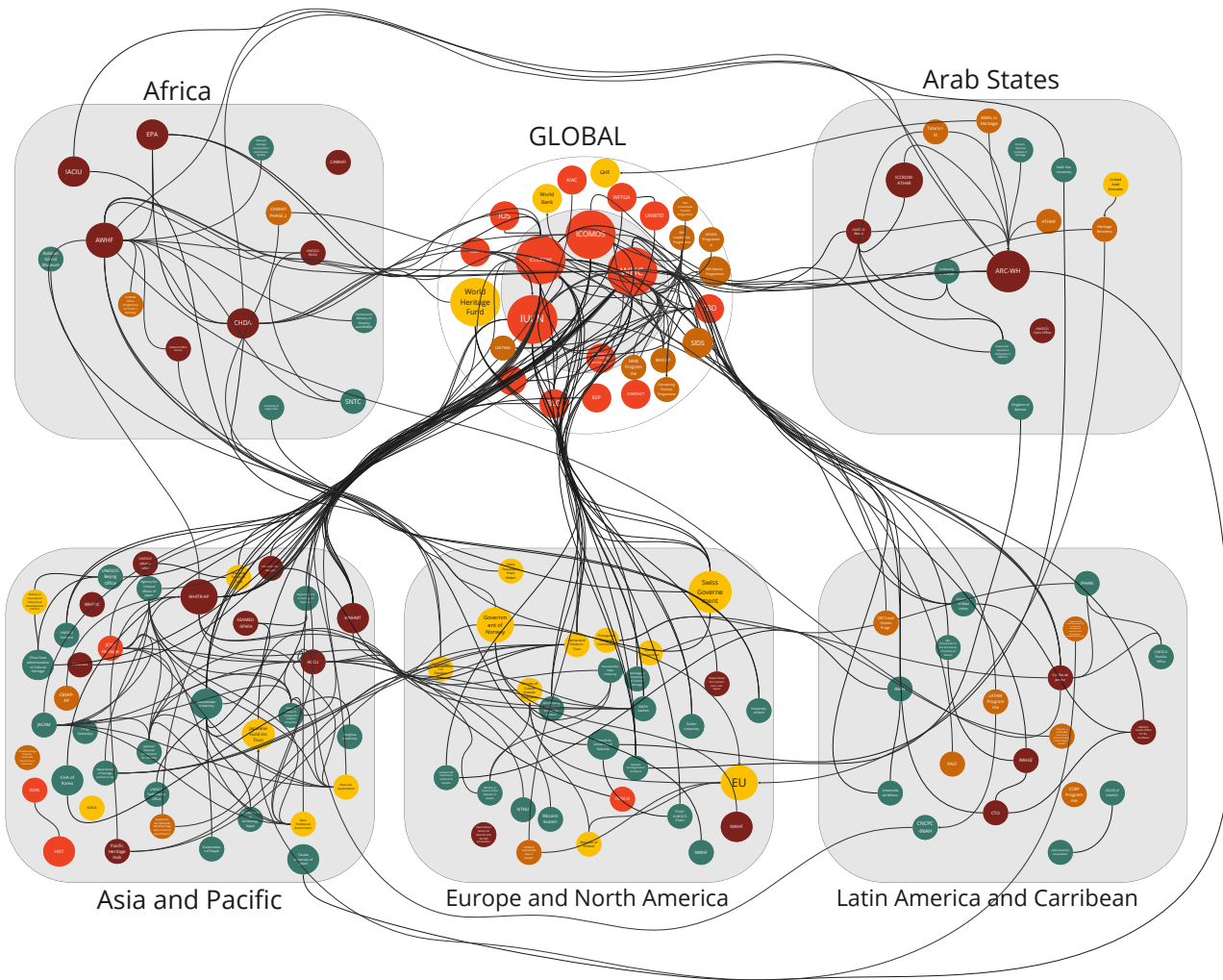
Between the individual UNESCO regions, very limited direct relationships were observed with the exception of Europe-North America, where many of the donors are located (providing funding for UNESCO, CB stakeholders and projects in all regions, particularly in Africa and Asia-Pacific regions. Interregional cooperation is often linked to regionally active C2C (e.g., ARC-WH, AWHF or WHITRAP).

The majority of capacity-building interventions are directed from the C2Cs as a starting point towards national institutions, other regional actors or site managers and communities, often in cooperation with ABs.

Even though the map clearly shows that a large number of capacity-building interactions (workshops, courses, seminars, activities) were implemented during the past 10 years, directed from various levels, various actors and with a variety of topics, the purpose of the interactions, the target group(s) and the expected results of capacity-building or if they fulfil the needs of capacity-building of the participants cannot be assessed.

In terms of different actors, the Asia-Pacific region shows the highest diversity of actors reaching from donors to regional and national actors with C2C WHITRAP emerging as key coordination institution. In Europe-North America no main actor emerged whilst many donors are located in this region. In Africa, AWHF emerged as key stakeholder with few other regional stakeholders implementing CB. Similarly, C2C ARC-WH emerged as key capacity-building actor. Latin America and the Caribbean draws its (reported) CB-initiatives on some regional and some national actors with C2C Lucio Costa as most active one. However, it needs to be kept in mind, that this map could also be subject to a bias in reporting as in a broader screening more actors, projects and CB-activities emerged that were not necessarily reported. UNESCO Chairs remained almost invisible irrespective of their (potential) contribution.

Figure 18: Stakeholder map based on item 6 reporting information
Author's draft: NEXT PAGE



Abbreviations Stakeholder map

ACCU	Asia Pacific Cultural Centre for UNESCO
AIAC	Associazione Internazionale di Archeologia Classica/International Association for Classical Archaeology
ARC-WH	Araba Regional Centre for World Heritage
ATHAR	Architectural and Archaeological Tangible Heritage in the Arab Region
AWHF	African World Heritage Fund
BLG	Liaison Group of Biodiversity-related Conventions
CAWHFI	Central Africa World Heritage Forest Initiative
CBD	Convention on Biological Diversity
CBSAP-AP	Capacity-building Strategy and Associated Programmes for Asia and the Pacific
CCPB	Programme de Renforcement des Capacités pour les Caraïbes
CELOS of AdeKUS	Centre for Agricultural Research of Anton de Kom University of Suriname
CHA of Korea	Cultural Heritage Administration of Korea
CHDA	Centre for Heritage Development in Africa
CHEADSEA	Regional Centre for Human Evolution, Adaptations and Dispersals in South-East Asia
CLC Rio de Janeiro	Lucio Costa Centre Rio de Janeiro
CNCPC-INAH	Coordinación Nacional de Conservación del Patrimonio Cultural
COMPACT	Community Management of Protected Areas for Conservation
CTO	Caribbean Tourism Organisation
EPA	Ecole Patrimoine Africain
ESP	Ecosystem Services Partnership
EU	European Union
FUUH	Forum UNESCO University and Heritage, since 2013 UENSCO Chair Forum University and Heritage
GFH	Global Heritage Fund
HEADS Programme	Human Evolution, Adaptation, Dispersal and Social Developments
HIST	International Centre on Space Technologies Natural and Cultural Heritage
IACIU	Institute for <i>African</i> Culture and International Understanding
ICCROM-ATHAR	ICCROM's Architectural and Archaeological Tangible Heritage in the Arab Region
IICAS	International Institute for Central Asian Studies
INAH	Instituto Nacional de Antropología e Historia
IOS	Internal Oversight Unit
IPHAN	National Historic and Artistic Heritage Institute
ITRECH	International Training and Research Centre on the Economics of Culture and World Heritage
JACAM	Japanese Association for Conservation of Architectural Monuments
JCIC-Heritage	Japan Consortium for International Cooperation in Cultural Heritage
KOICA	Korea International Cooperation Agency
LATAM	Latin America Programme
MAB Programme	Man and the Biosphere Programme
NTNU	Norwegian University of Science and Technology
NWHF	Nordic World Heritage Foundation
PAST	Préservation du patrimoine et appui au secteur touristique
RWHIZ	Regional World Heritage Institute in Zacatecas

RWTH Aachen	Rheinisch-Westfälische Technische Hochschule Aachen
SEAMEO-SPAFA	Southeast Asian Ministers of Education Organization - Southeast Asian Regional Centre for Archaeology and Fine Arts
SIDS	Small Island Developing States
UN	United Nations
UNDP	United Nations Development Programme
UNESCO ROSA	UNESCO Regional Office for Southern Africa
UNITWIN	University Twinning and Networking Programme
UNWTO	World Tourism Organization
WFTGA	World Federation of Tourist Guide Associations
WHC	World Heritage Centre
WHCBP	World Heritage Capacity-building Programme
WHIPIC	International Centre for the Interpretation and Presentation of World Heritage Sites
WHITR-AP	World Heritage Institute for Training and Research in Asia and Pacific
WNHMT	Centre for World Natural Heritage Management and Training for Asia and the Pacific Region

Main stakeholders for the implementation of the WHCBS (as defined in the WHCBS)

Name of Stakeholder	Role and mandate according to the WHCBS	Degree of reported activity (according to Item 6 & interviews)
World Heritage Centre (WHC)	<ul style="list-style-type: none"> carry out capacity-building through the coordination of WS and seminars and through directly working with the SP Organisation of the Periodic Reporting process as Capacity-building for States Parties Provide technical support to SP for elaborating national strategies 	Key implementing body, multiple activities reported
IUCN (AB)	<ul style="list-style-type: none"> Organisation of direct training activities; resource person (courses, seminars, workshops) working individually with SP during missions, creation of resource materials technical support to SP for elaborating national strategies 	Key implementing body, multiple activities reported
ICCROM (AB)	(ICCROM primarily tasked with WH-related CB) <ul style="list-style-type: none"> Organisation of direct training activities; resource person (courses, seminars, workshops) Working with SP during missions Creation of resource materials & technical support to SP for national strategies Decision 35 COM 9B: Main responsibility to implement the WHCBS (in cooperation with IUCN, ICOMOS, WHC, C2C and all others)	Key implementing body, multiple activities reported
ICOMOS (AB)	<ul style="list-style-type: none"> Organisation of direct training activities Participation as resource persons in courses, seminars, workshops Working individually with SP during missions Creation of resource materials & technical support to SP for national strategies 	Key implementing body, multiple activities reported
States Parties (SP)	<ul style="list-style-type: none"> Provide a general framework for CB Provide short courses and training opportunities and resources; Work with national training institutions and universities Develop national CB Strategies 	Generally mentioned as organiser or target audience
UNESCO Category 2 Centres (C2C)	<ul style="list-style-type: none"> engage in support of the 5 Cs (generally spoken; due to heterogeneity of the C2C, no further information mentioned) 	AWHF, Lucio Costa, ARC-WH, WHITRAP key implementers; high diversity of C2C
UNESCO Chairs / UNITWIN Networks	<ul style="list-style-type: none"> advance research training and programme development building university networks Establishment of new teaching programmes 	Highly decentralised, no link or reporting towards the WHCBS
Forum UNESCO University & Heritage	<ul style="list-style-type: none"> Mentioned as one CB partner. No news or reported activities after 2014 	Converted to a UNESCO Chair; no activities reported with regards to the WHCBS
University Programmes	<ul style="list-style-type: none"> Mentions 5 degree programmes (2011) offer courses related to WH 	Existing, but not mentioned in any reports
Regional training partners	<ul style="list-style-type: none"> offering non-degree professional training updating of courses related to WH Themes 	Occasionally mentioned (e.g., EPA), limited details available, probably not systematically reported

Table 8: Assessment of the foreseen role of individual stakeholders and their assessed extent of involvement in the implementation of the WHCBS

Red: Barely or not mentioned, no identified/reported link to the WHCBS; Yellow: No significant role, little or no reference to the WHCBS

; Green: Strong interaction with partners, high number of activities reported towards the WHCBS.

5_5 Background information: Analysis tables

5_5_1 Analysis of changes in the Operational Guidelines 2008 and 2021

Chapter	Decision	Year of decision	OG to the WHC 2021	OG to the WHC 2008	key words
II.C. Tentative Lists					
64.	Decision 43 COM 11A	2019	States Parties are encouraged to prepare their Tentative Lists with the full, effective and gender-balanced participation of a wide variety of stakeholders and rights-holders , including site managers, local and regional governments, local communities, indigenous peoples , NGOs and other interested parties and partners. In the case of sites affecting the lands, territories or resources of indigenous peoples, States Parties shall consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior, and informed consent before including the sites on their Tentative List.	States Parties are encouraged to prepare their Tentative Lists with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, NGOs and other interested parties and partners.	gender-balanced indigenous people cooperation good faith
73.	Decision 43 COM 11A	2019	States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels. Harmonization of Tentative Lists is the process whereby States Parties, with the assistance of the Advisory Bodies, collectively assess their respective Tentative List to review gaps and identify common themes. The harmonization has considerable potential to generate fruitful dialogue between States Parties and different cultural communities, promoting respect for common heritage and cultural diversity and can result in improved Tentative Lists, new nominations from States Parties and cooperation amongst groups of States Parties in the preparation of nominations.	States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels. Harmonization of Tentative Lists is the process whereby States Parties, with the assistance of the Advisory Bodies, collectively assess their respective Tentative List to review gaps and identify common themes. The outcome of harmonization can result in improved Tentative Lists, new nominations from States Parties and co-operation amongst groups of States Parties in the preparation of nominations.	fruitful dialog different communities respect common cultural diversity
74.	Decision 43 COM 11A	2019	To implement the Global Strategy, cooperative efforts in capacity-building and training for diverse groups of beneficiaries may be necessary to assist States Parties in acquiring and/or consolidating expertise in the preparation, updating and harmonization of their Tentative List and the preparation of nominations	To implement the Global Strategy, cooperative efforts in capacity-building and training may be necessary to assist States Parties to acquire and/or consolidate their expertise in the preparation, updating and harmonisation of their Tentative List and the preparation of nominations.	diverse

90.	Decision 43 COM 11A	2019	For all properties nominated under criteria (vii) - (x), bio-physical processes and landform features should be relatively intact. However, it is recognized that no area is totally pristine and that all natural areas are in a dynamic state, and to some extent involve contact with people. Biological diversity and cultural diversity can be closely linked and interdependent and human activities, including those of traditional societies, local communities, and indigenous peoples , often occur in natural areas. These activities may be consistent with the Outstanding Universal Value of the area where they are ecologically sustainable.	For all properties nominated under criteria (vii) - (x), bio-physical processes and landform features should be relatively intact. However, it is recognized that no area is totally pristine and that all natural areas are in a dynamic state, and to some extent involve contact with people. Human activities, including those of traditional societies and local communities, often occur in natural areas. These activities may be consistent with the outstanding universal value of the area where they are ecologically sustainable.	Diversity indigenous people
II.F. Protection and Management					
98.	Decision 39 COM 11	2015	Legislative and regulatory measures at national and local levels should assure the protection of the property from social, economic, and other pressures or changes that might negatively impact the Outstanding Universal Value, including the integrity and/or authenticity of the property. States Parties should also assure the full and effective implementation of such measures.	Legislative and regulatory measures at national and local levels should assure the survival of the property and its protection against development and change that might negatively impact the outstanding universal value, or the integrity and/or authenticity of the property. States Parties should also assure the full and effective implementation of such measures.	social
111.	Decision 39 COM 11 Decision 43 COM 11A	2015, 2019	In recognizing the diversity mentioned above, common elements of an effective management system could include: a) a thorough shared understanding of the property, its universal, national, and local values and its socio-ecological context by all stakeholders, including local communities and indigenous peoples; b) a respect for diversity, equity, gender equality and human rights and the use of inclusive and participatory planning and stakeholder consultation processes; c) a cycle of planning, implementation, monitoring, evaluation and feedback; d) an assessment of the vulnerabilities of the property to social, economic, environmental and other pressures and changes, including disasters and climate change, as well as the monitoring of the impacts of trends and proposed interventions; e) the development of mechanisms for the involvement and coordination of the various activities between different partners and stakeholders; f) the allocation of necessary resources; g) capacity-building; h) an accountable, transparent description of how the management system functions.	In recognizing the diversity mentioned above, common elements of an effective management system could include: a) a thorough shared understanding of the property by all stakeholders; b) a cycle of planning, implementation, monitoring, evaluation and feedback; c) the involvement of partners and stakeholders; d) the allocation of necessary resources; e) capacity-building; and f) an accountable, transparent description of how the management system functions.	Values socio-ecological local communities indigenous people respect diversity human rights gender equality inclusive/participatory involvement

112.	Decision 39 COM 11 Decision 43 COM 11A	2015,2019	Effective management involves a cycle of short, medium and long-term actions to protect, conserve and present the nominated property. An integrated approach to planning and management is essential to guide the evolution of properties over time and to ensure maintenance of all aspects of their Outstanding Universal Value. This approach goes beyond the property to include any buffer zone(s), as well as the broader wider setting. The broader wider setting may relate to the property's topography, natural and built environment, and other elements such as infrastructure, land use patterns, spatial organization, and visual relationships. It may also include related social and cultural practices, economic processes and other intangible dimensions of heritage such as perceptions and associations. Management of the broader wider setting is related to its role in supporting the Outstanding Universal Value. Its effective management may also contribute to sustainable development, through harnessing the reciprocal benefits for heritage and society.	Effective management involves a cycle of long-term and day-to-day actions to protect, conserve and present the nominated property	integrated approach
117.	Decision 43 COM 11A	2019	States Parties are responsible for implementing effective management activities for a World Heritage property. States Parties should do so in close collaboration with property managers, the agency with management authority and other partners, local communities and indigenous peoples, rights-holders and stakeholders in property management, by developing, when appropriate, equitable governance arrangements, collaborative management systems and redress mechanisms.	States Parties are responsible for implementing effective management activities for a World Heritage property. States Parties should do so in close collaboration with property managers, the agency with management authority and other partners, and stakeholders in property management.	local communities indigenous people rights holders collaborative
119.	Decision 43 COM 11A	2019	World Heritage properties may sustain biological and cultural diversity and provide ecosystem services and other benefits, which may contribute to environmental and cultural sustainability. Properties may support a variety of ongoing and proposed uses that are ecologically and culturally sustainable and which may enhance the quality of life and well-being of communities concerned. The State Party and its partners must ensure their use is equitable and fully respects the Outstanding Universal Value of the property. For some properties, human use would not be appropriate. Legislation, policies and strategies affecting World Heritage properties should ensure the protection of the Outstanding Universal Value, support the wider conservation of natural and cultural heritage, and promote and encourage the effective, inclusive and equitable participation of the communities, indigenous peoples and other stakeholders concerned with the property as necessary conditions to its sustainable protection, conservation, management and presentation.	World Heritage properties may support a variety of ongoing and proposed uses that are ecologically and culturally sustainable. The State Party and partners must ensure that such sustainable use does not adversely impact the outstanding universal value, integrity and/or authenticity of the property. Furthermore, any uses should be ecologically and culturally sustainable. For some properties, human use would not be appropriate	Diversity well-being of communities respect inclusive equitable participation

III. Process for the inscription of properties on the world heritage list					
III.A. Preparation Nominations					
123.	Decision 39 COM 11 Decision 43 COM 11A	2015, 2019	Effective and inclusive participation in the nomination process of local communities, indigenous peoples, governmental, non-governmental and private organizations and other stakeholders is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to ensure that Preliminary Assessment requests involve appropriate stakeholders and rights-holders engagement. They are also encouraged to prepare nominations with the widest possible participation of stakeholders and shall demonstrate, as appropriate, that the free, prior and informed consent of indigenous peoples has been obtained, through, inter alia, making the nominations publicly available in appropriate languages and public consultations and hearings. Where appropriate, States Parties are also encouraged to consult potentially concerned States Parties, including neighbouring States Parties, to promote consensus, collaboration and to celebrate cultural diversity.	Participation of local people in the nomination process is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to prepare nominations with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, NGOs and other interested parties.	Inclusive communities indigenous people shared collaboration cultural diversity
VI. Encouraging support for the world heritage convention					
VI.A Objectives					
211.	Decision 43 COM 11A	2019	The objectives are: a) to enhance capacity-building and research; b) to raise the general public's awareness, understanding and appreciation of the need to preserve cultural and natural heritage; c) to enhance the function of World Heritage in the life of the community; and d) to increase equitable, inclusive and effective participation of local and national populations, including indigenous peoples, in the protection and presentation of heritage	The objectives are: a) to enhance capacity-building and research; b) to raise the general public's awareness, understanding and appreciation of the need to preserve cultural and natural heritage; c) to enhance the function of World Heritage in the life of the community; and d) to increase equitable, inclusive and effective participation of local and national population in the protection and presentation of heritage	indigenous people

VI.B Capacity-building and research					
212.	Decision 43 COM 11A	2019	The Committee seeks to develop capacity-building within the States Parties in conformity with its Strategic Objectives and the World Heritage Capacity-building Strategy adopted by the Committee.	The Committee seeks to develop capacity-building within the States Parties in conformity with its Strategic Objectives.	capacity-building
213.	Decision 43 COM 11A	2019	Recognizing the high level of skills and multidisciplinary approach necessary for the protection, conservation, and presentation of the World Heritage, the Committee has adopted the World Heritage Capacity-building Strategy. The definition of capacity-building identifies three broad areas where capacities reside and for which audiences for capacity-building need targeting: practitioners, institutions, and communities and networks. The World Heritage Capacity-building Strategy provides a framework of action, and orients actors at the international, regional, or national levels to create regional and national capacity-building strategies in addition to individual capacity-building activities. The actions can be taken up by the many actors who currently provide or could provide capacity-building activities for the benefit of World Heritage. The primary goal of the Capacity-building Strategy is to ensure that necessary skills are developed by a wide range of actors for better implementation of the Convention. In order to avoid overlap and effectively implement the Strategy, the Committee will ensure links to other initiatives such as the Global Strategy for a Representative, Balanced and Credible World Heritage List and Periodic Reporting. The Committee will annually review relevant capacity-building issues, assess capacity-building needs, review annual reports on capacity-building initiatives, and make recommendations for future capacity-building initiatives.	Recognizing the high level of skills and multidisciplinary approach necessary for the protection, conservation, and presentation of the World Heritage, the Committee has adopted a Global Training Strategy for World Cultural and Natural Heritage. The primary goal of the Global Training Strategy is to ensure that necessary skills are developed by a wide range of actors for better implementation of the Convention. In order to avoid overlap and effectively implement the Strategy, the Committee will ensure links to other initiatives such as the Global Strategy for a Representative, Balanced and Credible World Heritage List and Periodic Reporting. The Committee will annually review relevant training issues, assess training needs, review annual reports on training initiatives, and make recommendations for future training initiatives.	capacity-building communities national individual necessary skills capacity-building needs
214.	Decision 43 COM 11A	2019	States Parties are encouraged to ensure that there is a gender-balanced representation of their professionals and specialists at all levels and that they are adequately trained. To this end, States Parties are encouraged to develop national capacity-building strategies and include regional cooperation for training as part of their strategies. Development of such regional and national strategies can be assisted by the Advisory Bodies and the various UNESCO Category 2 Centres related to World Heritage, taking into consideration the World Heritage Capacity-building Strategy.	States Parties are encouraged to ensure that their professionals and specialists at all levels are adequately trained. To this end, States Parties are encouraged to develop national training strategies and include regional co-operation for training as part of their strategies.	gender-balanced capacity-building regional/national strategy category 2 centres

214bis.	Decision 43 COM 11A	2019	States Parties are encouraged to develop educational and capacity-building programmes that harness the reciprocal benefits of the Convention for heritage and society. The programmes may be based on innovation and local entrepreneurship, and aimed in particular at medium/small/micro scale levels, to promote sustainable and inclusive economic benefits for local communities and indigenous peoples and to identify and promote opportunities for public and private investment in sustainable development projects, including those that promote use of local materials and resources and foster local cultural and creative industries and safeguarding intangible heritage associated with World Heritage properties	not existing	educational capacity-building programme inclusive local communities indigenous people
215.	Decision 43 COM 11A	2019	The Committee develops and coordinates international cooperation in the area of research needed for the effective implementation of the Convention. States Parties are also encouraged to make resources available to undertake research, since knowledge and understanding are fundamental to the identification, management, and monitoring of World Heritage properties. States Parties are encouraged to support scientific studies and research methodologies, including traditional and indigenous knowledge held by local communities and indigenous peoples, with all necessary consent. Such studies and research are aimed at demonstrating the contribution that the conservation and management of World Heritage properties, their buffer zones and wider setting make to sustainable development, such as in conflict prevention and resolution, including, where relevant, by drawing on traditional ways of dispute resolution that may exist within communities.	The Committee develops and coordinates international cooperation in the area of research needed for the effective implementation of the Convention. States Parties are also encouraged to make resources available to undertake research, since knowledge and understanding are fundamental to the identification, management, and monitoring of World Heritage properties.	scientific studies/research traditional/indigenous local communities indigenous people communities
220.		2019	States Parties are encouraged to develop quality educational activities related to World Heritage through a variety of learning environments tailored to each audience with, wherever possible, the participation of schools, universities, museums and other local and national educational authorities.	States Parties are encouraged to develop educational activities related to World Heritage with, wherever possible, the participation of schools, universities, museums and other local and national educational authorities.	Quality learning environments
235.	Decision 30 COM 14A Decision 36 COM 13.1	2008 2012	The World Heritage Committee coordinates and allocates types of International Assistance in response to State Party requests. These types of International Assistance, described in the summary table set out below, in order of priority are: a) Emergency assistance; b) Conservation and Management assistance (incorporating assistance for training and research, technical cooperation and promotion and education); c) Preparatory assistance.	The World Heritage Committee co-ordinates and allocates types of International Assistance in response to State Party requests. These types of International Assistance, described in the summary table set out below, in order of priority are: a) Emergency assistance b) Preparatory assistance c) Conservation and Management assistance (incorporating assistance for training and research, technical co-operation and promotion and education).	Training Research Cooperation education

239.	Decision 43 COM 11A Decision 31 COM 18B Decision 20 COM XII Decision 31 COM 18B Decision 36 COM 13.I Decision 37 COM 12.II	2019 2007 2012 2013	<p>In addition to the priorities outlined in paragraphs 236-238 above, the following considerations govern the decisions of the Committee in granting International Assistance:</p> <p>a) the likelihood that the assistance will have a catalytic and multiplier effect ('seed money') and promote financial and technical contributions from other sources;</p> <p>b) when funds available are limited and a selection has to be made, preference is given to:</p> <ul style="list-style-type: none"> • a Least Developed Country or Low Income Economy as defined by the United Nations Economic and Social Council's Committee for Development Policy, or • a Lower Middle Income Country as defined by the World Bank, or • a Small Island Developing State (SIDS), or • a State Party in a post-conflict situation; <p>c) the urgency of the protective measures to be taken at World Heritage properties;</p> <p>d) whether the legislative, administrative and, wherever possible, financial commitment of the recipient State Party is available to the activity;</p> <p>e) the impact of the activity on furthering the Strategic Objectives or on the implementation of policies adopted by the Committee, such as the Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention or the Policy Document on the Impact of Climate Change on World Heritage properties;</p> <p>f) the degree to which the activity responds to needs identified through the reactive monitoring process and/or the analysis of regional Periodic Reports;</p> <p>g) the exemplary value of the activity in respect to scientific research and the development of cost-effective conservation techniques;</p> <p>h) the cost of the activity and expected results;</p> <p>i) the educational value both for the training of experts and for the general public; and</p> <p>j) the inclusive nature of the activity, in particular as concerns gender equality and the involvement of local communities and indigenous peoples.</p>	<p>In addition to the priorities outlined in paragraphs 236-238 above, the following considerations govern the Committee's decisions in granting International Assistance:</p> <p>a) the likelihood that the assistance will have a catalytic and multiplier effect ('seed money') and promote financial and technical contributions from other sources;</p> <p>b) when funds available are limited and a selection has to be made, preference is given to:</p> <ul style="list-style-type: none"> • a Least Developed Country or Low Income Economy as defined by the United Nations Economic and Social Council's Committee for Development Policy, or • a Lower Middle Income Country as defined by the World Bank, or • a Small Island Developing State (SIDS), or • a State Party in a post-conflict situation; <p>c) the urgency of the protective measures to be taken at World Heritage properties;</p> <p>d) whether the legislative, administrative and, wherever possible, financial commitment of the recipient State Party is available to the activity;</p> <p>e) the impact of the activity on furthering the Strategic Objectives decided by the Committee;</p> <p>f) the degree to which the activity responds to needs identified through the reactive monitoring process and/or the analysis of regional Periodic Reports;</p> <p>g) the exemplary value of the activity in respect to scientific research and the development of cost effective conservation techniques;</p> <p>h) the cost of the activity and expected results; and</p> <p>i) the educational value both for the training of experts and for the general public</p>	<p>Inclusive gender-equality</p> <p>Involvement</p> <p>local communities</p> <p>indigenous people</p>
240			<p>A balance will be maintained in the allocation of resources between cultural and natural heritage and between Conservation and Management and Preparatory Assistance. This balance is reviewed and decided upon on a regular basis by the Committee and during the second year of each biennium by the Chairperson or the World Heritage Committee.</p>	<p>A balance will be maintained in the allocation of resources to activities for cultural and natural heritage. This balance is reviewed and decided upon on a regular basis by the Committee.</p>	<p>cultural/natural heritage</p>

Table 9: Analysis of changes in the Operational Guidelines 2008 and 2021 (own table)

5_5_2 Analysis of activities as reported under Item 6

1. The Convention is understood and achieves overall positive benefit to conservation while avoiding negative impacts														
		Recommended Action according to UNESCO	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	
2 Improved understanding of the World Heritage Convention Statutory Processes and balanced list	old 1	1.1 Creation of specific training and communication tools and opportunities to explain the key concepts and processes of the World Heritage Convention effectively and consistently, to ensure that all States Parties and all actors in the Convention, including local communities, appreciate and are able to make the most effective and sustainable use of the Convention to support cultural and natural heritage conservation.						1	2	1	1	1		
		1.2 A set of indicators are developed based on State of Conservation reporting process and other monitoring and management effectiveness processes to identify positive and negative trends for conservation of cultural and natural heritage.						1		1	1			
		1.3 Issues related to the World Heritage Convention are included within degree programmes and long vocational courses to ensure that professionals being trained have a better basic awareness of the World Heritage Convention and its strengths and weaknesses.	1	1	1	1	1	1			2	2	1	
		1.4 Links are strengthened with other Conventions and other sectors of UNESCO to ensure that World Heritage messages are considered within these other frameworks.						1		1	1	1		
		1.5 Orientation and training tools are created for prospective and new Committee members in order to ensure effective participation in Committee sessions												

2 Improved understanding of the World Heritage Convention Statutory Processes and balanced list		1.6 Regional Capacity-building Strategies are developed and implemented for each region linked to the periodic reporting process in order to provide a wider understanding of the Convention and its processes.		1		5			2		1			
	2. A more balanced World Heritage List is achieved, and fewer nominations suffer serious problems following their submission	2.1 A new resource manual and associated training materials on World Heritage nominations are completed, issued to States Parties, and translated widely	1			2			1					
		2.2 Training courses are developed and implemented to aid States Parties in the preparation of good quality nomination dossiers	11				1		1	2	2	4		
		2.3 Increased and more effective support is provided to States Parties on tentative list creation with a priority given to strengthen capacity in countries with limited representation on the World Heritage List.							1			2		
		2.4 Prioritized thematic studies and other tools are created that assist in the identification of appropriate, prioritized tentative lists, and the harmonization of lists within regions and/or themes as appropriate.										1		
		2.5 A mentoring process is put in place to support States requiring strengthened capacity to develop and implement effective nominations, in line with priorities identified within tentative lists.					3			1	1			
		2.6 A responsive advice service is provided to respond to States Parties considering making nominations, and providing coordinated advice between the Secretariat and the Advisory Bodies.					1							
		2.7 Specific guidance and related training and tools are created in order to support more effective community participation processes within the preparation of nominations				2	1	1				1		
		2.8 The network of specialists able to advise States Parties within Advisory Bodies and their networks is expanded.	2	2	1					1		1		

2 Improved understanding of the World Heritage Convention Statutory Processes and balanced list	3. National Institutions are effective in the identification, conservation, and presentation of the cultural and natural heritage	3.1 A series of guidance documents are developed to assist States to assess their capacity and identify and advocate for strengthened capacity at national level. Topics should include: a) legal frameworks and their application; b) improvement of advocacy in national decision making processes (including the capacity of nonheritage ministries to participate in the goals of the World Heritage Convention), c) the ability of heritage institutions to obtain accorded appropriate resources to function effectively.					1		1			2		
		3.2 National strategies for institutional and professional capacity strengthening are developed and put in place, in response to needs identified in the first and second cycles of periodic reporting. (See Point 12 below)									1			
		3.3 Training materials and activities are developed and implemented to increase the capacity of national institutions to improve conservation and management of the heritage	11		2	2	3	2	2	4	4	2		
		3.4 Focused mid-career training is provided to support professional development of nature and culture professionals within national heritage institutions, including ministries, government agencies and NGOs.	1	1	2	1	1	2		1				
		3.5 Nature focal points are identified within States Parties during the Periodic Reporting exercise as a key under recognized audience for World Heritage capacity-building.												
		3.6 Effective management and conservation tools are developed for use at the national level, including: a) systems for assessment of developments and projects in terms of their impacts on natural and cultural heritage (EIA for example), b) integrated national and property level planning related to disaster risk reduction for heritage			1		7	3		2	1	1		

	3. National Institutions are effective in the identification, conservation and presentation of the cultural and natural heritage	3.7 Focused training is provided for key stakeholders in the tourism industry and other sectors which impact on the protection of World Heritage (both public and private) on appropriate conservation and sustainable development needs in relation to their specific sectors at World Heritage Sites (and potential World Heritage Sites).					1	3	2	1	3	3		
			27	5	7	13	20	15	12	15	18	21	1	154
3 Improve the management of existing heritage sites (3 site related long term goals)	4. Effective sustainable management and conservation of World Heritage occurs, taking into account the dynamics of specific local contexts and settings within the larger framework of global WH processes.	4.1 New resource manuals on managing natural and cultural World Heritage properties are completed, issued to SP, translated widely				5	1			1				
		4.2 A bibliography of existing publications and other resources is developed covering key issues of conservation and management of properties for use by States Parties and professionals.												
		4.3 Training on management of World Heritage properties is developed and implemented to strengthen planning and management skills including methodologies and tools for assessment of Management Effectiveness linked to clear indicators.				5	2	2		1	2	5	5	
		4.4 Existing tools for management effectiveness assessment are refined and developed for all World Heritage properties, including the Enhancing Our Heritage toolkit, currently conceived for use in natural properties, in order to be able to offer simple, consistent and effective tools for the use of WH Site managers						1	1	2	2			
		4.5 Training on disaster risk management at World Heritage properties is developed and implemented to strengthen planning and response to both natural and man-made disasters.			1		8	8	1	1	2	4	2	
		4.6 A network of up to 20 classroom sites are identified within the World Heritage List, with appropriate balance of regions and site types, to provide venues for in-field training												

3 Improve the management of existing heritage sites (3 site related long term goals)	4. Effective sustainable management and conservation of World Heritage occurs, taking into account the dynamics of specific local contexts and settings within the larger framework of global WH processes.	using models of good practice in site management.											
		4.7 A prioritized programme of research on management and conservation needs of World Heritage properties is carried out, based on information coming from periodic reporting, SOC reports, overall assessments of SOC trends, and results of management effectiveness assessments.				1			1		2		
		4.8 Strengthened networks of specialist advice are created and developed linking the Advisory Bodies, UNESCO Category 2 Centres, UNESCO regional offices, and other partners, in order to provide greater support for site managers.	2	2	2	6	3	3		2	3		
		4.9 Mechanisms are developed to respond in a timely manner to help States Parties address issues arising from the State of Conservation process and other relevant Committee decisions					1			1		1	
	5. Skills for conservation of cultural and natural heritage are strengthened.	5.1 Availability of appropriately skilled individuals with particular conservation skills is evaluated at Regional Periodic Reporting meetings and at the national level						1					
		5.2 Training activities are designed and implemented to improve identified areas of skills shortages, or emerging needs for skills to face new challenges.			1		2	2	1	2	3	2	2
		5.3 Networks of expertise are strengthened to bring together conservation practitioners and community groups to both promote mutual learning, and also better identify future capacity-building needs.	1	1	1	1	1	1	1	1	1	2	
	6. The availability of funding and other resources to	6.1 A network of partners at the site level (site managers and others involved at the site) is created to work together to support priority conservation needs at properties, identified through all management effectiveness and monitoring processes.								1			

3 Improve the management of existing heritage sites (3 site related long term goals)	meet conservation needs in World Heritage Sites is significantly enhanced	6.2 Tools are developed to enable States Parties to more effectively use the International Assistance process to improve conservation and management at World Heritage properties.							1					
		6.3 Tools are developed to enhance the ability of States Parties and site managers to request and secure extra budgetary funding from a variety of sources.												
			3	3	5	17	19	18	5	13	13	16	9	121
4 Participation of communities in world heritage and associated local economic development	7. Greater mutual benefits to communities and their heritage results through sustainable development associated with World Heritage Properties	7.1 Targeted research on benefits and best practices for the integration of World Heritage conservation and sustainable development goals for communities is undertaken to provide examples and case studies of successful practice for use throughout the World Heritage system.				2			1	1		1		
		7.2 Training and capacity-building activities are designed and implemented for national and local institutions, World Heritage site managers, and other stakeholders to integrate heritage conservation and development goals in related sectors (nature, culture, tourism, and development).					1	1	3		6	2		
		7.3 Research and best practices in sustainable tourism, including those which are based on participatory processes, are undertaken to encourage the tourism sector to contribute in a positive way to the protection of World Heritage properties and the development of communities					1	2	1	1	1			
		7.4 Networks of World Heritage properties are created at the national level, and where appropriate among neighboring countries, in order to enhance the capacity of these properties to contribute to development activities at national and regional scales												
		7.5 Networks of UNESCO Chairs are created to develop, adapt, and implement context-related participatory approaches, and exchange acquired knowledge, in order to							1	1	1	1		

4 Participation of communities in world heritage and associated local economic development		make knowledge accessible to and operational at national levels												
	8. Greater and inclusive participation of local communities in heritage conservation, presentation and associated development	8.1 Research on effective approaches for community engagement and participation including lessons learned within World Heritage properties is undertaken as a basis for identifying successful examples to be used for capacity-building and learning between properties.					1		1	1				
		8.2 A series of tools for outreach and capacity-building are designed and diffused to build the capacity of communities to understand and participate in the World Heritage Convention					1	1			1	1		
		8.3 Local communities, and other stakeholders, working with site managers, are encouraged to actively participate in the protection and presentation of World Heritage properties.						1			1	1		
		8.4 Basic information on the World Heritage Convention is made available online and in printed form in as many languages as possible.				2								
			0	0	0	4	4	5	7	4	10	6	0	40

5 Awareness raising for the importance of World Heritage and its link with sustainable development	9. Increased awareness of the need for and benefits from heritage conservation and the contribution of the World Heritage Convention to achieving this.	9.1 Tools will be designed and made available to strengthen the capacity of States Parties and World Heritage site managers to present World Heritage on site and at a more general level, supported by effective and appropriate guidance on the use of the World Heritage Emblem and brand										1		
		9.2 The inclusion of the World Heritage Convention as a component of school curricula continues to be promoted, and facilitated by an active programme of communication and preparation and dissemination of resources on World Heritage for schools via the programmes of UNESCO and via curricula development on national levels.												
			0	0	0	0	0	0	0	0	0	1	0	1
6 Enhance the Capacity-building System	10. Beyond the contribution of capacity-building to achieving positive results for the other 4 'Cs' of the strategic directions of the World Heritage Convention, new approaches are needed to ensure that the World Heritage Capacity-building itself, is effective and is able to report results to the World Heritage Committee and other stakeholders.	10.1 Clear and shared governance of the Capacity-building Strategy is carried out, coordinated by ICCROM in partnership with IUCN, ICOMOS, and the World Heritage Centre, supported by an effectively coordinated network of the key actors in World Heritage capacity-building (including the Category 2 Centres, relevant UNESCO chairs, World Heritage focused partners and others).	1			1	1							
		10.2 An effective and adequately resourced Information management structure is created to ensure that there is an effective dissemination of information on training programmes, activities, and the role of the different actors taking place in favor of World Heritage capacity-building. Such a structure would help insure an ongoing strategic approach can be achieved. This effort should highlight the dissemination of information on existence of Capacity-building opportunities at all levels.	1	1		2	2	2		2	3	5		

6 Enhance the Capacity-building System	10. Beyond the contribution of capacity-building to achieving positive results for the other 4 'Cs' of the strategic directions of the World Heritage Convention, new approaches are needed to ensure that the World Heritage Capacity-building itself, is effective and is able to report results to the World Heritage Committee and other stakeholders.	10.3 Effective communication between providers of capacity-building and with the audiences / beneficiaries is put in place to ensure coordination and encourage actors to contribute as part of the broader activities of the strategy.	1	1		1	2							
		10.4 Enhancement and mentoring of the development of an effective and regionally balanced network of World Heritage focused UNESCO category 2 centres is reinforced.						1	1	1	1	1		
		10.5 A programme of translation and dissemination of a range of documents is instituted to ensure that information is reaching a wide range of stakeholders.	1			1	1	2	3		1	1		
		10.6 New learning environments and means of provision and dissemination of information are researched and pilot projects implemented (online tools, short videos, etc.)			1	3			1	1		1		
		10.7 Regional strategies and programmes for each region are put in place (including sub-regional, and national approaches where appropriate) to strategically plan and implement capacity-building. These plans are based on the results of periodic reporting exercises, and other regional needs assessments and programmes concerning cultural and natural heritage as appropriate, integrating the efforts of ICCROM, IUCN, ICOMOS, the World Heritage Centre, regionally focused category 2 centres and relevant regional bodies. The proposed timeline and strategy development process for these regional strategies are shown below.				3				3				
		10.8 Fundraising is planned and carried out to ensure that there are resources to enable the implementation of the capacity-building strategy. Sources of funds could include increased contributions to capacity-building from the World Heritage Fund, and extrabudgetary funding by States Parties to the Convention, and new external partners.			1	1	1	1						

6 Enhance the Capacity-building System	10. Beyond the contribution of capacity-building to achieving positive results for the other 4 'Cs' of the strategic directions of the World Heritage Convention, new approaches are needed to ensure that the World Heritage Capacity-building itself, is effective and is able to report results to the World Heritage Committee and other stakeholders	10.9 A clear set of indicators are developed to for each of the 10 goals outlined in the World Heritage Capacity-building Strategy in order to effectively measure the implementation over time.												
		10.10 Monitoring and reporting is carried out on an annual basis regarding the achievement of the goals and actions of the Capacity-building Strategy, against the set of indicators established in 10.9.		1	1	1	1	1						
		10.11 The performance and effectiveness of the World Heritage Convention in building capacity in relation to the overall conservation of cultural and natural heritage is evaluated and the results reported on the same cycle of the periodic reporting (every 6 to 8 years)												
			4	3	3	13	8	7	5	7	5	8	0	63

Table 10: Analysis of activities as reported under Item 6

Source: Author's draft

5_5_3 Regional main action plans and their link to CB and the WHCBS

UNESCO Re- gion	Regional action plans	Reference	Year	Occurrence of CB	Occur- rence of WHCBS
LAC	LAC Regional Action Plan (PARALC 2014-2024) (2nd cycle reporting)	WHC-14/38.COM/10B, p.9	2014	10	0
	Action plan for World Heritage in the Caribbean (2015-2019) (PAC)		2014	17	0
	Action plan for World Heritage in South America (2015-2020) (PAAS)		2015	11	0
	Action plan for World Heritage in Mexico and Central America (2018-2023) (PAMAC)		2018	1	0
ARAB States	Draft Action Plan (2021-2027) for the Arab States Region (3rd cycle reporting)	WHC/21/44.COM/10A, p.96	2021	73	7
	INF10C. Regional Programme for Arab States	WHC- 11/35.COM/INF.10C	2011	9	0
EUROP-NA	Action Plan for Europe (Helsinki Action Plan) (2nd cycle reporting)		2015	7	0
	Action Plan for North America (2nd cycle reporting)	WHC-15/39.COM/10A	2015	1	0
ASIA-PACIFIC	Pacific World Heritage Action Plan 2010-2015		2010	21	0
	Suwon Action Plan			6	0
	Pacific World Heritage Action Plan 2016-2020		2016	10	0
	Capacity-building Strategy and Associated Programmes for Asia and the Pacific		2014	166	9
AFRICA	Report on the Second Cycle of Periodic Reporting in the Africa region	WHC-11/35.COM/10A	2011	54	4
	INF.10D. Action Plan 2012–2017 for the Africa Region	WHC-12/36.COM/ INF.10D	2012	13	1

Table 11: Analysis of regional main action plans and their link to CB and the WHCBS

5_6 *Projects and programmes reported under Item 6*

Central Africa World Heritage Forest Initiative (CAWHFI) (AFR)

The Central Africa World Heritage Forest Initiative forms part of the World Heritage Leadership Programme (WHLP) and was firstly implemented in 2004. In form of a transborder network of exceptional protected areas, the programme aims to reinforce the management of forest sites in Cameroon, the Central Africa Republic, the Republic of the Congo and Gabon (covering an area of estimated 1.62 million km²), as well as to improve the representation of Natural World Heritage sites in the region.

More detailed information can be found here:

<https://whc.unesco.org/en/cawhfi/>

The project was mentioned in the item 6 report 2017, reporting the capacity-building workshop in June 2016 to support conservation activities and the enhancement of the management of natural properties in Central Africa.

Buddhist Heritage Route for Sustainable Tourism Development in South Asia (APA)

This project is part of the World Heritage Journeys initiative of UNESCO and National Geographic and is supported by the Korea International Cooperation Agency (KOICA). Its aim is to create sustainable cross-border Buddhist tourism circuits and routes and to promote them by actively involving local and national stakeholders. It also provides capacity-building for local communities and aims to raise awareness for the importance of conservation and safeguarding of key Buddhist sites. Currently the following sites are participating in the project:

- Lumbini, Rupandehi District, Nepal – the birthplace of Lord Buddha
- Buddhist Monuments of Sanchi – the oldest Buddhist sanctuary in existence,
- Paharpur, Naogaon, Bangladesh, one of the best-known Buddhist viharas in the Indian Subcontinent

- Sukhothai and Associated Historic Towns – the first kingdom of Thailand that emerged in the 13th century
- Historic City of Ayutthaya

More information can be found here: <https://visitworldheritage.com/en/buddha/discover-buddhist-world-heritage/694c999c-9570-4a3d-b352-d2ff0c8a0bad>

The project was mentioned in the item 6 report 2019. Capacity-building and workshops were organised between 2018 and 2019 to build and strengthen sustainable destination partnerships between heritage and tourism managers as well as across borders between the different sites.

Tab'e'a I – III (ARB)

The Tab'e'a project on Nature and World Heritage in the Arab States provides an assessment of World Heritage in the Arab States region. It is a contribution of the IUCN to supporting the World Heritage Convention in the Arab States by, recognising the need to strengthen the identification, conservation, and representation of natural heritage in the region. The project is a pilot project to identify challenges on conservation of natural and mixed heritage in the Arab States.

Detailed information about the project can be found in the three project reports:

- Tab'e'a I: <https://portals.iucn.org/library/node/10060>
- Tab'e'a II: <https://portals.iucn.org/library/node/45244>
- Tab'e'a III: <https://portals.iucn.org/library/node/49845>

The project was mentioned in the item 6 report 2015, 2017 and 2018 and was the platform to organise training workshops on sustainable management of natural heritage, held by the ARC-WH in strong collaboration with IUCN.

UNESCO Cultural World Heritage Sites in Europe (EUR)

This project supported financially by the EU has the aim to promote UNESCO cultural heritage sites in Europe on a travel platform promoting sustainable tourism development. The project is implemented in

partnership with National Geographics. In total, four routes on different thematic topics were created: Royal Europe, Ancient Europe, Underground Europe and Romantic Europe.

More information about the project can be found here: <http://whc.unesco.org/en/activities/875/> and on this webpage <https://visitworldheritage.com/en/eu> the itineraries can be explored in detail.

The project was mentioned in item 6 report 2017, 2018 and 2019 with the organisation of a series of capacity-building workshops.

Support for the Silk Roads World Heritage Sites in Central Asia (Phase II) (APA)

This project was implemented with the support of the Japan Funds in Trust and aims to enhance the capacities of the national authorities in Central Asia Republic within the protection of cultural heritage. Capacities are built in trainings, in documentation and archaeological research, conservation, and management planning as well as sustainable management to guarantee the protection of the Silk Roads corridors.

More information can be found here: <https://whc.unesco.org/en/activities/870/>

The project is documented in the item 6 report 2021, reporting the organised on-site activities and training workshops held 2019 in Tajikistan and in Turkmenistan.

Towards a Sustainable Community Tourism Strategy in the Valley of Viñales (LAC)

This project, financed by the Spanish cooperation organised project capacity-building workshops on Sustainable Tourism in the Valley of Viñales in Cuba and is documented in item 6 report of 2019.

Support to the reinforcement of the participative management structure of the Qhapaq Ñan, Andean Road System (LAC)

This project, financed by the Japanese Funds-in-Trust for the Preservation of the World Cultural Heritage organised different workshops on capacity-building in topics like HIAs, databases to monitor the state of

conservation of the property, disaster risk management, and conservation of stone and earthen structures.

Information online: <https://whc.unesco.org/en/news/1703>

AMAL in Heritage (ARB)

Amal in heritage was launched as an international initiative and partnership with ICOMOS-ICORP, ARC-WH, ICCROM and the Cultural Emergency Response (CER) programme at the Prince Claus Fund. The IICAH in Erbil and the National Committee of ICOMOS-Tunisia joined the programme in 2016. As a result of the project a mobile app was developed for a rapid impact assessment of damaged heritage areas, building and artifacts.

More information: <https://www.amal.global/>

Activities within the project are documented in item 6 reports from 2017 and 2018.

Antiquities Trafficking and Heritage Anthropology Research (ATHAR) (ARB)

The Antiquities Trafficking and Heritage Anthropology Research programme is abbreviated with Athar, the Arabic word for antiquities (monuments and artefacts). It is an investigative study on digital underworld of transnational trafficking, terrorism financing, and organised crime. The study is conducted by a group of anthropologists and heritage experts.

More information and details are on the webpage: <https://atharproject.org/>

The programme is documented in item 6 reports from the years 2013 and 2014 with different training activities.

Préservation du patrimoine et appui au secteur touristique (PAST) (LAC)

The aim of this project is to increase the attractiveness of cultural sites in the North of Haiti for the development of tourism and increased employment opportunities. UNESCO provides technical assistance.

For more details see: <https://www.ute.gouv.ht/projets/projet-preservation-du-patrimoine-et-appui-au-secteur-touristique/>

The project 'Préservation du patrimoine et appui au secteur touristique' in Haiti, financed by the World Bank focused on a number of assistance and capacity-building in sustainable tourism, conservation and management of the World Heritage property National History Park – Citadel, Sans Souci, Ramiers, according to the item 6 report from 2021.

University Twinning and Networking Programme (UNITWIN) (ALL REGIONS)

The UNESCO UNITWIN Programme was launched in 1992 and involves 850 institutions in 117 countries promotes the inter-university cooperation and networking to build capacities of higher education and resource institutions (<https://www.unitwin.org/mod/page/view.php?id=11>)

The importance of the Programme are mentioned during the last ten years (from 2011-2021) in item 6 reports.

Programme de renforcement des capacités dans les Caraïbes (CCPB) Programme (LAC)

This is the capacity-building programme specifically developed for the Caribbean area and is a long-term training programme for the management of cultural heritage. Its goal is also to act as a network for experts being able to share their knowledge, know-how and skills with each other. For more information see. <https://whc.unesco.org/fr/activites/475/>

Activities of the project are reported in item 6 from 2015.

ICCROM Africa Programme on Youth and Heritage (YHA) (AFR)

Youth Heritage Africa wants to empower the young generations heritage leaders creating economic and social opportunities for them. The programme follows several goals such as promoting heritage as an economic resource to combat poverty and unemployment of young people in Africa or mainstream sustainable entrepreneurship opportunities. Details on the project can be found on: <https://www.iccrom.org/programmes/youthheritageafrica>

The project was firstly documented in the item 6 report from 2021 with different activities online and offline.

Capacity-building Strategy and Associated Programmes for Asia and the Pacific (CBSAP-AP) (APA)

WHITRAP led the elaboration of a comprehensive and very detailed regional capacity-building strategy as requested by the WHCBS. The Strategy does not only incorporate the results of the 2nd cycle periodic reporting but also included a participatory approach including the ABs, the WH Centre, States Parties, CB Service Providers, and site managers. It also includes a detailed action plan with concrete activities, responsibilities, and funding sources.

Details of the strategy can be found here: <http://www.whitrapp.org/themes/69/userfiles/download/2014/3/11/wq7btcspxsqgmdx.pdf>

Activities and the strategy itself are mentioned in the item 6 reporting from 2015.

Heritage Recovery Programme in Mosul (ARB)

Heritage Recovery programme in Mosul is a specific programme for inclusive and integrated capacity-building in order to protect the heritage from the city of Mosul (<https://www.iccrom.org/courses/heritage-recovery-programme-mosul>)

The programme is documented in item 6 reporting from 2021 and was launched in 2020 in collaboration with ICCROM.

LATAM Programme (LAC)

LATAM is a regional program focusing on the Latin American region and offering training workshops on specific topics and needs (<https://www.iccrom.org/s?keywords=latam9>).

The Latin American Programme is mentioned in item 6 reporting from 2016 and 2017.

World Heritage Sustainable Tourism Programme (ALL REGIONS)

This project aims on dialogue and cooperation within stakeholders of the

tourism sector regarding WH. Its vision is to share responsibilities for the conservation of cultural and natural heritage and sustainable development through appropriate management (<https://whc.unesco.org/en/tourism/>).

The project is mentioned in item 6 reporting from 2021.

Small Island Developing States (SIDS) (LAC + APA)

The development of small island in the Caribbean Sea and the Atlantic, Indian and Pacific Oceans is the focus of this programme supporting them in the preparation of new nominations and their sustainable conservation and management. For details see: <https://whc.unesco.org/en/sids/>

The project has a big importance and is mentioned in item 6 reports from 2016 to 2021.

World Heritage Marine Programme (ALL REGIONS)

The WH Marine Programme is another important programme from the WHC creating an important network for site managers from 50 flagship marine protected areas of Outstanding Universal Value and conducting various activities for their conservation (<https://whc.unesco.org/en/marine-programme/>).

The programme is documented in item 6 report 2014 to 2019.

Connecting Practice (ALL REGIONS)

Connecting practice is a joined programme from ICOMOS and IUCN with the goal of learning and developing new approaches to WH. While recognising the importance of the interconnection between natural and cultural values of highly significant heritage landscapes and seascapes a more effective, creative and inclusive way to maintain them can be achieved (<https://www.icomos.org/en/home-wh/92729-connecting-practice-phase-iii-final-report-available>).

The programme is documented in item 6 report 2017 to 2021.

5_7 Final presentation of the evaluation

Evaluation of the World Heritage Capacity-Building Strategy

Final Presentation



Susanne Pecher
Michael Huber



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The Assignment

- **Background:** Independent external evaluation (Decision 44 COM 6 Para 11)
- **Objective:** Assess the relevance and outcomes of the WHCBS 2011 to elaborate recommendations for a follow-up strategy
- **Duration:** August 2022 – June 2023
- **Methodology:** Combination of interviews and document review, evaluation matrix, alignment of WHCBS goals with 5C
- **Limitations**
 - Evaluation of all CB interventions was not the purpose → review to identify valid recommendations for the next WHCBS
 - Evaluation is not exhaustive → identifying patterns including illustrative examples

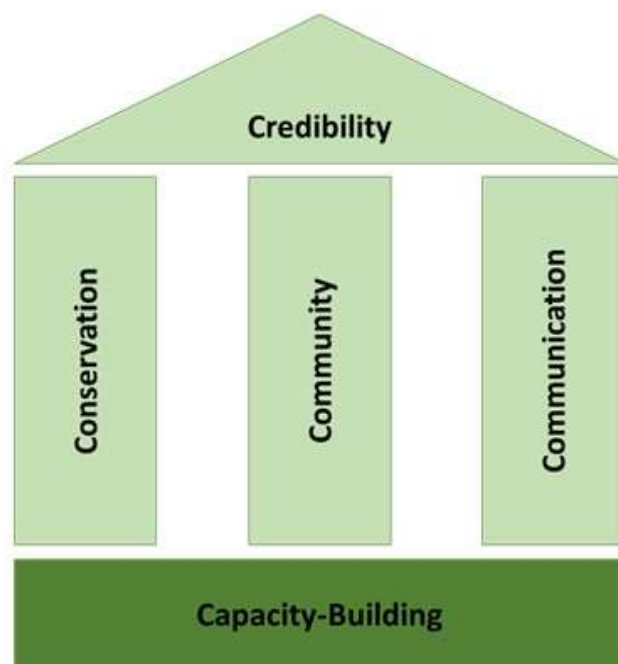
Evaluation questions as per ToR

- EQ 1. Are the activities pursued as part of the WHCBS in conformity with its defined scope?
- EQ 2. Have the goals of the strategy been reached in the period 2011 – 2021?
- EQ 3. Assess the relevance of WHCBS in contributing to the WHC's Strategic Objectives and UNESCO's intersectoral priorities and theme
- EQ 4: Assess the relevance of the WHCBS's contributions to relevant strategic frameworks and vision statements
- EQ 5. What is the quality of coordination and interaction between key stakeholders for capacity building with regard to the planning and implementation of capacity-building activities?
- EQ 6. To which degree has the WHCBS fulfilled its mission statement?

→ Elaboration of evaluation matrix with 21 subquestions and means of verification (assessment indicators), presented and agreed in the Inception Note

Main Findings & Conclusions

The nature of the WHCBS



“provide an effective framework [...] to strengthen the capacities of practitioners, institutions, communities, and networks, in charge of the conservation and management of WH”



10 goals and 52 recommended actions



Mission

- (1) informing policies and decisions by the WH Committee concerning CB;*
- (2) orienting state parties and other actors;*
- (3) constituting a reference for a wider conservation community*



Open and broad network strategy to activate stakeholders

Overall assessment of evaluation results

- The overall rating of the evaluation is **satisfactory**.
- More than **50 % of the assessment indicators** rated as good or better.
- Almost **50 % of the assessment indicators** rated as unsatisfactory.

For details and rating of specific subquestions, please refer to Table 1 in Chapter 2.1 of the Evaluation Report.

Conclusion: Key findings of evaluation results



11 Recommendations

- Process of elaboration for the new WHCBS (1 recommendation)
- Clear understanding of Capacity Building (1 recommendation)
- Theory of Change (1 recommendation)
- Elements and priorities of a new WHCBS (8 recommendations)

Recommendation 1:

Process for the elaboration of the new WHCBS

To establish a global task force led by the World Heritage Centre in cooperation with the Advisory Bodies and to establish regional working groups led by the WHC and the Field Offices to identify priority themes and needs based on the 3rd Periodic Reporting Cycle as well as regional stakeholder validation.

■ What

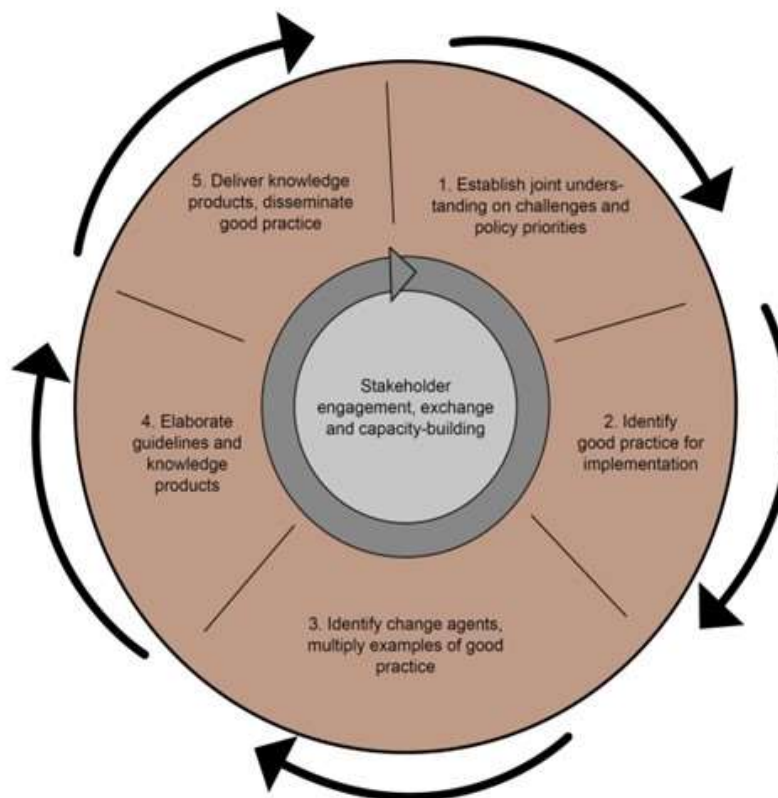
- Establish a global task force (and one in each region)
- Use outcomes of 3rd Cycle Periodic Reporting, including Framework Action Plans and processes.

■ Why

- Harness key potential of stakeholder networks as emerged in old WHCBS
- 3rd Cycle Periodic Reporting is already a participatory needs assessment

Recommendation 2: Clear understanding of capacity-building

To understand capacity-building as enhancing the ability to manage and coordinate an “evidence-based policy cycle”.



Recommendation 3:

Theory of Change

To enhance coordination and management at the level of the WHC to leverage existing and future flagship initiatives for capacity-building at individual, organizational and system levels.

■ What

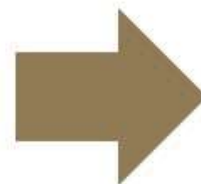
- Strengthened coordination and support systems will enable delivery of capacity-building at the right moment, to the right target groups with strategically selected contents and delivery modes.

■ Why

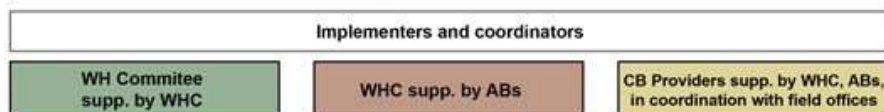
- Consistent and coherent management and coordination of the institutional dynamics was the missing link negatively impacting on effectively leveraging the many positive capacity-building activities.

Recommendation 4: Target groups & roles for implementation

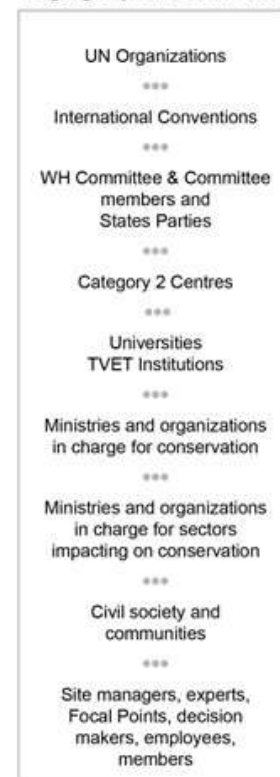
Multipliers, change agents, decision makers, influential bodies and networks as direct target groups addressing all levels of capacity building: enabling conditions, organizational and individual



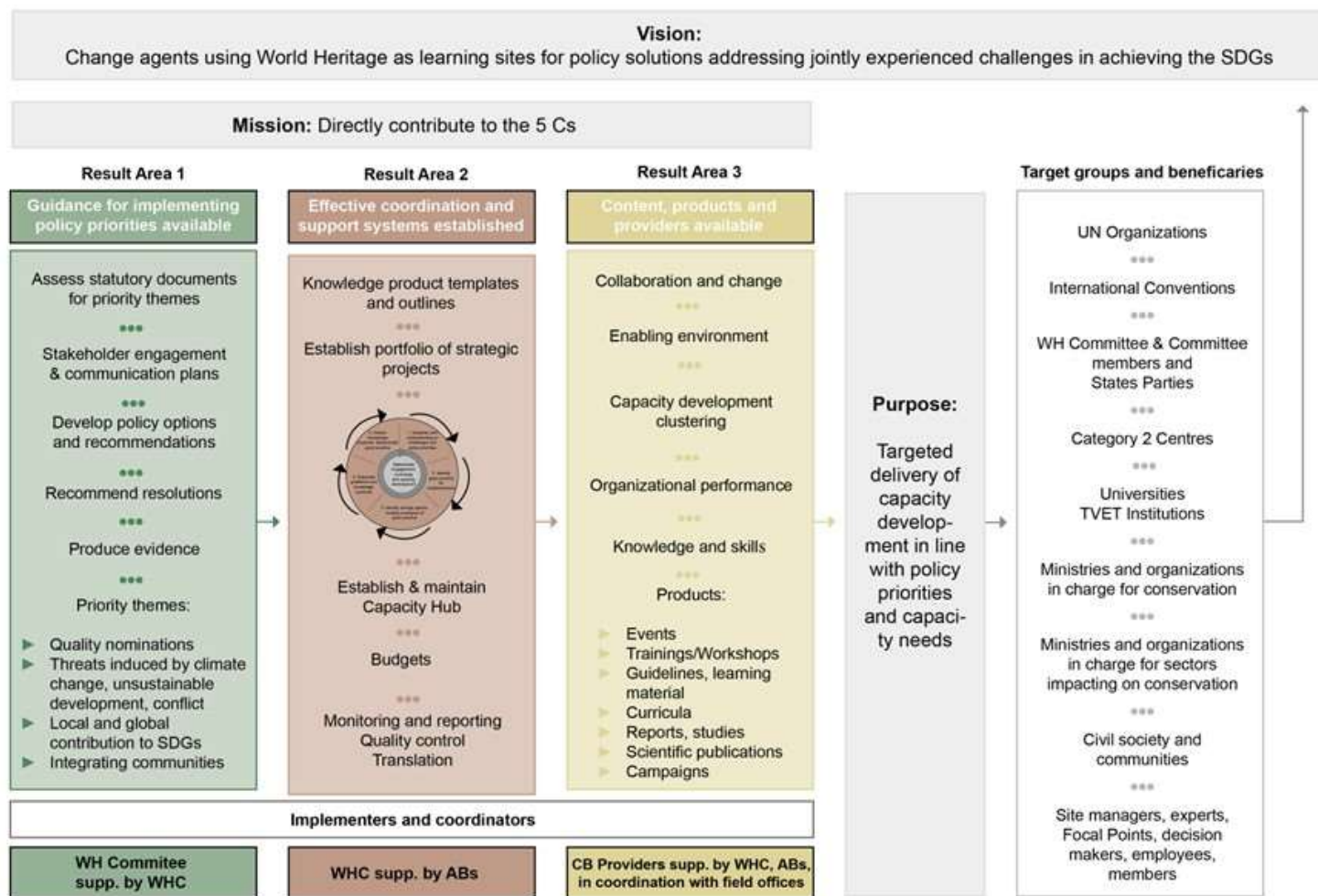
WH Committee, WHC, UNESCO Field Offices, Advisory Bodies led by ICCROM are in charge of the implementation and coordination, at policy-making and operational levels

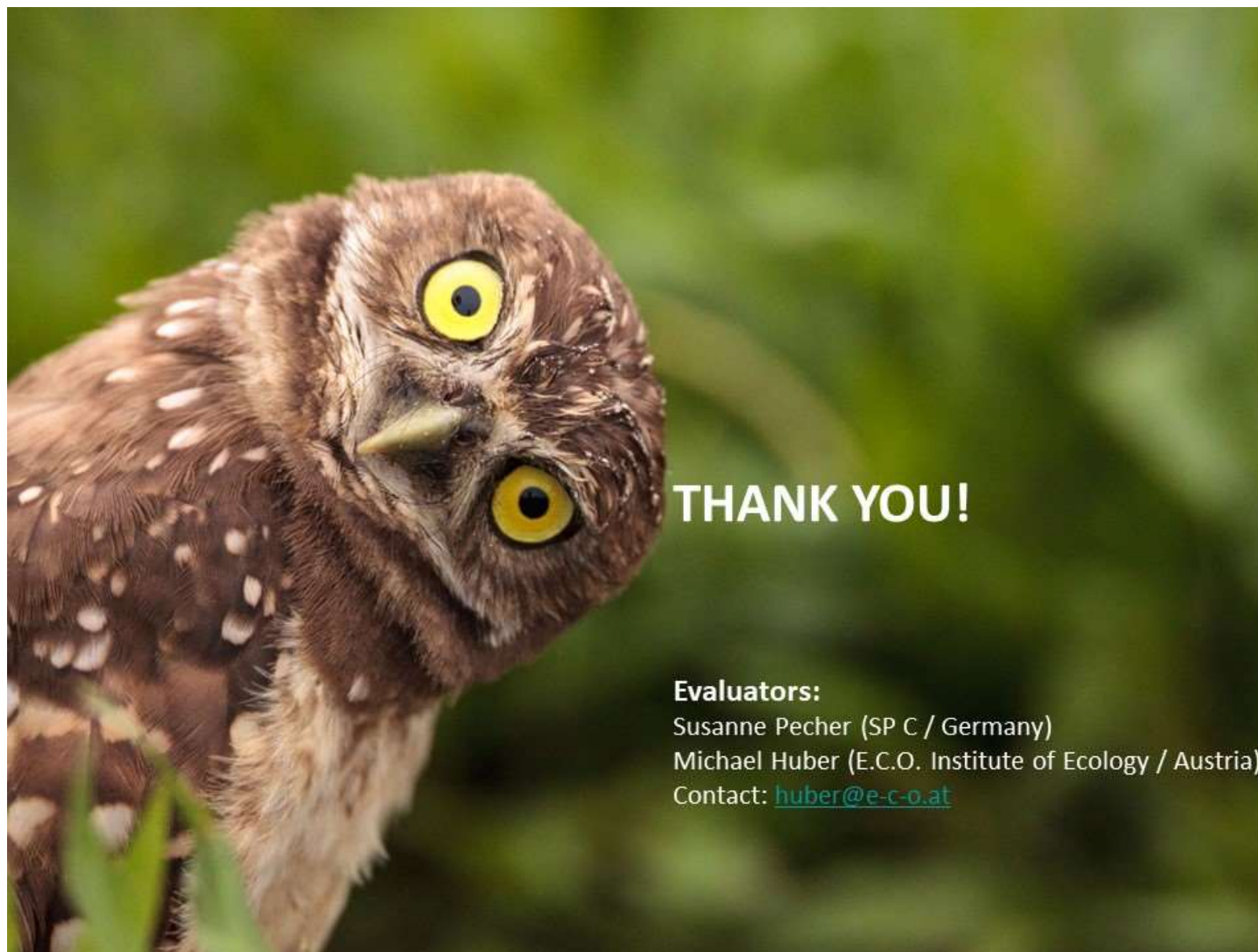


Target groups and beneficiaries



Recommendation 5-11: Elements of a new WHCBS





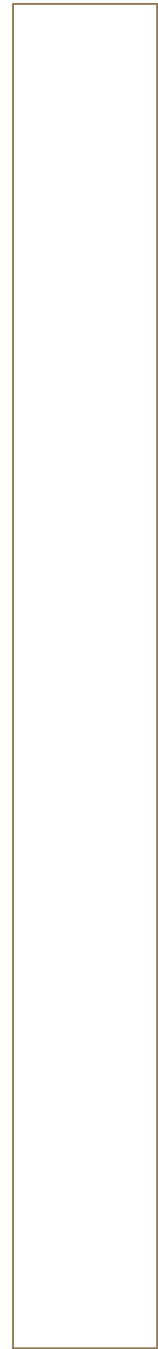
THANK YOU!

Evaluators:

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Michael Huber (E.C.O. Institute of Ecology / Austria)

Contact: huber@e-c-o.at



5_8 Evaluation Matrix

EVALUATION MATRIX: EVALUATION OF THE UNESCO WORLD HERITAGE CAPACITY BUILDING STRATEGY

(as of 02.09.2022)

Evaluation Question	Sub questions*	Measure/Indicator	Main Sources of Data Verification
1. Assess whether the activities pursued as part of the WHCBS are in conformity with it's defined scope	Which activities qualify as being "part" of the WHCBs and "in conformity with its defined scope"?	M1. Proxy: Amount of budget made available for implementation of activities in the scope of WHCBS	Budgets from WHF, UNESCO Programme, Project based funds, extra-budgetary projects
		M2. Number of activities reported to the Who on item 6 as being implemented versus estimated total number of activities reported	Item 6, annual reports to WHC
	Who (which stakeholder groups) did what with the WHCBS for which purpose?	M3. Description of interactions and interventions	Key resource persons from Advisory Bodies and selected Category 2 Centres
	Do the reported activities indicate / have a clear cause-effect link with an expected result articulated in the WHCBS?	M4. % of activities reported under Item 6 with a clear indication to which result / goal they are intended to contribute to	WHC-Item 6 reports
	How are regional plans of C2C linked to the WHCBs?	M5. % of activities reported with a link to the WHCBS	annual reports of Category 2 Centres
	Which flagship programmes, regional strategies and formal collaborations/networks were established as a consequence of discussions on the WHCBS?	M6: Number and name of flagship programmes, regional strategies and formal collaborations/networks established as a consequence of discussions on the WHCBS	Key resource persons from Advisory Bodies and selected Category 2 Centres
	To which extent do activities explicitly take up key characteristics of the WHCBS and would have not been implemented without the Strategy?	M7: assessing activities whether they have been happening prior to WHCBS or started after its approval	WHC-Item 6 reports, ICCROM key resource persons
2. Assess whether the expressed goals of the strategy have been reached in the period 2011 - 2021	Global level: What are current trends concerning the themes addressed by the WHCBS: Representation of so-called "underrepresented" categories in the World Heritage List; Improved conservation of World Heritage; enhanced capacity building system; integration of communities in site management?	M8: Ratio of natural vs cultural sites (number); trend for traditionally underrepresented regions; changes of countries being the top five concerning number of heritage sites; number of Heritage Sites on the danger list;	existing statistics and data source on the website of the World Heritage Centre, SOC Statistics
	Regional level: What type of regional capacity development plans do exist? What are intermediary results accomplished towards the achievement of the goals?	M9. Descriptive presentation of key results as per the Results Matrix for each region	key resource persons from Category 2 Centres
	National level or site level: What are case studies demonstrating the contributions of results to the policy goals in a convincing manner for: balanced list, community participation, improved participation, enhanced capacity building system.	M10. Descriptive presentation of case studies and how they contribute to the Theory of Change	key resource persons from national institutions in charge for conservation and/or site managers; survey
	What are convincing examples of upscaling outputs that have the potential to change performance of organizations and institutions?		
3. Evaluate the relevance of the WHCBS <i>in achieving</i> the World Heritage Committee's Strategic Objectives and UNESCO's sectorial/inter-sectorial programme priorities and themes <i>proposed reframing</i> : Evaluate the relevance of WHCBS in <i>contributing</i> to the World Heritage Committee's Strategic Objectives and UNESCO's sectorial/intersectoral programme priorities and themes.	Have indicators for measuring progress and contributions of the WHCBS been formulated?	M11. Existence of Monitoring Plan or similar	Progress reports for the WHCBS
	Is there a governance scheme at the level of WH Centre and World Heritage Committee allowing for steering and monitoring of capacity related themes/decisions/recommendations?	M12. Existence of coordinated information scheme and dedicated budget lines for capacity building	Budgets from WHF, UNESCO Programme, Project based funds, extra-budgetary projects
	To which degree are the paradigm shifts espoused in the WHCBS streamlined into existing documents?	M13. Examples of streamlined heritage-related aspects into UNESCO's programmes M14. Number of capacity-related recommendations / resolutions taken after 2011	UNESCO programmes as per TORs WHC Item 6 report
	How did the available funds for World Heritage, World heritage related capacity development and community integration evolve between 2011 - 2021?	M15. Funding made available through UNESCO for World Heritage Sites	Budgets from WHF, UNESCO Programme, Project based funds, extra-budgetary projects
4. Assess the relevance of the WHCBS's contributions to relevant strategic frameworks and vision statements	Which documents have been elaborated, respectively adjusted after adoption of the WHCBS?	M16. Relevant documents elaborated or adjusted after 2011 in line with WHCBS	documents listed in TORs and others as mentioned by key resource persons
	To which degree do relevant strategic documents integrate aspects of the WHCBS? (those documents that were elaborated/adjusted after adoption of the WHCBS)? To which degree do these documents state the who and how to operationalize and fund the implementation?	M17. Low degree: document refers to the WHCBS; Medium degree: document highlights result areas of the WHCBS and elaborates on the respective implementation aspects; High degree: document contains a plan defining the set of interventions required to progress towards result areas of the WHCBS, including leadership to steer and adjust as well as financing for implementation	see above
	For those documents that have integrated aspects of the WHCBS with a medium - high degree: Which stakeholders are addressed and what are the expectations concerning changes in their performance?	M18. High degree: All provisions have been followed; medium: key provisions have been followed; low: some provisions have been followed	see above
5. What is the quality of coordination and interaction between key stakeholders for capacity building with regard to the planning and implementation of capacity-building activities?	At which level and between which stakeholders can we find success factors for effective implementation, i.e.: formal collaboration agreement with defined roles and responsibilities for the implementation, implementation plan and timeline, financial resources attributed to interventions, a trackable concept on how interventions shall lead to desired change?	M19. Identified success factors or stakeholders that have engaged based on a formal agreement; global, regional and national level; determine to which degree such arrangements are the business as usual case or outstanding examples of good practice	Item 6 WHC annual reports
	At which level and between which stakeholders can we find a structured process to regularly review implementation plans for capacity building (i.e. monitoring against indicators, reporting, assessing, adjusting? Who is managing this process? Which mechanisms are applied?	M20. Identified structured processes for the WHCBS document and programmatic / implementation planning documents triggered by it	interviews with key resource persons
	Are there regional strategies in place? Which institutions are explicitly dealing with the WHC for the implementation of the WHCBS?		progress / review documents as indicated by key stakeholders; interviews
6. To which degree has the WHCBS fulfilled it's mission statement: informing policies and decisions by the World Heritage Committee concerning capacity building; orienting state parties and other actors; constituting a reference for a wider conservation community	How can the implementation of the WHCBS be rated across all evaluation parameters? Which programmes, projects, interventions have been explicitly launched to promote the implementation of the WHCBS?	M21. very good: 80% of evaluation parameters assessed as good or better; good 50% of evaluation parameters assessed as good or better; satisfactory: less than 50% of evaluation parameters assessed as good or better	assessment of findings of the previous evaluation parameters
	What are lighthouse examples (i.e. projects, programmes, interventions) that fulfilled all aspects of the mission?		interviews

*subject to change or adaptation during the evaluation process

5_9 Terms of Reference

ANNEX III – Terms of Reference (TOR)

Approximate duration of assignment: 4 months from February 2022 onwards

Location: Online, possible meetings at UNESCO Headquarters (Paris)

Background

Understanding, managing and conserving World Heritage properties requires up-to-date knowledge and well-honed skills. Capacity Building is therefore one of the [Strategic Objectives \(or “Five C’s”\)](#) of the World Heritage Committee and is at the core of the sustainable implementation of the Convention.

To help build the capacity of all stakeholders in World Heritage – whether they are practitioners, institutions, communities or networks – the World Heritage Centre has created a number of tools and activities that foster people-centred change, centring on groups of individuals to improve approaches to managing cultural and natural heritage. These activities have been reflected in UNESCO’s workplans since 2011, in response to the Strategic Objectives and in line with the 2030 Agenda for Sustainable Development. This allowed to enhance international support for the implementation of effective and targeted capacity building. As a result, 210 World Heritage properties, of which 14 in Small Islands Developing States (SIDS), have enhanced their conservation and management capacities since 2018, notably thanks to capacity-building activities undertaken by the World Heritage Centre, in close collaboration with [Category 2 Institutes and Centres under the auspices of UNESCO](#) and UNESCO Field Offices.

The [World Heritage Capacity-Building Strategy \(WHCBS\)](#) was approved by the World Heritage Committee at its 35th session (Paris, 2011; Decision [35 COM 9B](#)). The Strategy was developed by the World Heritage Centre in collaboration with ICCROM, IUCN, ICOMOS and other capacity-building partners, including Category 2 Centres in various regions of the world.

Since the adoption of the WHCBS, the World Heritage Centre, the Advisory Bodies and capacity-building partners have been working to implement capacity-building activities at both the regional and international levels to address the needs of heritage practitioners, institutions and other networks and communities. The reinforcement of the [capacity-building pillar of the Convention](#) continues to be a priority to equip States Parties with the relevant expertise to protect and manage their sites, as well as to ensure a representative, credible and balanced World Heritage List. The central importance of the capacity-building programmes in the implementation of UNESCO’s cultural Conventions has also been underscored by the [2014 UNESCO Internal Oversight Services’ Evaluation](#). Despite an uneven picture across the cultural Conventions, many States Parties have integrated key provisions concerning capacity building into national legislations, policies and strategic frameworks including, in some instances, cross-cutting domains of importance for sustainable development.

Annual reports on the progress accomplished with the implementation of the WHCBS have been made to the World Heritage Committee since 2011 (see <https://whc.unesco.org/en/sessions/>, usually under Agenda Item 6).

As part of the WHCBS, the World Heritage Centre, the Advisory Bodies, Category 2 Centres and interested States Parties have also been working on the development and implementation of regional capacity-building strategies across the world, which are also reported on annually. Additionally, UNESCO Chairs are a long-standing part of the WHCBS and continue to function in their capacity as providers of capacity building for World Heritage (see the dedicated online platform for the UNITWIN/UNESCO Chairs Programme (<https://en.unesco.org/unitwin-unesco-chairs-programme>)).

Despite seed funding from the World Heritage Fund, most of the capacity-building activities implemented over the past 10 years have been supported through extrabudgetary projects funded by the States Parties to the 1972 Convention, notably the Government of Switzerland, as well as through the statutory activities of the World Heritage Centre (e.g. as part of reactive monitoring).

The ICCROM/IUCN World Heritage Leadership Programme, funded by the Government of Norway, was launched in 2016 and aims to build the skills of practitioners working across the World Heritage Convention. It considers the totality of conservation practice, so that World Heritage can provide leadership to achieve innovation and excellence within the conservation sector. The World Heritage Leadership programme integrates nature and culture from the outset, focusing on areas where World Heritage has the most compelling potential to address pressing challenges, such as climate change and impacts from development. The Programme supports the contribution of World Heritage properties to sustainable development, as foreseen in the [2015 Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention](#). The Programme is a partnership between ICCROM and IUCN, working in cooperation with the UNESCO World Heritage Centre and ICOMOS, and it is supported by the Norwegian Ministry of Climate and Environment. Additional partners, such as the Swiss Federal Office for the Environment (FOEN) and the Cultural Heritage Administration of the Republic of Korea (CHA), have joined to support individual Programme activities. Core and long-term activities include the revision of the World Heritage management manuals and the creation of a web-based learning platform. The World Heritage Leadership Programme was conceived by ICCROM and IUCN as a key element of the implementation of the WHCBS – although by no means the only one, as the strategy was devised as a means for multiple capacity building providers at different levels to implement needed aspects of the strategy. The first phase of the World Heritage Leadership Programme will conclude in 2022, and an independent mid-term evaluation of the programme was carried out in 2020 by ICCROM and IUCN. Additionally, ICCROM carried out an [Internal Review of the WHCBS](#) in 2021, outlining the core lessons learnt and the key directions for the future.

Request for an Evaluation

At its 43rd session (Baku, 2019), the World Heritage Committee requested “ICCROM, in cooperation with the World Heritage Centre, IUCN and ICOMOS, to carry out a results-based evaluation of the implementation of the World Heritage Capacity-Building Strategy, consulting Category 2 Centres and other capacity building partners, for examination by the Committee at its 45th session in 2021” (Decision [43 COM 6](#)). Additionally, the Committee requested “ICCROM, in cooperation with the World Heritage Centre, IUCN, ICOMOS, the Category 2 Centres, and other capacity building partners, based on the above-mentioned evaluation, to review progress and outcomes of the World Heritage Capacity-Building Strategy for examination by the World Heritage Committee at its 46th session in 2022”. To that effect, the Committee invited States Parties to make funding available for these evaluations.

At its extended 44th session (Fuzhou/online, 2021), the Committee, with regard to its request for evaluations, noted “that no funding has been made available for this purpose to date” and thus allocated some seed money for this purpose, along with an invitation for States Parties to supplement this initial funding (Decision [44 COM 6](#)), which has already been acted upon.

To streamline the evaluation process, and in view of the 10-year anniversary of the WHCBS in 2021, the Committee agreed with World Heritage Centre’s proposal to carry out only one evaluation, to be followed by a revision of the WHCBS, for review by the Committee in 2023. Specifically, the Committee requested “the World Heritage Centre and ICCROM, in cooperation with IUCN and ICOMOS, to submit an independent results-based evaluation of the outcomes of the WHCBS, based on close consultation and a participatory, transparent, and inclusive process

with the States Parties and other capacity building stakeholders and beneficiaries, for examination at its 45th session” (Decision **44 COM 6**, Para. 11).

Purpose

The main objectives of the Evaluation are to assess the results of the WHCBS with respect to its goals, as specified in the text of the Strategy, and its contribution to the overall better implementation of the World Heritage Convention and the World Heritage Committee’s Strategic Objectives (“5Cs”), which informed the development of the WHCBS in 2011. It would also be useful to see how the WHCBS has contributed to UNESCO’s sectorial programme priorities for Priorities Africa and Gender Equality and themes, as defined in UNESCO Programme and Budget document (currently 40 C/5), although these were not an explicit part of the WHCBS’s scope when it was created.

The results of this Evaluation will be shared with the World Heritage Committee, the States Parties to the Convention, and all capacity-building stakeholders. To guarantee the transparency of the processes of the 1972 Convention, it will also be made available on the website of the World Heritage Centre (<http://whc.unesco.org>).

The findings of the Evaluation will serve as the basis for the revision of the WHCBS, to be presented to the World Heritage Committee at its 46th session (foreseeably in 2023). The Committee and/or the General Assembly of States Parties to the 1972 Convention, having previously reviewed the outcomes of the Evaluation, will then decide whether to adopt the proposed revised strategy.

It should be noted that, given the nature of the WHCBS as it was adopted in 2011, it does not easily lend itself to a strictly results-based evaluation, since it was conceived as a means of identifying the key paradigm shifts and needs for capacity building within the framework of the Convention, as well as the key capacity building actors. Using the World Heritage Committee’s Strategic Objectives as a framework, the strategy listed potential activities or focus areas for all stakeholders of the 1972 Convention as well as capacity-building and training partners. The intent was not a to create an integrated programme with a list of quantifiable actions with baselines, targets and a clear reporting schedule, but rather a general strategy that would allow a variety of capacity-building stakeholders to find the types of activities and themes that would represent a useful contribution to the overall goal of better implementing the 1972 Convention. This question was also addressed in the ICCROM [Internal Review of the WHCBS](#), published in May 2021, which already proposed some ideas for the revision of the WHCBS into a more results-based format.

Scope

To meet the purpose of the evaluation described above, the following parameters shall be considered by the experts responsible for conducting the evaluation and preparing a report that is consistent with UNESCO’s Evaluation Policy:

- a) Assess whether the activities effectively pursued as part of the WHCBS are in conformity with its defined scope, and whether the expressed goals have been reached in the period 2011-2021;
- b) Evaluate the relevance of the WHCBS in achieving the World Heritage Committee’s [Strategic Objectives](#) (“5Cs”) and UNESCO’s sectorial/inter-sectorial programme priorities and themes, as defined in the [UNESCO Programme and Budget \(40 C/5\)](#), notably the results identified in the Main Lines of Action (MLA) relevant to World Heritage (notably Programme IV, ER1, MLA 1);

- c) Assess the relevance of the WHCBS's contributions to relevant strategic frameworks and vision statements, e.g. the [Global Strategy for a Representative, Balanced and Credible World Heritage List](#), the [Strategic Action Plan for the Implementation of the World Heritage Convention 2012-2022](#), the [Kyoto Vision](#), the [Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention](#), the [Fuzhou Declaration](#) and any other relevant text;
- d) Review the quality of coordination and interaction between key stakeholders for capacity building (e.g. all levels of UNESCO, Advisory Bodies, Category 2 Centres, universities, National Commissions for UNESCO, national authorities and service providers such as Universities, regional training institutions and UNESCO Chairs, etc.) with regard to the planning and implementation of capacity-building activities;
- e) The degree to which the WHCBS has fulfilled its Mission Statement, and especially "favoured the development of effective actions and programmes to strengthen or develop capacities of practitioners, institutions, communities and networks for the conservation and management of World Heritage".

In addition, the experts shall offer recommendations in view of the requested update of the WHCBS, be it in terms of contents, format, or future reporting and evaluation of the Strategy.

Methodology

The evaluation of the WHCBS will include:

- A desk study of relevant documents provided by the UNESCO Secretariat;
- Collection of documents, reports and other data from key capacity-building stakeholders to establish the evaluation framework ;
- Assessment of a sample of activities implemented in the framework of the WHCBS;
- Interviews and/or surveys with key capacity-building stakeholders (including but not limited to UNESCO, Advisory Bodies, Category 2 Centres, Universities, Members of the World Heritage Committee, States Parties and national institutions);
- The preparation of the Evaluation Report.

An Evaluation Reference Group will be set up during the evaluation process. It shall be composed of representatives of the UNESCO WHC, Culture Sector Executive Office, ICCROM, ICOMOS, IUCN, and UNESCO's Internal Oversight Service (IOS), representatives of the Donor, representatives of the World Heritage Committee and other key stakeholders. The UNESCO WHC, IOS, the Advisory Bodies and other key capacity-building actors will be given the opportunity to comment on the draft Evaluation Report and provide feedback to the Evaluation Team. The UNESCO WHC and ICCROM will be responsible for peer reviewing and approving the final Evaluation Report, in consultation with ICOMOS and IUCN.

Inputs / Background Documents

UNESCO, in collaboration with ICCROM, shall make the following documents available to the Evaluation Team in electronic format:

- The [World Heritage Capacity Building Strategy](#) (June 2011);

- [Convention Concerning the Protection of the World Cultural and Natural Heritage](#) (1972);
- [Operational Guidelines for the Implementation of the World Heritage Convention](#) (latest version: 2019);
- The [UNESCO Medium-Term Strategy \(37 C/4\)](#);
- The successive UNESCO Programmes and Budget (C/5) for the period 2011-2021 ([2010-11: 35 C/5](#); [2012-13: 36 C/5](#); [2014-17: 37 C/5](#); [2016-2017: 38 C/5](#); [2018-19: 39 C/5](#); [2020-21: 40 C/5](#));
- The [Strategic Objectives](#) ("5Cs") of the World Heritage Convention;
- The [Global Strategy for a Representative, Balanced and Credible World Heritage List](#) (1994);
- The [Strategic Action Plan for the Implementation of the World Heritage Convention 2012-2022](#);
- The [Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention](#) (2015);
- The [Kyoto Vision](#) (Outcome Document of the 40th anniversary of the Convention, November 2012)
- The [Fuzhou Declaration](#) (2021);
- [Mid-term Evaluation of the World Heritage Leadership Programme](#) (ICCROM, 2020)
- ICCROM [Internal Review of the WHCBS](#) (2021);
- The World Heritage Global Training Strategy (2001) (Document: [WHC-01/CONF.208/14](#))
- [Relevant working documents of the World Heritage Committee](#) and [related Decisions](#);
- Available audit and evaluation reports.

Deliverables

A **draft Evaluation Report** shall be submitted in English. It shall present key findings, conclusions and recommendations, along with a full draft of the executive summary.

The Evaluator(s) shall present their key findings to the Evaluation Reference Group after circulation of the draft report.

After review and comments by the Evaluation Reference Group, a final Evaluation Report shall be submitted by late April 2022, taking into consideration the various comments made. This report shall be submitted to and reviewed by the World Heritage Committee at its 45th session (Kazan, 16-30 June 2022). (See also the Schedule section below.)

The **final Evaluation Report** (max. 50 pages, excluding annexes) should be structured as follows:

- Executive Summary (maximum four pages);

- Methodology, including the proposed evaluation framework;
- Findings;
- Recommendations, including for the update of the WHCBS;
- Annexes (including interview list, key documents consulted, Terms of Reference).

The experts can choose to write the report in English or French. UNESCO will ensure the translation of the document into the two working languages of the 1972 Convention.

Required Qualifications for the Review Team

- No prior involvement in the design and implementation of the World Heritage Capacity-Building Strategy (occasional attendance of events or meetings is acceptable);
- At least 7 years of professional experience in research and/or capacity-building in the field of cultural and natural heritage, and heritage policy and development;
- At least 7 years of professional experience in policy and programme evaluation in the context of international development;
- Fluency in English (written and spoken) (knowledge of French desirable);
- Knowledge of the role and mandate of UNESCO and its programmes, and of the World Heritage Convention.

Schedule & Reporting

The evaluation shall be completed no later than **30 April 2022**.

The schedule for the evaluation process is as follows:

Activity / Deliverable	Date
Data Collection, Analysis and Desk Study	March 2022
Scoping Interviews	March 2022
Draft Evaluation Report	Late March 2022
Workshop with the Evaluation Reference Group and key stakeholders, incl. presentation of preliminary findings	Late March 2022
Final Evaluation Report in English	End of April 2022
Presentation of the Evaluation to 45 th session of the World Heritage Committee	16-30 June 2022

Unless other options are facilitated by geographical proximity, the interviews and any coordination or feedback meetings will take place online.