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pour l'éducation,  
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de las Naciones Unidas  
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## UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION

### EIGHTEENTH SESSION OF THE GENERAL ASSEMBLY OF STATES PARTIES TO THE CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE

**Paris, UNESCO Headquarters**

**7- 9 November 2011**

**Item 8 of the Provisional Agenda: Evaluation of the Global Strategy and the PACT initiative**

**INF.8 : Final report of the Audit of the Global Strategy and the PACT initiative**

#### SUMMARY

The General Assembly, at its 17th session, requested the World Heritage Centre to provide the General Assembly at its 18th session in 2011 "with a summary of the work undertaken in relation to the reflection on the future of the *Convention*, including an independent evaluation by UNESCO's external auditor on the implementation of the Global Strategy from its inception in 1994 to 2011 and the Partnerships for Conservation Initiative (PACT), based on indicators and approaches to be developed during the 34th and 35th sessions of the World Heritage Committee".

This information document should be read in conjunction with the working document WHC-11/18.GA/8.



**Office of the External Auditor for  
the United Nations Scientific,  
Educational and Cultural  
Organization**



**INDEPENDENT EVALUATION BY THE UNESCO EXTERNAL  
AUDITOR**

**VOLUME 1 IMPLEMENTATION OF THE GLOBAL STRATEGY  
FOR THE CREDIBLE, BALANCED AND REPRESENTATIVE  
WORLD HERITAGE LIST**

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## **Framework and parameter of the evaluation**

1. At its 17th session (Paris, 2009), the General Assembly of States Parties to the Convention requested that «an independent evaluation by UNESCO's external auditor on the implementation of the Global Strategy for a credible, representative and balanced World Heritage List from its inception in 1994 to 2011 and the Partnership for Conservation Initiative (PACT), based on indicators and approaches to be developed at the 34th and 35th sessions of the World Heritage Committee »<sup>1</sup>.
2. At its 34th session (Brasilia, 2010) the World Heritage Committee adopted the terms of reference for each of the two evaluations<sup>2</sup>.
3. The UNESCO External Auditor proceeded with the requested evaluation in application of Article 12, paragraph 12.6 of the Financial Regulations of the Organization.
4. The method followed is indicated hereafter for each of the two types of evaluation. The External Auditor has designated two chief advisers from the Office of the External Auditor for the examination. These officials carried out, together with the Director of the External Audit, three successive modules with the simultaneous intervention of two audit teams, one for the Global Strategy and the other for the evaluation of the PACT Initiative.
5. The preliminary observations were the subject of discussions with the World Heritage Centre whose comments were taken into consideration.

### **1. Evaluation of the Global Strategy for a Credible, Representative and Balanced World Heritage List (1994-2011)**

6. In 1992 at the 16th session (Sante Fe), for the 20th anniversary of the World Heritage Convention, the International Committee for the Protection of World Cultural and Natural

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<sup>1</sup> Resolution 17GA 9, paragraph 16 (Document WHC-09/17.GA/10)

<sup>2</sup> Decision 34.COM/9A (Document WHC-10/34.COM/20)

Heritage, henceforth called the « Committee », defined strategic guidelines for the future based on an expert report requested at the 14th session (Banff),<sup>3</sup>. Two years later, it adopted the « Global Strategy for a credible, representative and balanced World Heritage List » (henceforth called the « Global Strategy »).

7. The present evaluation occurs at the time when the 40th anniversary of the Convention shall be celebrated in 2012 and with the current rhythm of nominations, the 1000th property might be inscribed around 2015. The evaluation of the Global Strategy was carried out repositioning this strategy into the wider framework of the 1972 World Heritage Convention.

8. The evaluation was conducted from November 2010 to April 2011. The auditors examined numerous documents established by the World Heritage Committee, the World Heritage Centre and the Advisory Bodies, and listened to tape recordings of some Committee interventions. In addition, they met with the Director and the World Heritage Centre team, concerned Advisory Bodies' team members, several ambassadors and members of delegations and contacted personalities who exercised high responsibilities within the mechanism of the World Heritage Convention<sup>4</sup>. Three short missions were organised to Gabon, Uruguay and Spain.

9. The following developments are presented according to the order of points contained in the terms of reference.

## **A. Representative, Balanced and Credible World Heritage List**

### **1) The objectives of the Global Strategy: an apparent consensus that masks divergent interpretations in the absence of defined notions of reference in the Operational Guidelines for the Implementation of the Convention**

10. At the 18th session in December 1994 in Phuket, the Committee took note of the report and recommendations of the expert meeting organised in June 1994 on the problematic of representativity of the World Heritage List. These experts had noted that Europe was over-represented in relation to the rest of the world, historic cities and religious buildings in relation to other types of property, Christianity in relation to other religious beliefs, historical periods in relation to prehistory and the 20th century, elitest architecture in relation to vernacular architecture, and that the « living cultures » were very poorly represented. They recommended to set aside the idea of a rigid and restricted World Heritage List and to « take into account all the possibilities for extending and enriching it by means of new types of property whose value might become apparent as knowledge and ideas developed ». The idea of the Global Strategy thus substituted the global study project undertaken by an expert group at the request of the Committee at its 11th session, presented at its 12th and 13th sessions and queried at the 15th session (Carthage 1991).

11. The Global Strategy adopted by the Committee in 1994 aimed « both to correct the imbalances of the list between regions of the world, types of monuments and periods and pass from a purely architectural vision of cultural heritage of humanity to a much more

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<sup>3</sup> Cf. WHC-92/CONF.002/4

<sup>4</sup> Notably two former Committee Chairpersons, Dr Christina Cameron who chaired the 14th and 32nd sessions and Mr Fejerdy (2002-2003).

anthropological, multifunctional and global vision ». Extended to natural properties in 1996, it has as objective a credible, representative and balanced list.

12. These concepts are more difficult to define than would appear. Expert meetings have indicated what is understood by these three terms.

13. In 1996, at Vanoise Park, experts at the meeting on the evaluation of general principles and criteria for nominations of natural World Heritage sites debated the **balance**, the « manageability » and the credibility of the World Heritage List. They « noted that balance is not about numbers but about representativity for biogeographical regions or events in the history of life <sup>5</sup> ». This analysis is transposable to cultural properties.

14. The 2000 working group on **representativity** of the World Heritage List indicated in this respect that representativity is based on »the representativity of the World Heritage List of properties with outstanding universal value from all regions «<sup>6</sup>.

15. **Credibility** was defined as enforcing a rigorous application of the criteria established by the Committee for both nomination and management, and to ensure the representativity and balance of the sites in such a way as not to discredit the World Heritage List as a whole (Vanoise meeting, 1996).

16. But many States Parties do not adhere to these definitions, which is a source of dissatisfaction and misunderstanding. Some States Parties consider the nomination of a site to the List as a right<sup>7</sup>. This claim diverges from the spirit and the letter of the 1972 Convention that provides that only properties having an outstanding universal value can be considered for inscription. All the same, if reference is made to such limited criteria as the area and population of a State, it is clear that many States professing to be under-represented are in fact very well represented in relation to others<sup>8</sup>.

17. The notions of balance and representativity of the Global Strategy are interpreted by many States Parties according to purely geographical and political criteria, forgetting that the outstanding universal value (OUV) is the key condition for nomination to the List. The interpretation given to the terms of the Global Strategy thus tend to obstruct the key values of the 1972 Convention.

18. Definitions by experts were not formally integrated into the Operational Guidelines for the Implementation of the World Heritage Convention adopted by the Committee (henceforth called the « Operational Guidelines »).

19. The provision of paragraphs 54 to 61 of the said Operational Guidelines do not define what the Committee understands by the terms credible, representative and balanced.

20. They remain restricted in general terms:

- To encourage a greater number of countries to become States Parties to the Convention;
- To prompt States Parties and Advisory Bodies to organise regional and thematic meetings;

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<sup>5</sup> WHC.96/CONF.201/INF.08

<sup>6</sup> WHC-2000/CONF 204/INF 8

<sup>7</sup> 36 States Parties have no property on the List.

<sup>8</sup> Jodie Merrill, « *Geographical distribution of World Heritage sites : relative number analysis* », September 2009, study conducted for the World Heritage Centre

- to « invite States Parties to consider if their heritage is already well represented on the List, and if so, to slow down their rhythm for the submission of new nominations »<sup>9</sup>, by voluntarily spacing their nominations, proposing only the properties from under-represented categories, by linking each of their nominations with a nomination presented by States Parties whose heritage is under-represented or deciding to suspend the presentation of new nominations;

- to invite those « whose heritage of universal value is under-represented on the World Heritage List »<sup>10</sup> to give priority to the preparation of their tentative lists and nominations, within the framework of regional cooperation and with the Advisory Bodies and in participating in Committee meetings.

21. Paragraph 57 provides that « all efforts should be made to maintain a reasonable balance between the cultural and natural heritage on the World Heritage List ».

## **2) The notion of outstanding universal value, the keystone of the 1972 Convention, engenders divergent interpretations**

22. In its preamble, the Convention indicates that « parts of the cultural and natural heritage are of outstanding interest and therefore need to be preserved as part of world heritage of mankind as a whole ». The requirement of outstanding universal value differentiates the World Heritage List from the 2003 Convention on intangible heritage, the mechanism of which is not based on the institutional advice of advisory bodies. These two conventions are, however, often confused by the wider public.

23. Since their 2005 version, the Guidelines indicate « outstanding universal value means cultural and/or natural significance which is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity. As such, the permanent protection of this heritage is of the highest importance. The Committee defines the criteria for the inscription of properties on the World Heritage List. ».<sup>11</sup> The criteria for recognition of the outstanding universal value are not, in effect, indicated by the 1972 Convention. These criteria, defined by the Committee and produced in the Operational Guidelines, have been revised on several occasions<sup>12</sup>. From the first session in 1977, debates revealed the difficulty in establishing criteria shared by all.<sup>13</sup> Two of the three Advisory Bodies who assist the Committee through their scientific competences (Articles 8 and 14-2 of the Convention), the International Council on Monuments and Sites (ICOMOS) and the International Union for the Conservation of Nature and Natural Resources (IUCN), provide advice on the outstanding universal value of nominated properties (paragraph 143 of

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<sup>9</sup> Resolution adopted by the 12th General Assembly of States Parties (1999).

<sup>10</sup> Resolution adopted by the 12th General Assembly of States Parties (1999).

<sup>11</sup> Paragraph 49 of the latest version of the Operational Guidelines.

<sup>12</sup> The Operational Guidelines have been modified twelve times. In 2003, the Committee decided to combine the two groups of criteria applicable to cultural and natural properties.

<sup>13</sup> Cf. CC-77/CONF.001/9 : « *The feasibility of adopting criteria gave rise to some discussion, with members referring to the difficulty already experienced in establishing criteria at the national level, to the changing and subjective nature of evaluation of qualities, to the impact of western thought and to the difference between perception from within a given culture and perception from outside* ».



the Operational Guidelines) and conduct thematic studies (paragraph 147 of the Operational Guidelines)<sup>14</sup>.

24. The notion of outstanding universal value, of apparent simplicity, that conditions nomination to the World Heritage List, is still a subject of debate<sup>15</sup>, more particularly for cultural properties for which « the values of sites are usually linked with the regional cultural identity the evaluation of which is often subjective<sup>16</sup> ». Representatives of some States Parties discard the monumental approach, long privileged, as a western vision of heritage while westerners have difficulty in perceiving the sacred dimension of certain sites.

25. The acceptance of the notion varies in space and time: the expert meeting on the « concept of outstanding universal value » held in Kazan (April 2005) affirmed that « the concept and application of outstanding universal value is attributed by people and is subject to evolution ». The experts recommended a wide participation of stakeholders, including local communities and indigenous populations. The 2004 ICOMOS study Filling the Gaps of the List recognizes that « the sacred or symbolic signification of certain natural characteristics ... was not recognized by some States Parties » and revealed that « several regional meetings in Africa concerning the Global Strategy provided a solid intellectual base for nomination of this important non-monumental category ».

26. The cultural properties submitted for nomination should satisfy the condition of authenticity, which is also relative (paragraphs 79 to 86 of the Operational Guidelines). Thus, for example, the Buddhist monasteries are regularly renovated or the Shinto temples are periodically totally rebuilt. The 1994 Declaration of Nara on authenticity provides that «all judgements about values attributed to cultural properties as well as the credibility of related information sources may differ from culture to culture. It is thus not possible to base judgements of values and authenticity within fixed criteria. On the contrary, respect due to all cultures requires that heritage properties must be considered and judged within the cultural contexts to which they belong ». In the provisions of paragraph 82 of the Operational Guidelines, properties may be understood to meet the conditions of authenticity «if their cultural values (as recognized in the nomination criteria proposed) are truthfully and credibly expressed through a variety of attributes ... », the list of which has evolved several times (1994, 2005)<sup>17</sup>. Under paragraph 86 of the Operational Guidelines, the reconstruction of archaeological remains, monuments or historic buildings is justifiable only in exceptional circumstances and if supported by complete and detailed documentation and to no extent on conjecture.<sup>18</sup>.

27. The condition of integrity, indicated in paragraphs 87 to 95 of the Guidelines, has also evolved. Originally, for natural properties, the condition refused all human activities in natural areas. If paragraph 119 of the Operational Guidelines provides that « for certain properties, human use is not appropriate », paragraph 90 recognizes that no area is totally pristine and that there are human activities, including those of traditional societies in natural

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<sup>14</sup> The International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) does not intervene in the evaluation of outstanding universal value. Its role in the field of the Convention concerns training for cultural properties, the monitoring of the state of conservation for the afore-mentioned properties, the examination of international assistance requests and support to capacity building activities (Art 33 of the Operational Guidelines).

<sup>15</sup> Cf. notably WHC-08/32.COM/9 : discussion on outstanding universal value.

<sup>16</sup> Cf. WHC-08/32.COM/9

<sup>17</sup> This gradually growing list from now on comprises the following attributes: form and design; materials and substance; use and function; traditions, techniques and management systems; location and setting; language and other forms of intangible heritage; spirit and feeling; and other internal and external factors.

<sup>18</sup> This principle of exception appears unequally applied, notably in Asia (China, Korea...).

areas that « may be consistent with the outstanding universal value of the area where they are ecologically sustainable ». The application of the condition of integrity is not without causing some difficulties, notably for natural properties where the value is based on migratory species<sup>19</sup>.

**Recommendation n°1 : indicate in the Operational Guidelines for the Implementation of the World Heritage Convention the objectives of the Global Strategy and ensure their compatibility with the objectives of the 1972 Convention.**

### **3) Examine modalities for the application of the Global Strategy for cultural and natural heritage**

#### **a. Persistency in the lack of adapted monitoring tools for the Global Strategy**

##### *a.1. The absence of indicators*

28. Despite the importance accorded to the Global Strategy, no indicator has been established to monitor its results in an objective manner.

29. At the 26<sup>th</sup> session (Budapest, June 2002), the World Heritage Committee defined four Strategic Objectives, called « 4 C » (credibility, conservation, capacity building and communication)<sup>20</sup>. It invited the Director of the World Heritage Centre to prepare performance indicators for each of the Strategic Objectives for presentation at the 27th session of the Committee. In 2003, performance indicators had been proposed as well as quantification indicators for the biennial exercise 2004-2005. The introduction of performance indicators was decided at the 27th session, and in June 2005, the World Heritage Committee invited the Secretariat of the Convention to present at the 29th session a report on the implementation of the Strategic Objectives using performance indicators. In 2004, a document was prepared for the 7th extraordinary session, but was not presented due to lack of time. It proposed a modification to the indicators to better adapt them to monitoring the four thematic programmes and five regional programmes, and to identify benchmarks for two years, and result-based indicators taking into account the most suitable period over the six years.

30. This document was examined at the 29th session (Durban, 2005). In its Decision 29.COM/12 the Committee emphasized that the establishment of precise but realistic and measurable results and indicators was essential for the evaluation and monitoring of the performance and requested the integration of these indicators into the result-based management. The Committee considered that it lacked qualitative indicators and that the prepared table should only be considered as a first stage and required refinement. The Committee concluded by encouraging the Director of the World Heritage Centre to seek suitable funding for this activity and invited donors to provide financial support.

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<sup>19</sup> Paragraph 95 of the Operational Guidelines indicates that in this case the migratory routes should be adequately protected wherever they are located, which was one of the reasons for which IUCN had recommended in 2008 to defer the nomination of the Monarque Butterfly Biosphere Reserve (Mexico).

<sup>20</sup> A fifth C for Communities was added in 2007 at Christchurch. In the spirit of the authors of the Budapest Declaration, these objectives are not hierarchical and are concurrent to ensure the credibility of the List.

31. However, this line of action was abandoned. In fact, at Vilnius (30<sup>th</sup> session, 2006), after a presentation of revised indicators prepared since Durban (29<sup>th</sup> session, 2005), the draft decision was modified and replaced, at the initiative of the United States, by a request for prior treatment of a completely different subject, the management audit of the World Heritage Centre, « no change in the management should be implemented at the World Heritage Centre before the results of this audit were examined by the Committee<sup>21</sup> ». This audit, presented in 2007 at the 31<sup>st</sup> session (Christchurch) only treats the internal functioning of the World Heritage Centre and in no way the issue of monitoring indicators for Global Strategy.

32. Since then, the issue of indicators for the Global Strategy has not been reexamined by the Committee. Thus, essential tools for monitoring the Global Strategy are still lacking.

33. Indicators were however adopted in 2006 for existing thematic and regional programmes (marine heritage, programme for small island developing states, safeguarding and development of cities, forests, sustainable tourism)<sup>22</sup>. In examining documents it appears that many indicators called ‘performance indicators’, are in reality benchmarks which should be completed by result-based indicators to measure the efficacy of actions.

**Recommendation n° 2 : establish criteria and monitoring indicators for the Global Strategy and more generally the implementation of the Convention - indicators concerning the representativity of the List but also and especially the efficacy of nominations to the List as a conservation tool.**

#### *a.2. A maladjusted strategic mechanism for measuring the results of the Global Strategy*

34. The evaluation of the Global Strategy presented at each session is based on a maladjusted mechanism that does not take into consideration the spirit of Global Strategy and reduces the notions of balance, representativity and credibility to a simplistic statistical approach by « world heritage » numbers and zones. This perspective, which is not based on scientific criteria, thus contributes to a shift towards a more political rather than heritage approach to the Convention.

##### ➤ Arbitrary reference zones

35. The redefinition of the reference zones should be envisaged, as the current division of five large zones is not pertinent in relation to the cultural and natural criteria, notably for areas as vast as Europe-North America, largely predominant in number of properties (cf. below) with 51 countries in contrast to 31 in Asia-Pacific, 30 in Africa, 25 in Latin America and the Caribbean and 15 in the Arab States. Europe, in the sense of the region Europe-North America, extends beyond the Urals covering the whole of the Russian Federation, the Volcanoes of Kamchatka in the far eastern part are also included in the Europe-North America region. This region also includes Turkey and Israel, the overseas territories of

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<sup>21</sup> WHC-06/30.COM/INF.19

<sup>22</sup> WHC-06/30.COM/12. Other thematic programmes have been defined (earthen architecture, Prehistory).

France, the Netherlands, the United Kingdom and Norway, as well as the subtropical islands of the Canaries, Madeira and the Azores attached to Spain and Portugal.

36. However, the periodic reports are presented by sub-region. Thus, the second periodic report for the Arab States produced at the 34th session comprised three sub-regions « at the request of the Arab focal points who considered that the countries grouped in each of these sub-regions were confronted with analogous problems and challenges. It was in fact considered that a sub-regional regrouping enabled the diverse nuances and particularities to be highlighted rather than swamped in a homogeneous manner for the region ». Periodic reports are prepared separately for Europe and North America and within Europe are divided into five sub-regions with specific characteristics<sup>23</sup>. The 2004 periodic report for Latin America and the Caribbean comprises South America, Central America and Mexico, and the Caribbean. In the same way, a series of priority action plans was established by Asian States Parties during several sub-regional workshops to facilitate the application of the Asia Action Programme 2003-2009 comprising action plans for West and South Asia, Central Asia, North-East Asia and South-East Asia. These action plans were approved by the World Heritage Committee at its 30th session (Vilnius, 2006). It would be appropriate to coordinate the statistical mechanism with the sub-regions already defined in the operational framework.

- The absence of an internationally recognized analytical grid for cultural properties

37. The 2004 analyses of ICOMOS and IUCN on Filling the Gaps on the List highlighted that reasoning by large areas utilised for the implementation of the Convention is very limiting. If the balance, representativity and credibility of the List is to be assured, one must go beyond the approach by country and by political region, and refer to scientific criteria such as the vast biogeographical entities of the classification « Udvardy<sup>24</sup>» for natural properties (which does not apply to marine zones) or spatio-temporal analytical grids by type of heritage, period, civilization, for cultural heritage. ICOMOS notes in this respect that « the UNESCO regions<sup>25</sup> (in which one verifies the balance for the needs of world heritage) does not always correspond to existing or evolving geocultural groupings. If this was the case, a significant comparison of results would be obtained, and not a principally geographical basis for comparison.<sup>26</sup> ». ICOMOS further indicates that certain imbalances are explained by construction techniques. Thus the greater the resistance of construction materials in the country where the heritage is built in stone or earthen bricks in relation to regions where wood and dried bricks dominate, is translated by better chances of survival of significant built cultural heritage.<sup>27</sup>

**38.** If recognized classifications exist that are used by IUCN for natural properties, « no internationally recognized system exists for cultural heritage. In fact, there is no study

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<sup>23</sup> Western Europe, Nordic and Baltic, Mediterranean, Central and South-East, East.

<sup>24</sup> *A Classification of the Biogeographical Provinces of the World*. Prepared as a contribution to UNESCO's Man and the Biosphere Programme, Project No. 8. IUCN Occasional Paper No. 18. IUCN, Morges, Switzerland, 1975.

<sup>25</sup> In fact, zoning in five zones established by the World Heritage Convention differs from that of UNESCO in six zones

<sup>26</sup> Cf. WHC-08/32.COM/9

<sup>27</sup> Cf. WHC-08/32.COM/9

completed or recognized, of themes or classifications capable of describing all or nearly all the values based upon which cultural properties may be nominated<sup>28</sup> ».

➤ The number of properties is a summary indicator

39. How can cultural properties and natural properties be compared? Natural properties are fewer in number but they often cover vast areas. In 2010, of 911 World Heritage properties, 180 (19.8 %) were natural properties and 27 (3 %) mixed properties for respective total areas of 206 472 092 ha and 49 959 643 ha.

40. How to calculate natural properties with areas as diverse as the Valley of Mai Nature Reserve (18 ha) that covers less than 18 ha and the Great Barrier Reef (34.87 million ha) or the protected area of the Phoenix Islands (40.82 million ha)? Also cultural properties comprise both isolated properties such as monuments, and historic cities.

41. The development of serial nominations nullifies the meaning of calculation by zone. The greatest number of regrouped components in a cultural property concerns the Rock Art of the Mediterranean Basin on the Iberian Peninsula (1998) which regroups 728 sites. While Struve Geodetic Arc, inscribed in 2005, extends over ten States. Numerous nominations of serial properties, both cultural and natural or mixed, are being prepared (notably the Silk Road, Great Rift Valley, Medio-Atlantic Dorsal, Principal Routes of the Andes, palafitte sites, the Alpine Arc sites, Moravian heritage, Viking culture, boundaries of the Roman Empire<sup>29</sup>). Some new nominations even comprise transcontinental properties (architectural work of Le Corbusier, Mexican-Slovenian route).

42. The Advisory Bodies could be requested to reflect on the means to refine statistics on the number of properties by sub-categories and to complete them by other statistical data using scientific analytical grids (for example, for natural sites, evolution of protected areas by type of biome).

**Recommendation n°3 :**

- **Establish more pertinent statistics by sub-region than the arbitrary zonage currently in use;**
- **Go beyond the approach by political country and region and refer to scientific analytical grids that the Advisory Bodies should establish and complete with statistics according to these classifications.**

**a. Evaluation elements**

43. Hence, as has been noted, the objectives of the Global Strategy have only been defined in very general and ambiguous terms, giving rise to very divergent interpretations. Furthermore, the monitoring indicators are maladapted and very incomplete. Under these conditions, the exercise requested of the External Audit can only produce general observations.

***b.1. An increasing vogue for a flagship convention***

<sup>28</sup> Reflection Workshop on the Future of the World Heritage Convention, reference document, February 2009.

<sup>29</sup> Extension of a property already inscribed.

44. The Global Strategy encourages (paragraph 55 of the Operational Guidelines) a greater number of countries to become States Parties to the Convention and to establish tentative lists and nominations.

45. It has achieved its goal on this point because almost all of the 193 UNESCO Member States have since ratified the 1972 Convention (187 States Parties in 2010 as opposed to 139 States in 1994). At the same time, the proportion of States Parties having at least one property listed has increased (increasing from 72% to 80%). The first nominations began in 1978. The number of properties inscribed on the List has more than doubled since the adoption of the Global Strategy, increasing from 439 in 1994 to 911 in 2010 (cf. Annex 1).

46. This interest for the Convention and the reputation of the World Heritage sites with the wide public has to be imputed to the credit of the Global Strategy.

#### ***b.2. Cultural heritage: The evolution of criteria and the wide diversification of types of sites inscribed***

47. The criteria defined by the Committee and integrated into the Operational Guidelines have been revised many times in the Operational Guidelines, in particular for cultural criteria (1983, 1984, 1988, 1992, 1994, 1996, 1997 and 2005). At the beginning of the '80s, criteria for cultural heritage were tightened. It was considered that this evolution disadvantaged nominations emanating from regions of the world where the importance of heritage often contains values other than architectural or aesthetic ones.

48. In 1994, in order to improve the representativity of the List, specific criteria were introduced into the Operational Guidelines to define the historic cities, cultural itineraries and cultural landscapes. 27 % of the nominations and 22 % of inscriptions of properties treated between 2003 and 2009 concerned cultural landscapes. As of 2004, the List was extended to include new categories of heritage (industrial, technology, heritage routes, etc.) following work on the identification of gaps requested of ICOMOS and IUCN. Eighteen modern heritage properties were inscribed between 2003 and 2009. The works of modern architects were listed, or nominated. The drafting of criteria became increasingly complex as the Committee proceeded to include a greater variety of heritage categories. Criterion (i) has evolved since 2005 from properties less oriented towards aesthetic values and more to technology: since 2005, the Operational Guidelines refer to « a masterpiece of human creative genius » whilst the former versions referred to « an unique artistic or aesthetic creation or masterpiece of creative genius ». Its frequent use diminished in the 1990s while in the first years of application of the Convention it was often used for more than 50% of cultural properties<sup>30</sup>. Criterion (ii) on « influences » has also evolved many times in relation to the 1976 drafting, in 1977, 1978, 1980, 1994 (exchange of influences) and 1996 (consideration of technology)<sup>31</sup>. In the 1990s, it was in great use, representing up to 80% of nominations some years. In 1995, criterion (iii) was extended to bear witness to living cultures<sup>32</sup>. Criterion (v) concerned originally (1976 drafting) properties of great antiquity. After referring to «an

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<sup>30</sup> Cf. WHC-08/32.COM/9.

<sup>31</sup> Since 1996, it is drafted as follows: « to exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design ».

<sup>32</sup> Since 2005 it is drafted as follows: « to bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared ».

eminent example of traditional architecture, method of construction or human settlement made fragile through nature or vulnerable from irreversible economic or socio-cultural pressure », it evolved in 1978, 1980, 1994 (introduction of the notion of land use) and 2005<sup>33</sup>. Historic cities and cultural landscapes have both been nominated under this criterion. Criterion (vi)<sup>34</sup>, of very extensive definition, is used for very diverse sites (religious heritage, but also places of memory<sup>35</sup>, historic centres, examples of « human and nature's combat » e.g. Venice). Scientific heritage, a new category of heritage is currently being recognized, with the nomination in 2005 of the Struve Geodetic Arc and the thematic initiative on astronomy, adopted in the same year and represented by the nomination of two sites (India and China) in 2010<sup>36</sup>.

49. However, this evolution raises some questions. At its 28th session, the Committee requested the World Heritage Centre to «convene a special expert meeting of all regions of the world on the concept of OUV, to reflect its growing concern with regard to the different interpretation and application of the concept in the different regions and by different actors, as well as by the Advisory Bodies ».

50. Although the importance of the notion of outstanding universal value is affirmed in paragraph 49 of the Operational Guidelines, nonetheless, it remains that nomination criteria refer to less strict notions: criterion (ii) mentions important interchange of human values, criteria (iv), (v) and (vii) refer to the notion of outstanding examples or eminently representative superlative natural phenomena.

51. Monitoring of the property is carried out based on the values considered at the time of inscription. Therefore, States Parties may be tempted to request the nomination based on less strict criteria in terms of management and protection. Once inscribed, the property benefits from the prestige of the World Heritage «badge » even if its other values become greatly altered.<sup>37</sup>

52. The Global Strategy has extended World Heritage to modern heritage. Although, for this category, the passage of time has not left its mark. The Operational Guidelines for the nomination of specific types of sites indicated with regard to new cities of the 20th century that « it is difficult to assess the quality of new towns of the twentieth century. History alone will tell which of them will best serve as examples of contemporary town planning. The

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<sup>33</sup> Since 2005 it is drafted as follows: « *to be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change* ».

<sup>34</sup> « *To be directly or indirectly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance. (The Committee considers that this criterion should preferably be used in conjunction with other criteria)* ».

<sup>35</sup> Although in 1979 (3rd session, Cairo, Luxor), the Committee decided at the time of the nomination of Auschwitz Concentration Camp, to inscribe this site as a unique site and to restrict the nomination of other sites of the same type, Hiroshima, Gorée, Robben Island, Bikini, and the Australian Convict sites have since been inscribed.

<sup>36</sup> Jantar Mantar (India), Dengfeng (China)

<sup>37</sup> Thus, for example, the nomination file of Mont Quingcheng, presented in 2000, was based on both cultural and natural criteria. This mountain, located in one of the eleven critical regions for biodiversity, is a major habitat for the great panda. IUCN requested the referral of the file for clarification of various points (management of the buffer zone, staff training, possibility of extension to other sites important for the great panda), and notably compatibility of the nomination with a dam project of which the Organization had been informed upon termination of its evaluation. This property was inscribed at the session in 2000 on only cultural criteria (cradle of Taoism, exchange of values, historic site).

examination of the files on these towns should be deferred, save under exceptional circumstances ». Criteria for the nomination of modern heritage should in general be clarified.

➤ Increasingly vast entities for cultural and mixed properties

53. As indicated in the ICOMOS communication presented in 2008 at the 32nd session (Quebec), the evolution of the List poses problems. The management and conservation of properties « becomes critical due to the increasingly large entities defined as heritage areas, such as cultural landscapes, heritage routes and serial nominations».

54. However seductive it is, one might question this evolution in relation to the provisions of the 1972 Convention that, for natural heritage, insisted that natural sites, natural areas and habitat areas for threatened species of fauna and flora should be « strictly delineated » (Article 2). This wording is not mentioned in Article 1, certainly because at that time the notion of cultural heritage was limited to monuments, built ensembles and sites in the strictly accepted sense of the term.

55. On the other hand, this observation is not valid for natural sites for which an IUCN study in January 2009 noted a reduction in size<sup>38</sup>. The nomination in 2010 of two very extensive properties (Hawaii and especially Kiribati) modifies this tendency.

➤ Issues raised by heritage routes, serial or transnational properties

56. Over the period 2006-2009, serial properties represented 23% of nominations with cultural criteria.

57. Article 137 of the Operational Guidelines provides that the serial as a whole – and not necessarily its different parts – must have an outstanding universal value. A recent expert report notes, other than the absence of pertinent scientific tools and the importance of the workload for the Advisory Bodies, «the risk of transforming this type of nomination (which in the spirit of the Convention represents a relatively limited character) into a tool to multiply the properties that, taken individually would not justify the conditions of outstanding universal value ». This is likely to affect the credibility of the List. The World Heritage Committee however recognizes this risk because it requested (Decision 32.COM/10B) the World Heritage Centre to organise an expert meeting to discuss in particular the « risk of damaging the credibility of the World Heritage List by including properties on it within serial and transnational nominations, that would not merit inscription by themselves». An international expert meeting, financed from extrabudgetary funds (Switzerland) was held in Ittingen (Switzerland) in February 2010.

58. This debate is also applicable to heritage routes. In fact, as is noted in the Operational Guidelines for the nomination of specific types of properties, the concept of heritage routes « refers to a whole where the route has a worth over and above the sum of the elements making it up and through which it gains its cultural significance ». The current work on the

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<sup>38</sup> IUCN, “The size of natural and mixed World Heritage properties”, January 2009. This study based on 197 of 199 properties, the area of two mixed properties, was not published by UNESCO.



preparation of the nomination of the Main Route of the Andes, involving six countries, illustrates the complexity of this type of file<sup>39</sup>.

59. In addition, the development of serial and transboundary nominations raises issues in respect to the imperatives of protection and management which since 2005 are an integral part of the notion of outstanding universal value. At the workshop on inscribed serial natural properties held in Vilm (Germany) in November 2008, experts highlighted that « the background analysis carried out revealed that many inscribed serial natural properties do not have overall management systems that correspond to the requirements of the *Operational Guidelines*. Therefore, the workshop recommended that a management system for a serial property should at least ensure:

- The harmonisation of management of all the component parts to meet a set of shared objectives of preserving Outstanding Universal Value;
- The identification of and response to threats to the property; and
- The coordination of monitoring and reporting ».

60. Furthermore, it was accepted at the 32nd session (Quebec, 2008) that if the values of a part of a serial property are threatened to the degree where it is proposed to be inscribed on the List of World Heritage in Danger, it is the overall property that is inscribed on this List. The same principles shall be applicable for the eventual deletion of a serial property from the World Heritage List. If the principles are clear, delays noted in the inscription of national properties on the List of World Heritage in Danger (cf. below paragraphs 213 and 215) give reason to expect difficulties for the implementation of these provisions.

➤ Consideration of cultural values of properties inscribed under natural criteria

61. As underlined during meetings held with some delegates, properties are inscribed on solely natural criteria while they also possess a cultural dimension (cf. for example Victoria Falls). Values for which the sites are precious for local communities are sometimes different from the values considered for nomination to the World Heritage List, which is a source of incomprehension. The boundaries of a property are sometimes the subject of criticism (cf. for example Great Zimbabwe). Access to the property is sometimes regulated and ancestral practices prohibited.

62. At the 31st session (Christchurch), the valorisation of the role of communities was recognized as the fifth Strategic Objective. Progress is discernible. Some properties, initially inscribed solely under natural criteria have, following the introduction of the cultural landscape category in the 1992 version of the Operational Guidelines, also been inscribed under the associative cultural landscapes criteria: for example, Tongariro National Park in New Zealand (17th session, 1993) or Uluru-Kata in Australia (18th session, 1994). East Rennell in the Solomon Islands was inscribed in 1998 (22nd session) with a financial and management regime according to customary rights. A wider consideration of the cultural values of the natural properties should benefit the involvement of communities to the World Heritage nomination process, along with the conservation of the property.

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<sup>39</sup> Dorsal spine of the Inca Empire, Quapaq Nan links a network of over more than 23 000 km of routes extending 6000 km from North to South and infrastructures built over a period of more than 2,000 years of Pre-Inca Andean cultures. To define the nomination framework, an inventory of cultural landscapes crossed by this route has been established.

### ***b.3 Continuing lack of consideration of natural heritage***

63. Under the influence of the United States and the International Union for Nature Conservation, the 1972 Convention innovated the overall mechanism, and grouped together cultural heritage and natural heritage, with « natural monuments », an ancient notion in the Far East (especially Japan) rejoining the Anglo-Saxon concepts prevalent in the mid-19th century by John Ruskin in his renowned works of « *cathedrals of the earth* ». This enabled the consideration of mixed sites inscribed under both natural and cultural criteria. However, right from the first years of the implementation of the Convention, the Committee was concerned with the under-representation of natural heritage and the Global Strategy seeks a better balance. Cultural properties represent 77% of inscribed properties, a higher proportion than in 1994 (74%) (cf. table in Annex1). The increase in the statistical divergence between cultural and natural properties is due in part to the fact that IUCN requires reliable global comparative analyses based on large scientific entities to recognize the outstanding universal value of a site, whereas in the field of culture the diversification of categories and sub-categories appears to open up infinite possibilities for nomination<sup>40</sup>.

64. But, as noted above, this analysis is simplified and does not consider, in particular, the area of natural and mixed sites. From 1994 to 2010, the number of natural properties almost doubled (from 94 to 180), as did their area which increased from 116 110 274 ha to 206 472 092 ha. In respect of mixed sites, their number increased by 35% (from 20 to 27) but their area more than quadrupled (from 11 923 462 ha to 49 959 643 ha).

65. However, it is clear that in many countries the attention paid to natural heritage remains less than for cultural heritage. Many States Parties are without specialised administration for issues concerning the environment and the majority of focal points remain under the direction of cultural or educational specialists. The World Heritage Centre comprises a limited number of specialised scientific experts for natural properties with recognized competences, but who are too few in number for the heavy workload.

66. The natural properties remain unequally represented according to the zones. This observation requires a detailed analysis. This imbalance is not in fact subject to criticism in itself because heritage responding to the condition of outstanding universal value and in particular to the condition of integrity, is unequally distributed.

67. The nomination of natural properties presumes that they have retained their integrity. However, States Parties often give priority to economic development of the territory concerned (exploitation of mining, petroleum, forestry resources, dam construction or other infrastructures). Services rendered by the ecosystem are however essential, more especially for the poorer populations, as emphasized by the « Millennium Ecosystem Assessment » conducted between 2001 and 2005 under the auspices of the United Nations with the participation of 1,360 experts originating from 95 countries<sup>41</sup> and more recently the study on

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<sup>40</sup> However, an analogous evolution could intervene for natural properties if criteria relating to biodiversity was not by large category of biome but by habitat of threatened species, for example.

<sup>41</sup> This evaluation concluded that, due to the upheavals over the last 50 years, around 60% of the services of systemic origin studied were experiencing degradation or exploited in a non-rational manner and that this evolution had provoked a substantial and often irreversible loss of biological diversity. The relative known rate of extinction dating from the last century is of about 50 to 500 times superior to the rate of extinction calculated from fossil data of 0.1 to 1 extinction by million of species and by year. This rate increases to the value of 1 000 times superior to the basic level of extinction if one includes the species probably already disappeared. The evaluation underlined that, if this exploitation had procured economic benefits, it had accentuated poverty for certain categories and that the pursuance of this evolution could through its negative effects compromise the achievement of the objectives of the Millennium for Development.

the Economics of Ecosystems and Biodiversity established in 2010 to respond to the request of environment ministers of the G8 countries and five other countries<sup>42</sup>. But these services are often not or insufficiently considered in the process of economic decisions and challenges for their conservation have difficulty in being translated into operational mechanisms (such as payment for ecosystem services PES) both at State<sup>43</sup> level and international level<sup>44</sup>.

➤ Existence of major gaps despite progress accomplished

68. The Global Strategy, first focused on cultural heritage, was extended to natural heritage in 1996. In 2000, at its 24th session, the World Heritage Committee requested ICOMOS and IUCN to proceed with the analysis of properties inscribed on the World Heritage List and on the tentative lists, on a regional, chronological, geographical and thematic basis to assist States Parties in the identification of under-represented categories. The analyses of the Advisory Bodies was presented in 2004 at the 28th session in Suzhou.

69. In respect of natural heritage (cf. Annex 2), IUCN proceeded with an analysis of the properties on the World Heritage List in relation to several classifications, firstly the classification called « Udvardy » by large biogeographical areas, that however presents the drawback of not taking into consideration the marine sites and the coral reefs. IUCN also analysed the List in respect of the Global Analysis of Habitats IUCN/CSE, Global 200 Ecoregions of the World Wildlife Fund, biodiversity hotspots of Conservation International<sup>45</sup>, Endemic Bird Areas of Birdlife International, centres of plant diversity identified by IUCN and WWF, and the IUCN study on geological sites.

70. The 2004 study concluded that the distribution of natural and mixed properties covered almost all the biogeographical regions, biomes and habitats with a relatively balanced distribution but there existed important gaps for prairies and tropical savannas, lacustrine systems, tundra systems and polar systems, temperate prairies and cold winter deserts. IUCN noted that numerous tentative lists were too old, and listed no natural site<sup>46</sup>, contained unrealistic proposals or did not take sufficient account of global priorities for conservation and that very few lists were harmonised at the regional level. In conclusion, as a guide, the IUCN report identified areas it considered as responding to the conditions of OUV for priority<sup>47</sup> nomination.

71. Since then, the analysis of gaps on the List has been refined and elaborated in the framework of the IUCN thematic studies and expert meetings organised by the World

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<sup>42</sup> TEEB (2010) *“The Economics of Ecosystems and Biodiversity; Mainstreaming the economics of Nature”*.

<sup>43</sup> Mexico established a PES type of mechanism for forests in 2003.

<sup>44</sup> Cf. notably negotiations within the World Trade Organization on forests.

<sup>45</sup> A region may be qualified as a biodiversity hotspot if it comprises more than 1500 species of endemic plants and has lost more than 70% of its natural habitat due to human activities.

<sup>46</sup> As opposed to cultural properties, a natural property could, until the Cairns session in 2000, be inscribed as World Heritage without having previously been inscribed on the tentative list.

<sup>47</sup> - Prairies : flooded savannas and prairies of Sudd-Sahel, subantarctic prairies including South Georgia, arctic tundra and South polar;

- Humid zones : flooded prairies such as the swamps of Okavango and Sudd, the deltas of the Volga and Lena, waterways of western Ghats;

- Deserts : Succulent Karoo, Namib Desert, Central Asia deserts, Socotra desert;

- Forests : rainforests of Madagascar, Forests of south Chile and south Argentina, dry and moist forests of New Caledonia, forests of the western Ghâts.

- Marine milieu: corals of the Red Sea, Andaman Sea (sites in the marine ecoregion), Benguala current (marine milieu), WWF marine sites of ecoregions (Fiji, Palaos, Tahiti), Gulf of California, Maldives/Chagos Atolls.

Heritage Centre. Thus, for example, an expert meeting for marine heritage in Hanoi in 2002, defined a list of potential sites that, due to more extensive comparative studies, did not always correspond to the first draft proposals of IUCN in 2004. A new expert meeting in Vilm (Germany) in July 2010 treated the definition of a classification to identify new potential marine sites for World Heritage. The conclusions of this meeting contributed towards the thematic study on marine heritage that IUCN is going to present at the 35th session of the Committee.

➤ Progress to be continued

72. An important increase in the number of States Parties having inscribed a natural site on their tentative list can be observed: only eight in 1994, 51 in 1996, 124 in 2004 and 162 in 2010.

73. In 2010, there were 201 World Heritage natural properties inscribed, including 25 mixed properties distributed in 81 countries. In 2009, World Heritage sites represented 8% of protected areas recorded by IUCN and 21% of protected marine areas.

74. Some progress has been achieved in the framework of the Global Strategy to consider natural heritage and notably forestry heritage, and in particular tropical forests. An expert workshop on this subject met in December 1998, in Bérastagi (Indonesia), and highlighted that tropical forests were under-represented with respect to their importance for global biodiversity. The World Heritage Forest Programme was decided upon at the 25th session (Helsinki, 2001). In 2010, the World Heritage List numbered 97 forestry properties with an area of more than 76 million ha. A marine programme was decided in 2005 at the 29th session (Durban). Some of the sites identified in 2004 by IUCN as being representative of the milieu for priority nomination to fill the gaps and likely to be inscribed on the List, have since been inscribed (Rainforests of Madagascar, Saryarka Desert, Socotra Island, Putorana Plateau, Islands and protected areas of the Gulf of California). On the list of potential sites identified in 2002 at the expert meeting in Hanoi, six have since been inscribed on the World Heritage List.<sup>48</sup>

75. However, a persistent discordance between the priorities identified by IUCN and those of the States Parties may be observed. There is, all the same, noticeable progress and nomination files are being prepared for several sites identified as responding to gaps in the List (Okavango, Sudd Marshes, Rivers and Forests of the Western Ghats, Namib Desert, Palau). But important sites are not always inscribed on the tentative lists<sup>49</sup>.

76. The most frequently used reference criteria is criterion (vii). This is particularly the case for mixed sites. However, a reduction in the use of this criterion can be observed. IUCN recognizes that outstanding beauty and aesthetic importance call upon relatively subjective appreciation. Its opinions are based on comparisons with other sites at the global level. In 2007, of 191 natural or mixed properties, 20 were inscribed under the four natural criteria, 32 under three natural criteria, 97 under two criteria and 42 under one natural criterion.

77. Nearly 41 % of the natural properties inscribed between 2003 and 2009 are geological sites and 20% are marine sites. For the latter, an inventory of humid zones, littoral and marine, was established in 1997 by IUCN and the World Heritage Centre but the progression

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<sup>48</sup> Socotra, Tubbatana, New Caledonia, NW Hawaii, Phoenix Islands, Sundarbans.

<sup>49</sup> Thus, for example, the dry and moist forests of New Caledonia, milieu identified as priority habitats by the 2004 IUCN study, are not on the tentative list of France. The Austral Islands were inscribed on the tentative list in May 2010.

of nominations benefited from the creation, in 2005 (29th session), of the marine programme<sup>50</sup>. Since that date, ten new coastal or marine sites have been inscribed and 49 sites are listed on tentative lists. A reference guide on marine heritage shall be presented to the 35th session.

78. Taking into account the current massive erosion of the biodiversity (the sixth mass extinction recorded in living history<sup>51</sup>), that climate change will only amplify, it is essential that the strategy of the World Heritage List be used in an optimal manner to meet the challenges of the biodiversity. In 2010, 93 of the 201 natural and mixed sites were located in the perimeter of biodiversity hotspots. There is a correlation between the properties inscribed under criteria (ix) and (x) and the key zones for the conservation of birds, the same as with the important zones for fauna. Properties inscribed exclusively under cultural criteria are, in a high number of cases, also interesting for biodiversity. Thus, for example, 8% of the cultural sites have been identified as important zones for fauna. The management of these properties should take into account these challenges. Sixty-four key zones for biodiversity are World Heritage properties. Sites for the Alliance of Zero Extinction shelters particularly threatened species. 6 % of these 563 sites inscribed are covered by World Heritage properties under criteria (ix) and(x).

79. However, available statistics do not highlight an increasing consideration for criteria (ix) and (x)<sup>52</sup> in nominations (cf. Annex 2).

80. The World Heritage List could better contribute towards limiting mass extinction by according priority to key zones for biodiversity. IUCN collaborates with the World Conservation Monitoring Centre, which is attached to the United Nations Environment Programme (UNEP), with Birdlife International and Conservation International to improve evaluation tools for biodiversity and advise States Parties. At its 26th session at Vilnius, the World Heritage Committee noted the coordination between the conventions associated with biodiversity and in particular the joint statement addressed to the Millennium Summit in September 2005. It welcomed the permanent cooperation of the World Heritage Centre with biodiversity conventions through the intermediary of a liaison group on biodiversity created in 2002, as well as its participation in the UNEP project for thematic modules. Working relations exist between the World Heritage Centre and the UNESCO « Man and the Biosphere » Programme. A memorandum of understanding was signed in 1999 with the mechanism of the RAMSAR Convention and in 2003 with the Bonn Convention on Migratory Species (CMS). Relations between these different tools (cooperation or complementary) require clarification<sup>53</sup> to optimise their efficacy and use of means.

81. As emphasized by IUCN, it would be appropriate to further strengthen the synergies and concerted actions of these mechanisms, for example to halt illegal exploitation of rosewood

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<sup>50</sup> The action plan for Marine World Heritage presented in September 2010 in Bahrain underlined that currently only 0.8% littoral and marine species benefit from any form of protection and that only 0.01% of the marine areas are protected against exploitation.

<sup>51</sup> According to sources, the rhythm of extinction was, during the 19th and 20th centuries, from ten to one hundred times superior to the natural rhythm of extinction, apart from the great extinction crises. 20 % of the coral reefs have disappeared in thirty years; during the last ten years, a quarter of the Asian mangroves and almost half of the Latin American mangroves have disappeared; deforestation of humid tropical forests continues at a rate of 13 million ha a year. At the request of the UNO on the occasion of the millennium, the international scientific community estimated that in 2050, this rhythm of extinction shall be multiplied by ten, that is, according to the species considered, a time of 100 to 1000 times superior to the « natural » rhythm of extinction.

<sup>52</sup> Criterion (ix) is rarely used alone and is often combined with criterion (x).

<sup>53</sup> Thus, the working document of February 2009 of the RAMSAR working group on culture observed that for humid zones the two conventions should be examined to see whether they cooperate on the same objectives or rather are more complementary (World Heritage focuses on examples and RAMSAR privileges the functionality of ecosystems).

and ebony by foreign companies in the rainforests of Madagascar and the exportation of this wood to countries signatory to the World Heritage Convention. This situation, denounced in the reactive monitoring report presented to the 34th session, would require action from CITES<sup>54</sup>.

➤ A strict scientific approach

82. The proportion of nominations has diminished over time. As indicated by IUCN, this tendency is the result of several factors. The most emblematic properties have already been inscribed. Criteria for the recognition of outstanding universal value has become increasingly rigorous, especially as of the 2005 version of the Operational Guidelines (following the expert meeting in Kazan), notably with regard to the comparative approach. Since 1996, at the request of the World Heritage Committee, IUCN and its partners have established thematic studies on tropical forests, marine and coastal areas, mountains, island ecosystems, boreal forests, volcanoes, karstic zones, etc. to have a basis for objective analyses.

83. IUCN demonstrates a very rigorous approach to World Heritage which in principle is the height of hierarchy for protection. In its document on the application of the concept of OUV, IUCN underlines that « *although the Committee declared publicly that it obliged itself to establish a credible, representative and balanced World Heritage List, in conformity with the Budapest Declaration on World Heritage, IUCN considers that the objective is not to establish a completely representative list of all the natural heritage of the Earth, which would be contrary to the concept of outstanding universal value* ». The IUCN Declaration of Kazan (May 2005) states that IUCN considers the maintenance of the credibility of the World Heritage List is fundamentally linked to a true interpretation and a strict and rigorous application of the concept of OUV. IUCN also considers that all attempts to diminish or erode the concept of OUV will weaken the prestige of the Convention, undermine its content and reduce its effectiveness as an instrument for international conservation. In conclusion, and this is of fundamental importance, IUCN emphasizes that to inscribe a property on the World Heritage List is not the end of the process but more the beginning of a major responsibility to ensure that the property is effectively protected and managed for the benefit of humanity as a whole and for present and future generations<sup>55</sup>.

84. In 2006, the World Heritage Committee requested the creation of a compendium of pertinent information and decisions presented in the form of hand manuals to highlight precedents in interpretation and application of the concept of outstanding universal value. A compendium on nomination criteria for natural properties on the World Heritage List and the application of the OUV was prepared in 2008 by IUCN.

85. In this respect, IUCN imposes much stricter modalities for comparative analyses than ICOMOS for cultural properties. In many cases, IUCN has formulated a negative evaluation of the nomination for the reason that it was remarkable on the national or regional level but

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<sup>54</sup> Convention on International Trade in Endangered Species of Wild Fauna and Flora.

<sup>55</sup> Thus in 2006, IUCN argued that : « in a concern, to preserve the credibility of the World Heritage List, IUCN considers that the possibility to recommend the nomination of other volcanoes is increasingly limited ». IUCN recommended to the Committee to clearly request States Parties not to nominate other volcanoes until the exhaustive comparative analysis at a global level and not a regional one, is completed. In response, the World Heritage Committee requested IUCN to carry out a thematic study. Published in 2009, this study enabled the identification of a certain number of gaps in the World Heritage List concerning volcanic phenomena and landscapes and to identify sites that would fill these gaps.

did not justify nomination to the World Heritage List because at the global level far more representative properties existed in respect to the criteria under consideration.<sup>56</sup>

86. This is demonstrated by the fact that since the introduction of the Global Strategy in 1994, the proportion of non-inscribed sites, or those withdrawn by States Parties before inscription has increased.

87. However, the nomination of serial properties leads to the inscription of properties of which the components can have unequal values. Therefore, for example, for the Rainforests of Atsinama (Madagascar), IUCN observes that : « the choice of the group of sites proposed appears to be the result of two processes: some sites are clearly recognized as the best of the best from the biological viewpoint and others rather more artefacts of history<sup>57</sup> ». IUCN considers it necessary to maintain high standards. It argues that it is the selectivity of natural sites inscribed as World Heritage that has led the International Council on Mining and Metals (ICMM) to adopt in 2003 a declaration according to which its members would recognize the World Heritage protected areas as fulfilling the necessary criteria, and would refrain from any exploitation within those areas<sup>58</sup>.

**Recommendation n° 4 :**

- **Strengthen the representation of scientific natural experts within the World Heritage Centre and its regional units;**
- **Strengthen the synergies between the mechanism of the 1972 Convention and other international mechanisms for environmental protection.**

➤ Case of sites beyond territoriality

88. There are zones, such as the High Seas (part of the Arctic) and the Antarctica, to which the World Heritage Convention does not apply, zones that escape the sovereignty of States Parties<sup>59</sup>. As the action plan for marine World Heritage adopted in 2009 in Bahrain underlines, 50 % of marine areas are located in the High Seas. If the Antarctica Treaty (1959) offers a collaborative mechanism focused on conservation, it is appropriate that States establish without delay provisions adapted for the High Seas, of which the natural heritage long

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<sup>56</sup> Thus, for example, in 2000, the case of the Kopacki Rit site in Croatia, interior delta protected under the RAMSAR Convention, recognized as a key site for migratory birds and numbered among the most important rainforests and that of the Shey Phoksundo National Park, larger than the Nepal National Park (355 500 ha), that shelters endangered species like the snow leopard. It was the same in 2009 for the Lena Pillars National Park in Russia and the Korean Cretaceous Dinosaur Coast. In fact, this latter property *is considered as perhaps the biggest concentration of dinosaur ichnofossils in Asia. This regional importance is remarkable but does not correspond to the level recognized by the Committee as being of outstanding importance for fossiliferous sites....There is no convincing element proving that the five sites constitute the most important series in the world of serial sites and the file does not contain a convincing comparison of all the fossiliferous sites.* In 1999 and 2000, IUCN twice gave a negative evaluation concerning the file of the Blue Mountain region of Australia (1Md ha) because the eucalyptus woodlands of these landscapes were not of an exceptional character. Nevertheless, the property was inscribed in 2000.

<sup>57</sup> IUCN « *outstanding universal value, standards for natural world heritage, compiled for the nomination criteria for natural properties to the World Heritage List* », 2008.

<sup>58</sup> Even although this example was monitored by Shell, as noted in the document, « World Heritage, Challenges for the Millennium » of 2007, the majority of mining industries in the world have not adhered to this policy and reactive monitoring reports note a large number of sites threatened by mining activities (cf. see below paragraph 196).

<sup>59</sup> « *World Heritage, Challenges for the Millennium* », 2007, p.194. With regard to the Arctic Ocean, several States express territorial claims considering possibilities for exploitation opened up by climate change.

preserved due to its isolation and the difficulty in exploiting its resources, is now threatened. The Bahrain expert workshop recommended establishing a list of sites of the High Seas that fulfilled the OUV criteria in order to give impetus to progress through the framework of the Convention on the Law of the Sea or the Convention on Migratory Species to better argue an eventual extension of the World Heritage Convention.

89. In its 2004 report on the analysis of gaps, IUCN considered that the total number of natural properties justifying nomination to the List was in the order of 300 (including the properties already inscribed) and that this objective could in reality be achieved in a delay of about ten years. This objective shall not be reached.

90. For now, as has been noted, States Parties are sovereign, and natural properties inscribed on the World Heritage List or on the tentative lists often do not correspond to the priorities identified for an ideal list from the scientific viewpoint. Taking into consideration the nomination of sites of less interest, the number of natural properties to be inscribed will not be limited to 300.

<p><b>Recommendation n° 5: reflect upon appropriate means to preserve sites that correspond to conditions of outstanding universal value, which are not dependent on the sovereignty of States Parties.</b></p>
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*b. A geographical distribution where imbalances are difficult to appreciate due to arbitrary zoning*

91. For the period, the increase in nominations was more marked in the Asia-Pacific zone, followed by Africa (in particular for cultural properties) and Latin America. However, taking into account the pursuance of nominations in Europe and North America, the Europe and North America zone maintained and slightly increased its position over the period (from 47% to 49%). All the same, these statistics are biased by arbitrary zoning. Thus, the nominations of the Historic Area of Willemstad in the Netherland Antilles (1997), the Gough and Inaccessible Islands (1995) in the middle of the South Atlantic (United Kingdom), and the Lagoons of New Caledonia (2008) and Reunion (2010) counts in the name of France, and Hawaii for the United States (2010) have reinforced the Europe-North America zone, which also includes Henderson Island (1988) in the South Pacific (United Kingdom). In the same way, the nomination of several vast natural properties situated to the east of the Caucasus are counted in Europe under the Russian Federation.

92. The Asia-Pacific region slightly strengthened its position (from 20 to 22%), as did the Latin America and the Caribbean (from 13 to 14%). However, properties inscribed in Africa that represented 10% of the total properties on the List in 1994 only represent 8.5% in 2010. The same applies to the Arab States, which decreased from 10% to 7%.

93. The countries already having a number of properties inscribed and a good understanding of the procedures are those who have most benefited from nominations under the new



categories of heritage (cultural landscapes<sup>60</sup>, heritage routes), conceived to benefit countries having none or very few properties inscribed<sup>61</sup>.

94. While paragraph 59 of the Operational Guidelines provides that «to promote the establishment of a representative, balanced and credible World Heritage List, States Parties are requested to consider whether their heritage is already well represented on the List and if so to slow down their rate of submission of further nominations»<sup>62</sup>, the Europe-North America zone was the origin of 47% of the nominations for cultural properties over the period 2006-2009 in comparison to 25% for the Asia-Pacific zone, 11% for the Latin America and the Caribbean zone, 12% for Africa, 3% for the Arab States and 2% for serial transregional properties. But the situation is very contrasted between the different sub-regions of Europe. Western Europe, where the States Parties have adhered for a long time to the Convention and have a lengthy experience in the preparation of nomination files, is far more represented than eastern and south-eastern Europe.

#### **4) Evaluate the manner in which the objectives established for the regional implementation of the Global Strategy have been achieved (cf. Document WHC-98/CONF.203/12)**

95. Since 2004, regional programmes have been established to ensure the monitoring of recommendations for the first cycle of periodic reporting implemented every six years. The first cycle of periodic reporting was completed in 2006. Taking into account the time difference in the periodic reports of the different regions, there is no current data for all the regions

##### **a. Arab States**

96. Overall, the 18 States Parties represent 9.7% of the States having ratified the Convention. In 2010, the region numbered 66 properties on the List, of which 92% were cultural properties. Archaeological sites represent nearly half of the properties inscribed. The region only numbers four natural properties, of which a fossil site (Wadi Al-Hitan in Egypt) and three properties inscribed for biodiversity (Ichkeul National Park in Tunisia, Banc d'Arguin National Park in Mauritania, Socotra Archipelago in Yemen inscribed in 2008) and a mixed site (Tassili n'Ajjer in Algeria). Deserts, for example, were identified by IUCN in 2004 as insufficiently represented, whereas the World Heritage Centre organised a meeting on this theme in 2001. The periodic report observes that no inventory exists for natural heritage in four States Parties out of fourteen<sup>63</sup>. Most of the Arab States have no Ministry of Environment.

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<sup>60</sup> The European countries possess the pan-European strategy for biological diversity and landscape adopted in 1995 by the European ministers of environment and the European Landscape Convention adopted in 2000 in the framework of the Council of Europe.

<sup>61</sup> At the expert meeting on challenges of conservation of cultural landscapes (Ferrare, November 2002), it was noted that 65% of properties inscribed at the time as cultural landscapes were located in Europe. One of the participants noted a reticence on the part of some States Parties of other regions of the world to present nomination files under the category of cultural landscapes, judged to be more complex than mixed sites. In many cases, States Parties had not followed up on ICOMOS recommendations encouraging the presentation of a nomination as a cultural landscape.

<sup>62</sup> Resolution adopted by the 12<sup>th</sup> General Assembly of States Parties, 1999

<sup>63</sup> However, slight progress may be observed because there only existed one inventory for natural heritage in one State at the time of the establishment of the first periodic report.

97. However, as of 1997, a World Heritage Committee report had identified potential sites for World Heritage nomination in the Arab States<sup>64</sup>. It already emphasized the need for urgency in the conservation of the biodiversity of the desert areas, sheltering species that were far less numerous than in the equatorial forests, but retained remarkable specificities due to their adaptation to rigorous conditions, and also because this region is the cradle of the domestication of Neolithic fauna and flora. The report indicated a timid awareness of the value of natural heritage and « other factors ». In fact, the deserts contain, important oil and mining deposits.

98. One of the two sites deleted from the World Heritage List is the Arabian Oryx Sanctuary (Oman) inscribed in 1994, and which had benefited from international assistance for an amount of USD 95,000. Its deletion from the List occurred in 2007. The Committee noted that the State Party wished to pursue oil exploration within the boundaries of the property and that the reduction of the Sanctuary was such that the outstanding universal value had disappeared.<sup>65</sup>

99. The action plan for marine heritage adopted in Bahrain in February 2009 focuses on the nomination of heritage sites, rich but threatened, of the Arab States, with assistance from two regional organizations, the Regional Organization for the Conservation of the Environment of the Red Sea and the Gulf of Aden and the Regional Organization for the Protection of Marine Environment. The importance of this heritage for the conservation of marine biodiversity has long been recognized at workshops organized in 1997, 2002 and 2003 for the preparation of tentative lists in the Arab region, without resulting in any nomination before that of the Socotra Archipelago in 2008.

100. The creation of a regional centre for World Heritage in Bahrain, approved by the UNESCO General Conference in 2009 as a Category 2 centre with activities beginning in 2011 is a positive measure. It is hoped that it shall give a new impetus to the application of the World Heritage Convention in the region.

## **b. Asia-Pacific**

101. This zone includes 48 States Parties to the World Heritage Convention. Thirty-one have at least one property on the World Heritage List in 2010.

102. With regard to the first cycle of periodic reporting for the Asia-Pacific region in 2003, an Asia Action 2003-2009 Programme was developed to assist Asian States Parties in strengthening the application of the World Heritage Convention and improving conservation for World Heritage properties in the region, in particular those inscribed before 1994. The World Heritage Committee approved this regional programme at its 27th session (UNESCO, July 1994). A series of priority action plans were established by the Asian States Parties during several sub-regional workshops to facilitate the application of the Asia Action 2003-2009 Programme for west and south Asia, Central Asia, north-east Asia and south-east Asia. These action plans were approved by the World Heritage Committee at its 30th session (Vilnius, 2006).

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<sup>64</sup> Report of Professor Ghabbour of Cairo University (September 1997).

<sup>65</sup> The state of conservation report highlighted a reduction of 90% of the zone of protected areas due to the extension of oil exploitation and a very big reduction of the Arabian oryx (from 450 at the time of nomination of the property to a reproductive head of four males and four females).

103. In Asia, the preservation of urban ensembles is not covered by any legislation in some States Parties, as for example India, although it has remarkable urban heritage. Heritage of Central Asia remains under-represented. The States Parties concerned lack experience in the field of heritage policy and are sometimes without a ministry of culture. International technical assistance was made available to strengthen their capacities and assist them in establishing tentative lists. Since 2004, sites have been nominated in Mongolia, Kirghizstan and Tadjikistan. In some States Parties, mostly Muslim, the Buddhist sites have been neglected.

104. A « World Heritage – Pacific 2009 » programme was established in 2003, following the first cycle of the submission of periodic reports for the Asia-Pacific region. An action plan for the application of the Pacific 2009 programme was developed by representatives of all the Pacific region countries and the institutions involved, at a workshop at Tongariro (New Zealand) in October 2004. The action plan was confirmed by the World Heritage Committee at its 7th extraordinary session (UNESCO, 2004). An exhaustive report on the progress accomplished in the implementation of the action plan Pacific 2009 was presented to the Committee at its 31st session (Christchurch, 2007). An action plan 2010-2015 was defined. In 2010, two very large properties located in this zone were inscribed (Hawai and Kiribati).

### **c. Africa**

105. Forty-five of the forty-six African States have ratified the Convention<sup>66</sup>. In 2010, 30 of them have one property inscribed on the World Heritage List. Of the 15 States with no property inscribed on the List, nine have established a tentative list. The World Heritage Centre indicated that three of the six States<sup>67</sup> with no tentative list were preparing the submission of their tentative lists<sup>68</sup>. Most of the States Parties have not revised their tentative lists for more than ten years, contrary to the recommendations of paragraph 65 of the Operational Guidelines.<sup>69</sup>

106. If properties inscribed under natural criteria had predominated to date, from 1995 to 2007 two-thirds of the nominations have concerned cultural properties, which no doubt is linked in part to the cultural heritage programme for Africa. In 2010, there were 42 cultural properties (54%), 32 natural properties (41%) and four mixed properties (5%). All the same, as is noted above, the distinction between natural and cultural criteria is often maladapted, a number of natural sites being associated with cultural practices.

107. In 2010, African countries represented 8 % of all the properties on the World Heritage List but 40% of properties on the List of World Heritage in Danger. In fact, 14 African properties, of which a transboundary, of the 34 properties on the List, are inscribed. The five natural properties of the Democratic Republic of the Congo are inscribed on the List of World Heritage in Danger. Five of the eight African countries having a property on this List are at war, and the conflicts are often instrumental in the plundering of natural resources<sup>70</sup>.

### **d. Latin America and the Caribbean**

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<sup>66</sup> Only Somalia has not signed the Convention.

<sup>67</sup> Liberia, Sierra Leone, Sao Tomé and Principe, Equatorial Guinea, Rwanda and Djibouti.

<sup>68</sup> Sao Tome and Principe, Djibouti and Sierra Leone.

<sup>69</sup> Report of the African World Heritage Fund, April 2010.

<sup>70</sup> Cf. for example, the struggle for the control of coltan in the Democratic Republic of the Congo (UN Security report 5/2003/10237).

108. Of the 32 countries of the Latin America and Caribbean zone, only the Bahama Islands have not ratified the Convention. In 2010, twenty-five countries had at least one property on the World Heritage List. Some tentative lists are maladapted and too old.<sup>71</sup> Three countries still are without a tentative list.<sup>72</sup> Meetings for the harmonisation of tentative lists are programmed. 80% of the properties have been the subject of retrospective statements of outstanding universal value. Actions are underway to improve the technical capacities and the institutional memory.

109. Since 2003, six countries cooperate in the preparation, coordinated by the World Heritage Centre, of the file for the Major Route of the Andes, an exceptional project due to its size and complexity, that mobilises 300 full-time individuals and has required the establishment of a legal committee and an ad hoc scientific committee, as well as the creation of an electronic site to ensure conservation and data sharing. This project was selected by the World Heritage Committee as an example of best practice for the nomination of serial transnational sites.

#### **e. Europe - North America**

110. The periodic report of 2006 noted an imbalance between the sub-regions of Europe and between cultural and natural heritage (Nordic and Baltic region 36, West Europe 119, Mediterranean Europe 132, Central and South-east Europe 69, East Europe 34).

111. With regard the number of properties, in 2010 the continuing important disparity between the different sub-regions of Europe can be observed: 133 properties inscribed in West Europe (of which only 12 natural properties), 140 for Mediterranean Europe (including Israel), 74 for Central and South-east Europe in contrast to 37 for East Europe and 36 for the Nordic and Baltic region<sup>73</sup>. But these statistics do not take account of the extent of the properties inscribed. In fact, East Europe has had several very vast natural properties inscribed on the List since 1994<sup>74</sup>.

112. With regard to natural properties, the under-represented biomes identified by the 2004 IUCN study in Europe concern more specifically the arctic sub-polar tundra and the river deltas of Russia. The thematic study on mountains<sup>75</sup> also noted the possibilities of the nomination, in particular, of the Alpine massif. Since then, two Alpine properties have been inscribed<sup>76</sup>. In 2004, two arctic properties were inscribed<sup>77</sup>.

113. The harmonisation of tentative lists has scarcely progressed, in particular in western Europe and the Mediterranean. In many countries, the tentative lists should be revised (notably the Baltic countries).

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<sup>71</sup> Uruguay, for example.

<sup>72</sup> Saint-Vincent and the Grenadines, Antigua and Barbuda, Trinidad and Tobago.

<sup>73</sup> Transboundary properties are counted in each of the sub-regions.

<sup>74</sup> The following were inscribed for the Russian Federation: Natural System of Wrangel Island Reserve (2004), Virgin Komi Forests (1995), Lake Baikal (1996), Volcanoes of Kamchatka (1996), Golden Mountains of Altai (1998), Western Caucasus (1999), Central Sikhote-Alin (2001). Uvs Nuur Basin, transboundary with Mongolia (2003), is included in the statistics for the Asia-Pacific.

<sup>75</sup> IUCN study, 2002

<sup>76</sup> Swiss Tectonic Arena Sardona (Switzerland 2008), Dolomites (Italy, 2010).

<sup>77</sup> Illussat Icefjord (Denmark) and the Natural System of Wrangel Island Reserve (Russian Federation).

114. North America numbers 34 properties (31 in 2006). There again, it often concerns vast areas of national parks. The last periodic report noted efficacious cooperation between the United States and Canada. This cooperation continues, as well as efforts by the two countries to harmonise their tentative lists.

**5) Examine the manner in which « studies on the disparities of the List » carried out by ICOMOS and IUCN have contributed to the implementation of the Global Strategy for a balanced, representative and credible World Heritage List**

115. The External Auditor cannot mitigate the absence of indicators for the monitoring of the Convention in 2005 (above) and the lack of current data. Further, it does not possess the scientific competence to update the analysis of gaps conducted in 2004 according to the scientific analysis grids by IUCN (a new study is being conducted by large biogeographical zone) and ICOMOS<sup>78</sup>, and since extended in the framework of thematic studies and expert meetings.

116. In view of the elements provided, the audit made the following observations.

117. With regard to the specific gaps identified in 2004, it may be noted that for cultural heritage the following properties were inscribed on the World Heritage List: industrial heritage and 20th century properties, Prehistoric and rock art sites, routes and cultural landscapes, as well as some vernacular architecture, but this latter category remains very under-represented<sup>79</sup>. Also, natural properties were inscribed or are being prepared for nomination, among which are types of properties mentioned in the 2004 IUCN study and later thematic studies and programmes (marine World Heritage) (cf. above). An evolution of the tentative lists in the Arab States can be observed, with the nomination of a few natural sites.

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<sup>78</sup> The 2004 ICOMOS study observed, for example, that certain ancient civilizations were not represented (Sumarian, Babylonian), that certain cultures had not been recognized (example in Africa, the Bantu culture, a part of the Latin America Indian culture), that certain regions were under-represented (for example, North and East Europe, Central Asia, Pacific) and that Islam was relatively under-represented as regards some aspects. It envisaged more detailed regional or thematic studies for analysis.

<sup>79</sup> « *World Heritage, Challenges for the Millennium* » 2007.

- 6) Evaluate in what measure thematic studies have contributed to the Global Strategy;**
- 7) Evaluate the pertinence of thematic programmes in the framework of the successful implementation of the Global Strategy**

**a. A potentially unlimited growth of the List**

118. Numerous thematic studies have been conducted, notably to better identify the gaps in the List. These studies aim to provide clarification to States Parties in the establishment of their inventories and their tentative lists as well as the harmonisation of regional lists. Documents examined are of high quality but remain insufficiently consulted by States Parties, whose priorities more often than not diverge from the findings of experts. Moreover, in the field of culture, these studies lead to identifying new, increasingly specialised heritage categories and potentially open up the range of the List. These studies are essential to raise awareness of States Parties in respect of the value of certain categories of heritage, often neglected. But they combine to increase the flow of new nominations when the current means for implementation are insufficient to enable the monitoring and conservation of properties already inscribed (cf. paragraph 203 onwards, below).

119. Thematic studies, financed by the World Heritage Fund and especially extrabudgetary sources<sup>80</sup>, both for the cultural and the natural areas, contribute without doubt to the diversification of properties on the List and to the comparative analyses of the nomination files. These studies lead to the continual identification of new heritage categories in the cultural field.<sup>81</sup>

120. Certain programmes (Earthen architecture (2001), Forests (2001), Small island developing states (2005), Marine programme (2005), Prehistory (2005)), or thematic initiatives (astronomy, 2008) are instrumental in the diversification of properties inscribed on the List, while remedying certain gaps.

121. However, as noted above, inscriptions on the tentative lists, as on the World Heritage List, very often diverge from the priorities identified by the Advisory Bodies.

122. While at present the List numbers more than 900 properties, one might question, as do the Advisory Bodies, some delegations and the World Heritage Centre, this evolution that leads to a never-ending growth of the List. The expert meeting on decision-making procedures of the statutory bodies of the World Heritage Convention, organised in Bahrain in December 2010, in the framework of reflections on the future of the Convention (future procedure), was undertaken at the request of the Committee at its 32nd session (Quebec, 2008). It drew attention to the difficulties in organising the work of the Committee, the Advisory Bodies and the World Heritage Centre to cope with the increased workload, with no increase in resources<sup>82</sup>. The Advisory Bodies receive an increasing number of requests for activities which are not financed by the World Heritage Fund.

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<sup>80</sup> Available financing from the World Heritage Fund for thematic studies is minimal (about 15 000 SF/year for IUCN and 15 000€a year for ICOMOS for the biennium 2010-2011). For the period 2012-2013, ICOMOS must seek extrabudgetary funding to finance two studies.

<sup>81</sup> This is not the case in the field of natural properties. If the open method used for cultural properties was followed, this would lead to reasoning for example biodiversity criteria by ecological niche of such and such a species and not by large biogeographical categories.

<sup>82</sup> Cf. Audit Deloitte on the World Heritage Centre, 2007

123. In the first years of the implementation of the Convention, iconic properties were inscribed. Since then, the refinement of categories has led to the inscription on the tentative lists of sites where the outstanding universal value is only perceptible to hyper-specialists. The concern to improve the representation of the List carries the risk of a positive discrimination in favour of increasingly refined sub-categories of heritage.<sup>83</sup> In addition, due to the prestige of the List and economic interests at stake, States Parties insist, often at the request of territorial communities, on obtaining the nomination of sites that, in the opinion of the Advisory Bodies, do not have global recognition but rather a national or regional recognition. For several properties inscribed, it may be queried whether the OUV criteria in the spirit of the 2005 Kazan Declaration, integrated into paragraph 49 of the Operational Guidelines, is really fulfilled: «outstanding universal value means cultural and/or natural significance which is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity. As such, the permanent protection of this heritage is of the highest importance to the international community as a whole.» One must not lose to view that the strength and the credibility of the 1972 Convention is based on the adhesion of world citizens to the principle of conservation of properties perceived as outstanding.

124. The multiplication of properties inscribed on the List bears witness, of course, to an interest in the mechanism of the Convention. But it is also heavy with threats for its credibility. The notion of outstanding universal value is at the heart of the Convention and the diversification of types of properties must not allow this to be lost to view.

#### **b. Risks to the conservation of World Heritage properties**

125. Already, a shift of the mechanism, increasingly focused on the List to the detriment of the monitoring and conservation of already inscribed properties, can be noted.

126. Paragraph 58 of the Operational Guidelines provides that « no formal limit is imposed on the total number of properties to be inscribed on the World Heritage List ». But, as of 1996, the expert meeting held in Vanoise Park on the evaluation of general principles and criteria for nominations of natural World Heritage properties was concerned with the « manageability » of the List: « The critical issue is to fill the gaps in the World Heritage List while not losing the manageability and credibility of the World Heritage List through an unreasonable number of inscriptions. The meeting also expressed its concern that while considerable resources were being spent on the nomination process, there was an even more urgent need to focus on the problems of management and care of existing properties especially those listed as in danger. Failure to do so would undermine the credibility of the Convention. The experts considered that credibility of the List concerns not only the number of sites inscribed, but the representativeness of sites from the different regions of the world and stages in the Earth's history, the quality of management in designated World Heritage sites and the ability to address threats and dangers to World Heritage sites and to bring them back to their normal conditions. These efforts can only succeed if the List remains credible and manageable ».

127. As the Document « World Heritage, Challenges for the Millennium » notes, « **the real issue is not the number of sites, but rather the capacity to ensure to effective conservation of those inscribed**<sup>84</sup> ». With the current rhythm of 20 to 25 nominations a year,

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<sup>83</sup> Thus, on the tentative lists under industrial or modern heritage, one could find sites as diverse as a hanger for air ballons or a disused corned beef factory.

<sup>84</sup> UNESCO, « World Heritage, Challenges for the Millennium », 2007, p 192.

the List will shortly number 1000 properties and could number 1,500 in 2030 and 2,000 by 2045, the one-hundred anniversary of UNESCO.

128. This is why experts recommended, already in 1996: «for all purposes of standard setting, credibility, manageability and commensurability with available resources, inscription on the World Heritage List should be kept to a strict minimum»<sup>85</sup>.

129. That recommendation, reiterated notably by IUCN in its 2004 report on the filling the gaps in the List, has not been heeded. So, nomination files are increasingly complex to evaluate (need for comparative analyses, complex categories such as serial sites, heritage routes and cultural landscapes) and mobilise increasing resources of the World Heritage Centre and the Advisory Bodies.

130. World Heritage conservation, which is the initial *raison d'être* of the Convention, tends to become *de facto* secondary in relation to the nomination strategy that sometimes responds more to national pride and the development of the tourism industry than to heritage conservation. Thus, there is a propensity of States Parties who request the nomination of sites of national rather than world importance and also the refusal of some States to request the nomination of sites where the potential OUV has been recognized by experts, for fear that they will be inscribed on the List of World Heritage in Danger. This latter inscription is increasingly perceived, not as a means to mobilise international assistance for the conservation of a site in accordance with the spirit and letter of the 1972 Convention, but as a stigmatic measure, «dishonourable»<sup>86</sup>.

131. One may question whether there is a possibility to imagine other mechanisms such as lists of sites of regional interest<sup>87</sup> or thematic lists (like, for example, scientific sites or technology and industrial heritage) which would have the merit of coherence. The experience of the Intergovernmental Programme of Biosphere Reserves is very interesting in this respect. The same applies to Geoparks, that do not have the status of an intergovernmental programme but are supported by UNESCO<sup>88</sup>; their objective is to establish links with sustainable development and the communities<sup>89</sup> (and, in particular, actions in favour of women) and function through networks enabling mutual cooperation and exchange of experiences, not yet sufficiently developed in the framework of the 1972 Convention. At the expert meeting in Kazan in 2005, IUCN underlined its interest in diffusing «best practices». But it should be noted that the status of Global Geoparks does not imply restrictions to economic activities within the Geopark once it is in conformity with local, regional or national legislation in force.

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<sup>85</sup> Cf. precited Vanoise meeting.

<sup>86</sup> According to the terms used by the Deputy Delegate of Zimbabwe in his intervention at the 34th session. The presentation document for the periodic report for North America at the Durban session in 2005 (WHC-05/29.COM/11A) thus observed that results of the controversy that had surrounded the inscription of Yellowstone on the List of World Heritage in Danger in 1995 had not disappeared ten years later. «*That controversy had provoked an important erosion of support to the World Heritage programme within the local populations and the American Congress*». The position of the United States has changed since that time, as in 2010 they requested the inscription of the Everglades on the In-Danger List.

<sup>87</sup> Document «World Heritage, Challenges for the Millennium» of 2007 indicated that regional lists were proposed for Europe and the Americas. They question whether the regional lists can work as buffers against excessive pressure to inscribe sites on the World Heritage List. Could they offer as sufficiently high a level of protection and recognition as the national plan and become a preparatory stage for future nominations on the World Heritage List? It may be noted that the initiative of the European Commission, based on an intergovernmental initiative adopted, on 9 March 2010, a proposal for the badge of European heritage but which only concerns heritage having a symbolic value for European integration.

<sup>88</sup> Decision of the Executive Board of June 2001 (161 EX Decisions 3.3.1)

<sup>89</sup> The motto of the Geoparks is: «*Celebrating Earth heritage, sustaining local communities*».



132. The 1972 Convention needs to be refocused on the most outstanding sites and to conceive at the regional or global level other tools for recognition and wider protection (cf. for example, the Convention for the Protection and Development of Landscapes concluded in the framework of the Council of Europe in 2000 and the very recent draft Global Landscape Convention).

133. It is true that the strength of the 1972 Convention is rooted in the degree of protection that it is supposed to afford for the site. But it appears that the World Heritage Committee does not use, as much as would be necessary to ensure the conservation of properties, the judicial means provided by the Convention (cf. paragraphs 213 and 215 below).

134. So, one could imagine that these regional or thematic lists be the subject of ad hoc conventions defining the obligations of the States Parties . As was recognized by the expert meeting held in Phuket in April 2010, on the « prior procedure for nominations », « too great a focus upon World Heritage –Articles 5 and 12 of the Convention sets a broad aspiration to protect the world’s heritage, not just World Heritage – and there are international, regional and national options beyond World Heritage to protect and conserve heritage. ». These lists could serve as tentative lists for the inscription of the best sites on the World Heritage List (cf. above). But the cost of such a mechanism should be appreciated. It might be less costly to envisage an evaluation by the experts of the Advisory Bodies on the potential value of the sites inscribed on the tentative lists.<sup>90</sup>

**Recommendation n° 6 : refocus World Heritage nominations on the most outstanding sites and for the others envisage new tools for recognition and conservation at the regional level or by themes under the auspices of UNESCO or in concert with regional organizations.**

#### **8) Study the possible link between all inscriptions withdrawn or deferred during the period 1994-2010 and the Global Strategy.**

135. In conformity with paragraph 152 of the Operational Guidelines, the State Party may withdraw a nomination at any time prior to the Committee session at which it is scheduled to be examined. It may present a new nomination at another session. This spontaneous withdrawal allows the State Party to control the delay in which it, if need be, proposes a new file whilst if it maintains its file despite a negative evaluation by the Advisory Bodies, the file risks being postponed to the following year without giving sufficient time for its revision.

136. Statistics over a recent period have not demonstrated a marked tendency in the number of withdrawals after the reception of advice from the Advisory Bodies (4 in 2003, 6 in 2004, 10 in 2005, 7 in 2006, 9 in 2007, 5 in 2008, 12 in 2009 and 4 in 2010).

137. Due to increasing divergences between Committee decisions and the advice of the Advisory Bodies (cf. paragraph 172 onwards, below), the States Parties may be tempted to maintain their nomination despite negative advice or advice from one or more Advisory Bodies concluding the report, or that the examination of the file be deferred, and to depend instead upon lobbying with Committee members.

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<sup>90</sup> As indicated by the Committee at its 27th session, the fact that a property is on a tentative list is already a sign of recognition, which increases if the Advisory Bodies give an initial appreciation on potential OUV.

138. With regard to decisions to defer the nomination of the property, the examples are diverse. In some cases, according to the Advisory Bodies, the site does not correspond to the criteria initially proposed and the State Party has modified the proposed criteria to obtain at a later date, the nomination of the property under another more open category defined by the Global Strategy (cf. the example of Dresden, that was presented as a historic city then represented and inscribed as a cultural landscape). In other cases, the decision to defer is motivated by unsolved problems concerning the management and integrity of the property. Whether they are withdrawn or deferred, these files represent a cost for the Convention.

## **B. Capacity building in States Parties**

### **1) Evaluate in what measure countries have become States Parties to the Convention, established tentative lists and nominations of sites based on under-represented categories or regions on the World Heritage List**

139. Two tools are foreseen by the Operational Guidelines to enable States Parties to successfully prepare tentative lists, then nomination files. The Advisory Bodies have an important role in raising awareness and all the more so as many countries are still without a ministry of culture and an even greater number without a ministry of environment.

#### **a. Capacity building: often limited in scope due to lack of stability of trained staff**

140. The Budapest Declaration of 2002 provides that the Committee seek to develop capacity building in States Parties in conformity with the Strategic Objectives. A Global Strategy for World Heritage cultural training was adopted by the World Heritage Committee in 2000 then extended to natural heritage in the framework of a strategy adopted by the Committee at its 25th session in Helsinki in 2001. Moreover, States Parties are encouraged to integrate regional cooperation for training into the framework of their strategy.

141. The Africa 2009 Programme, launched in 1998 and monitored by ICCROM, concerning the intangible cultural heritage in Africa, benefited over twelve years from more than 10 M€ of contributions, extrabudgetary for the most part<sup>91</sup>, the World Heritage Fund having contributed only 780,000€ In total, 29 countries covered funding or services. This programme, with the objective to improve the national capacities for the management and conservation of intangible cultural heritage in Sub-saharan Africa, has notably financed capacity building activities (regional courses, technical courses, seminars) as well as inventories, site documentation, the preparation of tentative lists and nomination dossiers.

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<sup>91</sup> Among the principal donors, Sweden is by far the first contributor with 4.2 M€ Norway (2.2 M€), Finland (1.1 M€), Italy (970 000 €), ICCROM (446 000 €), France (185 000 €) and WMF (125 000 €).

142. More recently, other regional and sub-regional programmes have been established, such as the ATHAR Programme launched in 2004 and which is focused on the archaeological sites of Jordan, Lebanon and the Syrian Arab Republic.

143. However, the effectiveness of cooperation for capacity building is often diminished by the lack of stability of structures and trained staff<sup>92</sup>.

### **b. Preparatory assistance: limited effectiveness (cf. Annex 3)**

144. The Operational Guidelines define the order of priority for the different types of international assistance: first, emergency assistance, then preparatory assistance, followed by « conservation and management », which includes training assistance and research, technical cooperation, promotional and educational activities (Decision 30. COM/14A).

145. From 1994 to 2010, 1230 requests for international assistance were approved for an overall amount of USD 28.9 M, of which USD 4.4M (15.4 %) for preparatory assistance. The portion of international assistance in the budget of the World Heritage Fund decreased from 55% in 1994-1995 to 35% in 2004-2005 and only 15% for the biennial exercise 2010-2011. Preparatory assistance, that only represented 7% of the budget of the World Heritage Fund in 1994-1995, increased to 38% in 2006-2007. Since the biennial exercise of 2008-2009, the overall amounts cover both preparatory assistance and conservation-management. These two categories represented 68% of the amount of international assistance under the biennial exercise 2008-2009 and 63% for the biennial exercise 2010-2011<sup>93</sup>.

146. Preparatory assistance may principally be requested for the preparation of tentative lists of sites that might be nominated to the World Heritage List, to organise meetings to harmonise national tentative lists of the same geocultural region, or to prepare nominations of sites to the World Heritage List. It may include the preparation of a comparative analysis of the property based on other similar sites. It may also finance the preparation of requests for training and research assistance, and technical cooperation for World Heritage properties. 12% of the credits for preparatory assistance were allocated to the preparation of tentative lists and 84% to nomination files, the remainder was devoted to financing management plans and the revision of lists. The average amount of a preparatory assistance request is USD 17,500.

147. From 1994 to 2010, preparatory assistance is divided between the regions as follows: Africa 31 %, Asia and Pacific 29 %, Arab States 14 %, Latin America and the Caribbean 15 %, Europe and North America 11 %. Africa is thus the principal beneficiary of preparatory assistance. However, it should be noted that despite the very low amount of their contributions to the World Heritage Fund, 21 countries have not yet regularised their contribution, whilst this payment is the condition sine qua non to be able to benefit from international assistance, except as concerns emergency assistance.

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<sup>92</sup> First cycle periodic reports have underlined the absence of the institutional memory (cf. WHC-07/16 GA9 page 8).

<sup>93</sup> Emergency assistance represents 37 % of amounts granted under assistance (39 % in 1994-1995).

148. The number of beneficiary sites for preparatory assistance, for the period, was a total of 147 cultural properties (55 %), 24 natural properties (21 %) and 62 mixed properties (24 %).

149. The effectiveness of preparatory assistance with regard to the objectives of the Global Strategy however appears mediocre. Only 28% (45) of the 185 sites having benefited from preparatory assistance with a view to nomination on the World Heritage List were inscribed. 25% of the properties were not even the subject of nominations by the States concerned.

150. These observations concur with those established in the framework of the examination of the working methods and procedures of ICOMOS for the evaluation of cultural and mixed properties<sup>94</sup>. The corresponding report notes that the number of sites proposed for nomination under cultural or mixed criteria having benefited from assistance from the World Heritage Fund for the preparation of nominations decreased from nine in 2006, of which seven for Africa, four in 2007, two in 2008 and only one site in 2009. « More serious still, this international assistance seems not to have had any effect on the quality of the nomination files; of the 16 sites having benefited from this assistance during the last four years examined, only five were recommended for nomination according to the ICOMOS evaluation. In addition to these five sites, the World Heritage Committee decided to inscribe three additional sites that ICOMOS had proposed to refer back to the States Parties, which gives a total of eight sites out of the sixteen having benefited from assistance under the World Heritage Fund - a percentage of 50%, while the percentage of sites inscribed over the entire number of sites proposed for nomination over the four years under study amounts to 61%.».

151. Other funding sources have assisted in the establishment of the tentative lists and nomination files.

152. In particular, this is the case of the African World Heritage Fund (AWHF), created in 2005, which was accredited as a Category 2 centre at the 35th UNESCO General Conference (2009). With an initial capital equivalent to nearly USD 4.8M, it has received pledges of additional amounts from certain contributors, and benefits from targeted contributions from extrabudgetary funds<sup>95</sup>, as well as the World Heritage Centre. These funds, amounting to nearly USD 7.5M, have notably been used for the organisation of regional harmonisation workshops for tentative lists. Its means of intervention remain insufficiently recognized, in particular in Francophone Africa and its funds under-used.

153. In the framework of the initiative for the Central African World Heritage Forest (CAWFI), the World Heritage Centre organised in 2008, a workshop to identify outstanding forestry areas. A working document was prepared to evaluate the potential OUV of these sites in relation to sites already inscribed and to conduct a preliminary evaluation of these sites in respect of criteria and conditions for integrity and management. The drafting of this document was however hindered for many sites, by the lack of verifiable and updated data, notably concerning biodiversity. This analysis highlighted the existence of sites that, according to specialists, presented a potential outstanding universal value but which did not benefit from any protection.

154. The mixed results of preparatory assistance should lead to questions concerning the selection of sites inscribed on the tentative lists. Meetings with the experts of the Advisory Bodies and certain delegations emphasized that it would be appropriate to be far more selective in the choice of sites identified for preparatory assistance or another form of international cooperation in order to avoid wasting funds in preparing nomination files that do not meet the criteria requested by the Operational Guidelines.

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<sup>94</sup> Report precited by Mr Jade Tabet, June 2010

<sup>95</sup> Spanish Funds -AECID (USD 2.3 M), Nordic Foundation, Norway for an amount of USD 2.5 M.

155. In a joint communication addressed to the UNESCO Director-General, the directions of ICCROM, ICOMOS and IUCN underline that « there is a particular need to reform the selection procedure for new sites by systematically providing advice, in advance, on potential nominations to ensure that energies are dedicated to nominations that have been fully considered and fulfil the established conditions of the Convention ».

156. The process called « Upstream », the experimentation of which has just begun, aims to improve the nomination process by identifying the outstanding universal value at a very early stage<sup>96</sup>. While efforts should be channelled towards the establishment of tentative lists of States possessing the least technical capacities, files have been presented by States that already count numerous properties on the List<sup>97</sup>.

## **2) Evaluate to what extent the tentative lists have contributed towards attaining the objectives of the Global Strategy**

157. The establishment of tentative lists is an essential stage. But it appears that these lists comprise many sites that do not fulfil the nomination criteria, in particular the outstanding universal value. Therefore, a waste of preparatory assistance funds provided from the World Heritage Fund (cf. above) as well as extrabudgetary ones can be observed, whereas sites that present a strong potential of outstanding universal value are not inscribed on these lists.

158. At the request of the World Heritage Committee<sup>98</sup>, ICOMOS and IUCN published in 2008 two compendia of nomination standards for cultural and natural sites to the World Heritage List, that specifically treat criteria to measure the presence of OUV, with supporting examples. Resource handbooks concerning the preparation of nomination files have recently been established in cooperation with the World Heritage Centre.

159. However, the tentative lists sometimes diverge from the priorities identified by experts of the Advisory Bodies or academic experts. As the Advisory Bodies should not participate in the preparation of the nomination dossiers in order to avoid all conflict of interests, they have identified sites that might fulfil conditions for nomination in the framework of their 2004 reports and later in numerous thematic studies. In paragraphs 71 and 72 of the Operational Guidelines, the States Parties are invited to consult this documented data to establish their tentative lists with every chance of success. The approval of requests for preparatory assistance for the establishment of tentative lists could be conditioned by the commitment to nominate in priority on these lists sites identified by the thematic studies of the Advisory Bodies as corresponding to the gaps in the List and therefore the so-called « Upstream » procedure would have confirmed the potential outstanding universal value.

160. As is recommended in paragraph 73 of the Operational Guidelines, the World Heritage Centre and the Advisory Bodies insist upon the utility in harmonising the tentative lists at the regional or thematic level. Little progress has been observed on this point since 2004, even if a few regional meetings have been organised. Thus, in the framework of reflections on the future of the Convention, it would be appropriate to study the possibility of providing as a prior requirement for nomination to the World Heritage List, except in the case of emergency,

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<sup>96</sup> Final report on the process preceding nomination: creative approaches to the nomination procedure, Phuket April 2010

<sup>97</sup> Russian Federation, France, Japan, Mexico

<sup>98</sup> Decisions 30.COM/9 and 31.COM/9

the inscription of the site on a regional or thematic tentative list. This list could have a « badge » of recognition as regards protection (cf. paragraph 34).

161. Moreover, it appears that in many States Parties, the lists are not revised periodically as is foreseen in paragraph 65 of the Operational Guidelines (at least every ten years). Some of the properties inscribed on these lists are irremediably degraded.<sup>99</sup>

162. Even when sites corresponding to the gaps and priorities identified by the Advisory Bodies are inscribed on the tentative lists, the nomination made by the State Party has still to be submitted to the Committee. However, the choice in the order of presentation of files, sometimes made taking into account the prestige of the World Heritage List, is taken at the highest level of the State, and often according to political criteria.

163. Taking into consideration the delays in procedure (except in the case of emergency procedure) and intense of pressure from human activities, it would be appropriate to envisage the possibility of assistance to States Parties that do not possess the capacities to maintain the values, integrity and authenticity of sites inscribed on their tentative lists having a strong potential for outstanding universal value recognized by the Advisory Bodies. Given the low level of funding allocated to conservation from the World Heritage Fund, extrabudgetary funding<sup>100</sup> should be sought, including private donations, as well as the mobilisation of networks for scientific and technical cooperation.

**Recommendation n° 7 :**

- **encourage States Parties to update and harmonise the tentative lists at the regional level;**
- **study the possibility of establishing regional or thematic tentative lists during the next periodic reporting cycle;**
- **condition the need for preparatory assistance for the establishment of tentative lists to the commitment to prior nomination on these lists of sites identified by thematic studies of the Advisory Bodies as corresponding to gaps in the List. Use the « Upstream » procedure aimed at recognizing outstanding universal value prior to the preparation of the nomination file;**
- **assist, if need be, States Parties without the capacities to maintain the values, integrity and authenticity of sites inscribed on their tentative lists where the potential for nomination to the World Heritage List has been recognized by the Advisory Bodies.**

**3) Evaluate the effectiveness and implementation of the Cairns-Suzhou Decision.**

164. To slow down the increase in the number of nomination requests (up to 80 in 2000, as indicated in the tables in Annex 4), it was decided in 2000, in Cairns, to limit the number of files for new nominations presented by session to one per State with a global ceiling of 30 new nominations. But the Committee had exempted from this number the deferred or referred nominations, revisions to boundaries of properties already inscribed, emergency cases, then

<sup>99</sup> As noted during the mission to Uruguay.

<sup>100</sup> The Rapid Response Facility for natural heritage has thus intervened in two cases to conserve sites not inscribed on the List (cf. paragraph 233 below).

(in 2001 at the 25th session) transboundary nominations. This limit was raised to 45 at the Suzhou session (2004), including earlier nominations not taken into account in the calculation of the ceiling. In practice, the number of files received for a cycle and considered as complete has never exceeded the limit, and the World Heritage Centre has not had to apply the order of priority<sup>101</sup> that the 2007 evaluation carried out had noted was hardly operational<sup>102</sup>.

165. At the Suzhou session, the number of new nominations by State was extended to two, but on the condition that at least one concerned a natural site. This decision had the effect of increasing natural heritage nominations. The evaluation presented in 2007 in Christchurch revealed a clear increase in the level of nominations for natural sites, from 18.3% in 2003 to 31.7% in 2007 (% calculated on nominations transmitted to the Advisory Bodies) (cf. third table of Annex 4).

166. But this had a fleeting effect. At the 31st session in Christchurch in 2007, it was decided that « on an experimental basis, for four years, a State Party is authorized to decide on the type of nomination – cultural or natural – according to its national priorities, its history and geography ». The proportion of natural sites for nomination has since greatly diminished. It was particularly low for the session in 2010, with 12.1%.

**Recommendation n°8 : take into consideration the evolution noted since 2007 and reexamine the need for improvements to the Suzhou Decision.**

### C. External Auditor's Assessment

167. In its preamble, the 1972 Convention refers to the need of establishing « an effective system of collective protection of the cultural and natural heritage of outstanding universal value, organized on a permanent basis and in accordance with modern scientific methods ».

168. The Global Strategy has encouraged the ratification of the Convention by new States and an important increase in the number of properties on the List and awareness of World Heritage. The World Heritage Convention is now one of the most recognized international legal instruments by the public worldwide. Through the mobilisation that it engenders, it has enabled in numerous cases to mitigate pressures on properties inscribed as World Heritage.

169. From this perspective, the Global Strategy is a success, but because of this success, one observes the prejudicial secondary effects to the credibility of the Convention itself.

#### **1) A very worrying evolution for the credibility of the List: increasing divergences between Committee decisions and the recommendations of the Advisory Bodies**

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<sup>101</sup> This order of priority puts as first priority nominations originating from States Parties with no site on the List, then nominations from States Parties having up to three sites on the List and in fourth position nominations of natural sites after nominations previously excluded due to the application of order of priority.

<sup>102</sup> Cf. WHC-07/31.COM/10.

170. In its preamble, the 1972 Convention refers to scientific methods. In order to implement these, its mechanism is based on the Advisory Bodies (cf. Art. 8-3, 13-7 and 14-2). The professionalism of these entities is the scientific guarantee of the value of the List.

171. But because of its significance, States Parties tend to make nomination to the List a matter of national pride<sup>103</sup> and economic development. A study indicates that since the mid-90s, the number of requests for nomination (and inscriptions) motivated by economic reasons has increased<sup>104</sup>. Tour operators now organise circuits focused on World Heritage.

172. The decisions of the Committee diverge more and more frequently from the scientific advice of the Advisory Bodies (cf. Annex 5). In 2010 six files for which the Advisory Bodies recommended to defer examination, were inscribed directly.<sup>105</sup> The Committee also has a tendency to refer the files that the Advisory Bodies propose to defer. These decisions are often presented as being « more favourable ». But the reality is more nuanced: as the expert meeting in Phuket in April 2010 noted: « a decision to refer a nomination, in the situation where the nominations may need more time and work and would require additional on-site evaluation, may be a ‘poisoned gift’ which can needlessly limit the options available to a State Party to refine its nomination, including with the assistance of the Advisory Bodies ». The same meeting on the process preceding nomination considered that referral and deferred examination should be regarded as constructive options. The distinction between these two types of decision is not always clear as such. That is why ICOMOS in its evaluation report, recommends combining them into one unique category « extended examination ». Specific case-by-case recommendations would then exactly define the additional information and revisions requested from the State Party and set the necessary delays for the examination of the revised nominations by the Advisory Bodies.

173. Although, in the terms of the text that define the governance modalities of the Committee, the vote is recognized as a classic way of functioning, the Committee took decisions by consensus from the outset. For the period 2006-2010, there were twelve secret ballots on 227 decisions concerning nominations<sup>106</sup> (of which five at the 2010 session on 39 decisions, or 12.8%). Deviations would without doubt be still more marked without recourse to a secret vote.

174. It is essential for balance, representativity and credibility of the List that strict deontological guidelines are respected at every stage of the process (cf. Annex 5).

### ➤ Advisory Bodies

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<sup>103</sup> Which can even fan tensions between States (cf. the conflict relating to the Preah Vihear Temple inscribed in 2008)

<sup>104</sup> "WHS, is there opportunity for economic gain?" Study conducted by the Lake District and published in 2009. Out of a total of 878 sites inscribed at the time, the study counted 20 sites where nomination was essentially dictated by economic considerations, 60 for which socio-economic considerations were less and 600 where they did not enter into consideration. It concluded that from the economic point of view, if the « World Heritage label has increased its notoriety, its prestige diminishes with the multiplication of the number of sites. Moreover, tourist visitor frequentation is very diverse according to the properties and the incidence of World Heritage nomination very variable (cf. Case studies presented by Prof. Pr Prud'homme on the « socio-economics of nomination », 2008).

<sup>105</sup> Danxia (China), Phoenix Islands Protected Area of Kiribati, Central Highlands of Sri Lanka, at-Turaif at ad-Dir'iyah, Place San Francisco in the town of Sao Cristovao, Central Sector of the Imperial Citadel of Thang Long-Hanoi (Viet Nam)

<sup>106</sup> Decisions 30 COM 8B.44, 31COM 7B.11, 32 COM 8B.51, 33 COM 8B.19, 33 COM 8B.26, 33 COM 7A.26, 34 COM 8B.31, 34 COM 8B.40, 34 COM 8B.44, 34 COM 8B.15, 33 COM 7B.2, 33 COM 7A.15.



175. The scientific seriousness of the Advisory Bodies is widely recognized. Nevertheless, as underlined in the evaluation reports on working methods and procedures of IUCN<sup>107</sup> and ICOMOS<sup>108</sup>, improvements are desirable to ensure a wider geographical recruitment of experts and to further diversify the composition of their « panels ». The Advisory Bodies have provided for « principles for application » for their mandate that foresees in particular that when a site is examined, the Commission member of the same nationality as the country must withdraw from discussions and the decision-making process by leaving the room<sup>109</sup>. This type of provision is valid in the scientific expert commissions. However, the report on the working methods and procedures of ICOMOS considers that this provision can however only be effective when the presence within the Commission of members belonging to the same nationality of one of the sites examined remains exceptional or at least limited. When this situation becomes almost the rule, with a percentage as high as 46%, one might doubt the capability of such a provision to prevent, in an effective manner, the occurrence of situations likely to generate conflicts of interest or at least to be perceived as such». The diversification of the geographical origins of the members of their « panels » should further strengthen the credibility of the advice of the Advisory Bodies<sup>110</sup>. But, as ICOMOS observes, travel costs for these members are not currently taken into account in the funding contracts concluded with the World Heritage Centre and remain the responsibility of the members, favouring European<sup>111</sup> participation.

176. Moreover, one might query the publication of the name of the experts at the different stages of the procedure. The Advisory Bodies argue that the eventuality for an expert to remain anonymous should be provided to avoid possible pressure or reprisals that might be exercised.

**Recommendation n° 9: continue diversification of the geographical origin of experts from the Advisory Bodies; take into consideration travel costs of members of the « panel » in the budget covered by the contract between the Advisory Bodies and the World Heritage Centre for the implementation of the Convention.**

➤ World Heritage Centre

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<sup>107</sup> Report of M<sup>me</sup> Cameron, 2005. IUCN communicated the results of this audit to the World Heritage Centre and followed its recommendations in diversifying the geographical origin of its experts, at least for on-site missions. Over the past four years, it called upon experts of 30 different nationalities for these missions. 17 of these nationalities were newly represented (15 new nationalities represented over the last two years). The number of English-speaking experts was reduced by nearly half (60 % in 2008, 34 % in 2011) and the proportion of experts whose mother tongue is not English, French or Spanish has risen from 16 % to 34 %. The new regions represented are the zones Asia-Pacific 6, Africa 5, Europe (new adherents) 4, Arab States 1, the zone Latin America and the Caribbean 1. This diversification has been made possible through the support of the Swiss Confederation and the MAVA Foundation for Nature..

<sup>108</sup> Report of Mr Jade Tabet, June 2010. For the period 2006-2008, the panel of the organization was composed of 59% members originating from the Europe-North America zone in relation to 19% from the Asia-Pacific zone, 13% from the Latin America-Caribbean zone, 8% from Africa and only 1% from the Arab States. For the four sessions examined, the « panel » comprised one or several members of the same nationality as one of the sites examined, observation particularly evident for the Europe-North America zone (58 sites examined with 30 experts originating from the same country as one of the sites examined) and especially Latin America-Caribbean (14 sites examined with twelve experts originating from the same country as one of the sites).

<sup>109</sup> Principles of the application of the mandate of ICOMOS for World Heritage, October 2010

<sup>110</sup> The report on ICOMOS suggests the revision of the composition of the « panel » so as to regroup a hard core of Executive Committee members who fully master the World Heritage texts and procedures and international experts chosen for their competences, invited on an annual basis in function of the categories of sites to be examined, avoiding as far as possible experts coming from the same country as the sites to be examined. A study should evaluate whether such a reform is envisageable without weakening the expertise capacity of the « panels ».

<sup>111</sup> For budgetary reasons, ICOMOS is obliged to reduce from about thirty to around fifteen the number of members of its panel.

177. The 2005 evaluation report on IUCN observed that the World Heritage Centre, in providing preparatory assistance for the establishment of nomination files, had sometimes given formal advice on the outstanding universal value of a site. This opinion might diverge from the advice of the Advisory Bodies, mandated by Article 31 of the Operational Guidelines, to evaluate the proposed sites for nomination<sup>112</sup>. In 2007, the audit of the Deloitte Office had, once again, emphasized the need to clarify the division of the roles and responsibilities between the World Heritage Centre and the Advisory Bodies in three domains (organisation of joint missions, drafting of state of conservation reports, studies and analyses requested by the Committee or extrabudgetary partners).

178. This clarification was approved by the Committee at its 34th session, and Decision 34.COM/5C has reconfirmed the division of tasks between the World Heritage Centre and the Advisory Bodies on the state of conservation of properties, requests for international assistance and the evaluation of nominations to the World Heritage List, and invited the Centre and the Advisory Bodies to pursue the analysis of their workload, the division of their tasks and the financial implications<sup>113</sup>. Care should be taken in its implementation to optimise the mechanism (in particular in avoiding overlapping<sup>114</sup>) and the use of funds.

**Recommendation n°10 : As requested by the Committee at its 34th session (Decision 34.COM/5C), clarify the division of tasks between the World Heritage Centre and the Advisory Bodies to improve the effectiveness and economy of the mechanism.**

➤ World Heritage Committee

179. The examination of the modalities for the representation of the signatory countries of the Convention within the World Heritage Committee raises several points.

180. Although the Convention stipulates (Article 9, paragraph 3) that States Parties to the Committee «shall choose as their representatives persons qualified in the field of the cultural or natural heritage », the delegations are directed by diplomats who less and less frequently call upon their experts for advice<sup>115</sup>.

181. With regard to participation in the World Heritage Committee (cf. Annex 6), 106 countries have never exercised a term of office, that is 56% of States Parties. One State obtained five terms of office. Fifteen countries have held at least three terms of office, which represents a presence of 15 to 25 years within the Committee, fourteen countries have held at least two terms of office. Paragraph 21 of the Operational Guidelines provides that the term of office of Committee members is for six years but that « in order to ensure equitable representation and rotation, States Parties are invited to consider voluntarily reducing their

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<sup>112</sup> The World Heritage Centre indicated that, considering the circumstances, it had to make an exception to the principle for Afghan sites, as ICOMOS and IUCN experts do not benefit from the UNESCO protection status.

<sup>113</sup> Cf. expert meeting in Bahrain, December 2010.

<sup>114</sup> Document WHC-10/34.COM/5C notes in particular, the need to clarify the division of tasks for studies, thematic studies the responsibility of the Advisory Bodies, in conformity with paragraph 147 of the Operational Guidelines.

<sup>115</sup> This, despite the reminder of the provisions of the Convention by the 1977 audit and the Cairns session.

term of office from six to four years and are discouraged from seeking consecutive terms of office ». In practice, the members of the Committee have all reduced their terms of office to four years; however, as the statistics indicate, the recommendation not to seek a new term of office is unevenly followed.

182. A strong correlation between the countries represented on the World Heritage Committee and the location of the nominated properties can be observed. Thus, from 1977 to 2005, 314 inscriptions, that is 42% of inscriptions had benefited countries with members on the Committee during their term of office. Before 1989, this proportion reached 48% of inscribed sites, but the Convention had only been ratified by less than 100 States Parties in 1989 and rotation within the Committee was more difficult to organise. A far more favourable treatment for the host country was sometimes observed, as in 1997 at the 21st session organised in Naples with 10 of the 46 sites inscribed located in Italy. In 2003, the Belgian Delegation observed a more virtuous tendency with a proportion of nominations that benefited the States on the Committee reduced to 37% for the period 1989-2003. Since then, the evolution has been erratic: 16.7 % in 2006 (Vilnius), 25 % in 2008 in Quebec, but 42.9 % in 2010 at the 34th session (Brasilia). The countries most present on the Committee have nearly four times as many properties inscribed than the average country<sup>116</sup> (cf. Annex 6).

183. The Advisory Bodies indicate the frequent communication of new elements under the cover of the correction of factual errors (paragraph 68 of the Operational Guidelines)<sup>117</sup>, which they have no right to take into consideration if received after the date limit foreseen in the Operational Guidelines as no verification can be made due to lack of time.

184. The Rules of Procedure of the Committee provide that Committee members cannot take part in discussions concerning World Heritage properties located on their own territory, except upon direct invitation from the Chairperson and in response to questions asked. Defence in favour of a particular nomination is not receivable. Consideration could be given to the example from several delegations<sup>118</sup> who decided not to present nominations during their terms of office. Provision in the Rules stating that States Parties on the Committee may present files, but these nomination requests should not be examined during their term of office, as already recommended in 1983 by the Chairperson of the Committee<sup>119</sup> could also be considered.

185. Paragraph 23 of the Operational Guidelines stipulates that « Committee decisions are based on objective and scientific considerations ». But numerous testimonies concur in the denouncement of an increasing politization of the decisions. Some delegates exercise pressure. The attention of the External Auditor has, in particular, been called to the development of the practice of amendments to the decision proposals, signed by a series of delegations, and presented even before the opening of the debate on the presentation of the nomination file concerned. According to agreeing descriptions gathered by the Auditor,

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<sup>116</sup> 911 properties on the List after the 34th session for 189 States Parties, an average of nearly five properties. The sixteen countries that have held at least three terms of office have more than 17 inscribed properties but there are important discrepancies (from 2 to 43).

<sup>117</sup> According to the World Heritage Centre, in 80% of the cases, it does not concern corrections but additional arguments.

<sup>118</sup> Netherlands, United States.

<sup>119</sup> Pr Slatyer indicated that 'objectivity and impartiality are so fundamental from the point of view of quality and interpretation of the World Heritage List that I would go even further and ask you to examine the nomination according to which, from the time when a State Party is elected to the Committee, it should not examine any of its nominations. If you would be in a position to accept such a provision, I think that the World Heritage Convention would be greatly strengthened. I could also mention another advantage : there would be less competition for elections to the Committee. This proposal was formulated again by the Saint Lucia Delegation at the 7th extraordinary session of the Committee in Paris in 2004.

deviations had been observed in the past, notably at the Durban (2006), Christchurch (2007) and Quebec (2008) sessions, but they were so flagrant in the opinion of many witnesses, at the 34th session (Brasilia) that they led to several delegations<sup>120</sup> tabling an official protest. The Advisory Bodies voiced their concern in a joint communication addressed to the UNESCO Director-General.

186. These practices seriously damage the credibility of the List and, beyond that, the Convention itself. A revision to the Rules of Procedure of the Committee in order to outlaw such behaviour should be envisaged. Several of the persons interviewed considered that the effect of rendering public the Committee sessions (which would require the modification of the Rules of Procedure) would likely contribute towards restoring the quality of debates.

187. An increasing number of cases of nominations accompanied by conditions or recommendations can be observed, conditions relating to the conservation and the management of the property not being present at the time of nomination. This practice<sup>121</sup> seems to originate from the fact that the provisions of the Operational Guidelines allow, without even imposing strict parameters, the possibility for derogations to the set principles fixed by these same Operational Guidelines. Thus, paragraph 115 of the Operational Guidelines foresees, without further precision, that « in some circumstances », a derogation may be granted upon presentation of a management plan or another management system in the nomination file (cf. paragraphs 199 to 202 below). These premature nominations often prove prejudicial to the resolution of problems (cf. paragraph 200 below) and the monitoring of the properties occasions a heavy workload for the World Heritage Centre and the Advisory Bodies.

188. For the period 2006-2009, the afore-mentioned report on the working methods and procedures of ICOMOS highlighted three cases of the nomination of properties for which ICOMOS had not recognized the outstanding universal value<sup>122</sup>. While paragraph 154 of the Operational Guidelines provides that when the Committee decides to inscribe a property, upon Advisory Body advice, it adopts a statement of outstanding universal value for the property, at the 34th session in 2010, the Committee was unable to agree on the statement of outstanding universal value of the property in four cases<sup>123</sup>. The decisions clearly mention that the Committee « has taken note of the statement of outstanding universal value » established by the State Party, « on a provisional basis ».

**Recommendation n° 11 : ensure respect for the provisions of Article 9, paragraph 3 of the Convention by giving experts a central role in the delegations of the Committee, or otherwise take note of the current evolution and revise the Convention to clearly acknowledge its geopolitical rather than scientific nature.**

**Recommendation n° 12 : revise the Rules of Procedure of the Committee for a better application of the Convention:**  
**- prohibit a State Party from submitting a nomination file during its term of office (or at least to postpone its examination by the Committee while the State is present);**

<sup>120</sup> Notably, Hungary, Switzerland and Zimbabwe.

<sup>121</sup> Paragraph 156 of the Operational Guidelines stipulates that « at the time of inscription, the Committee may also make other recommendations concerning the protection and management of the World Heritage property ».

<sup>122</sup> Aapravasi Ghat (Mauritius) and Regensburg (Germany) inscribed in 2006 at the 30th session, Iwami Ginza Silver Mine (Japan) inscribed in 2007 at the 31st session.

<sup>123</sup> Danxia (China), District dat-Turaif (Saudi Arabia), Central sector of the Imperial Citadel of Thang Long-Hanoi (Viet Nam), Place de Sao Francisco in the town of Sao Cristovao.

- **prohibit the practice of the presentation of amendments to decision proposals, signed by a series of delegations, before the opening of the debate on the nomination of the site;**
- **ensure the effective transparency of the procedure for the publicity of the debates;**
- **prohibit nominations that do not fulfil the conditions laid down in the Operational Guidelines.**

**2) Ensure the strict observance of the criterion of outstanding universal value, a guarantee for the credibility of the List**

189. Taking into account the number of properties already inscribed on the List as well as the gaps identified by the Advisory Bodies, and with a concern to ensure the credibility and the effectiveness of the Convention, it would appear indispensable to return to a more selective approach for cultural properties, in conformity with the spirit and the provisions of the 1972 Convention, that distinguishes between the heritage for which the States are responsible and the universal heritage, the protection of which requires the cooperation of the international community as a whole.

190. Since 2005, the Operational Guidelines foresee (implementation in force since 2007) that properties should be the subject of a formal statement of outstanding universal value. For properties inscribed before this date, the Operational Guidelines for the preparation of retrospective statements indicate that «this should document the OUV, including the justification for the criteria that was agreed by the Committee at the time of inscription. This will in some cases differ from what the State Party nominated as OUV, including the justification for the criteria that they proposed in the nomination document...Where conditions for integrity and authenticity were not assessed at the time of inscription (and this will be the case for the integrity of cultural properties inscribed before 2005) or where vulnerabilities associated with integrity and/or authenticity are now known (such as through state of conservation reports or the World Heritage Committee), then the conditions should be assessed as of the date of the draft Statement. »

191. At the 3rd session in 1979 (Luxor), the Committee noted that the provisions of Article 11, paragraph 2 of the Convention (stipulates that the Committee shall keep up to date the List and that an updated version be published at least every two years), appears to « imply that the List should be regularly reviewed and that only those properties which continue to meet the Committee's criteria should be maintained on the List and, consequently, that properties which no longer satisfy those criteria should be deleted<sup>124</sup>». This periodic revision has not been implemented.

192. The preparation of retrospective statements of outstanding universal value should be the occasion to delete from the List, if need be, the properties whose outstanding universal value has irremediably disappeared since their inscription. To date only two properties have been deleted from the List (Dresden and the Arabian Oryx Sanctuary).

193. In the future, the possibility through legal means (additional protocol or other) to inscribe a property to the List for a limited period of time, with the provision that the property would not be retained in the event of loss of outstanding universal value, might be envisaged. Such a mechanism would encourage States Parties to respect the provisions of Article 4 of the Convention, in which the terms stipulate that each State Party recognizes notably the

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<sup>124</sup> Cf. CC-79/CONF.003/10

obligation to ensure the protection, conservation and transmission to future generations of its World Heritage, and to do all it can to this effect to the utmost of its own resources and, where appropriate, with any international assistance and cooperation.

**Recommendation n°13 : delete from the List the properties that have irremediably lost their outstanding universal value in conformity with the provisions of paragraphs 192 to 198 of the Operational Guidelines**

**Recommendation n°14: limit the time period for new nominations by subordinating their reconduction for a new examination, following Advisory Body advice**

### 3) Restore first place to conservation, the *raison d'être* of the 1972 Convention

194. Conservation should be restored as the primary objective, in conformity with the terms of reference of the 1972 Convention<sup>125</sup>. To achieve this, a Global Strategy for conservation should be defined in cooperation with the Advisory Bodies.

195. As highlighted in the 2004 report on the Latin America-Caribbean zone, «credibility goes beyond representativity. To ensure the credibility of the Convention, not only a better balanced List is required, but also and mainly when the properties listed achieve the best levels of conservation, management and community involvement. World Heritage properties must be models, examples of best practices for the conservation of national and local heritage<sup>126</sup> ».

196. Data and testimonies gathered during the audit reveal that this objective is far from being achieved. Under the effect of pressure from human activity of all types, (urban development<sup>127</sup>, lifestyle changes, infrastructures, deforestation, mining<sup>128</sup>, armed conflict<sup>129</sup>, considerably increased tourist flow following inscription on the List<sup>130</sup>) and natural

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<sup>125</sup> As underlined by a former Committee Chairperson, Mr Fejerdy, if one examines the origins of the Convention, it is clear that one of its main goals, if not its exclusive goal, is the protection of World Heritage properties having an outstanding universal value. For this, the principal concern and the principal objective being to create and support a tool of international solidarity to facilitate emergency actions of intervention to assist in the preservation of endangered or seriously threatened sites...I do not wish to affirm that over the last three decades this very important role of the Convention has disappeared but certainly it is no longer the dominant priority, not of course as a declared policy, but clearly in practice

<sup>126</sup> World Paper n° 18, page 87.

<sup>127</sup> Anarchical constructions, high-rise building projects that, as regards the Europe-North America zone, threaten 7.2% of properties having been the subject of a state of conservation report in 2009 (cf. WHC-10/34.COM/7C).

<sup>128</sup> At the 27th session in 2003, the Committee decided that World Heritage properties were forbidden areas for prospecting and mining exploitation of gas and petroleum, but this principle has not been respected. A quarter of the natural properties having been the subject of state of conservation reports since 2005 are affected by this threat (cf. WHC-10/34.COM/7C). These activities are sometimes illegal but in many cases they are tolerated even authorized by the State Party. Thus, for example, the Committee noted at the 34th session that the Russian Federation had granted a concession for an important open-mine gold activity within the « Virgin Komi Forests » and excluded other sectors from the protected status (cf. Decision 34 COM 7B. 25).

<sup>129</sup> Document « Reflection on the state of conservation » presented at the 34<sup>th</sup> session noted that over the years there was an important increase in threats due to illegal activities, wars and insecurity and that these threats concerned 31.6% of properties in 2009 in relation to 20.4% in 2005 (cf. WHC-10/34.COM/7C).

<sup>130</sup> A programme on sustainable tourism was defined in 2001 to attempt to limit the negative impacts.

catastrophes, or reputed as such<sup>131</sup>, numerous properties continue to become degraded due to the lack of necessary measures observed during the first cycle of periodic reports, completed in 2006<sup>132</sup>. In 2008, ICOMOS also noted an increasing tendency in frequent cases of discontinuity between the national and local authorities, in particular as concerns the approval mechanisms for planning and development<sup>133</sup>.

197. Several thematic programmes attempt to assist States Parties in limiting the effects of these threats on World Heritage properties. The thematic programme for World Heritage Cities (2001) provides advice and technical assistance to governments and to local authorities to assist them in responding to needs of modernisation whilst conserving the historic character and identity. The thematic programme on sustainable tourism<sup>134</sup> (2001) has as objective to limit the negative impacts of tourism, to associate local communities in sustainable development and to provide resources for the maintenance of the properties. According to the evaluation presented at the 34th session, due to the lack of strategic reflection, the actions undertaken were dispersed and the programme did not have any significant impact<sup>135</sup>. The Programme on Forests (2001) notably financed capacity building activities and the preparation of a guide on management measures to be taken to mitigate the effects of climate change.

198. The studies presented at the request of the Committee at the 30th session at Vilnius in 2006, then in 2009<sup>136</sup>, demonstrate a very worrying increase in impacts linked to climate change, and this for both natural properties<sup>137</sup> as well as cultural properties<sup>138</sup> and mixed ones. If, for cultural heritage, measures for prevention and adjustment are likely to mitigate the impact of these changes, assuming the necessary financial means are made available, (sometimes very important, as for the MOSE project in Venice), the perspectives are particularly gloomy for natural heritage<sup>139</sup>.

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<sup>131</sup> Natural catastrophes (that often include pressure from human activity) and disasters have affected about 20% of properties having required the presentation of a state of conservation report to the Committee for the period 2005-2009. The proportion rose between 2005 and 2009 from 12% to 27% for natural properties and from 12.7% to 21% for cultural properties (Cf. WHC-10/34.COM/7C).

<sup>132</sup> Thus, for the property Lopé-Okanda in Gabon, the on-site mission carried out in the framework of the External Audit noted that the management plan defined for 2006-2011 had not been implemented and that no Management Committee existed. Illegal forestry exploitation continued, as well as the development of clandestine gold washing. Illegal practices are not the only causes: an aerial has been installed by GabonTelecom at the summit of Mount Brazza and the Ministry of Water and Forests envisages the exploitation of a quarry within the property.

<sup>133</sup> The on-site mission to Uruguay noted that the Old Town of Colonia inscribed in 1985 has greatly deteriorated due to the lack of a management plan and that national regulations, in the absence of a Ministry of Culture, are not taken into consideration by construction decisions delivered locally. Vehicle traffic and tourist infrastructures are not regulated. The Bay of Colonia has a rich biodiversity and is inscribed on the tentative list, but it is undergoing strong pressure from human activity and degraded by anarchical constructions in the absence of town planning and protection regulations.

<sup>134</sup> Financed by extrabudgetary sources, notably the United Nations Foundation, Netherlands Fund and the Flamand Fund.

<sup>135</sup> Cf. WHC-10/34.COM/INF.5F.3

<sup>136</sup> Cf. WHC-06/30.COM/7.1; World Heritage Report N °22 « Climate change and World Heritage, Report on Predicting and Managing the effects of Climate Change on World Heritage and a Strategy to assist States Parties to implement appropriate management responses »; Case Study Climate change and World Heritage 2009.

<sup>137</sup> Notably melting of glaciers, whitening of coral reefs, massive disappearance of species of flora and fauna.

<sup>138</sup> Aggravation of physical risks (tempests, droughts, floods, earth slides, salinisation, coastal erosion), population movement and break-up of traditional communities.

<sup>139</sup> Thus, for example, according to precited studies, an increase in temperature of 4°C would lead to the disappearance of the quasi-totality of the glaciers of the Planet, whereas, the elevation of the marine level would threaten coastal areas and low-lying islands. Although biodiversity has already known a massive erosion under the effect of pressure from human activity of all kinds, climatic change that only now is beginning to take effect,

**Recommendation n° 15 : define, in cooperation with the Advisory Bodies, a global strategy for conservation that notably could treat the points mentioned by the recommendations that follow.**

**a) Ensure respect of the protection and management conditions at the time of nomination**

198. Since the revision of the Operational Guidelines of 2005, (entry into force in 2007), the property proposed for nomination must in principle satisfy at least one of the criterion as well as the conditions of authenticity and integrity and should benefit from an adequate protection and management system to ensure its safeguard. The protection and management, that was previously disassociated from the outstanding universal value, is now part of the condition of outstanding universal value.<sup>140</sup>

199. However, numerous sites have been inscribed since 2007 without prior definition of any management plan and without the prior guarantees of protection being reunited to ensure the integrity of the property. In many cases, where it would have been preferable to postpone examination of the file, the sites were inscribed « under condition ». Thus, in its report for the 2009 session, IUCN noted the recent practice of the World Heritage Committee to inscribe properties on the List requesting the State Party to complete the management plans within a given delay. In effect, if paragraph 108 of the Operational Guidelines stipulates that « each nominated property should have an appropriate management plan or other documented management system which should specify how the outstanding universal value of a property should be preserved, preferably through participatory means », the meaning of these provisions is greatly weakened by those of paragraph 115. This indicates that « in some circumstances, a management plan or other management system may not be in place at the time when a property is nominated for the consideration of the World Heritage Committee. The State Party concerned should then indicate when such a management plan or system would be put in place, and how it proposes to mobilize the resources required for the preparation and implementation of the new management plan or system. The State Party should also provide other document(s) (e.g. operational plans) which will guide the management of the site until such time when a management plan is finalized ».

200. This increasingly frequent practice to inscribe a property under certain conditions diminishes the persuasive means of the World Heritage, all the more so as the inscription is

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is identified by the Convention on Biological Diversity as one of the principal factors for the loss of biodiversity and the modification of ecosystems in the decades to come. The report on case studies on the impact of climate change on World Heritage properties (July 2009) observed, for example, that for half of the species of the tropical wetlands of Queensland (Australia), a rise in temperature of 3.5°C corresponding to the average projected forecast, could lead to a total disappearance of their principal environment. In October 2005, participants at the Multidisciplinary Scientific Conference on global change in mountain regions, organised in Perth (United Kingdom), have established a network to observe changes in the Biosphere Reserves and World Heritage sites located in mountain areas and exchange scientific views on the management of these sites.

<sup>140</sup> Paragraph 78 of the Operational Guidelines (version 2008) provides that «*to be deemed of outstanding universal value, a property must also meet the conditions of integrity and/or authenticity and must have an adequate protection and management system to ensure its safeguarding*» The Guidelines indicate the conditions of integrity as well as those for protection and management. All inscribed properties must have long-term adequate legal, regulatory, institutional and/or traditional protection to ensure their safeguard. This protection must include correctly defined boundaries; paragraph 96 of the Operational Guidelines underlines that the definition of the boundaries is an essential condition for the establishment of effective protection for nominated sites. The boundaries must guarantee the overall condition of OUV and integrity of the property; if need be, a buffer zone should be foreseen.



not limited in time<sup>141</sup>. On the contrary, postponing or deferring a file has, in certain cases, improved the quality of the nomination<sup>142</sup>. Reports of the state of conservation established in the framework of the reactive monitoring procedure, reveal that sites that were prematurely inscribed, more often than not against the advice of the Advisory Bodies, continue to pose problems several years later. This has been confirmed, among others, in the case of the Pitons Management Area of Saint Lucia or the Monarch Butterfly Biosphere Reserve in Mexico. Paragraphs 161 and 162 of the Operational Guidelines foresee an emergency procedure for properties that respond undeniably to the nomination criteria and which have suffered damage or are confronted with serious or specific danger. These sites may also be inscribed simultaneously on the List of World Heritage in Danger.<sup>143</sup>

201. The formulation of paragraph 116 of the Operational Guidelines must be reviewed in order to make strict the obligation<sup>144</sup> of the submission in the nomination file of an action plan defining the corrective measures required when the intrinsic values of a proposed property are threatened by the action of man, and that nevertheless the property satisfies the criteria and conditions of integrity and/or authenticity. Also, a systematic examination by the Committee of the issue of delisting of a property from the List if the corrective measures, approved by the Committee following the advice of the Advisory Bodies, were not taken during the time proposed, should be foreseen.

202. In the Operational Guidelines, a provision requiring that management plans must be aligned with public planning to limit the potential negative effects of increased tourism, should be envisaged. Furthermore, as underlined in the reference handbook entitled « Management Disaster Risks for World Heritage » prepared at the request of the Committee (Vilnius 30<sup>th</sup> session, 2006) and published in 2010, the probability of catastrophes is on the increase<sup>145</sup>. Therefore, it is indispensable to define a risk management plan for each of the World Heritage properties to be integrated or coordinated with the management plan. As it is appropriate to establish plans for already inscribed properties, the integration of such plans into management plans should be requested for nominations, and not only recommended, as is currently the case in paragraph 118 of the Operational Guidelines, in application of Decision 28.COM/10B.4. The risk management plan should both foresee measures to anticipate or mitigate the risks of catastrophes, for the property as well as for the population and tourists,

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<sup>141</sup> The provisions of paragraphs 115 and 116 of the Operational Guidelines are drafted in the conditional and do not foresee the systematic reexamination of the nomination at the end of the delays; it is not indicated that they will be strictly controlled by the Committee.

<sup>142</sup> Cf. The case of the Medina of Tunis inscribed in 1979 after the abandonment of a road project that would have cut through the historic centre, that of the archaeological site of Delphes inscribed in 1987 after the threat of the construction of an aluminium factory nearby was avoided, that of the Cape Flora Region of Protected Areas (South Africa) or that of the Sichuan Giant Panda Sanctuaries (China) inscribed in 2006 after having been deferred in 1986 and 2000.

<sup>143</sup> This procedure was implemented for example for the site of Chan-Chan in Peru in 1986, for Angkor in 1992, and for Bamiyan in 2003.

<sup>144</sup> Replace the imperative in the conditional in the drafting of Article 116 and replace the formulation « corrective measures approved by the Committee after advice of the Advisory Bodies » with the current formulation « measures announced by the State Party ».

<sup>145</sup> Natural catastrophes and disasters have affected about 20% of properties having been the subject of a state of conservation report for the period 2005-2009 (cf. WHC-10/34.COM/7C). A number of World Heritage properties have suffered damage from the effects of armed conflict (cf. forests of the Democratic Republic of the Congo, Bamiyan 2001, Dubrovnik, Sacred City of Kandy in Sri Lanka 1998); earthquakes (Bam in Iran 2003, Prambanan Temple in Indonesia 2006), fire (cf. among others, the case of the Tombs of Buganda Kings in Uganda -2010) or floods (Cyclone Sidr in the Sundarbans in Bangladesh 2007), or from the indirect consequences of a catastrophe (cf. increased deforestation in Sumatra following the tsunami of 2004 and the generalisation of illegal logging).

and limit the impact of interventions after the catastrophe<sup>146</sup>. This reflection provides the opportunity to consider threats originating from the environmental milieu<sup>147</sup> and on the definition of buffer zones or other measures to regulate activities.

**Recommendation n°16 :**

- **revise the provisions in paragraph 115 of the Operational Guidelines that waive the obligation to present a management plan or any other documented management system in the nomination file, and to strictly indicate under what circumstances the said waiver may occur;**
- **ensure the effective establishment of an adapted management plan; revise the drafting of paragraph 116 of the Operational Guidelines in order to make obligatory the definition of an action plan, approved by the Committee after Advisory Body advice, on corrective measures concerning pressures from human activity ;**
- **insert in the Operational Guidelines the requirement of a management plan coordinated with public planning;**
- **require and not just recommend the integration of a management plan for risks and catastrophes into the management plan.**

**b) Strengthen the monitoring mechanism**

203. The Advisory Bodies and several of the delegates and personalities consulted regret the shift in the Global Strategy that has the tendency to be reduced to a List, and thus detrimental to monitoring and conservation of properties. In a joint letter of 7 February 2011 addressed to the UNESCO Director-General, IUCN, ICCROM and ICOMOS request once again that in the future, in order to respect the objective of the Convention, priority must be given to the conservation of properties already inscribed.

204. If International Assistance is, in conformity with Article 13 of the Convention, granted in priority to properties inscribed on the In-Danger List, one may question in respect of the objective of the Convention, about the primacy, in principle, given to preparatory assistance in relation to assistance for conservation and the management of properties. ICCROM observed that the capacity building programmes are focused on the procedure for nomination to the List and neglect the management and conservation of heritage<sup>148</sup>.

205. Already in its 2004 report on the analysis of the List and the tentative lists<sup>149</sup>, IUCN concluded by emphasizing that *«the attention of the World Heritage Committee, and that of the States Parties, should gradually switch from questions of nominations to the better management of existing natural and mixed WH Sites*. These should demonstrate exemplary models of management, aiming to show how conservation can

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<sup>146</sup> Preventive measures financed from emergency assistance funds have thus enabled to mitigate the impact of the El Niño phenomena on the Chan-Chan Archaeological site (Peru) in 1998. Also, a pre-established and well coordinated plan enabled the halt, in 2007, of pollution provoked by the shipwreck of a container ship on the coastline of Dorset and East Devon. However, the manual observed that despite important risk, notably land slides concerning the Historic Sanctuary of Machu Pichu, the plan for the prevention and mitigation of catastrophes, published by the National Institute of Natural Resources, was not applied. Anarchial constructions and new infrastructures are multiplying in a zone of where instability is aggravated by climate change, with the risk of material and human loss, taking into account that this is a much-frequented tourist site.

<sup>147</sup> Cf. the case of Donana Park (Spain) affected by the indirect consequences of the bursting of the dam of a holding basin of a pyrite mine located 40 km upriver; cf. industrial risks linked to nickel mining to the lagoon of New-Caledonia.

<sup>148</sup> ICCROM, ReflectionWorkshop on the future of the World Heritage Convention, February 2009.

<sup>149</sup> WHC-04/28.COM/INF.13B

effectively contribute to biodiversity conservation and sustainable development. It is essential that all WH sites are adequately resourced and managed; in many cases management needs to be strengthened. An ICOMOS report of 2005 on threats to cultural and mixed World Heritage sites for the period 1994-2004<sup>150</sup> considered that the threats had increased in four of the five regions. The lack of adapted management and pressure from economic development were the principal threats, followed by natural damage (in particular in Latin America). Threats persisted over five years or more for 27% of the threatened properties in the Arab States, 20% in Latin America, 18% in Asia-Pacific, 16% in Africa and 12% in Europe-North America.

206. The first cycle of periodic reports (prepared every six years), completed in 2006, revealed a very worrisome situation. It is recalled that these reports, different from the so-called reactive monitoring reports, are not prepared in cooperation with the Advisory Bodies and are based on the responses of States Parties to the questionnaire addressed by the World Heritage Centre. At the session in 1994, in Phuket, the World Heritage Committee had, in fact, refused the framework elaborated by the World Heritage Centre and the Advisory Bodies that proposed the participation of independent experts. It insisted that all participation from outside organizations must respond to a precise request, after consultation with the State Party concerned. This position should be reviewed to guarantee the objectivity of monitoring on a scientific basis.

207. The effectiveness of the management systems was judged insufficient by the States Parties themselves for 7 % of the properties for western Europe, 5% for Mediterranean Europe but 18% for States of Eastern Europe, 19% of the properties in the Nordic and Baltic States, and 30% for Central and South-east Europe. The effectiveness of protection measures was judged to be insufficient for 15% of the properties for Central and south-eastern Europe and 29% for East Europe. The report on Latin America and the Caribbean revealed that a great many World Heritage properties were threatened and predicted that their authenticity/integrity would be compromised in the near future, the more so as the majority of properties possessed no management plan<sup>151</sup>. This report, and those for Latin America and the Caribbean, the Asia-Pacific area, Africa and Europe, and South-east and East Europe, all emphasized the insufficient means for management and conservation.

208. Monitoring indicators for the state of conservation of properties do not exist, whether cultural or natural<sup>152</sup>. The project « Agenda for Nature » of IUCN's World Commission on Protected Areas (WCPA), that benefits from support from the MAVA Foundation for Nature, proposes to establish an annual inventory of protected areas, including World Heritage properties.

209. At meetings with the directors of the Advisory Bodies, it was underlined that there was a need to establish a so-called « proactive » monitoring to accompany the State Party in the implementation of management measures of the property without waiting for difficulties to arise, different from reactive monitoring foreseen in the Operational Guidelines, as the degradation of the property can be very rapid. Monitoring should associate experts from the Advisory Bodies who have available a global reactive network. Monitoring by non-scientific bodies would in no way serve as a stop gap.

210. The examination of state of conservation reports presented in the framework of reactive monitoring (177 reports presented in 2010) highlight that the outstanding universal value of numerous properties is gradually being degraded and that the number of endangered properties is, in reality, far superior to that of the List of World Heritage in Danger. The Oryx Sanctuary of Arabia was, in fact delisted in 2007 due to the disappearance of the outstanding universal value without having been previously inscribed on the List of World Heritage in

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<sup>150</sup> ICOMOS "Threats to World Heritage sites 1994-2004", May 2005.

<sup>151</sup> World Heritage Papers 18 : Periodic Report 2004 concerning the Latin America and the Caribbean zone, p 94.

<sup>152</sup> For example, in 2005, the document on the state of conservation of World Heritage forests presented at the expert meeting in Nancy, could only refer, due to lack of scientific indicators to measure the degree of threat, to the number of times the property had been the subject of a state of conservation report under the reactive monitoring procedure, (World Heritage Reports n°21).

Danger. Over the last five years, between 16% and 20% of properties inscribed on the World Heritage List have been subject to threats sufficiently serious as to warrant the application of the reactive monitoring<sup>153</sup> procedure. Indeed, as emphasized in the synthesis document on the evolution of the state of conservation presented at the 34th session<sup>154</sup> « the selection of these reports by the World Heritage Centre and the Advisory Bodies is only the « tip of the iceberg », as such reports are being prepared under Agenda item 7B, only in cases where actions have to be taken at the World Heritage Committee level; and only the properties facing the most serious threats are reported on each year. Other properties, with less serious or imminent threats are not necessarily reported upon». Legal and management problems threaten more than two-thirds of properties having called for a state of conservation report in 2009. Since 2005, between 85% and 98.9% of properties (2008) experiencing legal or management problems, do not have a management plan or system; in 2009 more than 20% of these properties were threatened by the absence of clear boundaries or buffer zones (e.g. 10% of properties having been the subject of a state of conservation report).

211. Iconic properties such as Pompéi have recently drawn the attention of the media to the conservation problems being faced by properties on the World Heritage List. Available data concerns the second cycle of periodic reports illustrating the continued lack of adequate management and protection of the properties. In referring to the periodic report presented in 2010 at the 34th session for the Arab States alone, it seems that according to the responses received from the States Parties themselves to questionnaires, only about 78% of the properties have succeeded in preserving their authenticity, while in eight cases it is compromised<sup>155</sup> and seriously compromised for one property<sup>156</sup>. Also, integrity is only judged to be intact for 18% of the cases, compromised for nine properties<sup>157</sup> and seriously compromised in two cases<sup>158</sup>. Maintenance of the outstanding universal value is considered as satisfactory for 81% of the properties but the value of ten properties is impacted<sup>159</sup> and the outstanding universal value appears to be seriously impacted in one case (Abu Mena)<sup>160</sup>. Two of these properties (Zabid and Abu Mena) have been inscribed on the List of World Heritage in Danger since, respectively, 2000 and 2001.

212. The List of World Heritage in Danger only numbers 34 properties. Twelve of them have been on the list for more than 10 years, two for more than 20 years<sup>161</sup>. As emphasized by the Chairperson of the 32nd session of the Committee in 2009, it was unfortunate that this list was not used as intended. The Convention considered it as a list of threatened sites that required intense work and for which assistance had been requested. It should be a published list of selected priority projects likely to attract international cooperation and raise awareness of principal donors. Apparently it has never been used in this way. On the contrary, it is perceived as a bad note, a criticism to be avoided at all costs... There are some noteworthy

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<sup>153</sup> With an average of 3 to 4 threats by property.

<sup>154</sup> WHC-10/34.COM/7C

<sup>155</sup> Bosra, Crac des chevaliers, Zabid, Sana'a, Shibam, Carthage, Wadi Al Hitan.

<sup>156</sup> Abou Mena

<sup>157</sup> Palmyre, Bosra, Crac des chevaliers, Zabid, Sana'a, Shibam, Carthage, Thebes and Historic Cairo.

<sup>158</sup> Damascus and Abou Mena

<sup>159</sup> Sana'a, Zabid, Palmyre, Cairo, Bosra, Crac des chevaliers, Damascus, Aleppo, Memphis and Carthage.

<sup>160</sup> The responses to the questionnaire were analysed by the World Heritage Centre for the sites concerned in order to request a state of conservation report from States Parties (which could then lead the Committee to request reactive monitoring missions) to be presented to the next Committee sessions. Reports have been requested from States Parties for the Archaeological site of Carthage, Historic Cairo, Ancient City of Damascus and the Old City of Sana'a. The state of conservation of these sites shall be presented at the 35th session of the Committee next June.

<sup>161</sup> The Old City of Jerusalem and its Walls (1982), but it concerns a specific case taking into account the status of Jerusalem, and the Chan Chan Archaeological Zone in Peru (1986).

successes.....<sup>162</sup>...Finally, the negative connotation concerning the inclusion procedure to the In-Danger List, prevents this list from reassembling all the seriously threatened sites. Therefore, it is not used as an effective conservation tool to define needs and set investment priorities in conservation and so World Heritage sites continue to deteriorate<sup>163</sup>. Thus, for example, the Pirin National Park (Bulgaria), in its Decision 34 COM 8B5 on the extension of the property, the Committee indicated only that it regretted that the universal value of the property had undergone in a repeated and important manner the development impacts of ski stations, to the point where one could envisage inscription of the property on the List of World Heritage in Danger and that the pursuance of ski development exercised a serious threat to the outstanding universal value of the property.

213. Although the provisions of the Operational Guidelines (paragraphs 183 and 187) that lay down the precept of the Committee on the manner in which to apply the Convention<sup>164</sup> do not require the agreement of the State Party for the inscription of a property on the In-Danger List<sup>165</sup>, the Committee often renounces de facto to inscribe a property on the In-Danger List if the State Party is against it<sup>166</sup>.

214. The decision of inscription on the In-Danger List is often tardy, which reduces the possibilities of effective corrective actions<sup>167</sup>. In a 2009 study on World Heritage in Danger, IUCN underlines « a fairly high level of disagreement between the World Heritage Committee and the advice of IUCN and the World Heritage Centre », as much as regards the inscription of properties considered to be in danger, as the removal from the In-Danger List. Information communicated to the Committee is less developed than for a nomination and the Advisory Bodies only intervene in the oral presentation in complement to the World Heritage Centre. According to the precept of the Committee, the decision for removal from the In-Danger List occurs in consideration of the threats that motivated inscription on that List when often new elements, sometimes far more serious, have since occurred. This precept should be reexamined as it does not appear to be in conformity with the provisions of paragraphs 190 and 191 of the Operational Guidelines. Moreover, the States Parties represented in the Committee should not participate in the decision on follow up to be given to the reports concerning the state of conservation of their properties.

215. The Committee should improve communication with States Parties to explain that the inscription on the In-Danger List must be considered as an indication of interest of the

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<sup>162</sup> Mme Cameron cited the reduction of development works around the Palaces and Parks of Potsdam, the cancellation in 2000 of the salt production project in the Whale Sanctuary of El Vizcaino in Mexico, the modification of the gasline pipe near Lake Baikal, the rejection in 2005 of the project to develop Wien Mitte in the historic centre of Vienna. Mention may also be made of the reduction of the effects of war on World Heritage properties in the Democratic Republic of the Congo through international mobilisation in the framework of the « protection programme for World Heritage sites in the DRC-Biodiversity in regions of armed conflict ».

<sup>163</sup> Context of the World Heritage Convention: essential emerging decisions and concepts, report presented at the meeting in February 2009 on Reflection on the Future of the World Heritage Convention.

<sup>164</sup> The authors of Article 11 of the 1972 Convention appear not to have anticipated opposition from States Parties to the inscription on the In-Danger List but on the contrary, numerous requests from States Parties for inscription of their properties on this List to benefit from international assistance.

<sup>165</sup> Contrary to the inscription procedure of the Montreux Register for the RAMSAR Convention.

<sup>166</sup> Thus, among other examples that have not been inscribed on the In-Danger List despite the advice of the Advisory Bodies and the World Heritage Centre, the Historic Sanctuary of Macchu Pichu or the Tropical Rainforests of Sumatra that IUCN had recommended its inscription on that List upon inscription of the property on the World Heritage List.

<sup>167</sup> Thus, with regard to Decision 31 COM 7B/1 concerning the inscription of Niokolo-Koba National Park in Senegal on the List of World Heritage in Danger, IUCN noted that the monitoring mission concluded that the very serious deterioration indicated this problem should have been treated earlier, when the potential for corrective measures was better.

international community for the conservation of the outstanding universal value of the property in conformity with the founding principles of the 1973 Convention.

216. However, the upheavals that most seriously impact on World Heritage (climate change, massive extinction of species, lifestyle changes, conflicts, pressure from human activities of all kinds which increases with demographic growth) go far beyond the mandate of the Convention. The synergies between all the interested international conventions should be reinforced to attempt to mitigate these effects, as far as is possible. World Heritage sites could serve as emblematic sites for decision-makers and the public at large to bear witness to the ongoing changes and the impact of human activities, including in those properties located at great distances from areas of dense populations, and be areas for pilot experimentation.

**Recommendation n° 17: reconsider the priority given to preparatory assistance in relation to assistance for conservation and management, and strengthen training for management and conservation.**

**Recommendation n° 18: strengthen the monitoring of properties and define monitoring indicators for the state of conservation; establish proactive monitoring by the Advisory Bodies without waiting for the appearance of serious problems; ensure the participation of experts from the Advisory Bodies to elaborate the periodic reports; actively promote exchanges of best practice on conservation.**

**Recommendation n° 19: fully use the In-Danger mechanism in conformity with the provisions of the Operational Guidelines (both for inscription and for removal); revise the Rules of Procedure of the Committee to prohibit a State Party represented on the Committee to take part in the decision on follow-up given to state of conservation reports concerning a property situated on its territory.**

**c) Increase the financial means of the World Heritage Fund and mobilise this funding as well as extrabudgetary funds to benefit in priority monitoring and conservation activities**

217. In the terms of Article 4 of the Convention «each State Party to this Convention recognizes that the duty of ensuring the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural heritage referred to in Articles 1 and 2 and situated on its territory, belongs primarily to that State. It will do all it can to this end, to the utmost of its own resources and, where appropriate, with any international assistance and cooperation, in particular, financial, artistic, scientific and technical, which it may be able to obtain. The international community only intervenes in a subsidiary role.

218. Article 7 of the Convention stipulates: «For the purpose of this Convention, international protection of the world cultural and natural heritage shall be understood to mean the establishment of a system of international cooperation and assistance designed to support States Parties to the Convention in their efforts to conserve and identify that heritage». Thirty-nine years later, the financial mechanism to guarantee the necessary resources has not yet been identified. Already, at the international congress organised by UNESCO in 2002 for the 30th anniversary of the Convention, the Chairperson of the 14th and the 32nd sessions had

underlined the chronic lack of funds for conservation, in particular to respond to the needs of threatened sites, and even for those inscribed on the List of World Heritage in Danger<sup>168</sup>. Current funding is far below that of the campaigns organised by UNESCO for the safeguarding of the monuments of Nubia (1959) or Borobudur (1971).

219. The resources of the World Heritage Fund, comprising the mandatory dues fixed at 1% of the dues to UNESCO, and by voluntary contributions (which are only partially protected in relation to currency fluctuations) have not increased even though the World Heritage List now comprises 911 sites in 2010 in comparison to 730 in 2002 (cf. Table in Annex 7).

220. All the same, the workload of the World Heritage Centre and the Advisory Bodies has further increased in proportion to the number of nominations due to several factors: the expertise of increasingly complex files (such as serial properties, heritage routes)<sup>169</sup>; development of thematic studies and expert meetings to respond to the requests of the Committee, notably for the Global Strategy, increased threats to the conservation of properties (pressures from human activity, climate change..). For the biennial exercise 2008-2009, 43.5% of income of the World Heritage Fund has served to finance the work of the Advisory Bodies.

221. According to information communicated by the Advisory Bodies, the budgets that are allocated to them from the World Heritage Fund only cover a part of the actual costs of activities for the World Heritage Convention. Therefore, according to ICOMOS estimations for the biennium exercise 2010-2011, the part of its costs for the implementation of the Convention covered by the Fund shall, according to updated forecasts at the end of April 2011, only be 56% (and not 70% as initially foreseen). IUCN observes that due to financial restraints, the contracts with UNESCO limit its level of commitment to the implementation of the Convention and do not necessarily support the more effective activities for the conservation of the properties<sup>170</sup>.

222. As noted in the External Auditor's report on the World Heritage Centre presented at the 34th session (2010), 54%<sup>171</sup> of the resources of the World Heritage Centre originate henceforth from extrabudgetary sources. Many people working at the World Heritage Centre are thus remunerated from extrabudgetary funds. The Forest Programme and the Marine Programme function exclusively on extrabudgetary funding, by nature uncertain. It is relevant to note that even for the development of monitoring indicators for the Budapest objectives, the Committee had requested the World Heritage Centre to seek extrabudgetary resources (cf. above paragraph 29).

223. The mechanism of the World Heritage Convention differs in this respect from other United Nations conventions that have available a basic budget superior to extrabudgetary funding. This importance of extrabudgetary funding poses problems, because these funds are allocated by donors and cannot be used freely by the Committee to serve its priorities.

224. The evaluation of the sustainable development programme presented at the 34th session, the results of which are very modest in relation to the funding granted, observes that financing from extrabudgetary funds are earmarked by the donors, which has complicated the

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<sup>168</sup> Report « World Heritage 2002, *Shared Heritage, common responsibility* ».

<sup>169</sup> The true workload for the ICOMOS experts varies according to the complexity of the nomination files to between 7.5 and 19.5 days of the biennial exercise 2010-2011, which is a far superior calculation of time than that considered in the establishment of the budget

<sup>170</sup> MAVA Foundation proposal : the World Heritage Agenda for Nature, page 10

<sup>171</sup> In a little over ten years, the World Heritage Fund, which was the central mechanism, has become a minority: 51% total funding for the Centre in 1996-1997, 18% in 2008-2009 in comparison to 28% from the Regular Programme and 54% from extrabudgetary resources (WHC-10/34.COM/5G).

management of the programme<sup>172</sup>. This evaluation insists on the need of a more strategic monitoring method and to define the role of the World Heritage Centre and limit it to activities for which it gains added value in relation to other partners (other UNESCO sectors, United Nations agencies, Advisory Bodies, States Parties, tourism industry, non-governmental organizations). This recommendation should be transposed to other World Heritage thematic programmes.

225. The budgetary presentation by principal field of activities prepared by the World Heritage Centre to conform with the Decision 33.COM/16B taken by the Committee in 2009, reveals that the « conservation, management and monitoring » activity for properties is mainly financed from extrabudgetary funds (68.9 % for the 2010-2011 budget voted)<sup>173</sup>. This proportion rose to 82 % (excluding the budget for the Advisory Bodies) for conservation actions carried out at the regional level in Africa. In the 2010-2011 budget granted to the Advisory Bodies from the World Heritage Fund, conservation of properties (reactive monitoring) only represents 9.1% in relation to 28% for credibility of the List (retrospective inventory, Global Strategy, outstanding universal value). (cf. Annex 7). For capacity building, overall funding, (including education) only represents 8.6% of Action 2 « World Heritage identification, management and promotion ».

226. The actual costing for conservation needs is not calculated, neither for measures to be taken for properties inscribed on the In-Danger List. The provisions of Article 11, paragraph 4, of the Convention foresee that «the List of World Heritage in Danger shall contain an estimate of the cost of such operations ». At the 30th anniversary of the Convention, the Chairperson of the 14th session<sup>174</sup> recalled these provisions and underlined that the Committee had an important role to play in preparing and publishing exact figures concerning the cost of conservation needs, which is not the case at present. Ten years on, these provisions remain unheeded. The 2010-2011 budget of the World Heritage Fund is only USD 95 000 for endangered sites (excluding reactive monitoring), only 1.4% of the Fund. Whereas, in certain cases, the threats to the property concern problems other than funding<sup>175</sup>, in many cases, the property deteriorates due to lack of indispensable funds for its restoration<sup>176</sup>.

227. In general, to respond to the provisions precited in Article 7 of the Convention, it appears indispensable to define a valid conservation programme to finance the necessary activities for the preservation of World Heritage properties that require the assistance of the international community. This programme should identify priorities in function to the degree of urgency of the interventions, and as advised by the Advisory Bodies. It should be financed from permanent and non-earmarked sources. States Parties and sponsors could be invited to allocate extrabudgetary funds respecting the priorities of the programme.

228. In view of the refusal by States Parties to increase their contributions, the Committee had decided, at the 30th anniversary of the Convention in 2002, to explore the avenue of financial partnerships with private enterprises<sup>177</sup>, an action that resulted in the PACT Initiative, treated

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<sup>172</sup> Cf. WHC-10/34.COM/INF.5F.3

<sup>173</sup> WHC-10/34.COM/16

<sup>174</sup> M<sup>me</sup> Cameron who, afterwards, also chaired the 32nd session.

<sup>175</sup> As, for example, urban development projects with high-rise buildings.

<sup>176</sup> The document World Heritage Papers n° 13 of May 2003, « *Linking Universal and Local Values: Managing a Sustainable Future for World Heritage* » noted that that the State of Yemen and the local authorities did not possess the financial means to restore and maintain the Historic Town of Zabid and that this type of World Heritage property could only be conserved through assistance from other partners, especially as the local population had other priorities.

<sup>177</sup> M<sup>me</sup> Cameron recalled that the Chairperson of the Committee had recently requested States Parties if they were ready to double, on a permanent basis, their contributions to the World Heritage Fund by a voluntary



hereafter in the second part of the evaluation. The observations of the external audit highlight the limits of this initiative which has not, with exceptions, financed conservation actions of properties in the way in which its initiators had wished, but is focused on communication actions (to increase the renown of World Heritage) and the payment of the running costs of the World Heritage Centre. Substantial improvements must be made to the PACT mechanism. A more professional prospection of potential sponsors should enable an increase in income but this type of financing, tributary to private partnerships and thus uncertain, only constitutes a complement to funding from States Parties or other permanent resources.

229. The document on the « options for equitable additional voluntary contributions to the World Heritage Fund » presented at the 34th session,<sup>178</sup> explores three avenues that demonstrate that, if States Parties have the willingness to give to the Convention the means to respond to its objectives, it is possible to substantially increase the Fund's resources:

- voluntary doubling of mandatory contributions (from 1% to 2% of the contribution of the UNESCO regular budget). In fact, the mandatory contributions are often very low<sup>179</sup>. They have diminished for the other States Parties since the United States rejoined UNESCO. Most of the developing countries paid USD 32 in 2009. In adding voluntary contributions, only six States Parties pay more than USD 100,000<sup>180</sup>. The amounts paid by States Parties are for the most part often very inferior to the expenditures that they commit to the preparation of only one nomination file<sup>181</sup> ;
- increase of the current contribution in relation to the number of properties of the State Party inscribed on the List<sup>182</sup> ;
- levy of a special charge by visiting international tourist entering the country. It would be legitimate, in fact (and possibly well received by the individuals concerned especially as the sum requested would be symbolic<sup>183</sup>) that tourists participate in the funding of monitoring and preservation of properties.

230. Moreover, the preamble of the Convention could envisage renewing with the practice of international campaigns for the safeguarding of the heritage that were organised by UNESCO and enabled the collection of funds from the public. This appeal for donations would associate the public with the World Heritage Convention for the present and future generations. It would possibly enable the collection of significant amounts on the condition that potential donors had the assurance that the bulk of their donations was in fact effectively allocated to actions on the sites.

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annual donation and that the collective response had been a categorical refusal. If we accept the assumption according to which the official intergovernmental system of transmission of heritage has reached its maximum capacity, then the responsibility of protection of World Heritage must be transferred elsewhere. The challenge is to rally organizations and civil society to the cause of World Heritage, to conciliate their cost priorities and World Heritage needs. Document *World Heritage 2002 : Shared Heritage, Common responsibility*.

<sup>178</sup> WHC-10/34/16.ADD

<sup>179</sup> Moreover, the financial statements presented at the 34th session indicated USD 76,000 of outstanding dues of contributions from earlier financial exercises.

<sup>180</sup> Italy, United Kingdom, France, Germany, Japan and the United States

<sup>181</sup> The Lake District study « *World heritage status, is there opportunity for economic gain* » (2009) considered that in the United Kingdom the average cost of a nomination file was GB 400,000. Some States Parties commit far greater amounts in this respect.

<sup>182</sup> This could secure USD 1.3 M in the hypothesis of an increase of 2% of the present contribution by property inscribed.

<sup>183</sup> According to scenarios envisaged, the income could be between USD 8.48 M in the hypothesis of USD 0.01 by international tourist entering the country and could rise to USD 84.8M for a contribution of USD 0.1.

231. Several of the most represented countries on the List (Italy, France, Spain) already number among the principal donors of extrabudgetary funding. But this funding is for the most part earmarked, as are the funds-in-trust from other voluntary contributors. It could be envisaged to transfer a percentage of allocated funds to be used in function to the priorities of conservation to be defined.

232. The development of twinning (cf. concerning marine heritage between Hawaii and Kiribati), is also to be encouraged. Paragraph 59 of the Operational Guidelines invites, in conformity with the resolution adopted by the 12th General Assembly of States Parties (1999), the States Parties already well represented on the List to associate each of their nominations with a nomination presented by a State Party with under-represented heritage. This recommendation should be implemented and extended to monitoring and the conservation of properties.

233. Data on funding other than from that of the World Heritage Fund, from all origins (funds-in-trust, conventions between a State Party and UNESCO, funding granted by regional organizations such as the European Union, other funds from the United Nations such as the United Nations Foundation, The World Bank, Global Environment Facility, private donors) should be consolidated and communicated each year to the Committee so that they have an overall picture and can define in full knowledge the allocation of World Heritage funds. To begin with, the establishment in the spirit of the activity « One UN » of an annual report presenting in an exhaustive manner the extrabudgetary funds of the United Nations institutions benefiting World Heritage properties could be envisaged.

234. Furthermore, an in-depth examination should be carried out as to whether certain extrabudgetary funds that appear at the first analysis to be under-used, could not be better employed (cf. Annex 7), in the same way as the PACT Initiative (cf. second part of the evaluation).

235. The establishment of a « rapid response » fund for cultural heritage based on the one created in October 2005 for natural heritage on the World Heritage List financed in partnership between the United Nations Foundation, UNESCO and the non-governmental organization Fauna and Flora International to procure urgent assistance for threatened natural world heritage should be envisaged. This mechanism that provides support of USD 30,000 to respond to urgent needs has been renewed following the evaluation of the pilot phase<sup>184</sup>, that notes improvements should be made concerning the structure of costs and selection of files, but that the funds responded to its objective of response, decisions for assistance requests treated as foreseen within 8 days.<sup>185</sup>

236. As the 2007 Document « World Heritage, Challenges for the Millennium », notes, only an innovative approach to fund conservation shall allow the World Heritage Convention to face future challenges. There are two types of possible innovations: « the establishment in the different parts of the world of closely connected organisms capable of supporting at the

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<sup>184</sup> Keith Lindsay , Stephen Cobb (The Environment and Development group), Final Report External evaluation of the Rapid Response Facility - Pilot phase, janvier 2008

<sup>185</sup> According to data as at 31 August 2010, funds were granted since its establishment for 21 assistance requests, 19 of which were urgent and two transitory assistance, concerning 10 properties located in developing or transition countries for a total amount of USD 584 310. This assistance was paid, according to the case, to governmental agencies or to non-governmental organizations to assist in the combat against illegal activities in the properties or to raise awareness of decision-makers and mobilise public opinion against infrastructure projects threatening the outstanding universal value of the property. In particular, this assistance benefited the safeguarding of four iconic properties inscribed on the List of World Heritage in Danger. In two cases, the funds were used to benefit sites that were not yet inscribed on the World Heritage List but were on a tentative list: Sierra del Lacadon National Park (Guatemala), Phong Nha Ke Bang National Park (Viet Nam) since inscribed.

regional level the policies of the Convention; the integration of the conservation of sites into development initiatives at a global level, in particular the strategies of multilateral and bilateral development banks. To date, the Convention has only explored these possibilities and has not yet defined a long-term policy ». The project of the World Heritage Partnership Initiative (IPPM)<sup>186</sup> studied in 2002 was far more ambitious than the PACT Initiative finally adopted. It aimed at creating a true « system of international cooperation and assistance with the aim to provide support to States Parties » as requested in Article 7 of the Convention, also developing partnerships with States, NGOs and international institutions such as the Global Environment Facility, The World Bank and other large international and regional funding institutions, banks and cooperation and development agencies that are already active in or around World Heritage properties but, with exceptions, without concert with UNESCO. This synergy with other United Nations agencies and funding institutions is very largely lacking, but initiatives have recently been taken in this direction (cf. point hereunder). The External Auditor report on the World Heritage Centre presented at the 34th session<sup>187</sup> had noted that the Centre was cooperating with the United Nations specialised institutions (FAO, WTO), Programmes (UNEP, UNDP), or again with various agencies of the system (MONUC, UNFIP, SIPC, CBD, UNITAR<sup>188</sup>) and that limited collaboration also existed with The World Bank. But « the analysis of this cooperation, however, left an impression of dispersement and blow-by-blow reactions ». It is for this reason that the audit recommended to organise in a more coherent framework the existing cooperation around principal themes defined by the Committee, setting up a multipartite convention linked to UNESCO, through the Centre, and the United Nations institutions and bodies that support the different themes.

**Recommendation n°21: study the establishment of a « rapid response » fund for threatened cultural properties.**

**Recommendation n°22:**

- allocate a part of accrued funds to finance conservation;
- calculate funds required to safeguard In-Danger properties in conformity with the provisions of Article 11, paragraph 4 of the Convention;
- establish a conservation programme for properties requiring assistance from the international community, financed by permanent and non-earmarked sources, through the implementation of financial solutions examined at the 34th session, and allocate credits according to degree of urgency, evaluated by the Advisory Bodies;
- study the feasibility of the ad hoc collection of resources for conservation through international public campaigns.

**Recommendation n°23 : in the spirit and action of « One UN », establish an annual report presenting in an exhaustive manner the extrabudgetary funds from United**

<sup>186</sup> WHC-02/CONF.202/13C

<sup>187</sup> WHC-10/34.COM/5G

<sup>188</sup> United Nations Mission to the Democratic Republic of the Congo, United Nations Fund for International Partnerships, International Strategy for Disaster Reduction, Convention on Biological Diversity, United Nations Institute for Training and Research.

**Nations institutions benefiting World Heritage properties; build up a database on funding of all types (public or private) benefiting World Heritage properties.**

**Recommendation n°24 : establish a convention between UNESCO and other United Nations institutions to organise cooperation on World Heritage properties.**

#### **4) Encourage local community involvement in the conservation of the property**

237. The involvement of local populations is the best guarantee for the conservation of a property. The example of the rice terraces of the Philippines Cordilleras inscribed in 1995, and which were inscribed on the List of World Heritage in Danger in 2001, clearly demonstrate that the involvement of communities is indispensable to the conservation of cultural landscapes that depend on the transmission of values and traditional life styles.

238. In a report of 2008, ICOMOS observed that there often existed a lack of comprehension and collaboration between the different stakeholders or potential stakeholders who should maintain the property. Apart from a few positive exceptions, a lack of communication between the authorities in charge of the nomination of the property to the List and the population living in the areas may also be observed. The managers of the sites themselves do not always understand for what reason a nomination has been made on the List and what had exactly been inscribed.

239. The Decision 31.COM/13B introduced a fifth C in the Strategic Objectives « enhance the role of communities in the implementation of the World Heritage Convention ». But often this provision has remained a statement of principle. The experience of the Biosphere Reserve Programme « Man and the Biosphere », and that of Geoparks which carries out actions for the benefit of local communities and in particular for women, are in this respect examples from which the Convention mechanism could take inspiration, as well as from the concepts for reasoned use and ecological services of the RAMSAR Convention<sup>189</sup>. It is important to communicate with local communities at the outset of the nomination in order to avoid or limit as far as possible the potential negative impacts on the communities.<sup>190</sup>

240. Other than education and information actions, synergies should be created between the World Heritage Convention mechanism and the UNO programmes for sustainable development, as decided by the Committee in its Decision 33.COM/5C , as well as with other UNESCO conventions in the field of culture (cf. Committee Decision 34.COM/5E ). The expert meeting in Paraty (March 2010) and the draft action plan for 2012 constitute a first step. The pilot project (« One UN »), with the participation of eight countries since 2006, aims at improving coordination between the actions of the different United Nations agencies by defining intersectoral strategies. The ecosystem and cultural landscape of Lopé-Okanda<sup>191</sup> in Gabon is a pilot site in this procedure. UNESCO is involved, in partnership with the FAO

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<sup>189</sup> Ramsar culture working group World Heritage Convention : Challenges and Perspectives 2009

<sup>190</sup> Such as the loss of traditional values due to the massive influx of tourists, de-scholarisation of children, even prostitution.

<sup>191</sup> This is the first mixed site inscribed for the sub-region of Central Africa.

and UNDAF<sup>192</sup>, in the programme of the United Nations Development Assistance Framework. But the needs of the local populations are very important and urgent action is required. Thus, for example, one of the causes of deforestation in Virunga National Park (Democratic Republic of the Congo), is charcoal exploitation to provide for the 700 000 inhabitants of the town of Goma. The loss of their habitat and the competition for charcoal production has caused an important decrease in the gorilla population in the Park<sup>193</sup>.

**Recommendation n° 25: strengthen cooperation between the World Heritage Convention mechanism and the mechanisms of the United Nations for sustainable development, and other United Nations conventions in the field of culture and environment.**

#### **5) Wider objectives for heritage conservation foreseen by the Convention are insufficiently heeded**

241. As has been recalled on many occasions by the Advisory Bodies<sup>194</sup>, the objectives of the 1972 Convention go beyond properties inscribed on the World Heritage List. In the terms of Articles 4 to 6 of the Convention, the States Parties have the obligation to establish inventories of their heritage, undertake protection measures and to « adopt a general policy which aims to give the cultural and natural heritage a function in the life of the community ». A recommendation of the UNESCO General Conference concerning protection on the national level for natural and cultural heritage, put forward in the same year as the Convention, underlines that heritage conservation in its widest sense must constitute an essential aspect of development plans at the national level as well as at the regional or local level.

242. In October 2008, ICOMOS emphasized that the World Heritage List and its processes associated with monitoring should be tools for global conservation and cooperation rather than an end in itself. It is extremely important that the tools for the implementation of the Convention reflect this wider objective<sup>195</sup>. Already the general report on the evaluation of the implementation of the Convention concerning the Protection of the Cultural and Natural Heritage and the Strategic Guidelines approved by the 16th session in 1992 (Santa Fe), requested Parties « not only to have a general safeguarding policy, but more particularly to integrate safeguarding into national general planning programmes, by reinforcing regional and local action<sup>196</sup>».

243. A number of outstanding sites shall no doubt never be inscribed<sup>197</sup> on the List. This list does not in fact have the vocation of being exhaustive. Article 12 of the Convention recognizes the fact that if a site has not been included on the List it shall in no way be construed to mean that it does not have an outstanding universal value for purposes other than those resulting from inclusion in the World Heritage List and List of World Heritage in

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<sup>192</sup> United Nations Development Assistance Framework.

<sup>193</sup> Mark Jenkins, National Geographic, July 2008

<sup>194</sup> Most recently in a joint communication of February 2011, addressed to the UNESCO Director-General

<sup>195</sup> ICOMOS Reflection Workshop on future Guidelines for the World Heritage Convention, October 2010.

<sup>196</sup> WHC-92/CONF.002/4

<sup>197</sup> For political, ethnic, religious or other reasons.

Danger<sup>198</sup>. In fact, as underlined at the 30th anniversary of the Convention, by a former Chairperson of the World Heritage Committee<sup>199</sup>, the condition of agreement by the State to inscribe a property on the World Heritage List limits the extent of the Convention. He added that international law evolves continuously under the effect of the evolution of concepts and preoccupations of the international community and that the principles of preventive action and precaution have begun to be recognized in certain sectors of international law.

244. Global Strategy, together with the reorganisation of UNESCO, have solely focused the Convention mechanism on the World Heritage List<sup>200</sup>. Thus, a triple shift can be observed:

- States Parties desiring the inscription on the List of sites that do not justify the involvement of the whole international community for their protection;
- However, they do not provide to the Convention the necessary means to guarantee the monitoring and safeguarding of properties inscribed on the List;
- Wider provisions on the protection of their heritage by States Parties are lost to view due to the lack of a heritage policy and resources (in some countries of Africa or Latin America, the meagre financial means are only devoted by States Parties to properties inscribed on the List).

245. A veritable Global Strategy would assume putting properties on the World Heritage List to the service of awareness raising and cooperative activities (capacity building, technical cooperation) for a greater preservation of heritage, without which world heritage risks becoming relic-elements in a devastated world.

**Recommendation n°26 : make World Heritage properties models of best practice in the service of heritage protection; develop new tools to give full meaning to Articles 4 to 6 of the Convention and the 1972 recommendation on protection in national plans for natural and cultural heritage; if necessary, envisage an additional protocol to the Convention or new thematic conventions.**

## **2. Conclusion**

245. Along the same lines as the Charters of Athens<sup>201</sup>, Venice<sup>202</sup>, the Stockholm Conference for the Environment (1972) and the big international campaigns launched by UNESCO for the safeguarding of emblematic monuments<sup>203</sup>, the 1972 Convention concerning the Protection of the World Cultural and Natural Heritage, adopted on 16 November 1972 by the UNESCO General Conference (17th session), is an innovative legal instrument that aims to

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<sup>198</sup> In 1962, already a recommendation of the UNESCO General Conference concerned the safeguarding of the beauty and character of landscapes and sites.

<sup>199</sup> Pr Francioni, « *World Heritage 2002, Shared Legacy, Common Responsibility* ».

<sup>200</sup> UNESCO did not intervene with regard to the destruction of Zeugma, the submergence of which was foreseen well in advance, considering that this issue concerned the competences of the regional organizations (Council of Europe); however, the World Heritage Committee adopted several discussions concerning the Palestine heritage.

<sup>201</sup> Athens Charter for the Restoration of Historic Monuments (1931).

<sup>202</sup> International Charter for the Restoration and Conservation of Monuments and Sites (1964).

<sup>203</sup> Notably, for the safeguarding of Monuments of Nubia in 1959.

protect cultural and natural properties « that are of outstanding interest and therefore need to be preserved as part of the world heritage of mankind as a whole ». « In view of the magnitude and gravity of the new dangers threatening them » the Convention affirms that « it is incumbent on the international community as a whole to participate in the protection of the cultural and natural heritage of outstanding universal value » and intends to establish an effective system of collective protection organised according to scientific and modern methods to be completed by actions of States Parties

246. Based on observations established for the 20th anniversary of the Convention, the Global Strategy of the World Heritage List, adopted in 1994, fixed as objective a more balanced and diversified representation of world heritage

247. The Global Strategy contributed to increasing the recognition of the 1972 Convention. The results obtained in terms of increase in the number of States Parties to the Convention and States having properties inscribed on the World Heritage List has been successful.

248. This strategy led to the inscription on the List of categories of increasingly diversified sites, in particular as regards culture in a concern to cover the widest possible examples and span of heritage, and not only the culture of quintessential excellence<sup>204</sup>. Moreover, the prestige of the World Heritage List and the interest stemming from it are such that nomination to the List tends to become a political and economic challenge that can lead States Parties to claiming nomination of properties that pertain more to national or regional protection rather than international.

249. This evolution potentially leads to the infinite growth of the List. However, to date, States Parties have, with exceptions, refused to increase their financial contributions to the World Heritage Fund. As the threshold of 900 properties was crossed in 2010 at the 34th session, it is indispensable to reflect on the future of the Convention.

250. In fact, it appears that the Global Strategy of the List has led, de facto, in the absence of a concomitant definition of a conservation strategy, to give priority to the quest for a better representativity of the List as opposed to monitoring and assistance for the preservation of properties, therefore diverging from the spirit and letter of the Convention, keystone of which is the heritage conservation for the benefit of humanity as a whole and future generations. The magnitude and gravity of the dangers threatening world heritage are more marked now than in 1972 due to increased pressures from human activity, changes in lifestyle and climate change. It is evident that many properties inscribed on the List are deteriorating and that funds are lacking to undertake concrete action for their conservation or restoration.

251. With the approaching 40th anniversary of the Convention, there is a need for States Parties to question the viability of continuing the Global Strategy of the List and the compatibility of current evolutions with the objectives of the Convention.

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<sup>204</sup> As indicated by M<sup>me</sup> Cameron in 2002, one has passed from « the best of the best » to the selection of the best representatives of each category (cf. « *World Heritage 2000, Shared Legacy, Common Responsibility* »)

# ANNEXES



## Annex 1: Statistics on the preparation of tentative lists and nominations to the World Heritage List

1. Only seven of the 193 Member States of UNESCO<sup>205</sup> have not ratified the World Heritage Convention: Bahamas, member of UNESCO since 1981; Brunei Darussalam (2005), Nauru (1996), Singapore (2007), Somalia<sup>206</sup> (1960), East Timor (2003), Tuvalu (1991).

The analysis by zone encountered difficulties with regard to the geographical distribution of States due to the coexistence of three lists within UNESCO: the World Heritage List in five geographical zones, the list of the six regional electoral groups for the Executive Board and the the list of six groups for regional activities. As an example, nine countries (Algeria, Egypt, Lybia, Djiouti, Morocco, Mauritania, Somalia, Sudan, Tunisia) are both in the Africa zone (for the organisation of regional activities) and in that of the Arab States (for World Heritage<sup>207</sup>). Malta is both in the Arab States zone (for regional activities) and in Europe (for World Heritage and the elections). Several States (Turkey, Russian Federation, Kazakhstan, Tadjikistan) are both in Europe (regional activities) and in Asia (World Heritage List). The analysis below refers to the zones used by the World Heritage Convention. The Europe and North America zone comprises 52 countries of which 51 are members of UNESCO<sup>208</sup>. This includes Israel.

Year	1994	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009
Number of States Parties	139	160	167	167	176	178	180	182	183	185	186
Number of valid tentative lists	33	112	118	122	132	134	145	151	157	162	166
Proportion of States Parties having established valid	23.70%	70%	70.65%	73.05%	75%	75.20%	80.50%	82.96%	85.79%	87.56%	89.24%

<sup>205</sup> UNESCO numbers one member more than the United Nations. Article 32 of the World Heritage Convention stipulates that « this Convention shall be open to accession by all States not members of the United Nations Educational, Scientific and Cultural Organization which are invited by the General Conference of the Organization to accede to it. Accession shall be effected by the deposit of an instrument of accession with the Director-General of the United Nations Educational, Scientific and Cultural Organization. ». The Vatican is not a member of UNESCO but a State Party to the World Heritage Convention. The United States, United Kingdom and Singapore left UNESCO for several years but remained members of the World Heritage Convention.

<sup>206</sup> Somalia is a country at war.

<sup>207</sup> The World Heritage zone is different from that of the Arab League which comprises 22 countries (four additional ones: Comoros, Djibouti, Somalia and Palestine).

<sup>208</sup> Lichtenstein joined the UNO in 1990 but did not adhere to UNESCO and has not signed the World Heritage Convention.

tentative lists											
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Source : External Auditor with data provided by the World Heritage Centre

**Evolution by major zone of the World Heritage Convention of the number of States having at least one property inscribed since 1994**

	1994	2000	2004	2010	Increase 2010/1994
Africa	19	22	25	30	+57%
Arab States	12	12	13	15	+25%
Asia-Pacific	16	21	25	31	+93%
Europe and North America	37	44	47	50	+35%
Latin America & Caribbean	17	24	25	25	+47%
<b>TOTAL</b>	<b>101</b>	<b>123</b>	<b>135</b>	<b>151</b>	<b>+50%</b>
Number of countries members of the Convention	139	161	178	187	+34%
% of member countries with one inscribed property	<b>72%</b>	<b>76%</b>	<b>76%</b>	<b>80%</b>	<b>+11%</b>

Source : External Auditor with data provided by the World Heritage Centre

**Evolution by major zone of the World Heritage Convention of the number of properties inscribed on the List since 1994**

	1994	% 1994	2000	% 2000	2004	% 2004	2010	% 2010
Africa	42	10%	53	8%	63	8%	78	8%
Arab States	46	10%	53	8%	59	7%	66	7%
Asia-Pacific	88	20%	135	20%	159	20%	198	22%
Europe and North America	206	47%	351	51%	398	51%	445	49%
Latin American and Caribbean	57	13%	98	14%	109	14%	124	14%
TOTAL	439	100%	690	100%	788	100%	911	100%

Source : External Auditor with data provided by the World Heritage Centre

### Monitoring of the World Heritage List

	1994	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010

Properties on the List	439	690	721	730	754	788	812	830	851	878	890	911
State of conservation reports presented to the Committee session	36	93	101	94	143	165	137	133	161	158	177	147
% in relation to number of properties	9	15	15	13	20	22	17	16	19	19	20	17
Number of properties on the In-Danger List	14	23	20	21	33	35	35	34	31	30	30	31
Number of properties with reinforced monitoring	0	0	0	0	0	0	0	0	0	7 of which 7 in danger	13 of which 8 in danger	9 of which 8 in danger

Source : External Auditor with data provided by the World Heritage Centre

## Annex 2 : Distribution by categories of property and data on natural properties

### Evolution of the number of properties by category since 1994

	1994	% 1994	2000	% 2000	2004	% 2004	2010	% 2010
Cultural	327	74%	530	77%	610	77%	704	77%
Natural	93	21%	135	20%	152	19%	180	20%
Mixed properties	19	5%	25	3%	25	4%	27	3%
<b>TOTAL</b>	<b>439</b>	<b>100%</b>	<b>690</b>	<b>100%</b>	<b>788</b>	<b>100%</b>	<b>911</b>	<b>100%</b>

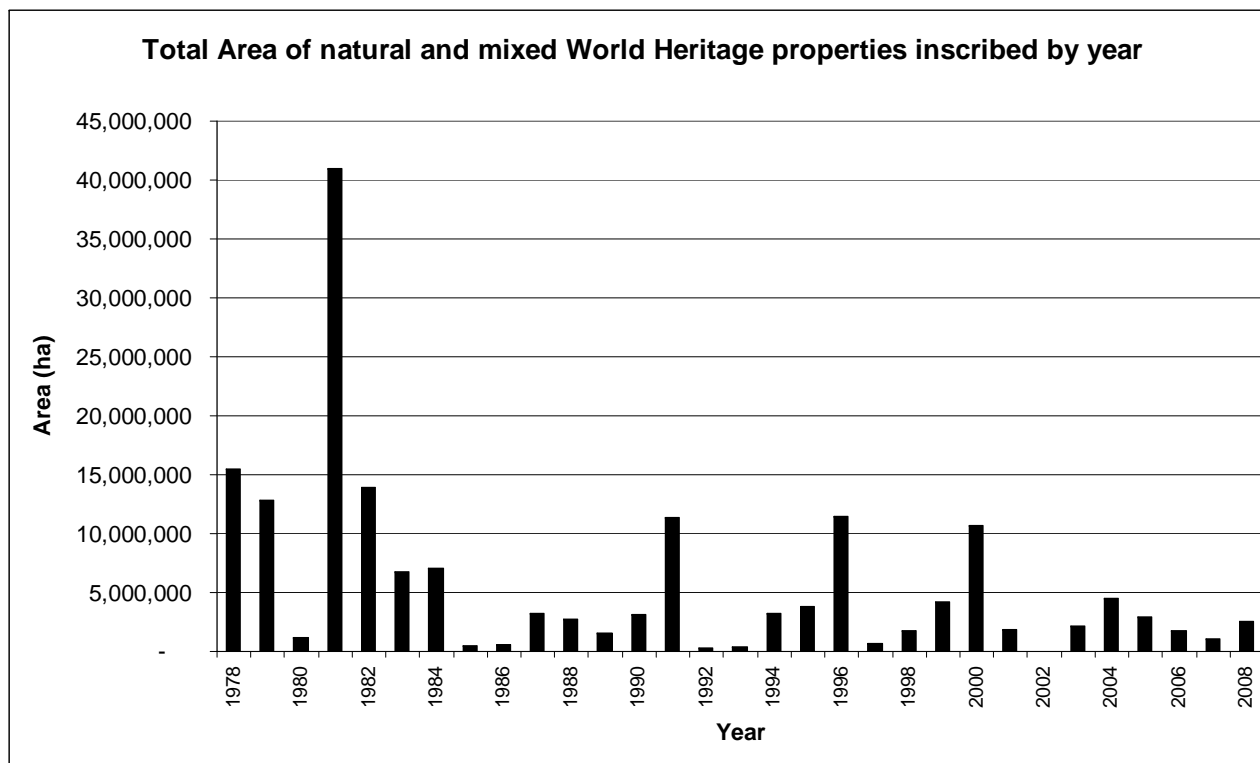
Source : External Auditor with data provided by the World Heritage Centre

**Evolution of the number of properties by region and category of property**

<b>Geographical regions</b>	<b>Biens culturels Cultural properties</b>	<b>i) Biens naturels Natural properties</b>	<b>ii)</b>

	<i>1994</i>		<b>2010</b>		<i>1994</i>		<b>2010</b>		<i>1994</i>		<b>2010</b>	
<b>Africa</b>	<b>14</b>	3,41 %	<b>42</b>	4,61 %	<b>18</b>	4,39 %	<b>32</b>	3,51 %	<b>1</b>	0,24 %	<b>4</b>	0,44 %
<b>Arab States</b>	<b>42</b>	10,24 %	<b>61</b>	6,70 %	<b>2</b>	0,48 %	<b>4</b>	0,44 %	<b>1</b>	0,24 %	<b>1</b>	0,10 %
<b>Asie and Pacific</b>	<b>49</b>	11,95 %	<b>138</b>	15,15 %	<b>24</b>	5,85 %	<b>51</b>	5,60 %	<b>7</b>	1,70 %	<b>9</b>	0,99 %
<b>Europe and North America</b>	<b>160</b>	39,02 %	<b>377</b>	41,38 %	<b>31</b>	7,56 %	<b>58</b>	6,36 %	<b>5</b>	1,21 %	<b>10</b>	1,10 %
<b>Latin American and Caribbean</b>	<b>40</b>	9,75 %	<b>86</b>	9,44%	<b>13</b>	3,17 %	<b>35</b>	3,84 %	<b>3</b>	0,73 %	<b>3</b>	0,33 %
Total	<b>305</b>	74,40 %	<b>704</b>	77,28 %	<b>88</b>	21,45 %	<b>180</b>	19,76 %	<b>17</b>	4,15 %	<b>27</b>	2,96 %

Source : External Auditor with data provided by the World Heritage Centre



Source: IUCN

**Number of natural and mixed properties on the List by natural criteria**

	2007	2010
Number of natural and mixed properties	193	207
(vii) To contain superlative natural phenomena or areas of exceptional beauty and aesthetic importance.	120	128
(viii) To be outstanding examples representing major stages of earth's history, including the record of life, significant on-going geological processes in the	72	80



development of landforms, or significant geomorphic or physiographic features.		
(ix) To be outstanding examples representing significant on-going ecological and biological processes in the evolution and development of terrestrial, fresh water, coastal and marine ecosystems and communities of plants and animals.	100	107
(x) to contain the most important and significant natural habitats for in-situ conservation of biological diversity, including those containing threatened species of outstanding universal value from the point of view of science or conservation.	120	127

Source : External Auditor with data provided by the World Heritage Centre

*Valeur universelle exceptionnelle (UICN, 2008)*

**Critère (ix): Être des exemples éminemment représentatifs de processus écologiques et biologiques en cours dans l'évolution et le développement des écosystèmes et communautés de plantes et d'animaux terrestres, aquatiques, côtiers et marins.**

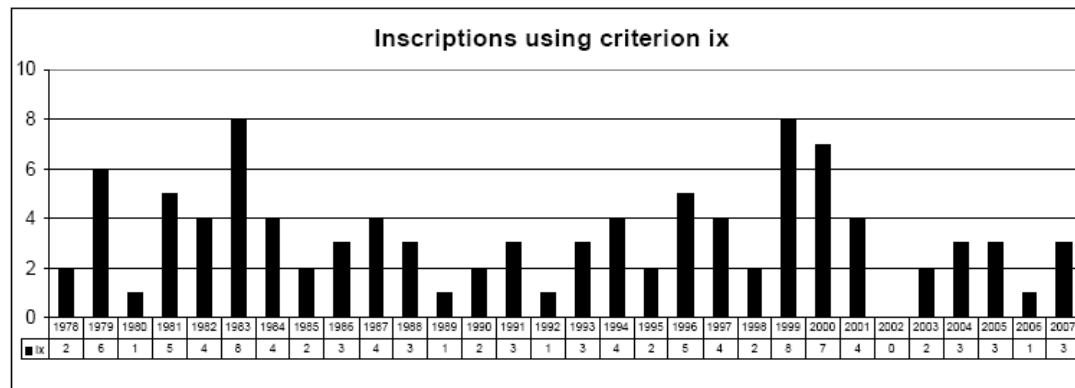


Figure 11 : Tendances de l'utilisation du critère (ix) pour les inscriptions du patrimoine mondial au fil du temps

**Critère (x):** Contenir les habitats naturels les plus représentatifs et les plus importants pour la conservation *in situ* de la diversité biologique, y compris ceux où survivent des espèces menacées ayant une valeur universelle exceptionnelle du point de vue de la science ou de la conservation.

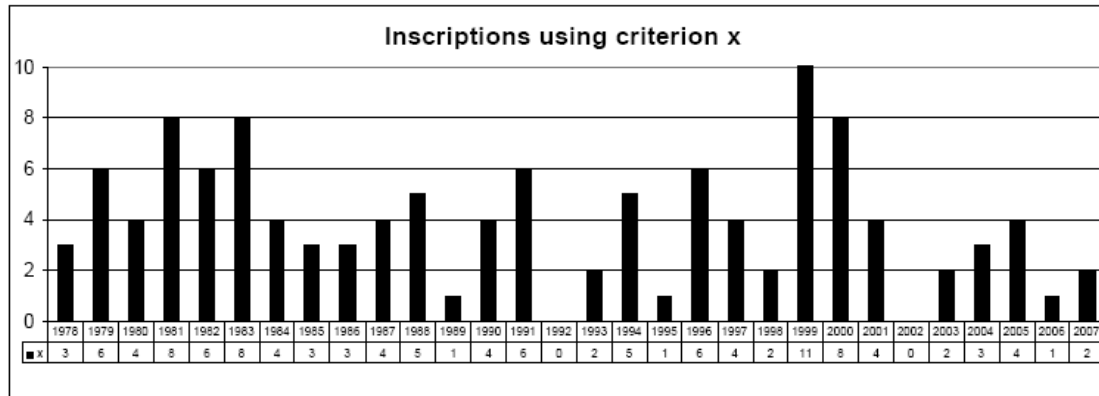


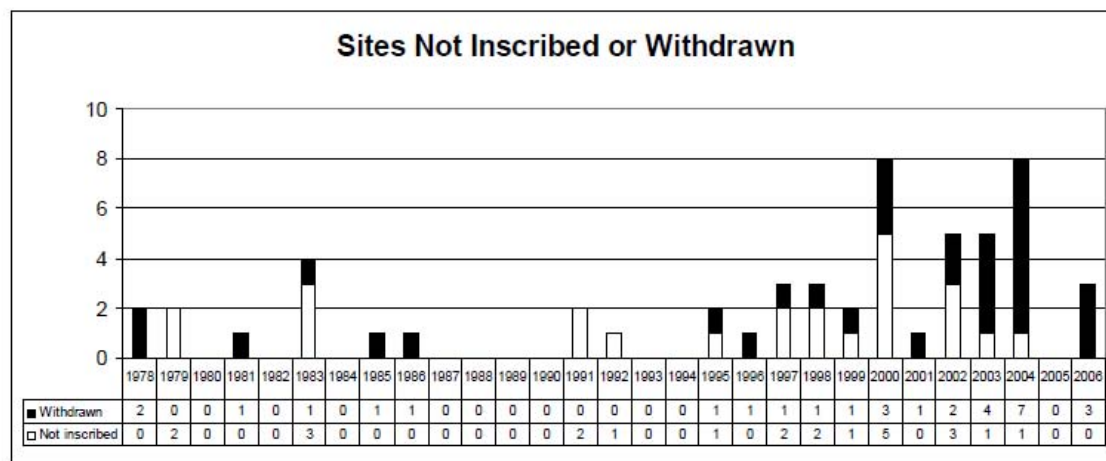
Figure 12 : Tendances de l'utilisation du critère (x) pour les inscriptions au patrimoine mondial au fil du temps

	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992
No. de propositions d'inscription	6	17	11	15	11	13	13	8	8	17	11	6	9	12	14
No. de biens Inscrits	4	11	5	11	7	10	7	5	6	9	8	3	5	6	4

	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007
No. de propositions d'inscription	14	13	9	16	15	8	22	23	20	5	15	17	16	11	13
No. de biens Inscrits	4	8	6	7	8	3	13	11	6	1	5	5	8	3	7

Tableau 1 : Convention du patrimoine mondial : Nombre de propositions d'inscription et d'inscriptions de biens naturels et mixtes.

**Number of nominations of natural properties withdrawn by States Parties or that did not result in inscription**



*Figure 13 : Tendances des décisions de ne pas inscrire de biens naturels et des retraits de biens lors du processus d'inscription. Nota : les dates affichées correspondent à la date de **soumission** des dossiers de proposition d'inscription et non à la date du Comité du patrimoine mondial.*

Source: IUCN

### Annex 3 : International Assistance

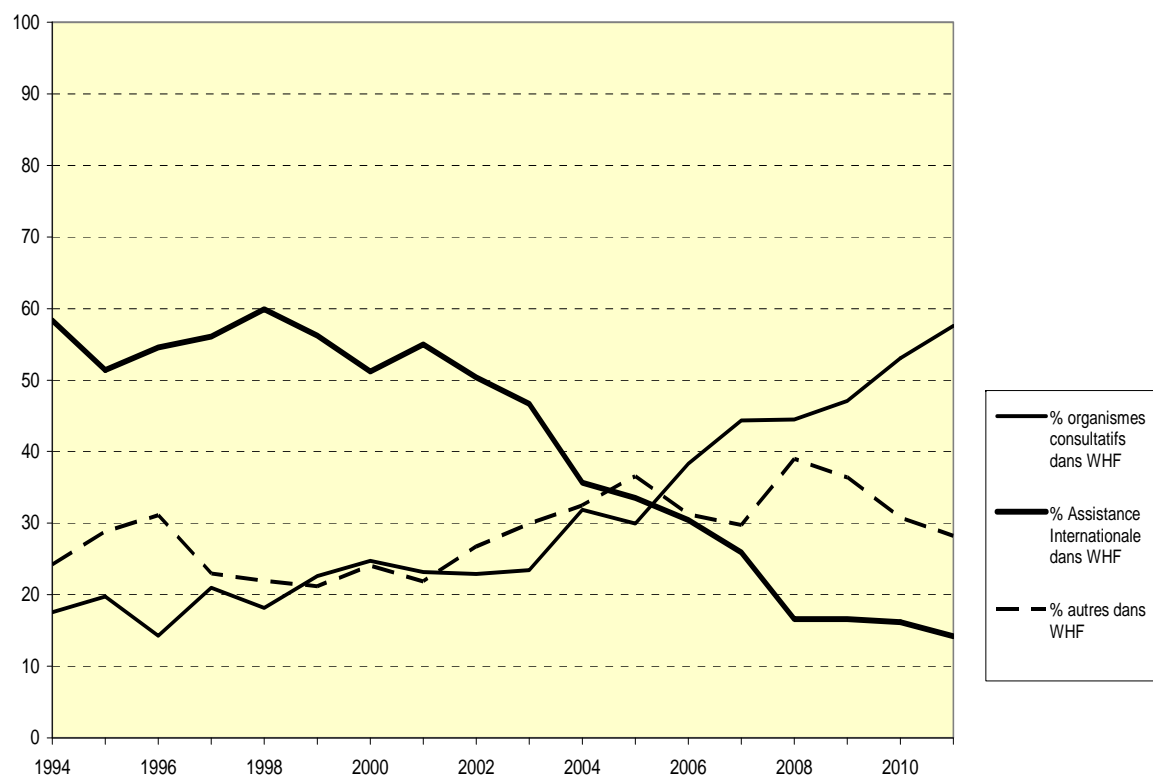
#### Number of requests and amounts approved by type of assistance and by year

Années	Nombre de demandes approuvées	Montant approuvé (en USD)	Préparatoire (en USD)	Conservation (en USD)	Urgence (en USD)
1994	64	1 384 837	131 900 (12)	776 527 (40)	476 410 (12)
1995	40	1 061 816	135 579 (8)	747 172 (24)	179 065 (8)
1996	88	1 935 686	205 592 (19)	1 575 094 (65)	155 000 (4)
1997	60	1 353 077	138 880 (15)	1 017 197 (41)	197 000 (4)
1998	149	3 121 567	338 098 (23)	2 037 019 (109)	746 450 (17)
1999	<b>141 ou 142</b>	<b>3 303 971</b>	<b>300 000 (22)</b>	<b>2 309 442 (107)</b>	<b>694 529 (13)</b>
2000	119	2 926 855	315 495 (15)	2 107 578 (92)	503 782 (12)
2001	<b>124 ou 125</b>	<b>2 656 368</b>	<b>359 505 (20)</b>	<b>1 811 848 (97)</b>	<b>485 015 (8)</b>
2002	111	2 837 028	358 654 (21)	1 689 108 (75)	789 266 (15)
2003	107	2 357 440	428 691 (24)	1 372 525 (74)	556 224 (9)
2004	64	1 308 447	361 688 (21)	764 279 (38)	182 480 (5)
2005	41	945 304	304 705 (14)	573 999 (26)	66 600 (1)
2006	20	619 894	265 268 (9)	242 065 (9)	112 561 (2)
2007	40	1 121 543	475 915 (17)	583 628 (22)	62 000 (1)
2008	15	442 654	138 712 (6)	148 942 (6)	155 000 (3)
2009	21	673 189	80 200 (3)	363 071 (14)	229 918 (4)

<b>2010</b>	25	730 487	100 842 (5)	348 315 (16)	281 330 (4)
<b>2011</b>	1	65 000	0 (0)	65 000 (1)	0 (0)
<b>Total</b>	<b>1230</b>	<b>28 845 163</b>	4 439 724 (254)	18 532 809 (856)	5 872 630 (122)
<b>%</b>			<b>15,40</b> (21)	<b>64,25</b> (69)	<b>20,35</b> (10)

Source: External Auditor with data provided by the World Heritage Centre

### Part de l'assistance internationale dans le fonds du Patrimoine Mondial (1994- 2010)



Source : World Heritage Centre

**Evolution of Assistance budgets by biennial exercise (in USD)**

	Biennium 1994-1995	Biennium 1996-1997	Biennium 1998-1999	Biennium 2000-2001	Biennium 2002-2003	Biennium 2004-2005	Biennium 2006-2007	Biennium 2008-2009
<b>Total Budget (1)</b>	<b>5 845 000</b>	<b>6 500 000</b>	<b>8 811 750</b>	<b>9 348 000</b>	<b>8 418 445</b>	<b>6 382 470</b>	<b>6 588 526</b>	<b>7 249 041</b>
• Preparatory Assistance (PA)	300 000	475 000	600 000	675 000	770 000	670 000	741 816	867 180* (PA+Conservation management*)
• Technical Cooperation	1 540 000	1 560 000	2 252 500	2 100 000	1 088 595	645 000	374 878	
• Training	666 000	1 118 000	1 645 100	1 451 365	1 323 500	535 000	425 914	
• Promotion Assistance	0	0	225 000	160 000	140 000	110 000	25 000	
<b>Emergency Funds (3)</b>	<b>1 581 000</b>	<b>1 000 000</b>	<b>923 156</b>	<b>1 200 000</b>	<b>1 489 300</b>	<b>395 000</b>	<b>400 000</b>	<b>400 000</b>
<b>World Heritage total funds (1) + (3)= (4)</b>	<b>7 426 000</b>	<b>7 500 000</b>	<b>9 734 906</b>	<b>10 548 000</b>	<b>9 907 745</b>	<b>6 777 470</b>	<b>6 988 526</b>	<b>7 649 041</b>
<b>Total International Assistance (AI) (5)</b>	<b>4 087 000</b>	<b>4 153 000</b>	<b>5 645 756</b>	<b>5 586 365</b>	<b>4 811 395</b>	<b>2 355 000</b>	<b>1 967 608</b>	<b>1 800 000</b>
<b>Advisory Bodies (6)</b>	<b>1 379 000</b>	<b>1 339 000</b>	<b>1 991 150</b>	<b>2 531 635</b>	<b>2 293 350</b>	<b>2 104 150</b>	<b>2 889 602</b>	<b>3 499 930</b>
<b>Others (7)</b>	<b>1 960 000</b>	<b>2 008 000</b>	<b>2 098 000</b>	<b>2 430 000</b>	<b>2 803 000</b>	<b>2 318 320</b>	<b>2 131 316</b>	<b>2 349 111</b>
<b>% (5)/ (4)</b>	<b>55</b>	<b>55</b>	<b>58</b>	<b>53</b>	<b>49</b>	<b>35</b>	<b>28</b>	<b>17</b>
<b>% (6)/ (4)</b>	<b>19</b>	<b>18</b>	<b>20</b>	<b>24</b>	<b>23</b>	<b>31</b>	<b>41</b>	<b>46</b>
<b>% (7)/ (4)</b>	<b>26</b>	<b>27</b>	<b>22</b>	<b>23</b>	<b>28</b>	<b>34</b>	<b>30</b>	<b>38</b>
<b>% of PA / total AI</b>	<b>7</b>	<b>11</b>	<b>11</b>	<b>12</b>	<b>16</b>	<b>28</b>	<b>38</b>	<b>-</b>
<b>% of AU/ total AI</b>	<b>39</b>	<b>24</b>	<b>16</b>	<b>21</b>	<b>31</b>	<b>17</b>	<b>20</b>	<b>32</b>

Source : External Auditor with data provided by the World Heritage Centre

## Annex 4 : Evaluation of the effects of the Cairns-Suzhou and Christchurch Decisions

### Rate of examination of new nominations

- 1978: 2 per State Party
- 1988-1990s: « SPs to consider whether their cultural heritage is already well represented on the List and if so to slow down voluntarily”
- 1997: 58 nominations
- 1999: 70 nominations
- 2000: 80 nominations

Implementation TF (2000)	Cairns (2000)	Suzhou (2004)	Christchurch (2007)
<b>40 new nominations</b>	<b>30 new nominations</b> <b>1 per SP</b>	<b>45 new nominations</b> <b>2 per SP</b> <b>(1 natural)</b>	<b>45 new nominations</b> <b>2 per SP (without restriction)</b>
	<b>Plus referrals and deferrals</b>	<b>Includes referrals and deferrals</b>	<b>Includes referrals and deferrals</b>

Source : Mme Cameron, Chairperson of the 14th and 32nd sessions of the World Heritage Committee, holds the Canada Research Chair for Built Heritage at Montreal University; Evolution of the procedures of the World Heritage Convention, expert meeting in Bahrain, December 2010.

Number of nominations received for examination within the delay	Natural properties		Cultural properties		Mixed properties		Undetermined		Total
		%		%		%		%	
<b>2003</b>									
Total	14	<b>19.7</b>	46	64.8	6	8.5	5	7	71
Transmitted to Advisory Bodies	10	<b>18.9</b>	37	69.8	6	11.3	0	0	53 (74.6%)
<b>2004</b>									
Total	12	<b>19.7</b>	36	59	10	16.4	3	49.2	61
Transmitted to Advisory Bodies	10	<b>20.8</b>	32	66.7	6	12.5	0	0	48 (78.7%)
<b>2005</b>									
Total	12	<b>23.5</b>	34	66.7	4	7.8	1	2	51
Transmitted to Advisory Bodies	09	<b>26.4</b>	23	67.6	2	5.9	0	0	34 (66.7%)
<b>2006</b>									
Total	19	<b>29.2</b>	43	66.2	3	4.6	0	0	65
Transmitted to Advisory Bodies	11	<b>25</b>	32	72.7	1	2.3	0	0	44 (67.7%)
<b>2007</b>									
Total	17	<b>31.5</b>	36	66.7	1	1.9	0	0	54
Transmitted to Advisory Bodies	13	<b>31.7</b>	18	43.9	0	0	0	0	41 (75.9%)
<b>2008</b>									
Total	9	<b>20.45</b>	31	70.5	4	9	0	0	44
Transmitted to Advisory Bodies	6	<b>17.6</b>	25	73.5	3	8.8	0	0	34 (77.3%)
<b>2009</b>									
Total	13	<b>25</b>	35	67.3	4	7.7	0	0	52
Transmitted to Advisory Bodies	8	<b>22.2</b>	26	72.2	2	5.6	0	0	36 (69.2%)
<b>2010</b>									
Total	12	<b>23.1</b>	35	67.3	5	9.6	0	0	52
Transmitted to Advisory Bodies	10	<b>25.6</b>	26	66.7	3	7.7	0	0	39 (75%)
<b>2011</b>									
Total	6	<b>12.5</b>	36	75	6	12.5	0	0	48
Transmitted to Advisory Bodies	4	<b>12.1</b>	25	75.8	4	12.12	0	0	33 (68.8%)

Source : External Auditor with data provided from the World Heritage Centre



## Annex 5 : Advice from the Advisory Bodies and Committee decisions

### Evolution of divergence between Committee decisions and IUCN and ICOMOS advice

Year	Number of files presented to the Committee	Number of files actually analysed *	Divergence between the recommendations and the Committee decision *	Percentage
2001	45	45	2	4%
2002	15	15	2	13%
2003	45	40	5	12%
2004	53	48	11	23%
2005	56	45	7	15%
2006	39	32	12	37%
2007	45	36	13	36%
2008	47	43	11	25%
2009	40	29	9	31%
2010	42	38	17	44%
TOTAL	427	371	89	24%

\*excepting files withdrawn by the States (56 files over the period).

Source : External Auditor according to the recommendations and decisions communicated by the World Heritage Centre

### Analysis of the divergence between the advice of the Advisory Bodies and the Committee decisions in 2010

Reason	Advisory Body advice	Committee decision	Divergence
Inscription and approval of an extension	15	29	+14
Referral of examination	7	2	-5
Deferred examination	14	6	-8
No inscription or no approval of an extension	6	0	-6
Withdrawal	-	4	+4
Report	0	1	+1
TOTAL	42	42	

Source : External Auditor and the World Heritage Centre

## Annex 6 : Committee participation and nomination of properties

Number of terms of office in the World Heritage Committee *	Number of States Parties	% of States Parties / total
Five terms of office	1	0.5%
Four terms of office	7	3.7%
Three terms of office	8	4.3%
Two terms of office	22	11.8%
One term of office	43	23%
No term of office	106	56.7%
<b>TOTAL</b>	<b>187</b>	<b>100%</b>

\* The term of office 2009-2013 is included in the list.

Source : External Auditor with data from the World Heritage Centre

### States Parties having exercised more than three terms of office

State Party	Accession to the Convention	Number of terms of office	Total number of terms of office	Total number of properties inscribed
France	27 June 1975	5	25	33
United States	7 December 1973	4	23	20
Egypt	7 February 1974	4	23	7
Australia	22 August 1974	4	23	17
Brazil	1 September 1977	4	23	17
Mexico	23 February 1984	4	22	29
Italy	23 June 1978	4	21	43
Canada	23 July 1976	4	18	15
Tunisia	10 March 1975	3	17	8
Cuba	24 March 1981	3	16	9
Lebanon	3 March 1983	3	16	5
China	12 December 1985	3	16	37
Thailand	17 September 1987	3	16	6
Senegal	13 February 1976	3	15	5
Germany	23 August 1976	3	15	33
Nigeria	23 October 1976	3	12	2
Average	-	-	-	17.8

Source : External Auditor with data from the World Heritage Centre

**WH Inscriptions by Committee members vs. States Parties**

Year	inscriptions by COM members (incl. host nation)	inscriptions by host nation	inscriptions by Observer SP	percentage of inscriptions by COM members
2010	9	1	12	42.9
2009	10	2	18	35.7
2008	7	1	21	25.0
2007	7	-	15	31.8
2006	3	-	15	16.7
2005	9	1	15	37.5
2004	12	1	21	36.4
2003	9	-	15	37.5
2002	4	1	5	44.4
2001	7	-	23	23.3
2000	16	1	42	27.6
1999	16	-	33	32.7
<b>TOTAL</b>	<b>109</b>	<b>8</b>	<b>235</b>	<b>31.0</b>

Source : data communicated by IUCN

## Annex 7 : Funding

### Evolution of the approved budget of the World Heritage Centre (1994-2010)

	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
<b>Budget du CPM</b>			<b>\$12 079 116</b>		<b>\$15 523 291</b>		<b>\$19 926 600</b>		<b>\$24 872 400</b>		<b>\$24 867 000</b>		<b>\$30 471 500</b>		<b>\$38 296 894</b>		<b>\$48 120 707</b>	
Budget ordinaire	\$623,200		\$3 525 800		\$4 541 700		\$4 926 600		\$5 872 400		\$7 575 900		\$10 089 500		\$13 766 800		\$15 973 500	
Coût du Personnel non inclus*																		
Fonds du patrimoine mondial	\$7 914 043		\$8 553 316		\$10 981 591		\$12 369 199		\$9 907 745		\$8 417 215		\$8 368 596		\$9 107 263		\$8 656 283	
Ressources extrabudgétaires	N d		N d		N d		\$2 630 801		\$9 092 255		\$8 873 885		\$12 013 404		\$15 422 831		\$23 490 924	
Nombre de biens sur la Liste (en cumul)	439	468	505	551	581	629	690	721	730	754	788	812	830	851	878	890	911	

\* Document 27 C/5 (Programme and budget 1994-1995) does not separate personnel costs within the Cultural Sector – therefore it was not possible to identify personnel costs for WHC.

Source : World Heritage Centre according to approved budgets (Document C /5).

## World Heritage Convention Biennium 2010-2011

In thousands of USD dollars	World Heritage Fund		Extrabudgetary funds		UNESCO Regular Budget		Total
	A	A/D en %	B	B/D en %	C	C/D en %	D
<b>Action n°1 Support to Governing Bodies</b>							
Organisation of Meetings (1)	135 000	16.6	26 607	32.8	650 000		811 607
Studies and Evaluations (2)	0	0	66 855	87	10 000	13	76 855
Information Management (3)	200 000	59.7	0	0	135 000	40.3	335 000
<b>Sub-total Action n°1</b>	<b>335 000</b>	<b>27.4</b>	<b>93 462</b>	<b>7.6</b>	<b>795 000</b>	<b>65</b>	<b>1 223 462</b>
<b>Action n°2 Identification, Management and Promotion of World Heritage</b>							
2-1 Preparation and Assessment of Nominations (4)	2 667 677	57	1 525 255	32.6	483 790	10.3	4 676 721
2-2 Conservation, Management and Monitoring of Properties (5)	3 047 820	20	10 541 419	69.1	1 667 259	10.9	15 256 498
2-3 Capacity building (6)	684 860	34.9	890 595	45.4	384 140	19.6	1 959 595
2-4 Public Awareness and support (7)	337 000	38.7	503 799	57.9	28 919	3.3	869 718
<b>Sub-total Action n°2</b>	<b>6 737 357</b>	<b>29.6</b>	<b>13 461 068</b>	<b>59.1</b>	<b>2 564 107</b>	<b>11.3</b>	<b>22 762 532</b>
<b>Personnel and Operating Costs</b>							
Personnel	0	-	1 788 447	18.7	7 759 100	81.3	9 547 547
General Operating Expenses	0	-	23 993	3.9	594 133	96.1	618 126
UNESCO Common Charges	0	-	0	-	340 900	100	340 900
Provision for exchange rate function	400 000	100	0	-	0	-	400 000
<b>Sub-total Personnel and Operational Costs</b>	<b>400 000</b>	<b>3.7</b>	<b>1 812 440</b>	<b>16.6</b>	<b>8 694 133</b>	<b>8</b>	<b>10 906 573</b>
Earmarked Activities	261 991	100	-	-	-	-	261 991
Regular Programme and Budget directly managed by the Culture Sector	-	-	-	-	417 617	100	417 617
<b>Total</b>	<b>7 734 348</b>	<b>21.7%</b>	<b>15 366 970</b>	<b>43.2%</b>	<b>12 470 857</b>	<b>35%</b>	<b>35 572 175</b>

- (1) Includes World Heritage Committees, General Assembly, attendance of Committee members to meetings, attendance to extraordinary meetings, meetings with States Parties and with the Advisory Bodies
- (2) Includes Studies and Evaluations.
- (3) Includes Information Management and Retropective Inventories.
- (4) Includes ICOMOS and IUCN advisory services and 30% of International Assistance.
- (5) Includes ICOMOS and IUCN Reactive Monitoring missions, Cooperation with other Conventions and Organizations, Periodic reporting, Reactive and Reinforced Monitoring, Regional Programmes, follow up of Periodic reporting, in-Danger sites, 44.2% of International Assistance, Thematic Programmes and emergency international assistance.
- (6) Includes training activities of IUCN and ICCROM, 23.8% of international assistance and Education and World Heritage.
- (7) Includes 2% of International Assistance, Promotion of Partnerships, Awareness and publications and World Heritage Reference Manuals.

Source : External Auditor according to financial statements prepared by the UNESCO Bureau of the Comptroller (WHC-10/34.COM/16, Annex 3, Table n°3)

### Activities of Action 2 listed by region

In USD dollars	World Heritage Funds		Extrabudgetary Funds		UNESCO Regular Budget		Total	
<b>Activities Budgeted by Region</b>								
<b>Africa</b>	<b>300 000</b>	<b>2.9 %</b>	<b>3 586 657</b>	<b>79.3 %</b>	<b>636 900</b>	<b>14.1 %</b>	<b>4523 557</b>	<b>100 %</b>
2-1Credibility of the List	0		740		149 200		149 940	100 %
2-2 Conservation, management, monitoring of properties	300 000		3 585 917	<b>82 %</b>	487 700		4 373 617	100 %
<b>Arab States</b>	<b>160 000</b>	<b>15.2 %</b>	<b>579 891</b>	<b>55.3 %</b>	<b>309 480</b>	<b>29.5%</b>	<b>1049 371</b>	<b>100 %</b>
2-1Credibility of the List	0		35 659	<b>100</b>	0		35 659	100 %
2-2 Conservation, management and monitoring of properties	160 000		544 232	<b>53,7%</b>	309 480		1 013 712	
<b>Asia-Pacific</b>	<b>350 000</b>	<b>9.8 %</b>	<b>2 361 996</b>	<b>66 %</b>	<b>866 160</b>	<b>24.2 %</b>	<b>3 578 156</b>	<b>100 %</b>
2-1Credibility of the List	0		284 397	<b>89.7 %</b>	32 800	10.3 %	317 197	100 %
2-2 Conservation, management and monitoring of properties	350 000	10.7 %	2 077 599	<b>63.7%</b>	833 360	25.6 %	3 260 959	
<b>Europe-North America</b>	<b>20 000</b>	<b>9.1%</b>			<b>200 000</b>	<b>90.9%</b>	<b>220 000</b>	<b>100 %</b>
2-1Credibility of the List	0		0		0		0	100 %
2-2 Conservation, management and monitoring of properties	0		740	<b>0.5 %</b>	149 200	99.5 %	149 940	100 %
<b>Latin America- Caribbean</b>	<b>100 000</b>	<b>10.2 %</b>	<b>559 747</b>	<b>57 %</b>	<b>322 567</b>	<b>32.8 %</b>	<b>982 314</b>	<b>100 %</b>
2-1Credibility of the List	0		420 536	<b>95.7 %</b>	19 100	4.3%	439 636	100 %
2-2 Conservation, management and monitoring of properties	100 000	18.4 %	139 211	<b>25.7 %</b>	303 467	55.9 %	982 314	100 %
<b>Total Activities budgeted by region</b>	<b>930 000</b>	<b>9 %</b>	<b>7 088 291</b>	<b>68.5 %</b>	<b>2 335 107</b>	<b>22.6%</b>	<b>10 353 398</b>	<b>100 %</b>
<b>Activities not budgeted by region</b>								
<b>2-1Credibility of the World Heritage List</b>	<b>100 000</b>		<b>169 182</b>		<b>50 000</b>		<b>319 182</b>	<b>100 %</b>
2.1.1 Registration of nominations	0		0		50 000	100 %	50 000	100 %
2.1.2 Retrospective Inventory	100 000	100 %	0		0		100 000	100%
2.1.3 Global Strategy	0		169 182		0		169 182	100 %
<b>2-2 Conservation of properties</b>	<b>1 165 000</b>	<b>18 %</b>	<b>5 158 891</b>	<b>79.8 %</b>	<b>139 000</b>	<b>2.2%</b>	<b>6 462 891</b>	<b>100 %</b>
2.2.2 Reactive and Reinforced Monitoring	220 000	91.6 %	20 188	8.4%	0		240 188	100 %
2.2.4 In-danger sites	95 000	100 %	0		0		95 000	100 %
2.2.5 International Assistance	800 000	74.8 %	269 472	25.2 %	0		1 069 472	100 %

2.2.6 Thematic Programmes	50 000	1 %	4 869 231	96,3 %	139 000	2,7 %	5 058 231	100 %
<b>2-3 Capacity building</b>	<b>100 000</b>	<b>34.6 %</b>	<b>148 990</b>	<b>51.6 %</b>	<b>40 000</b>	<b>13.8 %</b>	<b>288 990</b>	<b>100 %</b>
2..3.1 Education	100 000	47.9 %	68 588	32.9 %	40 000	19.2 %	208 588	100 %
2.3.2 Capacity building	0		80 402	100 %	0	100 %	80 402	100 %
<b>2-4 Public Awareness, involvement and support</b>	<b>321 000</b>	<b>42.1 %</b>	<b>441 479</b>	<b>57.9 %</b>	<b>0</b>		<b>762 479</b>	<b>100 %</b>
<b>Total Activities not Budgeted by Region</b>	<b>1 686 000</b>	<b>21.5 %</b>	<b>5 918 542</b>	<b>75.6 %</b>	<b>229 000</b>	<b>2.9 %</b>	<b>7 833 542</b>	<b>100 %</b>
<b>Grand Total</b>	<b>2 616 000</b>	<b>14.4 %</b>	<b>13 006 833</b>	<b>71.5 %</b>	<b>2 564 107</b>	<b>14.1%</b>	<b>18 186 940</b>	<b>100 %</b>

Source : External Auditor with data from Document WHC-10/34.COM/16, Appendix 3 of Annex 3.

NB : The divergences with the data on Table 3 of Annex 3 result from a different breakdown by the World Heritage Centre for funding between Action 1 and Action 2, making a comparison of the two tables difficult

**WHC Programme and budget 2008-2009 – Situation as at 31 December 2008**

<b>In USD dollars</b>	<b>Extrabudgetary Funds approved</b>	<b>Expenditure of Extrabudgetary Funds</b>	<b>%</b>
2.1 Credibility of the World Heritage List 2.1.3 : Global Strategy	<b>2 616 914</b>	<b>1 256 119</b>	<b>48</b>
	2 616 914	1 256 119	
2.2 Conservation of WH properties	<b>15 066 583</b>	<b>7 231 960</b>	<b>48</b>
2.2.5 International Assistance: Preparatory	<b>6 342 697</b>	<b>3 044 494</b>	<b>48</b>
Personnel costs	<b>4 217 528</b>	<b>2 153 065</b>	<b>51.1</b>

Source : External Auditor with data from the World Heritage Centre

**WHC Programme and budget 2006-2007 - Situation as at 31 December 2006**

<b>In USD dollars</b>	<b>Extrabudgetary Funds approved</b>	<b>Expenditure of Extrabudgetary Funds</b>	<b>%</b>
2.1 Credibility of the World Heritage List 2.1.2 Global Strategy 2.1.3 International Assistance : Preparatory	<b>3 465 286</b>	<b>2 074 934</b>	<b>60</b>
	928 903	668 456	72
	2 536 383	1 406 478	55
2.2 Conservation of WH properties	<b>22 463 632</b>	<b>13 886 662</b>	<b>62</b>
Personnel costs	<b>1 715 883</b>	<b>896 0234</b>	<b>52</b>

Source : External Auditor with data from the World Heritage Centre



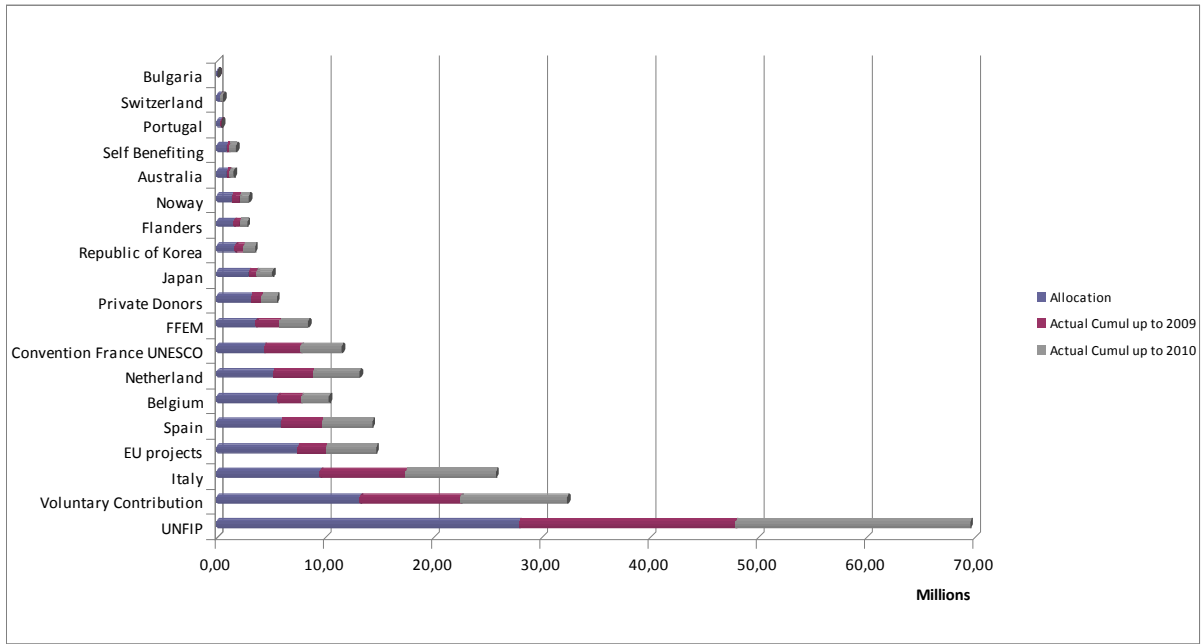
**Programme and Budget Forecast 2010-2011 - Situation as at 31 May 2010**

<b>In USD dollars</b>	<b>Extra-budgetary Funds approved</b>	<b>Expenditure of Extrabudgetary Funds</b>	<b>%</b>
2.1 Credibility of the World Heritage List (2.1.2 Global Strategy)	<b>590 458</b>	<b>136 749</b>	<b>23</b>
2.2.5 International Assistance: Preparatory	<b>320 056</b>	<b>160 893</b>	<b>50</b>
2.2 Conservation of WH properties	<b>11 825 906</b>	<b>3 803 903</b>	<b>32</b>
Personnel costs	<b>1 812 440</b>	<b>804 544</b>	<b>44</b>



Source : External Auditor with data from the World Heritage Centre

**List of WHC Extrabudgetary projects open between 1 January 2008 and 7 March 2011 (Source : centre du patrimoine mondial)**

	<b>Allocation</b>	<b>Actual Cumul up to 2009</b>	<b>% Consommation Allocation 2009</b>	<b>Actual Cumul up to 2010</b>	<b>% Consommation Allocation 2010</b>
UNFIP	27 880 777,00	19 987 494,43	<b>72%</b>	21 635 955,57	<b>78%</b>
Voluntary Contribution	13 202 115,63	9 267 223,99	<b>70%</b>	9 831 092,95	<b>74%</b>
Italy	9 517 483,00	7 872 587,09	<b>83%</b>	8 324 347,94	<b>87%</b>
EU projects	7 417 711,26	2 592 943,28	<b>35%</b>	4 660 943,16	<b>63%</b>
Spain	5 862 470,31	3 821 649,01	<b>65%</b>	4 610 655,50	<b>79%</b>
Belgium	5 559 437,44	2 201 486,62	<b>40%</b>	2 560 160,24	<b>46%</b>
Netherland	5 125 618,37	3 735 156,28	<b>73%</b>	4 297 288,12	<b>84%</b>
Convention France UNESCO	4 311 718,00	3 389 733,52	<b>79%</b>	3 800 545,43	<b>88%</b>
FFEM	3 533 157,94	2 200 190,45	<b>62%</b>	2 661 846,60	<b>75%</b>
Private Donors	3 159 856,62	945 949,74	<b>30%</b>	1 402 329,37	<b>44%</b>
Japan	2 883 824,33	752 659,85	<b>26%</b>	1 475 221,33	<b>51%</b>
Republic of Korea	1 653 760,00	767 749,25	<b>46%</b>	1 067 769,62	<b>65%</b>
Flanders	1 528 613,00	544 726,50	<b>36%</b>	688 936,75	<b>45%</b>
Noway	1 363 513,97	664 440,87	<b>49%</b>	868 904,15	<b>64%</b>
Australia	892 472,90	247 367,80	<b>28%</b>	373 475,38	<b>42%</b>
Self Benefiting	839 323,21	268 610,17	<b>32%</b>	637 548,39	<b>76%</b>
Portugal	327 047,00	31 967,74	<b>10%</b>	47 453,22	<b>15%</b>
Switzerland	287 526,74	67 805,01	<b>24%</b>	190 696,69	<b>66%</b>
Bulgaria	50 748,00	0,00	<b>0%</b>	0,00	<b>0%</b>
<b>Total</b>	<b>95 397 174,72</b>	<b>59 359 741,60</b>	<b>62%</b>	<b>69 135 170,41</b>	<b>72%</b>



Source: World Heritage Centre

 <p>To</p>	<p><b>External Auditor for the United Nations Educational, Scientific and Cultural Organization</b></p>	
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**INDEPENDENT EVALUATION BY THE UNESCO EXTERNAL  
AUDITOR**

**VOLUME 2 – IMPLEMENTATION OF THE PARTNERSHIPS  
FOR CONSERVATION INITIATIVE (PACT)**

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#### **4. Framework and parameter of the evaluation**

10. The General Assembly of States Parties to the World Heritage Convention requested that « an independent evaluation by UNESCO's external auditor on the implementation of the Global Strategy for a credible, representative and balanced World Heritage List (hereafter called the « Global Strategy ») from its inception in 1994 to 2011 and the Partnership for Conservation Initiative (PACT), based on indicators and approaches to be developed during the 34th and 35th sessions of the World Heritage Committee »<sup>209</sup> be presented at its 18th session. The World Heritage Committee adopted the terms of reference for the evaluation at its 34th session (Brasilia, 2010)<sup>210</sup>.

11. The UNESCO External Auditor proceeded with the requested evaluation, in application of Article 12, paragraph 12.6 of the Financial Regulations of the Organization. The present information document contains the observations regarding the evaluation of the PACT Initiative. The evaluation of the implementation of the Global Strategy of the List is the subject of a separate volume. The synthesis report presented to the General Assembly of States Parties however, concerns the entire evaluation.

12. The two parts of the evaluation are obviously linked. The protection of World Heritage is a major objective of UNESCO since the 1972 Convention. It has already led to the listing of nearly 1,000 sites of increasingly diversified categories. The success of the List is such that the listing constitutes a major stake, at the risk that the protection becomes a secondary concern once listing is obtained. At the time of the launching of the Initiative, the Director-General declared : « Through its partnership programme for the conservation of World Heritage, UNESCO endeavours to encourage, develop and strengthen cooperative efforts with civil society in order to help ensure long-term conservation of heritage and accomplish our mission to safeguard heritage.<sup>211</sup> »

#### **5. Evaluation of the Partnerships for Conservation Initiative (PACT)**

1 The evaluation of the PACT Initiative comprised three successive missions, the study of the different statutory documents, progress reports, former evaluations and information systems relating to the Initiative, the examination of pertinent budgetary documents and financial statements, and finally the analytical review of 33 of the 59 PACT partnerships.<sup>212</sup>

2 The audit teams held numerous interviews with supervisors, programme specialists and collaborators at the World Heritage Centre (WHC). Working meetings were also held with other services of the Culture Sector, the Sector of External Relations and Public Information (ERI), Bureau of Strategic Planning (BSP), Bureau of Financial Management (BFM) and the Bureau of Human Resources Management (HRM). Meetings were held with the Assistant-

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<sup>209</sup> 17<sup>th</sup> Resolution 17 GA 9, paragraph 16 (Document WHC-09/17.GA/10)

<sup>210</sup> Decision 34 COM 9A (Document WHC-10/34.COM/20)

<sup>211</sup> Mr Koichiro Matsuura, preface of the report *World Heritage 2002 – Shared Legacy, Common Responsibility* (International Congress organised on the occasion of the 30th anniversary of the World Heritage Convention, Venice, 14-16 November 2002).

<sup>212</sup> The Partnership list examined is annexed.

Directors General responsible for Strategic Planning and Culture. Meetings were also held with two delegations (France and Saint Lucia).

3. Preliminary observations were the subject of discussions with the World Heritage Centre and the Bureau for Financial Management (BFM) and comments were taken into consideration.

4. The terms of reference of the evaluation highlight 13 points<sup>213</sup> which shall be examined successively.

5. To begin with, two observations should be made. The World Heritage Committee had welcomed in June 2002 the World Heritage Partnership Initiative (WHPI) « on an experimental basis »<sup>214</sup> and in July 2005 it adopted the regulatory framework for the Initiative which became PACT<sup>215</sup>. However, at that time it concerned a relatively limited initiative. In December 2010, the World Heritage Centre submitted a table containing 92 agreements or amendments which listed partnerships with 59 entities. 35 of these 59 partnerships do not involve financial payments to UNESCO. However, most of them are of some interest. Nevertheless, it is noted that the PACT Initiative has only secured USD 4.15 Million for UNESCO in six years (2005-2010), approximately USD 690,000 per year.

6. The second preliminary observation is that, however helpful the persons at the World Heritage Centre interviewed by members of the audit team were, and their cooperation is appreciated, a general weakness in the filing system for the partnerships has to be noted. This situation is an obstacle to the traceability in the use of resources and even hinders the monitoring of partnerships.

## 1. PACT contribution to the success of specific initiatives

« 1. To evaluate how far the following processes have been achieved through the specific contribution of the PACT Initiative:

2. Broaden awareness of the World Heritage PACT in the private sector through a dedicated awareness programme of outreach, and meetings and media coverage, including articles, films and television programmes;
3. Arrive at a position where World Heritage is a feature in statements by world political and business leaders and other important personalities».

7. Several partnerships, notably with the press and media bodies, propose the promotion of the Convention. This is the case as regards the partnership, without financial income, with a Japanese public radio and television company, for the production of a collection of high

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<sup>213</sup> Decision 34 COM 9A retained the 10 points proposed in Document WHC-10/34.COM/9A, amended point 5 and added three points (identified below as points 11 to 13).

<sup>214</sup> Decision 26 COM.17.3, 26<sup>th</sup> session (Budapest, June 2002)

<sup>215</sup> Decision 29 COM 13, paragraph 5, 29<sup>th</sup> session (Durban)

definition television images on World Heritage sites, distributed by Japanese television, then put on line on the UNESCO Web site and another site<sup>216</sup>.

8. Nevertheless, the PACT Initiative remains little known, including within the Organization. In several files examined, the objective to promote World Heritage takes on the character of a standard clause without convincing justifications.

## 2. PACT contribution towards achieving specific objectives

« 2. To evaluate how far the following achievements have been met through the specific contribution of the PACT Initiative:

4. develop major World Heritage educational and awareness raising partnerships with NGOs or private sector organizations, including the media;
5. develop major capacity building partnerships with a NGO or with a private sector partner;
6. generate new resources (measured in cash and in-kind) equivalent to the World Heritage Fund since 2003».

9. From the outset it should be underlined that the list of 59 partnerships communicated by the WHC that has served as a basis for the evaluation is heterogeneous. It thus comprises interesting cooperation with space agencies in the framework of the « open initiative » monitored by the Science Sector<sup>217</sup> with the European Space Agency (ESA)<sup>218</sup>. But cooperation with other space agencies, just as pertinent for World Heritage conservation, is not listed.

10. The partnership list also comprises general cooperation with United Nations agencies (UNDP/FEM), that cannot be analysed as PACT partnerships<sup>219</sup>. The list includes the United Nations Fund for International Partnerships (UNFIP/FNUPI) interface between the United Nations and the United Nations Fund (UNF/FNU), that has provided strong support to UNESCO (education, sciences, World Heritage) through a framework agreement in March 1999, notably for biodiversity conservation in World Heritage sites<sup>220</sup>. The WHC does not manage this important file and the UNFIP is not a private partner.

11. The WHC requested the audit teams to remove the partnership with the Nordic World Heritage Fund (NWHF)<sup>221</sup> that had been included in tables contained in the list submitted for the evaluation. This list also included a contract with a fund-raising company and agreements contracted long before the creation of PACT<sup>222</sup>.

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<sup>216</sup> Nippon Hoso Kyokai – NHK Partnership (2005, renewed in 2009), 700 programmes produced since 2004, 76.92 million Japanese television audience in December 2010, partnership monitored by the Bureau of External Relations and Public Information (ERI)

<sup>217</sup> Policy and Sustainable Development Division (SC/PSD)

<sup>218</sup> *The open initiative on the use of space technologies to support the World Heritage Convention* (Agreement of 18 June 2003)

<sup>219</sup> See Administrative Manual, Article 5.8, paragraph 1.2 on the definition of the private sector.

<sup>220</sup> For example in the Democratic Republic of the Congo (see 184 EX/8 Part III, paragraph 80)

<sup>221</sup> Nordic World Heritage Fund, Regional Centre under the auspices of UNESCO (Category 2), Resolution 32 C/36 (Last report: WHC-10/34.COM/INF.5B)

<sup>222</sup> 1993, 1996, 1997, 1999



12. Most of the partnerships examined are connected with the objective of communication and visibility. Partnerships with the media have been mentioned (point 1 above).

13. Capacity building appears less frequently but is present in major partnerships: conservation of properties and capacity building through a fellowship programme for site managers<sup>223</sup>, capacity building in partnership with an NGO, associating the Natural and Exact Sciences Sector<sup>224</sup>.

14. With regard to the level of income secured by PACT, a methodological precision must be made. The figures that follow concern the years 2005-2010 and not the period 2003-2010 indicated in the terms of reference. The reason being that a reliable source of information was required, hence data has been extrapolated from the financial and budgetary system (FABS) of the Organization from 2005 and then re-treated.

15. Between 2005 and 2010, PACT secured USD 4 146 139 . Five partnerships have secured 67 % of the resources. The first ten partnerships secured 87.3 %.

#### **Income secured by PACT (2005-2010), in USD**

	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>Total</b>
Vocations Patrimoine	-	444 606	278 490	448 345	-	-	1 171 441
Jaeger-LeCoultre	-	-	-	-	369 467	169 420	538 887
Evergreen Digital	85 130	163 613	-	109 990	119 990	-	478 723
Kobi Graphics	53 307	53 097	53 031	53 494	53 835	55 078	321 842
Jet Tour	-	124 072	73 747	-	-	67 477	265 296
Leventis Foundation	-	-	-	116 580	118 577	-	235 157
Tokyo Broadcasting System	-	80 000	40 000	40 000	40 000	40 000	240 000
Nokia	-	-	-	-	90 361	69 445	159 806
Hewlett Packard	-	55 000	-	55 000	-	-	110 000
Trip Advisor	-	-	-	-	100 000	-	100 000
Other partnerships	63 300	37 686	88 623	7 417	177 798	129 390	502 214
Interest	-			12 295	6 752	1 727	20 774
<b>Total</b>	<b>201 737</b>	<b>958 075</b>	<b>533 890</b>	<b>843 121</b>	<b>1 076 779</b>	<b>532 537</b>	<b>4 146 139</b>

Source : UNESCO (BFM & WHC) – External Auditor calculations

16. In comparison, the World Heritage Fund, to which the terms of reference of the evaluation refer, encashed USD 25.65 M of income from 2004 to 2009<sup>225</sup>.

17. Several partnerships secure benefits in kind or economies, but they are not valorised. However, these contributions can represent an important contribution, for example: valuable

<sup>223</sup> Association Vocations Patrimoine – AXA – Mazars (2006-2009, USD 1.17 M)

<sup>224</sup> International Astronomical Union (IAU)

<sup>225</sup> USD 9.03 M income for the biennium 2008-2009 (185 EX/25 Part I, Table 1.3.2, and WHC-10/34.COM.16, state 1), USD 8.51 M in 2006-2007 and USD 8.11 M in 2004-2005 (180 EX/33, 175 EX/32 and WHC-08/32.COM/16A)

numismatic coins<sup>226</sup>, part-time secondment of a person to follow-up on cooperation and prepare documents<sup>227</sup>, publication of articles on properties in a national newspaper.

### 3. Respect of the regulatory framework

« 3. Evaluate how the fundamental principles of the regulatory framework for PACT, adopted by the 29th session of the World Heritage Committee (2005) have been respected. »

18. As is emphasized in the document presented at the 29th session, the « fundamental principles » of the regulatory framework adopted in 2005<sup>228</sup> reiterate the indications announced at the United Nations level<sup>229</sup> and for UNESCO. All partnerships should respect five rules.

19. First rule: clearly articulate the objectives of the cooperation. Several of the agreements examined are drafted in a confused or vague manner. The expertise of the Advisory Bodies could be beneficial in this respect; in the files examined there was no trace of such a consultation.

20. Second rule: clear delineation of responsibilities and roles. The responsibility as regards obligatory accountability is frequently neglected (see points 8 to 11).

21. Third rule: Maintain integrity and independence and the impartiality of UNESCO. No flagrant infringement has been recorded in the sample. But a deontological framework would be desirable (see final observations).

22. Fourth rule: No unfair advantage: The WHC is more reactive than proactive and initiative generally comes from the private partner (see points 7 and 8). The question then is what knowledge does the private sector have about the PACT Initiative ? For several major partnerships, indeed, the question « Why this partner rather than another ? » only receives as response, with the current mechanism, that working relations or common concerns already exist or have existed.

23. Fifth rule: Transparency. The quality of the databases remains unsatisfactory. Progress should be made for information for States Parties and national commissions (see point 13).

24. In the sample, no partnership « with entities whose activities are incompatible with the objectives and principles of UNESCO » was noted.

### 4. Relative impact on partnerships

« 4. Evaluate the relative impact of partnerships towards:

7. increased visibility of World Heritage;

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<sup>226</sup> “Coins given to UNESCO to serve as gifts for DIR/WHC governmental and other partners” (Monnaie de Paris) [An inventory of these coins, signed by the WHC Director, was transmitted to the audit team.]

<sup>227</sup> Partnership with the German Federal Environmental Foundation (DBU)

<sup>228</sup> Decision 29 COM 13 (Durban, 2005), Document WHC-05/29.COM/13

<sup>229</sup> Guidelines on Cooperation between the UNO and the Business Community (July 2000, revised in November 2009), *The 10 principles of the United Nations Global Pact* (<http://business.un.org/fr/documents/guidelines>)

8. increased use of the UNESCO/WHC emblem<sup>230</sup>;
9. rate of implementation of projects developed using funds generated through partnerships ».

25. Some partnerships enable the development of communication tools (Web, cell phones) that provide information on World Heritage sites<sup>231</sup>. However, there is sometimes a divergence between « the objective to raise public awareness on World Heritage » and the extreme modesty of the results: sales of only a few prestige, luxury items, and income for UNESCO from USD 10,000 to 20,000 a year.

26. The analysis of budgetary data highlights the positive but limited effect of leverage of the PACT Initiative. The comparison between salary expenditure committed to obtain and manage the PACT partnerships and the income secured by PACT reveals a ratio of 2.09 for the period 2005-2010: a dollar spent in prospection and management enables the recovery of an additional USD 1.09. In other words, staff expenditure for prospection and management (not including other costs) corresponds to 48% of the PACT income.

#### Leverage effect on staff costs

	2005	2006	2007	2008	2009	2010	Total
PACT income (USD)	201 737	958 075	533 890	843 121	1 076 779	532 536	4 146 139
Personnel costs	224 859	240 526	439 756	401 894	366 696	314 797	1 988 528
<i>Including RP personnel (USD)</i>	<i>148 818</i>	<i>162 603</i>	<i>292 921</i>	<i>271 211</i>	<i>284 734</i>	<i>214 398</i>	<i>1 374 685</i>
Income/expenditure	0.90	3.98	1.21	2.10	2.94	1.69	2.09

Source : UNESCO (WHC, BFM, HRM) – External Auditor calculations

27. This very mediocre ratio does not take into account the income in-kind for PACT, which can be important (see above).

## 5. Use of funds and traceability

« 5. Provide an analysis of the use of funds (projects vs non-earmarked funding for the Centre) and their traceability. »

### ❖ Monitoring of PACT partnerships

28. The PACT team does not employ a clear filing system for documents relating to its activities. Therefore, it is very difficult to obtain documents concerning some partnerships<sup>232</sup>. The WHC explained that the computerized stockage of information has not been maintained in a coherent manner. This results in a loss of time for the programme specialists and collaborators of the Centre who need to be conversant with the partnerships.

<sup>230</sup> World Heritage Centre

<sup>231</sup> Examples : Nokia and NHK Partnerships

<sup>232</sup> « Colleagues concerned have not retained the information on other exchanges. There is no report on the partnership. After the signature of the agreement protocol, the partnership was inactive [...]. » (Response concerning a partnership with a NGO)

**Recommendation n°1 : proceed with a clear filing system of documents relating to PACT and ensure the safeguarding of computerized information.**

❖ Diverse conditions for the use of funds

29. The PACT programme comprises six active Funds-in-Trust (49.8 % for the period)<sup>233</sup>. Specific financial statements are edited for each of them by the Bureau of Financial Management (BFM).

30. Eight earmarked funds exist (14.6 %)<sup>234</sup>. The WHC explained that these earmarked funds are not the subject of a specific report and are justified by an annual financial statement, as for non-earmarked funds or « for promotional activities » (35.6%). Since 1 January 2009, a 10% deduction is operated over the board to cover internal costs.

❖ Traceability

31. Traceability of the use of resources has still to be assured. A Funds-in-trust arrangement finances the post of the programme specialist responsible for the World Heritage « marine programme »<sup>235</sup>. But several back-and-forths between accounting services (Treasury, BFM) and Operational services (WHC Administrative Unit, and partnership managers) are frequently required to identify the origin of funds received by UNESCO and their budgetary allocation, which conditions their use. Difficulties with regard to appropriations are even greater when several partnerships with the same donor are active and the payments imprecisely marked.

32. Moreover, some budgetary codes do not only cover PACT income. A manual manipulation is therefore necessary to be able to dispose of the consolidated financial data. The same difficulty exists for expenditures. In addition, staff salaries are treated by the budgetary and financial system FABS at the level of the budget code and not the sub-code<sup>236</sup>.

33. Finally, some payments transit through a suspense account. The marking of these internal transfers is not always sufficiently clear to ensure the traceability of funds.

*34. Finally, no-one in the PACT Unit nor in the Administrative Unit of the World Heritage Centre had available during the period under examination a financial chart showing the amount of income expected for each partnership. The Deputy Director for Management has since requested that such a chart be used.*

35. This chart should be completed by a valorisation, as strict as possible, of partnerships in kind, and the necessary methodological tools should be available from the outstart of negotiations.

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<sup>233</sup> Leventis Foundation, Association Vocations Patrimoine, International Herald Tribune – Jaeger-LeCoultre, Nokia (2010), Trip Advisor (2010) and World Sky Race

<sup>234</sup> *Earmarked funds* : Big Image, Jet Tours, Kobi Graphics, Hewlett Packard, Maar, Nokia (2009), Our Place, Trip Advisor (2009)

<sup>235</sup> This observation of traceability leaves unanswered the question of extrabudgetary funding for the post, quasi permanent, of a WHC programme specialist.

<sup>236</sup> A study is underway on this point with the Bureau of Financial Management (BFM).

**Recommendation n°2 : establish a reporting tool from data contained in the financial and budgetary system FABS that feeds reliable information on partnerships into a database for the Secretariat (BSP/CFS<sup>237</sup>).**

❖ Expenditures

36. Budgetary and accountancy monitoring of the PACT Initiative is carried out using numerous budgetary codes (and sub-codes). The conditions for the use of funds are very variable from one partnership to another (see above). Their consolidation does not always provide pertinent financial information on expenditures. In particular, the balance of unused credits is not fully available for use.

37. With the benefit of these comments, the table below shows total expenditures<sup>238</sup>, all funds merged, allocated to the PACT between 2005 and 2010, as well as the balance of unused funds over the period.

Expenditures incurred in the PACT framework (2005-2010), in USD

<i>USD</i>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>Total</b>
<b>Income</b>	<b>201 737</b>	<b>958 075</b>	<b>533 890</b>	<b>843 121</b>	<b>1 076 779</b>	<b>532 537</b>	<b>4 146 139</b>
Staff	91 556	231 851	275 440	219 311	231 696	416 261	1 466 115
<i>International experts</i>	68 736	135 328	142 604	144 703	220 553	352 531	1 064 455
<i>Technical Administration</i>	15 626	70 284	100 473	58 836	4 780	52 270	302 269
<i>Mission costs</i>	7 194	26 239	32 362	15 773	6 363	11 460	99 391
Service costs	28 207	108 857	274 626	309 122	117 663	170 678	1 009 153
Training	4 970	8 967	10 692	9 115	-	-	33 744
Equipment	45 324	7 741	11 691	6 382	2 276	2 508	75 922
Miscellaneous	19 972	5 142	28 699	22 228	6 319	645	83 005
Programme support	-	18 965	32 986	42 621	27 675	77 227	199 474
Staff salaries	-	-	-	-	78 165	78 597	156 762
<b>Total expenditures</b>	<b>190 029</b>	<b>381 523</b>	<b>634 134</b>	<b>608 780</b>	<b>463 794</b>	<b>745 916</b>	<b>3 024 177</b>
<b>Balance</b>	<b>11 708</b>	<b>576 552</b>	<b>-100 244</b>	<b>234 341</b>	<b>612 985</b>	<b>-213379</b>	<b>1 121 962</b>

Source : UNESCO (WHC & BFM) – External Auditor calculations

38. A sample of 45 contracts attributed to non-earmarked funds was examined. The principal expenses concern the use of consultants and external providers for publication tasks (drafting, formatting, translation, diffusion, Web site and database conception). Some providers participate in support functions (computer tasks) at the World Heritage Centre.

<sup>237</sup> Bureau of Strategic Planning – Division of Cooperation with Extrabudgetary Funding Sources

<sup>238</sup> Grouped by major categories (budgetary lines)

## 6. Human resources

« 6. Evaluate the capacity of the World Heritage Centre in terms of the level of its human resources, to deal with a high volume of partnerships. »

39. In January 2002, the Director of the World Heritage Centre decided to group the activities relating to promotion, tourism and partnerships. Attached to the Deputy Director, the new unit (three persons) had the main task of preparing the Venice Conference (30th anniversary of the 1972 Convention). The team responsible for fund-raising became the PACT Unit in October 2003<sup>239</sup>. It then comprised five persons. None of them had specific knowledge of the economic world.

40. At the end of 2004, the PACT team numbered one person under a temporary contract, two supernumeraries and a seconded staff member. There was no regulatory work chart, nor a person responsible for the Unit, unless it was the WHC Director himself. In May 2005, the PACT unit was integrated into the PPE Unit « Promotion, Partnerships, Education » supervised by a P-3 programme specialist. In July 2005 one of the members of the team was appointed to a P-2 post obtained by the WHC. Due to the double constraint of a restrictive post description and internal recruitment, only a person from the team could be appointed.

41. At end 2007, the PACT team numbered only one permanent member. It then became CEP (Communication, Education, Partnership), and since 2008 the unit is supervised by a P-3 specialist.<sup>240</sup> It has since been attached to the Deputy Director responsible for management. In the second half of 2010, a person was recruited on a supernumerary basis for the PACT activity.

42. The functioning of the PACT team is mainly based on the recruitment of consultants. Anomalies were noted and have already called for recommendations by the External Auditor during earlier audits: a succession of consultant contracts, then temporary or supernumerary contracts that enable temporary staff to remain several years in UNESCO<sup>241</sup>, services required that correspond to permanent post descriptions, lack of competition, dissimulated by the use of the same « concurrent » CVs.

43. The PACT Initiative has support – and in a legitimate and appreciable manner – from the programme specialists of the World Heritage Centre and other services and sectors. In fact, frequent proposals for initiatives for partnerships originate from these sources. But coordination is usually after the fact rather than prior to it.

## 7. Increase in value of partnerships

« 7. Evaluate the relative increase in value of World Heritage partnerships over time (in financial terms). Determine indicators that would allow such a comparison (size of company, duration of partnership, value of activities undertaken). »

44. The table of resources secured by the PACT Initiative (see above) does not demonstrate a marked tendency for increase : USD 202K in 2005 (end of the experimental period), USD

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<sup>239</sup> Decision of the WHC Director (WHC/4/09.03)

<sup>240</sup> Post reclassified to P-4 level in February 2010

<sup>241</sup> Example: a person employed as a consultant from 1997 to 2002, on a temporary contract from 2003 to 2005, appointed at that date to a permanent post

958K in 2006, USD 534K in 2007, USD 843K in 2008, USD 1,077K in 2009, USD 533K in 2010. Expected payments for 2010 from major partnerships were only received in 2011.

47. PACT should be « a new systematic approach to partnerships», as requested by the Committee in 2002<sup>242</sup>. The internal evaluation of PACT presented in 2007 to the World Heritage Committee observed: « The lack of benchmarks and standardized approaches, especially as concerns the development of partnerships with the corporate sector, can create difficulties in evaluating partnership potential. Additional tools and comparison models are needed to minimize difficulties and ensure better management of time and resources ».<sup>243</sup>

48. Generally, the initiative comes from the private sector: direct contact between the entity or the NGO and the WHC programme specialist or the PACT Unit. The World Heritage Centre has a more reactive attitude than a proactive one<sup>244</sup>: the partnerships proposed are not necessarily those that would be given the most importance. There is a risk of accumulation of small projects with servicing being as costly for UNESCO as bigger ones, but which have minimal impact.

49. The files examined generally do not contain any written trace of an analysis of the situation, potential or strategy of the partner companies, nor a cost/benefit analysis. In particular, the costs and investment of time of the programme specialist are not assessed, even in the case of the renewal of a partnership.

50. Until recently, the PACT team only had available a list of entities to prospect established in 2006/2007 by a consultant. The only outline for operational planning submitted at the beginning of the audit dated from 2004. However, at the end of 2010 and in 2011, the World Heritage Centre initiated a more proactive attitude, and planned analysis and prospection for partnerships which has been presented to the audit teams.

## 8. Comparison with other mechanisms

51. « 8. Evaluate PACT's performance against other similar programmes within UNESCO, and then also possibly within the UN».

52. The files do not contain a clear picture of the negotiation procedure and preparation of the agreements. The involvement of the support sectors<sup>245</sup> is often late in the process. For one of the partnerships examined, five months were required to obtain 11 visas and all the signatures; the file contains the trace of intervention by 29 people in the instruction and decision circuit.

53. The provisions of the agreements examined are often imprecise with regard to accountability obligations and result indicators. Several of the partnerships examined did not have written and signed agreements, or amendments for renewal established within the deadline, which has led to the need for regularisation. The signatory level is variable.

54. The World Heritage Centre emphasized to the External Auditor the extreme « absence of standardised approaches and strategy at the level of the Organization. This does not facilitate the task for PACT, nor for the other sectors, or the statutory directors such as the Executive Board or the World Heritage Committee. A number of issues linked to the evaluation of

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<sup>242</sup> 26<sup>th</sup> session (Budapest), Decision 26 COM 17.3, paragraph 1

<sup>243</sup> 31<sup>st</sup> session (Christchurch), Document WHC-07/31.COM/15 (paragraph III.4)

<sup>244</sup> A «more proactive approach » was desired by the internal evaluation of 2007 (WHC-07/31.COM/15, § 3).

<sup>245</sup> Bureau of Strategic Planning (BSP/CFS), Service of International Standards and Legal Affairs (LA)

partnerships and capacity building at the level of UNESCO are still being developed (ref. working group established in 2010 by the Director-General on UNESCO partnerships)".<sup>246</sup>

55. The article « private sector » of the Administrative Manual (point 5.8)<sup>247</sup> indicates provisions and recommendations that could be usefully implemented for the PACT mechanism: role of the focal point of the Division for Cooperation with Extrabudgetary Funding Sources<sup>248</sup>, conducting an analysis to compare benefits and risk at an early stage of the negotiation<sup>249</sup>, respect of the delegation of authority and signatures for agreements and amendments, and consultation with national commissions concerned.

56. However, this article of the Administrative Manual does not contain an analysis of the partnership process. It should be made more precise in order to provide an operational guide for the managers of partnerships, in particular for the definition of objectives and modalities of the partnership, the selection of the partner, risk analysis, the establishment of a monitoring mechanism for the partnership and the final evaluation of the results obtained. The managers should also be able to seek expertise, technical assistance and management tools from the « focal point ».

**Recommendation n°3 : implement the recommendations of the Administrative Manual for private sector partnerships: role of the focal point of the Division of Cooperation with Extrabudgetary Funding Sources, respect of the delegation of power of authority, consultation with national commissions.**

**Recommendation n°4 : make more precise the provisions of the Administrative Manual so that it constitutes an operational guide for managers of private sector partnerships, in particular for the definition of the objectives and modalities of the partnership, the selection of the partner, the comparison of costs and benefits, the risk analysis, the monitoring mechanism for the partnership and the final evaluation of the results obtained.**

## 9. Contribution towards the accomplishment of the Main Lines of Action

« 9. Evaluer how PACT has contributed to the achievement of UNESCO's MLAs , and other UNESCO and/or United Nations goals. »

57. When, in June 2002, on an experimental basis, the Committee welcomed the so-called World Heritage Partnership Initiative (WHPI), it emphasized that the initiative should « support the strategic objectives adopted by the Committee»<sup>250</sup>. The PACT Initiative is inscribed in the framework of Main Line of Action 1 of Major Programme IV : « Protecting and conserving immovable cultural and natural properties, in particular through the effective implementation of the World Heritage Convention ». It can more specifically contribute

<sup>246</sup> Note WHC/CEP of 21 January 2011

<sup>247</sup> Manual published in November 2009 (updated in June 2010)

<sup>248</sup> BSP/CFS/MLT (Section for Multilateral and Private Funding), point 5.8, paragraphs 1.1, 4.5 and 5.1.c ;

See also DG/Note/10/23 of 3 June 2010

<sup>249</sup> Point 5.8, paragraph 4.3

<sup>250</sup> Decision 26 COM 17.3, paragraph 4



towards the improvement of conservation through capacity building activities and training, the development of education, communication and knowledge management tools relating to World Heritage and expansion of the partnership network<sup>251</sup>.

58. Several PACT partnerships have very clearly contributed to the development of communication tools<sup>252</sup> but also to education and knowledge management. The contribution to capacity building is valid but concerns a limited number of partnerships<sup>253</sup>.

## 10. Consideration of indicators

« 10. The audit should be carried out making reference to appropriate indicators including the following performance indicators developed as part of 32 C/5 (2004-2005): number and diversity of partnerships involved; number of concluded and implemented partnership agreements; amount of additional funds raised for the major conservation projects; educational and awareness raising projects conducted; partnerships concluded with media groups. »

59. Three progress reports on the PACT Initiative together with performance indicators, were presented to the World Heritage Committee in 2003, 2004 and 2005, during PACT's experimental period<sup>254</sup>. The first two were fairly brief; however, the 2005 report contained a complete inventory for clear information to the Committee. The performance indicators attached to the reports were not the same from one year to the next; they no longer provided information; several were not quantified and were activity indicators rather than performance indicators.

60. No progress report was prepared in 2006. In 2008 and 2009 the only mention of PACT was in the activity report of the Centre<sup>255</sup>. The performance indicators presented in 2005 were no longer mentioned. An internal evaluation of the PACT Initiative was however presented in 2007 to the World Heritage Committee<sup>256</sup>. In 2010 the Committee requested to be informed more fully on partnerships<sup>257</sup>.

61. As mentioned above, the number of partnerships and the level of funds collected had remained limited (see points 2 and 3).

62. Partnerships have been signed with media groups. The examination of the partnerships of this category included in the sample highlights the interest of such cooperation to promote information on World Heritage<sup>258</sup>.

## 11. Balanced commitments

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<sup>251</sup> Approved Programme and Budget 2010-2011 (35 C/5), paragraph 04000 (point 2)

<sup>252</sup> Examples : input from spatial agencies for the evaluation of the consequences of climate change to World Heritage sites, or partnerships with the International Astronomical Union (IAU).

<sup>253</sup> Example: Association Vocations Patrimoine Partnership – AXA – Mazars

<sup>254</sup> WHC-03/27.COM/20C, WHC-04/28.COM/20 and WHC-05/29.COM/13

<sup>255</sup> WHC-07/31.COM/5, WHC-08/32.COM/5, WHC-09/33.COM/5A

<sup>256</sup> 31<sup>st</sup> session (Christchurch), WHC-07/31.COM/15

<sup>257</sup> Decisions 34 COM 5A and 5G

<sup>258</sup> For example Südwestrundfunk and NHK Partnerships

« 11. Evaluate the respect of commitments by the World Heritage Centre and private partnerships and appreciate the balanced character of these commitments»

63. The agreements examined were generally unclear with regard to the obligations of the partner: reports, communication of promotional objects or documents. A contract model that deprived UNESCO of almost any means of evaluating the results was imposed by an international group.

64. The files communicated contain no references to methods of control used to verify the execution of the contractual provisions, if in the event any had been carried out. The responses provided insisted upon, for example, « jointly organised workshops (twice a year) and presentations prepared to this end » or to meetings for which « there was no report ».

65. Some files contain information on the means employed and activities addressed by the partner,<sup>259</sup> but this was only for a minority of the files examined. Formal evaluations by the WHC are rare, even prior to the renewal of a partnership. Objections were raised by staff interviewed during the present evaluation: an evaluation would not be « profitable » for small partnerships, then why embark upon such partnerships? UNESCO does not possess all the elements necessary for an impact study, but the evaluation may be made with the partner if the agreement contained provisions for result indicators.

66. Contracts relating to partnerships with the objective to increase the visibility of World Heritage do not define the tools to measure the impact of the information diffused on the Convention and inscribed sites. With regard to a partnership showing a disappointing assessment, the Centre responded « The quantitative evaluations were not indicated as the model is primarily based on qualitative elements (participating scientists and experts) and on information to « target » publics . »

67. In the sample examined, an interesting example of an internal evaluation was found of a partnership which however was not renewed. It concerned a partnership without financial income, with an entity that organises exploratory travel to World Heritage sites for a wealthy clientele. In 2007, the Committee was assured that « this partnership will strengthen World Heritage outreach capacity significantly [...] and could lead to interesting fund-raising opportunities in the future »<sup>260</sup>. Organised at the initiative of a consultant who had just joined the Centre, the evaluation revealed that the partnership was costly for UNESCO (staff costs estimated at USD 30,000) for a « very marginal visibility »<sup>261</sup>. This type of evaluation is however unique in the sample.

## 12. Use of the emblem of the Convention

« 12. Evaluate conditions for the use of the emblem of the Convention by private partnerships to determine whether they are compatible with the objectives and provisions of the Convention. »

68. The files examined rarely contain a clear analysis of compatibility in the use of the emblem, when it is foreseen, with the rules of the Organization. Also, there is rarely a report on this use. The procedure is largely informal: « The partner has not provided a written report on the use of the UNESCO-WHC emblem, but the use has been validated by the WHC. The UNESCO-WHC emblem was visible on their Web site. The agreement did not stipulate

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<sup>259</sup> Examples : Jaeger-LeCoultre Partnership – International Herald Tribune, NHK and PAMP

<sup>260</sup> Document precited WHC-07/31.COM/15

<sup>261</sup> « We are selling ourselves short », was the response of one of the programme specialists questioned.

that [the partner] had to report on the use of the emblem, except when it concerned a use for commercial activities ».<sup>262</sup>

69. In one of the files, an incident occurred with regard to publicity documents using the emblem of the Convention and the logo of the Organization. It emerged that the terms of the contract were not clear with regard to the obligations of the partner (notion of *prior authorization*). The Centre highlighted the issue of cost/analysis for the use of the emblem or logo. Here again there appears the need of a prior cost analysis of the involvement with the partnership (see recommendation above). This was an isolated incident of its kind.

70. The Operational Guidelines for the Implementation of the Convention recommend not to grant authorization for use of the emblem « to travel agencies, airlines, or to any other type of business operating for predominantly commercial purposes, except under exceptional circumstances and when manifest benefit to the World Heritage generally or particular properties can be demonstrated »<sup>263</sup>. In fact, the use of the emblem by commercial entities of different branches of activity is not limited to « exceptional circumstances ». The emblem of the Convention and the UNESCO logo appear on diverse supports.

71. With specific regard to travel agencies, four partnerships have been identified and examined. Two partnerships with small structures were not very beneficial to UNESCO and were not renewed. More important partnerships linked or still link UNESCO with two large travel operators. Omissions have been observed in former agreements on reciprocal accountability obligations<sup>264</sup>, but the most recent agreement was reviewed by the Service for International Standards and Legal Affairs. The partnership with UNESCO was highlighted on the Web site of the travel agency<sup>265</sup>, who communicated information on the partnership several weeks before the signature of the agreement, but no anomalies were flagged up in the use of the emblem.

72. It remains that the demonstration that it concerned ‘exceptional circumstances’ and that the use of the emblem is manifestly beneficial to World Heritage or to a particular property, was not present in the file – nor in previous ones. A prior risk analysis is indispensable, and managers of the partnerships should call upon the expertise of the « focal point » (see recommendation above).

**Recommendation n°5 : in partnership agreements clarify the obligations of the partner as regards activity reports and the use of the emblem of the Convention; include tools to measure the impact of information diffused on the Convention and the sites, and contribution to World Heritage conservation.**

### 13. Regional and local partnerships

« 13. Evaluate the contribution of PACT on the development of partnerships at the regional and local level to identify the potential of establishing such partnerships at these levels, as well as the need to provide guidelines in this respect »

<sup>262</sup> Response of the World Heritage Centre with regard to a partnership with an entity

<sup>263</sup> *Operational Guidelines for the Implementation of the World Heritage Convention*, paragraph 275-g

<sup>264</sup> « The agreements do not provide for the preparation and submission of a financial report. » (response of the WHC)

<sup>265</sup> « UNESCO & [the entity] offer a free screen saver».

73. Relatively little action in this direction was identified in the sample of PACT partnerships examined. However, here again one can cite the partnership with the International Astronomical Union (IAU)<sup>266</sup> and the partnership with the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) and the Centre for Heritage Development in Africa (CHDA)<sup>267</sup>, attached to the « Africa 2009 » Programme and associated with the « Projets situés ».

74. Work with the delegations and national commissions could facilitate the deployment of partnerships at the regional and local levels. In the sample examined, this information was frequently minimal. When questioned on a file, the World Heritage Centre recalled that « UNESCO is obliged to inform the national commission upon initiation of a project, but further information concerning the follow-up is not obligatory ». Consultations with national commissions and delegations are, however, recorded in other files<sup>268</sup>.

## 14. Perspectives

75. The current evaluation takes place at a time when the Organization is reflecting on the place of private sector partnerships in its strategy, programme and its budget<sup>269</sup>.

### ❖ Benefits and risks of the PACT partnerships

76. UNESCO has the right to expect funds or contributions in-kind from the PACT partnerships for World Heritage conservation, a better visibility of this conservation and technical expertise to this end.

77. In fact, the PACT partnerships sometimes only generate a limited financial contribution<sup>270</sup>. Some contributions benefit World Heritage conservation, but most are used to cover running costs of the WHC. Their contribution to World Heritage conservation is only indirect.

78. In general, the visibility of the World Heritage Convention and World Heritage itself can but be increased by partnerships. Nevertheless in several of the files examined it is rather the partnerships who benefit from the use of the emblem of the Convention or the UNESCO logo. However, technical expertise is undeniably made available to UNESCO through some partnerships<sup>271</sup>.

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<sup>266</sup> *International Astronomical Union, IAU*

<sup>267</sup> Centre for Heritage Development in Africa (NGO)

<sup>268</sup> Examples : Monnaie de Paris and PAMP partnerships

<sup>269</sup> See Decision 185 EX/6.IV. (185 EX/6 Part VI, paragraph 19 and 185 EX/INF.6, point 4) and 5<sup>th</sup> Strategic Objective of the independent internal evaluation (185 EX/18, paragraphs 56 to 59)

<sup>270</sup> USD 50 000 a year or less for 10 of the 24 partnerships with financial income

<sup>271</sup> Examples : partnerships with space agencies or with public radio and television companies

79. Keeping in mind the relatively modest dimension, in general, of the partnerships conducted up to the present for PACT, the examination of a significant sample of them highlights a triple risk:

- ❖ risk of deterioration of the World Heritage conservation partnership by according priority to the funding of WHC staff costs, that only contribute indirectly to conservation;
- ❖ risk of vulgarization of the emblem of the Convention and the UNESCO logo, especially through commercial use;
- ❖ risk of losing the meaning when seeking visibility becomes more prominent than concern for World Heritage conservation.
- ❖ Rigour and professionalism in the management of partnerships

80. The partnership procedure can be based on an institutional framework defined within the United Nations system: United Nations Fund for International Partnerships (UNFIP)<sup>272</sup>, Global Compact Initiative (*Global Compact*) of entities committed to respecting ten key principles (2000)<sup>273</sup>, guidelines of the Secretary General for Corporate Sponsoring in the United Nations system (2000, 2009).

81. Within UNESCO, these guidelines have not yet been set out in a general strategy document. However, the Director-General has requested « a fresh impetus » for partnerships and has attached a specialised division to the Bureau of Strategic Planning<sup>274</sup>. A presentation is foreseen at the 187th session of the Executive Board.

82. In the absence of an updated database, the specialised division (BSP/CFS<sup>275</sup>) does not currently have an exhaustive vision of WHC partnerships, nor those of UNESCO. It should be provided with the means to fully play its role of « focal point » and animator of a network of resource persons (cost analysis and negotiation, management and copyright in the use of images, documents and emblems).

**Recommendation n° 6 : improve information of the « focal point for private sector cooperation » on partnerships in the Organization, through the establishment of a database to facilitate coordination.**

- ❖ Consideration of the deontological imperatives and strategies

83. An initial guarantee in consideration of these imperatives could be provided through the establishment and effective functioning of a consultative entity for important partnerships, with as terms of reference, to exercise quality control of projects<sup>276</sup>.

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<sup>272</sup> United Nations Fund for International Partnerships, 1998. See *Cooperation between the United Nations and all relevant partners, in particular the private sector* (56th session of the General Assembly, 2001, Document A/56/323) and Note of the Joint Inspection Unit of the United Nations on *Corporate sponsoring in the United Nations System – Principles and guidelines* (JIU/NOTE/2009/1),

<sup>273</sup> This initiative was the subject in 2010 of a report of the Joint Inspection Unit *United Nations corporate partnerships : The role and functioning of the Global Compact* (JIU/REP/2010/9).

<sup>274</sup> DG/Note/10/23 of 3 June 2010

<sup>275</sup> Bureau of Strategic Planning – Division of Cooperation with Extrabudgetary Funding Sources

<sup>276</sup> Example of best practice: Consultative Committee of the NHK partnership

**Recommendation n°7 : Inspired by good practices observed in certain PACT partnerships, envisage the establishment of a consultative entity, associating qualified personalities.**

84. The World Heritage Committee, « supervisory authority to monitor the execution and progress of PACT »<sup>277</sup>, should be able to exercise this supervision through clear and updated information, including between the sessions and including on partnerships under negotiation.

**Recommendation n°8 : make clear information on partnerships permanently available to the World Heritage Committee.**

85. Current reflection at the level of the Organization could include the appropriateness to establish a consultative body to ensure that partnership and development projects or renewals of ongoing partnerships respect the rules upon which a consensus within the United Nations system exists.

**Recommendation n°9 : include in current reflections at the Organization level on partnerships the establishment of a consultative body to ensure that partnership and development projects or renewals of partnerships respect the rules upon which a consensus within the United Nations system exists.**

86. *A recent report on UNESCO's engagement with the private sector considers that PACT is an exception as compared to the absence of a « constant, coordinated and coherent private sector approach in UNESCO »<sup>278</sup>. The External Auditor is not in disagreement with this statement concerning the partnership on which the consultant carried out a case study.<sup>279</sup> This statement could apply to a few other partnerships. But it considers that it is not possible to extend it to the entire sample under examination.*

87. *PACT is still well below the expectations outlined in 2002 « towards innovative partnerships for World Heritage »<sup>280</sup>.*

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<sup>277</sup> Regulatory framework of PACT for World Heritage, paragraph 8

<sup>278</sup> *Study of UNESCO's engagement with the Private Sector: Final Summary Report, February 2010* (point 3.2)

<sup>279</sup> World Heritage Marine Programme (Jaeger-LeCoultre & International Herald Tribune).

<sup>280</sup> Venice Conference, November 2002 (work cited, p. 142)

## ANNEX

### Partnerships examined

American Museum of Natural History – AMNH (2007 et 2010)  
Association Vocations Patrimoine et AXA Mazars (2006 et 2009)  
Big Image Systems (1997)  
Calyon Investment Bank (2004)  
Canadian Space Agency (2003)  
Chinese Academy of Science (2005)  
Earthwatch Institute Europe (2004)  
Ecotourism Australia (2003)  
European Space Agency (2001)  
Evergreen Digital Contents (2003, 2005 et 2006) et Evergreen Digital Contents & Dentsu (2007 et 2010)  
Google (2009)  
Hewlett Packard & National Geographic (2005)  
ICCROM – CHDA (Centre for Heritage Development in Africa) (2006)  
International Astronomical Union (2008 et 2010)  
International Herald Tribune & Jaeger-LeCoultre (2005 et 2010)  
JAXA – Japanese Aerospace Exploration Agency (2008)  
Jet Tours (2005 et 2009)  
Kobi Graphics (1996, 1999, 2001, 2003, 2005 et 2007)  
Kodansha (1993)  
Maison de la Chine (2003)  
Monnaie de Paris (2003, 2008, 2009, 2010)  
NASA (2005)  
Nippon Hoso Kyokai – NHK (2005, 2009)  
Nokia (2009)  
Nordic World Heritage Foundation (2004)  
NPO World Heritage Torch-Run Concert (2009)  
PAMP – Produits artistiques Métaux précieux (2009)  
Philanthropy Squared (2006)  
Südwestrundfunk – SWR (2007, 2010)  
TOM TOM (2007)  
Trip Advisor (2009, 2010)  
UNDP – Global Environment Facility (2004)  
United Nations Fund for International Partnerships UNFIP – Fondation des Nations unies pour les partenariats  
UNF (1998, 2004, 2005)