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CONVENTION CONCERNING THE PROTECTION OF THE WORLD
CULTURAL AND NATURAL HERITAGE

WORLD HERITAGE COMMITTEE

Twenty-eighth session

Suzhou, China
28 June – 7 July 2004

Item 10B of the Provisional Agenda:

Progress Report on the Evaluation of the World Heritage Fund Emergency Assistance

SUMMARY

Following discussions concerning the currently applied procedures and mechanism for the application of International Assistance, and in particular Emergency Assistance, at the 26th session of the World Heritage Committee (Decision **26 COM 25.3**), and the allocation of funds for an evaluation of International Assistance at the 27th session of the World Heritage Committee (Decision **27 COM 11.1**), the World Heritage Centre commissioned an independent evaluation of the World Heritage Fund's Emergency Assistance from 1998-2003. This document reports on the early findings and recommendations of this evaluation.

This document is composed of the following:

- PART I REVIEW OF THE WORLD HERITAGE FUND'S EMERGENCY
 ASSISTANCE ACTIVITIES, 1998-2003
- PART II ISSUES FOR FURTHER CONSIDERATION

Proposed action by the World Heritage Committee: The Committee is requested to review the approach used by the evaluation, its findings and recommendations and agree to an action plan for strengthening the design and delivery of Emergency Assistance.

Draft Decision : **28 COM 10B**, see page 20

PART I REVIEW OF THE WORLD HERITAGE FUND'S EMERGENCY ASSISTANCE ACTIVITIES, 1998-2003

A. Background and Rationale

1. This document reports on the early findings of an independent evaluation of the World Heritage Fund's Emergency Assistance carried out for the World Heritage Committee and Centre. It responds to a proposal made to the Committee as follows:
 - a) Discussions concerning the currently applied procedures and mechanism for the application of International Assistance, and in particular Emergency Assistance, at the 26th session of the World Heritage Committee (Decision **26 COM 25.3**);
 - b) During the 27th Committee meeting, the Chairperson of the Committee noted that "a serious evaluation of International Assistance was necessary" (27th Committee, June 2003, Item 12.15, Draft Summary Records) ;
 - c) The allocation of funds for an evaluation of International Assistance at the 27th session of the World Heritage Committee (Decision **27 COM 11.1**).

The evaluation was commissioned in November 2003.

2. According to the Terms of Reference, the evaluation examines, to the extent possible, the performance of Emergency Assistance, and more specifically, relevance, efficiency, and outcomes during the years 1998-2003. It provides an overview of the portfolio and trends including the annual approval and disbursement record, types of activities funded, and regional distribution. The delivery of Emergency Assistance is also examined. The Evaluation then presents a summary of key issues and a set of recommendations for action.

While the focus is on Emergency Assistance, the findings have implications for International Assistance from the World Heritage Fund in general.

B. Evaluation Methods

3. The Evaluation follows international guidelines on ex post evaluation methods and procedures, including those of UNESCO, the World Bank and European Commission.

This review of the Emergency Assistance under the World Heritage Fund is based on:

 - a) A thorough analysis of UNESCO World Heritage Fund reports and guiding documents;
 - b) A portfolio review of all applications for Emergency Assistance from 1998-2003;
 - c) Meetings with Advisory Bodies (IUCN, ICOMOS, ICCROM) which review Emergency Assistance proposals;
 - d) Interviews with World Heritage Centre staff, including regional desks and administration;

- e) Questionnaires sent to selected World Heritage States Parties Committee members;
- f) Interviews with leading cultural and natural heritage experts knowledgeable about the World Heritage Fund Emergency Assistance;
- g) Research on disaster preparedness and mitigation efforts at the international and national level.

All Emergency Assistance request forms and auxiliary information were analyzed, both individually and on a regional basis.

4. The evaluation faced certain limitations:
 - a) Uneven thoroughness of documentation and gaps in documentation for activities in 1998;
 - b) Absence of monitoring or evaluation indicators, and information for the individual activities;
 - c) A poor response rate to the questionnaire sent to World Heritage States Parties Committee members; and
 - d) Due to resource constraints, lack of field visits to Emergency Assistance activity sites for the purpose of verification of results.

C. What is Emergency Assistance?

5. Since coming into force in 1978, the *World Heritage Convention concerning the protection of the world cultural and natural heritage* and its World Heritage Fund have provided some form of assistance for disasters. This assistance has evolved over the last three decades. Article 21. 2 of the *World Heritage Convention* states that “Requests based upon disasters or natural calamities should, by reasons of the urgent work which they may involve, be given immediate, priority consideration by the Committee, which should have a reserve fund at its disposal against such contingencies.”
6. Under the World Heritage Fund, assistance to States Parties, called International Assistance, can take five different forms and can be provided upon the request of the States Parties themselves. Emergency Assistance is one form; the others are Preparatory Assistance, Technical Cooperation, Training, and Assistance for educational, information and promotional activities. In the early years of the World Heritage Fund only the briefest notion of Emergency Assistance was given: “Emergency assistance can be provided for the preparation of urgent nominations, to draw up “emergency plans” or to take emergency measures for the safeguarding of properties *inscribed on or nominated* to the World Heritage List.”
7. In 1997, the World Heritage Committee stated that Emergency Assistance was made available for three sorts of activities (*WHC-04/10/97*):
 - a) Preparing urgent nominations of properties for the World Heritage List in conformity with paragraph 67 of the “*Operational Guidelines for the implementation of the World Heritage Convention*”;

- b) Drawing up an emergency plan to safeguard properties inscribed on or nominated to the World Heritage List;
 - c) Undertaking emergency measures for the safeguarding of a property inscribed on or nominated to the World Heritage List.
8. The *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2002), under paragraph 96, provided further definition:
- “States Parties may request emergency assistance for work in connection with cultural and natural properties included or suitable for inclusion in the World Heritage List and which have *suffered severe damage due to sudden, unexpected phenomena (such as sudden land subsidence, serious fires or explosions, flooding) or are in imminent danger of severe damage caused by these phenomena*. Emergency assistance does not concern cases of damage or deterioration that has been caused by gradual processes such as decay, pollution, erosion etc...”
9. Requests for emergency assistance may be sent to the Secretariat at any time using Form WHC/5. The World Heritage Centre should consult to the extent possible relevant advisory bodies and then submit these requests to the Chairperson who has the authorization to approve emergency requests up to an amount of US\$50,000 whereas the Bureau can approve requests up to an amount of US\$75,000.
10. In terms of priorities for granting of international assistance, the Committee agreed that the first priority was “emergency measures to save property included, or nominated for inclusion, in the World Heritage List” followed by “projects which are likely to have a multiplier effect (‘seed money’)”.
11. The April 2004 revised version of the *Operational Guidelines* (at the time of preparing this document the revised *Operational Guidelines* were awaiting approval by the Chairperson of the 27th session of the Committee), lists the five types of International Assistance in order of priority with Emergency Assistance at the top of the list (Paragraph 181 of the revised *Operational Guidelines*). The purpose of Emergency Assistance has been extended to include properties “on the national Tentative List, which are suitable for inclusion on the List of World Heritage to (ii) address ascertained or potential threats facing the properties, which have suffered severe damage due to sudden, unexpected phenomena. Such phenomena may include man-made disasters such as war.” (*Operational Guidelines for the Implementation of the World Heritage Convention*, Annex 9).

Operational Guidelines for the Implementation of the World Heritage Convention, Annex 9

<p>Emergency assistance</p>	<p>This assistance may be requested to support work benefiting properties (which have suffered severe damage or are in imminent danger of severe damage) inscribed on the List of World Heritage in Danger, the World Heritage List, or the national Tentative List which are suitable for inclusion on the List of World Heritage to:</p> <ul style="list-style-type: none"> a) draw up an emergency plan; b) address ascertained or potential threats facing the properties which have suffered severe damage or are in imminent danger of severe damage due to sudden, unexpected phenomena. Such phenomena may include land subsidence, extensive fires, explosions, flooding or man-made disasters including war. This assistance does not concern cases of damage or deterioration caused by gradual processes of decay, pollution or erosion. c) prepare urgent nominations of properties for their inscription on the List of World Heritage in Danger and the World Heritage List. d) undertake emergency measures for the safeguarding of the property. 	<p>Payment of dues to the World Heritage Fund for the previous year not obligatory</p>	<p>Any time for requests under US\$ 75,000</p>	<p>Up to US\$ 75,000 Committee Chairperson any time</p> <p>Over US\$ 75,000 Committee June/July</p>
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D. Emergency Assistance in the Perspective of International Disaster Management

12. Emergency Assistance, for it to fulfil its promise, must be seen in the context of international disaster assistance and management. Current research indicates that disasters are becoming more frequent and severe. Current thinking on disaster management focuses on the integration of cultural and natural heritage with other aspects, risk preparedness and reduction, and emergency plans.
13. The World Bank has amassed important experience of disaster management and reconstruction. An emergency is defined in the World Bank Operations Manual as “an extraordinary event of limited duration, such as a war, civil disturbance, or natural disaster. Examples of natural disasters include cyclones, droughts, earthquakes, floods, forest fires, and tidal waves. Among the criteria for deciding whether to provide Emergency Recovery Lending are: frequency – for regular events such as annual flooding, other loans are more appropriate; urgency – for slow-onset disaster such as a drought, a regular project with ample time for preparation may be preferable; prospects for reducing hazards from similar natural disasters in the future. Mitigation refers to policies and actions that are intended to reduce the impact of disaster the next time it occurs.”
14. Organizations such as Blue Shield, World Monument Fund’s World Monument Watch, Flora and Fauna International, the Prince Claus Fund for cultural emergencies, ICOMOS Heritage at Risk, and others provide both disaster assistance and advocacy services.
15. The pilot project developed by the Centre, IUCN, UN Foundation and the Fauna Flora International (FFI) of UK to set up a Rapid response Facility for World Heritage Conservation, tests a model for generating targeted extra-budgetary financing for emergency assistance as foreseen under the World Heritage Fund. The pilot phase of two years for which UNF and FFI together have committed to provide US\$1.5 million, could provide insights into ways and means of setting up, operationalizing and sustaining an emergency assistance facility over the long term.

E. Evaluation Findings

16. Information sources:
Information on Emergency Assistance requests and activities in the World Heritage Centre files proved to be uneven in level of detail and reliability. From 2000 onward, the data were considerably more consistent and have fewer gaps. Prior to this date, the information provided was thin, and in 1998 and 1999 sometimes contradictory. Since 1998, with the introduction of the internal World Heritage Centre International Assistance database, this information has corresponded to the documents provided to the World Heritage Chairperson, Bureau or Committee for the examination of a request. Additional information was provided by World Heritage Centre staff, the

Advisory Bodies, State Parties, and cultural and natural heritage and disaster management experts.

17. Portfolio Review:

During the six-year period under review, 1998-2003, a total of 72 requests were approved amounting to US\$3,686,866. Three requests were not approved. Ten requests were approved the same year, but committed within two years. Consequently, they appear in more than one year. Several requests were never presented to the Committee for approval, either because of lack of funding at that time or because of incomplete information. Three requests were approved but divided into two requests:

- a) Tblisi Historic District, Georgia 2002 and 2003, to be carried out over two years;
- b) Historic Center of Goias, Brazil, 2002, to be approved by the Chairperson and the World Heritage Bureau prior to the Committee meeting; and
- c) Curonian Spit, Russian Federation and Lithuania, 2000, a trans-border property presented by the two States Parties.

18. Number of requests:

For the period of the Evaluation the number of requests has been more or less stable at around 12 requests per year. Some years show a larger number of requests, especially because of the Emergency Assistance requests that are repeats. The average amount of an Emergency Assistance request is US\$53,000. The amounts requested, however, have evolved: until 2000, some requests were below US\$10,000 while the maximum amount requested was US\$100,000. After 2000, there is no request below US\$25,000 (the request for Brazil of US\$7,288 is in fact a second instalment of the US\$50,000, which was divided in two to be immediately approved by the Chairperson and the Bureau without having to wait for the next World Heritage Committee session, 3 months later). The frequency of requests for US\$50,000, the ceiling for approval by the Chairperson of the World Heritage Committee, has increased.

Table 1: Emergency Reserve Fund under the World Heritage Fund and the International Assistance Budget approved by the World Heritage Committee (amounts in US dollars)

	1998	1999	2000	2001	2002	2003
World Heritage Fund Budget approved	4,887,083	5,426,000	5,905,469	5,599,272	5,446,490	5,069,000
International Assistance Budget approved	2,940,000	3,226,000	3,230,000	2,955,000	2,894,745	2,570,000
Emergency Reserve Fund approved by the World Heritage Committee	500,000	600,000	600,000	600,000	789,300	700,000
% of Emergency Assistance out of World Heritage Fund	10.2%	11.1%	10.2%	10.7%	14.5%	13.8%
% of Emergency assistance out of International Assistance	17.0%	18.6%	18.6%	20.3%	27.3%	27.2%

Table 2: Emergency Assistance Requests Approved by the World Heritage Committee and Funds Committed (1998-2003) (amounts in US dollars)

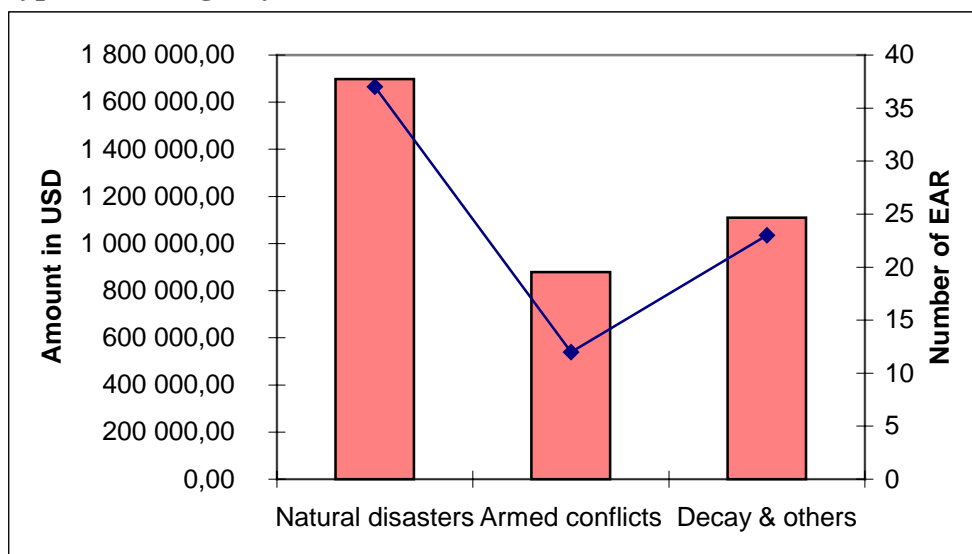
	1998	1999	2000	2001	2002	2003
Annual allocation set by the Committee for Emergency Assistance within the World Heritage Fund	500,000	600,000	600,000	600,000	789,300	700,000
Amount of approved Emergency Assistance requests	655,250	697,329	503,782	485,015	789,266	556,224
% of approved Emergency Assistance requests	131.1%	116.2%	84.0%	80.8%	100.0%	79.5%
Amount of committed Emergency Assistance requests	325,097	583,928	460,381	283,798	715,521	553,798
% of committed Emergency Assistance requests	49.6%	83.7%	91.4%	58.5%	90.7%	99.6%

19. Despite the decrease of the overall annual budget of the World Heritage Fund, the Emergency Assistance budget line has increased during this period from US\$500,000 in 1998 to US\$789,300 in 2002. This contrasts with the overall reduction in the World Heritage Fund during the same period. Since 2000, the amount of requests approved is no longer superior to the budget approved by the World Heritage Committee. On the other hand, the percentage of approved requests that has been committed has increased to reach almost 100% in 2003. Although the amount committed does not necessarily correspond to the amount disbursed for the request, it indicates effort in implementation, especially on the part of the World Heritage Centre.

20. Types of emergencies:
 The review demonstrates that Emergency Assistance has been provided for three major types of emergency situation: those caused by natural disasters such as hurricanes, flooding and earthquake; armed conflicts and post-conflict reconstruction; and degradation and loss due to neglect or poor management. During the six-year period under review, 46% of the Emergency Assistance funds approved were for properties suffering from natural disasters, 24% for conflicts and post-conflict reconstruction, and 30% of the amount approved are for properties, which are on state of emergency because of gradual decay and inadequate site protection and management over time.

This translates to approximately 51% of natural disaster projects, 17% armed conflicts and post-conflict reconstruction; and 32% decay and other.

Chart 1 Distribution of the Emergency Assistance Requests according to the Types of Emergency Situations (1998-2003)

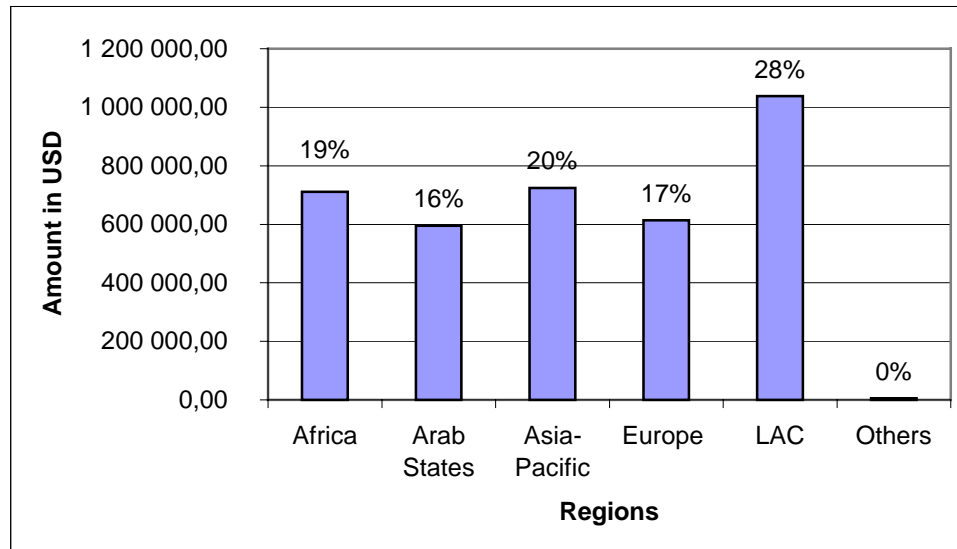


21. Activities funded:
The types of activities funded include: archaeological and architectural restoration works, heritage inventories; environmental rehabilitation and clean up. Equipment such as cars, computers and other equipment were purchased. Seminars and training activities were held. Other items were: remuneration for park staff; travel expenses; and consultant fees. During the six-year period under review, no request was made for preparation of an urgent nomination for a property to the World Heritage List.
22. Since 1999, a new type of Emergency Assistance was introduced, targeting all heritage sites in one particular country. The stated aim is to promote the *World Heritage Convention* in countries in crisis (Afghanistan, Palestinian Territories).
23. The last six years saw Emergency Assistance becoming a “miscellaneous” category, and a last resort funder, when other funds are not forthcoming.

F. Regional characteristics and distribution

24. There was considerable variation in regional distribution, as illustrated below.

Chart 2: Regional Distribution of the Emergency Assistance Requests (1998-2003)



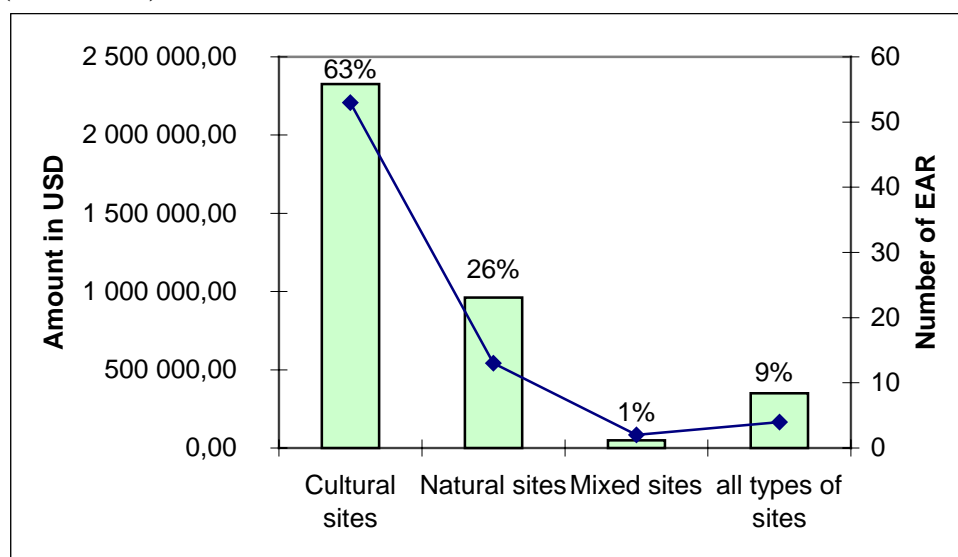
- a) The Latin American and Caribbean region has received both the largest amount and number of emergency assistance funding over this period, although no request from this region has been approved in 2003. The majority of requests were prompted by natural disasters such as Hurricane Mitch and El Niño. A number of emergencies are due to recurrent phenomena or human causes such as fire and an oil spill. There are instances of preventive actions or emergency plans that were funded.
- b) For Asia – Pacific requests, natural disasters usually involved flooding. Post-conflict reconstruction was the rationale in two countries. Human neglect and uncoordinated development was another major cause cited. There was no mention of preventive measures or disaster planning, even in cases of recurrent disasters.
- c) In the Arab States, post-conflict reconstruction and neglect were the two preponderant causes of damage. General environmental deterioration was the reason for several requests. Budgets were very general and in two cases a substantial portion of the grant (up to one third of total amount) was for an international project coordinator with no detailed description of roles and responsibilities. There was no mention of emergency planning or preventive measures.
- d) The pattern for Europe and North America was that the most common cause of requests was natural disasters, namely floods and hurricanes. Weak land-use planning was another motive. A number of proposals for training and workshops were approved, although this is outside the remit of Emergency Assistance.

- e) In Africa the predominant rationale for Emergency Assistance is conflict and post-conflict reconstruction. There were some natural disasters such as mudslides although most were recurrent problems tied to inadequate maintenance. Man-made causes included the negative environmental impacts of closing of a dam.

G. Natural, Cultural and Mixed properties

25. Although the number of Emergency Assistance requests for natural properties is lower than the cultural properties (13 Emergency Assistance requests were approved for natural properties, 52 for cultural properties), the average amount requested is much higher (US\$73,916 for natural properties, US\$44,695 for cultural properties). Except for Africa, the majority of Emergency Assistance requests in each region is for cultural properties. In Latin American and Caribbean only one request was for a natural site (Galapagos Islands, Ecuador). For all regions, only one mixed site has received an Emergency Assistance request (Curonian Spit, Russian Federation/ Lithuania).

Chart 3 Proportion of cultural, natural and mixed properties for all regions (1998-2003)



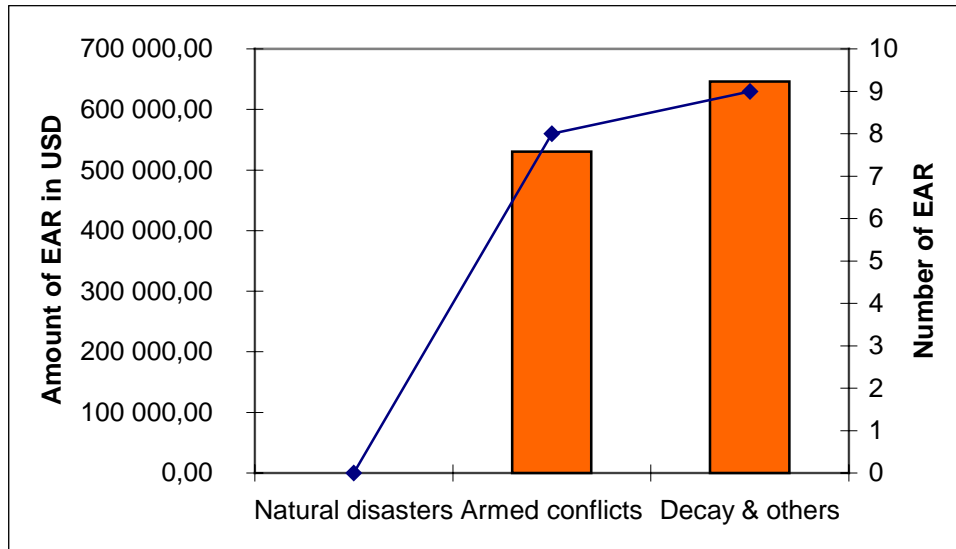
“all types of sites” refers to requests for national level activities, as in the case of the Palestinian Authority, Afghanistan, Iraq.

H. World Heritage in Danger

26. Some 14 properties on the List of World Heritage in Danger have received Emergency Assistance, the majority of which are natural properties in Africa (Democratic Republic of the Congo, Uganda, Central African Republic). The Evaluation revealed some confusion in the relationship between World Heritage in Danger and Emergency Assistance, with several respondents equating them. The creation of a separate funding stream for World Heritage in Danger in 2004 should help clarify the distinction between sites, which need assistance due to cumulative deterioration, and those that have been affected by sudden damage. Interestingly, all of the Emergency Assistance

used for World Heritage in Danger properties are for decay or conflicts and none for natural disasters.

Chart 4: Distribution of the Emergency Assistance requests for World Heritage properties in danger according to the types of emergency situations (1998-2003)



I. Summary of Research Findings:

27. An examination of documentation, and intensive interviews with World Heritage Centre staff and other stakeholders reveals the following trends:
 - a) Documentation improved after 2000 while from 1998-2000 many gaps are apparent in the International Assistance requests submitted;
 - b) Many repeat requests were submitted – a total of nine. Most were requested either in 1998 or in 2001 (the two lowest years in terms of amount committed);
 - c) Heavy damage to multiple properties occurred due to major natural disasters such as Hurricane Mitch, El Niño, and severe earthquakes;
 - d) An important share of requests represent recurrent environmental or development control problems such as in Ichkeul (Tunisia), Zabid (Yemen) or Iraq (Ashur);
 - e) The number and size of conflict and post-conflict reconstruction grants increased, especially in Africa and the Arab States;
 - f) EA was provided in many cases that do not fit the definition of EA, both for types of interventions such as training as well as for causes such as human neglect and gradual decay;
 - g) Reactive Monitoring missions and State of Conservation reports (SOC) after 2000 were mentioned as prompts for assistance requests;
 - h) Regional Offices of UNESCO took a greater role after 2000 as part of an overall decentralization effort, but this was not matched with a system to ensure accountability on the part of the Regional Offices to the World Heritage Centre;

- i) Latin America and the Caribbean show some evidence of using Emergency Assistance for preventative work and mitigation planning (Joya de Ceren, El Salvador);
- j) Emergency Assistance is given to all States Parties, irrespective of payment of their compulsory contributions. A total of 33 Emergency Assistance requests were granted to States Parties that were in arrears. This amounts to 52% of the total amount of the Emergency Assistance over the six years (US\$1,904,125).

J. Identification and Preparation of Emergency Assistance Requests

28. Although proposals were generally better prepared after 2000, the information provided lacks adequate evidence to ensure that objectives will be met and that actions relate to these objectives. The Evaluation draws attention to the following characteristics of the identification and preparation process:
- a) The preparation of requests is defined as the responsibility of States Parties, while in reality the World Heritage Centre assist in the preparation of many of the requests. Evidence suggests that many requests would not have been provided without a proactive approach by the Centre and Advisory Bodies. There is considerable variability in the level of detail in proposals;
 - b) The objectives of the projects are often poorly articulated, as are the mechanisms that will be used to achieve them;
 - c) Work plans are sketchy, with little information presented about roles and responsibilities for implementation;
 - d) Budgets are often general, with amounts up to \$30,000 having no further itemization of costs;
 - e) In some cases the World Heritage Committee recommended that a States Party propose an activity for Emergency Assistance, even where it was not strictly eligible for Emergency Assistance under the applicable working definition (in the case of Zabid, Yemen the Bureau recommended that the Yemeni authorities send an Emergency Assistance request, June 2000).

K. Selection Process

29. Decisions about the majority of proposals are taken in a timely manner, averaging less than three months. This points to the diligence of the World Heritage Centre staff, the Advisory Bodies and the World Heritage Chairperson. Justification for selection, however, is not always linked to the working definition of emergencies as “severe damage due to sudden, unexpected phenomena.” In regard to the selection process, the Evaluation notes the following:
- a) The turn around time from submission of Request to decision is generally less than three months;
 - b) Reviews by Advisory Bodies took place, yet without an agreed format. Their comments function as a non-objection rather than as expert guidance. At the Advisory Bodies meeting in Gland in January 2004, they noted the need for standard criteria for the evaluation of International Assistance requests;

- c) The World Heritage Committee has overridden the Advisory Bodies recommendations not to approve Emergency Assistance requests in several cases;
- d) Three tiers of decision-making are in use, depending on amount – Chairperson for amounts of US\$50,000 or below, Bureau for amounts of US\$75,000 or below, and the Committee for amounts above US\$75,000;
- e) Many requests come in at \$50,000. In part this may be due to the practical consideration that the Committee meets only once a year so it is a way to obtain funding without waiting for the next annual Committee meeting.

L. Implementation

30. The Evaluation points to a picture of weak definition of responsibilities and accountability, little documentation during implementation, and minimal procurement or financial information on how the funds that have been transferred to UNESCO Regional Offices are used. The following are among the salient characteristics in implementation:
- a) Institutional responsibilities, and the interface between responsible government agencies and other institutions or NGOs are weakly defined leading to unsatisfactory implementation and failure to maximize on other disaster management efforts;
 - b) The choice of implementing agency can be: (i) indicated in the requests by the States Party, (ii) selected in consultation between the World Heritage Centre and the States Party; (iii) taken on as the responsibility of the World Heritage Centre without any guidance on the part of the requesting States Party. This selection process can be time consuming and may not result in maximum institutional development impact;
 - c) Many projects have difficulty to complete activities in 12 months. Until 2002, any approved Emergency Assistance request had to be committed within the same year and the funds can be disbursed until the end of the following year (completion within maximum of two years). Since 2002, with a budget approved for two years, the completion of an Emergency Assistance request approved during the first year of the biennium can be three years;
 - d) With projects where UNESCO Regional Offices are responsible, implementation is largely left to their discretion, without systematic reporting to the World Heritage Centre;
 - e) No interim reports or site supervision are required to verify results; although monitoring missions are sometimes used;
 - f) World Heritage Centre Regional desks keep track, informally, of progress.

M. Monitoring and Evaluation

31. The evaluation shows that Emergency Assistance is an activity that has little feedback. Monitoring and evaluation have largely been bypassed. More specifically:
- a) No requirements for monitoring are in force;
 - b) There is no standard format for final reports. For the three types of contract used for Emergency Assistance, that is Activity Financing Contracts (AFCs), Fee Contracts (FCs), and Consultancy Contracts (CCs), different practice prevails. For Activity Financing Contracts a final report with a final financial statement and supporting justification are required to receive the last payment. Fee Contracts are generally lump sum payments and are authorized by the responsible desk unit and administration upon presentation of work; when appropriate a financial statement is also required. Fee Contracts are the least used contracting form for Emergency Assistance. For Consultancy Contracts a final report is necessary, and in the case of expenditures a financial accounting is mandatory. For decentralized Emergency Assistance activities, reporting to the World Heritage Centre varies, depending on the respective UNESCO Regional Office and its relationship with the World Heritage Centre;
 - c) The last evaluation of International Assistance, in 1998, was not endorsed by the Committee or acted upon, as its results were not action oriented.
32. Various individuals concerned with Emergency Assistance have noted that the objectives, scope and rules governing Emergency Assistance are not well known and would benefit from clear explanation to all parties who are involved.
33. It should be noted that the revised *Operational Guidelines* include the following:
- 195.** The Committee will adopt a mechanism for tracking progress, evaluation and follow-up of International Assistance, to be reviewed and updated on a regular basis. This mechanism will include monitoring and evaluation of the effectiveness of the International Assistance provided within twelve months of the activity's completion. The results of these evaluations will be collated and maintained by the World Heritage Centre in collaboration with the Advisory Bodies and examined by the Committee on a regular basis to enable it to evaluate the effectiveness of the International Assistance and to redefine its priorities.

N. Evaluation of Impacts

34. The documentation available fails to provide adequate data about Emergency Assistance impacts. Rather, information is anecdotal and inconsistent and because site visits and supervision are not carried out, there are no independent reports to draw upon. A number of observations, however, can be made.

35. Relevance:

The Evaluation considered, to the extent possible, relevance, efficacy and efficiency. Many observers judge Emergency Assistance by its ability to provide a rapid response to a situation. Others question what Emergency Assistance leads to.

The following comments can be made:

- a) In view of the ever-increasing force, extent of natural disasters and climatic changes, some form of emergency assistance for World Heritage properties is justified. In its present form, the relevance of Emergency Assistance could, however, be improved.
- b) Some see Emergency Assistance as *technical assistance for crises*, in view of the weak criteria and selection process. There is a need, therefore, to tighten the identification, preparation and selection procedures.
- c) As World Heritage moves to a more programmatic approach, the role of Emergency Assistance will of necessity, evolve.
- d) There is an ethical component to be considered, as the *World Heritage Convention* and UNESCO believe they should be present in cases of disaster. Moreover UNESCO is often asked for its help for emergencies affecting natural and cultural heritage. In the case of natural heritage very few cases attract the attention of the Committee, UNESCO and the broader public in contrast to cultural heritage, despite the fact that several Emergency Assistance's for natural heritage have shown strong performance as seed money with significant multiplier effects.

36. Outcomes:

There is evidence that some assistance has made a difference (for example Joya El Ceren, El Salvador) while in others, results on the ground are difficult to measure. A key question is whether Emergency Assistance had an impact on vulnerability. In what ways has vulnerability been reduced?

- a) Of the six properties granted Emergency Assistance that were not on the World Heritage List, four have subsequently been added (Archaeological Site of Zvartnots, Armenia; Medina of Essaouira, Morocco; Ashur, Iraq; Curonian Spit, Russian Federation and Lithuania), thus fulfilling one of the stated aims of Emergency Assistance. However, none of the Emergency Assistance was requested to prepare an urgent nomination dossier;
- b) Evidence for its leveraging effect is similarly uneven, and often dependent on the initiative of a World Heritage Centre staff member. Positive examples are Cesky Krumov (Czech Republic) and the five World Heritage sites in the Democratic Republic of the Congo (DRC);
- c) The question of visibility of Emergency Assistance is debatable – in some cases the fact that the site is a World Heritage site is the primary motivation for donors (Butrinti, Albania), in other cases the convergence of a number of UNESCO and partner (UN Foundation) funding sources (DRC) was important. Is it important that Emergency Assistance has its own “brand” recognition?;

- d) Of particular importance is whether countries have initiated disaster prevention measures as a result of Emergency Assistance. Based on information at hand, this is far from clear.
37. Institutional Development Impacts:
In sum, the institutional development impacts of Emergency Assistance are weak, due in part to inadequate attention to institutional arrangements in the proposals. There is little evidence that national authorities are better equipped to deal with emergencies after Emergency Assistance.
- a) The model of international assistance that sees States Parties as aid recipients, rather than active partners in definition and implementation of work, prevails in Emergency Assistance;
 - b) Little training is offered directly under Emergency Assistance. Developing capacity is not a primary concern. Site managers, who have primary responsibility for safeguarding properties seem to be virtually absent in the Emergency Assistance process. However training is offered under other types of International Assistance;
 - c) To date, there has been little effort to draw lessons from the Emergency Assistance experience for discussion and dissemination in the recipient countries.
38. Sustainability:
The sustainability of Emergency Assistance is generally poor, with little attention to sustainability in project design.
- a) Requests provide no information on proposed maintenance of properties or ongoing funding;
 - b) There are very few mitigation plans among the Emergency Assistance requests;
 - c) Public awareness efforts are limited so that long-term support for World Heritage sites facing crises or emergency situations is not enhanced.
39. Efficiency:
Scale is an issue that is largely ignored, although many of the disasters are severe and have resulted in high cost implications (as for example in China where \$60,000 was requested versus US\$2.5 million overall rehabilitation cost). This raises the important question of *selectivity*, which is how Emergency Assistance funds can be used to greatest effect. In some Emergency Assistance requests, a clear financial or human resource involvement from the State Parties is stated, showing that the Emergency Assistance will help in a more general framework of actions. In other, the requesting States Parties do not mention their actions or relate the Emergency Assistance to a broader frame of actions.
- a) Most grants are approved within three months of submission (from 2000 onward), suggesting that it does fulfil its function of an urgent response mechanism. The flexibility in the way criteria and eligibility has been applied play a role in this quick response;

- b) The performance of Emergency Assistance is mixed. The World Heritage Centre has improved the administration of the grants while the implementation has sometimes lagged. Some regions have demonstrated quite a pro-active approach, especially Latin America and the Caribbean.
40. Summary of Findings:
The Evaluation points out these facts:
- a) Processing of requests by the World Heritage Centre and Advisory Bodies is generally within three months;
 - b) The performance of the projects is variable, with some well-conceived and executed projects and others that did not reach their main objectives. Others have even been changed in the implementation phase without any new approval;
 - c) Proposals that are repeated over two or more years and cancellations are a worrying feature as they effectively block funds that could be used elsewhere;
 - d) Disbursement records indicate projects that were not completed in the one-year project period and some that were never completed. In some cases funds are disbursed within one year with implementation stretching out over two years.

PART II – ISSUES FOR FURTHER CONSIDERATION

41. The analysis of the Emergency Assistance portfolio leads to a consideration of issues of policy and delivery of Emergency Assistance.
42. Policy Context:
Examination of underlying policies suggest the following observations:
- a) One of the main weaknesses of Emergency Assistance is that preparedness and prevention are seldom a focus of attention. They are not mentioned in documents and few activities promote either mitigation policies or procedures;
 - b) The blurring of categories, for example use of Emergency Assistance for post-conflict reconstruction or cases of failure of national governments to maintain properties and enforce policies, contravenes *Operational Guidelines* and creates confusion among State Parties;
 - c) Incentives are needed to encourage good stewardship and management of World Heritage Properties and it is not clear that awarding Emergency Assistance to States Parties for properties suffering from deterioration due to neglect has a positive influence on national policy;
 - d) Given that the number and scale of natural disasters are increasing and that the number of properties on World Heritage List has increased to 754, funds will be increasingly scarce. Strategic use of Emergency Assistance is necessary to maximize its impact.

43. Delivery of Emergency Assistance:
While there has been an improvement in Emergency Assistance administration in the last years, there is scope for improvement as follows:
- a) Application forms lack adequate detail in regard to selection process and criteria, institutional arrangements, the work of other donors, sustainability;
 - b) The role of Advisory Bodies in reviewing/evaluating proposals is customary but not defined. They have indicated that they are developing draft criteria for evaluation of Emergency Assistance requests;
 - c) When the de facto choice of implementing agency is made by the World Heritage Centre, there needs to be a mechanism to ensure the commitment of State Parties to the Emergency Assistance activities;
 - d) Reporting requirements are inadequate to assess results and impacts. Monitoring and evaluation provisions are needed, provided with appropriate capacities and funds, on an ongoing basis;
 - e) The role of UNESCO Regional Offices is ambiguous with no real accountability vis-à-vis the World Heritage Centre;
 - f) Tying up of funds occurs when funds are not committed in a timely manner.
44. Conclusions
The analysis presented above leads to the following conclusions:
- a) The Evaluation is an opportune time to bring World Heritage policies and procedures in regard to emergency preparedness and mitigation up to date, and to incorporate the advances in practice of the last decade. Emergency preparedness and mitigation is an area in which the World Heritage Fund can become more effective. The results of Periodic Reporting should be reviewed for indications of areas of need and opportunity for crises and emergencies;
 - b) Emergency Assistance has certainly had some positive impacts and its flexibility has enabled it to finance a variety of activities. But it is important to see Emergency Assistance not in the light of “what it is doing, but what it is not doing and should be doing”;
 - c) The World Heritage Fund grants for Emergency Assistance have not been guided by a well-thought out strategy;
 - d) Greater coordination and a more pro-active stance by the various actors within the process of an Emergency Assistance request would lead to more sustainable results;
 - e) Project approaches are basically reactive and may not create the right incentives. There are a significant number of cases of recurrent disasters that have received multiple grants;
 - f) The current Emergency Assistance policy is not well understood, judging from the fact that applications are received and approved for activities that do not strictly meet the definition of severe damage due to sudden, unexpected phenomena;
 - g) A rethink of Emergency Assistance is needed in view of the increasing needs and record of use for situations, though needful of assistance, that are outside the definitions set by the *World Heritage Convention* and the *Operational Guidelines*. Is Emergency Assistance a situation rather than a budget line of International Assistance? ;

- h) Since Emergency Assistance can be granted to State Parties that are in arrears, it provides certain flexibility. It may in turn explain why some Emergency Assistance requests were approved for situations that are beyond the scope of the Emergency Assistance (decay, loss, etc.).
45. Recommendations
- The Evaluation suggests that the World Heritage Committee, the World Heritage Centre and the Advisory Bodies implement the following key actions:
- a) Reassess attitudes towards emergencies and bring its policies and procedures up to date;
 - b) Revise the proposal format in line with the International Assistance proposal form recommended by the *Operational Guidelines*, and include reporting requirements;
 - c) Finalize criteria for Advisory Bodies to use in selection of proposals;
 - d) Conduct training to raise skills level of World Heritage Centre and Advisory Bodies (possibly interested members of the World Heritage Committee) in regard to disaster preparedness and mitigation. Training and/or awareness raising for the primary stakeholders in charge of the implementation, monitoring and reporting of the Emergency Assistance, such as UNESCO Regional Offices, should also be held. A focal point for disasters should be designated at the World Heritage Centre;
 - e) Develop reliable monitoring mechanisms for projects under implementation;
 - f) Arrange a seminar for the World Heritage Centre and Committee, and Advisory Bodies to present full findings of the Evaluation;
 - g) In view of the blurring of lines with other International Assistance funded activities, proceed with a more comprehensive evaluation of Emergency Assistance and how it links to the other forms of International Assistance (Technical Cooperation, Preparatory Assistance, Training and Promotional Assistance) with a view of revising the delivery of International Assistance;
 - h) Begin to develop strategies for risk preparedness for the regions most exposed to natural disasters, i.e., Latin America and the Caribbean under International Assistance, in coordination with the efforts of other agencies such as United Nations Development Programme (UNDP), the World Bank and national disaster coordination units.
46. In conclusion, disasters and poorly crafted reconstruction strategies can set back development processes for years. Revision of Emergency Assistance can contribute to a more efficient and sustainable implementation of the *World Heritage Convention*.

Draft Decision : 28 COM 10B

The World Heritage Committee

1. *Takes note of the information provided by the World Heritage Centre on the Evaluation of the Emergency Assistance process and outcomes ;*
2. *Requests the World Heritage Centre to:*
 - a. *Prepare on the basis of this evaluation, a set of concrete proposals for the optimisation of the Emergency Assistance process in order to present it to the Committee at its 29th session in 2005 ;*
 - b. *Develop in the coming year an evaluation of the other components of the International Assistance financed by the World Heritage Fund in order to present it to the Committee at its 29th session in 2005 ;*
 - c. *Prepare on the basis of the evaluation above mentioned in paragraph b.), a set of proposals for the optimisation of the International Assistance process in order to present it to the Committee at its 30th session in 2006 ;*
 - d. *Provide proposals aimed to use the resources of the World Heritage Fund in a more strategic manner, taking into consideration the increasing role of extra budgetary funding.*
3. *Invites the World Heritage Centre, in co-operation with the Advisory Bodies and other International Agencies and Non-Governmental Organisations concerned by emergency interventions, to prepare a risk-preparedness strategy to be evaluated within the framework of the International Assistance by the World Heritage Committee at its 29th Session in 2005.*